JOSH GREEN, M.D. GOVERNOR KE KIA'ĀINA





OFFICE OF ENTERPRISE TECHNOLOGY SERVICES KE'ENA HO'OLANA 'ENEHANA

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

August 20, 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,

Christine M. Sakuda Chief Information Officer State of Hawai'i

Attachments (2)





Hawaii Department of Human Services \$ystems Modernization Project

Draft IV&V Status Report for Reporting Period: July 1 – 31, 2024

Submitted: Aug 08, 2024



Solutions that Matter

Overview

- Executive Summary
- <u>IV&V Findings and Recommendations</u>
- <u>IV&V Engagement Status</u>
- <u>Appendices</u>
 - <u>A IV&V Criticality Ratings</u>
 - <u>B Risk Identification Report</u>
 - <u>C Acronyms and Glossary</u>
 - <u>D Background Information</u>



Solutions that Matter

Executive Summary



Executive Summary



July was a busy month for the BES Project. The BES 1.0 release Final Acceptance Test (FAT) is fully underway, the ASI is providing active defect correction and technical environment support, and the team continues to design and develop the functionality planned to be implemented post-pilot.

- ASI development resources needed to support FAT defect correction has pulled focus away from planned development, resulting in delays in developing required functionality. The ASI is adding additional resources to address this problem.
- Time Travel is a testing process in which a separate testing environment is moved forward to specific future dates to verify eligibility and ensure date-driven scenarios behave correctly. During FAT, DHS raised several time travel concerns that the ASI addressed or is addressing.
- The ASI delay in providing the required post-conversion report was caused by corrective actions in FAT data conversion. IV&V is collaborating with DHS and ASI to review ASI's pre-FAT data conversion testing and identify improvements for better Pilot preparation.

While the project team focuses heavily on FAT, readiness for Pilot is a key activity. Pilot users start training in August, and it will be critical that the training materials accurately reflect the BES 1.0 application functionality deployed for Pilot. The ASI is developing documented workarounds to address defects that will not be corrected prior to Pilot, and workarounds for requirements tied to deferred functionality not included in the Pilot release. DHS has requested both types of workarounds be documented with enough time to have the training materials and job aids accurate along with a consistent and timely communication plan to the Pilot users and DHS team.

Мау	Jun	Jul	Category	IV&V Observations
Н	Н	H	Project Management	The ASI is experiencing challenges with addressing the level of defects found in FAT. Coupled with the development of BES 1.1 functionality and completing the outstanding BES 1.0 development, the ASI is planning to add additional resources to the development team to avoid material delays. IV&V is closely monitoring the project management efforts to stay on schedule and enter Pilot as planned on September 16, 2024.



Мау	Jun	Jul	Category	IV&V Observations
м	L	L	System Design	IV&V continues to monitor the Project design activities included in the BES 1.1 release.
м	м	м	Configuration and Development	DHS has not found the Burndown Chart provided by ASI to be valuable and has requested a report that clearly shows both the remaining outstanding work and the development velocity.
м	м	м	Integration and Interface Management	Physical and Technical testing of the BES 1.0 release interfaces continued throughout the month of July. IV&V is concerned that progress slowed in July as ASI resources focused on supporting FAT.
н	Н	Н	Testing	IV&V is concerned with the volume of defects being found in FAT and the amount of ASI effort needed to resolve the issues. Data conversion defects discovered in FAT have led IV&V to examining the robustness of ASI data conversion testing prior to FAT.
Н	Н	Н	Security and Privacy	The Independent Security Assessment team began penetration testing of BES 1.0 in the production environment once the ASI made the environment available at the beginning of July. Missing and incomplete supporting documents referenced in the System Security Plan (SSP) remain an IV&V concern. The Social Security Administration (SSA) conducted a separate one-day security assessment on July 8, 2024. DHS and the ASI are working to provide responses to SSA requests.
м	м	м	Requirements Analysis & Management	The BI-21 Requirements Traceability Matrix (RTM) was not ready for DHS deliverable review and approval by the end of July. IV&V is concerned that delays in finalizing the RTM may lead to requirements tracing issues, testing gaps, and project delays.

As of the July 2024 reporting period, PCG is tracking 11 open findings (5 risks, 6 issues) and has retired a total of 75 findings. Of the 11 open findings, 4 are High, 4 are Medium, and 3 are Low.



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





Findings Retired During the Reporting Period

#	Finding	Category
	None	



Preliminary Concerns Investigated During the Reporting Period

#	Finding	Category
97	Insufficient coordination and management of time travel test execution and the time travel environment could lead to rework and schedule delays.	
	Observation : IV&V is concerned with the time travel test environment which may cause delays in the testing schedule. Time Travel is a testing process in which a separate testing environment is moved forward to specific future dates to verify eligibility and ensure date-driven scenarios behave correctly. The current configuration has the system date manually advanced after work hours for a single date change. FAT testers must wait for their specific date advancement requests to be applied before they can proceed with and/or complete their test cases.	Testing
	Significance : A lack of clarity around this complex effort of time travel testing and data refreshes has resulted in some testers needing to re-execute test set-up steps. With FAT the final test phase immediately prior to Pilot, test quality can suffer as testers are under pressure to complete their testing on time. Rework increases testers' workloads and increases the chance that FAT cannot be completed as scheduled.	
98	Delays in providing the required deliverables to FNS could extend the review time needed and delay FNS's concurrence to start the pilot.	
	Observation : Not all the documents that FNS is required to review have been provided. In the weekly Readiness meeting on 7/23, it was mentioned that FNS is at its year-end, so its workload is backing up, which might require its document review to take the full 60 days. The longer DHS delays getting deliverables to FNS, the closer it gets to the planned start for Pilot.	Project Management
	Significance : The BES pilot cannot start without FNS's concurrence. Therefore, it is critical the project team deliver the required deliverables to FNS as soon as possible so FNS has the necessary time to review and give the go-ahead to start Pilot.	



Findings Opened During the Reporting Period

#	Finding	Category
	None	

Project Management

#	Key Findings	Criticality Rating
	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.	
74	The ASI is actively working on defect resolution and new development work for BES 1.1. A few key documents/deliverables, including the Disaster Recover Plan, Data Conversion results, and Requirements Traceability, are behind schedule. The ASI is hiring additional resources; however, it is not known if these resources will have a positive impact on the work remaining as defined in the schedule.	Н

Recommendations	Progress
 Monitor, evaluate and revise scheduling estimates for accuracy based on the project teams past performand resources available to do the remaining work. 	ormance In Process



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	DHS and the ASI continue to document and develop workarounds in preparation for Pilot. There are now two workaround areas: 1) known gaps in functionality and 2) defects discovered during testing that will not be addressed prior to Pilot. Additionally, planning is ongoing for incorporating these workarounds into the training process.	м

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



System Design

#	Key Findings	Criticality Rating
86	Issue – Limited collaboration between the ASI and DHS in the design process could lead to BES usability issues and functionality gaps in the application and not meeting critical business needs for DHS and State clients.	
	IV&V observed positive progress this month with the ASI providing specific actions to address DHS concerns regarding the Mass Change Functionality (Epic 208).	

Recommendations	Progress
 Perform Sprint and Epic demos in alignment with development Sprint completion (demo functionality/requirements as they are developed) to get early feedback on work products. 	In Process



System Design

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

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



Configuration and Development

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

Recommendations	Progress
 ASI adhere to plans for configuration management as documented in BI-6 DDI Plan, Section 5.2 and clarify details and/or any changes with DHS. 	In process
 ASI validate plans for configuration management with DHS and agree on a meaningful set of configuration items or settings they will track. 	In process
 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 have negatively impacted the project schedule and delayed go-live. The ASI has recently reported additional development delays that could put go-live milestones at risk. The ASI plans to mitigate this risk by acquiring additional resources to compensate for recent delays. Burndown charts typically provide project stakeholders and executive leadership visibility into the overall productivity of system development efforts. However, DHS has stated the ASI-provided burndown charts currently provide little to no value to project stakeholders. IV&V recommends DHS request burndown charts (or other reports) that give visibility into development velocity and whether the Project will be able to meet Statewide go-live milestones.	М

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





Integration and Interface Management

#	Key Findings	Criticality Rating
93	Risk – Due to the lack of physical and technical (Transport Layer) testing of the interfaces and data transfer failure, conditions may exist with data format, boundaries, and dependencies. These failures may result in intermittent and hard-to-isolate problems or errors. Approximately 85% of the planned testing activities for the interfaces in the BES 1.0 (Pilot) release have been completed. BES 1.0 interface testing is expected to conclude by mid-August.	М

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

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	DHS Testers have logged 453 defects (excluding duplicates or those determined not to be defects, such as user error) in the first 5 weeks of FAT with the following severities (High = 84, Medium = 201, Low = 168). Open/unresolved defects total 230 (50%) with the following severities (High = 36, Medium = 112, Low = 82). Seven high-severity defects have been in unresolved status for 5 days or more, with one defect remaining open since 6/28/2024. IV&V is concerned that the test execution schedule will be compromised if testers continue to wait for fixes to be delivered before they can complete their planned tests and the risk that testers will discover new downstream defects that must also be fixed prior to Pilot.	Н

Recommendations	Progress
Monitor INT/SIT closely for both breadth and depth of testing to ensure the system is adequately tested.	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
89	Issue—The current mitigation approach to completing the development of the remaining Epics is condensed and aggressive, which may increase the likelihood of schedule delays, quality issues, and a higher volume of testing defects.	
	In July, the ASI delayed the delivery of several reporting functions planned to be phased into FAT. Some of these reports are financial and provide key operational metrics that are complex and take time to validate for accuracy and completeness.	H
	The 2-week delay for Epics 286b and 208 and the 5-week delay for Epics 203 and 244 is resulting in the overlap of SIT, FAT testing support, and BES 1.1 (statewide) development efforts.	
	IV&V is concerned that the further delays and concurrent activities will lead to increased complexity due to the difficulty of managing and coordinating multiple tasks at the same time. This may impact the project team's ability to complete testing and other required activities to meet pilot and statewide go-live dates.	

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 validates that development and testing resources have sufficient bandwidth to complete overlapping assigned responsibilities 	In process

Security and Privacy

#	Key Findings	Criticality Rating
	Issue – The lack of technical documentation may lead to incorrect implementation statements or delay the System Security Plan (SSP).	
	The ASI stood up the production environment on July 8th, allowing the BES Independent Security Assessment penetration testing team to gain access and start the four-week period of testing the BES system. The ASI participated in interviews with the BES Independent Security Assessment assessors. Additional interviews will continue into August.	
82	The ASI is internally reviewing the Disaster Recovery (DR) plan before delivering it to DHS. However, this DR plan is unavailable for the current security assessment and should be available and tested prior to another assessment, such as the IRS.	н
	The completion of the Secure Enclave design now allows for significant updates to "Planned" responses to be made to Appendix A, which contains IRS security controls in the SSP. The Social Security Administration (SSA) also performed its security assessment in July, and the ASI/DHS Security Team is providing additional information and evidence prior to the SSA report and POAMs (Plans of Action and Milestones) being issued for remediation. It is too early to determine the impact of remediation activities and if there are any impacts on the BES Pilot schedule.	

Recommendations	Progress
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 draft SSP controls for content and accuracy prior to the start of the Independent Security Controls Assessment of BES and submission of the SSP package to federal regulators. This will allow the SSP authors to update controls with changes from Design through Implementation. 	In process



Requirements Analysis & Management

#	Key Findings	Criticality Rating			
94	Risk - The lack of an effective way to validate BES requirements could lead to project delays and unfulfilled user needs if DHS later identifies unmet contractual requirements. Discussions were held throughout July regarding the format and structure of the Requirements Traceability Matrix (RTM). However, the ASI has not distributed a reformatted BI-21 Requirements Traceability Matrix deliverable for DHS review and approval. IV&V remains concerned that the delay in finalizing the RTM may lead to requirements tracing issues, missing required Pilot functionality in BES, testing gaps, and project delays.	М			
Rec	ommendations	Progress			
 Develop a document that provides DHS with a feasible and effective way to map contract requirements to passed test cases, and, per the BI-19 (Complete and Final Test Plan),"Maps the implementation, functional and technical requirements to the test cases and test scripts". 		In Process			





IV&V Status

IV&V Engagement Status

IV&V Engagement Area	Apr	Мау	Jun	Comments
IV&V Budget				
IV&V Schedule				
IV&V Deliverables				PCG submitted the final June IV&V Monthly Status Report.
IV&V Staffing				
IV&V Scope				

Engagement Status Legend						
The engagement area is within acceptable parameters.	The engagement area is somewhat outside acceptable parameters.	The engagement area poses a significant risk to the IV&V project quality and requires immediate attention.				

