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March 19, 2024

The Honorable Ronald D. Kouchi President of the Senate and Members of the Senate Thirty-Second State Legislature State Capitol, Room 409 Honolulu, Hawai'i 96813 The Honorable Scott K. Saiki Speaker and Members of the House of Representatives Thirty-Second State Legislature State Capitol, Room 431 Honolulu, Hawai'i 96813

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

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

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

Sincerely,

Douglas Murdock Chief Information Officer State of Hawai'i

Attachments (2)



Hawaii Department of Human Services Systems Modernization Project

Final IV&V Status Report for Reporting Period: February 1 – 29, 2024

Submitted: March 14, 2024



Solutions that Matter

Overview

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- <u>IV&V Findings and Recommendations</u>
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Solutions that Matter

Executive Summary



Executive Summary



The ASI published a draft "Go-to-Green" Plan this month, which proposed a six-month delay to implement BES. It also documented the root causes of the delay and presented a new approach to complete the Project within the extended timeline. Main points in the draft Go-to-Green Plan include:

- The ASI will assign more experienced staff to resolve critical defects (to address code quality issues resulting in defects, schedule delays to conduct the Sprint and Epic demos to DHS, and the completion of Integration Testing).
- The ASI will add developers to their team to reduce the development time of integrating Hana/BES (The scope is larger than expected due to the realization that the solution requires integration rather than a data interface as originally planned).
- The ASI also proposed a phased implementation approach that will offer the BES functionality in three major releases:
 - **Phase I** The Pilot Rollout will contain the revised core BES functionality agreed to by DHS and the ASI. The Phase I Pilot is planned for July 22, 2024, to October 19, 2024, with Go-Live on October 28, 2024.
 - **Phase II** The Statewide Rollout will add reports and interfaces to the functionality provided in the Pilot Rollout. The Phase II functionality is included in the October 28, 2024, Go-Live.
 - **Phase III** The Post Statewide Rollout will add the security Enclave and related IRS and SSA interfaces to the Statewide Rollout. The Phase III Go-Live is planned for February 24. 2025.

The phased approach may add complexity to the BES implementation on a project that is realizing disconnects in requirements and design. Additionally, this approach may require additional staff and processes to manage user training, defect identification and resolution, any additional required infrastructure, and communication regarding workarounds. As DHS and the ASI finalize the revisions to the approach and schedule, IV&V will evaluate with the project team new potential risks and/or adjustments to the existing risks and issues.

Executive Summary



Dec	Jan	Feb	Category	IV&V Observations
M	E	•	Project Management	The ASI published a draft Go-to-Green Plan, currently under review by DHS, FNS, and IV&V. The Plan may increase implementation complexity by separating key functionality into three Roll-out Phases.
M	M	(M)	System Design	The ASI was focused on developing the draft Go-to-Green Plan so there were minimal design activities in this reporting period. However, DHS identified new issues with eligibility design, meaning the ASI should include slack in the schedule to mitigate future delays.
	M		Configuration and Development	The draft Go-to-Green Plan highlighted code quality issues as a root cause of the development and schedule delays. The ASI reported the draft Go-to-Green Plan addresses these issues going forward.
M	H	H	Integration and Interface Management	Issues within the Integration and Interface Management category are causing schedule delays. The ASI and DHS will need to resolve these issues and maintain a high level of visibility into the detailed interface activities to avoid a future schedule or functionality delay.
Ð	H	H	Testing	Progress continued during the reporting period to complete the Release 0.12 System Integration Testing (SIT) test scripts; a majority of the test scripts remain incomplete. If DHS approves the proposed multiple phases of implementation, the complexity of testing while implementing, along with defect resolution, adds additional coordination to all aspects of this project.
Ĥ	H	H	Security and Privacy	The delivery date for the outstanding technical documentation needed for the System Security Plan (SSP) was delayed from the end of February into early March. As the technical documentation and 3rd Party Security Assessment must be completed before the Pilot, the security effort remains a risk.

As of the February 2024 reporting period, PCG is tracking 10 open findings (4 risks, 6 issues) and has retired a total of 74 findings. Of the 10 open findings, 5 are High, 3 are Medium, and 2 are Low.



The following figure provides a breakdown of the 84 IV&V findings (positive, risks, issues, concerns) by status (open, retired).





Findings Retired During the Reporting Period

#	Finding	Category
T	Risk – Changes required to incorporate the Federal Tax Offset Program (TOP) interface within the Secure Enclave may not occur before the BES Pilot.	
90	DHS and the ASI determined that the TOP files do not need to be routed to the Secure Enclave. The TOP address information will be in the Secure Enclave, with the remaining TOP data integrated into BES as designed. In addition, the ASI draft Go-to-Green plan changed the implementation of the interface from the initial pilot to the statewide release, allowing the ASI more time to develop and test this interface, therefore this finding is retired.	Integration and Interface Management



Preliminary Concerns Investigated During the Reporting Period

# Finding	Catego
None	



Findings Opened During the Reporting Period



Project Management

#	Key Findings	Criticality Rating
74	Issue – A BES Project schedule based on inaccurate estimations diminishes effective planning and resource management, which could result in late deliverables, cost increases, and a late go-live. The Project has experienced many delays, the most recent of which was a four-week delay announced the end of January with the draft Go-to-Green Plan adding another six months.	۲
Re	commendations	Progress
•	Monitor, evaluate and revise scheduling estimates for accuracy.	In Process
	ASI provide details on how Velocity measures were used to develop estimations for development effort in new version of DDI schedule	Incomplete
	ASI conduct a Root Cause Analysis (RCA) with DHS and IV&V to determine why the BES Project Schedule continues to be impacted by unanticipated work.	Not Started
	ASI Project Management work with development teams to confirm the accuracy of Velocity to reduce risk in the new project schedules.	Not Started

Project Management

#	Key Findings	Criticality Rating
	Risk – Implementing a Core Solution for go-live carries inherent risks that may impact overall project success and reduce user adoption.	
88	The ASI drafted a Go-to-Green Plan that includes an October 2024 Go-Live date, with several features to be released after the Pilot. Implementing the functionality of a core solution not tested in a real-world Pilot environment may lead to unexpected issues and bugs. IV&V remains concerned that user expectations will not be fully met as the go-live system will be missing functionality that could be important to many users.	М
-		-
Ree	commendations	Progress
	ncrease OCM efforts to effectively manage user, general public, and legislative expectations for BES version at go-live.	In process
	Prioritize feedback from users and FNS to ensure the solution meets their core needs and so users are clear on what features they are, and are not, getting.	In process
C	Actively monitor, assess, and address potential challenges throughout the development process including code quality, cutting scope to meet development milestones, insufficient user validation of demonstrated functionality, and fully defined workarounds to accommodate for the missing functionality.	In process
١	DHS carefully assesses whether the advantages of a timely release outweigh the advantages of going live with a system that provides more comprehensive functionality, requires fewer workarounds, and increases user satisfaction	In process



In process

Not started

Integration and Interface Management

#	Key Findings	Criticality Rating
63	Issue – The lack of early planning and coordination with interface partners may result in schedule delays. The MOU/MOAs were completed and the Interface Control Documents (ICD) are updated. The interface testing team did not produce the Testing Plan on February 16th as specified in the draft Go-to-Green Plan.	
Rec	ommendations	Progress

- Confirm testing dates with interface partners in writing.
- Complete early proof of concept interfaces to avoid unexpected delays due to external organization miscommunications or their own internal delays in assisting the BES project.

