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August 11, 2021

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

The Honorable Scott K. Saiki,
Speaker, and
Members of The House of Representatives
Thirty-First State Legislature
Hawaii State Capitol, Room 431
Honolulu, Hawaii 96813

Dear President Kouchi, Speaker Saiki, and Members of the Legislature:

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

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

Sincerely,

Douglas Murdock
Chief Information Officer
State of Hawai'i

Attachment (2)

Hawaii Department of Human Services Systems Modernization Project

Final IV&V Status Report
for Reporting Period: June 1 - 30, 2021

Submitted: July 14, 2021

PUBLIC CONSULTING GROUP

Solutions that Matter

Overview

PUBLIC CONSULTING GROUP
Solutions that Matter

Executive Summary

Executive Summary

In June, IV&V observed an increase in the overall pace of the project as supported by the number deliverables in the review cycle and various project meetings. Key project results include:

- Release 0.3 Lessons Learned Survey results were published.
- Release 0.4 System Testing completed and UAT began.
- Release 0.5 is in the Development phase.
- The ASI published a draft revised schedule to adjust for the delays due to the KOLEA ATC impact (the CMS required KOLEA modifications are causing a delay of the integration with BES) and CMM Interview.
- The ASI proposed process changes to DHS to streamline project activities and reduce Deliverable and Testing rework.
- The ASI and their subcontractor added System Analyst and Developer staff.

Although the project schedule has not been approved by DHS, the project team is moving forward with the proposed schedule. However, without a fully resourced schedule and the ability to report the velocity of the CMM and FMM development teams, the schedule continues to be high risk to the project. The ASI proposed process changes to streamline the design process may reduce the schedule risk. IV&V will review the details of the process changes to include the communication plan, implementation plan and expected results/metrics when they are available.

Apr	May	Jun	Category	IV&V Observations
H	H	H	Project Management	IV&V retains a high criticality rating for this category due to the lack of an approved Project Schedule, and inability to measure the velocity of the CMM and FMM development effort.
L	M	M	System Design	No material updates to this category during June 2021.

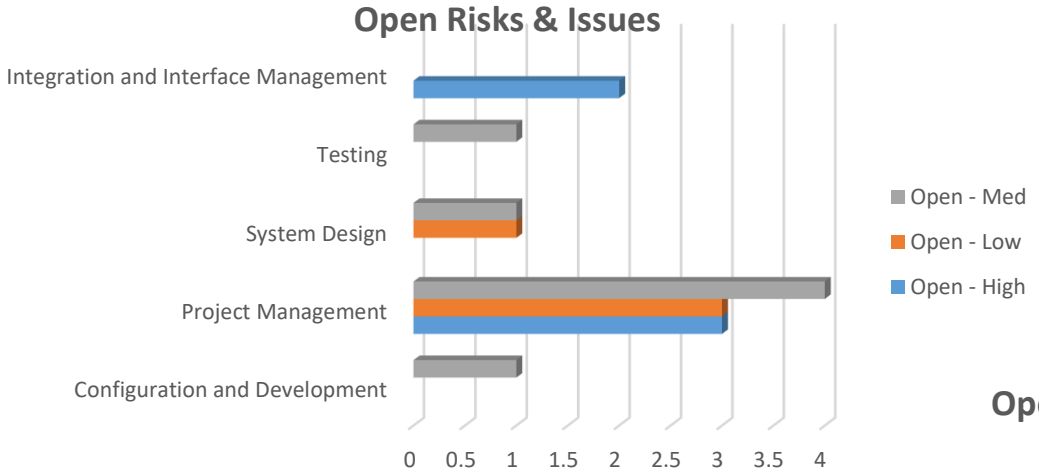
Executive Summary

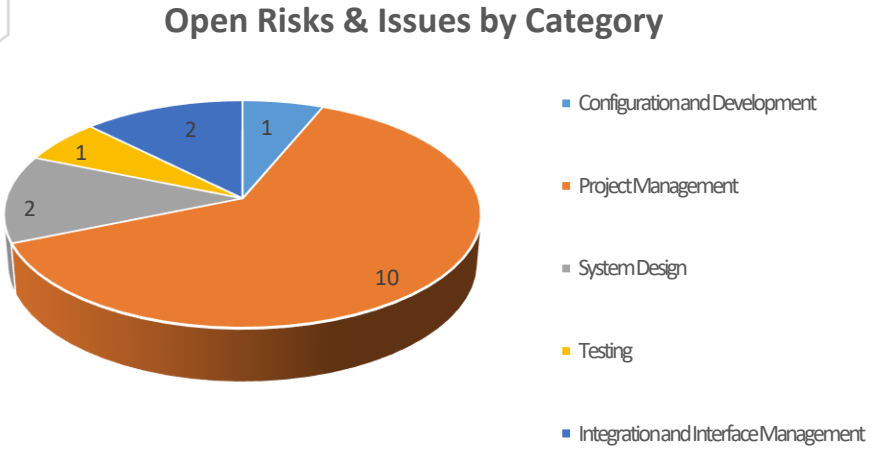
Apr	May	Jun	Category	IV&V Observations
M	M	M	Configuration and Development	The ASI proposed SDLC process modifications as part of the revisions to the project schedule. Details of these changes are being developed and reviewed with DHS; IV&V will review when the information is made available.
H	H	H	Integration and Interface Management	The project team continued to update the communication plans for each of the interface partners. The detailed interface schedule along with the testing approach and plan is in progress. The timing of the integration between the BES Modules (SSP, CMM, FMM) and interface partners remains a high criticality rating.
N/A	M	M	Testing	The ASI continued to research the test process to identify the root causes of the high number of UAT defects.

IV&V Findings and Recommendations

IV&V Findings and Recommendations

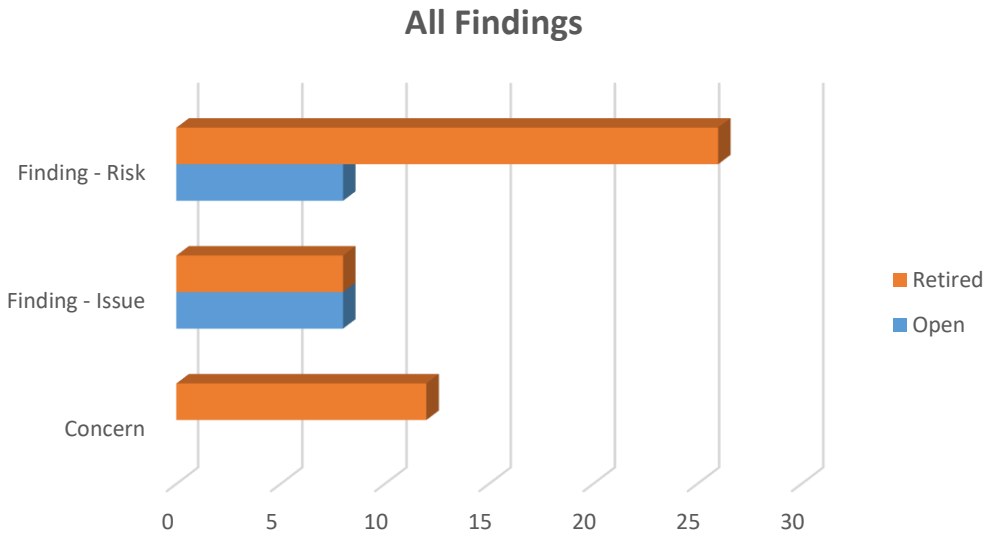
As of the June 2021 reporting period, PCG is tracking 16 open findings (8 risks and 8 issues) and has retired a total of 46 findings. Of the 16 open findings, 10 are related to Project Management, 2 in Integration and Interface Management, 2 in System Design and 1 each in Configuration and Development and Testing.





IV&V Findings and Recommendations

The following figure provides a breakdown of <u>all</u> IV&V findings (risks, issues, concerns) by status (open, retired).



IV&V Findings and Recommendations

Findings Retired During the Reporting Period

#	Finding	Category
	No findings were retired in this reporting period.	

IV&V Findings and Recommendations

New Findings

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

IV&V Findings and Recommendations

Project Management

#	Key Findings	Criticality Rating
2	**Issue – Late Delivery of project deliverables may cause schedule delays**. The ASI published a draft revised schedule on 6/17/2021. Comments and questions submitted by DHS and IV&V are under review. The project team is moving forward with the revised schedule with the understanding that further revisions may be required prior to DHS acceptance.	H

Recommendations	Progress
• DHS and the ASI agree and publish the revised schedule based on the KOLEA ATC impact and CMM development delays.	In process
• When the revised schedule is published the project team should restart the weekly practice of reporting actions being taken for late tasks and develop mitigation plans for those tasks that may be late.	In process

IV&V Findings and Recommendations

Project Management

#	Key Findings	Criticality Rating
29	**Issue - Uncertainty and/or a lack of communication around long term architecture decisions could impact the project budget, schedule, system design, and planning decisions.** The ASI reviewed the change order to implement 2 portals (BESSD and MQD) instead of a single consolidated portal. Some details of this change have yet to be provided and the stakeholders raised multiple questions and concerns. The ASI indicated that the project is considering replacing the existing State hub with Boomi toolsets, but details are not yet available.	L

Recommendations	Progress
• DHS should finalize the Portal strategy and communicate the strategy with the stakeholders and project teams.	In process
• The project should continue to vet possible architectural change impacts to the platform, M&O, MQD, and BES systems before finalizing architectural decisions.	In process

IV&V Findings and Recommendations

Project Management

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

Recommendations	Progress
• DHS continue to work with the appropriate organizations to identify the funds necessary to fill these positions.	In process

IV&V Findings and Recommendations

Project Management

#	Key Findings	Criticality Rating
47	**Risk – The COVID-19 pandemic and the related "stay at home" order could hinder project activities and negatively impact the project schedule and budget.** The ASI continues to limit their office occupancy to 50% to comply with State mandates but has indicated that in-office team members continue to see increased productivity from in-person project collaboration. Some key DHS SME's will continue to work remotely which could pose a challenge to project productivity. Earlier concerns with COVID impacts to their offshore (India) team because of the spike in new cases appear to be subsiding. IV&V changed the criticality of this finding from medium to low and will continue to monitor.	L

Recommendations	Progress
• Suggest the project and DHS create a detailed, documented risk mitigation strategy and plan that is reviewed regularly and revised to address the current state of the COVID-19 threat and related impacts over the next 6 to 12 months. The plan should include the possible economic impacts to the state budget directly related to project resources.	In process
• Send broad communications to stakeholders to assure clear understanding of changes to the project with this regard to impacts of COVID as well as clarifying communications as to what will remain the same.	In process

IV&V Findings and Recommendations

Project Management

#	Key Findings	Criticality Rating
48	**Risk – The CMS Outcomes-Based Certification Requirements have not been published by CMS, which may impact the project schedule and funding.** There are no material updates this month; IV&V will continue to monitor.	M

Recommendations	Progress
• DHS to continue dialogue with CMS regarding the project's approach to OBC and MITA alignment to ensure all CMS requirements are met by the BES Project.	In process

IV&V Findings and Recommendations

Project Management

#	Key Findings	Criticality Rating
49	**Issue – Poor quality project deliverables may impact system design, testing artifacts and the project schedule.** No material update during this reporting period, DHS and IV&V will review the ASI's revised process metrics when they are published.	L

Recommendations	Progress
• IV&V recommends that a facilitated root cause analysis be performed by the ASI with DHS and IV&V in attendance. Quality issues are rarely generated by a single entity in a project, so there could potentially be multiple causes or root causes of this current condition. Once the root cause(s) are identified, IV&V recommends immediate action be employed to resolve quality concerns on in-process deliverables prior to submission of subsequent deliverables.	In process
• IV&V recommends that the ASI review the Quality Management Plan to ensure that the project is working within the Quality guidelines. In particular, the ASI should evaluate and consider if it is in alignment with Section 3.1.2 Measure Project Quality, which states "ASI measures process and product quality by 1) selecting BES implementation process and product attributes to measure; 2) selecting component activities to measure; 3) defining value scales for each component activity; 4) recording observed activity values; and 5) combining the recorded attribute values into a single number called a process quality index." IV&V has not seen evidence indicating the ASI is utilizing metrics to measure its process and product quality.	In process

IV&V Findings and Recommendations

Project Management

#	Key Findings	Criticality Rating
54	**Risk – User Acceptance Testing (UAT) processes and timing of inputs required for UAT could lead to implementation delays and delivery of a solution that does not meet business needs or requirements.** Release 0.4 UAT began on June 28th and the results of the Release 0.3 Lessons Learned survey were distributed by the ASI; the action plans are planned to be developed in July 2021. Although the action plans are not yet defined, the project team applied some process changes to Release 0.4 UAT including freezing the functional design and delaying the completion of SIT to resolve and retest defects prior to the start of UAT. These changes are anticipated to minimize rework by the DHS UAT team.	M