IV&V Activities



- IV&V activities in the July reporting period:
 - Completed June Monthly Status Report
 - Ongoing Review the BES Project Artifacts and Deliverables
 - Ongoing Attend BES Project meetings, (see <u>Additional Inputs</u> pages for details)
 - Ongoing Review available ASI contracts and contract amendment documentation
- Planned IV&V activities for the August reporting period:
 - Ongoing Observe BES Design and Development sessions as scheduled
 - Ongoing Observe Bi-Weekly Project Status meetings
 - Ongoing Observe Weekly M&O Project Status meetings
 - Ongoing Observe Weekly Architecture meetings
 - Ongoing Observe Weekly Security meetings
 - Ongoing Monthly IV&V findings meetings with the ASI
 - Ongoing Monthly IV&V Draft Report Review with DHS, ETS and ASI
 - Ongoing Participate in Bi-Weekly DHS and IV&V Touch Base meetings
 - Ongoing Review BES artifacts and deliverables

Deliverables Reviewed



Deliverable Name	Deliverable Date	Version
BI-5 Project Schedule - BES 2023 Primary	07/06/2024, 07/13/2024, 07/20/2024, 07/27/2024	N/A
BI-5 Project Schedule - BES 2023 DDI	07/06/2024, 07/13/2024, 07/20/2024, 07/27/2024	N/A
BES M&O Project Schedule	07/01/2024	N/A
BI-22 Release 0.12 System Test Report	07/02/2024	V1.0
BI-20 Release 0.12 BES Test Scenarios, Cases, and Scripts	07/05/2024	V1.1
BI-35 Verified Technology Environments	07/15/2024	V1.0
BM-11 Completed BES Migration Checklist DED	07/25/2024	V1.0

Additional Inputs – Artifacts



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

Additional Inputs



Meetings and/or Sessions Attended/Observed:

- 1. IV&V Team Meeting 7/3/2024, 7/8/2024, 7/11/2024, 7/15/2024, 7/18/2024, 7/22/2024, 7/25/2024, 7/29/2024
- 2. HI DHS BES January Draft IV&V Report Review 7/15/2024
- 3. Bi-Weekly DHS and IV&V Touch Base 7/09/2024, 7/18/2024
- 4. Weekly BES Infrastructure meeting 7/5/2024, 7/12/2024, 7/19/2024, 7/26/2024
- 5. Weekly Client BES 2023 Project Status Meeting 7/3/2024, 7/10/2024, 7/17/2024, 7/24/2024, 7/31/2024
- 6. Security Touchpoint 7/3/2024, 7/10/2024, 7/17/2024, 7/31/2024
- 7. (Externa(I) Weekly Interfaces Touchpoint 7/1/2024, 7/8/2024, 7/15/2024, 7/23/2024
- 8. (External) Readiness Working Group Meeting 7/2/2024, 7/9/2024, 7/16/2024, 7/23/2024
- 9. (External) Bi-Weekly Client BES 2023 Schedule Review/Status 7/3/2024, 7/17/2024, 7/31/2024
- 10. (External) Bi-weekly BES CCB Meeting 7/10/2024
- 11. FAT Testing Site Visits 07/16/2024, 07/17/2024
- 12. (External) BES: FNS Connect 7/18/2024
- 13. (External) C!A Current Weekly Checkpoint-7/2/2024, 7/9/2024, 7/16/2024
- 14. eWorld/IV&V Mid-Month Check-in 7/29/2024
- 15. (External) BES M&O Project Status Meeting 7/1/2024, 7/8/2024, 7/15/2024, 7/22/2024, 7/29/2024
- 16. (External) BES Snow Touchpoint 7/3/2024, 7/10/2024, 7/17/2024, 7/24/2024, 7/31/2024
- 17. (External) BES FAT Daily Touchpoint 7/1/2024, 7/2/2024, 7/3/2024, 7/5/2024, 7/8/2024, 7/9/2024, 7/10/2024, 7/11/2024, 7/12/2024, 7/15/2024, 7/16/2024, 7/17/2024, 7/18/2024, 7/19/2024, 7/22/2024, 7/23/2023, 7/24/2024, 7/25/2024, 7/26/2024, 7/29/2024, 7/30/2024, 7/31/2024
- 18. (External) BES FAT Daily Defect Status Meeting 7/1/2024, 7/2/2024, 7/3/2024, 7/5/2024, 7/8/2024, 7/9/2024, 7/10/2024, 7/11/2024, 7/12/2024, 7/15/2024, 7/16/2024, 7/17/2024, 7/18/2024, 7/19/2024, 7/22/2024, 7/23/2024, 7/24/2024, 7/25/2024, 7/26/2024, 7/29/2024, 7/30/2024, 7/31/2024
- 19. (External) M&O Schedule Update / DCF Review- 7/2/2024
- 20. (External) BES M&O Schedule Update 7/9/2024
- 21. (External) BI-22a BES 1.0 SIRT Comment Response Review Meeting cont'd 7/11/2024, 7/15/2024, 7/22/2024, 7/25/2024
- 22. (External) BES 1.0 ADA Test Results Review Meeting 7/19/2024
- 23. (External-Epic Demo) Epic 208 Mass Change 7/24/2024







Appendix A – IV&V Criticality Ratings

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

Appendix B – Findings Log



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

Appendix C – Acronyms and Glossary



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

Appendix C – Acronyms and Glossary

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

Appendix C – Acronyms and Glossary



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

Appendix D – Background Information



Systems Modernization Project

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

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

Systems Modernization IV&V Project

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

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

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

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

Appendix D – Background Information



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

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

PCG's Eclipse IV&V® Technical Assessment Methodology

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

IV&V Assessment Categories for the BES Project

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

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

Ending Slide



Solutions that Matter

ID Title Reporter Type	Identified Date Category	Observation	Significance	Recommendation	Event Horizon Impact	Analy Probability Prior	yst Finding rity Status	Status Update	Client Comments	Vendor Comments
98 Delays, in providing the required deliverables Molina, Brad Concern to FNS could extend the review time needed and delay FNS's concurrence to start the plot.	7/24/2024 Project Management	Not all the documents that FNS is required to review have been provided. In the weekly Readiness meeting on 7723, it was mentioned that FNS is at its year-end, so its workload is backing up, which might require its document review to take the full 60 days. The longer DHS datays getting deliverables to FNS, the closer it gets to the planned start for Pilot.	the project team deliver the required deliverables to FNS as soon as possible so FNS has the necessary time to review and give the go-ahead to start Pliot.	1	now 0	O NA	Open			
97 Isofficient coordination and management Kalai, Neetu Concern of time rayel est execution and the method of the second second and travel environment could lead to rework and schedule delays.	7/23/2024 Testing	WV is concerned with the time travel test environment which may cause delays in the testing toeholds. These Travel is a testing process in which a separate testing environment is moved forward to payerile future date to enviry di glibility and essure date driven caracteris dates or controll. The current configuration has the system date manually advanced after work hours for a single tached app. FAT testimes must will for their specific date advancement requests to be applied before they can proceed with and/or complete/their test case.	efreshes has resulted in some testers needing to re-execute test set-up steps. With FAT the final test phase immediately prior to Pilot, test quality can suffer as testers are under pressure to complete their testing on time. Rework increases testers' workloads and increases the chance that FAT	Evplore a solution to implement a more flexible date update process and/or mechanism to mitigate potential test execution delays.	0 0	O NA	Open			
94 The Lot of an effective way to outlicite HES. Molin, Mar. Finding- requirements could end to project oblay. Biol. and unfulfilled user needs If DrS Liter identifies unmet contractual requirements.	4/25/202 Hegatemots Analogs Management	ensuring the system's compliance with contractual commitments by associating each requirement with passed test case(s). However, the	SIT completion. DHS may be unable to make an informed decision on SIT er criteria. This could lead to DHS starting Final Acceptance Testing (FAT) and then enallying that got all convictments have been fully mot crutilize in	IN PROCESS = Diversion ja document that provides DHS symbol E directive way to prove to passed test cases, and, per the BL 3D Complete and Frial TerPlan, ¹ Meas the implementation. Introduced the symbol symbol symbol symbol symbol symbol resources and the symbol symbol symbol symbol symbol assure each requirement the bar and the system to assure each requirement has been fully met.	\$/10/2024 3	3 Med	Open	7/11/2024 - Discussions were held throughout July regarding the format and structure of the Regardinest T-scratbilly Matrix (RTM). However, the All has not distributed a reformance fit as 2000 H (Matrix Addimovality Matrix (RTM)). However, the All has not distributed a reformance fit as 2000 H (Matrix Addimovality Matrix (RTM)), and the All has a structure of the matching of the structure and provide tables (RTM) (Matrix (RTM)), and the structure of the struct		7/12/2004 I'm end curref fibi is worth outing the second SI did did the second SI did did the second SI did did the second se
22 Do the basis of physical and technical Neydolds, Finding . testing of the interfaces and data analysis, and data analysis, faultic, conditions may exist with data formal, boundrains, and degenderotes. These failures may result in intermittent and hand-to-indule problems or errors.	4/29/2024 Integration and Kether Management	Adde from the functional testing accompleted during epic testing, specific data flow testing is usually part of an interface definition.	This being is essential before brief displayment to prevent unsequencida a difficulto te resolve unserg, such as scandied one training data-or the space may have a fault or exception. Since the Project has not established and tested the fault scenarios, we do not inow how the spatem may react.	connection and transfer operations. 3. FTP and file interfaces should be	32024 2nd Opr 3	2 Med	Open	BKU12241 - Approximately SSIs of the planned testing-activities for the interfaces in the SIII OPIIor (relates the wheel non-platefact RSI 10) interfaces testing is expected to conclude by mid-Agunt, UK/2/2024. The ASI/has prepared the test straps for the Interfaces included in the Nkr relaxer. This first traused of test straps is note in the Into Amid are been relaxer. This first traused first straps tracked in the Nkr relaxer. This first traused first straps tracked in the Interface (IDI) of the Interface testing is noted and leak hardness. <i>Dis</i> /2/2024 The ASI and DBG continue to define the interface test approaches. Technica interface testing fields, including the TransportLayer, are planned to be discussed in June.		OS/14/2024 As mentioned at the May premest, a technical interface team plan does exist to address FCG's recommendations for this finding.5/11/2024 As mentioned at the pre-ment, a technical interface team plan does exist to address FCG's recommendations for this finding.
	11/20/2013 Protect	be ready. To avoid ST delay, the current approach is to begin ST where the the ST decis and them as they are completed. Additionally, Melane 0.12 development that was been ded one weeks from the checked and additional been sciencide for a softwar to business day.	Insufficient IX may create paps in ST, kading to further equily suess. The may create the rise of a graficant datay or introduce defects into the production environment,	affecting NIT and ST The Adi provides comprehensive NIT results and ST sciencific for incomparing layors to all host provides and start include overstapping essing phase. (CAA2024) - The Adi houde exoluted picture development of the Adia and the Adia and Adia been transfer, licited GM2(2)/2024) - The Adi reacy been transfer licited GM2(2)/2024) - The Adi Licited Licited GM2(2)/2024 - The Adi Licited Licited L		5 High	Open	functions planned to be phased into FAT. Some of these reports an financia, and provide hey operational netrico that use complex and bala time to subdate for accuracy and complements. The 3-week deals for Epion. 2008 overlap of STA, FAT. These spaces, and EBT. 13 Listoneided development efforts. The subscreamed has the further dealsy and concurrent activities and states of the subscreamed that the further dealsy and concurrent activities and states of the subscreamed that the further dealsy and coordination granultiple tasks. If the same time. This may instruct the project and states of the subscreamed that the further dealsy and concurrent activities and states of the same time. This may instruct the project and states of the subscreamed tasks and the same time. This may instruct the project implementation includes that activated design, development, and System theory to the states of the same time. This may instruct the project without points and structures of the same time. This may instruct the project implementation includes that activated design, development, and System testing (FAT) by a weeks. This compares and located the SAT to addet and without points of a come reports and includes plasting into ST and AFT. Testing (FAT) by a functionality. However, the current to challed a state that development of some reports and includes plasting into ST and AFT. FAT development development and testing efforts adds. Complexity (ST 31):7223-73-716:10:43 a schedule dairy used and structures of the development of some reports and include plasting reports into FAT ad overlapping development and testing efforts adds. complexity is that extendes descreament and testing efforts adds. complexity is that extendes descreament and testing efforts adds. complexity is that extendes descreament adds and the schedule dates adds and the shared adds that extendes descreament adds and the schedule dates adds and the schedule that extendes descreament adds and the schedule dates adds and the schedule extendes deschedule managements	a 6 7 8 8 8	Org/14/2024 Why is this still ref? This should be in value of a monthlying applied of a monthlying approximation of the should be bond. All still rests have been repaired by the should be needed based on the should be needed based on the reprint of the should be needed based on the rest of the should be needed based on the rest of the should be needed based on the rest of the should be needed based on the should be should be needed based on the should be should be needed based on the should be should be the should be should be needed based on the should be should be needed based on the should be should be needed based on the should be should be should be should be should be should be sho
c carrie tolereet ricks that may impact overall project success and reduce user adopton.	Magement	ritized transferie. The version is generally referred to in Agies offware development as a Morinium Walter Mord, MON, which is a simplified version of a product that i johns functionality that meets the core made out a 31 a product that i johns functionality that meets the core made gen easies and feedback from wars to refine flaure product development.	such as potential challingen in securing user skyw in. This can result in limited user adaption, ore dissidiation, and angeinge publicity, particularly considering the fauxial investment made for the delivery of limited hunchestary. It compresses the mellion results of the public the and substrational constraints of the programs the quartity of publicity compression of the programs the quartity of the publicity compression of the programs the start of the publicity compression of the programs the start of the public balance start of the programs the start of the public the start of the start of the programs the start of the public the start of the start of the programs the start of the public the start of the start of the program the start of the start start of the start of the start of the start of the start of the start start of the start of the start of the start of the start of the start start of the start of the start of the start of the start of the start start of the start of the start of the start of the start of the start start start of the start start of the start start start of the start start start start of the start star	Inguistive expectations for the BS section, alg polius. If notionate identifies the form users and PS is some the obtainer methods the core needs and so users are easier of the section o				works rounds in preparation for Hint. There are not not works work in which are used in preparation for Hint. There are not not works work in the source pair in the source of the source of the source of the source of the work of the addressed prior to More. Additionally, planning is expanse for Dor's register, the Additional Source of the source of the source of the address showing pair INEES. In Controlland Works and the source of the address showing pair INEES in Control works works and project checkles were approved by DNS. There the cals be done may pair, the source of the source of the source of the source of the address showing pairs INEES. In Control works and the project checkles were approved by DNS. There the cals be done may pairs and provide the source of the source of the source of the source of the source of the source of the source of the source on the source of the source of the source of the source of the source on the source of the source of the source of the source of the source on the source of the source of the source of the source of the source of the source of the source of the source of the the source on the source of the source of the source of the the source of the source of the source of the source of the source of the the source of the source of the source of the source of the source of the the source of the source of the source of the source of the source of the the source of	t 4 9 9 9 9 9 9 9 9 9 9 9 9 9 9 9 9 9 9	OF/AD2004 "Some recover wells: functionality will be implemented post- post- ing that the source of the result of the source of the update as such?" "Are the Gaito Dense implement required functionality in multiple relaxase functionality in multiple relaxase functionality in multiple relaxase functionality in multiple relaxase functionality in multiple relaxase relative the programs' or "in Process".