Configuration and Development

#	Key Findings	Criticality Rating
70	Risk – Insufficient configuration management could lead to development confusion and reduce the effectiveness of defect resolution. No material update in the reporting period.	t
Rec	commendations	Progress
	ASI adhere to plans for configuration management as documented in BI-6 DDI Plan, Section 5.2 and clarify letails and/or any changes with DHS.	In process
	ASI validate plans for configuration management with DHS and agree on a meaningful set of configuration tems or settings they will track.	In process
	DHS and ASI work to clarify/solidify plans for the potential use of configuration management tools and DHS work to fund and procure a CM tool, as required, to avoid any negative impacts to the project.	In process

Configuration and Development

#	Key Findings	Criticality Rating
80	 Issue – Development delays could negatively impact the project schedule and delay go-live. The ASI reported additional delays that will push out Go-Live to October 2024, based on the draft Go-to-Green Plan. The ASI reported the Root Causes of this delay include: Excessive defects Lack of Code quality with downstream impacts to include additional defects and critical blockers causing delays with Sprint and Epic demos and the completion of Integration Testing New requirements were identified for both the Hana/BES interface and Secure Enclave. The draft Go-to-Green plan includes reorganizing the development team to have more experienced developers focus on critical defects and consistent enforcement of development standards across all 	М
Reco	development teams and other process improvements.	Progress
Ve	SI effectively track and regularly provide DHS (potentially via the weekly DDI status meeting) with an accurate elocity (e.g., story points per day/week/month) and assure that the current velocity is accurately and possistently reflected in the project schedule.	In process
	ne ASI should provide DHS with the time needed to effectively evaluate the software demonstrations (demos) ad elicit productive design discussions with DHS attendees during each demo.	In process
	SI regularly reports estimated story points for the total remaining project work to reach go-live and presents a mamic burn-down chart to track the progress.	Not started

System Design

#	Key Findings	Criticality Rating
73	Risk – The planned BES infrastructure is complex which could be difficult to implement and maintain and could lead to schedule/cost impacts. No material update in the reporting period.	
Re	commendations	Progress
	ASI develop a process to closely monitor cloud and other product changes (software updates/new releases), manage changes, and regression test once updates are applied.	In process
	The project team work to establish strong governance over the utilization and maintenance of various tools/components.	In process
	ASI allot time in the schedule to conduct proof of concepts to assure infrastructure components work as expected.	In process
	ASI maintain a detailed schedule for DevOps implementation tasks to avoid unexpected delays that could delay project milestones and the critical path.	In process

System Design

Criticality **Key Findings** Rating Issue - Limited collaboration between the ASI and DHS in the design process could lead to BES usability issues and functionality gaps in the application and not meeting critical business needs for DHS and State clients. 86 One demo (Epic Demo 211) was held in February as the ASI focused on developing a Go-to-Green Plan for M the Project. DHS also raised concerns in Readiness meetings regarding a gap in design where eligibility is not forced to run when critical benefit data is modified on a case – which could also point to a gap in collaboration on key design decisions. Recommendations Progress Include a wide enough audience in all design and demo sessions to validate FNS and DHS functional and In Process technical requirements and system usability. Perform Sprint and Epic demos in alignment with development Sprint completion (demo Not ٠ Started functionality/requirements as they are developed) to get early feedback on work products. Perform comprehensive (demo all requirements) review during Epic demos, not just the items that were ٠ added/updated, allowing DHS to provide early feedback on possible issues/gaps that might not be apparent In Process when focusing on specific functionality.

 ASI and DHS re-evaluate the effectiveness of the recorded Sprint review process to ensure that designs align with DHS expectations.

Testing

#	Key Findings	Criticality Rating
	Issue – Gaps in test coverage and slower-than-expected progress in testing may result in schedule delays if subsequent test phases uncover a higher volume of defects and user feedback than initially anticipated.	
83	Entry into Release 12 SIT is delayed, the ASI is currently rescheduling the start date. A complete Release 12 SIT script package continues to be developed with 301 test scripts approved and ready for SIT and 886 test scripts pending review or in draft status. With a large number of test scripts pending and an undetermined SIT entry date, the risk of further delays remains high. Without the continuation of the comprehensive peer review of SIT test scripts, the risk of testing gaps remains high.	Ð

Recommendations	
Monitor INT/SIT closely for both breadth and depth of testing to ensure the system is adequately tested.	In process
 The project team reviews the SIT Entry and Exit criteria and revises them as needed to ensure UAT/FAT begins with the best system possible. 	In process
ASI should determine the root cause of the failure to identify simple defects in INT and SIT and implement effective improvement processes to confirm early testing is adequate before entering UAT/FAT	In process

Testing

#	Key Findings	Criticality Rating
	Issue – The current mitigation approach to complete the development of the remaining R0.12 Epics is condensed and aggressive and may increase the likelihood of schedule delays, quality issues, and a higher volume of testing defects.	
39	During the February 21, 2024, Weekly Project Status Meeting and February 28, 2024, BES Schedule Review Meeting, the ASI introduced the draft Go-to-Green Plan. However, edits to the Plan continue and final DHS approval is outstanding. The draft Go-to-Green Plan indicates an ongoing overlap of development and testing activities as functionality will be implemented during pilot and statewide rollout. System Development Best Practices recommend against overlapping testing phases because of the amount of rework and instability this causes to the project team and solution.	B

Recommendations	Progress
 Develop Contingency Plans if the mitigation plan continues to see slippage affecting INT and SIT. 	In process
 The ASI provides comprehensive INT results and SIT scenarios for incomplete Epics to DHS for review/approval ahead of SIT execution. 	In process
 The ASI release a detailed schedule of events, including development completion, INT start, SIT start for each epic covered in the mitigation plan. 	In process
 The ASI should evaluate if Epics entering SIT late might require retesting functionality that had already been tested 	In process
The plan to complete BES implementation does not include overlapping testing phases	In process

Security and Privacy

#	Key Findings	Criticality Rating
82	Risk – The lack of technical documentation may lead to incorrect implementation statements or delay the System Security Plan (SSP). The security staff resolved issues in the Google Assured Workloads services for the Secure Enclave. The ASI continues to remediate findings from the vulnerability and compliance scans on the environment and work through issues related to the Tenable Nessus credentialed scanning. The security team rescheduled the due dates for the supporting security and privacy documentation for the SSP and intends to be completed by March 4th, 2024. Since there is a proposed schedule change in the Project's Go-To-Green Plan, this finding remains a risk instead of being elevated to a realized issue.	

Recommendations	Progress
Determine when the infrastructure design baseline will be completed.	In process
Determine when documentation will be created, updated, and available for the SSP authors.	In process
 Collaborate and communicate with SSP authors about when reliable and correct documentation will be available. 	In process
 Perform a full review of all SSP controls for content and accuracy that have been written as drafts prior to the start of the Independent Security Controls Assessment of BES and submission of the SSP package to federal regulators. This will allow the SSP authors to update controls with changes from Design through Implementation. 	In process

IV&V Status



IV&V Engagement Status

IV&V Engagement Area	Dec	Jan	Feb	Comments
IV&V Budget				
IV&V Schedule				DHS and PCG are discussing the extension of the IV&V contract that currently ends in April 2024.
IV&V Deliverables				PCG submitted the final January IV&V Monthly Status Report.
IV&V Staffing	•			Erik Torring is departing the IV&V team and Donna Hackett has been presented to DHS as his replacement.
IV&V Scope				



HI Systems Modernization Independent Verification & Validation Monthly Report: February 2024

IV&V Activities



- IV&V activities in the February reporting period:
 - Completed January Monthly Status Report
 - Ongoing Review the BES Project Artifacts and Deliverables
 - Ongoing Attend BES Project meetings, (see <u>Additional Inputs</u> pages for details)
 - Reviewed available ASI contracts and contract amendments documentation
- Planned IV&V activities for the March 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 Monthly IV&V findings meetings with the ASI
 - Ongoing Monthly IV&V Draft Report Review with DHS, ETS and ASI
 - Ongoing Participate in Bi-Weekly DHS and IV&V Touch Base meetings
 - Ongoing Review BES artifacts and deliverables

Deliverables Reviewed



Deliverable Name	Deliverable Date	Version
BI-5 Project Schedule - BES 2023 Primary	02/28/2024,	N/A
BI-5 Project Schedule - BES 2023 DDI	02/28/2024	N/A
BM-09 BES M&O Migration Plan	2/12/2024	N/A
BI-29 Roll Out Plan DED	2/9/2024	N/A

Additional Inputs – Artifacts



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

Additional Inputs



Meetings and/or Sessions Attended/Observed:

- 1. IV&V Team Meeting 2/1/2024, 2/5/2024, 2/8/2024, 2/12/2024, 2/15/2024, 2/20/2024, 2/22/2024, 2/26/2024, 2/29/2024
- 2. IV&V September 2023 Pre-Draft MSR Findings Review 2/6/2024
- 3. HI DHS BES January Draft IV&V Report Review 2/13/2024
- 4. Bi-Weekly DHS and IV&V Touch Base 2/6/2024, 2/13/2024
- 5. Weekly BES Infrastructure meeting 2/2/2024, 2/9/2024, 2/16/2024, 2/23/2024
- 6. DHS/IV&V Check-in 2/1/2024, 2/29/2024
- 7. Weekly Client BES 2023 Project Status Meeting 2/21/2024, 2/28/2024
- 8. Security Touchpoint 2/7/2024, 2/14/2024, 2/21/2024, 2/28/2024
- 9. Weekly Data Conversion Workgroup 2/1/2024,
- 10. PMO End of Day Huddle 2/1/2024, 2/29/2024
- 11. (External Epic demo) Epic 211 Disability and Good Cause- 2/29/2024
- 12. (External) Weekly Interfaces Touchpoint 2/5/2024, 2/12/2024, 2/26/2024
- 13. (External) Readiness Working Group Meeting 2/6/2024, 2/13/2024, 2/20/2024, 2/27/2024
- 14. (External) Bi-Weekly Client BES 2023 Schedule Review/Status 2/28/2024
- 15. (External) Bi-weekly BES CCB Meeting 2/21/2024
- 16. (External) BES: FNS Connect 2/1/2024, 2/8/2024, 2/22/2024, 2/29/2024
- 17. (External) Testing Benefit Files from BES and HAWI- 2/22/2024
- 18. (External) Review Reports with MSO/R&S- 2/16/2024
- 19. (External) BM-09 Deliverable Discussion with IV&V-2/15/2024
- 20. FAT Touchpoint Meeting with IM 2/7/2024
- 21. (External-Epic Demo) Epic 247 Correspondence Priority 2, Set #2- 2/2/2024
- 22. (External) Testing DOTAX files and Processing Schedule-2/12/2024
- 23. (External) BI-29 Roll Out Plan DED Deliverable Response Review Meeting- 2/9/2024

Appendices





Appendix A – IV&V Criticality Ratings

 Criticality Rating
 Definition

 H
 A high rating is assigned if there is a possibility of substantial impact to product quality, scope, cost, or schedule. A major disruption is likely, and the consequences would be unacceptable. A different approach is required. Mitigation strategies should be evaluated and acted upon immediately.

 M
 A medium rating is assigned if there is a possibility of moderate impact to product quality, scope, cost, or schedule. Some disruption is likely, and a different approach may be required. Mitigation strategies should be evaluated and implemented as soon as feasible.

 Image: Comparison of the evaluated and implemented as soon as feasible.

 Image: Comparison of the evaluated 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



	Advance Planning Document Application System Integrator
ASI A	Application System Integrator
/ 101 /	
BES E	Benefits Eligibility Solution
CCWIS C	Comprehensive Child Welfare Information System
CM C	Configuration Management
СММІ С	Capability Maturity Model Integration
CMS C	Center for Medicare and Medicaid Services
CR C	Change Request
DDI D	Design, Development and Implementation
DED D	Deliverable Expectation Document
DHS H	lawaii Department of Human Services
DLV D	Deliverable
E&E E	Eligibility and Enrollment
EA E	Enterprise Architecture
ECM E	Interprise Content Management (FileNet and DataCap)
ESI E	Interprise System Integrator (Platform Vendor)
ETS S	State of Hawaii Office of Enterprise Technology Services
FIPS F	ederal Information Processing Standard
HIPAA F	Health Information Portability and Accountability Act of 1996
IDM I	Identity and Access Management (from KOLEA to State Hub)
	nstitute of Electrical and Electronics Engineers
	ntegrated Eligibility Solution
	nformation 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
РМО	Project/Program Management Office
PMP	Project Management Plan
QA	Quality Assurance
QM	Quality Management
RFP	Request for Proposal
ROM	Rough Order of Magnitude
RMP	Requirements Management Plan
RTM	Requirements Traceability Matrix
SEI	Software Engineering Institute
SLA	Service-Level Agreement
SME	Subject Matter Expert

Appendix C – Acronyms and Glossary

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

Appendix D – Background Information



Systems Modernization Project

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

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

Systems Modernization IV&V Project

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

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

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

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

Appendix D – Background Information



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

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

PCG's Eclipse IV&V® Technical Assessment Methodology

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

IV&V Assessment Categories for the BES Project

- Project Management
- Requirements Analysis & Management
- System Design
- Configuration and Development
- Integration and Interface Management