Recommendations	Progress
• Further develop the Release 0.3 Lessons Learned action plan to include target complete dates. Report progress in the weekly status meeting.	In process
• All agreed upon actions to resolve issues called out in Lessons Learned should be added to project schedule so adequate timing is provided to support UAT preparation and execution.	In process
• The ASI could conduct a debrief meeting with DHS after SIT and UAT have completed, summarizing work completed and follow-up actions required from ASI and DHS.	In process
• Evaluate the process and/or schedule to determine if adjustments could streamline the process for the UAT test team to plan and create UAT test cases, minimizing rework.	In process

IV&V Findings and Recommendations

Project Management

#	Key Findings	Criticality Rating
58	**Risk – The data conversion effort lacks leadership, consistency in data governance, and effective communications which may impact the schedule**. The ASI and DHS continue tactical work related to data conversion (data cleansing, source to target mapping, etc.). While the current schedule includes data conversion tasks, it is unclear when converted data will be used to conduct SIT and UAT testing. The data conversion team is providing a weekly status update and is updating confluence with the project documents along with key metrics to accurately measure and report data conversion progress.	M

Recommendations	Progress
• Assign a dedicated project leader to actively manage all aspects of the Data Conversion effort. Consider a full-time position until the Data Conversion effort is completed.	Complete
• Investigate and resolve communication issues that are suspected to be delaying the data conversion effort.	Complete
• Prioritize the conversion activities to validate the key tasks are addressed early to avoid further delays considering the complexity of the later releases.	In process
• Update the timing of the project Data Conversion meeting from every-other-week to weekly.	Complete
• The ASI should develop reports with metrics that accurately measure the Data Conversion progress along with a high-level pictorial view of conversion activities planned for each release.	In process
• Add detailed Conversion tasks to the Project Schedule.	In process
• The DHS Data Governance committee needs to clarify the usage of MDM so the BES conversion team aligns to the planned governance structure.	In process

IV&V Findings and Recommendations

Project Management

#	Key Findings	Criticality Rating
62	**Issue – Inability to measure development team velocity may impact the projects' ability to forecast the delivery date of the remaining features.** No progress to report this reporting period. The CMM/FMM team is unable to measure sprint velocity and there are no story point estimates in the FCM_ALL backlog. Velocity is being tracked for the SSP sprint team but they consistently commit to more work than their velocity indicates they can complete in a single sprint. This is a symptom of not using velocity as a planning tool during Sprint Planning.	H

Recommendations	Progress
• The ASI work with the subcontractor Scrum Masters to calculate the average velocity from past iterations to be used as a historical reference.	In process
• Moving forward, the development teams should provide the ASI with Sprint and Product Burndown charts at the end of every iteration.	In process
• To calculate velocity, user stories need assigned values (IV&V recommends relative story points). If the developers are not currently assigning values to user stories, IV&V recommends this become common practice.	In process

IV&V Findings and Recommendations

Project Management

#	Key Findings	Criticality Rating
65	**Risk - DHS BESSD knowledgeable staff are needed on the project to ensure the BES solution is designed to meet the business needs and requirements.** In the 6/9/2021 Status Meeting, DHS reported they added a Reports SME and two additional staff to the UAT test team. DHS continues recruiting for the BES PM position.	M

Recommendations	Progress
• DHS continue to identify BESSD SME's to support the project as the project progresses.	In process
• DHS develop a project team list that identifies the participants along with their roles and areas of expertise to be used as short-term needs are identified.	Complete
• DHS utilize the BI-4 Project Schedule report developed by the ASI to identify those tasks owned by DHS in the short team in addition to the 4-month look-ahead to identify time frames and activities where there is a high-demand on DHS resources.	Complete
• Identify and on-board a replacement BES Project Manager.	In process
• Continue coaching the new BES Product Owners to ensure the new system takes advantage of new technologies and aligns to the planned business processes.	In process

IV&V Findings and Recommendations

Integration and Interface Management

#	Key Findings	Criticality Rating
60	**Risk – System Integration of the BES Modules (CMM, FMM, SSP) will be developed in the later releases vs. a continuous integration model within each release which may cause schedule delays.** This reporting period, IV&V reviewed the SSP Integrations document in Confluence that outlines the integration approaches for the identified SSP integration points. The document was designed as a reference for developers and contains the expected low-level details (API calls, request/response). To prepare for future knowledge transfer, it should also include high-level information (specific module names associated with each integration point). The SSP integration document will continue to evolve and is a positive step towards the mitigation of this risk.	H

Recommendations	Progress
• Prioritize the build of integration points within each module and the creation of scripts (API calls) required for integration.	In process
• Each release demo should be a collaborative effort across all modules (end-to-end solution) and verified against system-level requirements.	Not started
• If the ASI needs all the remaining releases to demonstrate an end-to-end solution of the identified business processes across all modules, IV&V recommends planning and communicating the mitigation strategy for handling risks associated with a 'big bang' release.	Not started

IV&V Findings and Recommendations

Integration and Interface Management

#	Key Findings	Criticality Rating
63	**Risk – The lack of early planning and coordination with interface partners may result in schedule delays.** The project team continues to update the interface planning documents. IV&V conducted another review of the Communication Plans and found that 3 interface partners' contacts have not been documented, 4 MOAs have not been approved, and testing dates have not been confirmed for 20 of the interfaces.	H

Recommendations	Progress
• Establish a communication plan for each interface partner for the duration of the BES DDI activities to include the contact's name and information.	In process
• Define a detailed schedule for each interface to include milestone dates, coordination, and execution and share with the interface partners.	In process
• Determine which deliverable will include the details associated with the planned connectivity and detailed technical designs of all interfaces.	In process
• Complete all MOAs and obtain approval.	In process
• Confirm testing dates with interface partners in writing.	In process
• Distribute preparation procedures for interface implementation to the interface partners.	In process

IV&V Findings and Recommendations

Configuration and Development

#	Key Findings	Criticality Rating
16	**Issue – Lack of clear understanding of the DDI approach may reduce effectiveness of all SDLC Processes.** The ASI is drafting changes to their current development approach to address DHS concerns. Details of the changes have yet to be fully delivered, vetted, and communicated to the DHS project team. IV&V will review proposed changes once more details become available.	M

Recommendations	Progress
• ASI provide an additional DDI approach overview session for stakeholders who still may be unclear on elements of the methodology, especially new product owners.	In process
• ASI make available their DDI approach documentation/materials for stakeholders to review and/or refresh their knowledge on demand.	In process

IV&V Findings and Recommendations

System Design

#	Key Findings	Criticality Rating
38	**Issue – Due to the sequencing of JADs addressing Workflow at the end instead of during current JAD sessions, the project could be faced with significant design rework, which may result in schedule delays, and impact the quality of solution design.** No material update for this reporting period.	L

Recommendations	Progress
• ASI to quickly define how the workflow/task functionality will flow and provide training to the facilitators.	In process
• ASI augment the project team with seasoned business analysts, with significant workflow expertise, to review workflow/task functionality and integrate into systems designs with input from DHS.	In process
• ASI to develop a high-level and detailed view of workflow for the BES application. This will provide the project team with a visual view of the workflow processes and integration points with the workflow software.	Not started

IV&V Findings and Recommendations

System Design

#	Key Findings	Criticality Rating
61	**Issue – Poorly executed JAD and "design sessions" could lead to inaccurate design and rework.** No JAD or Design Sessions were conducted in this reporting period. However, the ASI provided IV&V a brief overview of the proposed process change to conduct design sprints in concert with the project schedule revisions. In addition, the ASI subcontractor added two Systems Analysts, but it is unclear if they have Integrated Eligibility experience.	M

Recommendations	Progress
• JAD and design sessions should be led by experienced senior BAs, with goals, objectives and results communicated to all participants.	In process
• The facilitator should use their expertise to drive discussions through leading questions.	In process
• The DHS and ASI product owners should actively participate to ensure the system meets the requirements, designed taking advantage of new technology and aligns to the 'to be' business process.	In process
• The ASI should back-track significant differences in design direction to determine the root cause in an effort to identify these items as early in the SDLC as possible.	In process
• The Product Owners should have more direct interaction with the development team, proactively seeking collaboration.	In process

IV&V Findings and Recommendations

Testing

#	Key Findings	Criticality Rating
66	**Risk – The number of issues/defects found in UAT may cause planned work in the future sprints to be delayed due to the prioritization of the resolution of issues/defects found in UAT.** There are no material updates to this finding; the ASI continues to conduct a root cause analysis. Concern still remains that defects reported in UAT exceed the number of defects reported during System Test as shown through defect leakage metrics.	M

Recommendations	Progress
• Performing a joint (DHS/ASI/IV&V) Root Cause Analysis (RCA) to identify and take corrective actions	In process
• Adjust the project plan and provide reasonable scope for UAT for subsequent releases taking into account the number of defects and testing time needed.	In process
• Validate all UAT defects are retested in SIT to ensure they are included in Regression Testing.	In process
• System and Integration testing be executed more rigorously.	In process
• The ASI should report on leakage and DHS should monitor this Key Performance Indicator (KPI).	Not started
• FDD's be complete and frozen prior to the completion of SIT and that completion of FDD's be added to the exit criteria for SIT and entrance criteria for UAT. An alternate recommendation would be to adjust the process to minimize schedule slippage and rework by the SIT and UAT teams.	In process

IV&V Status

IV&V Engagement Status

IV&V Engagement Area	Apr	May	Jun	Comments
IV&V Budget				
IV&V Schedule				
IV&V Deliverables				The Release 0.3 SIT Test Case Analysis was published. The Release 0.3 UAT Test Case Analysis was published. The Release 0.4 SIT Shadow Testing results was published.
Centers for Medicare and Medicaid Services (CMS) IV&V Progress Reports				The first quarterly CMS Eligibility and Enrollment (E&E) IV&V Progress Report is on hold until IV&V and DHS determine the appropriate time to submit the report.
CMS Milestone Reviews				The first CMS Milestone Review date has not yet been determined.
IV&V Staffing				Trish Berger and Andy Wergedal joined the IV&V team.
IV&V Scope				

Engagement Rating 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 June reporting period:
  - Completed – May Monthly Status Report
  - Ongoing – Review the BES Project Artifacts and Deliverable
  - Ongoing – Attend BES project meetings, (see Additional Inputs pages for details)
  - Reviewed available ASI Original Contract and BES Optimization contract amendment documentation

- Planned IV&V activities for the July reporting period:
  - Ongoing – Observe BES Design and Development sessions as scheduled
  - Ongoing – Observe Bi-Weekly Project Status meetings
  - Ongoing – Observe Weekly Architecture meetings
  - Ongoing – Observe Weekly/Monthly Security meetings
  - Ongoing – Observe Agile Development meetings
  - Ongoing – Monthly IV&V findings meetings with the ASI
  - Ongoing – Monthly IV&V Draft Report Review with DHS, ETS and ASI
  - Ongoing – Participate in weekly DHS and IV&V Touch Base meetings
  - Ongoing – Review BES artifacts and deliverables

Deliverables Reviewed

Deliverable Name	Deliverable Date	Version
BI-22 Release 0.4 System Test Report – DRAFT	6/23/2021	Draft
BI-14 Release 0.4 Technical Design Document - CMM/CF (Iteration 1)	6/21/2021	V1
BI-10 Release 0.4 Self Service Portal - Report A Change (Iteration 2)	6/18/2021	V2
BI-5 Project Schedule	6/17/2021	Draft
BI-14 Release 0.4 Technical Design Document - SSP	6/8/2021	Draft
BI-10 Release 0.4 Self Service Portal - Report A Change	6/1/2021	4.0
BI-14 Release 0.4 Technical Design Document - CMM/CF – DRAFT	5/27/2021	Draft
BI-14 Release 0.4 Technical Design Document - SSP (Iteration 1)	6/30/2021	V1

Additional Inputs – Artifacts

Deliverable Name	Artifact Date	Version
Unisys Contract Amendment 3	4/17/2020	N/A
Two Portal Change Request	6/16/2021	1.0
FNS Handbook 901	01/2020	V2.4
BES Risks and Issues Log	06/02/2021 06/09/2021 06/16/2021 06/23/2021 06/30/2021	N/A
BES Weekly Schedule (BI-5)	06/17/2021 06/28/2021	N/A
BES Weekly Status Report	06/02/2021 06/09/2021 06/16/2021 06/23/2021 06/30/2021	N/A
Java Code Standards	09/11/2020	1.6
BES Shared Interfaces	N/A	N/A
R0.3 Codebase	05/11/2021	0.3

Additional Inputs

Meetings and/or Sessions Attended/Observed:

1. Weekly Platform Status Meeting – 6/1/2021, 6/8/2021, 6/22/2021, 6/29/2021
2. Weekly Architecture Meeting – 6/2/2021, 6/16/2021, 6/23/2021, 6/30/2021
3. Weekly Project Status Meeting – 6/2/2021, 6/9/2021, 6/16/2021, 6/23/2021
4. Weekly BES PMO and IV&V Touch Base – 6/23/2021
5. Weekly BES Dev Stand-up – 6/2/2021, 6/9/2021, 6/16/2021, 06/30/2021
6. Weekly SSP Backlog Grooming Session – 6/2/2021, 6/10/2021, 6/17/2021, 6/23/2021, 06/30/2021
7. BES Data Conversion Meeting – 6/3/2021, 6/7/2021, 6/14/2021, 6/21/2021, 6/28/2021
8. Weekly Schedule Review Meeting – 6/1/2021, 6/10/2021, 6/15/2021, 6/22/2021, 06/29/2021
9. Weekly IV&V Team Meeting – 6/1/2021, 6/7/2021, 6/10/2021, 06/14/2021, 6/17/2021, 6/21/2021
10. IV&V Team – BI-5 review check-in – 06/15/2021
11. R0.5 Screen Prototype – CMM DSNAP – 6/2/2021
12. Release Checkpoint Meeting – 6/3/2021,
13. R0.5 Screen Prototype – CMM CO05w and CO05r – 6/3/2021
14. R0.4 Weekly SIT Status – 6/3/2021, 6/10/2021
15. R0.5 Sprint Demo – CO05t Manage Sponsor Information – 6/4/2021
16. Release 0.3 Code Questions ASI and IV&V – 6/7/2021
17. DHS and IV&V Touch Base – 6/7/2021, 6/21/2021
18. R0.6 Screen Mockup – FMM FM18 – FM21 & FM23 – 6/7/2021
19. Sprint Demo | SSP – 6/7/2021, 6/21/2021
20. R0.4 BI-14 Walk-Through – Application Registration, Scheduling, Appointments, Standardized Address, Case Notes – 6/8/2021
21. Implementation Planning – 6/8/2021, 6/22/2021
22. BES Interface Planning BESSD, ASI, IV&V – 6/9/2021
23. R0.5 Screen Prototype – SSP QM01, QM02, and QM03 – 6/9/2021
24. R0.5 Screen Prototype – CMM CO05j Manage Asset Information – 6/10/2021
25. Enterprise Operations Committee – 6/10/2021, 6/24/2021
26. IV&V and CCWIS Check-in – 6/14/2021
27. CMM/CF/FMM Bi-Weekly Backlog Grooming – 6/15/2021
28. ASI/IV&V Mid-month Check-in – 6/16/2021
29. R0.6 Screen Prototype – FM22, FM22a, FM25 – 6/16/2021
30. BES CCB Monthly Meeting – 6/23/2021
31. HI BES ASI and IV&V Touch Base – Technical – 6/17/2021
32. DHS ESC – 6/17/2021

Additional Inputs - Continued

Meetings and/or Sessions Attended/Observed:

33. R0.5 Screen Prototype – CMM CO05j Manage Asset Information (Part 2) -6/17/2021
34. R0.5 Sprint Demo – CMM CO05f and CO05o – 6/18/2021
35. R0.5 Screen Prototype – CO05n and CO05q – 6/18/2021
36. R0.5 Walk-Through – MDM ICD's – 6/22/2021
37. HI BES ASI and IV&V Touch Base – Functional – 6/22/2021
38. R0.4 BI-14 Walk-Through – SSP – 6/22/2021
39. R0.5 Prototype Review – SSP Renewals- 6/22/2021
40. R0.4 BI-10 Comment Review – SSP RAC – 6/22/2021
41. Lunch and Learn – 6/25/2021
42. Release 0.3 Lessons Learned – 06/28/2021
43. ASI and IV&V Requirement Tracking in Aha – 06/29/2021
44. Monthly Project Risk and Issue Review Meeting – 06/29/2021
45. R0.5 Prototype Review – SSP Renewals (Part 2) – 06/29/2021
46. ASI and IV&V June Pre-Draft Review – 06/30/2021

Appendices

Appendix A – IV&V Criticality Ratings

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

Appendix B – Findings Log

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

Appendix C – Acronyms and Glossary

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

Appendix C – Acronyms and Glossary

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

Appendix C – Acronyms and Glossary

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

Appendix D – Background Information

Systems Modernization Project

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

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

Systems Modernization IV&V Project

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

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

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

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

Appendix D – Background Information

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

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

PCG's Eclipse IV&V® Technical Assessment Methodology

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

IV&V Assessment Categories for the BES Project

- Project Management
- Requirements Analysis & Management
- System Design
- Configuration and Development
- Integration and Interface Management
- Security and Privacy
- Testing
- OCM and Knowledge Transfer
- Pilot Test Deployment
- Deployment