Finding ID Title Reporter Type	Identified Date Category	Observation	Significance	Recommendation	Event Horizon Impact	Ana Probability Prio	yst Finding ity Status	Status Update	Client Comments	Vendor Comments
86 Limited collaboration between the ASI and Molina, Brad Finding - DHS in the design process could lead to BES Issue	8/1/2023 System Design	During the UAT process for release 11, there has been a high level of concerns raised by the DHS testers respective the unability of the RES system.	A significant amount of money and DHS resource time have been invested in , the BES solution, with the expectation that the new system will at minimum	OPEN - Perform Sprint and Epic demos in alignment with development sprint completion (demo functionality/requirements as they are developed)	Now	2 2 Low	Open	7/31/2024 - IVV observed positive progress this month with the ASI providing specific actions to address DHS concerns regarding the Mass	10/11/2023 Jessica - Our SMEs are providing their feedback. This is one of the items that I clarified with IV&V, that there are feedback given, no	
usability issues and functionality gaps in the		challenges with the user interface, missing functionality, and basic screen	provide all functionality found in current applications - but really should	to get early feedback on work products. CLOSED - ASI and DHS re-evaluate				Change Functionality (Epic 208). 6/31/2024 - IVV observed DHS and the ASI	feedback means design is ok. I rec'd an emal back from Joe F. that IV&V	06/14/2024
applications, not meeting critical business needs for DHS and State clients.		layout issues that would not be expected in a modern application. Based on defect reporting from the UAT process, a large majority of the defects are	provide additional capabilities, greatly enhanced user interface, and overall	the effectiveness of the recorded Sprint review process to ensure that designs align with DHS expectations. (closed 3/31/2024) - Include a wide				working collaboratively in a setting that promoted healthy dialogue on the	wants to meet with our reviewer to validate this.	Why is this in Not
needs for DHS and State clients.		defect reporting from the UAT process, a large majority of the defects are related to "design errors". Although the Release 11 UAT cycle was testing a		designs align with DHS expectations. (closed 3/31/2024) - Include a wide enough audience in all design and demo sessions to validate FNS and DHS				BES design therefore, the criticality rating is updated from a medium to low. 05/30/2024 – The ASI plans to continue live Sprint Demos for the remaining		Why is this in Not Started? We had a
		partially build system, a significant amount of design defects was	confidence in the solution providing the accurate information needed to	functional and technical requirements and system usability. (closed				Epic design work, providing a venue to increase collaboration with DHS. The		sprint demo for Ep
		attributable to functionality developed for Release 11.	provide benefits to HI citizens; reduction in ability for DHS to provide the	6/14/2024) - Perform comprehensive (demo all requirements) review				SSP development will follow the Waterfall methodology, so no sprints or		209. In addition, thi
			same level of needed services to clients, resulting in bad publicity for DHS and the state.	during Epic demos, not just the items that were added/updated, allowing				demos will occur. 04/30/2024 - IVV commends the ASI and DHS team for		should not include
			and the state.	DHS to provide early feedback on possible issues/gaps that might not be apparent when focusing on specific functionality. (closed 6/14/2024)				reverting to conducting four live sprint demos in support of Epic 209. These proved to enable timely, efficient collaboration. 03/31/2024 - Due to a high		Epic demos. We have always had live Epic
				apparent when rocasing on specific functionanty. (classe of 2472024)				number of questions and concerns from DHS during Epic demo 261		demos.
								(Approvals and Supervision), the ASI committed to hosting another demo to		Regarding SSP
								address all the feedback. Changes raised late in the design process could		following the Waterfall
								require code changes, potentially causing schedule delays or the resulting solution not meeting the business need. DHS staff attending Epic demos		methodology DHS
								should be prepared with an understanding of the agreed-upon designs and		has approved all the
								policy requirements relevant to the Epic so that feedback is efficient and on		designs, except one.
								point. 02/29/2024 - One demo (Epic Demo 211) was held in February as the		We are collaborating with DHS to obtain
								ASI focused on developing a Go-to-Green Plan for the Project. DHS also raised concerns in Readiness meetings regarding a gap in design where		their approval on the
								eligibility is not forced to run when critical benefit data is modified on a case		outstanding design.
								- which could also point to a gap in collaboration on key design decisions.		Design sessions will be
								01/31/2024 - DHS viewed Sprint demos for Epics 247 and 284 on January 9, 2024, where several concerns/issues were raised, resulting in necessary bug		scheduled as part of this process. There
								2024, where several concerns/issues were raised, resulting in necessary bug fixes. User experience issues that should have been raised during the sprint		are 20+ people invited
								demos were brought up during the Epic Demo for Epic 240 (repayment		to the design sessions. 04/10/2024 -
								agreements), that the ASI is not considering at this time. As of the end of 7/31/2024 - DHS Testers have logged 453 defects (excluding duplicates or those determined not to be defects, such as user error) in the first 5 weeks		04/10/2024 -
83 Gaps in test coverage and slower-than- expected progress in testing may result in ksue	6/2/2023 Testing	After examining the Project's R11 QA Dashboards, R11 Traceability Dashboards, and Test Repository, gaps in testing coverage may exist and the	Identifying defects early is vital for effective testing, as it is more efficient e and cost-effective to address issues during the early testing stages. If there	OPEN - DHS should request that the ASI develop a Corrective Action Plan to address the failure of prior test phases (Unit_INT) to capture defects that	UAT	4 4 Hgh	Open	7/31/2024 - DHS Testers have logged 453 defects (excluding duplicates or those determined not to be defects, such as user error) in the first 5 weeks.		
schedule delays if subsequent test phases		progress of testing might be lagging. Concerning testing coverage, it appear:	s is slow progress or incomplete testing in the early stages, it can result in	rolled into SIT CLOSED - The ASI should determine the root cause of the				of FAT with the following severities (High = 84, Medium = 201, Low = 168).		7/12/2024
uncover a higher volume of defects and user		that not all epics and use cases in R11 have associated test cases or are	more defects leaking into subsequent testing phases, necessitating more	failure to identify simple defects in INT and SIT and implement effective				Open/unresolved defects total 230 (50%) with the following severities (High		
feedback than initially anticipated.		testing the correct use cases. In terms of progress, some test cases remain	extensive and rigorous testing efforts. Insufficient testing coverage or slower than-anticipated progress throughout the project lifecycle increases the risk	improvement processes to confirm early testing is adequate before entering				= 36, Medium = 112, Low = 82). Seven high-severity defects have been in		As mentioned
		unexecuted, and not all defects have been resolved as the project commences System Integration Testing (SIT). The ASI has plans to complete	than-anticipated progress throughout the project lifecycle increases the risk of encountering significant delays, extensions, or the introduction of defects					unresolved status for 5 days or more, with one defect remaining open since 6/28/2024. IVV is concerned that the test execution schedule will be		previously, eWorldES delivered a simplified
		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	with the best system possible. (3/31/2024) IN PROGRESS - DHS and ASI				compromised if testers continue to wait for fixes to be delivered before they		RTM to DHS to enter
			Final Acceptance Testing (FAT).	monitor INT/SIT closely for both breadth and depth of testing to ensure the				can complete their planned tests and the risk that testers will discover new		into FAT in order to
				system is adequately tested				downstream defects that must also be fixed prior to Pilot. 6/30/2024 - Improvement of System Integration Testing (SIT) defect resolution totals		meet the requirements Go FAT criteria. In
								Improvement of System Integration Testing (SIT) detect resolution totals addressed IVV's concern that the high number of unresolved defects would		Go FAT criteria. In terms of the SIRT, this
								delay SIT exit. The ASI exited the SIT phase as scheduled on 6/21/2024 with		is deliverable is not a
								91 unresolved defects (43 medium severity and 48 low severity, or 10% of		criteria for entering
								the total) compared to 352 unresolved defects at the end of May and with no unresolved critical and high-priority/severity defects. However, IVV is		into FAT. Please confirm with DHS.
								concerned that the project team entered Final Acceptance Testing (FAT) on		06/14/2024
								6/24/2024 without approved versions of the RTM and System Integrity		
								Review Tool (SIRT) deliverables. While the SIRT is not a criterion for entering		Why is this still red? It
								FAT, both the RTM and SIRT deliverables demonstrate that the BES system meets functional and contract requirements. Risk exists that testers may		is very clear that we have full coverage of
								identify unmet contractual requirements during FAT execution that delay the		all the functionality
								Pilot or result in the need for workarounds that can compromise system		and that we are going
								usability or user satisfaction. IVV will monitor testing results and trends as		to make it to FAT. This
								the project moves through FAT execution. 5/31/2024 -On 5/9/2024, 43% (352 out of 818) of the defects identified during SIT were unresolved. Of		should be in yellow fo monitoring.
								those, there were 2 critical severity defects and 19 high severity defects. By the end of this reporting period, the percentage of unresolved defects		04/10/2024 - All test scripts for
										All test scripts for
82 The lack of technical documentation may Heath, Dustin Finding - lead to incorrect implementation statements Issue	4/27/2023 Security and	In April, the ASI/DHS system security plan (SSP) authors began writing implementation statements. Currently, the technical documentation	Once the system architecture and design have been completed, the SSP authors may need to edit or rewrite implementation statements. A full draft	OPEN - Determine when documentation will be created, updated, and	Prior to the start of the third-party	4 5 Hgh	Open	7/25/2024 The ASI stood up the production environment on July 8th, allowing the BES Independent Security Assessment penetration testing team		06/14/2024
or delay the System Security Plan	Privacy		authors may need to edit or rewrite implementation statements. A full draft of the SSP is scheduled to be published August 15th 2023, and the final SSP	available for the SSP authors Collaborate and communicate with SSP authors about when reliable and correct documentation will be available.	the third-party assessment			allowing the BES independent Security Assessment penetration testing team to gain access and start the four week period of testing the BES system. The		06/14/2024
or denily the system security rish		decisions on what tools support the SSP controls are still being decided on.	(ready for federal partner review) is scheduled for September 15, 2023. The	Perform a full review of all draft SSP controls for content and accuracy prior	BARLANTRES.			ASI participated in interviews with the BES Independent Security Assessment		Feedback already
		Implementation statements are currently being written from the perspective	e SSP is a large technical document with hundreds of controls and control	to the start of the Independent Security Controls Assessment of BES and				assessors. Additional interviews will continue into August. The ASI is		provided by David
		of how the system should be designed from the SSP author's perspective		submission of the SSP package to federal regulators. This will allow the SSP				internally reviewing the Disaster Recovery (DR) plan before delivering it to		Rolla at May pre-meet
		Instead of how the system is actually designed. The SSP authors need to know and use documentation such as System Architecture and Design.	the control or enhancement has been met.	authors to update controls with changes from Design through				DHS. However, this DR plan is unavailable for the current security assessment and should be available and tested prior to another assessment.		Security & Privacy
		network topology, dataflow, ports and protocols, tools used for logging, etc.		Implementation. COMPLETE - Determine when the infrastructure design baseline will be completed. (06/30/2024)				such as the IRS. The completion of the Secure Enclave design now allows for		slide is that there is no