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



Solutions that Motter

HI DHS Monthly IV Status Report Final - February 2024

	Finding Identified				Analyst	Finding		
Title Reporter 89 The current approach to complete Torring, Erik	Type Date Category Finding 12/21/2023 Testing	Observation Significance Tag of the Entry scheduled for completion before Palace 0.13 CIT will get Contracting devices the device of the International Significance	Recommendation Event H - Develop Contingency Plans if the mitigation plan continues to see slippage Now	Horizon Impact Probability	y Priority 5 High	Status	Status Update Client Comments 2/22/2024 - During the February 21, 2024. Weekly Project Status Meetine	Vendor Commen
development of the remaining R0.12 epics is	Finding - 12/21/2023 Testing	Ten of the Epics scheduled for completion before Release 0.12 SIT will not be ready. To avoid SIT delays, the current approach is to begin SIT without Insufficient INT may create gaps in SIT, leading to further quality issues.	Bevelop Contingency Plans in the mitigation plan continues to see suppage Now is affecting INT and SIT The ASI provides comprehensive INT results and SIT	4	5 High	Upen	2/2/2/24 - During the February 21, 2024, Weekly Project Status Meeting and February 28, 2024, BES Schedule Review Meeting, the ASI introduced	
condensed and aggressive and may increase	12506	the 10 Epics and test them as they are completed. Additionally, Release 0.12 may increase the risk of significant delays or introduce defects into the					and detailed the draft Go-to-Green plan. However, edits to the plan continue	
the likelihood of schedule delays, quality		development that was extended two weeks from the scheduled end date has production environment. been extended for another ten business days.	execution The ASI release a detailed schedule of events, including				and final DHS approval is outstanding. The draft Go-to-Green plan indicates	
issues, and higher volume of testing defects.		been extended for another ten business days.	development completion, INT start, and SIT start for each epic covered in the mitigation plan The ASI should evaluate if Epics entering SIT late might				an ongoing overlap of development and testing activities as functionality will be phased into pilot and statewide rollout. System Development Best	
			require retesting functionality that had already been tested - The plan to				Practicer recommend on texting pharer be contained because of the	
			complete BES implementation does not include overlapping testing phases				reactions recommended in the standing produce or the impact of decision of the amount of rework and instability this causes to the project team and solution. 1/31/2024 -To mitigate the INT and SIT overlap and incomplete	
							solution. 1/31/2024 -To mitigate the INT and SIT overlap and incomplete	
							SIT test scripts, the ASI moved the start of SIT to February 2nd, with	
							Informal '50 continuing in January. Despite that sterneyt, continued development delays and code quality issues led to adding 2 integration	
							testing sprints, further extending integration testing. Additionally, on	
							January 31, 2024, the ASI announced the delay of the February 2nd SIT entry	
							date and stated that a new mitigation approach to meet the August Go-Live date was under development. IV&V has updated this finding to an "Issue"	
							and the Criticality Ratins to 'Hish'	
88 Implementing a Core Solution for go-live Fors, Michael carries inherent risks that may impact	Finding - 11/30/2023 Project	The project has elected to implement a Core Solution at go live to meet their Going live with a limited version of a software product entails inherent ris stated timeline. This version is generally referred to in Agile software such as potential challenges in securing user buy-in. This can result in	ks, Increase OCM efforts to effectively manage user, general public, and Now	3	3 Med	Open	and the Orticality Rating to 'High' 00/29/24. The ASI drafted a Go to Green plan that includes an October 2024 Go Live draft, with averal factures to be released after Plict.	12/15/2023 - Ab
overall project success and reduce user	Risk Manageme	tt stated timeline. This version is generally referred to in Ague software such as potential challenges in securing user buy-in. This can result in development as a Minimum Viable Product (MVP), which is a simplified limited user adoption, user dissatisfaction, and negative publicity,	regislative expectations for the Core Solution approach. • Prioritize reedback from users and FNS to ensure the Core Solution meets their core needs and				2024 Go-Live date, with several relatures to be released after Plot. Implementing the functionality of a core solution not tested in a real-world	already addresse
adoption.		version of a product that 1) offers functionality that meets the core needs of particularly considering the financial investment made for the delivery of	so users are clear on what features they are, and are not, getting in the				Pilot environment may lead to unexpected issues and bugs. IVV remains	DHS/Joe
		users, 2) can accelerate the timeline for go-live, and 3) allows the project to limited functionality. A compressed timeline may compromise the quality	of released product. Actively monitor, assess, and address potential				concerned that user expectations will not be fully met as the go-live system	Campos Ensure
		get real-world feedback from users to refine future product development. designs, user interface sophistication, and lead to an uptick in software bu	gs challenges throughout the core solution development process including				will be missing functionality that could be important to many users. 01/23/23 - The ASI recently transitioned the OCM leadership role to a new	recommendation reflect "In Progr
		and suboptimal code. Further, this approach may expose the project to regulatory compliance risks, such as last-minute objections from regulat	code quality, cutting scope to meet development milestones, insufficient ory user validation of demonstrated functionality, and fully defined				resource. OCM activities will be crucial in reducing the risk associated with	"In Process".
		hodies like ENS, which could find certain system elements non-complian	t workarounds to accommodate for the missing functionality • DHS carefully				implementing the Core Solution and effectively managing user, public, and	
		with their standards and delay the go-live date. Misalignment between stakeholder expectations and the Core Solution may lead to dissatisfact	assess whether the advantages of a timely release outweigh the advantages on of going live with a system that provides more comprehensive functionality, requires fewer workarounds, and increases user satisfaction.				legislative expectations. The ASI has stated they do not expect this transition to negatively impact the project and have noted some potential	
		stakeholder expectations and the Lore Solution may read to dissatisfact or a lack of support for the project and could negatively impact future	on or going live with a system that provides more comprehensive functionality, requires fewer workarounds, and increases user satisfaction.				to negatively impact the project and have noted some potential improvements. 12/31/23 - Delays in some planned activities (e.g., epic	
		project funding requests (implementing a limited Core Solution tunical)					demon interface designs) and the development of the resure exclave are	
		requires the customer to implement multiple workarounds utili automs features can be built into the system. Users could become impatient if it	ated				causing initiations to be mission. W/V remains concerned about protontial quality impacts due to the need to accelerate efforts to compensate for	
		features can be built into the system. Users could become impatient if the features are further delayed when buz fixes and other features take	tese				quality impacts due to the need to accelerate efforts to compensate for missed milestones. Delays in some planned activities (e.e., epic demos.	
		reacures are runner usayed which bug tixes and other reatures take precedence. Others may lose confidence that the features or system					missed milestones. Decays in some planned activities (e.g., epic demos, interface designs) and the development of the secure enclave is causing	
		precedence. Others may loss confidence that the features or system improvements will ever be implemented. Going live with a solution th	at is				milestones to be missed. IVV remains concerned about potential quality	
		missing functionality that stakeholders were expecting typically require increase in OCM efforts both by the ASI and DHS staff to temper	san				impacts due to the need to accelerate efforts to compensate for missed	
		increase in OCM efforts both by the ASI and DHS staff to temper stakeholders' reactions to a system with limited functionality.					miestones.	
86 Limited collaboration between the ASI and Molina, Brad	Finding - 8/1/2023 System Des	ign During the UAT process for release 11, there has been a high level of A significant amount of money and DHS resource time have been invest	ed in - Include a wide enough audience in all design and demo sessions to validate Now	4	3 Med	Open	02/29/2024 - One demo (Epic Demo 211) was held in February as the ASI 10/11/2023 Jessica - Our SMEs are providing their feedback. This is on	e of
DHS in the design process could lead to BES usability issues and functionality gaps in the	ISSUE	concerns raised by the DHS testers regarding the usability of the BES system, the BES solution, with the expectation that the new system will at minimu challenges with the user interface mixing functionality and basic screen provide all functionality found in current analysis of the basic screen provide all functionality found in current analysis of the basic screen provide all functionality found in current analysis of the basic screen provide all functionality found in current analysis of the basic screen provide all functionality found in current analysis of the basic screen provide all functionality found in current analysis of the basic screen provide all functionality found in current analysis of the basic screen provide all functionality found in current analysis of the basic screen provide all functionality found in current analysis of the basic screen provide all functionality found in current analysis of the basic screen provide all functionality found in current analysis of the basic screen provide all functionality found in current analysis of the basic screen provide all functionality found in current analysis of the basic screen provide all functionality found in current analysis of the basic screen provide all functionality found in current analysis of the basic screen provide all functionality found in current analysis of the basic screen provide all functionality found in current analysis of the basic screen provide all functionality found in current analysis of the basic screen provide all functionality found in current analysis of the basic screen provide all functionality found in current analysis of the basic screen provide all functionality found in current analysis of the basic screen provide all functionality found in current analysis of the basic screen provide all functionality found in current analysis of the basic screen provide all functionality found in current analysis of the basic screen provide all functionality found in current analysis of the basic screen provide all function	Im Erics and UHS functional and technical requirements and system usability Berform Sprint and Eric demos in alignment with development const.				focused on developing a Go-to-Green Plan for the Project. DHS also raised the items that I clarified with IV&V, that there are feedback given, no concerns in Readines: meetings regarding a san in design where eligibility is feedback means design is of. I rer'd an email back from Ice F. that M&V.	10/31/2023 -
applications and not meeting critical		challenges with the user interface, mixing functionality, and asks screen provide all functionality found in current applications - but really should layout issues that would not be expected in a modern application. Based on provide additional capabilities, greatly enhanced user interface, and over a	Il completion (demo functionality/requirements as they are developed) to est				not see to never uping a do to streen Painto the Pojec. UPs and rates the interms that channed with reak, that the are reduciate given, to concerns in Readiness meetings regarding as gain telling in where eligibility is feedback thereas design is at. If e'd an email back from Joe F. that N&V not forced to run when critical benefit data is modified on a case – which wants to meet with our reviewer to validate this.	Vic - Conversatio
business needs for DHS and State clients.		defor reporting from the ULB process. Juge magning of the defects an instance of origin energy. All super section of the energy of the defects are partially build system, a significant amount of esign defects was attributable to definition and the energy of the ene	of early feedback on work products Perform comprehensive (demo all				could also point to a gap in collaboration on key design decisions.	with BES PMO a
		related to "design errors". Although the Release 11 UAT cycle was testing a expectations, there may be challenges in DHS staff adoption; lack of	requirements) review during Epic demos, not just the items that were				01/31/2024 - DHS viewed Sprint demos for Epics 247 and 284 on January 9,	live demos. Will
		partially build system, a significant amount of design defects was confidence in the solution providing the accurate information needed to attributable to functionality developed for Release 11. provide benefits to HI citizens; reduction in ability for DHS to provide the	 added/updated, allowing DHS to provide early feedback on possible Inverse/grant that might out be apparent when focusing on coefficients 				2024, where several concerns/lissues were raised, resulting in necessary bug fixes. User experience issues that should have been raised during the sprint	as recorded dem but we addresse
		same level of needed services to clients, resulting in bad publicity for DH	issues/gaps that might not be apparent when focusing on specific functionality ASI and DHS re-evaluate the effectiveness of the recorded Sprint review process to ensure that designs align with DHS expectations.				agreements), that the ASI is not considering at this time. As of the end of	
