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April 18, 2022

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 (Apr 18, 2022 14:23 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: March 1 – 31, 2022

Submitted: April 14, 2022

Overview

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



Solutions that Matter

The background is a solid blue color with a subtle gradient. It is decorated with several abstract geometric shapes, including squares and rectangles of various sizes and shades of blue. Some shapes are solid, while others are outlined in a lighter blue. They are scattered across the page, with a higher concentration on the left side and a few on the right.

Executive Summary

Executive Summary






The BES Project continued to focus on implementing the revised design sprint process in this reporting period. The project team identified improvements to the new design process and quickly adjusted the process. The ASI reported the design sprints are completing four days earlier than planned. While IV&V finds this encouraging, IV&V remains cautious because (1) the planned future design sessions include more complex business and technical functionality and (2) the designs using the new process have yet to be fully tested.

The lack of an agreed upon project schedule continues to be a high-risk to the Project. The timeline to approve the new schedule is unclear, and the two significant issues reported last month remain open:

- Identifying the number of concurrent design sprints that the project team can effectively manage.
- Determining the duration of the Final Acceptance Testing activity.

DHS and the ASI continue to work closely to identify and retain design staff. The ASI delayed updates to the schedule in anticipation of the identification of additional DHS resources. They are now incorporating DHS staffing commitments and updating the design sprint cadence in the project schedule. The ASI has not agreed to extend the time planned for Final Acceptance Testing and this issue remains at an impasse.

Jan	Feb	Mar	Category	IV&V Observations
			Project Management	IV&V maintains our concern about the lack of an agreed upon schedule. The lack of approved dates for Pilot and Go-Live create confusion within the Project. Tracking late deliverables is also obscured by an in-motion schedule. Three of the seven findings in this category remain at a high criticality rating, resulting in this category remaining high since July 2020 (21 months).

Executive Summary



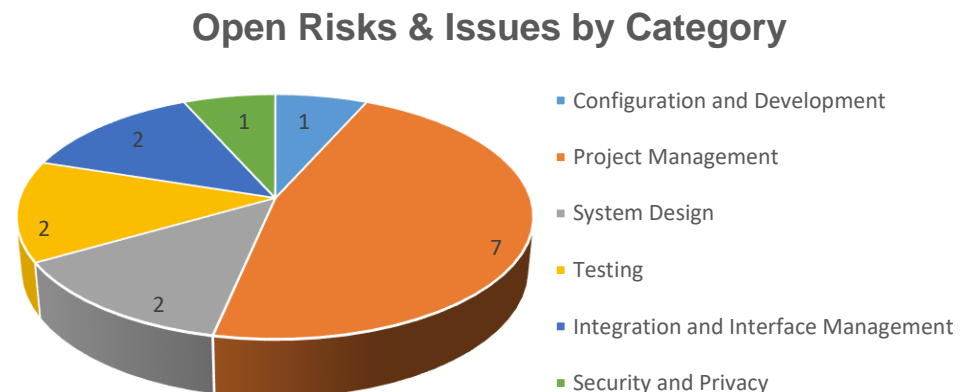
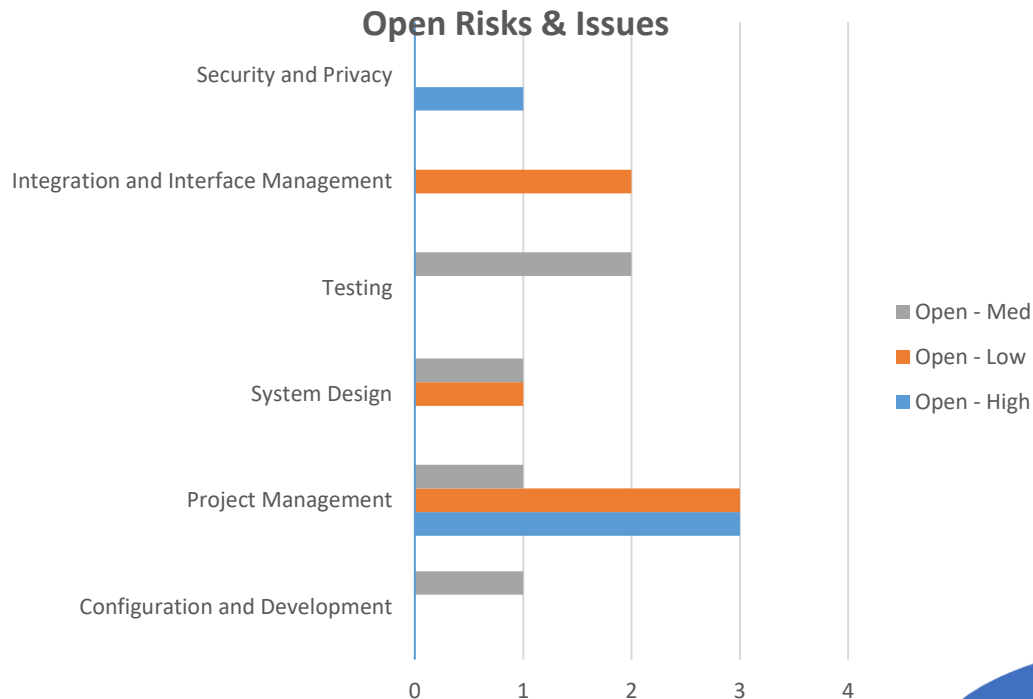
Jan	Feb	Mar	Category	IV&V Observations
M	M	M	System Design	For more complex Use Cases that went through the revised design process, the prototypes should provide additional evidence of designs meeting DHS business needs. The ASI has onboarded their new Lead Architect and is bringing in additional architects.
M	M	M	Configuration and Development	The project team continues to evolve and improve the SDLC process, although it remains time-intensive for DHS Subject Matter Experts (SMEs). IV&V remain concerned that less-experienced ASI Business Analysts are not getting the preparation and support needed to run effective design sessions, which can lead to frustrating meetings and development rework
M	L	L	Integration and Interface Management	No material update for this reporting period. DHS continues to coordinate and establish the remaining required MOA's.
M	M	M	Testing	IV&V continues to monitor testing activities and will shadow testing in the upcoming period. The ASI selected another ADA compliance tool and is working to set up a proof of concept. IV&V is concerned about the difficulty encountered in selecting an ADA compliance tool that works with BES.
H	H	H	Security and Privacy	DHS decided to move to the NIST 800-53 Rev 5 controls. Efforts to define the security boundary of BES is incomplete. IV&V remains concerned about the lack of a security architect, however, the ASI recruiting for this role.

IV&V Findings and Recommendations

IV&V Findings and Recommendations



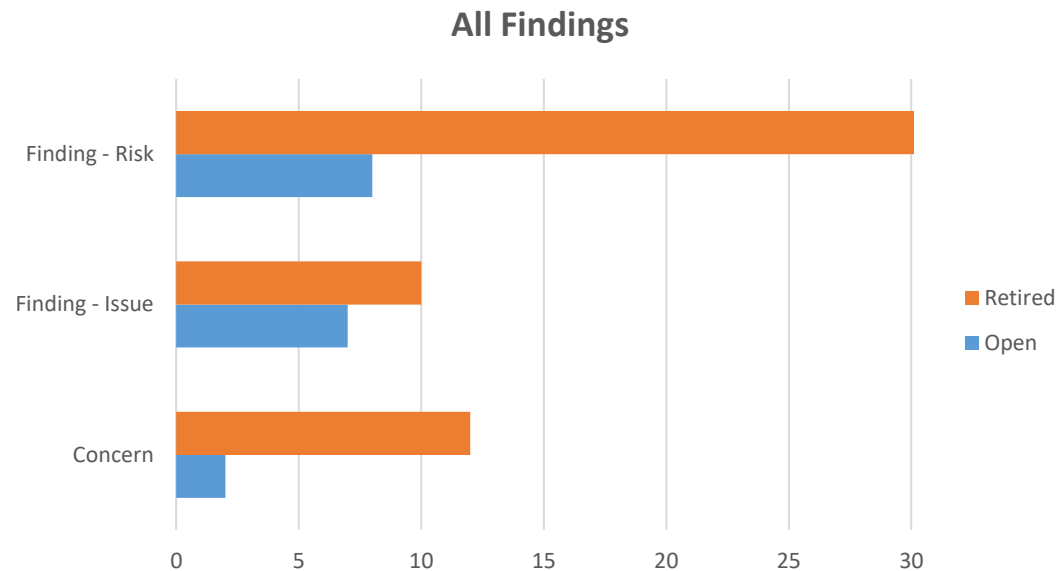
As of the March 2022 reporting period, PCG is tracking 15 open findings (8 risks and 7 issues) and has retired a total of 54 findings. Of the 17 open findings, 7 are related to Project Management, 2 in Integration and Interface Management, 2 in Testing, 2 in System Design, 1 in Configuration and Development, and 1 in Security and Privacy.



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
	None	

IV&V Findings and Recommendations



Preliminary Concerns Investigated During the Reporting Period

#	Finding	Category
70	Insufficient configuration management could lead to development confusion and reduce the effectiveness of defect resolution. No material update for this reporting period.	Configuration and Development
76	Volunteer DHS resources leaving the Project can lead to schedule delays, lower morale, and burnout. DHS SME's are not assigned to the Project as full-time resources. DHS testing resources are volunteers and can return to the operational positions at any time or may be called back to address BESSD operations needs. Currently a new resource is being evaluated for the DHS testing team. As additional DHS testing expertise becomes apparent in the revised SDLC process, losing resources will have increased impact on delivery and the project schedule.	Project Management

IV&V Findings and Recommendations



Findings Opened During the Reporting Period

#	Finding	Category
	None	

IV&V Findings and Recommendations



Project Management


#	Key Findings	Criticality Rating
2	<p>Issue – Late Delivery of project deliverables has caused schedule delays.</p> <p>The ASI reported most design sprints were completing 4 days earlier than planned. IV&V observed instances where design sprints were not completed as planned, functionality shifting to future releases or paused due to resource challenges. While a certain amount of delay would be expected for some sprints due to the new process, it remains unclear if/where delays will occur in future sprints and what the effect those will have on the critical path.</p> <p>The project team reported Release 7 Development was underestimated and is anticipated to delay Release 7 System Integration Testing. It is not yet known how this delay may impact the current proposed go-live dates.</p> <p>The Project continues to meet regularly to discuss work in progress to anticipate and mitigate further project delays.</p>	

Recommendations	Progress
<ul style="list-style-type: none">Despite not yet having a revised baseline schedule, continue monitoring and analyzing deliverables that may have impact to the critical path.	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 onboarded a new Lead Architect who will be responsible for managing the system infrastructure which should improve clarity around governance, capabilities of the different infrastructure components and how they will be utilized.</p> <p>The strategy for 2 portal integration has been agreed to by DHS OIT, MQD, ASI, and ESI, and communicated to the architects and project leadership. The Change Request has been distributed to DHS leadership for review and approval, the related project decisions have been logged, and the high-level architecture is available to the project team.</p>	

Recommendations	Progress
• DHS should finalize the Portal strategy and communicate the strategy with the stakeholders and project teams.	Complete
• The Project should continue to vet possible architectural change impacts to the platform (e.g., ADA, Configuration Management tools), M&O, MQD, and BES systems before finalizing architectural decisions.	In process
• 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
• 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
• 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>DHS continues to recruit for these positions but received minimal interest to-date.</p>	A red circle with a white 'H' inside, indicating a high criticality rating.