Solutions that Matter

Finding Number	Title	Reporter	Finding Type	Identified Date	Category	Observation	Significance	Recommendation	Event Horizo	Impact	Probabilit	Analyst Pr	Finding Status	Date Retired	Status Update	Client Comments	Vendor Comments
66	The number of issues/defects found in UAT may cause planned work in the future sprints to be delayed due to the prioritization of the resolution of issues/defects found in UAT.	Earl Burba	Finding - Risk	3/29/2021	Testing	During discussions of UAT progress and metrics the number of defects found during this phase of testing appears greater than what would be expected during UAT. On 3/29/2021 at the conclusion of R0.3 Sprint 3 there were 306 reported defects (4 High, 10 Medium, and 292 Low Severity) where 181 are "Unresolved", 108 are documented as "Not a Defect", and 17 are marked as "Done". Since the functionality had previously been Unit, System and Integration, and the needs of the state clarified during JAD sessions very few defects are expected. As such, the amount of testing expected to be completed during the current R0.3 will not be met and will be pushed to the next release. If that trend continues UAT may not complete as planned and the schedule negatively affected. Additionally, since more defects are being reported and corrected than expected the rate of closure for defects, along with the time needed to retest those corrects, and regression test the functionality additional risk exists to the planned schedule. At the end of R0.3 it was reported that 44 issues were "Done" and 238 issues were incomplete (30 of which had all of their sub-tasks complete) and will be moved to the next Sprint designated SSP R0.3 UAT Sprint 4.	Since UAT is the vehicle for users to assure that the functionality developed and delivered meets their needs it is important that UAT be successfully completed. The high number of defects reported along with not meeting planned progress there may be an inclination to shorten the time needed to complete UAT.	Performing a joint (DHS/ASI/IVV) Root Cause Analysis (RCA) to identify and take corrective actions. Adjust the project plan and provide reasonable scope for UAT for subsequent releases taking into account the number of defects and testing time needed as reflected in current trending of UAT progress. Validate all UAT defects are retested in ST to ensure they are included in Regression Testing. System and Integration testing be executed more rigorously. The ASI report on leakage and DHS should monitor this Key Performance Indicator (KPI). -FDD's be complete and frozen prior to the completion of SIT and that completion of FDD's be added to the exit criteria for SIT and entrance criteria for UAT. An alternate recommendation would be to adjust the process to minimize schedule slippage and rework by the SIT and UAT teams.	Immediate	3	3	Med	Open		6/28/2021 - There has been no material update to this finding, the ASI continues to conduct a root cause analysis. Concern still remains that defects reported in UAT exceed the number of defects reported during System Test as shown through defect leakage metrics. 5/25/2021 – An industry standard metric used to identify the efficiency of System Testing is defect leakage, i.e., how many defects are missed/slipped during System testing. The formula used is Defect Leakage = (No. of Defects found in UAT / No. of Defects found in System testing.). For Release 0.3 there were 28 'Not a Defect', 124 'Done', and 10 'Unresolved'. For UAT the defect count was 199 'Not a Defect', 135 'Done', and 8 'Unresolved'. Removing those defects marked 'Not a Defect' for System Test and UAT counts there were 134 for System Test and 143 for UAT. By plugging those numbers into the formula, the result is 106.72%. Since the industry average for good testing processes is 10-12%, the defect leakage appears excessive for this project. 4/30/2021 - The ASI conducted an internal Root Cause Analysis (RCA) that identified 5 main root causes for the high number of defects found in UAT - Duplication of defects Mobile Device defects Static text defects due to design changes Defects tagged to the wrong release Valid defects with a shared root cause. The RCA does not address why so many defects were not detected during System Testing. The goal of UAT is to address the use of the solution by the end users. Design problems or design changes based on JAD sessions should be found in Systems Test, not UAT. DHS cited the lack of ASI-experienced BAs and the practice of updating the Functional Design Documents during ST and UAT may also be root causes. The ASI reported corrective actions are being taken and it is anticipated the Release 0.3 Lessons Learned activity may identify further corrective actions. IV&V recommends the ASI conduct a joint (DHS, ASI, IVV) RCA with DHS focused on identifying why defects are not being found in Unit or System Testing.		4/23/21 RAP - The ASI has completed our RCA for the high number of defects that were detected during UAT. We found 5 main causes for the defects encountered during UAT: 1) there were a large number of duplicate defects recorded by testers that were executing the same scripts in the same day; 2) there were a large number of presentation defects that were recorded on mobile devices that were not detected on PC browsers; 3) there were a higher number of static text defects due to design changes that were provided during the review of the BI-10 Functional Design Document rather than in earlier informal review cycles; 4) a number of defects were fixed based on SIT defects but were tagged to the wrong release, 5) there were a number of valid defects that were recorded that all shared a single root cause. Additionally, it is worth noting that despite the high numbers of defects detected, that nearly all were closed during the UAT cycle.
65	DHS BESSD staff with expansive business knowledge or availability are needed on the project to ensure business needs are sufficiently captured so that the BES solution is designed to meet the business needs and requirements.	Ryan	Finding - Risk	3/2/2021	Project Management	As the BES system is designed, it appears there is a lack of BESSD staff with expansive business knowledge and availability to work on the project to ensure the BES system meets the business need and requirements.	BESSD staff with expansive business knowledge and availability are critical to the project to ensure business needs and requirements are effectively documented as the new system is designed and developed.	DHS continue to identify BESSD SME's to support the project as the project progresses. DHS develop a project team list that identifies the participants along with their roles and areas of expertise to be used as short-term needs are identified DHS utilize the BI-5 Project Schedule report developed by the ASI to identify those tasks owned by DHS in the short team in addition to the 4-month look-ahead to identify time frames and activities where there is a high-demand on DHS resources. Identify and on-board a replacement BES Project Manager. Continue coaching the new BES Product Owners to ensure the new system takes advantage of new technologies and aligns to the planned business processes.	ASAP	3	3	Med	Open		06/30/2021 - In the 06/09/2021 Status Meeting, DHS reported they added a Reports SME and two additional staff to the UAT test team. DHS continues recruiting for the BES PM position. 05/31/2021 - The DHS Product Owners continue to adjust to their new roles to include decision making and designing BES to take advantage of the new technologies. DHS has identified a replacement BES PM; onboarding was delayed and is now planned for June 2021. 04/30/2021 - The DHS Product Owners are adjusting to their new roles to include decision making and designing BES to take advantage of the new technologies. DHS has identified a replacement BES PM, onboarding is planned for May 2021. 03/31/2020 - The DHS Product Owners continue to adjust to their new/revised project role, which is having a positive impact to the BES design. DHS is taking the planned actions to replace the DHS PM. 02/28/2021 - In January, DHS added many BESSD staff and is having a positive impact on the project. With the retirement of DHS' BES Project Manager (effective 2/26/2021) and Business Analyst (effective March 31, 2021) a transition plan was developed to support the onboarding of a new BES PM. DHS is taking the following actions, DHS developed a DHS BES Resource Pool to support future resource needs on the project. DHS is using a report from the BI-05 Project Schedule focused on the DHS activities and tasks planned to be performed in the next 4 months to provide early visibility to peak DHS resource needs. Additionally, the DHS BESSD Administrator spends 2-3 days per week at the ASI onsite facility to review plans, address issues and conduct follow-up as necessary.		4/23/21 RAP - DHS has added a number of product owners to the project over the past few months and given them the authority to make design decisions for the department. This has resulted in improvement in the turn around time for decisions being made.
63	The lack of early planning and coordination with interface partners may result in schedule delays.	Al Pangelinan	Finding - Risk	1/21/2021	Integration and Interface Management	The following planning and execution items have not yet been addressed and documented by the ASI. - Connectivity is planned to utilize a presently undefined ETS API Gateway; however, there is no evidence that details have been determined or documented in this regard. - There is little evidence of active and sufficient communication with interface partners for coordination, design, and testing activities (Unit Test, SIT, UAT). - Interface planning and execution tasks and activities, including those for interface partners, are neither resident nor managed within the Project Schedule. - A mitigation plan has not been developed to address the unavailability of interface partners during interface implementation after MOAs have been approved, testing dates have been confirmed, and communications have been frequent.	Interfaces is one of the areas where DDI projects often underestimate the time needed to effectively manage all the tasks and activities to successfully implement data sharing. A clearly defined communication plan and schedule that includes the coordination, planning, and execution activities along with milestone dates may minimize the risk of possible delays. In addition, after planning has been completed, interface partners will have to be available during interface implementation to ensure that the interfaces are properly tested before deploying the system to production.	1. Establish a communication plan for each interface partner for the duration of the BES DDI activities. 2. Define a detailed schedule for each interface to include milestone dates, coordination, and execution and share with the interface partners 3. Determine which deliverable will include the details associated with the planned connectivity and detailed technical designs of all interfaces 4. Identify and document all interface partners' contacts 5. Complete all MOAs and obtain approval 6. Confirm testing dates with interface partners in writing 7. Distribute preparation procedures for interface implementation to interface partners 8. Develop a mitigation plan to address the unavailability of Interface Partners during interface implementation	Q4 2021	5	3	High	Open		06/30/2021 -The project team continues to update the interface planning documents. IVV conducted another review of the Communication Plans and found that 3 interface partners' contacts have not been documented, 4 MOAs have not been approved, and testing dates have not been confirmed for 20 of the interfaces. IVV will continue to monitor. 06/27/2021 -The project team continues to update the interface planning documents. However, IVV reviewed the Communication Plans and found that 11 interface partners' contacts have not been documented, 5 MOAs have not been approved, and testing dates have not been confirmed for 21 of the interfaces. IVV will continue to monitor. 05/31/2021 -The project team continues to update the interface planning documents. However, IVV reviewed the Communication Plans and found that 23 interface partners' contacts have not been documented, 14 MOAs have not been approved, and testing dates have not been confirmed for all of the interfaces. IVV raised the criticality rating from Medium to High this month due to the status of the communication plans and testing schedule. IV&V will continue to monitor. 04/29/2021 - The ASI has updated the Communication Plans and project schedule regarding interfaces. At the Project Status Meeting on 04/28/2021, the ASI verbally reported that the Release 0.3 interfaces will be fully tested to include application testing with converted data. However, the project schedule does not address meetings with interface partners or interface testing. In addition, IVV has not seen the Test Plan for interface testing. 03/30/2021 - The ASI has incorporated communication plans into the Interface Control Documents (ICD). In addition, the ASI has maintained the Interface MOA and Testing spreadsheet (updated 03/17/2021), which contains the status and dates for each interface. However, there are outstanding MOAs, which need to be established. Overall, the ASI has made improvements regarding the planning and managing of interface activity. IVV lowered the rating from High to Medium. IVV will continue to monitor. 02/28/2021 - The ASI continued interface planning, coordination, and [illegible]		4/23/21 RAP - The interface team has created communication plans for all interfaces. The decision on testing dates will be noted once the project schedule has been updated to reflect the impacts from the ATC. DHS has located additional MOA/ MOU with trading partners in March. There are still that remain outstanding; however, DHS is working through the process of locating those, and we do not expect that the lack of MOU/ MOA will have impact on the project until go-live.02/25/2021 - Archie stated that the CYCRA interface is slated for Release 0.6 as one of the BESSD interfaces and stated that Jocelyn updated the project schedule to include CYCRA. 02/25/2021 rap - Observation #1 was largely inaccurately reported by the IV&V in January. The ASI provided the details demonstrating that >90% of the interfaces were in the tracker spreadsheet, BI-11, BI-12, and project schedule. The rest have been remediated. Observation #2: There are some inaccuracies in the observation of the IV&V. The API Gateway was documented in BI-12, there are three primary points of connections for 3rd party interfaces: for existing interfaces that KOLEA leverages, the interface point will continue to be the State Hub (OAG which is being migrated to Dell Boomi), for those being leveraged only be BES, the connection point will be Dell Boomi, and the FTI enclave for the IRS interface. We have recently received access to Boomi in a Sandbox and will begin Technical design for this. Communication with the interface partners is tracked in the interface tracker which was enhanced in February to include a communication plan. It will continue to be expanded in the future. As to technical design, the choice to leverage SFTP technologies vs. API's is based on the capabilities of the partner systems, most of whom will not change their interface processes from flat file to services. For Observation #3: Constraints and Risks will be updated as appropriate to the ICD's. However, we note that the IV&V is present at walkthroughs of the ICD's and has not suggested specific constraints or risks that are missing as part of walkthroughs either. The ASI has identified interfaces as a risk and is putting together Contingency and Mitigation plans for the risk identified here. We do agree that interfaces are [illegible]
62	Inability to measure development team velocity may impact the projects ability to forecast the delivery date of the remaining features.	John	Finding - Issue	12/28/2020	Project Management	The subcontractor development teams don't currently track and report Sprint velocity to the ASI.	Velocity is an important metric in Agile development which provides project leadership the ability to forecast how many iterations the team will need to complete the remaining work. Development teams use velocity to avoid over-committing to work in future Sprints. Velocity can also be an early indicator that the project needs more time or resources to meet the planned release dates. If the ASI does not track development team's velocity, they cannot accurately forecast the delivery date of the remaining features, which may place the project cost and critical path at risk.	IVV recommends the ASI work with the subcontractor Scrum Masters to calculate the average velocity from past iterations to be used as a historical reference. Moving forward, the development teams should provide the ASI with Sprint and Product Burndown charts at the end of every iteration. The Sprint Burndown chart provides the ASI with a visual representation of the planned vs actual work completed for each Sprint and the Product Burndown chart shows the bigger picture. To calculate velocity, user stories need assigned values (IVV recommends relative story points). If the developers are not currently assigning values to user stories, IVV recommends this become common practice.	?	4	4	High	Open		06/28/2021 - No progress to report this reporting period. The CMM/FMM team is still unable to measure sprint velocity and there are no story point estimations in the FCM_ALL backlog. Velocity is being tracked for the SSP sprint team but they consistently commit to more work than their velocity indicates they can complete in a single sprint. This is a symptom of not using velocity as a planning tool during Sprint Planning. 05/27/2021 - There has been no progress this reporting period. The CMM/FMM team is unable to measure sprint velocity. The ASI is working with their subcontractor to make this information available to project leadership. 04/29/2021 - No major update. The CMM/FMM team is still unable to measure sprint velocity. As mentioned previously, the team is using JIRA as their task tracking tool but have not implemented the use of metrics which would enable them to track velocity. 03/30/2021 - During this reporting period, IVV observed the shifting of use cases to future releases. This is a result of the inability to use the development team's velocity to plan and forecast work by Sprint and Release. The CMM/FMM team migrated to JIRA but it is too early to tell how effectively the tool is being used to track and utilize agile metrics for planning. IVV will continue to monitor the team's progress towards using JIRA to track and utilize agile metrics to accurately plan future work. 02/25/2021 - Velocity is an important metric in Agile development to provide project leadership the ability to forecast the number of iterations needed to complete any remaining work. During this reporting period the subcontractor started to move their Jira cards into Unisys' instance of Jira. This will support the project's ability to track their velocity in upcoming sprints. IVV retains a high criticality rating for this finding due to the impact on the ASI's ability to forecast the delivery date of the CMM/FMM modules. We will continue to monitor progress on the use of the tool and documenting story point estimation to track and report velocity. 01/22/2021 - The ASI leadership recognized the importance of tracking their subcontractor's velocity and is working with them to track and provide the required information. ASI will continue to monitor progress on velocity reporting for all sprint teams		4/23/21 rap - The shifting of use cases in March to future releases had nothing to do with development team velocity. Instead, they were based on the unavailability of resources needed by the design and development team to complete their work. The CMM/ FMM development team has moved to JIRA but still needs to implement metrics that would be used to track velocity. At this point, however, we have no data that shows that development velocity is a risk. Rather it is activities upstream of development that are impacting development velocity.2/25/21 rap - The reports are available for the SSP team. The CMM/FMM team has migrated to JIRA and will continue to make progress toward providing these metrics. The team does provide % complete updates on development work. The ASI questions the severity of this risk. According to the IV&V's definition of High, the risk is having a direct impact on the project now and needs to be remediated immediately. This has not proven to be the case over the first 3 releases. Rather we agree that the risk could impact the project and the project should take steps to mitigate the risk. This is more in line with a medium risk according to the IV&V's risk register. 12/31/2020 - Rob said they have that information and will work for consistency. The subcontractor does not have this in their scope of work for a deliverable and he expects some pushback from the subcontractor. Rob said they provide % complete that is reported to him and is the way their contracts ask for progress.