		and the state.	Sprint review process to ensure that designs align with DHS expectations.				agreements), that the ASI is not considering at this time. As of the end of	JF - open comme Vic - after demo
							January, the ASI was developing a Go-to-Green Plan to mitigate several	complete, feedb
							annum, y one construction of the construction	and acknowledgemen
							the sprint and epic demos will not be completed by the end of the Release	
							The spirit and epic demois will not be completed by the end of the Relaxe 0.21 200 (black. What shares this concern, is subscriptional during the demois will require additional adaption, development, and desting for the impacted epic, potentially subscript out the struction. 11/3/07.023. As of the	Vic - for the next
							demos will require additional design, development, and testing for the	reporting period.
							impacted epic, potentially pushing out the schedule. 11/30/2023 - AS of the end of November, the ASI has nine Sprint demos to everyte and all 28 Enic	want to keep the feedback to the S
							end of November, the ASI has nine Sprint demos to execute and all 28 Epic demos. Depending on the outcome, this could cause the ASI to extend	Policy and Functi
								SMEs.
							Plot, creating additional unplanned work for DHS. 10/31/2023 - IVV notes positive progress this month in that the DHS SMEs are providing more	We are getting of
								way comments. Nicole is finding
							alexander to the Parlie to the Dar Statings - The Arrient and Parlie to the Parlied Stating - The Parlied Stat	comments from :
							aware of the resolution of their comments. The ASI has also noted gaps in	that were not invo
							communication (design misunderstandings) between the ASI Business	in detail.10/11/2
							Analysts and DHS SMEs. DHS SMEs have suggested that communications would be clearer if they were included in live demos. IV&V respectfully	Please reference
83 Gaps in test coverage and slower-than- Torring, Erik	Finding - 6/2/2023 Testing	After examining the Project's R11 QA Dashboards, R11 Traceability lidentifying defects early is vital for effective testing, as it is more efficien	t OPEN The ASI should determine the root cause of the failure to identify UAT	4	4 High	Open	2/21/2024 - Entry into Release 12 SIT is delayed, the ASI is currently	
expected progress in testing may result in	Issue	Dashboards, and Test Repository, gaps in testing coverage may exist and the and cost-effective to address issues during the early testing stages. If the	e simple defects in INT and SIT and implement effective improvement				rescheduling the start date. A complete Release 12 SIT script package	12/15/2023 - Th
schedule delays if subsequent test phases uncover a higher volume of defects and user		progress of testing might be lagging. Concerning testing coverage, it appears is slow progress or incomplete testing in the early stages, it can result in that not all epics and use cases in R11 have associated test cases or are more defects leaking into subsequent testing phases, necessitating more	processes to confirm early testing is adequate before entering UAT/FAT DHS and ASI monitor INT/SIT closely for both breadth and depth of testing to				continues to be developed with 301 test scripts approved and ready for ST and 886 test scripts pending review or in draft status. With a large number	12/15/2023 - The that stared on 12
feedback than initially anticipated.		testion the correct use cases. In terms of progress, some test cases remainextension and signorous testion efforts. Insufficient testion coverage or slow					of text scripts peopling and an undetermined SIT entry date, the risk of	internal to eWorl
		unexecuted, and not all destination are populated and the project throughout the project th	risk exit criteria and revises them as needed to ensure UAT/FAT begins with the				or use a type proving in an anomalian and the proving proving the risk of further delays remains high. Who the continuation of the comprehensive peer review of SIT test scripts, the risk of testing gaps remains high.	and not the offic
		commences System Integration Testing (SIT). The ASI has plans to complete of encountering significant delays, extensions, or the introduction of defe the INT exit criteria by June 16, 2023, about 2 weeks after SIT begins. Into the production environment during the final testing stage, known as	cts best system passible.				peer review of SIT test scripts, the risk of testing gaps remains high. 1/31/2024 - Due to development delays and testing defects, entry into SIT	start in January. SIT that started is
		the INT exit criteria by June 16, 2023, about 2 weeks after SIT begins. Final Acceptance Testing (FAT).	5				1/31/2024 - Due to development delays and testing derects, entry into SII bas been delayed to an undetermined date. Approved and final SIT test	eWorldES interna
							A 22 A 2004 To be to development output and team grant and the set of the set	testing to ensure
								already delivered
							an explosible participation of the an end of the participation of the transformation of the anti- gaps in test convergences in the main in 12/21/2022. The ASI delivered the Bi- 20 (Release 0.12 BES Test Scenarios, Cases, and Scripts) to DHS for review	functionality is
							and approval. However, 28 Epics did not include SIT test scripts, which the	working appropria 10/31/2023 - Vic
							ASI proposed to provide as continuous updates when the data becomes available. This approach poses a risk to the Project as this deliverable	R12, DHS will be
							available. This approach poses a risk to the Project as this deliverable	to evaluate SIT to
							informs DHS' go/no-go decision to start SIT testing. 11/30/2023 - During November, the ASI continued to create and update the SIT test cases. As	scripts in Jira. FAT planning me
							reported last month, until this is completed DHS cannot evaluate the test	FAT planning me when Trisha is ba
							cases for full coverage of BFS functionality and provide proper sign off to	SIT entrance crite well in these mer
							enter SIT. While these concerns are still present, the peer review process implemented by the ASI has resulted in improved quality and completeness	
							of the test cases. There is additional concern related to the entry criteria for	Vic - overlap of II and SIT. Testing
							Release 12 SIT. SIT test cases, as part of Billi20, are scheduled for completion	Will be testing everything that wa
							on 12/18 but the schedule reflects a 12/4 start date for SIT. DHS is reviewing	everything that wa
							SIT scripts as they are written, but the full magnitude of SIT test scripts will be unclear until the delivery of BI-20 on 12/18. Scope for SIT includes retests	previously done i prior releases.
							of Release 0.11 functionality and defect corrections which is part of	provinenses.
32 The lack of technical documentation may Heath, Dustin	n Finding - 4/27/2023 Security an	In April, the ASI/DHS system security plan (SSP) authors began writing Once the system architecture and design have been completed, the SSP	- Determine when the infrastructure design baseline will be completed Prior to	o the start of 5	4 High	Open	of Release 0.11 functionality and defect corrections which is part of 02/29/2024 - The security staff resolved issues in the Google Assured	
lead to incorrect implementation statements or delay the System Security Plan	Risk Privacy	implementation statements. Currently, the technical documentation authors may need to edit or rewrite implementation statements. A full	draft Determine when documentation will be created, updated, and available for the third-p	party				1/12/2024 -
or delay the System Security Plan		implementation statements. Currently, the technical discurrentation authors may need to estion error termine implementation statements. And the statements. A full supporting the physical statements are stated as a statements and the statements and the statements. A full decisions on what tools support the SSP control are statilishing decided on. (ready for federal pattern review) is scheduled to be physical decided for September 13. 2022. Implementations tatements are currently being written from the paragreticity. SSP is a grade to being decided on the statements are currently being written from the paragreticity. SSP is a grade to be statement and the statement are currently being written from the paragreticity. SSP is a grade to be statement are currently being written from the paragreticity. SSP is a grade to be statement are currently being written from the paragreticity. SSP is a grade to be statement from the statement are currently being written from the paragreticity. SSP is a grade to be statement are currently being written from the paragreticity. SSP is a grade to be statement are currently be statement are currently be statement are currently be statement are currently being written from the paragreticity. SSP is a grade to be statement are currently being written from the paragreticity. SSP is a grade to be statement are currently be statement are currently being written from the paragreticity. SSP is a grade to be statement are currently being written from the paragreticity. SSP is a grade to be statement are being a grade to be statement are currently be statement are currently be statement are being and the paragreticity. SSP is a grade to be statement are being are currently be statement are currently be statement are currently be statement are currently be statement are being are currently be statement are current are currently b	SSP the SSP authors Collaborate and communicate with SSP authors about assessme the when reliable and correct documentation will be available Berform a full	nent.			We notes services for the sector encoder encoder . Interse commons to reinteduate findings from the vulnerability and compliance cause on the environment and work through issues related to the Tenable Nessus credentialed	Progress should
		Implementation statements are currently being written from the perspective SSP is a large technical document with hundreds of controls and control	review of all SSP controls for content and accuracy that have been written as				scanning. The security team rescheduled the due dates for the supporting	"In process", Da
		of how the system should be designed from the SSP author's perspective and each one requires an implementation statement of	drafts prior to the start of the third-party assessment and submission of the SSP package to federal regulators. This will allow the SSP authors to update controls with changes from Design through implementation.				security and privacy documentation for the SSP and intends to be completed	Rolla conducte
		instead of how the system is actually designed. The SSP authors need to the control or enhancement has been met. know and use documentation such as System Architecture and Design,	SSP package to federal regulators. This will allow the SSP authors to update				by March 4th, 2024. Since there is a proposed schedule change in the project's "Go-To-Green Plan", this finding remains a risk instead of being	level review of the controls and sha
		know and use documentation such as System Architecture and Design, network topology, dataflow, ports and protocols, tools used for logging, etc.	computs with changes from Design through Implementation.				project's "Go-To-Green Plan", this finding remains a risk instead of being elevated to a realized issue. 01/31/2024 – The DHS and ASI security teams	controls and sha with Barbara On
		contrast companyon and a process of the contrast of the contra						with Barbara/Vi feedback during
							the SSP. Documents scheduled for completion by 1/31/24 include the secure	week of Decemb
							enclave SSP additions, Incident Response Plan (IRP), Privacy Impact Analysis	week of Decemb (prior to submit) to SSA). The
							(PIA), Contiguration Management Plan, and Continuous Monitoring Plan. Other procedural documents will be completed by the end of February	to SSA). The implementation
							ter 55P. Documents schedulet for completion by J31/24 include the scare enclare 55P. Documents schedulet for completion by J31/24 include the scare enclare 55P additions, includent Response Than (BPP, Privacy programs) (Re), Configuration Masagement Rina, and Continuous Monthering Prin. Deter procedural idocuments will be completed by the en dd of reformany 2224. As the Indergened Scarethy Cartho Assessments is dependent on	for each control
							the completion of some of these documents and artifacts, incomplete	updated to refle
							documentation may result in assessment findings. Farly in January, the 451	automatic status a
							reported a working production environment would be available on February Sth for the Independent Security Controls Assessment of BES. 12/21/2023 -	12/12. This act should not be
							JF - The ASI received DHS approval for the BI-13 SSP on December 18. This	confused for a se
							deliverable is dependent upon draft DHS Policys and planned security	controls accord
							µ* - The XA's reserved Dick approach for the B-13.59 on locember 28. This devinable is dependent upon draft RFS bright, and planned security controls that may change based on technical designs and documentation being finalez. The B-13 was provided bock with supporting material to Display the D-14 was provided bock with supporting material to Display the D-14 was provided bock with supporting material to Display the D-14 was provided bock with supporting material to Display the D-14 was provided bock with supporting material to Display the D-14 was provided bock with supporting material to Display the D-14 was provided bock with supporting material to Display the D-14 was provided bock with supporting material to Display the D-14 was provided bock with supporting material to Display the D-14 was provided bock with supporting material to Display the D-14 was provided bock with supporting material to Display the D-14 was provided bock with supporting material to Display the D-14 with the D-14 with the D-14 was provided bock with supporting material to Display the D-14 with the	which is audit-st
							being finalized. The BI-13 was provided to SSA with supporting material to	validation of the
							begin the SSA Interface certification process. 11/30/2023 – During November, the ASI and DHS Security SMEs focused on the design of the	controls — typics conducted by a t
								party.
							Revenues (), to Roch and in 20 Addition () and a possible of the category of the Secure endaw. The Security SMEs always considered for the sacrate workload" service from Google for applying security controls for the secure enclove. NRV is concerned about whether the entire system will be built and	party. As stated before,