								significant updates to "Planned" responses to be made to Appendix A, which		context provided
								contains IRS security controls in the SSP. The Social Security Administration		regarding the responsibility for the
								(SSA) also performed its security assessment in July, and the ASI/DHS Security Team is providing additional information and evidence prior to the		majority of the
								SSA report and PDAMs (Plans of Action and Milestones) being issued for		documents. As we
								remediation. It is too early to determine the impact of remediation activities		have discussed
								and if there are any impacts on the BES Pilot schedule. 6/28/2024 - The ASI		previously, DHS has thus far been unable
								reported that they continue to author security documentation throughout June 2024. All available documentation, such as policies or procedures cited		thus far been unable to produce these
								in the system security plan (SSP), has been provided to the BES third-party		documents, but that
								security assessment team. Seventy-nine (79) documents are cited in the SSP		would not be evident
								by name. Thirty-nine (39) of those documents are either in draft form or do		to the reader without additional context."
								not exist. Of the thirty-nine (39) documents, thirty (30) documents DHS was identified as the owner, and nine (9) the ASI was recognized as the owner.		5/11/2024
								Penetration testing was moved from the UAT environment to the production		
								environment and the assessment team was ensured that production and		Feedback already provided by David
								UAT were in parity with each other. One reason to move the environment		Rolla at pre-meet.
								was to keep the penetration testing from interfering with final acceptance testing. The ASI reports the production environment will be wall ble for		"My concern with the
80 Development delays have negatively Fors, Michael Finding -		ASI had previously reported development activities have been slowed as		OPEN • ASI effectively track and regularly provide DHS (potentially via the	Immediate	3 3 Med	Open	testing. The ASI reports the production environment will be available for 07/26/24 - The ASI has recently reported additional development delays that		
impacted the project schedule and delayed Issue	Development	they have been unable to achieve and/or maintain their expected	milestones, schedule delays may lead to a delayed system go-live date.	weekly DDI status meeting) with an accurate velocity (e.g., story points per				could put go-live milestones at risk. The ASI plans to mitigate this risk by		05/11/2024
go-live.		development velocity. Previously, the development team was challenged with accurately estimating development task level of effort (i.e., story	Failure to achieve a level of accuracy in estimating development tasks could lead to a project schedule that is flawed and unrealistic. Previously, DHS	day/week/month) and assure that the current velocity is accurately and consistently reflected in the project schedule • The ASI should provide DHS				acquiring additional resources to compensate for recent delays. Burndown charts typically provide project stakeholders and executive leadership		As discussed at pre-
		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	consistently reflected in the project schedule • The ASI should provide DHS with the time needed to effectively evaluate the software demonstrations				visibility into the overall productivity of system development efforts.		As discussed at pre- meet, the
		schedule that accurately reflects realistic timelines (see Finding #74). The	ASI BAs lacking the expertise required to create optimal designs and system	(demos) and elicit productive design discussions with DHS attendees during				However, DHS has stated the ASI provided burndown charts currently		development team ha
		ASI continues to be challenged with finding qualified resources in a timely manner	specifications that developers could consume without requiring extensive clarification from the ASI BA/SA team. DHS and I/V observed instances	each demo. ASI regularly report estimated story points for the total				provide little to no value to project stakeholders. IVV recommends DHS request burndown charts (or other reports) that provide value to the project		been primarily focuse
		manner.		remaining project work to reach go-live and present a dynamic burndown chart to track the progress. • The ASI should consider enhancing the depth				request burndown charts (or other reports) that provide value to the project and give visibility into their overall velocity and whether they will be able to		on fixing BES 1.0 defects. DDI work for
			Where ASI BAS/SAG have presented less than optimal designs and left it to DHS (who may lack software or UI design expertise) to improve, which has	of developer unit testing. COMPLETE CLOSED • DHS request the ASI				and give visibility into their overall velocity and whether they will be able to meet Statewide go-live milestones. 06/30/24 - The ASI adjusted how they		BES 1.1 and 1.2 are
			contributed to unproductive design sessions (see Finding #61). It remains	strategically add the right project team resources to effectively increase				calculate velocity to provide greater transparency on the level of progress.		forthcoming.
			unclear if scope creep has contributed to these delays.	velocity. Note that adding additional junior resources may not be as effective as staffing additional expert-level development, analysis, and other				The ASI is creating burndown charts to provide greater visibility/clarity into		
								their development productivity and progress. The Project continues to be challenged with high defect rates which pose code quality risks that could		
				resources that can lead and mentor junior resources. • ASI reviews the development process and identifies and mitigates the challenges preventing				delay go-live. 05/31/24 - The ASI adjusted how they calculate velocity to		
				resources that can lead and mentor junior resources. • ASI reviews the development process and identifies and mitigates the challenges preventing them from incorporating Epic demo activities into the project schedule.				provide greater transparency on the level of progress they're making. The		
				resources that can lead and mentor junior resources. • ASI reviews the development process and identifies and mitigates the challenges preventing them from incorporating Epic demo activities into the project schedule. (9/29/23 - ASI will not be doing this, with DHS approval) ASI consider taking				provide greater transparency on the level of progress they're making. The ASI is elevating the planned story points per sprint to motivate developers to		
				resources that can lead and mentor junior resources. • ASI reviews the development process and identifies and mitigates the challenges preventing them from incorporating Epic demo scitvities into the project schedule. (9/29/23 - ASI will not be doing this, with DHS approval) ASI consider taking tenss to increase rock exaitivit. Inclusions the denth of developer				provide greater transparency on the level of progress they're making. The ASI is elevating the planned story points per sprint to motivate developers to be more productive even though the planned goal may not be realistic or		
				resources that can lead and mentor junior resources. • ASI reviews the development process and identifies and mitigates the challenges preventing them from incorporating Epic demo activities into the project schedule. (9/29/23 - ASI will not be doing this, with DHS approval) ASI consider taking				provide greater transparency on the level of progress they're making. The ASI is elevating the planned story points per sprint to motivate developers to be more productive even though the planned goal may not be realistic or achievable. While this approach may benefit the development team, it obfuscates their true productivity and whether the team is petiting beter at		
				resources that can lead and mentor junior resources. • ASI reviews the development process and identifies and mitigates the challenges preventing them from incorporating Epic demon activities in the there priorite xchedule. (9/29/23 - ASI will not be doing this, with DHS approval) ASI consider taking steps to increase code quality, including enhancing the depth of developer unit testing, tracking and practively preventing. Isakage, and enforcing				provide greater transparency on the level of progress they're making. The ASI is elevating the plannet story points per spirit to motivate developers to be more productive even though the planned goal may not be realistic or achievable. While this supposed may benefit the development team, it oblucates their true productivity and whether the team is getting better at estimating (a key Aglien entholoday objective). Wo recommends that the		
				resources that can lead and mentor junior resources. • ASI reviews the development process and identifies and mitigates the challenges preventing them from incorporating Epic demon activities in the there priorite xchedule. (9/29/23 - ASI will not be doing this, with DHS approval) ASI consider taking steps to increase code quality, including enhancing the depth of developer unit testing, tracking and practively preventing. Isakage, and enforcing				provide greater transparency on the level of progress they're making. The ASI is elevating the planned story points per sprint to motivise developers to be more productive even though the planned goal may not be realistic con achievable. While this approach may benefit the development team, it obfuscates their true productivity and whether the team is giviting better at estimating (a key Aglie methodology objective). NV recommends that the ASI work to import their estimates to provide realistic timelines, avoiding the spring team of the spring team of the spring team of the spring team of the spring team of the spring team of the spring team of thea		
				resources that can lead and mentor junior resources. • ASI reviews the development process and identifies and mitigates the challenges preventing them from incorporating Epic demon activities in the there priorite xchedule. (9/29/23 - ASI will not be doing this, with DHS approval) ASI consider taking steps to increase code quality, including enhancing the depth of developer unit testing, tracking and practively preventing. Isakage, and enforcing				provide greater transparency on the level of progress they're making. The ASI is elevating the planned stray points per privat to motivate developers to be more productive even though the planned gail may not be realistic or activevable. While this approach may benefit the developerent team, it obscusses their true productivity and whether the team is getting better at estimating (a lay elight emethoding) deplective). Whi recommends that the ASI work to improve their estimates to provide realistic timelines, avaiding continual re-baseling of schedule and providing realistic takes for DHS continual re-baseling of schedule and providing realistic takes for DHS and the schedule and schedule and schedule sche		
				resources that can lead and mentor junior resources. • ASI reviews the development process and identifies and mitigates the challenges preventing them from incorporating Epic demon activities in the there priorite xchedule. (9/29/23 - ASI will not be doing this, with DHS approval) ASI consider taking steps to increase code quality, including enhancing the depth of developer unit testing, tracking and practively preventing. Isakage, and enforcing				provide greater transparency on the level of progress they're making. The SUL is elevating the planed to toy points previot to molvate developers to be more productive even though the planed gain may not be realistic effective to the second sec		
				resources that can lead and mentor junior resources. • ASI reviews the development process and identifies and mitigates the challenges preventing them from incorporating Epic demon activities in the there priorite xchedule. (9/29/23 - ASI will not be doing this, with DHS approval) ASI consider taking steps to increase code quality, including enhancing the depth of developer unit testing, tracking and practively preventing. Isakage, and enforcing				provide greater transparency on the level of progress: they're making. The SALI is elevating they makes data provides the developers to be more productive even though the planned goal may not be realistic achievable. With the supprach may benefit the development to the transit of dolacates their trans productivity and selective the team is getting better and activity of the supprach and the selective transition of a Sali work is imported better than the sum and the superior activity of the selectivity of the productivity and selective transition of a Sali work is imported better than the sum of the superior activity of the selectivity of the selectivity of activity of the selectivity of the selectivity of the selectivity of the selectivity of the developer activity of the selectivity of the developer activity of the selectivity of the sel		

