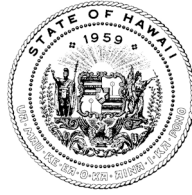


JOSH GREEN, M.D.
GOVERNOR



DOUGLAS MURDOCK
CHIEF INFORMATION
OFFICER

OFFICE OF ENTERPRISE TECHNOLOGY SERVICES

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March 15, 2023

The Honorable Ronald D. Kouchi
President of the Senate
and Members of the Senate
Thirty-Second State Legislature
State Capitol, Room 409
Honolulu, Hawai'i 96813

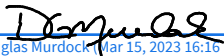
The Honorable Scott K. Saiki
Speaker and Members of the
House of Representatives
Thirty-Second State Legislature
State Capitol, Room 431
Honolulu, Hawai'i 96813

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

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

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

Sincerely,


Douglas Murdock (Mar 15, 2023 16:16 HST)

Douglas Murdock
Chief Information Officer
State of Hawai'i

Attachments (2)



Hawaii Department of Human Services Systems Modernization Project

Final IV&V Status Report
for Reporting Period: February 1 – 28, 2023

Submitted: March 14, 2023

Overview

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



Solutions that Matter

The background is a solid blue color. It features several abstract geometric shapes, including squares and rounded rectangles, in various shades of blue. Some shapes are solid, while others are outlined in white. These shapes are scattered across the page, with a higher concentration on the left side. The text 'Executive Summary' is centered horizontally and positioned in the lower-left quadrant of the page.

Executive Summary




Executive Summary



This is the first full month of performance for the new ASI since the January 17th project restart and the pace of the BES Project has noticeably increased. Two significant items to highlight:

- After 29 months of not having an approved BES Project schedule, DHS and the new ASI achieved a significant milestone by gaining joint approval of the BES Project Schedule, which was baselined on February 15, 2023. The project team now has visibility into schedule deviations and the ability to mitigate schedule delays. This positive news is combined with the approved list of deliverables the new ASI will provide.
- The new ASI held two project meetings to further detail the Agile approach to the design and development of the BES application. DHS concerns about the lack of design meetings and reduced involvement of DHS Subject Matter Experts (SMEs) were addressed by the new ASI. The Agile approach involves more independent planning and preparation by the new ASI team, with impromptu one-on-one discussions to clarify specific items with DHS. This approach is expected to allow the new ASI to gather DHS input efficiently, without over-reliance on DHS resources as seen previously on the Project.

Considering the positive progress being made on the BES Project, IV&V has retired two findings in this reporting period and lowered the criticality rating for several others.

Dec	Jan	Feb	Category	IV&V Observations
			Project Management	An overall project schedule was approved by DHS and baselined. The weekly project status meeting has been streamlined, efficiently providing visibility to stakeholders on overall project progress.

Executive Summary



Dec	Jan	Feb	Category	IV&V Observations
M	M	M	System Design	The ASI continued to lead design sessions, including focused SME discussions, internal ASI pre-design discussions, and reviews of planned Epic design with the expanded DHS team.
M	M	L	Configuration and Development	The ASI published a schedule for System Design, Development, and Implementation (DDI) work, which is included in the overall project schedule (BI-5) to track cross-project dependencies.
M	M	M	Integration and Interface Management	The ASI started work on a Dashboard to provide the status of the remaining work with interface partners, which will be available for viewing in Confluence.
M	M	M	Testing	The DHS testing lead was determined this month. The ASI continued research for an ADA compliance tool.
H	H	M	Security and Privacy	Weekly security touchpoints meetings started in February. Additionally, the completion date for BI-13 System Security Plan has been pushed out from March, recognizing the amount of work to still be completed. The ASI has not published a new completion date.