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HI DHS Monthly IV Status Report Final - February 2024

Development delays could negatively impact. Fors, Michael Finding - the project schedule and delay go-live. Issue	Identified Date Category	Observation	Skulfrance	Berommendation	Analyst Event Horizon Impact Probability Priority	Finding Status Status Update	Client Comments Vendor C
the project schedule and delay go-live. Issue	6/30/2022 Configuration and	ASI had previously reported development activities have been slowed as	If the ASI is unable to achieve a velocity that enables them to meet planned			Open 02/29/24 - The ASI reported additional delays that will push out Go-Live to	Vendor C
	Development	they have been unable to achieve and/or maintain their expected	milestones, schedule delays may lead to a delayed system go-live date.	(potentially via the weekly DDI status meeting) with an accurate velocity		October 2024, based on the draft Go-to-Green plan. The ASI reported the	10/31/20
		development velocity. Previously, the development team was challenged	Failure to achieve a level of accuracy in estimating development tasks could			Root Causes of this delay include: - Excessive defects - Lack of Code quality	mixed ba
		with accurately estimating development task level of effort (i.e., story	lead to a project schedule that is flawed and unrealistic. Previously, DHS	is accurately and consistently reflected in the project schedule. • ASI provide		with downstream impacts to include additional defects and critical blockers	are men
		points) and the project has been challenged with producing a project	had indicated, and IVV agreed, that some of these delays were due to some			causing delays with Sprint and Epic demos and the completion of Integration	misunde
		schedule that accurately reflects realistic timelines (see Finding #74). The ASI continues to be challenged with finding gualified resources in a timely	ASI BAs lacking the expertise required to create optimal designs and system specifications that developers could consume without requiring extensive	demonstrations (demos) and elicit productive design discussions with DHS attendees during each demo. • ASI regularly report estimated story points		Testing - development delays with the Hana/BES interface and Secure Enclaye. The draft Go-to-Green plan includes reorganizing the development	MF - imp design
		Asi continues to be challenged with finding qualified resources in a timely	clarification from the ASI BA/SA team. DHS and IVV observed instances	for the total remaining project work to reach go-live and presents a dynamic		team to have more experienced developers focus on critical defects and	design
		manner.	clarification from the ASI BA/SA team. DHS and IVV observed instances	tor the total remaining project work to reach go-live and presents a dynamic		team to have more experienced developers focus on critical defects and	commune Barna - La
		where ASI BAs/SAs have presented less than optimal designs and left it to DHS (who may lack software or UI design expertise) to improve, which has	burn-down chart to track the progress. COMPLETE CLOSED • DHS request		consistent enforcement of development standards across all development teams and other process improvements. 01/23/24 - Ongoing development	Kama - La understa	
			contributed to unproductive design expenses (can Sinding #S1). It remains	increase velocity. Note that adding additional junior resources may not be as		delays are still affecting the Project, requiring additional development and	developm
			contributed to unproductive design sessions (see Finding #61). It remains unclear if scope creep has contributed to these delays.	effective as staffing additional expert-level development, analysis, and other		INT Sprints and postponing Sprint and Epic demos. To keep the planned go-	two mon
			unclear it scope creep has contributed to these delays.	enective as starting additional experiment beveropment, analysis, and other		live date the project elected to overlap INT and SIT, but this is subject to the	DDI DDI
				resources that can lead and mentor junior resources. • ASI reviews the development process and identifies and mitigates the challenges preventing		live date the project elected to overlap INT and SIT, but this is subject to the Go-to-Green Plan that the ASI announced at the end of January. 12/31/23 -	Vic-wew
				them from incorporating Epic demo activities into the project schedule. (9/29/23 - ASI will not be doing this, with DHS approval)		The ASI reported development delays related to 10 epics but has also	the draft.
				(9/29/23 - ASI will not be doing this, with DHS approval)		produced a mitigation plan to manage these delays and stay on track for go-	
						live. IVV remains concerned that any additional delays might push out the	
						project schedule and implementation milestones. 11/30/23 - The ASI	
						reported delays in interface design and development, and unplanned	
						development effort required to unwind EBT functionality deferred to post-	
						go-live due to a missing requirement for PIN issuance. Additional	
						development sprints were added to address the delays, and these sprints	
						resulted in a planned overlap of development and INT with SIT. IVV remains	
						concerned that additional development delays could require further	
						reduction of scope and system features. 10/25/23 - The ASI has noted gaps	
						in communication (design misunderstandings) between ASI BAs and DHS	
						SMEs; DHS project management is working with the ASI to determine the	
oject schedule based on inaccurate Molina, Brad Finding -	11/29/2021 Project	DHS and the ASI have tried multiple times to rework the schedule with		· · · · · · · · · ·		best way to address this. The DHS SMEs have suggested that design Open 2/29/2024 - The Project has experienced many delays, the most recent of	
oject schedule based on inaccurate Molina, Brad Finding -			If estimates for project schedule activities are not accurate, this can lead to	OPEN - Monitor, evaluate and revise scheduling estimates for accuracy	Immediate 3 4 High	Open 2/29/2024 - The Project has experienced many delays, the most recent of	
ons diminishes effective planning Issue ource management, which could	Management	results that have not yielded improvement. Concerns with the structure,	constant schedule changes, resources not being available when needed,	ASI provide details on how Velocity measures were used to develop		which was a four-week delay announced the end of January and the draft	11/17/20
ource management, which could late deliverables, cost increases,		esumating practices, and ability to manage to the schedule persist. The use	rushed activities, and general frustration which can lead to schedule delays,	estimations for development effort in new version of DDI schedule - ASI conduct a Root Cause Analysis (RCA) with DHS and IVV to determine why the		Go-to-Green Plan is adding another six months. 1/31/2024 - At the start of January, a 4-week schedule delay to SIT was reported by the ASI to avoid an	
		of multiple tools to track resources obfuscate resource management.	low quality output, scope changes, and budget issues.			January, a 4-week schedule delay to SIT was reported by the ASI to avoid an overlap of INT and SIT. On January 31, 2024, the ASI reported that SIT would	As mentio
te go-live.		Previous IV&V findings focused on specific schedule components such as resource management and critical path analysis, all of which were		BES Project Schedule continues to be impacted by unanticipated work ASI Project Management work with development teams to confirm the accuracy		overlap of INT and SIT. On January 31, 2024, the ASI reported that SIT would not start as planned. The project status report indicated "Red" in most	pre-meet significan
		resource management and critical path analysis, all of which were addressed and closed.		Project Management work with development teams to confirm the accuracy of Velocity to reduce risk in the new project schedules. COMPLETE DHS and		not start as planned. The project status report indicated "Red" in most categories and the ASI reported they were developing a Go-to-Green Plan.	significar made to t
		surreases and crustu.		or velocity to reduce risk in the new project schedules. COMPLETE DHS and the ASI agree to a revised schedule against which project deliverables can be		Categories and the ASI reported they were developing a Go-to-Green Plan. Further delays may be imminent. IVV has raised the criticality rating of this	made to t were with
				the Asi agree to a revised schedule against which project deriverables can be managed. (2/28/2023 - complete) ASI host a weekly meeting with DHS and		Further delays may be imminent. IVV has raised the criticality rating of this finding to "High". 12/31/2023 - With 10 epics for release 0.12 in	refineme
				IVV to review all changes to the project schedules (Primary and DDI).		development, another development and integration testing sprint was	dates. La
				(8/31/2023-complete) CLOSED ASI plan and execute Epic development so		added to the schedule I/W remains concerned that under-estimated effort	dates will
				that Epic demos can occur earlier in the release schedule and allow time for		and resulting elongation of schedule could impact implementation	evolve as
				possible revisions. (12/31/2023 No done) As requested by DHS, add key		milestones. 11/30/2023 - Additional development and testing sprints were	further in
				milestones to the project schedule, such as Sprint and Epic demos, to show		added to the schedule, supporting IVV's concern that the effort required for	project pl
				key progress towards completion of Epics. (9/29/23 ASI says that they will not do this.) Confirm current assumption that a delay with the current go-		completing the core solution for BES continues to be under-estimated;	consider '
				not do this.) Confirm current assumption that a delay with the current go-		potentially resulting in missed implementation milestones. The additional	yourstate
				live date will not result in major implications. (6/29/23) Leverage velocity		development sprints for interfaces will overlap with Integration Testing (INT)	
				and burn down charts to adjust development tasks estimates if needed.		and the start of SIT in order to meet the Pilot and Go-Live dates.	
				Leverage velocity and burn down charts to adjust development tasks		10/31/2023 - The BES project schedule continues to have significant	10/31/20