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
<ul style="list-style-type: none">DHS consider other options (Contractors, State employees borrowed from other agencies) to fill these positions if there is ongoing difficulty in finding permanent hires.	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>State leadership has rolled back most COVID mandates this month, however, most individual State departments have been given the option of not requiring their staff to work in-person. DHS will likely maintain remote work policies for the foreseeable future. IV&V recommends DHS consider strategically requesting in-person meetings for discussions that can be significantly more productive in-person.</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>When Release 6 final test results are published, IV&V will re-evaluate this finding.</p>	

Recommendations	Progress
<ul style="list-style-type: none">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
<ul style="list-style-type: none">ASI verify that the information in design and testing artifacts is kept in sync and consistent.	In process

IV&V Findings and Recommendations



Project Management

#	Key Findings	Criticality Rating
71	<p>Risk – The lack of the final agreement on the scope and costs of the GCP Change Request (CR) may lead to unanticipated DHS costs, schedule delays, and/or the need to reduce scope.</p> <p>DHS and the ASI have met to further define the scope of the CR and confirm the responsibilities of the ASI and ESI. DHS plans to have the Rough Order of Magnitude (ROM) done by April 15th, and then will engage the HI Attorney General. DHS has extended an opportunity for IV&V to participate in the writing of the change request.</p>	

Recommendations	Progress
<ul style="list-style-type: none">The ASI should document the current environment M&O activities to ensure all activities are known with a clear understanding of the “AS IS” and “TO BE” model for services beginning with the DDI, through Pilot/Implementation and M&O.	In process
<ul style="list-style-type: none">The ASI clearly document the scope of work and cost for the GCP CR during DDI and M&O and provide to DHS for approval.	In process

IV&V Findings and Recommendations



Project Management

#	Key Findings	Criticality Rating
74	<p>Risk – The lack of a BES project schedule based on accurate estimations diminishes effective planning and resource management, which could result in late deliverables, cost increases, and a late go-live.</p> <p>A revised schedule was not submitted in this reporting period, and the Project does not have an approved schedule. Updates to increase the Final Acceptance Testing duration and updates to the Design Sprint duration-to reflect current DHS resource levels are still pending.</p>	

Recommendations	Progress
<ul style="list-style-type: none">Using the available tools, review the current estimates to complete each activity compared to past actual hours.	In process
<ul style="list-style-type: none">Update as necessary and provide the DHS/ASI project managers with reports and data that accurately reflect the DHS/ASI resource needs along with over/under allocations of staff for the duration of the Project.	In process
<ul style="list-style-type: none">Develop mitigation and contingency plans that are tracked/managed by DHS/ASI for all tasks that are behind schedule or are at risk of being behind schedule which includes resource management.	In process
<ul style="list-style-type: none">Discuss, validate and address additional concerns within the project processes that may cause the project delays other than inaccurate estimates such as over reliance on POs, slow design sprints, and cadence of development teams.	In process
<ul style="list-style-type: none">DHS and the ASI agree to a revised schedule against which project deliverables can be managed.	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>The ASI has stated that system integration across the SSP, CMM, and FMM modules have been redistributed in a continuous integration modal as part of the new schedule. The integrations start in Release 9 and complete in Release 15. However, the ASI had previously stated that integrations would begin as early as Release 5 and is using stubbed interfaces to mitigate this risk.</p>	A green circle with a white 'L' inside, indicating a Low Criticality Rating.

Recommendations	Progress
<ul style="list-style-type: none">Prioritize the build and testing of integration points to assure integrations (through early end-to-end testing) meet expectations throughout development instead of waiting to perform them for the first time as go-live approaches.	In process
<ul style="list-style-type: none">The ASI plan and communicate the mitigation strategy for handling risks associated with their integration approach.	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>There were no changes to the interface communication plans in this reporting period.</p>	

Recommendations	Progress
• Identify and document all interface partners' contacts.	Complete
• Complete all MOAs and obtain approval.	In process
• Confirm testing dates with interface partners in writing.	In process

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 Project appears to be making strides in implementing and refining their new SDLC process, though SMEs have indicated the process requires a significant amount of their time and participation in the Project can take away from their operational duties. DHS provided feedback to IV&V that the lack of senior Business Analysts (BAs) is causing confusion in the design process and ASI lack of expertise to design the user interface may result in a cumbersome design. IV&V remains concerned that some design sessions are being led by junior resources without the support of more experienced BAs.</p>	

Recommendations	Progress
<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>DHS and ASI continue to ramp up design sprints, with positive movement in addressing this finding's open recommendations. IV&V has observed some challenges, including Business Analyst confusion around Use Cases and needing to backtrack as new participants join design sprints mid-flight. Additionally, the ASI facilitators have stated the JAR/JAD notes from those sessions are not useful, which results in the project team revisiting requirements definition efforts already completed. Prototypes of more complex Use Cases in coming weeks should provide a clear picture if designs are meeting DHS business needs.</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 to identify these items as early in the SDLC as possible.	In process

IV&V Findings and Recommendations



System Design


#	Key Findings	Criticality Rating
73	<p>Risk – The planned BES infrastructure is complex which could be difficult to implement and maintain and could lead to schedule/cost impacts</p> <p>The ASI has onboarded their new Lead Architect who will be responsible for managing the system infrastructure which should improve clarity around governance, capabilities of the different infrastructure components and how they will be utilized.</p>	

Recommendations	Progress
• ASI clearly communicate the potential costs and schedule impacts to implementing the planned infrastructure.	In process
• DHS work with the ASI to assess the potential challenges of maintaining a complex environment and consider scaled back options that could reduce this risk and reduce long-term support costs.	In process
• 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

IV&V Findings and Recommendations



Testing

#	Key Findings	Criticality Rating
66	<p>Issue – The number of issues/defects found during testing may cause planned work in the future sprints to be delayed due to the resolution and retesting of issues/defects.</p> <p>The positive trend of defects being detected and reported earlier in the SDLC continues. Using the updated design/development process has provided early identification of areas where design does not meet end user expectations and the ASI has adjusted the design to meet user needs and expectations. Coupled with the early inclusion of the DHS testing team and SMEs in the design process, improvement is noted by the IV&V team.</p>	

Recommendations	Progress
<ul style="list-style-type: none">Adjust the project plan and provide reasonable scope for SIT in subsequent releases considering the number of defects and testing time needed.	In process
<ul style="list-style-type: none">If defect leakage worsens in the future releases, the ASI should consider a Root Cause Analysis (RCA) with DHS and IV&V to identify and take corrective actions.	In process

IV&V Findings and Recommendations



Testing

#	Key Findings	Criticality Rating
67	<p>Risk - The Americans With Disabilities Act (ADA) Section 508 compliance tool has not been installed for the Project, which may cause significant rework.</p> <p>The ASI testing lead confirmed that an ADA tool has been selected for consideration and a demonstration held. Next step is to execute a proof of concept within the BES application. To mitigate this risk, the ASI stated that problems identified by a tool or through manual evaluation to Section 508 criteria for web applications can be easily rectified with little impact to development and schedule.</p>	

Recommendations	Progress
<ul style="list-style-type: none">The ADA tool meets contractual and project requirements.	In process
<ul style="list-style-type: none">The ASI communicates a plan for ADA test execution.	In process
<ul style="list-style-type: none">The ASI communicates how the tool will be used to report compliance and non-compliance and how non-compliance will be addressed/corrected	In process
<ul style="list-style-type: none">The ASI communicates how and when DHS/IV&V will be provided the reports from the ADA tool execution and how to interpret the results.	In process

IV&V Findings and Recommendations



Security and Privacy

#	Key Findings	Criticality Rating
68	<p>Risk - Insufficient planning/execution of the BES Security Plan activities may lead to delays in gaining Federal Partner approval for the BES to begin the Pilot Phase.</p> <p>DHS has decided to use NIST 800-53 revision 5 moderate controls, and the ASI has been working on changing the control mappings in Confluence to the revision 5 standard. This significant effort is mitigated in part by the efforts the ASI already completed on the Rev 5 controls. The effort to define the security boundary of BES and the components that make up the system has taken a considerable amount of time and is incomplete. A security architect is essential to defining the security boundary of BES; however, the security architect position remains unfilled. Over the past month, no security SMEs from the ASI have attended the weekly meetings with DHS. The result is questions raised within the meeting not getting answered, and the response being deferred to the following week.</p>	

Recommendations	Progress
<ul style="list-style-type: none">The ASI continue to develop the BI-13 Security Plan in close collaboration with DHS.	In process
<ul style="list-style-type: none">DHS and the ASI agree upon the tools and process that will be used to document and track security control implementation, such as security governance, risk, and control (GRC software). The process should define the level of detail needed to track progress (estimates, target dates, risks, issues, evidence) along with the Requirement Traceability Matrix, and plans of actions and milestones (POAM).	In process
<ul style="list-style-type: none">ASI, per DHS guidance, should begin to pivot toward the adoption of 800-53 Rev 5 since Rev 4 will be obsolete when the system goes live.	Complete
<ul style="list-style-type: none">ASI add a Security Architect to the Project ASAP to assist with the Security Plan activities.	In process
<ul style="list-style-type: none">ASM have a security SME attend the weekly security planning meetings and workshops.	Not Started



IV&V Status

IV&V Engagement Status



IV&V Engagement Area	Jan	Feb	Mar	Comments
IV&V Budget				
IV&V Schedule				
IV&V Deliverables				PCG submitted the final February IV&V Monthly Status Report.
IV&V Staffing				
IV&V Scope				PCG submitted a signed Supplemental Agreement to DHS to exercise the contract's first two-year option period.