61	Poorly executed JAD and design sessions could lead to inaccurate design and rework.	Brad	Finding - Issue	11/30/2020	System Design	ASI-led Workflow JAD sessions have been held for CMM, with the following concerns being observed, - No clear introduction to all participants on the goal of the JAD, overview on the process and the importance of their participation. - On many occasions the conversation needed to be driven by leading questions, as expected, but was instead lead by business users - Too much pause time when participants did not know the answer to a question; several occasions where complete silence on the call for 30 seconds or more - Lack of thought leadership from the ASI on how workflow could be designed to ease/improve process for client	The CMM Workflow JAD sessions restarted in November. DHS indicated some concern regarding the CMM Workflow JAD sessions, specifically; (1) Do the JAD participants understand how the Case will be managed through workflow? (2) What improvements will be made in the new BES to support the users and clients? Incomplete or unclear JAD sessions with insufficient documentation could lead to a poor design, lacking the details needed to support business requirements; as well as missing opportunities to improve workflow and related system design.	- JAD and design sessions should be lead by experienced senior BAs, with goals, objectives and results communicated to all participants. - The facilitator should use their expertise to drive discussions through leading questions. - The DHS and ASI product owners should actively participate to ensure the system meets the requirements, designed taking advantage of new technology and aligns to the 'to be' business process. - The ASI should back-track significant differences in design direction to determine the root cause in an effort to identify these items as early in the SDLC as possible. - The Product Owners should have more direct interaction with the development team, proactively seeking collaboration.	ASAP	2	2	Med	Open	11/30/2020	6/30/2021 - No JAD or Design Sessions were conducted in this reporting period. However, the ASI provided IVV a brief overview of the proposed process change to conduct design sprints in concert with the project schedule revisions. In addition, the ASI subcontractor added two Systems Analysts, but it is unclear if they have Integrated Eligibility experience. 5/30/2021 - A few screen prototype review sessions were held with healthy collaboration between all participants. Product owners raised some concerns, for example the PO's stated the Manage Veterans Information screen might not be needed as the information could be captured elsewhere. This is exactly what these sessions are meant to identify and the earlier they are found in the SDLC process the better. IVV will continue to monitor in May. 4/30/2021 - This finding title was revised to include design sessions. DHS has noted that some JAD results documents to include documented design decisions have been lost from prior JAD sessions. To move forward, DHS has requested the ASI to facilitate design sessions to ensure the BES is designed to meet the business requirements and take advantage of new technologies. IVV will continue to monitor. 3/31/2021 - No JAD sessions were held during the reporting period. IVV will continue to monitor, looking for any negative downstream impacts to the project resulting from poorly executed JADs. 2/28/2021 -DHS and IVV observed continued improvement in the February JAD sessions. Specific improvements were JAD preparedness, facilitation, and execution to ensure all participants understand and agree on the design of the BES solution. IVV will continue to monitor. 1/31/2021 - As observed by DHS and IVV the JAD sessions conducted this month were inconsistent. Some showed improvement by conducting post meeting follow-ups and improved facilitation. However, the JAD for Release 0.5 Eligibility workflow experienced challenges in planning and preparing the participants to ensure the JAD session was productive and focused on the topics that needed to be clarified and/or modified to meet the business requirements. 12/31/2020 - Two JAD sessions held this month showed improvement from previous JAD sessions. The noted improvements were		4/23/21 rap - The ASI appreciated the recognition of the from the IV&V that things have improved. At this point, we have no actionable data that validates this concern. We will continue to monitor the performance of design sessions.2/25/21 rap - The ASI was not able to confirm the IV&V's assessment of the January meeting in discussions with project stakeholders. The ASI at this point considers this feedback at this point to be highly colored by observational bias. The ASI would need more actionable detail in order to take action on this Concern.
60	System Integration of the BES Modules (CMM, FMM, SSP) will be developed in the later releases vs. a continuous integration model within each release which may cause schedule delays.	John	Finding - Risk	9/30/2020	Integration and Interface Management	The BES Modules (CMM, FMM, SSP) are developed by separate teams and demo's are conducted separately with each release. Integration points between the modules are currently stubbed and the ASI has yet to demonstrate integration of the modules and end-to-end functionality.	System Integration has historically followed a 'big bang' model where all system components arrive simultaneously (usually towards the end of the project) resulting in a flawed and immature delivery. In theory, integration is expected to occur instantaneously. In reality, a 'big bang' integration strategy results in a rushed and incomplete system test process and a system that is focused on individual components rather than system capabilities.	1/27/2021 - IVV recommends prioritizing the build of integration points within each module and the creation of scripts (API calls) required for integration. Each release demo should be a collaborative effort across all modules (end-to-end solution), demonstrating the understanding of every integration point and verified against system-level requirements. If the ASI needs all the remaining releases to demonstrate an end-to-end solution of the identified business processes across all modules, IVV recommends planning and communicating the mitigation strategy for handling risks associated with a 'big bang' release.	N/A	4	4	High	Open		06/28/2021 - This reporting period, IVV reviewed the SSP Integrations document in Confluence that outlines the integration approaches for the identified SSP integration points. The document was designed as a reference for developers and contains the expected low-level details (API calls, request/response). To prepare for future knowledge transfer, it should also include high-level information (specific module names associated with each integration point). The SSP integration document will continue to evolve and is a positive step towards the mitigation of this risk. 05/27/2021 -The ASI provided IVV with a timeline for the planned integration of the BES modules. Integration between SSP and BES modules is planned to start in Release 0.5 and will continue through the final release. The plan is to integrate applications first, then appointments, alerts, notifications, and cases, etc.. This risk will remain until there is demonstration of end-to-end functionality across modules. 04/29/2021 - Agile Best Practice is to deliver business value through the early development of technical solutions with end-to-end business processes. The ASI is building modules of the application separately and integrating them in later releases to satisfy the end-to-end business processes. This risk will remain until there is demonstration of end-to-end functionality across modules. 03/30/2021 - MDM integrations are currently being worked and CIA integrations are planned to be complete by the end of the next reporting period. IVV will continue to track the progress of the integration of modules and the prioritization of building integration points. 02/25/2021 - No major updates in this reporting period. Recommendations stand as written. 01/27/2021 - During this reporting period, IVV gained further insight regarding the system architecture and planned integration strategy for each module. The ASI considers each module a contained application, using services to integrate with other modules. While this does not change the risk to the project, IVV has updated our recommendations to reflect our new understanding of the plan for integrating modules. 12/29/2020 - No major progress was observed this reporting		4/23/21 RAP - The ASI SSP team has developed integration stubbs for application submission from SSP to the CMM system. The stubs are included as part of R0.4 SSP release. The corresponding consumption of the application data will be included in future releases. Additionally, the CMM/FMM team is developing an interface framework for incorporating interfaces that are part of R0.4 and R0.5. The team has had to postpone a number of integration points for reasons beyond the control of the ASI. Additionally, the recommendation that demonstrations be done end to end is not workable presently for internal integration points because they would demand that the application be built sequentially rather than independently. In later releases, this will be possible. 2/25/21 rap - The ASI had planned integration in R0.2, R0.3, and R0.4 with 3rd party tools. None of these integrations were able to be completed based on circustances beyond the control of the ASI. The ASI also notes that the development and integration plan was published in July 2020 and that the IV&V did not raise this concern until October until it was basically too late for the ASI to respond to this risk. The ASI has published API plans for the SSP in February.
58	The Data Conversion effort lacks Leadership, consistency in Data Governance, and effective communications which may impact the schedule.	Brad	Finding - Risk	9/30/2020	Project Management	The Data Conversion effort appears to lack leadership for both the ASI and DHS. IVV has become aware that while DHS used a Data Governance Workgroup for the MDM release, it has not been active since and has not been formalized for DHS. Last, the project does not have a Data Conversion Lead assigned to lead the project. DHS has stated that the ASI should lead this effort and communicate with DHS where they are needed to assist. Multiple data cleanup actions and decisions between the ASI and DHS have lagged for several weeks, with the lack of leadership and communication suspected as the root cause. As example, it was announced in mid-month that the R0.2 data conversion effort would not result in actual conversion of data, and that the validation for R0.2 would be limited to being 'done on paper'. DHS was unaware that the ASI had a plan that did not include actually converting data. IVV will continue to monitor.	Data Conversion is often considered as one of the longest and most complex tasks in a DDI project. The lack of a Project Conversion Lead, coupled with communication challenges on tasks, activities, and decisions can, and already has, led to schedule delays.	- Assign a dedicated project leader to actively manage all aspects of the Data Conversion effort. Consider a full time position until the Data Conversion effort is completed. - Investigate and resolve communication issues that are suspected to be delaying the data conversion effort. - Prioritize the conversion activities to validate the key tasks are addressed early to avoid further delays considering the complexity of the later releases. - Update the timing of the project Data Conversion meeting from every-other-week to weekly. - The ASI should develop reports with metrics that accurately measure the Data Conversion progress. - Add detailed Conversion tasks to the Project Schedule. - The DHS Data Governance committee needs to clarify the usage of MDM so the BES conversion team aligns to the planned governance structure.	Q4 2020	3	2	Med	Open		6/30/2021 The ASI and DHS continue tactical work related to data conversion (data cleansing, source to target mapping, etc). The current schedule does include Data Conversion tasks however, it is unclear when converted data will be used to conduct SIT and UAT testing activities. The data conversion team is now providing a weekly status update and updating confluence with the project documents along with key metrics to accurately measure and report data conversion progress. 5/30/2021 -IVV observed the Data Conversion team (ASI/DHS) completing very specific tasks related to data cleansing and validating conversion plans. However, the ASI has yet to develop the 'big picture' of the data conversion activities – a high-level activity chart from start to finish. 04/30/2021 - IVV continues to observe improved working sessions and communications across the data conversion team. However, data conversion tasks should be added to the schedule in current and future releases - including SIT and UAT testing. IVV remains concerned and will continue to review the schedule and metrics when provided by the ASI. 03/31/2021 -CIT and IVV have been invited to more of the ongoing meetings and have been included in communications between ASI and DHS on conversion tasks, greatly increasing visibility to progress in this workstream. Prior to these changes, high level status was shared every two weeks on the status call – making if very difficult to gauge progress. IVV will continue to monitor. 02/28/2021 - Release 0.4 Data Conversion continued during February and is scheduled for completion in mid-April. However, the ASI reported that functionality and release timing changes being considered for the CMM interview processes may impact data conversion. The project team has discussed changing the frequency of the Project's Data Conversion meeting from every-other-week to weekly for more frequent and consistent communication updates of detailed tasks and activities. IVV supports this as being beneficial to the project. Based on the importance of data conversion to the overall project, IVV is raising the criticality rating of this finding		4/23/21 RAP - The ASI agrees that the conversion is often a high risk area for projects of this size and scope. We agree and plan to add metrics based reports for the Data Conversion process in the next reporting period. We have also prioritized the key conversion tasks that can be completed at this point. We recommend based on the IV&V status updates that they reconsider recommendation #4 regarding meeting frequency.2/25/21 rap - DHS has added new staffing to the conversion team which has helped move the conversion effort more efficiently. Conversion is always a major risk to a large DDI project. Regarding the recommendations, #1 The ASI has added a full-time resource to manage conversion with the support of a project manager/ controller as well. #2, The new DHS staffing model appears to have resolved this issue from the ASI perspective. If the IV&V has additional details regarding ASI participation that are more actionable, we would appreciate the feedback, #3, this was already part of the ASI's conversion plan, would appreciate more actionable feedback if IV&V believes this is not complete, #4, The ASI agrees with this recommendation and has requested the conversion team improve this statusing.
54	User Acceptance Testing (UAT) processes and timing of inputs required for UAT could lead to implementation delays and delivery of a solution that does not meet business needs or requirements.	Brad	Finding - Risk	6/24/2020	Project Management	11/30/2020 - Applications changes applied in UAT need to be reflected in update BI-10. Poorly planned and executed User Acceptance Testing (UAT) could lead to implementation delays and delivery of a solution that may not meet all business needs. During this reporting period, UAT was initiated. However, several deliverables that support the UAT process were not provided and/or approved prior to UAT, which impacted DHS' ability to proceed with testing. Outstanding predecessor deliverables include: Approval of system test scripts (BI-20) Delivery and approval of system test results (BI-22) Delivery and approval of other RO.1 deliverables (BI-10, BI-14, BI-15, BI-21). The ASI plans to address this challenge, as well as other opportunities for improvement evidenced during R.01 as 'lessons learned' during future releases. IVV notes that DHS staff will be required to enter UAT test scripts into pre-defined spreadsheets, which will be imported into Jira by the ASI. DHS staff will enter defects directly into Jira, which may necessitate a deeper level of training for use of the toolset, in addition to the demonstration previously provided by the ASI.	UAT gives DHS the chance to test the BES release using both real-world examples and those people who will be using the application day to day. It is the final stage of the implementation process; conducted to ensure that system requirements meet business needs and allowing for any issues to be fixed before the system goes live. A UAT that is not comprehensive could result in defects being found post go-live, leading to expensive solution updates and reduction of user confidence in the solution.	- All agreed upon actions to resolve issues called out in Release 0.2 Lessons Learned should be added to project schedule so adequate timing is provided to support UAT preparation and execution. - Further develop the action plans to include target complete dates. Report progress in the weekly status meeting. - The ASI could conduct a debrief meeting with DHS after SIT and UAT have completed, summarizing work completed and follow-up actions required from ASI and DHS. - Develop a clear and collaborative approach and plan to review and categorize all defects after testing if the current defined process is not being followed. This should include joint (ASI/DHS) severity level assignments for defects and determining the next steps for defects that require a change to the FDD or other previously approved or drafted deliverables. Evaluate the process and/or schedule to determine if adjustments could streamline the process for the UAT test team to plan and create UAT test cases, minimizing rework. - Designs need to be solidified prior to developing the scripts - should establish a cut-off date for the design.	immediately	3	1	Med	Open		6/30/2021- Release 0.4 UAT begin on June 28th and the results of the Release 0.3 Lessons Learned survey were distributed by the ASI, the action plans are planned to be developed in July 2021. Although the action plans are not yet defined, the project team applied some process changes to Release 0.4 UAT including freezing the functional design and delaying the completion of SIT to resolve and retest defects prior to the start of UAT. These changes are anticipated to minimize rework by the DHS UAT team. 05/30/2021 - There were no active UAT sessions during this reporting period. However, DHS indicated that in Release 0.3, the solution design was being updated after UAT start, causing rework on test case/script creation. This may be addressed in the Release 0.3 Lessons Learned activity, planned for next month. 04/30/2021 - In discussions with DHS, during Release 0.3 UAT, Functional Design Documents (FDDs) were being updated during SIT, making it very difficult for the UAT test team to create accurate and complete test cases. IVV will continue to monitor. 03/31/2021 -UAT for release 0.3 is now in progress and continues to be facilitated and executed well. New metrics have been introduced which help clarify progress and focus areas. IVV will continue to monitor. 2/28/2021 - In February, the ASI developed a process to manage updates to the BES Design Documents based on the outcome of UAT that are not categorized as defects but should be included in the BES design. Additionally, the majority of Release 0.2 Lessons Learned were implemented in February. IVV reduced the criticality rating of this finding from medium to low and will monitor the execution of these new processes in March. 01/26/2021 - There was not any UAT activity in January however, the 44 design changes identified during Release 0.2 remain outstanding along with the Release 0.2 BI-10 changes identified during UAT. IVV has not seen the plan to resolve these items to include identification of the downstream impact to the follow-on releases to development, testing and UAT. 12/31/2020 - There was not any UAT activity in December however, the 44 design changes identified during Release 0.2 remain outstanding. IVV has not	6/30/2020 - RP - Met w/ GH. Acknowledge that the first release is late. Discussed the pre-req deliverables, and the need to start testing. Early drafts for deliverables being circulated for review. DHS does not want to enter UAT test cases into Jira, will populate spreadsheets and provide to ASI for import into Jira. Still under discussion for adding defects into Jira, working towards agreement. PO - DHS Test Lead will triage defects, and DHS WILL add defects into Jira. ASI concern of just one person handling this responsibility to help avoid bottlenecks. None are currently anticipated on ASI side. Project schedule will be re-aligned to ensure that predecessors are completed prior to UAT. Per RP, this may be tied to ASI delivery, not DHS acceptance. Schedule updates expected by next week. Process for potential exceptions for deliverable approvals has not yet determined.	4/23/21 RAP - During this period, UAT for R0.3 completed. We will implement recommendation #3 by the end of the review period. Recommendation #4 to review and categorize "anomolies" reported from UAT is complete. The use of this term rather than industry specific terminology by the IV&V hints at a value judgement on the definition of a defect. During this period, the ASI met with DHS project leadership and reviewed the process for managing both defects (when the system does not behave as designed) and enhancements (a request to change the design) raised by the testing team. The team agreed on both the terminology and the process for managing both defects and enhancements. We request that the IV&V respect that decision and update language in their reports accordingly.2/25/21 rap - The UAT for R0.2 was successful based on inputs from those stakeholders involved in the process especially around the specific language identified in the risk. The UAT training and execution was well-planned and well-executed. We credit DHS adding a UAT team that works closely day in and day out with the ASI testing team with this success. Regarding the specific recommendations, all lesson learned actions plans for R0.2 are documented in Confluence with actual target dates. Progress has been reported throughout January and February at weekly status meetings and at Release update meetings. All lessons learned for R0.1 are complete or have been incorporated in the R0.2 action plan. Regarding recommendation #2, the lessons learned plans are documented in Confluence, documenting in the project schedule would be duplicative and is unnecessary from the ASI's point of view. The team in February completed nearly all action plans for R0.2 based on the plans outlined in Confluence. Few if any of the lessons learned in R0.2 were directly related to UAT planning and execution. Rather they were upstream activities. Regarding Recommendation #3, the ASI agrees with this recommendation. The debrief meeting from SIT was completed for R0.2 as part of teh UAT go/ no-go meeting. It will again for R0.3. We will conduct a final briefing meeting after R0.3 UAT in March/ early April. Regarding Recommendation #4, in February, the ASI and DHS collaborated on a revised testing plan that clearly outlines defect categorization and management. Severity of defects is defined in the RFP and was published in BI-19 in the original accepted deliverable. It has not changed. The UAT process will identify enhancements to the current design that is expected and a good thing for the