				estimates if needed. (4/30/2023 - ASI using Jira) Using the available tools,		revisions after being re-baselined, including delays to tasks (a training task	Vic - Signi
				review the current estimates to complete each activity compared to past		was delayed over a hundred days due to schedule refinement). IVV	revisions,
				actual hours (1/31/2023 - new ASI - Not Started) Update as necessary and		continues to monitor the schedule for possible estimation issues that could	you conce
				provide the DHS/ASI Project Managers with reports and data that accurately		introduce risk in meeting key milestones of the project. 9/31/2023 - The ASI	Brad - big
				reflect the DHS/ASI resource needs along with over/under allocations of		re-baselined both the Primary and DDI BES Implementation schedules,	the schedu
				staff for the duration of the Project (1/31/2023 - new ASI - Not Started)		adding 8 weeks to release 0.12 and addressing DHS and IV&V's concerns that the prior schedules were underestimating the effort required to	Vic - Train has been
				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		complete the remainder of the Project. As the ASI requested to shift the	nas been refine dat
				schedule which includes resource management. (1/28/2023 - new ASI)		Portal functionality after statewide implementation, IV&V remains	know mo
anned BES infrastructure is complex Fors, Michael Finding -	10/28/2021 System Design	Current ASI infrastructure plans include a significant number of	If the level of effort to implement and manage the complexities of the BES	ASI develop a process to closely monitor cloud and other product changes	lext several 2 2 Low	Open 2/29/24 - No material update in the reporting period. 1/23/24 - No	KIOW IIIO
could be difficult to implement and Risk	10/10/1011 System Design	sophisticated components that make up a complex cloud infrastructure.	infrastructure is not accurately accounted for and staffed by the ASI, the	(software updates/new releases), manage changes, and regression test once	months	material update in the reporting period. IVV continues to monitor this	11/17/20
schedule/cost impacts.				updates are applied. • The project team work to establish strong governance		finding. 12/31/23 - No material update in the reporting period. NV	Again, wi
		the BES infrastructure and the additional costs and time to configure, test,	finalizing the components being implemented could exacerbate this risks	over the utilization and maintenance of the various system		continues to monitor this finding. 11/30/23 - Some components of the BES	referenc
		and implement the planned complex environment remain unclear.	and lead to further delays. Complex platforms often present system	tools/components. • ASI allot time in the schedule to conduct proof of		system infrastructure have yet to be finalized and tested, it remains unclear	the curre
			maintenance and operations challenges as system changes can hold the	concepts to assure infrastructure components work as expected. • ASI		how or if the added complexity will impact project schedules and budgets	schedule
			increased potential for system failure (i.e., due to the significant number of	maintain a detailed schedule for DevOps implementation tasks to avoid		going forward. The ASI has reported they are close to finalizing the Secure	is schedu
			"moving parts") and increase the level of time and effort to resolve	unexpected delays that could delay project milestones and the critical path.		Enclave infrastructure to house FTI data. The ASI appears to be making	submitter
			infrastructure and application-level bugs. Further, some components			progress on DR plans and designs. 10/30/23 - The ASI continues to have	of the yea
			remain in an immature state compared to their legacy counterparts. For			productive discussions with DHS during their weekly Architecture calls. The	Pilot Go-I
			example, the project recently experienced a system failure because Google			ASI has yet to finalize their plans and technical architecture for conducting	2024.
			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			Disaster Recovery (DR). The cloud technology being implemented offers	
			component (i.e., Nexus). Google Cloud is generally viewed as a less mature			some benefit and can simplify some elements of DR. However, it remains	10/31/20
			product offering, compared to their rivals (Amazon Web Services, Microsoft			unclear if the complex infrastructure (with the multitude of components	Vic - west
			Azure). IV&V remains concerned that this could lead to failures at critical			being employed) will impact their ability to test and perform DR. 9/28/23 -	notunders
			points in the project (including post-go live production failures) that could			The ASI has experienced turnover of their Enterprise Architect position; this	this rema
			be difficult to resolve and lead to project disruption. If DHS intends to			does not appear to have had a material impact on the overall infrastructure	10/11/20
			eventually reduce M&O outsourcing costs turning over M&O tasks to State			build. The ASI continues to make progress in the build-out of their	
			employees, they could face challenges supporting tools they may not be			infrastructure and is confident that the automation they've implemented	Please
			familiar with in a complex infrastructure environment.			will simplify many maintenance tasks Given that, they remain confident they will be able to meet infrastructure milestones without hindering	Please
						will be able to meet intrastructure milestones without hindering development. The ASI has also stated that maintaining the system post-go-	your upd: finding #2
						development. The ASI has also stated that maintaining the system post-go- live will not require excessive effort and that achieving the SLAs will be	tinding #2 and Priva
						possible. IVV remains concerned that some planned elements of the	and Priva document
						infrastructure have yet to be thoroughly architected, documented and/or	being dor
						infrastructure have yet to be thoroughly architected, documented, and/or conceptually tested via proof of concept (e.g., the secure enclave and	Secure Er
						disaster recovery environment). 8/31/23 - The ASI has reported progress in	
						the build out of Chronicle, their event logging tool. The weekly	
			Configuration Management is a set of processes and procedures that	OPEN • ASI adhere to plans for configuration management as documented in Bi-6 DDI Plan, Section 5.2 and clarify details and/or any changes with DHS.	ASAP 2 2 Low	Open 2/29/24 - No material update in this reporting period. 1/23/24 - No material update in the reporting period. 12/31/23 - The project will utilize	
nt configuration management Fors, Michael Finding -	8/23/2021 Configuration an	The BI-6 DDI Plan Deliverable, Section 5.2 establishes the framework for the		in BI-6 DDI Plan, Section 5.2 and clarify details and/or any changes with DHS.		material update in the reporting period. 12/31/23 - The project will utilize	
nt configuration management Fors, Michael Finding - d to development confusion and Rek	8/23/2021 Configuration an Development	The BI-6 DDI Plan Deliverable, Section 5.2 establishes the framework for the Configuration Management Plan, however, it remains unclear if sufficient	ensures the BES is understood and works correctly. The BES solution				10/31/20
nt configuration management Fors, Michael Finding - do to development confusion and Rok effectiveness of delet resolution	8/23/2021 Configuration and Development	progress has been made toward establishing CM processes and governance,	includes tools that may provide a level of automation for Configuration	· ASI validate plans for configuration management with DHS and agree on a		the DHS contractor currently assisting with security activities to update the	
nt configuration management Fors, Michael Finding - for development confusion and Rok e effectiveness of defect resolution	8/23/2021 Configuration an Development	progress has been made toward establishing CM processes and governance, selecting CM tools (e.g. CMDB) and building out the CM infrastructure. The	Includes tools that may provide a level of automation for Configuration Management that may reduce errors and should provide the project team	 ASI validate plans for configuration management with DHS and agree on a meaningful set of configuration items or settings they will track + DHS and 		the DHS contractor currently assisting with security activities to update the Configuration Management Plan (CMP). The scope of work that the DHS	Vic - We
nt configuration management Fors, Michael Finding- dizo development confusion and Rok e effectiveness of defect resolution	8/23/2021 Configuration and Development	progress has been made toward establishing CM processes and governance, selecting CM tools (e.g. CMDB) and building out the CM infrastructure. The	Includes tools that may provide a level of automation for Configuration Management that may reduce errors and should provide the project team	 ASI validate plans for configuration management with DHS and agree on a meaningful set of configuration items or settings they will track + DHS and 		contractor is responsible for is unclear to IV&V. 11/30/23 - The ASI has yet	Vic - We listing, v
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t configuration management Fors, Michael Finding- to development confusion and Rak effectiveness of defect resolution	8/23/2021 Configuration an Development	progress has been made toward establishing CM processes and governance, selecting CM tools (e.g. CMDB) and building out the CM infrastructure. The	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 plana along with the details regarding the	 ASI validate plans for configuration management with DHS and agree on a meaningful set of configuration terms or settings they will track. OHS and ASI work to clarify/solidify plans for the potential use of configuration management tools. COMPLETED * identify the DHS POC for the Configuration Management Activities that would provide oversight of 		contractor is responsible for is unclear to IV&V. 11/30/23 - The ASI has yet to provide a detailed list of configuration items to DHS and IVV. IVV has restated this request to the ASI so that the level of detail is clear. 10/26/23 -	Vic- We listing, v plan to in MF- Broz
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HI DHS Monthly IV Status Report Final - February 2024