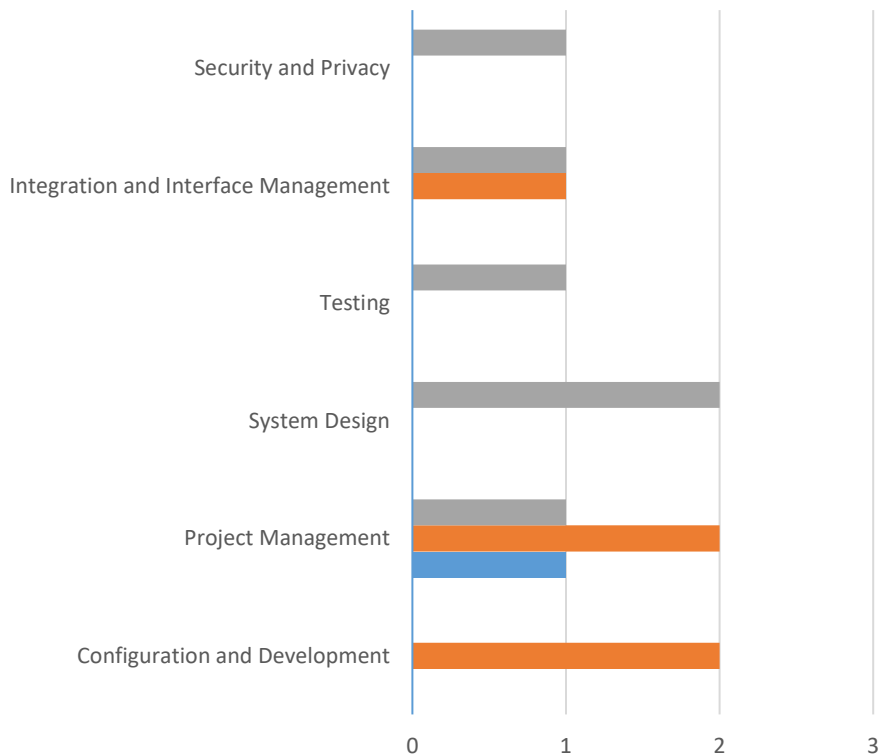
IV&V Findings and Recommendations

IV&V Findings and Recommendations

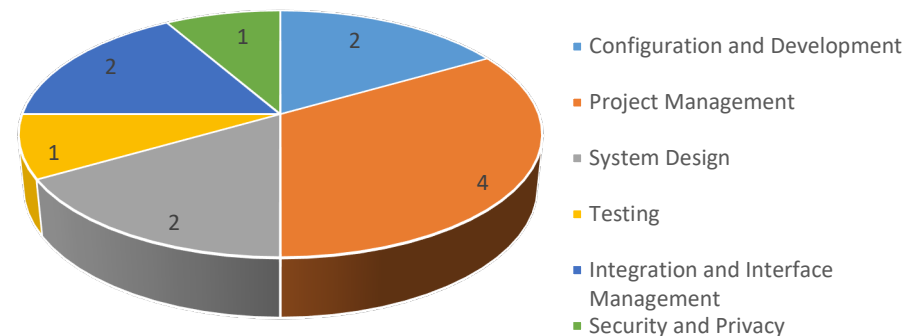


As of the February 2023 reporting period, PCG is tracking 12 open findings (7 risks, 5 issues) and has retired a total of 63 findings. All these findings were opened during the tenure of the prior ASI. Of the 12 open findings, 1 is a High criticality rating, 6 are Medium, and 5 are Low.

Open Risks & Issues



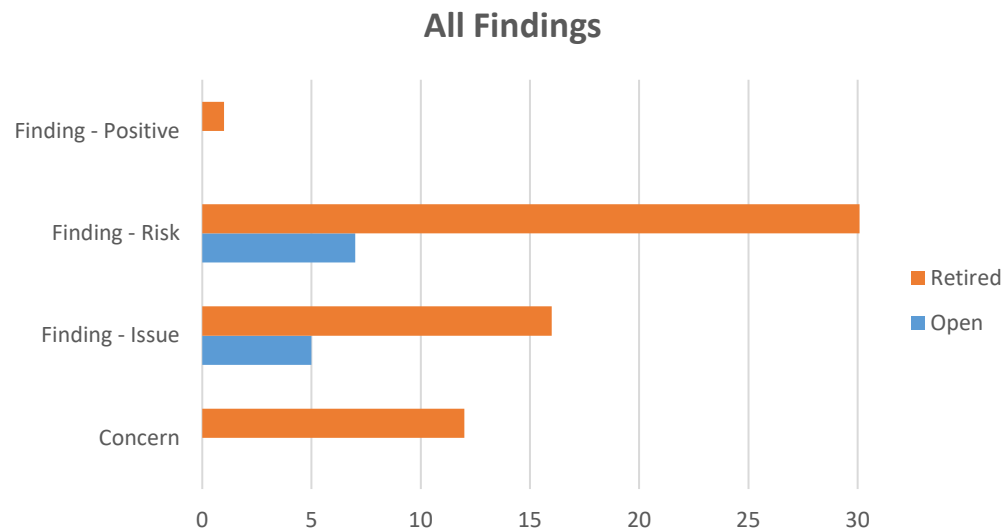
Open Risks & Issues by Category



IV&V Findings and Recommendations



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



IV&V Findings and Recommendations



Findings Retired During the Reporting Period

#	Finding	Category
49	<p>Issue – Poor quality project deliverables may impact system design, testing artifacts, and the project schedule.</p> <p>Due to the length of time this finding has been at a low priority, and no evidence of the new ASI delivering poor quality deliverables, IV&V is retiring this finding. IV&V will continue to monitor and review project deliverables, verifying there is no deprecation in quality.</p>	Project Management
2	<p>Issue – Late delivery of project deliverables has caused schedule delays.</p> <p>Under the new ASI, the Project adopted new review processes to develop and approve project deliverables. The Project also baselined a schedule approved by DHS. The original finding has been overcome by events and there is no indication that existing deliverables are late. Therefore, IV&V retired this finding.</p>	Project Management

IV&V Findings and Recommendations



Preliminary Concerns Investigated During the Reporting Period

#	Finding	Category
	None	

IV&V Findings and Recommendations



Findings Opened During the Reporting Period

#	Finding	Category
	None	

IV&V Findings and Recommendations



Project Management

#	Key Findings	Criticality Rating
29	<p>Issue – Uncertainty and/or a lack of communication around long-term architecture decisions could impact the project budget, schedule, system design, and planning decisions.</p> <p>The ASI has sought to clarify the scope of BES 2023 in the recent Agile training sessions. Some uncertainty remains around the use of ServiceNow (SN) and the tools that will be utilized for electronic Governance, Risk, and Compliance (eGRC).</p>	

Recommendations	Progress
<ul style="list-style-type: none">The ASI continue to update the BI-12 System Architecture Deliverable with additional details as they become available and with any finalized architectural changes.	In process
<ul style="list-style-type: none">DHS continue to request ASI perform due diligence in any recommendation for foundational architecture change decisions and continue to review with appropriate DHS stakeholders to assure a common understanding of the implications of these decisions.	In process
<ul style="list-style-type: none">The Project should continue to ensure communication between development leads and architecture leads to assure optimal collaboration on possible architecture changes that could impact decisions in each area.	In process