49	Poor quality project deliverables may impact system design, testing artifacts and the project schedule.	Brad	Finding - Issue	4/16/2020	Project Management	In April, four BI-10 design deliverables and one Interface Control Document deliverable were submitted for client review. There was an average of 85 comments submitted for each of these deliverables. The documents exhibited erroneous information, a lack of a logical organizational flow, an insufficient level of detail, and a lack of understanding of the subject matter from both a functional and technical perspective. DHS logged this issue in the Project Issue Log for corrective action by the ASI. The ASI acted by conducting an internal root cause analysis and provided DHS and IVV the high-level results.	The staff time spent on reviewing deliverables is exceeding the plan for all project entities and has caused schedule delays due to the associated rework needed for remediation. If poor quality deliverables continue to be produced and submitted for review, this can continue to result in unproductive use of time, unanticipated rework, misguided development and testing activities, potentially unfulfilled functionality, and additional schedule delays.	IVV recommends that a facilitated root cause analysis be performed by the ASI with DHS and IVV in attendance. Quality issues are rarely generated by a single entity in a project, so there could potentially be multiple causes or root causes of this current condition. Once the root cause(s) are identified, IVV recommends immediate action be employed to resolve quality concerns on in-process deliverables prior to submission of subsequent deliverables. IVV recommends that the ASI reviews its Quality Management Plan to ensure that the project is working within the guidelines of this Plan document. In particular, the ASI should evaluate and consider if it is in alignment with Section 3.1.2 Measure Project Quality, which states: "ASI measures process and product quality by: 1) selecting BES implementation process and product attributes to measure; 2) selecting component activities to measure; 3) defining value scales for each component activity; 4) recording observed activity values; and 5) combining the recorded attribute values into a single number called a process quality index." IVV has not seen evidence indicating the ASI is utilizing metrics to measure its process and product quality.	Immediate	2	2	Low	Open	6/30/2021 - No material update during this reporting period, DHS and IVV will review the ASI's revised process metrics when they are published. 05/30/2021 - One deliverable was submitted in this reporting period and is currently being reviewed. The revised metrics were not provided by the ASI. 04/30/2021 - Improved collaboration between ASI, DHS SMEs and Product Owners in design-related discussions is having a positive impact on the quality of deliverables. The ASI is currently developing additional quality metrics to quantify these improvements. IVV will continue to monitor. 03/31/2021 - The quality of deliverables continues to show improvement, mainly due to the use of the Confluence tool and its collaborative capabilities. IVV will continue to monitor the implementation and the effectiveness of quality improvements. 02/28/2021 - The Project continued to implement Release 0.2 Lessons Learned initiatives to improve project quality during February. Confluence is enabling the team collaboration to increase the quality of deliverables and work products. IVV has reduced the criticality of this finding to low and will continue to monitor the implementation and the effectiveness of these quality improvement initiatives. 01/31/2021 - The ASI submitted multiple deliverables during January spanning all current releases, with inconsistent document quality results. Some technical deliverables exhibited improved quality, while some design-related test deliverables continued to exhibit multiple anomalies. The project team conducted a Deliverable Review Pilot Process Review in January, which provided insight into the effectiveness of the process since its inception. The timing metrics clearly indicated that the deliverable review process had increased the pace and speed at which deliverables are reviewed, however the quality metrics did not indicate deliverable quality improvement. The Project Team began several Lessons Learned initiatives aimed at increasing both the speed and quality of deliverables, and IVV will continue to monitor both the implementation and the effectiveness of these initiatives through at least Release 0.4 ... 12/31/2020 - The ASI submitted multiple deliverables during December,	06/30/2020 - New deliverables this month included BI-10 and BI-20. BI-10 was initially called back for quality issues, and the issues were corrected. DHS is not comfortable with BI-10 re-format, will be revised again.	4/23/21 rap - The ASI team agrees that the full embrace by the project of the Confluence tool has improved the deliverable management process. We agree that the risk of poor quality deliverables impacting the project will remain low if all parties continue to engage in the processes agreed to by the combined project team. The ASI does dispute the notion that quality has improved due to the use of Confluence largely because the IV&V team has yet to establish any meaningful measure that baselines quality on the project. The ASI team in January did capture metrics that supported that quality has marginally improved since earlier in the project; however, the larger change in the project regarding project quality appears to be the project narrative. We attribute this is largely due to the increased collaboration among the joing teams in preparing deliverables. It should be noted that while the Confluence team has provided a number of positives for the project, it does change the metrics for measuring quality. The ASI is working to establish new metric based processes for measuring quality. 2/25/21 rap - The ASI disputes that the deliverables submitted in January were inconsistent with document quality results. The IV&V's assessment that technical deliverables showed improved quality as compared to functional and testing deliverables appears to be based either solely on observational bias that is heavily informed by historical project narrative or the crudest analysis of metrics, the number of comments. If the latter, the analysis focuses solely on the numerator and ignores the denominator (the size of the deliverable). Based on that, the functional and testing deliverables received fewer comments per page than the technical deliverables. The ASI has taken the following steps since this concern was originally raised on the project: 1) We have added a document management team that reviews all documents and responses to the team, 2) piloted a new process that includes document walkthrough's, peer review, team lead review, quality review all of which occur before a deliverable is submitted for formal review, 3) gained agreement from DHS to institute this process across the project, 4) implemented additional layers
48	The CMS Outcomes-Based Certification Requirements have not been published by CMS, which may impact the project schedule and funding.	Jolene	Finding - Risk	3/30/2020	Project Management	CMS has not published the Outcomes-Based Certification (OBC) requirements/process, which allows states to receive 90% FFP for Medicaid functionality of the BES solution.	If the OBC process and requirements are not published by CMS prior to the State's approval of the functional and technical requirements, the project's ability to receive enhanced Federal funding may be at risk.	The State continue to follow-up with CMS for the status of the release of the OBC Process and Requirements and discuss this risk with CMS to determine if there will be any options available to minimize this risk to the State.	Prior to Func	3	3	Med	Open	6/30/2021 - There are no material updates this month. 5/31/2021 - There are no material updates this month, IVV will continue to monitor. 4/30/2021 - No material update during this reporting period. 3/31/2021 - No material update during this reporting period. 2/28/2021 - No material status update during this reporting period. 1/31/2021 - No material status update during this reporting period. 12/31/2020 - No material status update during this reporting period. 11/30/2020 - No material status update during this reporting period. 10/30/2020 - No material status update during this reporting period. 9/30/2020 - No material status update during this reporting period. 8/31/2020 - No update during this reporting period. 7/31/2020 - No update during this reporting period. 06/30/2020 - No update during this reporting period, IVV will follow-up with DHS and provide an update in the next report. 05/31/2020 - No update during this reporting period. 04/30/2020 - No update during this reporting period. 03/31/2020 - This finding replaces finding Number 5 which was in relation to the CMS MEET Life Cycle. CMS informed DHS that the BES project will require the adoption of the CMS OBC process, the MEET process will no longer apply.		
47	The COVID-19 pandemic and the related "stay at home" order could hinder project activities and negatively impact the project schedule and budget.	mfors	Finding - Risk	3/29/2020	Project Management	On 3/23/2020, the Governor of Hawaii issued a "stay at home, work from home" order that has reduced state departments' ability to be fully functional as the large majority of state workers will be required to work from home/remotely at least until the end of May and some offices may be completely shut down until that time as well. Unclear if the order will extend beyond that date.	DHS stakeholder participation in key activities could be significantly hindered, not only by working remotely but also by the need to focus on delivering services to beneficiaries. Planned key activities such as design sessions may be facilitated remotely which may impact the quality of the sessions. Going forward, most if not all project activities will more than likely be conducted remotely until this crisis passes. The DHS project team will soon lose some key members of the PMO, the PMO lead will retire on 4/30/20 and another key member in June 2020. DHS has concerns that the state could experience a significant loss of revenue due to COVID, which could lead to DHS budget challenges. If the state/DHS institutes a hiring freeze, DHS PMO may not be able to replace these key resources. Additionally, if the state institutes furloughs, DHS project team resources could be further constrained. Unclear if the state budget challenges will impact overall project funding.	- Ramp up efforts to setup, train, and assist stakeholders on remote work devices and tools and make every effort to help them to become highly functional with remote access technology (e.g. MS Teams/Skype). - Suggest the project and DHS create a detailed, documented risk mitigation strategy and plan that is reviewed regularly and revised to address the current state of the COVID-19 threat and related impacts over the next 6 to 12 months. The plan should include the possible economic impacts to the state budget directly related to project resources. - Update the OCM Plan to include any new activities or updates to planned activities to aid the organization through this COVID-19 pandemic in the short and long term. - Send broad communications to stakeholders to assure clear understanding of changes to the project with this regard to impacts of COVID as well as clarifying communications as to what will remain the same. - Explore options for freeing up key BESSD SME's work on the project.	ASAP	2	2	Low	Open	6/28/21 - The ASI continues to limit their office occupancy to 50% to comply with State mandates but has indicated that in-office team members continue to see increased productivity from in-person project collaboration. Some key DHS SME's will continue to work remotely which could pose a challenge to project productivity. Earlier concerns with COVID impacts to their offshore (India) team because of the spike in new cases appear to be subsiding. IVV changed the criticality of this finding from medium to low and will continue to monitor. 5/27/21 - The ASI has allowed their team and select DHS team members to return to their office. DHS' acting PM has noted in-person interactions with the ASI have improved communications and productivity at the PM level. It remains unclear whether the off-shore ASI team will continue to be impacted by team members who may become unavailable due to COVID. 4/28/21 - The project continues to adapt to virtual project activities and sessions. Though in-person sessions are likely more productive and can increase stakeholder participation and the project's cadence, DHS has accepted this risk and continues to improve their virtual capabilities. The ASI stated their off-shore India SSP team has been directly impacted by the increased COVID infection rates as 3-4 of their developers have contracted COVID. If these numbers grow the ASI may transfer some of the work to other teams. 3/31/21 - As BESSD operational activities due to COVID subside, some BESSD SMEs are increasing their level of involvement on project tasks (e.g., UAT testing, Product Owners). Hawaii State leadership has announced that with the influx of Federal funds, furloughs will not be necessary. The ASI is making plans for mitigating risks regarding virtual/remote training and remote user support for teleworkers. 