		Finding	Identified					Analyst Find	8		
ID Title	Reporter	Туре	Date Category	Observation	Significance	Recommendation	Event Horizon	Impact Probability Priority Stat		Client Comments	Vendor Comments
63 The lack of early planning and coordi		Finding -	1/21/2021 Integration and		DDI project often underestimate the time needed to effectively manage all		Prior to FAT	5 4 High Oper	02-29-2024 - The MOU/MOAs were completed and the Interface Control		
with interface partners may result in	in Mark	Issue	Interface			Complete early proof of concept interfaces to avoid unexpected delays due			Documents (ICD) are updated. The interface testing team did not produce		
schedule dolaye.			Management	undefined ETS API Gateway; however, there is no evidence that details have	defined communication plan and schedule that includes the coordination,	to external organization miscommunications or their own internal delays in			the testing plan on February 16th as specified in the draft Go-to-Green plan		10/31/2023 - Good
				been determined or documented in this regard There is little evidence of	planning, and execution activities along with milestone dates can minimize	assisting the BES project. CLOSED 8. ASI and DHS conduct a root cause			01-31-2024 - The final two MOA/MOUs were signed. Interface developmen		and accurate as of the
				active and sufficient communication with interface partners for	the risk of potential delays. In addition, after planning has been complete				is behind schedule and will require workarounds when FAT begins. The AS	51	end of October.
				coordination, design, and testing activities (Unit Test, SIT, UAT) Interface	interface partners will have to be available during interface implementatio				faces challenges with interface partners that lack test environments. The		Met with DoTAX (Cory)
				planning and execution tasks and activities, including those for interface	to ensure that the interfaces are properly developed and tested before	interface partner for the duration of the BES DDI activities. COMPLETED			interface testing team has not scheduled meetings, nor published test plan		to get appendix
				partners, are neither resident nor managed within the Project Schedule.	deploying the system to production.	10/29 2. Identify and document all interface partners' contacts. COMPLETED			and schedules to coordinate with the interface partners. 01-04-2024 - Du	ie i	details. Sent to Scott
						3/31/2022 3. Define a release schedule for each interface to include			to the number of open issues that could potentially impact interface		M. to finalize updates,
						milestone dates, coordination, and execution and share with the interface			development (e.g., incomplete agreements, unavailable test regions, and		then send to AG.
						partners. COMPLETED 01/04 4. Determine which deliverable will include			interface/batch testing schedules yet to be defined) IVV has raised the		DoTAX is one of the
						the details associated with the planned connectivity and detailed technical			criticality rating to High. 11-30-2023 - Two of the 23 MDA/MOUs (DLIR an	id .	interfaces that will
						designs of all interfaces. COMPLETED 01/04 5. Complete all MOAs and			DoTAX) are not signed and remain outstanding. DHS continues efforts to		overlap SIT. They are
						obtain formal approvals. COMPLETED 01/31/2024			complete these agreements to minimize further impact on the project. Thi	is	busy in the tax season.
									finding is now an issue due to the realized impact to the project. The SSA		
									interface requires documentation to be submitted 120 days before the		Vic - Rama has
									pilot's data usage. This SSA documentation is expected to be ready by		updates. Pushback
									December 15th, 107 days prior to the April 1st pilot. Although the SSA has	5	from OIT about
									informally stated that they can complete the review within the shorter		sample files.
									timeframe, a risk exists to the availability of the SSA data. The interface		Rama - set up a batch
									testing team was organized in November, but planning has not begun and		team for end-to-end
									meetings have not commenced. Interface testing remains unscheduled an	id .	coverage. We met
									is a growing concern as the Pilot date approaches. The ASI in internally		with Ryan S. and OIT
									reviewing the Interface Test Plan and will share it with DHS in December. 1		about sample files. We
									26-2023 - Two out of 23 MOA/MOU are outstanding; the ASI is reporting a		asked for masked
									agreement was reached with DLIR and it is ready for signature; the DoTAX		PROD files for ease of
									MOU does have some challenges and is currently being addressed by the AS	21	use. OIT said no. We
									and DHS. The Functional Design of all 23 Interfaces was completed and		are creating a batch

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