ID Title	Finding Reporter Type	Identified Date Category	Observation	Senficance	Recommendation	Event Horizon	Impact Proba	Analyst bility Priority	Finding Status	Status Update	Client Comments	Vendor Comments
74 A BES Project schedule based on inaccurate	Molina, Brad Finding -	11/29/2021 Project	DHS and the ASI have tried multiple times to rework the schedule with	If estimates for project schedule activities are not accurate, this can lead to		Immediate	3	4 High	Open	07/31/2024 - The ASI is actively working on defect resolution and new		
estimations diminishes effective planning	Issue	Management		constant schedule changes, resources not being available when needed,	based on the project teams past performance and resources available to d					development work. A few key documents/deliverables, including the		7/12/2024
and resource management, which could result in late deliverables, cost increases,			estimating practices, and ability to manage to the schedule persist. The use of multiple tools to track resources obfuscate resource management.	rushed activities, and general frustration which can lead to schedule delays, low quality output, scope changes, and budget issues.	the remaining work ASI conduct a Root Cause Analysis (RCA) with DHS an IVV to determine why the BES project continues to experience schedule	hd				Disaster Recover Plan, Data Conversion results, and Requirements Traceability, are behind schedule. The ASI is hiring additional resources;		7/12/2024
and a late go-live.			Previous IV&V findings focused on specific schedule components such as	tow quarty output, acope changes, and bodger tables.	delays ASI Project Management works with the development teams to					however, it is not known if these resources will have a positive impact on		The update for this
			resource management and critical path analysis, all of which were		evaluate the accuracy of development velocity and adjust accordingly to					the work remaining as defined in the schedule. 06/31/2024 - The Project'	•	finding does not
			addressed and closed.		reduce risk in the revised BES project schedule. +ASI provides Burndown					ability to perform according to the approved BES Project Schedule continue	5	reflect current status of the Primary/DDI
					charts that provide visibility into the remaining work. NOT COMPLETED - As provide details on how Velocity measures were used to calculate the	51				to be a high risk. The ASI completed their schedule reviews with DHS and IVV, baselining the schedule on 06/19/2024. IVV continues to monitor a		project schedule(s).
					remaining development work. COMPLETE DHS and the ASI agree to a revise	ed.				schedule that has seen six (6) delays to the Pilot and Statewide Go Live date		6/14/2024
					schedule against which project deliverables can be managed. (2/28/2023					since the BES 2023 restart in February 2023, with two (2) eight-week delay		
					complete) ASI host a weekly meeting with DHS and IVV to review all change					introduced in March and May of this year. The original Pilot start was		An email stating the concern regarding th
					to the project schedules (Primary and DDI). (8/31/2023-complete) CLOSED ASI plan and execute Epic development so that Epic demos can occur earlie					01/02/2024, with Statewide Go-live on 04/01/2024. Based on the schedul published on June 29, 2024, Pilot starts on 09/16/2024, and the Statewide		deliverable timing wa
					in the release schedule and allow time for possible revisions. (12/31/2023	en L				Go-live is on 02/10/25. 05/30/2024 – The ASI released a revised schedule	1	sent by PCG at 4:47
					No done) As requested by DHS, add key milestones to the project schedule	e,				that may reduce DHS/IVV concerns. The draft schedule was under review a		pm on May 31st. I
					such as Sprint and Epic demos, to show key progress towards completion of	of				the end of this reporting period. The revised schedule has three key		responded within the hour stating we will
					Epics. (9/29/23 ASI says that they will not do this.) Confirm current assumption that a delay with the current go-live date will not result in majo	~				deliverables (Requirements, Traceability Matrix (RTM), System Integrity Review Tool (SIRT), and Validated Results of Data Conversion Testing)		look at adjust the
					implications. (6/29/23) Leverage velocity and burn down charts to adjust	~				scheduled from June 7 – 14, which could be a resourcing challenge for DHS		dates at the schedule
					development tasks estimates if needed. Leverage velocity and burn down					IVV shared the DHS resourcing challenge with the ASI on May 31st and the		review meeting, which
					charts to adjust development tasks estimates if needed. (4/30/2023 - ASI					ASI responded immediately that they would address it at the next Schedul	2	we did. I do not thin this should be
					using Jira) Using the available tools, review the current estimates to complete each activity compared to past actual hours (1/31/2023 - new AS					Review Meeting on June 5, 2024. IVV will continue to monitor the project team's ability to meet this schedule and for any new or re-introduced risks		identified in May's
					Not Started) Update as necessary and provide the DHS/ASI Project Manage	urs				that could impact the go-live dates. 4/30/2024 - Several tasks have been		report. Meetings we
					with reports and data that accurately reflect the DHS/ASI resource needs					delayed in the project schedule - some (i.e., data conversion) more than 20		still underway to
					along with over/under allocations of staff for the duration of the Project					days. Additionally, the HANA/BES integration (Epic 209), scheduled to enter	r	adjust the updated schedule.
73 The planned 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	 (1/31/2023 - new ASI - Not Started) Develop mitigation and contingency ASI develop a process to closely monitor cloud and other product change 	s Next several	2	2 Low	Open	SIT on April 15, was in development at the end of the month. IV&V is 7/26/24 - No material update for this reporting period. 6/20/24 - No		acredite.
which could be difficult to implement and	Risk	10/20/2022 System Deagn	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 one	ce months	1	1 1011	open	material update for this reporting period. 5/31/24 - It remains unclear how		11/17/2023 -
lead to schedule/cost impacts.			Further, the Project Team has yet to finalize components that will make up	project could be met with unexpected costs and schedule delays. Delays in		nce				infrastructure complexity will impact DR testing and execution. 4/30/24 -		Again, why is DR bein
			the BES infrastructure and the additional costs and time to configure, test, and implement the planned complex environment remain unclear.	finalizing the components being implemented could exacerbate this risks and lead to further delays. Complex platforms often present system	over the utilization and maintenance of the various system tools/components. • ASI allot time in the schedule to conduct proof of					No material update in this reporting period. 3/31/24 - During a recent Change Control Board (CCB) meeting the ASI presented DHS with a for-cos		referenced here? Per the current project
			and imprement the planned complex environment remain unclear.	maintenance and operations challenges as system changes can hold the	concepts to assure infrastructure components work as expected. • ASI					change control board (CCB) meeting the Ast presented DHS with a for-Cos change request (CR) to the design of the Secure Enclave (the addition of		schedule, the DR plan
				increased potential for system failure (i.e., due to the significant number of	maintain a detailed schedule for DevOps implementation tasks to avoid					roles). In the CCB, it was clear that DHS and the ASI were not in agreement		is scheduled to be
				"moving parts") and increase the level of time and effort to resolve	unexpected delays that could delay project milestones and the critical path					regarding the funding of this change request. 2/29/24 - No material update		submitted at the end
				infrastructure and application-level bugs. Further, some components remain in an immature state compared to their legacy counterparts. For						in the reporting period. 1/23/24 - No material update in the reporting period. IVV continues to monitor this finding. 12/31/23 - No material		of the year. Reminde Pilot Go-Live is April
				example, the project recently experienced a system failure because Google						update in the reporting period. IVV continues to monitor this finding.		2024.
				Cloud failed to clearly communicate a change that led to failure in another						11/30/23 - Some components of the BES system infrastructure have yet to		
				component (i.e., Nexus). Google Cloud is generally viewed as a less mature						be finalized and tested, it remains unclear how or if the added complexity		10/31/2023 -
				product offering, compared to their rivals (Amazon Web Services, Microsoft Azure). IV&V remains concerned that this could lead to failures at critical						will impact project schedules and budgets going forward. The ASI has reported they are close to finalizing the Secure Enclave infrastructure to		Vic - westill do notunderstand why
				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						house FTI data. The ASI appears to be making progress on DR plans and		this remains.
										designs. 10/30/23 - The ASI continues to have productive discussions with		10/11/2023
										DHS during their weekly Architecture calls. The ASI has yet to finalize their		
				employees, they could face challenges supporting tools they may not be familiar with in a complex infrastructure environment						plans and technical architecture for conducting Disaster Recovery (DR). The		Please reference
				tamiliar with in a complex intrastructure environment.						cloud technology being implemented offers some benefit and can simplify some elements of DR. However, it remains unclear if the complex		vour updates on
										infrastructure (with the multitude of components being employed) will		finding #82 Security
										impact their ability to test and perform DR. 9/28/23 - The ASI has		and Privacy which
										experienced turnover of their Enterprise Architect position; this does not appear to have had a material impact on the overall infrastructure build.		documents the work being done for the
										appear to have had a material impact on the overall infrastructure build. The ASI continues to make progress in the build-out of their infrastructure		Secure Enclave.
										and is confident that the automation they've implemented will simplify		Secore Enclose.
										many maintenance tasks Given that, they remain confident they will be able	1	
	Fors, Michael Finding - Risk	8/23/2021 Configuration and	The Bi-6 DDI Plan Deliverable, Section 5.2 establishes the framework for the	Configuration Management is a set of processes and procedures that	OPEN ASI adhere to plans for configuration management as documented		2	2 Low	Open	7/26/24 - No material update for this reporting period. 6/20/24 - No		
could lead to development confusion and reduce the effectiveness of defect resolution	MSK	Development	Configuration Management Plan, however, it remains unclear if sufficient progress has been made toward establishing CM processes and governance.		in BI-6 DDI Plan, Section 5.2 and clarify details and/or any changes with DP • ASI validate plans for configuration management with DHS and agree on a					material update for this reporting period. 5/31/24 - IVV has yet to receive a detailed, comprehensive list of configuration items the ASI will be tracking.		10/31/2023 -
			selecting CM tools (e.g., CMDB), and building out the CM infrastructure. The	Management that may reduce errors and should provide the project team	meaningful set of configuration items or settings they will track. • DHS and					4/30/24 - IVV has yet to receive a detailed, comprehensive list of		Vic - We provided a
				with accurate, dynamic and timely information on some of the configuration						configuration items the ASI will be tracking. 3/31/24 - Responsibility for the		listing, working on a
				items. However, it is critical that DHS/ASI agree to the full list of items that						Configuration Management Plan (CMP) reverted to the ASI (previously, the		plan to implement. MF - Broad categorie
			relies on Github for tracking of some configurations.	are included in the configuration plan along with the details regarding the management of the configuration items, reporting and audit features.	Configuration Management Activities that would provide oversight of configuration management activities and assure defined CM steps and plan	15				DHS Security Contractor was updating the CMP for related security controls). The ASI is resuming this scope of work at a time when its		Vic - we are working
				and a second sec	are being followed, are effective, and are achieving DHS objectives for CM					resources are stretched and may lead to CMP and configuration		on the details now.
					7/31/2022					management quality challenges. 2/29/24 - No material update in this		This will become more
										reporting period. 1/23/24 - No material update in the reporting period. 12/31/23 - The project will utilize the DHS contractor currently assisting		important and we work to get ahead of
										12/31/23 - The project will utilize the DHS contractor currently assisting with security activities to update the Configuration Management Plan		the M&O plan.
										(CMP). The scope of work that the DHS contractor is responsible for is		10/11/2023
										unclear to IVV. 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 AS so that the level of detail is clear. 10/26/23 - The ASI provided broad		IV&V requested th list last month and is
										so that the level of detail is clear. 10/26/23 - The ASI provided broad information on the configuration items being tracked but have yet to		waiting on the ASI to
										provide detailed configuration items for IVV review. The ASI has		respond - Please
										deprioritized some configuration management activities, which it intends to		see the following list
										perform in preparation for Maintenance and Operation (M and O). 9/28/2 - The ASI gained DHS ^I approval on the items that will be tracked and	3	of configuration management items
										 The ASI gained DHS' approval on the items that will be tracked and monitored as part of configuration management. IVV requested the list last 		management items which are/will be
										month and is waiting on the ASI to respond. 8/31/23 - No material update.		managed in
										7/31/23 - No material update. 6/30/23 - No material update. 5/31/2023 -		ServiceNow:
										The ASI continues to make progress with its utilization of the ServiceNow		Incident Response
										Configuration Management (CM) tool. They have recently performed an initial import of Google Cloud Platform server details into the ServiceNow		Change/Configuration Management