2/24/2021 - Despite significant operational activities due to COVID, BESSD SMEs continue to support project efforts. COVID related furloughs could be implemented as early as July 2021 which may reduce SME capacity and hinder project activities. However, the ASI has begun leveraging features of their new collaboration tools (e.g., Confluence) that appear to be increasing the productivity of some work sessions. The ASI is currently	06/30/2020 - Office opening may be delayed until September/October. TBD.	4/23/21 RAP - The ASI team has logged a risk in this reporting period to track the risk of COVID to implementation activities. In regard to the overall risk ratings, at this point, the Federal COVID relief package and the vaccination effort is making the liklihood of impact to the project low unless there is a significant change in the variants in the coming months. Additionally, the project has worked remotely successfully for over a year now. We believe that the project has adapted successfully to this challenge that should we need to continue to work remotely that we can adapt with little overall risk to schedule.2/25/21 rap - The ASI agrees with the overall risk rating; however, we recommend that the IV&V team update the recommendations to be more current. Regarding the recommendations, #1, the project has been working primarily remove for nearly a year; while not ideal, we are managing, stakeholders have managed through the process, we recommend that this be updated to completed, #2, the ASI agrees, there is an issue that tracks impact on internal project work; however, as we begin to look at implementation activities, a more detailed risk managment plan for the Pilot and Statewide roll-out will be needed. We will add this risk in the upcoming months. #3, The OCM plan has been updated to aid the organization through the short-term and long-term, this recommendation should be Complete, #4, this has been accomodated in a variety of ways over the last year, while we will need to continue to monitor this, we recommend that the IV&V acknowledge the work done by the ASI and DHS regarding this recommendation, #5, based on the assignment of staff to be product owners in January, we recommend that this recommendation be marked completed. 5/5/2020 - Paul Oliver stated that DHS requested the ASI limit BESSD staff needs during the month of May 2020 due to the focus of state staff to work with clients. Unknown if this will extend to June/July. This is more of a risk for DHS; Unisys used to working off-site. State staff availability to work on the project in the future may impact the schedule - ASI will need to look at options if this risk is realized. 3/31/2020 - Per Paul Oliver, The project has also logged a risk for COVID-19, ASI main concern is the
43	DHS PMO project team members have transitioned off the project, which may cause gaps in knowledge transfer and leadership on the project.	Ryan	Finding - Issue	1/10/2020	Project Management	As reported in various project meetings, several key DHS PMO, BES and ASI project team members are planning to retire or leave the project within the next few months or have already transitioned off the project. While there are plans and actions being taken, a formal transition/succession plan has not been documented. In January, the ASI did announce and introduce an interim Project Manager, but a plan for a permanent replacement is not currently known.	The key resources leaving the BES Project provide knowledge and history of DHS and its software, solutions, and business processes, along with a level of consistency and continuity to the extended project team. This experience and knowledge is critical for the BES DDI and KOLEA Modifications, and planning efforts for BES Maintenance and Operations activities.	5/31/2021 - DHS continue to work with the appropriate organizations to identify the funds necessary to fill these positions. The state should document a transition plan for the project and PMO resources as identified in the RFP (reference RFP section 3.4.3 'DHS Staffing'). The plan should include the possible COVID-19 economic impact to the state budget, directly in relation to the project resources. The ASI should document a transition plan for each key resource as required by the RFP (reference RFP section 3.5.1.2 'Benefits Eligibility Solution Project Staffing'.)	ASAP	5	4	High	Open	6/30/2021 - No material update in this reporting period. 5/31/2021- No material update in this reporting period. 4/30/2021- DHS denied the 'hiring freeze' has been lifted and are working to secure the budget for these positions. IVV will continue to monitor. 3/31/2021 - No material update to this finding in this reporting period. 2/28/2021 - No material update to this finding in this reporting period. Note - Previously this finding was addressing DHS PMO and DHS BESSD staff, they were split during this reporting period to accommodate different status updates and criticality ratings. The BESSD Staff are now in finding #65. 01/31/2021 - DHS assigned several BESSD staff to the project team this month and they are in the onboarding process. The DHS PMO positions remain in an open status. Although many new staff were added to the project in January, IVV retains this as a high-priority until DHS has validated the project has the staff with the required skill sets needed for the long-term. This may be challenging since the project is using Aha and MS Project to manage the schedule and Aha does not currently have DHS resource estimates included for the activities and tasks. 12/31/2020 - DHS identified 2 additional staff to begin assisting in the deliverable review process in January 2021. Additional BESSD staff may be needed to support the project in the near term for the laiger releases and the open DHS positions have not yet been approved/funded. 11/30/2020 - DHS has identified additional part time BESSD staff to work on the project in the Product Owner role. DHS is planning to establish roles and responsibilities for the new team members and continues to pursue additional staff to work on the project to minimize risk. 10/30/2020 - No material update to this finding during this reporting period. 9/30/2020 - The lack of DHS staff to work on the BES project is negatively impacting the project. The last DHS PMO member retired at the end of this month. The initiation of the Pilot Deliverable review and approval process along with all other project work is straining the DHS project team. It is critical that additional staff be made available to work on the project to include managing the ASI contractual requirements. Therefore, this issue will be elevated to a risk	02/08/2021 - Brian Donohoe does not agree with IVV's high-criticality rating on this Finding (#43) and DHS rolled out the DHS Product Owner Roles and Responsibilities to the DHS team on January 29, 2021. (Gary provided the Final DHS Product Owner Roles and Responsibilities document to IVV on 02/8/2021). 06/30/2020 - Mark Choi is becoming more involved in the project. Involved in Arch decisions and PM decisions around tool sets, future vision, etc. Day to day PM working closely w/ Gary and Emerald. We have no insight into other DHS staffing.	4/23/21 RAP - From the ASI perspective, the changes to the project management of the BES project have provided little impact on the overall project. At this point, the knowledge transfer gaps have been closed and the leadership of the project remains strong hands from DHS. We recommend that the IV&V reassess the probability of impact and severity of impact and lower the overall rating for this risk.3/3/2020 - The ASI PM stated the Project Coordinator position is filled and they will begin work on 3/9/2020, transition activities from Donna will begin next week. ASI PM also stated they are currently filling the ASI PM and ASI Engagement Manager Roles and is commited to the project in these roles for the next 6 months.
38	Due to the sequencing of JADs addressing Workflow at the end instead of during current JAD sessions, the project could be faced with significant design rework, which may result in schedule delays, and impact the quality of solution design.	mfors	Finding - Issue	8/29/2019	System Design	ASI-led JAD sessions are currently divided up into functional areas (Portal, Admin Appeals, Core, Financial, etc.) and have been ongoing since approximately March 2019. Workflow/task JAD's have yet to begin. Currently, when functional area design discussions involve a workflow/task, the discussion is tabled because the ASI has yet to define how the workflow/task will be implemented. The ASI has stated that once the workflow/task functionality is defined, they will go back and update the existing designs to include this functionality.	Stopping (or putting on hold) design and process flow discussions during JAD's can result in an incomplete understanding of future processes. Uninformed design decisions could lead to significant rework, confusion among SME's and the ASI project team, unproductive analysis discussions, and a poor design. Further, if DHS is asked to sign off on designs that lack clear workflow/task functionality, they could be signing off on a poor or incomplete design.	- ASI assure a understanding of advanced workflow/task capabilities and provide training to the BA's, developers, and session facilitators as well as key SMEs. - ASI augment the project team with seasoned business analysts, with significant workflow expertise, to review workflow/task functionality and integrate into systems designs with input from DHS. -ASI to develop a high-level and detailed view of workflow for the BES application. This will provide the project team with a visual view of the workflow processes and integration points with the workflow software.	ASAP	2	2	Low	Open	6/28/21 - No material update for this reporting period. 5/27/21 - It is IVV understanding that software development efforts have slowed as they revisit some design documents to ensure developers (subcontractors) have a full understanding of analysis and designs that have already been developed, which may include workflows that were not fully vetted in the earlier design sessions. Details of this effort have not been made available to IVV. 4/28/21 - The ASI has stated they will continue to ensure sufficient workflow analysis in their system design efforts. However, it remains unclear whether important opportunities for optimal workflow designs have been missed which could, in the end, lead to system workflow functionality that is suboptimal or inefficient. 3/31/21 - No JAD sessions were held in this reporting period. IVV remains concerned that designs could still be less than optimal given that early JAD sessions had deferred workflow discussions until now. 2/24/2021 - Recent workflow JAD sessions appear to have improved the project's understanding of how workflows will be integrated into existing designs. Also, the ASI has begun leveraging features of their new collaboration tools (e.g., Confluence) that appear to be increasing the productivity of some work sessions. Therefore, IVV has lowered this criticality rating to 'Low'. IVV remains concerned than designs could still be less that optimal given that early JAD sessions had deferred workflow discussions until now. 1/27/2021 - The project has initiated another round of JAD sessions during this reporting period. The recent 1/25/21 session titled, 'BES R0.5 JAD - Eligibility Determination, Redetermination, Review and General (Day 1)' to discuss the activity flows around Redetermination and SMRF. The project has recently released version 0.3 for testing. It remains unclear whether the design of functionality that has been implemented in the current release will need to change based on decisions or discovery during these JAD sessions. 12/30/2020 - Workflow JAD sessions are ongoing, however, DHS SME's continue to report that sessions have not been fully productive and/or efficient. It remains unclear if the	4/23/21 rap - The ASI asks that the IV&V rethink their approach to this risk. The last status update noted concern that workflow sesions had been deferred until now; however, those sessions would have had to be redone post-SOAP since the workflow vision was changed significantly as part of SOAP. The inclusion of the Current product as part of the project vision will make the workflow much more similar to existing processes for the organization (in accordance with the expressed vision of SOAP which was to maintain existing workflows that have been developed and implemented by BESSD). We believe that the risk would have been higher had workflow JAD's been done early and then we tried to adapt those decisions into the current project.2/25/21 rap - We believe that this risk as currently stated is a historical artifact on the IV&V report and should either be updated or removed. Regarding the recommendations, #1) the vendor that provides the task management software has been reengaged in the project, the architects are outlining the high-level process for this; we do not believe that it will have a large change in code developed to date, #2) DHS has assigned product owners for the task management integration. They will work with the ASI team to define integration points and workflow support. 5/5/2020 - Paul Oliver did not realize there was a follow-up actiivtiy. Addressing workflow in the JAD sessions was inconsistent. Need to determine (1) which JAD sessions already completed did or did not include workflow (2) if workflow was covered in the JAD, will it change due to the Optimization Solution? (3) if workflow was not covered in the JAD session, how will these requirements be included in the solution? Further, per Paul the plan moving forward for CMM/FMM is to include workflow as it is developed 3/31/2020 - Paul Oliver did not have a chance to talk to his team, he will do so and get back with IVV.