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 March reporting period:
 - Completed – February 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 April 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 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
Design Sprint Variations Review - ICD Design Sprint Process (Iteration 1)	3/31/2022	NA
BI-29 Pilot Plan, Section 2.4 Data Readiness	3/30/2022	pre-draft
BI-06 System DDI Plan	3/23/2022	v3.2
BI-22 Release 0.6c System Test Report (Iteration 1)	3/21/2022	v1.0
BI-21 Release 0.4 Updated and Completed Detailed Functional and Technical RTM Deliverable (Iteration 2)	3/15/2022	v1.1
BI-14 Release 0.6b Technical Design Document – SSP – DRAFT	3/7/2022	v0.2
BI-10 R0.6c Admin Hearings (Iteration 2)	3/3/2022	v1.0
Design Sprint Variations Review	3/3/2022	NA
BI-10 R0.6c SSP Third Party Representatives, Locate Resources (Iteration 2)	3/1/2022	v1.0
BI-20 Release 0.6d Test Scenarios, Cases, and Scripts (Iteration 1)	3/1/2022	v1.0

Additional Inputs – Artifacts



Deliverable Name	Artifact Date	Version
Unisys Contract Amendment 3	4/17/2020	N/A
FNS Handbook 901	01/2020	V2.4
BES Project Schedule (BI-5)	3/14/2022	V0.21
BES Weekly Status Report	3/30/2022 3/23/2022 3/16/2022 3/9/2022 3/2/2022	N/A
BES Risks and Issues Log	3/30/2022	N/A
BES Interface Communication Plans and Interface Control Documents	N/A	N/A
NIST Special Publication 800-53 Security and Privacy Controls for Information Systems and Organizations	12/20/2020	Rev.5
NIST Special Publication 800-53 Security and Privacy Controls for Information Systems and Organizations	1/22/2015	Rev. 4



Meetings and/or Sessions Attended/Observed:

1. Weekly Platform Status Meeting – 3/1/2022, 3/8/2022, 3/15/2022, 3/22/2022, 3/29/2022
2. Bi-Weekly Project Status Meeting – 3/2/2022, 3/16/2022, 3/30/2022
3. Bi-Weekly BES PMO and IV&V Touch Base – 3/2/2022, 3/17/2022, 3/31/2022
4. Weekly BES Dev Stand-up – 3/2/2022, 3/9/2022, 3/16/2022, 3/23/2022, 3/30/2022
5. Weekly SSP Backlog Grooming Session – 3/9/2022
6. Weekly BES Project Schedule Review Meeting – 3/14/2022
7. IV&V Team Meeting – 3/3/2022, 3/7/2022, 3/10/2022, 3/14/2022, 3/17/2022, 3/21/2022, 3/24/2022, 3/28/2022, 3/29/2022, 3/31/2022
8. Weekly DHS-Unisys Security Touchpoint – 3/1/2022, 3/8/2022, 3/15/2022, 3/22/2022, 3/29/2022
9. BES Security Control Workbook – 3/3/2022, 3/10/2022
10. BES Testing Touch base – 3/9/2022, 3/23/2022
11. HI DHS BES February Draft IV&V Report Review – 3/9/2022
12. Bi-Weekly DHS and IV&V Touch Base – 3/8/2022, 3/23/2022
13. ASI/IV&V Mid-month Check-in – 3/16/2022
14. ASI and IV&V Pre-Draft Report Review – 3/2/2022
15. Executive Steering Committee Meeting – 3/17/2022
16. HI BES ASI and IV&V Touch Base - Functional Team – 3/15/2022
17. HI BES ASI and IV&V Touch Base - Technical Team – 3/17/2022
18. Monthly Project Risk and Issue Review Meeting – 3/30/2022
19. Implementation Planning – 3/9/2022
20. CF12 Report Specs – 3/2/2022, 3/4/2022, 3/8/2022, 3/10/2022,
21. CO23b Manage Interface Verifications – 3/2/2022, 3/4/2022, 3/8/2022
22. CF20a Manage Generated Correspondence – 3/1/2022, 3/3/2022, 3/7/2022, 3/9/2022, 3/11/2022, 3/15/2022, 3/17/2022, 3/21/2022, 3/23/2022, 2/28/2022
23. CF35 Create a Task – 3/1/2022, 3/3/2022, 3/7/2022, 3/9/2022, 3/17/2022, 3/21/2022
24. CF23 Process Correspondence – 3/1/2022, 3/3/2022, 3/7/2022, 3/9/2022, 3/11/2022



Meetings and/or Sessions Attended/Observed:

25. IF31 BES MDM – 3/1/2022, 3/3/2022
26. FM50r Manage FIS Data -Card Inquiry – 3/2/2022, 3/4/2022, 3/10/2022
27. CF46 Process a Renewal Workflow – 3/2/2022, 3/4/2022, 3/8/2022, 3/10/2022
28. FM08 Manage Benefits Issuance History – 3/3/2022, 3/9/2022, 3/11/2022, 3/15/2022, 3/29/2022, 3/31/2022
29. IF24 KEIKI Child Support Interface – 3/7/2022, 3/9/2022
30. Manage Client Address Information – 3/14/2022, 3/16/2022, 3/18/2022, 3/28/2022, 3/30/2022
31. Report Specs - Group 2 – 3/14/2022, 3/16/2022, 3/18/2022, 3/22/2022, 3/24/2022
32. CO01b Manage Client General – 3/14/2022, 3/16/2022, 3/18/2022, 3/22/2022, 3/24/2022
33. IF28 Lockbox Interface – 3/15/2022, 3/17/2022
34. CF44 Manage Current (C!A) Data – 3/17/2022, 3/21/2022
35. IF08 School Lunch – 3/21/2022, 3/29/2022
36. CO01e Identify Possible Client Duplicates for Merge – 3/22/2022, 3/24/2022, 3/28/2022, 3/30/2022
37. R0.10 Report Specs – 3/29/2022, 3/31/2022
38. Weekly Functional PMO Meeting – 3/7/2022, 3/14/2022, 3/21/2022, 3/28/2022
39. Data Conversion PMO meeting – 3/7/2022, 3/14/2022, 3/21/2022, 3/28/2022
40. Weekly Interfaces - PMO Meeting – 3/1/2022, 3/8/2022, 3/15/2022, 3/29/2022
41. PMO Meeting Structure – Testing – 3/3/2022, 3/10/2022, 3/17/2022, 3/24/2022, 3/31/2022
42. PMO Meeting Structure - BES Development – 3/3/2022, 3/10/2022, 3/17/2022, 3/24/2022, 3/31/2022
43. PMO Meeting Structure - AH/MDM/SSP Development – 3/3/2022, 3/10/2022, 3/17/2022
44. KOLEA Demo – 3/21/2022
45. Client Notes, Case Notes and Alerts – 3/22/2022
46. HI DHS Interfaces – 3/23/2022
47. Review Data Conversion Schedule A Source to Target Mapping – 3/28/2022, 3/30/2022
48. [BES] R0.6b BI-14 Walk-Through: SSP - Translations (Homepage & Prescreening) & Electronic Notices – 2/28/2022



Meetings and/or Sessions Attended/Observed:




- 49. R0.8 Screen Prototype Review - CF12 Manage Reports Prototype Part II – 3/1/2022
- 50. [BES] R0.6 BI-14 BESSD INF Walk-Through - IRS, NDNH, eDRS, SAVE, BEER – 3/1/2022
- 51. Sprint Demo– 3/1/2022, 3/28/2022, 3/29/2022
- 52. Sprint Demo for Sprint 2R0.9 SSP – 3/2/2022
- 53. R0.6c SIT Go/No-Go Exit SSP/Administrative Hearings – 3/7/2022
- 54. [BES] CO05h Manage Income Sprint Demo – 3/10/2022
- 55. R0.6d CMM & CF SIT Go/No Go Entry – 3/11/2022
- 56. Sprint Demo for Sprint 3R0.9 SSP – 3/14/2022
- 57. Junit test case Demo – 3/16/2022, 3/30/2022

The background is a solid blue color. It features several abstract geometric shapes, including squares and rectangles of various sizes and shades of blue. Some shapes are solid, while others are outlined in a lighter blue. They are scattered across the page, with a higher concentration on the left side and a few on the right.