3

Finding D Title Reporter Type	Identified					Ana	alyst Find	ing		
Title Reporter Type 38 Delays in providing the required deliverables Molina, Brad Concern	Date Category 7/24/2024 Project	Observation Not all the documents that FNS is required to review have been provided. In	Significance	Recommendation	Event Horizon Impact	Probability Pric	ority Stat	us Status Update	Client Comments	Vendor Comments
to FNS could extend the review time needed	Management	Not all the documents that HNS is required to review have been provided. In the weekly Readiness meeting on 7/23, it was mentioned that FNS is at its year-end, so its workload is backing up, which might require its document	The BES pilot cannot start without FNS's concurrence. Therefore, it's critical the project team deliver the required deliverables to FNS as soon as possible		now U	UNA	Ope	n		
and delay FNS's concurrence to start the plot.		year-end, so its workload is backing up, which might require its document	so FNS has the necessary time to review and give the go-ahead to start Pilot.							
proc.		review to take the full 60 days. The longer DHS delays getting deliverables to FNS, the closer it gets to the planned start for Pliot.								
97 Insufficient coordination and management Kalsi, Neetu Concern	7/23/2024 Testing	IVV is concerned with the time travel test environment which may cause	A lack of clarity around this complex effort of time travel testing and data	Explore a solution to implement a more flexible date update process and/or	0 0	0 NA	Ope	n		
of time travel test execution and the time travel environment could lead to rework and		delays in the testing schedule. Time Travel is a testing process in which a separate testing environment is moved forward to specific future dates to	refreshes has resulted in some testers needing to re-execute test set-up	mechanism to mitigate potential test execution delays.						
travel environment could lead to rework and schedule delays.		separate testing environment is moved forward to specinic tuture cases to verify eligibility and ensure date-driven scenarios behave correctly. The current configuration has the system date manually advanced after work	can suffer as testers are under pressure to complete their testing on time.							
			Rework increases testers' workloads and increases the chance that FAT							
		hours for a single date change. FAT testers must wait for their specific date advancement requests to be applied before they can proceed with and/or complete their test cases.	cannot be compreted as schedured.							
94 The lack of an effective way to validate BES Molina, Brad Finding	4/25/2024 Requirements	complete their test cases. The Requirements Traceability Matrix (RTM) (BI-21) plays a vital role in	It is unclear to DHS and I/V how the ASI will trace requirement coverage for	IN PROGRESS • Develop a document that provides DHS with a feasible and	5/10/2024 3	3 Mm	d Ope	n 7/31/2024 - Discussions were held throughout July regarding the form	at	
requirements could lead to project delays Risk	Analysis &	ensuring the system's compliance with contractual commitments by	SIT completion. DHS may be unable to make an informed decision on SIT ex	it effective way to map contract requirements to passed test cases, and, per				and structure of the Requirements Traceability Matrix (RTM). However	r, the	7/12/2024
and unfulfilled user needs if DHS later identifies unmet contractual requirements.	Management	associating each requirement with passed test case(s). However, the approved project schedule shows the RTM completed on 6/26/24, which	criteria. This could lead to DHS starting Final Acceptance Testing (FAT) and then realizing that not all requirements have been fully met, resulting in	the BI-19 (Complete and Final Test Plan), "Maps the implementation, functional and technical requirements to the test cases and test scripts" •				ASI has not distributed a reformatted BI-21 Requirements Traceability Matrix deliverable for DHS review and approval. IVV remains concerne	Ithat	I'm not sure if this is
		falls after the Core SIT exit decision on 5/10/24. The ASI provided the BI-22a System Integrity Review Tool (SIRT) to DHS on April 26, 2024, but withdrew	delays.	Ensure test scripts thoroughly and comprehensively test the system to				the delay in finalizing the RTM may lead to requirements tracing issue	s,	worth noting but
		System Integrity Review Tool (SIRT) to DHS on April 26, 2024, but withdrew the deliverable due to DHS concerns. This BI-22a deliverable may help DHS		assure each requirement has been fully met.				missing required Pilot functionality in BES, testing gaps, and project d 6/30/2024 - NV is reporting positive movement on this risk this month	ays. The	eWorldES did deliver an "Interim" BI-21
		validate requirements.						6/30/2024 - IVV is reporting positive movement on this risk this month ASI delivered a draft Bi-21 RTM to DHS and used DHS feedback to revis	the	an "Interim" BI-21 RTM to satisfy the
								RTM's structure to simplify the tracing of requirements, use cases, ep and tests in a single report. The ASI continues to make additional revi	s, ilons	requirement criteria for entering into BES
										1.0 FAT.
								Deliverable Expectations Document. An approved RTM was not deliver 6/21/2024 per the schedule nor by the end of this reporting period. U	a by ntil	06/14/2024
								the ASI submits a final RTM for review, the risk remains that all contra requirements have not been fully validated, which could result in a sy	ctual	The BI-21 RTM
								with unmet user needs 5/31/2024 - In the revised schedule, the ASI		deliverable has bee
								provides the BI-21 Requirements Traceability Matrix (RTM) for review 6/7/24 (before FAT entry). The updated SIRT will be provided at the s	an	reviewed and discussed multiple
										times at the bi-weel
								DHS' request, DHS now faces reviewing 2 major project deliverables (RTM and BI-22a SIRT) during the same 7-day (6/7-14/2024) period.	121	CCB meeting. Draft
								revised schedule does not allow enough time for DHS' ability to validate deliverables or the RTM does not fully support DHS' ability to validate	une -	reports of the BI-21 have also been
								deliverables or the RTM does not fully support DHS' ability to validate BES system requirements. FAT entry and so-live may be delayed. IVV sl	dhe	provided and reviewed. Please
								BES system requirements, FA1 entry and go-ive may be delayed. IVV si this concern about the review overlap with the ASI on May 31 and the immediately responded that they would address it.	ASI	reviewed. Piease referencehttps://unis
								immediately responded that they would address it.		sbes atlassian.net/wil
										/spaces/PMO/pages/ 96370108/CCB+Meet
13 Due to the lack of physical and technical Reynolds, Finding - testing of the interfaces and data transfer Mark Risk	4/29/2024 Integration and Interface	Aside from the functional testing accomplished during epic testing, specific data flow testing is usually part of an interface definition.	difficult-to-resolve issues, such as scrambled or missing data - or the system	d In Process 1. API interfaces should be tested for failure conditions during connection and transfer operations. 3. FTP and file interfaces should be	2024 2nd Qtr 3	2 Mec	d Ope	interfaces in the BES 1.0 (Pilot) release have been completed. BES 1.0		05/14/2024
failure, conditions may exist with data	Management		may have a fault or exception. Since the Project has not established and	tested for data and file integrity. 4. Test data fields for system impacts				interface testing is expected to conclude by mid-August. 06/28/2024	The	
format, boundaries, and dependencies. These failures may result in intermittent and			tested the fault scenarios, we do not know how the system may react.	resulting from data that is poorly formatted, out of range, or other unexpected data transmission errors. Removed 2. [n/a, no transactional				ASI has prepared the test scripts for the 12 interfaces included in the P release. This first round of test scripts reside in the Jira tool and are bei	N	As mentioned at th May pre-meet, a
hard-to-isolate problems or errors				interfaces therefore no race conditions] API interfaces should be tested for				executed to be complete by mid-July. The Office of Information Techno	logy	technical Interface
				race conditions. 5. [redundant with #4] Interface records and files should be tested for format, length, or other physical formatting errors.				(OIT) will be required to provide special case file alterations. 05/23/2 The ASI and DHS continue to define the interface test approaches. Tech	24 - nical	team plan does ex to address PCG's
								interface testing details, including the Transport Layer, are planned to	2	recommendations
								discussed in June.		this finding.5/11/2
										As mentioned at the pre-meet, a technic
										Interface team plan
										does exist to addres PCG's
										recommendations for
										this finding.
9 The current approach to completing the Kalsi, Neetu Finding - development of the remaining epics is Issue	12/21/2023 Testing	Ten of the Epics scheduled for completion before Release 0.12 SIT will not be ready. To supply SIT delays, the current approach is to begin SIT without	Overlapping development and testing introduces potential quality issues. Insufficient INT may create gaps in SIT, leading to further quality issues. Thi	OPEN - The ASI validates that development and testing resources have I	law 4	5 Hig	h Ope	 7/31/2024 - In July, the ASI delayed the delivery of several reporting functions planned to be phased into FAT. Some of these reports are fin 	and a large state of the state	06/14/2024
condensed and appressive which may								and provide key operational metrics that are complex and take time t	2	
Increase the likelihood of schedule delays, quality issues, and a higher volume of		development that was extended two weeks from the scheduled end date has been extended for another ten business days.	production environment.	affecting INT and STT The ASI provides comprehensive INT results and STT scenarios for incomplete Epics to DHS for review/approval ahead of SIT				validate for accuracy and completeness. The 2-week delay for Epics 2 and 208 and the 5-week delay for Epics 203 and 244 is resulting in the	3b	Why is this still red This should be in
testing defects.				execution. CLOSED - The plan to complete BES implementation does not include overlapping testing phases (5/24/2024) - The ASI should evaluate if				overlap of SIT, FAT testing support, and BES 1.1 (statewide) developm efforts. IVV is concerned that the further delays and concurrent activ	int	yellow for monitori after discussions in
								efforts. IVV is concerned that the further delays and concurrent activ will lead to increased complexity due to the difficulty of managing an	des	after discussions in April (March report)
				been tested. (closed 06/01/2024) - The ASI release a detailed schedule of events, including development completion, INT start, and SIT start for each				coordinating multiple tasks at the same time. This may impact the pro	ject	In addition, the item listed should be don
				events, including development completion, INT start, and SIT start for each epic covered in the mitigation plan. (closed 05/01/2024) CANCELED -				team's ability to complete testing and other required activities to meet and statewide go-live dates. 6/30/2024 - In May, the ASI published a re	pilot	listed should be don All SIT tests have be
				epic covered in the mitigation plan. (closed 06/01/2024) CANCELED - Develop a Risk Mitigation Plan to address challenges of managing multiple				implementation schedule that extended design, development, and Sy	stem	reviewed and
				test environments, multiple code bases and versioning within and across Beleases				Integration Testing (SiT) execution and delayed the start of Final Accep Testing (FAT) by six weeks. This extension allowed the ASI to adopt a i	ance	approved by DHS. There is no retesting
								reducing change to deliver all functional groups to the remainder of S	T	needed based on the
								without phasing in functionality. However, the current schedule post the development of some reports and includes phasing into SIT and F.	ones	epics being phased in.04/10/2024 -
								reports (Group 1 and Group 2) and the TANF data extract and Mass Cl	lange	
								(Group 3). In addition, with DHS's approval, the ASI shifted a subset of		eWorldEs used and followed the same S
								reports from Group 1 (SIT completion of 6/21/2024) to Group 2 (SIT completion of 7/19/2024). IVV is concerned that the phasing reports	nto	entry criteria as documented in the
								FAT and overlapping development and testing efforts adds complexity	10	documented in the 19 for BES 1.0. The
								resource and schedule management and can compromise test execut quality. 5/31/2024 - The risk of a schedule delay was realized when th	e ASI	were no amendme to the Bi-19_peeds
								published a revised project schedule (under DHS review as of 5/30/20 that extends design, development and SIT execution and pushes the st	24)	as a result of the "g
								FAT from 5/13/2024 to 6/24/2024. IVV will evaluate performance to	he	decision. An exceptio was made by DHS f
	11/30/2023 Project	The project has elected to implement a Core Solution at po-live to meet their	Going live with a limited version of a software product entails inherent ricks	OPEN • Increase OCM efforts to effectively manage user, general public, and	low 3	3 Mw	d Ore	revised schedule (which removes the overlap of remaining pllot n 7/31/2024 - DHS and the ASI continue to document and develop		was made by DHS f
carries inherent risks that may impact Risk	Management	stated timeline. This version is generally referred to in Agile software	such as potential challenges in securing user buy-in. This can result in	legislative expectations for the BES version at go-live. • Prioritize feedback		- 114	. ope	workarounds in preparation for Pilot. There are now two workaround a	reas;	
overall project success and reduce user adoption.		development as a Minimum Viable Product (MVP), which is a simplified version of a product that 1) offers functionality that meets the core needs of	limited user adoption, user dissatisfaction, and negative publicity, particularly considering the financial investment made for the delivery of	from users and FNS to ensure the solution meets their core needs and so users are clear on what features they are, and are not, getting. • Actively				 known gaps in functionality and 2) defects discovered during testing will not be addressed prior to Pilot. Additionally, planning is ongoing f 	that or	04/10/2024 -
		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	f monitor, assess, and address potential challenges throughout the				incorporating these workarounds into the training process 6/20/24	Per	"Some required BE
		get real-world feedback from users to refine future product development.	designs, user interface sophistication, and lead to an uptick in software bug and suboptimal code. Further, this approach may expose the project to	 development process including code quality, cutting scope to meet development milestones, insufficient user validation of demonstrated 				DH5's request, the ASI is currently developing a list of workarounds to address known gaps in BES 1.0 functionality. 5/23/24 - No material up	date.	functionality will be implemented post-
			regulatory compliance risks, such as last-minute objections from regulatory	functionality, and fully defined workarounds to accommodate for the				4/30/2024 - No material update. 03/30/24 - The ASI's Go to Green pla	n and	Pilot." What does t
			bodies like FNS, which could find certain system elements non-compliant with their standards and delay the go-live date. Misalignment between	missing functionality. Actively monitor FAT and Plot feedback and track users' biggest pain points. Pain points can then be prioritized based on				project schedule were approved by DHS. Per the Go to Green plan, so required BES functionality will be implemented post-Pilot. This may cr	ne eate	mean? I think I kno the intent and perha
			stakeholder expectations and the Core Solution may lead to dissatisfaction	negative impact and project leadership can decide if fixing or changing poor				unplanned workarounds and rework as the full impact of this approac	h	update as such?
			or a lack of support for the project and could negatively impact future project funding requests. Implementing a limited Core Solution typically	designs can be implemented prior to go-live. COMPLETE CLOSED • DHS carefully assess whether the advantages of a timely release outweloh the				becomes known through testing and training. 02/29/24 - The ASI drai Go-to-Green plan that includes an October 2024 Go-Live date, with se	veral	"Per the Go to Gree
			requires the customer to implement multiple workarounds until automated	a advantages of going live with a system that provides more comprehensive in functionality, requires fewer workarounds, and increases user satisfaction				features to be released after Pilot. Implementing the functionality of a	core	plan, the ASI plans
			features are further delayed when bug fixes and other features take	e functionality, requires fewer workarounds, and increases user satisfaction and buy-in. (06/30/2024)				solution not tested in a real-world Pilot environment may lead to unexpected issues and bugs. IVV remains concerned that user expecta		implement require functionality in
			precedence. Others may lose confidence that the features or system					will not be fully met as the po-live system will be missing functionality	that	multiple releases
			improvements will ever be implemented. Going live with a solution that is missing functionality that stakeholders were expecting typically requires an					could be important to many users. 01/23/23 - The ASI recently transit the OCM leadership role to a new resource. OCM activities will be cru	uned to the second s	(Pilot/Statewide/Pos Statewide) "12/15/2
			missing functionality that stakeholders were expecting typically requires an increase in OCM efforts both by the ASI and DHS staff to temper					reducing the risk associated with implementing the Core Solution and		Statewide)."12/15/2 23 - Above already
			stakeholders' reactions to a system with limited functionality.					effectively managing user, public, and legislative expectations. The AS stated they do not expect this transition to negatively impact the proje-	has t and	addressed by DHS/. Campos.Ensure
									, and	campus.crisure
								have noted some potential improvements. 12/31/23 - Delavs in som		recommendations
								have noted some potential improvements. 12/31/23 - Delays in som planned activities (e.g., epic demos, interface designs) and the develop	ment	reflect "In Progress" of
								have noted some potential improvements. 12/31/23 - Delays in som planned activities (e.g., epic demos, interface designs) and the develop of the secure enclave are causing milestones to be missed. IVV remain	ment 6	recommendations reflect "In Progress" o "In Process".
								have noted some potential improvements. 12/31/23 - Delays in som planned activities (e.g., epic demos, interface designs) and the develop	ment 15 ate	reflect "In Progress"