29	Uncertainty and/or a lack of communication around long term architecture decisions could impact the project budget, schedule, system design, and planning decisions.	mfors	Finding - Issue	5/28/2019	Project Management	Some platform and BES system architecture decisions have yet to be made and socialized to the project. For example, the ASI and DHS have stated that they have reached agreement that the project will move forward with implementing two Siebel instances (one for KOLEA, one for BES), but this is not currently reflected in the project change log or the project decision log. It remains unclear if the details of the rationale for this decision or the plan for integrating the two instances post go-live have been thoroughly vetted and/or documented. Further, there may be some uncertainty around whether when/if all environments (including KOLEA and BES production) will be moved to the cloud.	The current project architecture and design should be as representative and inclusive of all known future solution plans as possible. As an example, if KOLEA and BES are to move to a single instance of Siebel in the future, planning for that integration should be incorporated into the project now. If such significant future changes are not planned for now, the project is likely to see increased complexity, rework, and costs when integrating the two systems in the future.	- The ASI continue to document the architectural details in the BI-12 System Architecture Deliverable and if possible, review draft content with DHS and IVV. DHS request ASI perform due diligence in any recommendation for foundational architecture change decisions.. - The project should continue to vet possible architectural change impacts to platform, M and O, MQD, and BES systems before finalizing architectural decisions. - The project should continue to ensure communication between development leads and architecture leads to assure optimal collaboration on possible architecture changes that could impact decisions in each area. - DHS should finalize the Portal strategy and communicate the strategy with the stakeholders and project teams. - Establish processes to ensure regular communication between the architecture team and the rest of the project team to assess impacts of architecture decisions to the project.	ASAP	2	2	Low	Open	6/28/21 - The ASI reviewed the change order to implement 2 portals (BESSD and MQD) instead of a single consolidated portal. Some details of this change have yet to be provided and the stakeholders raised multiple questions and concerns. The ASI indicated that the project is considering replacing the existing State hub with Boomi toolsets but details are not yet available. 5/27/21 - Although the ASI has taken efforts to clarify how they intend to utilize the State Hub, some aspects have yet to be decided by DHS and the ASI. IV&V will continue to monitor communications between the various stakeholders to assure decisions are made with a full understanding of the system architecture. 4/27/21 - Communication and/or agreement over how BES will utilize the State data hub in the short term as well as going forward is not clear. Repeated ESI questions during the ESI Weekly Platform Status Meeting remain outstanding. 3/31/2021 - The project has made progress in clarifying their portal strategy. The BES portal will include a combined BESSD/MQD application for users from either division. The MQD KOLEA portal will include only the MQD application, and transfer users to the BES portal if they also need to apply for BESSD services. 2/24/2021 - The project continues to clarify the DHS portal strategy. The project appears poised to select a container security tool. Weekly ASI/DHS/ESI architecture and other architecture and security-related meetings have served to communicate architecture decisions. Therefore, IVV reduced the criticality rating of this finding from medium to low. IVV remains concerned with the complexity and number of tools that are being utilized and if the governance structure is effective to manage the architecture. 1/27/2021 - As the project continues to introduce new technology/tools to the solution environment, it remains unclear if sufficient governance over the technology has been established and communicated to DHS. In addition, it is difficult to determine whether the development team can quickly use the technology/tools to improve overall productivity. 12/30/2020 - No material updates for this reporting period. 11/30/2020 - The weekly architecture	06/30/2020 - Combined application is still planned. App still not finalized by DHS. From Arch perspective, we are building in Liferay. Future Integration of the portals is still to be determined, but is not more complex than originally planned for data sharing. If change is made to Adobe, this would require a CR.	4/23/21 rap - The ASI and DHS continue to refine the final plan for the two portal vision. We expect that final decisions will likely be made during this reporting period and communicated to the project. The ASI refers the IV&V to our February update regarding Recommendation #3. From our perspective all necessary actions are complete. If the IV&V does not believe it is Complete we request supporting detail. 2/25/21 rap - The ASI recommends that this risk be lowered to low. At this point, there is little unknown about the final system architecture. Regarding the recommendations, #1) This is complete, #2) This should complete in Februrary, #3) This is complete, there are multiple processes to vet architectural changes to project stakeholders, #4) This is complete, the ASI and DHS have pursued platform agnostic design whereever possible, there are multiple communication fora on the project to discuss potential architectural changes, #4, This is complete, see #3. 07/10/2020 - The ASI provided DHS and IVV feedback on this finding via email. A subsequent conference call with the ASI, BES PM and IVV team on 7/14/2020 was conducted to discuss the comments 5/5/2020 - Paul Oliver stated the Architecture documents to include high-level and lower level detail are being incorporated into the BI-12 Architecture Deliverable. 10/10/19 SB: The ASI is working on the KOLEA specific content of BI-12 and this has been relayed to DHS. 06/11/19 S Brown: The ASI requests clarity on what long term architectural decisions are being referred to.
16	Lack of clear understanding of the DDI approach may reduce effectiveness of all SDLC Processes.	mfors	Finding - Issue	12/17/2018	Configuration and Development	Several DHS stakeholders have commented that the SI Design, Development, and Implementation (DDI) approach is unclear. While stakeholders can observe SI activity and have participated in some SI activities, they do not understand how it all fits together and some activity objectives seem unclear. The SI conducted a DDI approach overview session during an initial JAR session, however not all stakeholders were present. IVV did not locate any DDI approach documentation or materials that could be referenced by stakeholders who may have missed to the overview session, by new members of the team, or by other interested parties.	Lack of stakeholder understanding and buy-in to the SI DDI approach and project activity objectives may reduce the effectiveness of JAR and JAD sessions as well as other BES project activities and decisions.	PCG recommends one or more of the following to mitigate this risk, • ASI provide an additional DDI approach overview session for stakeholders who still may be unclear on elements of the methodology, especially new product owners. • ASI make available their DDI approach documentation/materials for stakeholders to review and/or refresh their knowledge on demand.	1/31/19	3	3	Med	Open	6/28/21 - The ASI is in the process drafting changes to their current development approach to address some DHS concerns. Details of the changes have yet to be fully delivered, vetted, and communicated to the DHS project team. IVV will review proposed changes once more details become available. 5/27/21 - DHS and the ASI continue to make efforts to bring their new product owners up to speed with both the methodology and expectations of their role. It remains unclear whether DHS product owners will be able to meet project expectations to assure their product owner responsibilities are fully met. 4/28/2021 - The ASI and IVV agree that continuing to educate the DHS product owners in Agile and other software development processes can increase the quality of design sessions and productivity of their role. 3/31/2021 - No update for this reporting period. 2/24/2021 - The ASI has stated their intention to reconcile the differences in approach between their 2 software development teams (Unisys India and subcontractor) and increase DHS' understanding of the SDLC approach. While some key DHS SMEs appear to have a good understanding of the ASI methodology/approach others, including some of the new product owners, may not. Lack of an understanding of the project methodology/approach may reduce SME effectiveness and ability to make informed decisions. 1/27/2021 - The ASI has yet to clarify how they will reconcile their subcontractors differences in approach and whether they will be able to provide DHS with accurate project progress information including accurate estimated task completion dates. 12/30/2020 - The BES system is currently being developed by 2 development groups, an offshore Unisys development team and a Hawaii based subcontractor. However, there are some differences with the implementation methods between the 2 groups, which could create some confusion. For example, the Unisys group uses story points to size and track progress of development tasks and development team cadence, yet the Subcontractor group does not use this approach. 11/30/2020 - The ASI subcontractor has stated they have transferred	1/7/19; Note. During the 01-02-18 [sic] status meeting, DHS did not decline the offer and made suggestions. To my understanding, Unisys offered to present the orientation during each JAD session. It was suggested by DHS that the pre-JAD packet be placed in the SharePoint project site. For new participants in the JADs, a separate orientation before the JAD should be held for those new participants.	4/23/21 RAP - The ASI requests that the IV&V interview key project stakeholders regarding this risk and refresh recommendations and understanding of this risk. We contend that there is a good shared understanding of the SDLC among project stakeholders. Recommendation #3 should be updated to Closed. The ASI will make more significant update against the Recommendations #1 & #2 in the next reporting period. We think that the IV&V should update Recommendation #2 to reference Confluence rather than SharePoint since it is now the project's knowledge repository. Additionally, if there are new concerns that are related, we recommend that they be logged as distinct items rather than morphing this risk to address other related topics. 2/25/21 rap - The ASI made considerable progress on this risk in January and February 2021. The CMM/FMM team has moved to a similar collaboration approach with product owners for development that the SSP development team uses. Additionally the CMM/FMM team has migrated their work to the BES JIRA instance. Regarding the recommenations, #1) the ASI will look to complete this recommendation in March as time allows, #2) the ASI has published design process information on the project teams Confluence site which is available for review by project stakeholders, #3) This recommendation has been fully embraced by DHS and ASI since December 2020, we recommend that this be updated to Closed. 10/10/19 SB: DHS has agreed to the updated BI 10 template which will be reviewed as part of Iteration 3 artifacts. In addition, the ASI has produced a literal big picture and walked DHS and the PMO through it. The whiteboard big picture is being produced for team consumption. 09/12/19 SB: The BI 6 DDI Plan Deliverable has been accepted by DHS. The ASI is currently addressing comments on the iterations of BI 10 Functional Design deliverable provided for review to DHS to more clearly align with sections of the approved DED.
2	Late delivery of project deliverables may cause schedule delays.	Ryan	Finding - Issue	11/28/2018	Project Management	Based upon the project schedule dated 11/26/18 (refer to schedule for specifics), several due dates for project deliverables have been missed. As of the date of this report, these deliverables include the Project Management Plan (PMP), which is the formal document that is used to manage the execution of the project. In some instances, this risk may be compounded by a backlog of Deliverable Expectation Documents (DED) requiring approval and acceptance from the State.	Without a PMP that depicts all Project Management processes, the Project can suffer unplanned consequences in scope, schedule, cost, and quality parameters. Without a schedule that provides the required level of detail to manage the work, the project is at risk to be successful.	5/31/2021 - When the revised schedule is published the project team should restart the weekly practice of reporting actions being taken for late tasks and develop mitigation plans for those tasks that may be late. 4/30/2021 - DHS and the ASI agree and publish the revised schedule based on the KOLEA ATC impact and CMM development delays. 9/30/2020 Recommendation - IVV recommends the project team evaluate the estimating process to determine if changes should be made to reduce the number of late tasks and-or conduct a root cause analysis to determine and address the root cause(s). 8/31/2020 Recommendations; - Prior to acceptance of the new baseline, finalize the needed updates to the project schedule to address the outstanding items/issues identified by DHS, the ASI, and IVV to include the Release 0.1 lessons learned. - Establish the process for DHS and the ASI to mutually agree to the revised project schedule baseline. - Complete - Establish the process for on-going schedule management and weekly updates, utilizing the Schedule Management sub-plan of the Project Management Plan (BI-04). - Complete 5/31/2020 - Finalize the updates to the project schedule to address the outstanding items/issues identified by DHS and IV&V. 5/31/2020 - Establish the process for DHS and the ASI to mutually agree to the revised project schedule baseline. 3/31/2020 - Add all tasks that have been performed or planned to be performed in the interim schedule. Closed 5/30/2020 - effective 5/15/2020 the ASI is no longer maintaining the interim schedule. IVV recommends that the ASI complete the Project Management Plan deliverable, work with DHS and IVV for review and edit as needed, and attain approval of the PMP. This will help ensure that all processes within the project management entity are thoughtfully and collaboratively developed and implemented to meet the needs of the project. Review and update the project schedule to capture and discuss the late deliverable and tasks and delivery thereof, needed mitigation actions along with identification and agreement with DHS on DDI to resolve the late activities and tasks. Updated Recommendation 10/10/2019: - Continue to manage and track the schedule to ensure deliverables are provided as planned. - Review the schedule critical path in the weekly schedule review meeting. - Continue to meet weekly with DHS to convey new schedule changes, obstacles, and document the corrective actions that will be taken to address schedule delays and obstacle resolution. - Determine if the stopped work on TDDs will impact the schedule, and update accordingly - Determine if rework to FDDs will impact the schedule, and update	TBD	4	5	High	Open	6/30/2021 - The ASI published a draft revised schedule on 6/17/2021. The ASI is currently reviewing the comments and questions submitted by DHS and IVV. The project team is moving forward with the revised schedule understanding that further changes may be applied prior to DHS acceptance. 5/31/2021 - There are no material updates to this finding in this reporting period, the revised project schedule is under development. 4/30/2021 -The revised Project Schedule has not been published to reflect the full scope of the project due to the KOLEA ATC impact (the CMS required KOLEA modifications are causing a delay of the integration with BES) and CMM development delays. IVV notes the project team revised the Release 0.4 schedule in this reporting period and the Release 0.5 schedule is in process. It remains unclear why updates to the schedule continue to be delayed. A residual impact of not having a project schedule is the loss of project team momentum, which is occurring based on the reduction of project meetings and deliverable reviews. 3/31/2021 - The schedule remained static through this reporting period as the project team continued to work through challenges regarding the Release 0.4 CMM Interview, KOLEA MDM and Single Sign-on development activities. During this reporting period, some deliverables were late. The project team is researching options and assessing the schedule impact. 2/28/2021 - In the February 17, 2021 status meeting, the project team reported challenges regarding the Release 0.4 CMM Interview, KOLEA MDM and Single Sign-on development activities. The project team is researching options and assessing the schedule impact. As a result, some deliverables were late. Consequently, IVV retains this as a high criticality issue. Additionally, the ASI reported that they completed an internal root cause analysis and conduct a weekly internal meeting to review the schedule details to identify possible delays and take mitigation actions. 1/31/2021- In January, most deliverables were provided on-time. The Release 0.3 BI-10 Functional Design Document, Data Conversion, Training and Technical Design documents were late. The Security		4/23/21 rap - The ASI acknowledges that in this period and previous periods that some deliverables have been late; however, they have had little to no impact on the project critical path until this month. The delay in the interview design sessions has impacted the overall project schedule. Additionally, the ATC upgrade on the KOLEA project will have a significant impact to the project schedule (not due to late deliverables). We recommend that the IV&V broaden the primary description of this risk. We agree that there are significant risks to the project schedule; however, late deliverables are a minor contributor compared to other risks that aren't properly documented in the IV&V report. 2/25/21 rap - The ASI agrees that this risk if it occured would have a high impact to the project; however, the ASI notes, that the probability of this impact over January and February were shown to be low. While there were some deliverables that were late (the BI-10 by a couple of days, Technical Design by a couple of weeks), they were completed in time to avoid any impact to the critical path for R0.3. The Training plan development is well off the critical path. The security plan does remain behind schedule but we are on track for the revised due date. Regarding the recommendations: #1) the ASI will update the schedule to address outstanding issues with which we agree before baselining the project schedule, this has been delayed due to new information on the schedule related to the software upgrade work on the KOLEA project to suppor the ATC. #2) The ASI meets weekly with all team leads to review the estimation process, we update the project schedule as needed with a keen eye on both Release Phase Gate impacts and the overall project's critical path. 3/4/2020 - Paul Oliver and Rob Plummer - status update is accurate - no concerns expressed by the ASI. Rob indicated the R 0.4 Workflow activities are currently being updated. 3/31/2020 - Paul Oliver - The interim schedule was not intended to capture every task/activity. It was meant to capture the major (higher level) tasks to manage the project short term. The ASI team is focused on the long term schedule aligned to the BES Optimization. The interim schedule is being used and reviewed weekly in the Unisys team meeting. The interim schedule will be used for approximately 1 month, targeting the end of April for the BES Optimization Schedule. 10/10/19 SB: The ASI is working in close collaboration with DHS on the schedule and are assessing