IV&V Findings and Recommendations



Project Management

#	Key Findings	Criticality Rating
43	<p>Issue – DHS PMO project team members have transitioned off the Project, which may cause gaps in knowledge transfer and leadership on the Project.</p> <p>DHS continues to recruit for PMO positions. Although DHS has received applications, the recent applicants have not been selected for interviews.</p>	

Recommendations	Progress
<ul style="list-style-type: none">DHS continue to work with the appropriate organizations to identify the funds necessary to fill these positions.	In process
<ul style="list-style-type: none">DHS consider other options (Contractors, State employees borrowed from other agencies) to fill these positions if there is ongoing difficulty in finding permanent hires.	In process

IV&V Findings and Recommendations



Project Management

#	Key Findings	Criticality Rating
74	<p>Risk – A BES Project schedule based on inaccurate estimations diminishes effective planning and resource management, which could result in late deliverables, cost increases, and a late go-live.</p> <p>The BES Project schedule was approved on 2/15/23 and its development included DHS and ASI input to estimate the remaining work. Therefore, IV&V changed the criticality rating from high to medium.</p>	

Recommendations	Progress
<ul style="list-style-type: none">Monitor, evaluate and revise scheduling estimates for accuracy.	In process
<ul style="list-style-type: none">Confirm current assumption that a delay with the current go-live date will not result in major implications.	In process
<ul style="list-style-type: none">DHS and the ASI agree to a revised schedule against which project deliverables can be managed.	Completed

IV&V Findings and Recommendations



Project Management


#	Key Findings	Criticality Rating
76	<p>Risk – Volunteer DHS resources leaving the Project may lead to schedule delays, lower morale, and burnout.</p> <p>With DHS resource requirements reduced by the new ASI's DDI process, IV&V lowered the criticality rating of this finding from medium to low. IV&V will continue to monitor, verifying that all DHS resources required by the Project are being met.</p>	

Recommendations	Progress
<ul style="list-style-type: none">Carefully plan for all project activities with reasonable hour allocations for the DHS resources and adjust dates in the BES Project schedule accordingly.	In process
<ul style="list-style-type: none">Add cushion time to the schedule for unexpected project delays.	Not started
<ul style="list-style-type: none">Provide incentives for the DHS resources to help maintain the project team and possibly alleviate attrition or increase the number of volunteers to the team.	In process

IV&V Findings and Recommendations



Integration and Interface Management


#	Key Findings	Criticality Rating
63	<p>Risk – The lack of early planning and coordination with interface partners may result in schedule delays.</p> <p>The new ASI is reviewing all the BES interfaces and is building a Confluence dashboard to track and progress and status of each interface.</p>	

Recommendations	Progress
<ul style="list-style-type: none">• Complete all MOAs and obtain approval.	In process
<ul style="list-style-type: none">• Confirm testing dates with interface partners in writing.	In process
<ul style="list-style-type: none">• Complete early proof of concept interfaces to avoid unexpected delays due to external organization miscommunications or their own internal delays in assisting the BES project.	Not started

IV&V Findings and Recommendations



Integration and Interface Management

#	Key Findings	Criticality Rating
79	<p>Issue – External vendor delays in the development of the BES task management system interface have impacted the project schedule.</p> <p>The Project has upcoming designs (Epic 104) that involve the BES task management system. The new ASI has engaged DHS to meet with the task management system vendor.</p>	
Recommendations		Progress
<ul style="list-style-type: none">The ASI re-establish regular collaboration meetings with CIA to assure strong communication and brainstorm optimal solutions for BES integration with Current.		In process
<ul style="list-style-type: none">The ASI provide test results from the task management integration to ensure that the interface works.		Not Started

IV&V Findings and Recommendations



Configuration and Development

#	Key Findings	Criticality Rating
70	<p>Risk – Insufficient configuration management could lead to development confusion and reduce the effectiveness of defect resolution.</p> <p>The new ASI intends to utilize ServiceNow (SN) for most configuration management tracking. Details of exactly how they'll be using SN and its multitude of modules and capabilities remain unclear.</p>	

Recommendations	Progress
<ul style="list-style-type: none">ASI adhere to plans for configuration management as documented in BI-6 DDI Plan, Section 5.2 and clarify details and/or any changes with DHS.	In process
<ul style="list-style-type: none">ASI validate plans for configuration management with DHS and agree on a meaningful set of configuration items or settings they will track.	In process
<ul style="list-style-type: none">DHS and ASI work to clarify/solidify plans for the potential use of configuration management tools and DHS work to fund and procure a CM tool, as required, to avoid any negative impacts to the project.	In process

IV&V Findings and Recommendations



Configuration and Development

#	Key Findings	Criticality Rating
80	<p>Risk – Development delays could negatively impact the project schedule and delay go-live.</p> <p>Though the Project transitioned to the new ASI, many of the development team that was subcontracted to the previous ASI remain on the Project. However, the new ASI has significantly increased their resources (now totaling 137), which may mitigate this risk. Therefore, IV&V lowered the criticality rating of this finding from medium to low. IV&V will continue to closely monitor this risk and look for evidence the added resources includes skilled developers that can drive the productivity of less experienced developers.</p>	