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 |

Ending Slide



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
76	Volunteer DHS resources leaving the Project can lead to schedule delays, lowered morale, and burnout.	Earl Burba	Concern	3/3/2022	Project Management	The DHS resources assigned to work with the ASI on the BES Project are all volunteers except one. Resources are not dedicated roles within the team and have the option of returning to their previous operational roles at any time.	The replacement of DHS resources in project roles (e.g., testers and product owners) is not guaranteed and DHS already stated that no additional resources will be assigned to the test team. It is a risk to the Project that the remaining DHS resources will be overallocated, risking burnout, and creating a cycle of more DHS resources leaving the Project. If additional DHS staff are provided, their training will add to the workloads of current DHS project resources.	• Consider adding DHS resources as needed. • Allocate more time for the DHS team members to dedicate time to the project. • Carefully plan for all the project activities with reasonable hour allocations for the DHS resources and adjust dates in the integrated project plan accordingly. • Add cushion time to the schedule for unexpected project delays. • Provide incentives for the DHS resources to help maintain the team and possibly alleviate attrition from the team and possibly increase the number of volunteers to the team.	Immediate	4	5	High	Open	3/28/2022 - DHS SME's are not assigned to the project as full time resources. DHS testing resources are volunteers and can return to the operational positions at any time or may be called back to address BESD3 operations needs. Currently a new resource is being evaluated for the DHS testing team. An additional DHS testing expertise becomes apparent in the revised SOLC process, losing resources will have increased impact on delivery and the project schedule. 3/31/2022 - A revised schedule was not submitted in this reporting period, and the Project does not have an approved schedule. Updates to increase the final Acceptance Testing duration and updates to the Design Sprint duration to reflect current DHS resource levels are still pending. Even with an updated Design Sprint schedule to accommodate existing DHS resource levels, it remains unclear if the Project will be able to meet the revised dates due to: 1) the complexity of the design sprint process, 2) the availability of DHS SMEs and POs when needed, and 3) the Design Sprint participants being able to competently perform in their respective roles. 2/28/2022 - The updated target for DHS to approve the project schedule is early March 2022. The ASI provided a version 20 draft schedule but is adjusting the schedule to increase the length of final Acceptance Testing and to accommodate the estimated capacity of DHS resources during the Design Sprints. Even with a less aggressive Design Sprint schedule, it remains unclear if the Project will be able to meet the revised dates due to 1) the complexity of the design sprint process, 2) the availability of DHS SMEs and POs when needed, and 3) the Design Sprint participants being able to competently perform in their respective roles. 1/28/2022 - The ASI provided several draft schedules and is responding to comments from reviewers. The schedule has not been approved by DHS. The ASI stated that development, technical design and functional design estimates were all reviewed and assigned levels of efforts which fed directly into the revised schedule. However, it remains unclear if the current level of DHS and/or ASI resources is appropriate for the anticipated workload. 12/16/2021 - The ASI provided a new draft schedule on 12/16/2021 based on an in-depth analysis and revised estimates of remaining use cases. DHS and IVV reviewed the schedule and provided significant feedback, including concerns about DHS having enough resources to cover all planned tasks. The revised schedule is 03/31/22 - The ASI has onboarded their new Lead Architect who will be responsible for managing the system infrastructure which should improve clarity around governance, capabilities of the different infrastructure components and how they will be utilized. 02/28/22 - The ASI is onboarding their replacement Lead Architect in the coming weeks. The ASI has stated that the infrastructure, while complex, is sufficiently understood and manageable. The revised project schedule provides additional time to implement the BES infrastructure and could mitigate the risk of infrastructure delays. IVV is lowering the criticality rating to 'Low'. 01/28/22 - The ASI stated that the proposed revised/extended schedule allows enough time to build the complex environment. The ASI continues to maintain that the components they are using, though complex, will reduce person-hours for maintenance and improve system support. The ASI is making efforts to refine their patching strategy for the large number of components that will have to be updated and patched throughout the life of the system. 12/31/21 - The ASI stated they believe they will continue to provide BES maintenance and operations (M and O) support for the foreseeable future, reducing the risk of turning over a complex system to the State or another vendor. However, it remains unclear how long the ASI will continue to provide M and O support. The ASI continues to make progress in defining their final environment architecture. 11/29/21 - The ASI stated that, though their infrastructure is complicated and cutting edge, the risk is acceptable given the long-term benefits as they expect the final platform will be highly functional, efficient, resilient, automated, and could reduce long term maintenance costs. IVV remains concerned with the level of effort and costs. • ASI develop a process to clearly monitor cloud and other product changes (software updates/new releases, machine changes, and regression test once updates are applied).		
74	The lack of a BES project schedule based on accurate estimations diminishes effective planning and resource management, which could result in late deliverables, cost increases, and a late go-live.	Ryan	Finding - Ris	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 IVV findings focused on specific schedule components such as resource management and critical path analysis, all of which were addressed and closed.	If estimates for project schedule 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.	• Using the available tools, review the current estimates to complete each activity compared to past actual hours • Update as necessary and provide the DHS/ASI Project Managers with reports and data that accurately reflect the DHS/ASI resource needs along with over/under allocations of staff for the duration of the Project • Discuss, validate and address additional concerns within the project processes that may cause the project delays other than inaccurate estimates such as over reliance on POs, slow design sprints, and cadence of development teams. • DHS and the ASI agree to a revised schedule against which project deliverables can be managed.	Immediate	4	4	High	Open			
73	The planned BES infrastructure is complex which could lead to implement and lead to schedule/cost impacts.	mfor	Finding - Ris	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 the additional costs and time to configure, test, 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. Delays in finalizing the components being implemented could exacerbate this risks and lead to further delays. Complex platforms often present system maintenance and operations challenges as system changes can hold the increased potential for system failure (i.e., due to the significant number of "moving parts") and increase the level of time and effort to resolve infrastructure and application-level bugs. Further, some components remain in an immature state compared to their legacy counterparts. For example, the project recently experienced a system failure because Google Cloud failed to clearly communicate a change that led to failure in another component (i.e., Nexus). Google Cloud is generally viewed as a less mature product offering, compared to their rivals (Amazon Web Services, Microsoft Azure). IVV remains concerned that this could lead to failures at critical points in the project (including post-go live production failures) that could be difficult to resolve and lead to project disruption. If DHS intends to eventually reduce M&O outsourcing costs turning over M&O tasks to State employees, they could face challenges supporting tools they may not be familiar with in a complex infrastructure environment.	• ASI clearly communicate the potential costs and schedule impacts to implementing the planned infrastructure. • DHS work with the ASI to assess the potential challenges of maintaining a complex environment and consider scaled back options that could reduce the risk and reduce long term effort and costs. • ASI develop a process to clearly monitor cloud and other product changes (software updates/new releases, machine changes, and regression test once updates are applied).	Next several month	2	2	Low	Open			
71	The lack of the final agreement on the scope and costs of the Google Cloud Platform (GCP) Change Request (CR) may lead to unexpected DHS costs, schedule delay, and/or the need to reduce scope.	Joe Frasca	Finding - Ris	8/23/2021	Project Management	In April 2020, the DHS/ASI SOAP contract amendment codified the migration of some of the BES environments from on-prem to cloud based solution however, not all details were vetted at that point in time. In the July/August 2020 timeframe, DHS and the ASI agreed to have all BES environments migrated to the cloud. Since then, the scope has been adjusted and the CR is being drafted by the ASI. It has been over 12 months since the project decided to move all BES environments to the Cloud solution – more than enough time to document, price and negotiate the scope of work. The BES is being developed in GCP and DHS/ASI consistently report they are working on the CR, however, it is not final.	The migration of some BES environments to the cloud and shifting the maintenance of cloud environments from the ES3 to the ASI was included in the ASI/DHS SOAP Contract Amendment finalized in April 2020. The decision to migrate all BES environments to the cloud was made in the July/August 2020 timeframe. DHS' intent is for this CR to be cost-neutral. While the BES application is being developed in the cloud, details regarding the specific services to be provided and by which vendor during the BES CD and Maintenance and Operations Phases have not been finalized.	- The ASI should document the current environment M and O activities to ensure all activities are known with a clear understanding of the "AS" and "TO BE" model for services beginning with the DD, through PaaS/Implementation and M and O. The ASI clearly document the scope of work and cost for the GCP CR during DD and M and O and provide to DHS for approval. COMAPTE - DHS and the ASI agree to a firm delivery date for when DHS will receive the GCP CR 12/16/2021 Complete	ASAP	3	3	Med	Open	3/31/2022 - DHS and the ASI have met to further define the scope of the CR and confirm the responsibilities of the ASI and ES3. DHS plans to have the Rough Order of Magnitude (ROM) done by April 15th, and then will engage the HI Attorney General. DHS has extended an opportunity for IVV to participate in the writing of the change request. 2/28/2022 - IVV has requested a copy of the GCP change request from the DHS Enterprise Technology Officer. When received, IVV will review the GCP CR and provide comments. 1/31/2022 - IVV has requested a copy of the GCP change request from the DHS Enterprise Technology Officer. IVV wants to see if the ASI addressed our recommendations in the details of the CR. 12/31/21 - No material updates in the reporting period. IVV wants to see if the ASI addressed our recommendations in the details of the CR delivered to DHS on 11/11/2021. 11/29/2021 - DHS has received information and pricing for the GCP CR from the ASI. The ASI and DHS are working to confirm the scope of this change request. IVV wants to see if the ASI addressed our recommendations in the CR details. 10/28/2021 - The ASI has not submitted the GCP Change Request to DHS. IVV recommends that DHS and the ASI agree to a firm delivery date for the change request. 09/30/2021 - The ASI met with the IVV team on 09/30/2021 and provided a high-level overview of GCP Change Request. The ASI continues to draft the CR and a date has not yet been established to present the CR at the BES CDR. IVV is concerned with the scope of the CR and ability for the project team to fully implement the scope of work in the time remaining prior to pilot.	9/9/2021 - RAP: Point of clarification. The SOAP agreement did not establish that the project would be deployed to the Cloud. SOAP provided that development be done in the Cloud and specifically that deployment would be to the on-premise environment. However, we did acknowledge that deployment may move to the Cloud. The final decision to move to GCP for production was made in July 2020. The costs for managing the UAT, Production, and Disaster Recovery environments were not included in the SOAP agreement nor	
70	Insufficient configuration management could lead to development confusion and reduce the effectiveness of defect resolution	mfor	Concern	8/23/2021	Configuration and Development	The B4 EOD Plan Deliverable, Section 5.2 establishes the framework for the Configuration Management Plan, however, it remains unclear if sufficient progress has been toward establishing CM processes, selecting CM tools (e.g., CMDB), and building out the CM infrastructure. The projects Google Cloud Platform (GCP) Change Request and Security Plan have yet to be finalized which may include additional requirements or decisions that could impact CM. The project currently relies on GitHub for tracking of some configurations.	Configuration Management is a set of processes and procedures that ensure the BES is understood and works correctly. The BES solution includes tools that may provide a level of automation for Configuration Management that may reduce errors and should provide the project team with accurate, dynamic and timely information on some of the configuration items. However, it is critical that DHS/ASI agree to the full list of items that are included in the configuration plan along with the details regarding the management of the configuration items, reporting and audit features.	• ASI adhere to plans for configuration management as documented in B4 EOD Plan, Section 5.2 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. • Identify the DHS POC for the Configuration Management Activities that would provide oversight of configuration management activities and assure defined CM steps and plans are being followed, are effective, and are achieving DHS objectives for CM.	ASAP	2	2	Low	Open	03/31/22 - No material update for this reporting period. 2/28/22 - No material update for this reporting period. 1/31/22 - No material update for this reporting period. 12/31/21 - No material update for this reporting period. 11/29/21 - The ASI stated their plans to utilize Service Now as their Configuration Management Database (CMDB). If utilized to its fullest extent, Service Now can effectively track system configurations and provide system support personnel with an effective means to resolve system bugs. IVV will continue to monitor for the effective build out of the CMDB and further elaboration by the ASI of their configuration management plans. 10/29/21 - The ASI has made progress in their configuration management (CM) planning, such as identifying who will fill the Configuration Manager position but have noted that full implementation of configuration tracking may be delayed as they prioritize build out of more critical components of the BES infrastructure. The ASI will work with DHS to solidify CM tool decisions. The project is currently considering replicating and improving on KOLEAS' CM approach which only tracks the most critical configuration items (e.g., firewall and other security configurations) and creating a CM database (CMDB). It remains unclear if the ASI will utilize ServiceNow. Currently in use at DHS) for their CMDB. The ASI is currently using Intuback for configuration tracking purposes. 9/29/21 - The ASI has stated their intention to make updates to the Configuration Management Plan. It is anticipated that the GCP will shift some configuration management responsibilities from the ES3 to the ASI. It remains unclear if the ASI is fully prepared to fully support configuration management.	9/9/2021 - RAP: We look forward to receiving specific inquiries from the IVV team on configuration management and having conversations. We do acknowledge that the plan likely needs to be updated to reflect the processes in place on the project for configuration management.	