ID Title	Finding Reporter Type	Identified Date Category	Observation	Significance	Recommendation	Event Horizon Impact	A Probability P	nalyst F riority S	inding tatus	Status Update	Client Comments	Vendor Comments
86 Limited collaboration between the ASI and DHS in the design process could lead to BES	Molina, Brad Finding -	8/1/2023 System Design	During the UAT process for release 11, there has been a high level of concerns raised by the DHS testers researches the usability of the RES system	A significant amount of money and DHS resource time have been invested in , the BES solution, with the expectation that the new system will at minimum	OPEN - Perform Sprint and Epic demos in alignment with development sprint completion (demo functionality/requirements as they are developed)	Now	2 2 10	w c	Open	7/31/2024 - IVV observed positive progress this month with the ASI providing specific actions to address DHS concerns regarding the Mass	10/11/2023 Jessica - Our SMEs are providing their feedback. This is one of the items that I clarified with IV&V, that there are feedback given, no	
usability issues and functionality gaps in the			challenges with the user interface, missing functionality, and basic screen	provide all functionality found in current applications - but really should	to get early feedback on work products. CLOSED - ASI and DHS re-evaluate					Change Functionality (Epic 208). 6/31/2024 - IVV observed DHS and the ASI	feedback means design is ok. I rec'd an emal back from Joe F. that IV&V	06/14/2024
applications, not meeting critical business needs for DHS and State clients.			layout issues that would not be expected in a modern application. Based or	 provide additional capabilities, greatly enhanced user interface, and overall improved usability from current systems. Should the solution fall short of 	the effectiveness of the recorded Sprint review process to ensure that designs align with DHS expectations. (closed 3/31/2024) - Include a wide					working collaboratively in a setting that promoted healthy dialogue on the	wants to meet with our reviewer to validate this.	Why is this in Not
needs for DHS and State clients.			detect reporting from the UAT process, a large majority of the detects are related to "design errors". Although the Release 11 UAT cycle was testing a		designs align with DHS expectations. (closed 3/31/2024) - Include a wide enough audience in all design and demo sessions to validate FNS and DHS					BES design therefore, the criticality rating is updated from a medium to low. 05/30/2024 – The ASI plans to continue live Sprint Demos for the remaining		Why is this in Not Started? We had a
			partially build system, a significant amount of design defects was	confidence in the solution providing the accurate information needed to	functional and technical requirements and system usability. (closed					Epic design work, providing a venue to increase collaboration with DHS. The		sprint demo for E
			attributable to functionality developed for Release 11.	provide benefits to HI citizens; reduction in ability for DHS to provide the	6/14/2024) - Perform comprehensive (demo all requirements) review					SSP development will follow the Waterfall methodology, so no sprints or		209. In addition, th
				same level of needed services to clients, resulting in bad publicity for DHS and the state.	during Epic demos, not just the items that were added/updated, allowing DHS to provide early feedback on possible issues/gaps that might not be					demos will occur. 04/30/2024 - IVV commends the ASI and DHS team for reverting to conducting four live sprint demos in support of Epic 209. These		should not include Epic demos. We have
					apparent when focusing on specific functionality. (closed 6/14/2024)					proved to enable timely, efficient collaboration, 03/31/2024 - Due to a high		always had live Ep
										number of questions and concerns from DHS during Epic demo 261		demos. Regarding SSP
										(Approvals and Supervision), the ASI committed to hosting another demo to address all the feedback. Changes raised late in the design process could		Regarding SSP following the
										require code changes, potentially causing schedule delays or the resulting		Waterfall
										solution not meeting the business need. DHS staff attending Epic demos		methodology DHS has approved all th
										should be prepared with an understanding of the agreed-upon designs and policy requirements relevant to the Epic so that feedback is efficient and on		designs, except one.
										point. 02/29/2024 - One demo (Epic Demo 211) was held in February as the		We are collaboratin
										ASI focused on developing a Go-to-Green Plan for the Project_DHS also		with DHS to obtain their approval on th
										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		outstanding design
										 which could also point to a gap in collaboration on key design decisions. 		Design sessions will
										01/31/2024 - DHS viewed Sprint demos for Epics 247 and 284 on January 9,		scheduled as part o
										2024, where several concerns/issues were raised, resulting in necessary bug		this process. There are 20+ people invite
										fixes. User experience issues that should have been raised during the sprint demos were brought up during the Epic Demo for Epic 240 (repayment		to the design session 04/10/2024 -
										agreements), that the ASI is not considering at this time. As of the end of		04/10/2024 -
83 Gaps in test coverage and slower-than- expected progress in testing may result in	Kalsi, Neetu Finding -	6/2/2023 Testing	After examining the Project's R11 QA Dashboards, R11 Traceability Dashboards, and Test Reporting, gaps in testing coursing may exist and the	Identifying defects early is vital for effective testing, as it is more efficient e and cost-effective to address issues during the early testing stages. If there	OPEN - DHS should request that the ASI develop a Corrective Action Plan to address the failure of prior text phases (Unit, INT) to capture defects that	UAT	4 4 H	igh C	Open	agreements), that the ASI is not considering at this time. As of the end of 7/31/2024 - DHS Testers have logged 453 defects (excluding duplicates or those determined not to be defects, such as user error) in the first 5 weeks		
schedule delays if subsequent test phases	Labor		progress of testing might be lagging. Concerning testing coverage, it appear	s is slow progress or incomplete testing in the early stages, it can result in	rolled into SIT CLOSED - The ASI should determine the root cause of the					of FAT with the following severities (High = 84, Medium = 201, Low = 168).		7/12/2024
uncover a higher volume of defects and user	ır		that not all epics and use cases in R11 have associated test cases or are	more defects leaking into subsequent testing phases, necessitating more	failure to identify simple defects in INT and SIT and implement effective					Open/unresolved defects total 230 (50%) with the following severities (High		
feedback than initially anticipated.			testing the correct use cases. In terms of progress, some test cases remain unexecuted, and not all defects have been resolved as the project	extensive and rigorous testing efforts. Insufficient testing coverage or slower than-anticipated progress throughout the project lifecycle increases the risk	improvement processes to confirm early testing is adequate before entering					= 36, Medium = 112, Low = 82). Seven high-severity defects have been in unresolved status for 5 days or more, with one defect remaining open since		As mentioned previously, eWorldE
			commences System Integration Testing (SIT). The ASI has plans to complete	of encountering significant delays, extensions, or the introduction of defects	the SIT exit criteria and revises them as needed to ensure UAT/FAT begins					6/28/2024. IVV is concerned that the test execution schedule will be		delivered a simplifie
			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	with the best system possible. (3/31/2024) IN PROGRESS - DHS and ASI					compromised if testers continue to wait for fixes to be delivered before they		RTM to DHS to enter
				Final Acceptance Testing (FAT).	monitor INT/SIT closely for both breadth and depth of testing to ensure the system is adequately tested					can complete their planned tests and the risk that testers will discover new downstream defects that must also be fixed prior to Pilot 6/30/2024 -		into FAT in order to meet the requirement
					system is surquelly libited					Improvement of System Integration Testing (SIT) defect resolution totals		Go FAT criteria. In
										addressed IVV's concern that the high number of unresolved defects would		terms of the SIRT, thi
										delay SIT exit. The ASI exited the SIT phase as scheduled on 6/21/2024 with 91 unresolved defects (43 medium severity and 48 low severity, or 10% of		is deliverable is not a criteria for entering
										the total) compared to 352 unresolved defects at the end of May and with		into FAT. Please
										no unresolved critical and high-priority/severity defects. However, IVV is		confirm with DHS.
										concerned that the project team entered Final Acceptance Testing (FAT) on 6/24/2024 without approved versions of the RTM and System Integrity		06/14/2024
										Review Tool (SIRT) deliverables. While the SIRT is not a criterion for entering		Why is this still red? I
										FAT, both the RTM and SIRT deliverables demonstrate that the BES system		is very clear that we
										meets functional and contract requirements. Risk exists that testers may identify unmet contractual requirements during FAT execution that delay the		have full coverage of all the functionality
										Pilot or result in the need for workarounds that can compromise system		and that we are going
										usability or user satisfaction. IVV will monitor testing results and trends as		to make it to FAT. Thi
										the project moves through FAT execution. 5/31/2024 -On 5/9/2024, 43% (352 out of 818) of the defects identified during SiT were unresolved. Of		should be in yellow fo
												monitoring. 04/10/2024 -
										those, there were 2 critical severity defects and 19 high severity defects. By the end of this reporting period, the percentage of unresolved defects		04/10/2024 - All test scripts for
82 The lack of technical documentation may lead to incorrect implementation statement	Heath, Dustin Finding -	4/27/2023 Security and	In April, the ASI/DHS system security plan (SSP) authors began writing implementation statements. Currently, the technical documentation	Once the system architecture and design have been completed, the SSP authors may need to edit or rewrite implementation statements. A full draft	OPEN - Determine when documentation will be created, updated, and	Prior to the start of the third-party	4 5 H	igh C	Open	7/25/2024 The ASI stood up the production environment on July 8th, allowing the BES Independent Security Assessment penetration testing team		06/14/2024
or delay the System Security Plan	IS 15500	Privacy		, of the SSP is scheduled to be published August 15th , 2023, and the final SSP	authors about when reliable and correct documentation will be available.	assessment.				to gain access and start the four-week period of testing the BES system. The		00/14/2024
			decisions on what tools support the SSP controls are still being decided on.	(ready for federal partner review) is scheduled for September 15, 2023. The	Perform a full review of all draft SSP controls for content and accuracy prior					ASI participated in interviews with the BES Independent Security Assessment		Feedback already
			Implementation statements are currently being written from the perspectiv of how the system should be designed from the SSP author's perspective	e SSP is a large technical document with hundreds of controls and control	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					assessors. Additional interviews will continue into August. The ASI is internally reviewing the Disaster Recovery (DR) plan before delivering it to		provided by David Rolla at May pre-mee
			instead of how the system is actually designed. The SSP authors need to		authors to update controls with changes from Design through					DHS. However, this DR plan is unavailable for the current security		"My concern with the
			know and use documentation such as System Architecture and Design		Implementation. COMPLETE - Determine when the infrastructure design baseline will be completed. (06/30/2024)					assessment and should be available and tested prior to another assessment,		Security & Privacy
			network topology, dataflow, ports and protocols, tools used for logging, etc.		baseline will be completed. (06/30/2024)					such as the IRS. The completion of the Secure Enclave design now allows for		slide is that there is n context provided
										significant updates to "Planned" responses to be made to Appendix A, which contains IRS security controls in the SSP. The Social Security Administration		regarding the
										(SSA) also performed its security assessment in July, and the ASI/DHS		responsibility for the
										Security Team is providing additional information and evidence prior to the SSA report and PDAMs (Plans of Action and Milestones) being issued for		majority of the documents. As we
										remediation. It is too early to determine the impact of remediation activities		have discussed
										and if there are any impacts on the BES Pilot schedule. 6/28/2024 - The ASI		previously, DHS has
										reported that they continue to author security documentation throughout June 2024. All available documentation, such as policies or procedures cited		thus far been unable to produce these
										June 2024. All available documentation, such as policies or procedures cited in the system security plan (SSP), has been provided to the BES third-party		documents, but that
										security assessment team. Seventy-nine (79) documents are cited in the SSP		would not be evident
										by name. Thirty-nine (39) of those documents are either in draft form or do		to the reader without additional context."
										not exist. Of the thirty-nine (39) documents, thirty (30) documents DHS was identified as the owner, and nine (9) the ASI was recognized as the owner.		5/11/2024
										Penetration testing was moved from the UAT environment to the production		
										environment and the assessment team was ensured that production and		Feedback already provided by David
										UAT were in parity with each other. One reason to move the environment was to keep the penetration testing from interfering with final acceptance		Rolla at pre-meet.
										testing. The ASI reports the production environment will be available for 07/25/24 - The ASI has recently reported additional development delays that		"My concern with the
80 Development delays have negatively impacted the project schedule and delayed	Fors, Michael Finding -	6/30/2022 Configuration and Development	ASI had previously reported development activities have been slowed as they have been unable to achieve and/or maintain their expected	If the ASI is unable to achieve a velocity that enables them to meet planned milestones, schedule delays may lead to a delayed system go-live date.	OPEN ASI effectively track and regularly provide DHS (potentially via the weekly DDI status meeting) with an accurate velocity (e.g., story points per	Immediate	3 3 N	led C	Open	07/25/24 - The ASI has recently reported additional development delays that could put go-live milestones at risk. The ASI plans to mitigate this risk by		05/11/2024
go-live.	nout	Development	they have been unable to achieve and/or maintain their expected development velocity. Previously, the development team was challenged	milestones, schedule delays may lead to a delayed system go-live date. Failure to achieve a level of accuracy in estimating development tasks could	day/week/month) and assure that the current velocity (e.g., story points per day/week/month) and assure that the current velocity is accurately and					acquiring additional resources to compensate for recent delays. Burndown		53/11/2024
- 1			with accurately estimating development task level of effort (i.e., story	lead to a project schedule that is flawed and unrealistic. Previously, DHS	consistently reflected in the project schedule • The ASI should provide DHS					charts typically provide project stakeholders and executive leadership		As discussed at pre-
			points) and the project has been challenged with producing a project schedule that accurately reflects realistic timelines (see Finding #74). The	had indicated, and IVV agreed, that some of these delays were due to some ASI BAs lacking the expertise required to create optimal designs and system	with the time needed to effectively evaluate the software demonstrations (demor) and elicit productive design discussions with DNS attendees during					visibility into the overall productivity of system development efforts. However, DHS has stated the ASI provided burndown charts currently		meet, the development team h
			ASI continues to be challenged with finding qualified resources in a timely	specifications that developers could consume without requiring extensive	each demo. • ASI regularly report estimated story points for the total					provide little to no value to project stakeholders. IVV recommends DHS		been primarily focus
			manner.	clarification from the ASI BA/SA team. DHS and IVV observed instances	remaining project work to reach go-live and present a dynamic burndown					request burndown charts (or other reports) that provide value to the project		on fixing BES 1.0
				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	chart to track the progress. • The ASI should consider enhancing the depth of developer unit testing. COMPLETE CLOSED • DHS request the ASI					and give visibility into their overall velocity and whether they will be able to meet Statewide go-live milestones. 06/30/24 - The ASI adjusted how they		defects. DDI work for BES 1.1 and 1.2 are
				contributed to unproductive dering resizion (rea Sinding #61). It remains	strategically add the right project team resources to effectively increase					calculate velocity to provide greater transparency on the level of progress.		forthcoming.
										The ASI is creating burndown charts to provide greater visibility/clarity into		
				unclear if scope creep has contributed to these delays.	velocity. Note that adding additional junior resources may not be as							
				unclear if scope creep has contributed to these delays.	effective as staffing additional expert-level development, analysis, and other					their development productivity and progress. The Project continues to be		
				unclear if scope creep has contributed to these delays.	effective as staffing additional expert-level development, analysis, and other resources that can lead and mentor junior resources. • ASI reviews the					challenged with high defect rates which pose code quality risks that could		
				Controlocies of producers delign established to the reading each estimated unclear if scope creep has contributed to these delays.	effective as staffing additional expert-level development, analysis, and other resources that can lead and mentor junior resources. A SI reviews the development process and identifies and mitigates the challenges preventing them from incorporatine Exist demo activities into the oraciest schedule.					challenged with high defect rates which pose code quality risks that could delay go-live. 05/31/24 - The ASI adjusted how they calculate velocity to provide greater transparency on the level of progress they're making. The		