Recommendations	Progress
<ul style="list-style-type: none">DHS request the ASI strategically add the right project team resources to effectively increase velocity. Note that adding additional junior resources may not be as effective as staffing additional expert-level development, analysis, and other resources that can lead and mentor junior resources.	In process
<ul style="list-style-type: none">ASI effectively track and regularly provide DHS (potentially via the weekly DDI status meeting) with an accurate velocity (e.g., story points per day/week/month) and assure that the current velocity is accurately and consistently reflected in the project schedule.	In process

IV&V Findings and Recommendations



System Design

#	Key Findings	Criticality Rating
61	<p>Issue – Poorly executed JAD and "design sessions" could lead to inaccurate design and rework.</p> <p>DHS and IV&V observed the ASI is struggling to sufficiently prepare for and deliver well-facilitated design sessions. There are indications the ASI team has not thoroughly prepared for, discussed, and solutioned designs prior to client meetings. While the ASI has made progress in addressing some of the recommendations of this finding, other concerns continue. IV&V suggests the ASI team review and apply the recommendations of this finding to improve the productivity of meetings going forward.</p>	

Recommendations	Progress
<ul style="list-style-type: none">The facilitator should use their expertise to drive discussions through leading questions.	In process
<ul style="list-style-type: none">BAs should come to Day one of Design Sprint fully prepared to facilitate discussion on topic of sprint, with adequate knowledge about business process and approach for design based on JAD/JAR notes and other pertinent material.	In process
<ul style="list-style-type: none">The ASI to bring User Experience (UE) designers to engage with DHS and review the currently built BES solution.	In process
<ul style="list-style-type: none">New ASI to quickly gain lessons learned to apply to future sessions.	In process

IV&V Findings and Recommendations



System Design

#	Key Findings	Criticality Rating
73	<p>Risk – The planned BES infrastructure is complex which could be difficult to implement and maintain and could lead to schedule/cost impacts.</p> <p>Though the new ASI intends to simplify the BES infrastructure, it remains unclear whether that will be possible in a timely manner and avoid impacting the critical path. The new ASI also intends to expand on the previous ASI scope of DevOps by adding more automation. While this has the potential to simplify environment management, it could also present challenges without impacting the schedule.</p>	

Recommendations	Progress
<ul style="list-style-type: none"> ASI clearly communicates the potential costs and schedule impacts to implementing the planned infrastructure. The architecture process should include steps to provide a detailed impact of DHS architectural decisions including the integration activities, support required, and maintenance and operations impacts. 	In process
<ul style="list-style-type: none"> DHS work with the ASI to assess the potential challenges of maintaining a complex environment and consider scaled-back options that could reduce this risk and reduce long-term maintenance challenges and costs. 	In process
<ul style="list-style-type: none"> ASI develop a process to closely monitor cloud and other product changes (software updates/new releases), manage changes, and regression test once updates are applied. 	In process
<ul style="list-style-type: none"> The project team work to establish strong governance over the utilization and maintenance of various components to simplify their use and monitoring. 	Not started
<ul style="list-style-type: none"> ASI development team identify infrastructure components and techniques that are new to them and take action to assure potential integration problems do not lead to unexpected delays. 	Not started
<ul style="list-style-type: none"> Request the ASI maintain a detailed schedule for DevOps implementation tasks to avoid unexpected delays that could delay project milestones and the critical path. 	Not started

IV&V Findings and Recommendations



Testing

#	Key Findings	Criticality Rating
67	<p>Risk - The Americans With Disabilities Act (ADA) Section 508 compliance tool has not been installed for the Project, which may cause significant rework.</p> <p>The Project is evaluating different ADA compliance tools. DHS currently uses Site Improve in other areas and the ASI is reviewing its feasibility for this project. The ASI requested access to the Site Improve tool for a Proof of Concept (POC) Additionally, the ASI previously evaluated Usability.net and will use it if the Site Improve POC is unsuccessful.</p>	

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

IV&V Findings and Recommendations



Security and Privacy

#	Key Findings	Criticality Rating
68	<p>Risk - Incomplete implementation statements in the BES Security Plan activities may lead to delays in gaining Federal Partner approval for the BES Project to begin the Pilot Phase.</p> <p>The new ASI began weekly status meetings with the security stakeholders in February. The ASI presented and clearly articulated an approach to developing the System Security Plan (SSP). This includes the selection of the controls for the SSP consistent with NIST 800-53 guidance. At the end of February, the ASI and DHS began the controls selection process for a NIST 800-53 moderate SSP. Additionally, the ASI and DHS have begun to discuss the selection of an eGRC system. After reviewing the Service Now GRC module as an option, it appears to be cost-prohibitive. The ASI continues to look at options for a GRC system while continuing to use Aha as a repository for the SSP. Based on the status of security activities IV&V lowered the criticality rating to Medium.</p>	

Recommendations	Progress
<ul style="list-style-type: none"> The ASI continues to develop the BI-13 Security Plan in close collaboration with DHS. 	In process
<ul style="list-style-type: none"> DHS and the ASI agree upon the tools and process that will be used to document and track security control implementation, such as security governance, risk, and control (GRC software). The process should define the level of detail needed to track progress (estimates, target dates, risks, issues, evidence) along with the Requirement Traceability Matrix, and plans of actions and milestones (POAM). 	In process
<ul style="list-style-type: none"> ASI ensure that the ASI Security Lead has a depth of experience in NIST 800-53 and experience authoring implementation statements of System Security Plans (SSP). 	Completed
<ul style="list-style-type: none"> DHS review the proposed staff resume, interview individual, and approve resource to ensure that they meet the position's contractual requirements. 	Completed