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
65	Insufficient planning/execution of the BES Security Plan activities may lead to delay in gaining Federal Partner approval for the BES to begin the Pilot Phase.	Jeremy Riley	Finding - Ris	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 ASJ agreed to modify the Bi-13 Security Plan Deliverable Execution Document (DED) last month and are currently revising it to align to the requirements and changes to the project since inception.	The BES project must have a clear plan to define, implement, test, and validate all Security and Privacy 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 Policy, Standards, Controls, and Implementation plan along with evidence for each control.	OPEN - The ASI continue to develop the Bi13 Security Plan in close collaboration with DHS. DHS and the ASI agree upon the tools and process that will be used to document and track security control implementation, such as security governance, risk, and control (GRC software). The process should define the level of detail needed to track progress (estimates, target dates, risks, issues, evidence) along with the Requirement Traceability Matrix, and plans of actions and milestones (POAM). ASI add a Security Architect to the Project ASAP to assist with the Security Plan activities. ASM have a security SME attend the weekly security planning meetings and workshops. COMPLETE - DHS and the ASI agree and finalize the Bi-13 DED 1/4/22 Complete - ASI, per DHS guidance, should begin to pivot toward the adoption of 800-53 since Rev 4 will be obsolete when the system goes live. COMPLETE 3/31/2022 DHS should determine the FIS requirements for live based on their meeting and provide ASI with proper guidance. FIS requirements should be documented as part of Bi-13 Security Plan COMPLETE 3/31/2022	ASAP	4	3	High	Open	03/31/2022 - DHS has decided to use NIST 800-53 revision 5 moderate controls, and the ASI has been working on changing the control mappings in Conformance to the revision 5 standard. This significant effort is mitigated in part by the efforts the ASI already completed on the Rev 5 controls. The effort to define the security boundary of BES and the components that make up the system has taken a considerable amount of time and is incomplete. A security architect is essential to defining the security boundary of BES, however, the security architect position remains unfilled. Over the past month, no security SMEs from the ASI have attended the weekly meetings with DHS. The result is questions raised within the meeting not getting answered, and the response being deferred to the following week. 2/28/2022 - DHS and the ASI continue to populate the in-scope controls. There is renewed discussion regarding the use of Key's controls as required by the IRS, while Rev 4 controls are required by FIS. DHS continues to determine the FIS requirements for go live and FIS' timelines for security approval. 2/2/22 - The format of the security and privacy controls documentation in Conformance has been approved by DHS, and the ASI continues to work on populating the in-scope controls. The process for reviewing the controls implementation in Conformance has been refined and fields have been added to more accurately reflect the current status of each control. DHS has provided ASI with the latest SSA materials for the SITM and ASI has acknowledged that their work is based on the same. DHS is meeting with FIS on 2/2/22 to determine requirements for go live. 12/31/21 - The BES Security Plan DED has been approved, and work continues on the documentation of security controls. 11/30/2021 - The Bi-13 DED is not finalized as DHS has requested verbiage that explicitly states that federal approval is part of the acceptance criteria. The ASI believes that their contract already states that they must meet federal standards as 3/28/2022 - The ASI testing lead confirmed that an ADA tool has been selected for consideration and a demonstration held. Next step is to execute a proof of concept within the BES application. To mitigate this risk, the ASI stated that problems identified by a tool or through manual evaluation to Section 508 criteria for web applications can be easily rectified with little impact to development and schedule. 2/25/2022 - The ASI team identified a new ADA tool to conduct 508 compliance testing. While a demonstration is planned to confirm the tool can work with the BES architecture, the ASI has stated that if an appropriate ADA tool is not found, a manual ADA testing effort will be conducted along with the ASI's use of an accessibility validation tool used during development. 1/13/2022 - No further demonstrations or communication regarding the use of an ADA compliance tool occurred during the reporting period. Note that this finding is mitigated by the ASI using a desktop ADA compliance checking tool during development. 12/30/2021 - No further demonstrations or communication regarding the use of the Accessible tool occurred during the reporting period. It was communicated that the ports have been opened to allow the tool to be executed. However, the ASI reported that there was a configuration issue with the tool, which they are discussing with the vendor. While IVV remains concerned that there could be unknown impacts to existing code/page, the ASI is mitigating this by utilizing a desktop tool during development that scans code for compliance. Therefore, IVV has reassessed the criticality rating of this risk to medium. 11/28/2021 - The ASI demonstrated the capabilities of the Accessible tool as provided by the tool vendor. The demonstration showed that the tool can identify accessibility issues based on the chosen or configured rules. The ASI also generated a report to document compliance. It is not clear that this tool will work successfully with the architecture of the BES solution. IVV, 3/8/2022 - The positive trend of defects being detected and reported earlier in the SDLC continues. Using the updated design/development process has provided early identification of areas where design does not meet end user expectations and the ASI has adjusted the design to meet user needs and expectations. Coupled with the early inclusion of the DHS testing team and SMEs in the design process, improvement is noted by the IVV team. 2/25/2022 - The Project is monitoring Integration (INT) and System Integration Testing (SIT) defects, and the trend appears to be positive. The number of defects reported in SIT is much less than in INT, which is the expected trend. Additionally, the correction of defects appears to be timely and progressing positively. The go/no-go decision to move to future releases has not been held up because of a defect threshold greater than twenty percent. IVV will continue to monitor the number of defects identified for future releases and the trending of defect leakage from INT to SIT. 1/13/2022 - There has been no progress during this reporting period. FIS is monitoring this finding and plans to review the defect leakage KPI and remaining Release 0.6 and Release 0.7 metrics as they become available as a measure of the effectiveness of changes made based on the ASI's RCA. The ASI maintains that they have completed the RCA of the defects from Release 0.5 and feel no additional benefit will be gained. 12/30/2021 - The ASI does not plan to conduct a root cause analysis as recommended by IVV because the ASI believes it would be non-productive and negatively impact team morale. IVV disagrees; if a root cause analysis is facilitated correctly, it usually results in improved morale. If actions taken by the project leadership team do not address the root cause, there may not be a different outcome. The ASI reported, and the IVV team confirmed, that the SSP Release 0.5 defect leakage metrics has reduced, a positive indicator. IVV will review the remaining Release 0.6 and upcoming Release 0.7 testing metrics when they 03/28/2022 - There were no changes to the interface communication plans in this reporting period. 02/25/2022 - There were no changes to the interface communication plans in this reporting period. 01/28/2022 - There were no changes to the interface communication plans in this reporting period. Based on discussions with the ASI, two recommendations are complete. 01/01/2022 - No changes to the interface communication plans in this reporting period. The ASI and DHS have been progressing although there are 1 MOA awaiting approval and 3 unit test dates awaiting confirmation. Due to the recent project schedule change and the 19-month addition to the Go-Live date, IVV has changed the priority to Low. 11/29/2021 - No changes to the interface communication plans in this reporting period. IVV has concerns regarding the 120-day certification process for the IRS interface, the DIRM modernization phase, and the modernization of the tax interface from a flat file to a direct web service with DOTA. These new items may impact the project schedule, the existing process for the DHS Financial Management Office, and the functional designs for the FMM module. 10/28/2021 - The project team continues to update the communication plans. One interface contract (CVRCA) is still outstanding. There are 3 MOAs (DHS, IVV, NCA) still outstanding. IVV has recently been invited to interface meetings, which have been very productive. The ASI and DHS have made major progress in identifying interface partner contacts and planning for testing with them. Note - Since this risk only pertains to interface planning, IVV is evaluating the need for a separate finding regarding the implementation of interfaces. 09/30/2021 - The project team continued to update the communication plans. IVV conducted another review of the Communication Plans and found that 1 interface partner's contacts have not been documented, 3 MOAs have not been approved, 3 need unit test dates confirmed, 4 need system test and	9/9/2021 - RAP - The decision to move to GCF for deployment has driven the need for a complete rewrite of the security plan per DHS. The ASI is in the process of planning the effort to make these updates. The effort required to complete this work will be included in either the GCP change request or a new change request we look forward to additional discussions with IVV and DHS.	