				unclear if scope greep has contributed to these delays.	effective as staffing additional expert-level development, analysis, and other resources that can lead and mentor junior resources. • ASI reviews the development process and identifies and mitigates the challenges preventing them from incorporating Epic demo activities into the project schedule. (9/29/23 - ASI will not be doing this, with DHS approval) ASI consider taking					challenged with high defect rates which pose code quality risks that could delay go-live. 05/31/24 - The ASI adjusted how they calculate velocity to provide greater transparency on the level of progress they're making. The ASI is elevating the planned story points per sprint to motivate developers to		
				unclear if scope greep has contributed to these delays.	effective as staffing additional expert-level development, analysis, and other resources that can lead and mentor junior resources ASI reviews the development process and identifies and mitigates the challenges preventing them from incorporating Epic demo activities into the project schedule. (9/2972 - ASI will not be doing this, with DHS approval) ASI consider taking tenss in increase rock e aciality. Including enhancing the dorbit of developer					challenged with high defect rates which pose code quality risks that could delargo lve. 05/31/24 - The ASI adjusted how they calculate velocity to provide greater transparency on the level of progress they're making. The ASI is elevating the planned story points per sprint to motivate developers to be more productive even thouse the planned and may not be realistic or the more reactive even thouse the planned and may not be realistic or the more reactive even thouse the planned and may not be realistic or the more productive even thouse the planned and may not be realistic or the more productive even thouse the planned and may not be realistic or the more productive even thouse the planned and may not be realistic or the planned and thouse the planned and the realistic or the planned and the realistic or the planned and the planned and the planned and the real set of the planned and th		
				unclear if scope creep has contributed to these delays.	effective as staffing additional expert-level development, analysis, and other resources that can lead and mentor junior resources. • ASI reviews the development process and identifies and mitigates the challenges preventing them from incorporating Epic demo activities into the project schedule. (9/29/23 - ASI will not be doing this, with DHS approval) ASI consider taking					challenged with high defect rates which pose code quality risks that could delay go-live. 05/31/24 - The ASI adjuted how they calculate velocity to provide greater transparency on the level of progress they're making. The ASI is elevating the planned story points per sprint to motivate developers to be more productive event though the planned goal may not be realistic to achievable. While this approach may benefit the development team, it oblucates their two productivity and whether the team is getting better as the production of the productive transparence of the planned goal may not planned to advect the productivity and whether the team is getting better as the planned of the planned goal may be the sprint planned goal may not planned to the planned goal may be team. It is the planned goal may not planned to the team of planned to the planned goal may not planned goal		
				unclear if scope creep has contributed to these delays.	effective as staffing additional expert-level development, analysis, and other resources that can load and memory load resources. As As reviews the development process and identifies and miligates the challenges preventing them from incorporating Epic demo activities into the project schedule. (9):2/3/23 - 4St with Ots be dong this, vith UHS approval). Als consider taking steps to increase code quality, including enhancing the depth of developer unit testing, tracking and practively preventing lealogae, and enforcing the testing tracking and practively preventing lealogae, and enforcing the testing tracking and practively preventing lealogae, and enforcing the steps tracking and practively preventing lealogae.					challenged with high defect rates which pose code quality risks that could delay go live. 05/12/13-1 he ASI adjusted how they calculate velocity to provide gratter transparency on the level of progress they're making. The ASI is elevating the planned story parity the signitist on motivate developers to be more productive even though the planned goal may not be realistic or achievable. While this agrouch may benefit the developers the achievable. While glie methodology optication. Burnets them, it advisuates their true productivity and whether the teams is getting better at estimating (is key afglie methodology optication). Whire commons that the		
				unclear if scope creep has contributed to these delays.	effective as staffing additional expert-level development, analysis, and other resources that can load and memory load resources. As As reviews the development process and identifies and miligates the challenges preventing them from incorporating Epic demo activities into the project schedule. (9):2/3/23 - 4St with Ots be dong this, vith UHS approval). Als consider taking steps to increase code quality, including enhancing the depth of developer unit testing, tracking and practively preventing leakage, and enforcing the testing tracking and practively preventing leakage, and enforcing the testing tracking and practively preventing leakage, and enforcing the steps tracking and practively preventing leakage.					challenger with high defect rates which pose code quality risks that could drag poles. 65(1):21-20 kt ald statistics the whys calculate valencing to provide greater transparency on the level of progress. Brycy re making, the list elevating the particle strates that in the statistic of the best more productive even though the planned goal may not be realistic or device the planned goal may not be realistic or device the strate strates and the planned goal may not be deviced to the strate strates and the planned goal may not be attempted to the strates and the strates and the strates and deviced the strates and the strates and the strates and the deviced the strates and the strates and the strates and the strates and all works in mjores treat strates to provide realistic themines, avaiding		
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Image: Section of Sec	ID Title	Finding Reporter Type	Identified Date Category	Observation	Simificance	Recommendation	Event Horizon	Impact Proba	Analyst bility Priority	Finding Status	Status Uedate	Client Comments	Vendor Comments
Image: Stand		Molina, Brad Finding -	11/29/2021 Project	DHS and the ASI have tried multiple times to rework the schedule with	If estimates for project schedule activities are not accurate, this can lead to			3	4 High	Open	07/31/2024 - The ASI is actively working on defect resolution and new		
Image: Section		Issue	Management										
1 19 14 hr See							nd						7/12/2024
Image: Source	result in late deliverables, cost increases, and a late go-live			of multiple tools to track resources obtuscate resource management. Previous IV&V findings focused on specific schedule components such as	low quality output, scope changes, and budget issues.								The undate for this
Image: Stand	and a late go inte.											5	finding does not
 National Section Section				addressed and closed.		reduce risk in the revised BES project schedule. •ASI provides Burndown					ability to perform according to the approved BES Project Schedule continue	5	reflect current status
I Normal and source in the second source is the second source in the second source in the second source is the second source in the second source in the second source is the second source in the second source in the second source is the second source is the second source in the second source is the second source is the second source is the second source is the second source in the second source is the second source in the second source is the second source in the second source is the second							SI				to be a high risk. The ASI completed their schedule reviews with DHS and		of the Primary/DDI
Image: Source in the second source is the second													project schedule(s).
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I have been been been been been been been be												le	concern regarding th
 I head is been been been been been been been bee						ASI plan and execute Epic development so that Epic demos can occur earlie	er						deliverable timing wa
I head big is based b						in the release schedule and allow time for possible revisions. (12/31/2023	3						sent by PCG at 4:47 pm on May 31st. 1
 I a share we shar												at	responded within the
 I herebet herebet							of						hour stating we will
I head believe weight of the second							or						look at adjust the
I here for the formation of the fo											scheduled from June 7 – 14, which could be a resourcing challenge for DHS	5.	dates at the schedule
Image: Second						development tasks estimates if needed. Leverage velocity and burn down					IVV shared the DHS resourcing challenge with the ASI on May 31st and the	e	review meeting, whic
Image: Second											ASI responded immediately that they would address it at the next Schedul	le	we did. I do not thin
I substantial stantial stantia stantial stantial stantial stantial stantial stant													this should be identified in May's
 I a substantia substanti substanti substantia substantia substantia substantia substan													report. Meetings we
Image: state													still underway to
 Not and built of the spectra of the sp													adjust the updated
 Name of the standard end standa						(1/31/2023 - new ASI - Not Started) Develop mitigation and contingency					SIT on April 15, was in development at the end of the month. IV&V is		schedule.
I building here No. W N. W N. W No. W No.W No. W No.W	73 The planned 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 change 	es Next several	2	2 Low	Open	7/26/24 - No material update for this reporting period. 6/20/24 - No		
I substant I subst		Risk										N	11/17/2023 - Again why is DB bein
I be subset is subset i	read to scheduley cost impacts.						nce						referenced here? Per
 I substrate state state											Change Control Board (CCB) meeting the ASI presented DHS with a for-cos	it .	the current project
I here was a serie													schedule, the DR plan
I huber													is scheduled to be
I substant I substant <td></td> <td></td> <td></td> <td></td> <td></td> <td>unexpected delays that could delay project milestones and the critical path</td> <td>1.</td> <td></td> <td></td> <td></td> <td></td> <td>e</td> <td>submitted at the end</td>						unexpected delays that could delay project milestones and the critical path	1.					e	submitted at the end
 National series of the state of													Pilot Go-Live is April
Image: Support													
 N Province for experimental for experimental												5	
Image: Support of the state of the													10/31/2023 -
2 Marken Sec. Sec. Sec. Sec. Sec. Sec. Sec. Sec.													Vic - westill do
P Purchase base base base base base base base b					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								notunderstand why
													this remains. 10/11/2023
Image: Proper Properties of the properties													10/11/2023
N Number Not Subserved File Sub													
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A profile in the operiment of the ope											some elements of DR. However, it remains unclear if the complex		your updates on
P Feet on particular set on the set of particular set of particular set on the set of particular set of part													finding #82 Security
N Non-Singer Configuration management is based and configu													and Privacy which documents the work
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P Subject Configuration meagement Find Mage Note Status Statu													Secure Enclave.
N Buildingt configuration management 4 VRAME Field 0 Transition digration management 4 All Part Configuration management 4 All Part Configur											and is confident that the automation they've implemented will simplify		
Rel Designation Configuration Measurement Full, Jower, Internation Measurement Full, Jower, Internation Configuration Measurement Full, Jower, Internation Measurement Full, Jower, Internation Configuration Measurement Full, Jower, Internation Full, Jower, Internation Configuration Measurement Full, Jower, Internation Configuration Measurement Full, Jower, Internation Configuration Measurement Full, Jower,												e	
refact refaction projets has been made touching classification of the configuration management with Cliss and agree mass details, complexation (indice closs) with a syst to be faultied on the configuration management with Cliss and agree mass details, complexation (indice closs) with a syst to be faultied on the configuration management with Cliss and agree mass details, complexation (indice closs) with a syst to be faultied on the configuration management with Cliss and agree mass details, complexation (indice closs) with a syst to be faultied on the configuration management with Cliss and agree mass details, complexation (indice closs) with a syst to be faultied on the configuration management with Cliss and agree mass details, complexation (indice closs) with a syst to be faultied on the configuration management with Cliss and agree mass details, complexation (indice closs) with a syst to be faultied on the configuration management with Cliss and agree mass details, complexation (indice closs) with a syst to be faultied on the configuration management with Cliss and agree mass details, complexation (indice closs) with a syst to be faultied on the configuration management with cliss and agree mass details, complexation (indice closs) with a syst to be faultied on the configuration management with cliss and agree mass details, complexation (indice closs) with a syst to be faultied on the configuration management with a syst to be faultied on the configuration (indice closs) with a syst to be faultied on the configuration (indice closs) with a syst to be faultied on the configuration (indice closs) with a syst to be faultied on the configuration (indice closs) with a syst to be faultied on the configuration (indice closs) with a syst to be faultied on the configuration (indice closs) with a syst to be fa								2	2 Low	Open			
skicting CM took in Lg, care difficult and surgers of the configuration terms or stelling streps of the configuration terms or stelling streps of the configuration terms or stelling streps of the configuration terms of the configuration	could lead to development confusion and	Risk	Development										10/31/2023 -
whice the function of the function of the configuration of the configura	reduce the effectiveness or defect resolution												10/31/2023 - Vic - We provided a
Image: Provide the provide training that could impact that the project carring in the the project carring												2	listing, working on a
reline on GBMs for tracking of some configuration. In the local for tracking of some configuration has a log with the details regarding the local for tracking of some configuration has a log with the details regarding the local for tracking of some configuration has a log with the details regarding the local for tracking of some configuration has a log with the details regarding the local for tracking of some configuration has a log with the details regarding the local for tracking of some configuration has a log with the local for tracking and a sale with the local for tracking and the local for tracking and the local for tracking an				requirements or decisions that could impact CM. The project currently	items. However, it is critical that DHS/ASI agree to the full list of items that	management tools. COMPLETED . Identify the DHS POC for the					Configuration Management Plan (CMP) reverted to the ASI (previously, the	2	plan to implement.
are being followed, are effective, and are achieving DFS objectives for CM. are being followed, are effective, and are achieving DFS objectives for CM. TX1/2202 are objectives for CM. are being followed, are effective, and are achieving DFS objectives for CM. are being followed, are effective, and are achieving DFS objectives for CM. are being followed, are effectives, and are achieving DFS objectives for CM. are being followed, are effectives, and are achieving DFS objectives for CM. are being followed, are effectives, and are achieving DFS objectives for CM. are being followed, are effectives, and are achieving DFS objectives for CM. are being followed, are effectives, and are achieving DFS objectives for CM. are being followed, are effectives, and are achieving DFS objectives for CM. are being followed, are effectives, and are achieving DFS objectives for CM. are being followed, are effectives, and are achieving DFS objectives for CM. are being followed, are effectives, and are achieving DFS objectives for CM. are being followed, are effectives, and are achieving DFS objectives for CM. are objective DFS objectives DFS objectives for CM. are objective DFS objectives				relies on Github for tracking of some configurations.	are included in the configuration plan along with the details regarding the	Configuration Management Activities that would provide oversight of					DHS Security Contractor was updating the CMP for related security		MF - Broad categorie:
7/11/202 management quality challenges. 2/17/12- km matrial update in this reporting protos. 1/12/12- km matrial update in the regording protos. reporting protos. 1/12/12-12: hm protos quality challenges. 2/12/12-13: hm quality qu					management of the configuration items, reporting and audit features.								Vic - we are working
reporting period. J12/24 - In matter in the reporting period. (J2/24 - In matter in Ulars de DIS constraints correctly assisted as the set of t							e						on the details now. This will become mor
12/12/123 The project will utilize the DirS contractor currently substitu with socurty activities under the Configuration Management R1 and the Configuration Management R1 and the Configuration Management R1 and R2 and						//31/2022							i nis will become mor important and we
with service transformers that is a service of the													work to get ahead of
(KMP). The seque of work that the DRS contractor is responsible for is 10/11 under ST = TAS ATA by the type boyed is for is 0 - 10/12 under ST = TAS ATA by the type boyed is 10 - 10/12 under ST = TAS ATA by the type boyed is 10 - 10/12 under ST = 10/12 under ST										with security activities to update the Configuration Management Plan		the M&O plan.	
configuration terms to DFA and MA. Where treatment to the AA3 MA and AA3 MA AN3 MA AN											(CMP). The scope of work that the DHS contractor is responsible for is		10/11/2023
so that the level of detail is clear. 10/26/23 - The AS provided broad list last information on the configuration items we to work the set of the set provide set of the set of													
information on the configuration terms by the task of the second s												51	IV&V requested the list last month and is
provide detailed configuration items for IV review. The ASI has response to th													list last month and is waiting on the ASI to
per sons security fully dependent many first per sons security first per so													respond - Please
											deprioritized some configuration management activities, which it intends to	0	see the following list
perform in preparation for Maintenance and Operation (M and O): 9/28/23 of com												3	of configuration
The ASI gained DHS' approval on the items that will be tracked and maina											The ASI gained DHS' approval on the items that will be tracked and		management items
													which are/will be
													managed in ServiceNow:
													ServiceNow: Incident Response
													Change/Configuration
Initial import of Gogle Coud Ratform server details into the SenviceNew Maran											initial import of Google Cloud Platform server details into the ServiceNow		Management

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