IV&V Status

IV&V Engagement Status



IV&V Engagement Area	Dec	Jan	Feb	Comments
IV&V Budget				
IV&V Schedule				
IV&V Deliverables				PCG submitted the final January IV&V Monthly Status Report.
IV&V Staffing				
IV&V Scope				

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



- IV&V activities in the February reporting period:
 - Completed – January Monthly Status Report
 - Ongoing – Review the BES Project Artifacts and Deliverables
 - Ongoing – Attend BES Project meetings, (see [Additional Inputs](#) pages for details)
 - Reviewed available ASI Original Contract and BES Optimization contract amendment documentation
- Planned IV&V activities for the March reporting period:
 - Ongoing – Observe BES Design and Development sessions as scheduled
 - Ongoing – Observe Weekly Project Status meetings
 - Ongoing – Observe Weekly Architecture meetings
 - Ongoing – Observe Weekly Security meetings
 - Ongoing – Monthly IV&V findings meetings with the ASI
 - Ongoing – Monthly IV&V Draft Report Review with DHS, ETS and ASI
 - Ongoing – Participate in Bi-Weekly DHS and IV&V Touch Base meetings
 - Ongoing – Review BES artifacts and deliverables

Deliverables Reviewed



Deliverable Name	Deliverable Date	Version
BI-5 DDI Project Schedule DRAFT.mpp	02/062023	Draft
BI-19 Complete and Final Test Plan.docx	02/28/2023	V2.0

Additional Inputs – Artifacts



Artifact Name	Artifact Date	Version
Unisys Contract Amendment 3	4/17/2020	N/A
Unisys Contract Amendment 4	5/1/2021	N/A
FNS Handbook 901	01/2020	V2.4
NIST Special Publication 800-53 Security and Privacy Controls for Information Systems and Organizations	12/20/2020	Rev.5
One RTM (Aha)	N/A	V1
BES DDI Post-transition 11-16-2022 draft	11-16-2022	N/A
BES 2023 New Way Forward	11-29-2022	N/A
BES 2023 Implementation, Appendix – Plan Approach Details	11/29/2022	N/A
BES 2023 Implementation Planning – Confluence page	N/A	N/A
BI-1 BES 2023 Client Project Kickoff Presentation	1/13/2023	N/A



Meetings and/or Sessions Attended/Observed:




1. Weekly Platform Status Meeting – 2/7/2023, 2/14/2023, 2/21/2023
2. IV&V Team Meeting – 2/2/2023, 2/3/2023, 2/6/2023, 2/9/2023, 2/13/2023, 2/16/2023, 2/21/2023, 2/23/2023, 2/27/2023
3. HI DHS BES December Draft IV&V Report Review – 2/13/2023
4. IV&V December Findings Roast – 2/27/2023
5. Bi-Weekly DHS and IV&V Touch Base Meeting – 2/7/2023, 2/21/2023
6. Weekly BES Infrastructure meeting – 2/3/2023, 2/10/2023, 2/17/2023, 2/24/2023
7. DHS/IV&V Check-in – 2/9/2023, 2/23/2023
8. Weekly Client BES 2023 Project Status Meeting – 2/1/2023, 2/8/2023, 2/15/2023, 2/22/2023
9. PMO End of Day Huddle – 2/1/2023, 2/2/2023, 2/7/2023, 2/8/2023, 2/9/2023, 2/14/2023, 2/16/2023, 2/21/2023, 2/22/2023, 2/23/2023
10. Epic 123 Client Management, Demographics, Citizenship Planning Meeting - 2/1/2023, 2/2/2023, 2/15/2023
11. BES 2023 Project – Epic Listing Review Meeting - 2/2/2023, 2/16/2023, 2/22/2023
12. Security Touchpoint – 2/2/2023, 2/9/2023, 2/16/2023, 2/23/2023
13. BES 2023 Project – BI-21 Updated and Completed Functional and Technical Requirements Traceability Matrix DED Discussion Meeting – 2/3/2023
14. BI-06 DDI Plan Addendum Response Review Meeting – 2/7/2023, 2/13/2023
15. BES 2023 Project – BI-5 Project Schedule Response/Update Review Meeting – 2/10/2023
16. BES 2023 Project – Agile Approach Meeting – 2/15/2023, 2/24/2023
17. BES-SSP Portal Discussion – 2/16/2023
18. February Mid-Month ASI/IV&V Findings Review – 2/17/2023
19. BES Security Controls tailoring – PE family – 2/21/2023
20. Epic 105: Application Registration and Case Creation – 2/21/2023
21. Epic 238: Clarification on FM23a's Waiving/Terminating Claim Functionality – 2/23/2023
22. BES Security Controls tailoring – PL Family – 2/24/2023
23. Epic 124: Communication Management – 2/24/2023
24. Expedited Eligibility and Reporting Discussion – 2/27/2023
25. IV&V Findings Changes for February – 2/28/2023

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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