						There is a contractual obligation and requirement for BES to be ADA compliant to obtain State and Federal funds for the development of the BES. The ADA Section 508 intent is to make electronic and information technology accessible to people with disabilities (e.g., color blindness, vision and hearing disabilities), in a way that is comparable to the access available to others. Part of the system acceptance criteria for BES is to meet "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 ASI 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." The Hawaii guidelines (https://www.hawaii.edu/leccc/un/guidelines-for-accessibility/), FIS 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.	1/31/2022 - The following recommendations will be evaluated for this finding. - The ADA tool meets contractual and project requirements. - The ASI communicates a plan for ADA test execution. - The ASI communicates how the tool will be used to report compliance and non-compliance and how non-compliance will be addressed/corrected. - The ASI communicates how and when DHS/IVV will be provided the reports from the ADA tool execution and how to interpret the results. Superseded 8/30/2022 - The ASI should gain DHS' approval on the tool selected after the ASI validates it will perform as expected within the BES architecture, meeting all contractual and project requirements. - The ASI create and communicate the plan for when the ADA compliance tool will be put into action, how the tool will report compliance or non-compliance, how non-compliance will be corrected, and how and when DHS/IVV will be provided the reports from the ADA compliance tool and how to interpret those reports for the code from previous, current and future releases.	As soon as possible	3	2	Med	Open	9/9/21 - RAP - The ASI has invited the IVV to make contact with the development team to review the results of the desk-top tool to gain insight. To date, the desk-top tool has not been contacted. The development lead have been asked to have further discussions on this topic.			
						While RD.3 and RDA 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 evidence of results to date. The ASI did state that they are coding to some of the ADA requirements and are using a desk-top tool for ADA compliance as an interim solution. IVV has not received any data to demonstrate the desk-top tool results nor if it provides coverage for all ADA compliance items.	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 RD.3 Sprint 3 there were 306 reported defects (4 High, 10 Medium, and 292 Low Severity) where 181 are "Unresolved", 108 are documented as "Not a Defect", and 17 are marked as "Done". Since the functionality had previously been Unit, System and Integration, and the needs of the state clarified during ADA sessions very few defects are expected. As such, the amount of testing expected to be completed during the current RD.3 will not be met and will be pushed to the next release. If that trend continues UAT will 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 ingest those corrects, and regression test the functionality additional risk exists to the planned schedule. At the end of RD.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 RD.3 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 indication to shorten the time needed to complete UAT.	- Adjust the project plan and provide reasonable scope for SIT in subsequent releases considering the number of defects and testing time needed. - The ASI report testing metrics and DHS should monitor this Key Performance Indicator (KPI). Note defect leakage has been reported and testing metrics are presented in a dashboard for each release. COMPLETE - If defect leakage worsens in the future releases, the ASI should consider a Root Cause Analysis (RCA) with DHS and IVV to identify and take corrective actions. COMPLETE - Perform a joint Release 0.4 UAT (DHS/ASI/IVV) Root Cause Analysis (RCA) to identify and take corrective actions. 10/28 Complete - Validate all UAT defects are retested in SIT to ensure they are included in Regression Testing. 10/5 Cancelled - Execute System and Integration testing more rigorously. 1/4/22 Complete - FOD's to be complete and frozen prior to the completion of SIT and that completion of FOD'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	7/20/21 RAP - In response to the specific recommendations, we are taking the following actions: Recommendation 1: We will perform a RCA led by the testing leads this month. Recommendation 2: In progress, we are currently planning to integrate the UAT and SIT teams into a single team that will participate in a joint INT and SIT test. UAT will be reserved to FAT. Recommendation 3: All UAT defects are retested in both INT & SIT before they are released. Most will likely not become good regression candidates.	
66	The lack of early planning and coordination with interface partners may result in schedule delays.	Earl Burba	Finding - Iss	3/29/2021	Testing	The number of issues/defects found during testing may cause planned work in the future releases to be delayed due to the disruption and retesting of issues/defects.										
63	Schedule delays	Al Pangelinan	Finding - Ris	1/17/2021	Management	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 AP 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.	Interfacing is one of the areas where OD 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 milestones 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.	OPEN 5. Complete all MOAs and obtain approval. 6. Confirm testing dates with interface partners in writing. COMPLETE 1. Establish a communication plan for each interface partner for the duration of the BES OD activities. 10/29 COMPLETE 2. Identify and document all interface partners' contacts. COMPLETE 3/31/2022 3. Define a release schedule for each interface to include milestones dates, coordination, and execution and share with the interface partners. 01/04 COMPLETE 4. Determine which deliverable will include the details associated with the peripheral connectivity and detailed technical designs of all interfaces. 01/04 COMPLETE	Q4 2021	4	1	Low	Open	03/28/2022 - There were no changes to the interface communication plans in this reporting period. 01/25/2022 - There were no changes to the interface communication plans in this reporting period. 01/28/2022 - There were no changes to the interface communication plans in this reporting period. Based on discussions with the ASI, two recommendations are complete. 01/01/2022 - No changes to the interface communication plans in this reporting period. The ASI and DHS have been progressing although there are 1 MOA awaiting approval and 3 unit test dates awaiting confirmation. Due to the recent project schedule change and the 19-month addition to the Go-Live date, IVV has changed the priority to Low. 11/29/2021 - No changes to the interface communication plans in this reporting period. IVV has concerns regarding the 120-day certification process for the IRS interface, the DIRM modernization phase, and the modernization of the tax interface from a flat file to a direct web service with DOTA. These new items may impact the project schedule, the existing process for the DHS Financial Management Office, and the functional designs for the FMM module. 10/28/2021 - The project team continues to update the communication plans. One interface contract (CVRCA) is still outstanding. There are 3 MOAs (DHS, IVV, NCA) still outstanding. IVV has recently been invited to interface meetings, which have been very productive. The ASI and DHS have made major progress in identifying interface partner contacts and planning for testing with them. Note - Since this risk only pertains to interface planning, IVV is evaluating the need for a separate finding regarding the implementation of interfaces. 09/30/2021 - The project team continued to update the communication plans. IVV conducted another review of the Communication Plans and found that 1 interface partner's contacts have not been documented, 3 MOAs have not been approved, 3 need unit test dates confirmed, 4 need system test and	7/20/21 RAP - The ASI team requests that the IVV 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 leaving the schedule risk, b) the increase from Medium to High in May was based on a misunderstanding of outstanding. There are 3 MOAs (DHS, IVV, NCA) still outstanding. IVV has recently been invited to interface meetings, which have been very productive. The ASI and DHS have made major progress in identifying interface partner contacts and planning for testing with them. Note - Since this risk only pertains to interface planning, IVV is evaluating the need for a separate finding regarding the implementation of interfaces. 09/30/2021 - The project team continued to update the communication plans. IVV conducted another review of the Communication Plans and found that 1 interface partner's contacts have not been documented, 3 MOAs have not been approved, 3 need unit test dates confirmed, 4 need system test and	

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61	Poorly executed JAD and design sessions could lead to inaccurate design and rework.	Brad	Finding - Iss	11/30/2020	System Design	ASR-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 lead 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 ASR 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 JAD sessions, specifically: (1) Do the JAD participants understand how the Case will be managed through workflow? (2) What improvements will be made in the new BES to support the users and clients? Incomplete or unclear JAD sessions with insufficient documentation could lead to a poor design, lacking the details needed to support business requirements, as well as missing opportunities to improve workflow and related system design.	- JAD and design sessions should be lead by experienced senior RAs, with goals, objectives and results communicated to all participants. - The facilitator should use their expertise to drive discussions through leading questions. - The DHS and ASR 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 ASR should back track significant differences in design direction to determine the root cause to identify these items as early in the SDLC as possible. COMPLETE - The Product Owners should have more direct interaction with the development team, proactively seeking collaboration. 10/5/21 Complete - The Functional Design Document process, to include the Design Sprint concept, should be clearly defined and shared with all project team members. (Closed, 1/13/2022) - Invite NVV to all future design sessions and design sprints to allow NVV to observe and assess the effectiveness of the revised design processes. (Closed, 1/13/2022) - ASR and DHS should work together to vet the in-progress design with all SMEs for the area of focus. (being met by new design sprint process, closed 2/28/2022)	ASAP	2	5	Med	Open	3/30/2022 - DHS and ASR continue to ramp up design sprints, with positive movement in addressing this finding's open recommendations. NVV has observed some challenges, including Business Analyst confusion around Use Cases and needing to backtrack as new participants join design sprints mid-flight. Additionally, the ASR facilitators have stated the JAR/JAD notes from those sessions are not useful, which results in the project team revisiting requirements definition efforts already completed. Prototypes of more complex Use Cases in coming weeks should provide a clear picture if designs are meeting DHS business needs. 2/28/2022 - The Project adapted the recommendation to include DHS SMEs in the design process. DHS and NVV have observed improved DHS/ASR team collaboration and design session results. NVV notes that DHS may be taking on more responsibility than expected by leading some of the design sessions. The next step is to observe/review the results of the sprint prototypes to determine if the number of key issues raised by the stakeholders are reduced. 1/31/2022 - Based on progress by ASR, two of the recommendations are complete. The revised Design Sprint process will kick-off on 1/31/2022, which both ASR and DHS hope will address many of the concerns called out in this finding. 12/31/2021 - NVV continues to observe misalignment between DHS and the ASR on design decisions made later in design sprint process - causing frustration on both sides of the conversation. The ASR and DHS started working on re-defining the design sprint process in this reporting period. NVV will look for improvements based on these changes that, hopefully, will reduce these misalignment concerns. 11/30/2021 - NVV continues to ramp up participation in design sprint meetings. NVV observed that new/replacement DHS POs, who were not involved earlier sometimes request a revisit of prior decisions, and in some cases, the replacement PO will have a different opinion on how to design the solution. NVV will 03/31/22 - The ASR has stated that system integration across the SSP, CMM, and FMM modules have been re-architected in a continuous integration model as part of the new schedule. The integrations start in Release 9 and complete in Release 15. However, the ASR had previously stated that integrations would begin as early as Release 5 and is using stubbed interfaces to mitigate this risk. 2/28/22 - The ASR plans to schedule integration tasks earlier in the project schedule and to 'stub' out integration interfaces that return relevant data that could mitigate this risk to some extent, therefore, NVV is reducing the criticality rating of this finding to 'Low'. Note - 'Stubbing' out interfaces can be an effective mitigation strategy when the implemented interfaces return sample data that can be consumed by calling modules during testing. 1/31/22 - The ASR has stated they continue to make progress in integrating their teams to assure integration points are effectively and efficiently addressed. The ASR has also stated that they have moved up some integration tasks in the schedule to further mitigate this risk. 12/31/21 - The ASR delivered an updated BES project schedule on 12/20/2021. NVV will review the schedule to assess any updates that may impact this finding. 11/29/21 - The ASR stated that communications between their development teams have improved, and as a result, moved some integration components into earlier releases. However, most of the integrations are scheduled for implementation shortly before go-live based on the project schedule. 10/28/21 - Improved communication between the ASR's development teams is improving each team's understanding of integration requirements and impacts to each team's code base. Therefore, NVV is lowering this risk criticality to Medium. However, NVV remains concerned that implementations of some integrations will occur in later releases which could lead to unexpected issues and leave the project little time to correct these issues. 8/28/21 - The ASR has stated that they will 3/30/2022 - When Release 6 final test results are published, NVV will re-evaluate this finding. 2/28/2022 - NVV continues to review the Release 6.6 test results and available metrics. The initial results show a positive trend, which is encouraging since Release 6.6 has the most complex functionality developed and tested by the project team to date. If the number of defects attributed to design remain low throughout Release 6.6 testing, the focus of this finding will be addressed. 1/31/2022 - Based on ASR and DHS testing and defect validation progress, NVV's root cause recommendation is complete. If remaining testing for all sub-releases in Release 6.6 shows a low cause of defects from design, the primary concern of this finding should be addressed. 12/31/2021 - The completion of Release 6.6 testing should provide clarity on overall defects, specifically on those related to system design. Results consistent with already completed SSP testing for Release 6.6 could address the scope of this finding. 11/30/2021 - The results of the system test for release 6.6 showed a significant reduction in defects compared to prior releases, which could reflect improvement in the quality of deliverables. NVV will review the root cause analysis when provided by the ASR. 10/31/2021 DHS testing team reported inconsistencies between wireframes and Functional Design Documents, causing challenges in creating test cases and resulting in defects in development. NVV and DHS are concerned that as the project moves to larger and more complex releases, these quality issues could negatively impact the project. NVV values a new recommendation that the ASR focus on addressing these inconsistencies. 9/30/2021 - No material updates in this reporting period. The ASR reported in April 2021 that they would publish proposed quality metrics, but this has not occurred. NVV is concerned with the lack of evidence that the ASR is following the Quality Management Plan and will evaluate raising the criticality rating of this finding. 8/31/2021 - The ASR has indicated they do 03/31/22 - State leadership has rolled back most COVID mandates this month, however, most individual State departments have been given the option of not requiring their staff to work in-person. DHS will likely maintain remote work policies for the foreseeable future. NVV recommends DHS consider strategically requesting in-person meetings for discussions that can be significantly more productive in-person. 2/28/22 - The State of Hawaii is planning on eliminating most COVID mandates as of 3/5/22. In-person meetings could improve collaboration for design and other sessions, if the Project elects to increase in-person meetings. 1/31/22 - The ASR has reaffirmed that remote meetings are a less effective form of communication than in-person meetings and therefore, COVID continues to have a negative impact on the quality of some project activities, albeit difficult to quantify. 12/31/21 - Though Omicron COVID cases are surging, the project has indicated they do not plan to make changes to current protocols and do not expect this surge will materially impact the project. 11/29/21 - The ASR has transitioned their team from working remotely to primarily working in-person at Honolulu office as of October 2021. It remains unclear whether the new COVID variant (Omicron) will disrupt project activities. 10/28/21 - No material updates in reporting period. 9/29/21 - No material updates in reporting period. 8/30/21 - The ASR has recently reported they will be closing their offices for at least 2 weeks given the escalating number of COVID cases. As work will be ongoing, they do not expect significant impacts to productivity. 7/27/21 The ASR has reported that their off-shore (India) team is back to full strength again after having some challenges with COVID. NVV remains concerned that some communications between the project team could be hindered due to not being able to work in close proximity. NVV recommends project leadership continue to encourage independent phone conversations to enhance and accelerate communications, and for team members not want for meetings to converse.	ASAP	2	2	Low	Open	9/29/21 RAP - The NVV does participate in many facets of the design process including screen mock-up reviews, backlog grooming sessions, and Sprint demo's. Product owner discussions are meant to have limited participation. The team is concerned about the participation of the NVV for two main reasons: 1) NVV does not always stay silent in discussions on design despite assurances from the NVV that it is not their role, and 2) NVV participation typically drives what is meant to be informal processes to more	7/30/21 RAP - Integration of the core modules (SSP & CMM and CMM & FMM) will continue to evolve in future releases. NVV will demonstrate the first integration points between CMM & SSP. This is now four releases before the final planned development release. Similar interfaces between CMM & FMM. Current will begin in Release 7, 3 releases before the final development release. The ASR team is mitigating the risk stated by the NVV in 3 ways: 1) gaining agreeable commitment from both development teams on the integration methods, and service
						System Integration of the BES Modules (CMM, FMM, SSP) will be developed in the later releases v. a continuous integration model within each release which may cause schedule delays.	Failure to perform integration testing and/or proof of concept integrations early in the development effort could lead to unexpected design and technical complications as well as bugs in go-live approaches and lead to unexpected delays. A big bang integration strategy towards end of development could result schedule slippage if components do not integrate as expected and additional testing time is required once repairs are completed.	- Prioritize the build and testing of integration points to assure integrations occur early (end-of-end testing) meet expectations throughout development instead of waiting to perform them for the first time as go-live approaches. - The ASR plan and communicate the mitigation strategy for handling risks associated with their integration approach.	N/A	2	2	Low	Open	7/30/21 RAP - The ASR team will review and respond to this issue again when a material update is made by the NVV. We also recommend the rethinking of the first recommendation based on the assessment from the NVV that this is a low risk. The tone, tenor, and substance of that recommendation is out of step with a risk perceived by the NVV for a number of months now to be low. 4/23/21 rap - The ASR team agrees that the full embrace of the Confilience tool has improved the deliverable management process.	7/30/21 RAP - The ASR team will review and respond to this issue again when a material update is made by the NVV. We also recommend the rethinking of the first recommendation based on the assessment from the NVV that this is a low risk. The tone, tenor, and substance of that recommendation is out of step with a risk perceived by the NVV for a number of months now to be low. 4/23/21 rap - The ASR team agrees that the full embrace of the Confilience tool has improved the deliverable management process.						
49	Poor quality project deliverables may impact system design, testing artifacts and the project schedule.	Brad	Finding - Iss	4/16/2020	Project Management	In April, four Bi-10 design deliverables and one Interface Control Document deliverable were submitted for client 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 logged this issue in the Project Issue Log for corrective action by the ASR. The ASR acted by conducting an internal root cause analysis and provided DHS and NVV the high-level results.	The staff time spent on reviewing deliverables is exceeding the plan for all project entities and has caused schedule delays due to the associated rework needed for remediation. If poor quality deliverables continue to be produced and submitted for review, this can continue to result in unproductive use of time, unanticipated rework, misguided development and testing activities, potentially unfulfilled functionality, and additional schedule delays.	- NVV recommends that a facilitated root cause analysis be performed by the ASR with DHS and NVV in attendance. Quality issues are rarely generated by a single entity in a project, so there could potentially be multiple causes or root causes of this current condition. Once the root cause(s) are identified, NVV recommends immediate action be employed to resolve quality concerns on in-process deliverables prior to submission of subsequent deliverables. (Closed 7/30/2021 - ASR reviews its Quality Management Plan to ensure that the Project is working within the guidelines of this Plan document. In particular, the ASR should evaluate and consider if it is in alignment with Section 3.1.2 Measure Project Quality, which states, ASR measures process and product quality by 1) selecting BES implementation processes 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. NVV has not seen evidence indicating the ASR is utilizing metrics to measure its process and product quality. - ASR verifies that the information in design and testing artifacts is kept in sync and consistent. - ASR perform a root cause analysis with DHS and NVV in attendance to determine the source of the design defects. (closed, 1/31/2022)	Immediate	2	2	Low	Open	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.	7/30/21 RAP - The ASR agrees that COVID at this time is likely a low risk to both schedule and budget for the project despite some increases related to the delta variant. The ASR team continues to maintain social distancing in the office in line with State mandates. However, the team has essentially reached the new normal in Honolulu. This is due to fewer resources travelling and more conference calls; however, the project has adjusted to the lack of in-person meetings. As long as off-shore offices, we still have staff working from home. We expect						
						The COVID-19 pandemic and the related "stay at home" order could hinder project activities and negatively impact the project schedule and budget.	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 lose 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. Unclear 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/Skype). - Complete - Suggest the project and DHS create a detailed, documented risk mitigation strategy to plan for the possibility of the project being 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 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 BESOD SME's work on the project. - Complete - Project leadership continue to encourage independent phone conversations to enhance and accelerate communications, and for team members not want for meetings to converse.	ASAP	2	2	Low	Open	06/30/2020 - Office opening may be delayed until September/October. TBD.	7/30/21 RAP - The ASR agrees that COVID at this time is likely a low risk to both schedule and budget for the project despite some increases related to the delta variant. The ASR team continues to maintain social distancing in the office in line with State mandates. However, the team has essentially reached the new normal in Honolulu. This is due to fewer resources travelling and more conference calls; however, the project has adjusted to the lack of in-person meetings. As long as off-shore offices, we still have staff working from home. We expect						