Ending Slide



Solutions that Matter

ID	Title	Reporter	Finding Type	Identified Date	Category	Description	Significance	Recommendation	Event Horizon	Impact	Probability	Analyst Priority	Finding Status	Strat. Update	Client Comments	Vendor Comments
80	Development delays could negatively impact the project schedule and delay go-live.	Fors, Michael	Finding Risk	6/30/2022	Configuration and Development	ASJ had previously reported development activities have been slowed as they have been unable to achieve and/or maintain their expected development velocity. Previously, the development team was challenged with accurately estimating development task level of effort (i.e., story points) and the project has been challenged with producing a project schedule that accurately reflects realistic timelines (see Finding #74). The ASJ continues to be challenged with finding qualified resources in a timely manner.	If the ASJ is unable to achieve a velocity that enables them to meet planned milestones, schedule delays may lead to a delayed system go-live date. Failure to achieve a level of accuracy in estimating development tasks could lead to a project schedule that is flawed and unrealistic. Previously, DHS had indicated, and IVV agreed, that some of these delays were due to some ASJ BAJ lacking the expertise required to create optimal designs and system specifications; that developers could consume without requiring extensive clarification from the ASJ BAJ/SA team. DHS and IVV observed instances where ASJ BAJ/SAJ have presented less than optimal designs and left to DHS who may lack software or UI design expertise to improve, which has contributed to unproductive design sessions (see Finding #61). It remains unclear if scope creep has contributed to these delays.	OPEN - DHS request the ASJ strategically add the right project team resources to effectively increase velocity. Note that adding additional junior resources may not be as effective as staffing additional expert-level development, analysis, and other resources that can lead and mentor junior resources. - ASJ effectively track and regularly provide DHS (potentially via the weekly DDI status meeting) with an accurate velocity (e.g., story points per day/week/month) and assure that the current velocity is accurately and consistently reflected in the project schedule.	Immediate	3	1 Low	Open	2/28/2023 - Though the Project transitioned to the new ASJ, many of the development team that was subcontracted to the previous ASJ remain on the Project. However, the new ASJ has significantly increased their resources (now totaling 137), which may mitigate this risk. Therefore, IVV lowered the criticality rating of this finding from medium to low. IVV will continue to closely monitor this risk and look for evidence the added resources includes skilled developers that can drive the productivity of less experienced developers. 1/31/2023 - Activity in the reporting period concentrated on project restart tasks, and IVV will reassess this finding once related project activity has begun. 12/12/2022 - No material update in the reporting period as the work stoppage continued and the new ASJ conducted restart planning. IVV will reassess this finding and our associated recommendations once more is known. 11/30/2022 - No material update in the reporting period as the work stoppage continues and the new ASJ conducts restart planning. 10/31/22 - No work has been performed regarding this finding due to the work stoppage and ongoing transition to the new ASJ. IVV will reassess our recommendations for this finding once more is known. 09/29/22 - The ASJ has announced the departure of key resources that have provided leadership and design quality assurance to the project, which could further hinder development productivity. With the recent work stoppage, it remains unclear if factors that created development delays will be fully addressed to mitigate this risk. 08/30/22 - The ASJ continues to onboard additional development resources, stating they added 2 on-shore and 2 off-shore developers to their team. Though an updated schedule has yet to be completed by the ASJ, they estimate they will need approximately 50 additional resources to assure adequate velocity and cadence to complete the project in the proposed timeframe. However, using a revised schedule is available the actual number of additional resources.			
79	External vendor delays in the development of the BES task management interface have impacted the project schedule.	Reynolds, Mark	Finding Issue	6/3/2022	Integration and Management	Current (previously known as ePathos) is a task management system developed by the Change and Innovation Agency (CIA). The Department of Human Services (DHS) uses the Current system to manage and create case related tasks. The Benefits Eligibility Solution (BES) will interface with the Current system to manage tasks. The BES system will create tasks and will send them to Current. BES does not have the capabilities to manage or close the tasks. The intended task management process for BES include Eligibility Workers claiming tasks and Supervisors will manage tasks from within the Current system. The webhook is being designed by CIA that will provide task details for cases that have been tagged as No Contact.	The BES Project expected the CIA developed Current interface (aka, webhooks) to be completed by 04/07/2022. CIA reported that the webhooks development work would be done by 05/27/2022. As of 05/25/2022, the ASJ has not received any status from CIA. The webhooks delay has previously impacted the projects critical path.	The ASJ re-establish regular collaboration meetings with CIA to assure strong communication and brainstorm optimal solutions for BES integration with Current. The ASJ provide test results from the task management integration to ensure that the interface works.	Q3	5	1 Med	Open	02/28/2023 - The Project has upcoming designs (Epic 104) that involve the BES task management system. The new vendor is engaged to meet with the task management system vendor. 01/31/2023 - Activity in the reporting period concentrated on project restart tasks, and IVV will reassess this finding once we have visibility into the progress of related project activity. 12/31/2022 - No material update in the reporting period as the work stoppage continued and the new ASJ conducted restart planning. IVV will reassess this finding and our associated recommendations once more is known. 11/30/2022 - No material update in the reporting period as the work stoppage and ongoing transition to the new ASJ. IVV will reassess our recommendations for this finding once more is known. 09/30/22 - No material update in the reporting period. 08/30/22 - No material update in the reporting period. 08/01/2022 - DHS has decided not to establish an agreement with CIA (the task management vendor) because DHS currently has a subscription that includes the BES requirements. In addition, DHS and the ASJ have established biweekly meetings with the task management vendor. 06/30/2022 - The task management system vendor provided details regarding the webhooks at a recent meeting with DHS, allowing for related BES development to commence. DHS is determining the type of agreement required with this interface vendor. Based upon receiving the needed information, IVV is reducing the criticality rating to Medium. 06/02/2022 - Issue created.			