ID	Title	Reporter	Finding Type	Identified Date	Category	Observation	Significance	Recommendation	Event Horizon	Impact	Probability	Analyst	Finding Status	Status Update	Client Comments	Vendor Comments
43	DHS PMO project team members have transitioned off the Project, which may cause gaps in knowledge transfer and leadership on the Project.	Ryan	Finding - Iss	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 off 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 DOI and KOLA Modifications, and planning efforts for BES Maintenance and Operations activities.	2/28/2022 - DHS consider other options (Contractors, State employees borrowed from other agencies) to fill these positions if there is ongoing difficulty in finding permanent hires. 5/31/2021 - DHS continue to work with the appropriate organizations to identify the funds necessary to fill these positions. - In progress. The state should document a transition plan for the project and PMO resources as identified in the RFP (reference RFP section 3.4.4.3 "DHS Staffing"). The plan should include the possible COVID-19 economic impact to the state budget, directly in relation to the project resources. - Closed. 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	3	5	High	Open	3/31/2022 - DHS continues to recruit for these positions but received minimal interest to date. 2/28/2022 - DHS posted the PMO positions but are having difficulty identifying candidates. While online metrics show there is interest and the positions are being viewed, as of this date, there has only been one application. 1/28/2022 - No material updates in this reporting period. 12/10/2021 - No material updates in this reporting period. 11/26/2021 - No material updates in this reporting period. 10/31/2021 - No material updates in this reporting period. 9/30/2021 - The BESDO Administrator, serving as the interim DHS BES Project Manager, resigned from DHS. To mitigate the knowledge and leadership risk, DHS facilitated the DHS BES Project Manager with a contractor possessing extensive BES project experience. The Assistant BESDO Administrator will provide an active decision-making role in the project. IVV will monitor the impact of the project management changes. The remaining DHS PMO positions continue to be unfilled. 8/10/2021 - No material update in this reporting period. 7/28/2021 - No material update in this reporting period. 6/30/2021 - No material 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 BESDO staff, they were split during this reporting period to accommodate different status updates and critically ratings. The BESDO staff are now in finding #465. 01/31/2021 - DHS assigned several BESDO 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 03/31/22 - The ASI has onboarded a new Lead Architect which will be responsible for managing the system infrastructure which should improve clarity around governance, capabilities of the different infrastructure components and how they will be utilized. The strategy for a portal integration has been agreed to by DHS DOT, MDO, ASL, and ISL, and communicated to the architects and project leadership. The Change Request has been distributed to DHS leadership for review and approval, the related project decisions have been lagged, and the high-level architecture is available to the project team. 2/28/22 - IVV remains concerned that details of the proposed change requests have not been fully communicated to all project stakeholders. If DHS is not able to fund these changes, stakeholders could be left with little time to respond if exclusions are discovered late into the development phase. The ASI has stated they are close to onboarding a new lead architect. However, this resource will likely roll off the Project after 6 months. 1/31/22 - The ASI has yet to fully share and vet details of key change requests with all relevant stakeholders. The ASI plans to review these details with PACAIA (subcontractor) in the coming weeks. 12/31/21 - Details of the outstanding draft Change Requests (CRs) have yet to be fully shared and vetted by all stakeholders and project impacts remain unclear. Delays in providing these details could leave the project and stakeholders little time to react to significant architecture or other CR changes. 11/29/21 - The ASI reported progress in finalizing details of the Two Portal and GCP change requests (CRs) and vetted several key details with DHS. They are also working to finalize some of the architecture components. However, the project team has not yet fully shared the details of the CRs with DHS. 10/28/21 - IVV remains concerned with the significant delays in finalizing the Two-Portal, GCP, and Rescheduling change requests (CRs). The Rescheduling CR was previously tracked as the KOLA ATC CR. 03/31/22 - The Project appears to be making strides in implementing and refining their new SOLC process, though SMS has indicated the process requires a significant amount of their time and participation in the Project can take away from their operational duties. DHS provided feedback to IVV that the lack of senior Business Analysts (BA) is causing confusion in the design process and ASL's lack of expertise to design the user interface may result in a cumbersome design. IVV remains concerned that some design sessions are being led by junior resources without the support of more experienced BA's. 2/28/22 - IVV remains concerned that the new SOLC process may become resource intensive for DHS SMEs, who may struggle with implementation, which could hinder productivity and lead to schedule delays. 1/31/22 - The ASI and DHS are revising their current SOLC/Design process to improve, among other things, overall effectiveness and assure important details are vetted by appropriate stakeholders. Given that the estimated duration for each case averages 15 days, it remains unclear if the new process will lead to schedule delays. 12/31/21 - The project team is updating existing design processes due to numerous issues with design accuracy, which is delaying final approval. These issues may have been the result of a lack of stakeholder understanding of the DOI approach. It remains unclear what delays have been realized due to these issues. 11/2/21 - The ASI has reported that their new testing approach has reduced DHS' material level of effort to support testing and streamlined the overall effort. DHS has reported that some of their product owners (POs) may have been put in a position (by the ASI) to provide final approval of decisions without a proper understanding of what should be considered and vetted by other DHS stakeholders/SMEs. This has led to testing SMEs requesting changes to the finalized designs in the form of enhancements. DHS is making efforts to improve this process. Further it remains unclear to 3/31/2022 - The ASI reported most design sprints were completing 4 days earlier than planned. IVV observed instances where design queries were not completed as planned, functionality shifting to future releases or paused due to resource challenges. While a certain amount of delay would be expected for some sprints due to the new process, it remains unclear if/where delays will occur in future sprints and what the effect those will have on the critical path. The project team reported Release 7 development was underestimated and is anticipated to delay Release 7 System Integration Testing. It is not yet known how this delay may impact the current proposed go-live dates. The Project continues to meet regularly to discuss work in progress to anticipate and mitigate further project delays. 2/28/2022 - The updated target for DHS to approve the project schedule is early March 2022. To minimize further schedule and deliverable delays, the project team implemented update meetings for each of the major BES modules where detailed tasks and deliverable due dates are reviewed and mitigation actions identified, if necessary. 1/28/2022 - The Project continues to develop a new baseline schedule for DHS approval that addresses existing delays and changes to SOLC processes. The project team continues to use an unapproved version of the schedule to track tasks. Until a baseline is developed and agreed upon, there is no reference to determine if project deliverables are late for any release past Release 0.6. 12/30/2021 - The project is currently developing a new baseline schedule for DHS approval. The project team is using the prior version of the unapproved schedule to track tasks. Until a baseline is developed and agreed upon, there is no reference to determine if project deliverables are late. 11/24/2021 - The Project continues to demonstrate late deliverables. For example, CF Special Indicator and CMA Interim did not go into Release 6 System Integration Testing on schedule. As project deliverables slip, it may be an	02/08/2021 - Brian Donohoe does not agree with IVV's high-criticality rating for this finding (463) and DHS rolled out the DHS PMO Owner Roles and Responsibilities to the DHS team on January 28, 2021. (Gary provided the Final DHS Project Owner Roles and Responsibilities document to IVV on 02/08/2021). 06/30/2020 - Mark Choi is becoming more involved in the project. Involved in Arch decisions and PMK decisions around toolsets, future vision, etc. Day to day PM working closely w/ Gary and Emerald. We have no insight into other DHS staffing.	4/23/22 rap - The ASI and DHS continue to refine the final plan for the two portal vision. We expect that final decision will likely be made during this reporting period and communicated to the project. The ASI refers the IVV to our February update regarding Recommendation #3. From our perspective all necessary actions are complete. If the IVV does not believe it is Complete we request supporting detail.
49	Uncertainty and/or a lack of communication around long term architecture decisions could impact the project budget, schedule, system design, and planning decisions.	infors	Finding - Iss	5/18/2018	Project Management	Some platform and BES system architecture decisions have yet to be made and solidified to the project. For example, the ASI and DHS have stated that they have reached agreement that the project will move forward with implementing two Siebel instances (one for KOLA, one for BES), but this is not currently reflected in the project change log or the project decision log. It remains unclear if the details of the rationale for this decision or the plan for integrating the two instances post go-live have been thoroughly vetted and/or documented. Further, there may be some uncertainty around whether/when all environments (including KOLA 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 KOLA and BES are to move to a single instance of Siebel in the future, planning for that integration should be incorporated into the project now, 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 should finalize the Portal strategy and implementation details and communicate clearly communicate out to stakeholders and project teams. Complete 3/31 - The Project should continue to vet possible architectural change impacts to the platform (e.g., AOA, Configuration Management tools), Manad, MDO, and BES systems before finalizing architectural decisions. - 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 comprehensive understanding of the implications of these decisions. - The Project should continue to ensure communication between development leads and architecture leads to assure optimal collaboration planning for that integration should be incorporated into the project now, 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. - 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.	ASAP	2	2	Low	Open	06/30/2020 - Combined application is still planned. Any still not finalized by DHS. From Arch perspective we are building in Library. Future integration of the portals is still to be determined, but is not more complex than anticipated originally planned for data sharing. If change is made to Adobe, this would require a CR.	4/23/22 rap - The ASI and DHS continue to refine the final plan for the two portal vision. We expect that final decision will likely be made during this reporting period and communicated to the project. The ASI refers the IVV to our February update regarding Recommendation #3. From our perspective all necessary actions are complete. If the IVV does not believe it is Complete we request supporting detail.	
29	System design, and planning decisions.	infors	Finding - Iss	5/18/2018	Management											
16	Lack of clear understanding of the DOI approach may reduce effectiveness of JAR and JAO SOLC Processes.	infors	Finding - Iss	12/17/2018	Configuration and Development	Several DHS stakeholders have commented that the SI Design, Development, and Implementation (DOI) approach is unclear. While stakeholders can observe SI activity and have participated in some SI activities, they do not understand how it all fits together and some activity objectives seem unclear. The SI conducted a DOI approach overview session during an initial JAR session, however not all stakeholders were present. IVV did not locate any DOI 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 DOI approach and project activity objectives may reduce the effectiveness of JAR and JAO sessions as well as other BES project activities and decisions.	OPEN - ASI make available their DOI 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. COMPLETE - ASI provide an additional DOI approach overview session for stakeholders who still may be unclear on elements of the methodology, especially new product owners. Complete 8/27/2021. In PROGRESS: Despite not yet having a revised baseline schedule, continue monitoring and analyzing deliverables that may have impact to the critical path. COMPLETE 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, 7/29/2021, 12/10/2021 - DHS and the ASI agree to a revised schedule against which project deliverables can be managed. 8/10/2020 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. - Closed 3/31/2020 - Add all tasks that have been performed or planned to be performed in the interim schedule. Closed 3/30/2020 - effective 1/31/2020 The ASI is no longer maintaining the interim schedule. IVV recommends that the ASI complete the Project Management Plan deliverable, with DHS and IVV for review. The project team continues to use the interim schedule, which will help ensure that all processes within the project management entity are	1/31/19	3	3	Med	Open	1/7/19: Note. During the 01-02-18 [sic] status meeting, DHS did not decline the offer and made suggestions. To my understanding, Unity offered to present the orientation during each JAO session. It was suggested by DHS that the pre-JAO packet be placed in the SharePoint project site. For new participants in the JAOs, a separate orientation before the JAO should be held for those new participants.	4/23/22 rap - The ASI continues to refine the final plan for the two portal vision. We expect that final decision will likely be made during this reporting period and communicated to the project. The ASI refers the IVV to our February update regarding Recommendation #3. From our perspective all necessary actions are complete. If the IVV does not believe it is Complete we request supporting detail.	
2	Late delivery of project deliverables has caused schedule delays.	Ryan	Finding - Iss	11/28/2018	Project Management	Based upon the project schedule dated 11/26/18 (refer to schedule for specifics), several due dates for project deliverables have been missed. As of the date of this report, these deliverables include the Project Management Plan (PMP), which is the formal document that is used to manage the execution of the project. In some instances, this risk may be compounded by a backlog of Deliverable Expectation Documents (DED) requiring approval and acceptance from the State.	Late deliverables can lead to schedule impacts and too many late deliverables may cause significant disruption to schedules or delays. **GLO**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.	will help ensure that all processes within the project management entity are	TBD	4	5	High	Open	Integration Testing on schedule. As project deliverables slip, it may be an	4/23/22 rap - The ASI and DHS continue to refine the final plan for the two portal vision. We expect that final decision will likely be made during this reporting period and communicated to the project. The ASI refers the IVV to our February update regarding Recommendation #3. From our perspective all necessary actions are complete. If the IVV does not believe it is Complete we request supporting detail.	