76	Volunteer DHS resources leaving the Project may lead to schedule delays, lowered morale, and burnout.	Molina, Brad	Finding Risk	3/1/2022	Project Management	The DHS resources assigned to work with the ASJ on the BES Project are all volunteers except one. Resources are not in dedicated roles within the team and have the option of returning to their previous operational roles at any time.	The replacement of DHS resources in project roles (e.g., testers and product owners) is not guaranteed and DHS already stated that no additional resources will be assigned to the test team. It is a risk to the Project that the remaining DHS resources will be overallocated, risking burnout, and creating a cycle of more DHS resources leaving the Project. If additional DHS staff are provided, their training will add to the workload of current DHS project resources.	OPEN - Carefully plan for all project activities with reasonable hour allocations for the DHS resources and adjust dates in the BES Project schedule accordingly. - Add cushion time to the schedule for unexpected project delays. - Provide incentives for the DHS resources to help maintain the project team and possibly alleviate attrition or increase the number of volunteers to the team. COMPLETE - Consider adding DHS resources as needed. 6/30/2022 Complete - Allocate more time for the DHS team members to dedicate time to the Project. DHS keep all assigned Project resources informed of the transition progress and the timeline for when they will be asked to participate again, so resources can maintain their engagement with the Project. 3/31/2023 - Closed	Immediate	3	1 Low	Open	2/28/2023 - With DHS resource requirements reduced by the new ASJ's DDI process, IVV lowered the criticality rating of this finding from medium to low. IVV will continue to monitor, verifying that the DHS resources retained by the Project are being met. 1/31/2023 - Activity in the reporting period concentrated on project restart tasks, and IVV will reassess this finding once related project activity has begun. 12/15/2022 - A key resource from DHS left the project, one of the most knowledgeable and vocal DHS Product Owners. With no additional DHS resources being added to the Project design sessions could be negatively impacted by this departure. 11/30/2022 - No material update in the reporting period as the work stoppage continues and the new ASJ conducts restart planning. 10/31/2022 - DHS BES project team members are actively participating in the transition to the new ASJ. They identify and communication possible gaps and are highly motivated to ensure the start-up with the new ASJ is successful. DHS BES project team members have expressed a need to fully understand the future direction of the BES project and how known issues will be corrected. IVV will monitor the project restart planning and the DHS BES project team members participation. 9/30/2022 - With the BES Project work stoppage, some of the DHS resources assigned to the project are helping with transition work. The work stoppage is a significant event for the project team and the impact to overall morale (positive or negative) is uncertain. 8/30/2022 - No material update for this reporting period. - IVV continue to monitor. 7/27/2022 - No material update for this reporting period. 7/6/2022 - In Lane, DHS added the following five staff to the BES Project: - An Interface Product Owner - A CMM Product Owner - Two SME resources joined the team to support the Return Mail Use Cases. - One SME to support the Reporting function. DHS stated they plan on adjusting staff as needed and pro-actively review the project schedule to identify future risks. 2/28/2023 - The BES Project schedule was approved on 2/15/23 and its development included DHS and ASJ input to estimate the remaining work. Therefore, IVV changed the criticality rating from high to medium. 1/31/2023 - The new ASJ submitted a draft schedule for review and address feedback. 12/13/2022 - The Project completed transition activities and is preparing for a Project restart kick-off on January 17th. The new ASJ plans to present an updated schedule during the kick-off. However, without prior review from stakeholders, the proposed schedule may cause further questions and discussions which may impact restart activities creating immediate delays. IVV added a recommendation regarding DHS/ASJ collaboration on the schedule. 11/30/2022 - The Project is reviewing and revising the BES Project Schedule to reflect the new implementation approach, and to align with updated project deadlines, resources, and scope. An updated Project Schedule is expected for the Project restart kick-off in early January 2023. 10/31/2022 - A project schedule documenting post transition activities and project execution activities of the new ASJ has not been developed. Without a realistic project schedule based on accurate estimates, it is difficult for the Project to plan future activities, estimate staffing needs, and uncover possible gaps in knowledge transfer. 9/30/2022 - The ASJ did not deliver a revised BES Project Schedule prior to DHS issuing the work stoppage on September 9, 2022. Regardless of the BES move forward strategy, a schedule that is based on estimates provided by staff performing the work is critical to ensure the schedule is realistic. 8/31/2022 - The ASJ indicated that substantial changes and improvements were made to the schedule but did not deliver the revised draft to DHS by			
74	The lack of a BES Project schedule based on accurate estimations diminishes effective planning and resource management, which could result in late deliverables, cost increases, and a late go-live.	Molina, Brad	Finding Issue	11/29/2021	Project Management	DHS and the ASJ have tried multiple times to rework the schedule with results that have not yielded improvement. Concerns with the structure, estimating practices, and ability to manage to the schedule persist. The use of multiple tools to track resources obscures resource management. Previous IVV findings focused on specific schedule components such as resource management and critical path analysis, all of which were addressed and closed.	If estimates for project schedule activities are not accurate, this can lead to constant schedule changes, resources not being available when needed, rushed activities, and general frustration which can lead to schedule delays, low quality output, scope changes, and budget issues.	OPEN Monitor, evaluate and revise scheduling estimates for accuracy. Confirm current assumption that a delay with the current go-live date will not result in major implications. COMPLETE DHS and the ASJ agree to a revised schedule against which project deliverables can be managed. (2/28/2023 - complete) CLOSED Using the available tools, review the current estimates to complete each activity compared to past actual hours (1/31/2023 - new ASJ - Not Started) Update as necessary and provide the DHS/ASJ Project Managers with reports and data that accurately reflect the current estimates to complete each activity compared to past actual hours (1/31/2023 - new ASJ - Not Started) Update as necessary and provide the DHS/ASJ Project Managers with reports and data that accurately reflect the current estimates to complete each activity compared to past actual hours (1/31/2023 - new ASJ - Not Started) Develop mitigation and contingency plans that are tracked/managed by DHS/ASJ for all tasks that are behind schedule or are at risk of being behind schedule which includes resource management. (12/28/2023 - new ASJ) Discuss, validate and address additional concerns within the project processes that may cause the project delays other than inaccurate estimates such as over reliance on POJ, slow design sprints, and cadence of development team. (2/28/2023 - new ASJ) The new ASJ presents a draft schedule for DHS review/feedback in advance of the project restart kickoff. (1/31/2023 - Not Completed)	Immediate	4	2 Med	Open	2/28/2023 - The BES Project schedule was approved on 2/15/23 and its development included DHS and ASJ input to estimate the remaining work. Therefore, IVV changed the criticality rating from high to medium. 1/31/2023 - The new ASJ submitted a draft schedule for review and address feedback. 12/13/2022 - The Project completed transition activities and is preparing for a Project restart kick-off on January 17th. The new ASJ plans to present an updated schedule during the kick-off. However, without prior review from stakeholders, the proposed schedule may cause further questions and discussions which may impact restart activities creating immediate delays. IVV added a recommendation regarding DHS/ASJ collaboration on the schedule. 11/30/2022 - The Project is reviewing and revising the BES Project Schedule to reflect the new implementation approach, and to align with updated project deadlines, resources, and scope. An updated Project Schedule is expected for the Project restart kick-off in early January 2023. 10/31/2022 - A project schedule documenting post transition activities and project execution activities of the new ASJ has not been developed. Without a realistic project schedule based on accurate estimates, it is difficult for the Project to plan future activities, estimate staffing needs, and uncover possible gaps in knowledge transfer. 9/30/2022 - The ASJ did not deliver a revised BES Project Schedule prior to DHS issuing the work stoppage on September 9, 2022. Regardless of the BES move forward strategy, a schedule that is based on estimates provided by staff performing the work is critical to ensure the schedule is realistic. 8/31/2022 - The ASJ indicated that substantial changes and improvements were made to the schedule but did not deliver the revised draft to DHS by			

ID	Title	Reporters	Finding Type	Identified Date	Category	Description	Significance	Recommendation	Event Horizon	Impact	Probability	Analyst	Finding Status	Strat. Update	Client Comments	Vendor Comments
73	The planned BES Infrastructure is complex which could be difficult to implement and lead to schedule/cost impacts.	Fors, Michael	Finding Risk	10/26/2021	System Design	Current ASI infrastructure plans include a significant number of sophisticated components that make up a complex cloud infrastructure. Further, the Project Team has yet to finalize components that will make up the BES Infrastructure and the additional costs and time to configure, test, and implement the planned complex environment remains unclear.	If the level of effort to implement and manage the complexities of the BES Infrastructure is not accurately accounted for and staffed by the ASI, the project could be met with unexpected costs and schedule delays. Delays in finalizing the components being implemented could exacerbate this risk and lead to further delays. Complex platforms often present system maintenance and operations challenges as system changes can hold the increased potential for system failure (i.e., due to the significant number of "moving parts") and increase the level of time and effort to resolve infrastructure and application-level bugs. Further, some components remain in an immature state compared to their legacy counterparts. For example, the project recently experienced a system failure because Google Cloud failed to clearly communicate a change that led to failure in another component (i.e., News). Google Cloud is generally viewed as a less mature product offering, compared to their rivals (Amazon Web Services, Microsoft Azure). IWEV remains concerned that this could lead to failures at critical points in the project (including post-go live production failures) that could be difficult to resolve and lead to project disruption. If DHS intends to eventually reduce M&O outsourcing costs turning over M&O tasks to State employees, they could face challenges supporting tools they may not be familiar with in a complex infrastructure environment.	<ul style="list-style-type: none"> ASI clearly communicates the potential costs and schedule impacts to implement and maintain the planned infrastructure. The architecture process should include steps to provide a detailed impact of DHS architectural decisions including the integration activities, support required, and maintenance and operations impacts. DHS work with the ASI to assess the potential challenges of maintaining a complex environment and consider scaled back options that could reduce this risk and reduce long-term maintenance challenges and costs. ASI develop a process to closely monitor cloud and other product changes (software updates/new releases), evaluate changes, and regression test components. Project team work to establish strong governance over the utilization and maintenance of the various system tools/components to simplify their use and monitoring. ASI development team identify infrastructure components and techniques that are new to them and take action to assure potential integration problems do not lead to failures. For example, allocate time in the schedule to conduct proof of concepts to assure infrastructure components work as expected. Request the ASI maintain a detailed schedule for DevOps implementation tasks to identify any unexpected delays that could delay project milestones and the critical path. 	Next several month	3	3	Med	Open	2/28/2023 - Though the new ASI intends to simplify the BES Infrastructure, it remains unclear whether that will be possible in a timely manner and avoid impacting the critical path. The new ASI also intends to expand on the previous ASI scope of DevOps by adding more automation. While this has the potential to simplify environment management, it could also present challenges without impacting the schedule. 1/31/2023 - Activity in the reporting period concentrated on project restart tasks, and IVW will reassess this finding once related project activity has begun. 12/31/2022 - No material update in the reporting period as the work stoppage continued and the new ASI conducted restart planning. IVW will reassess this finding and our associated recommendations once more is known. 11/30/2022 - No material update in the reporting period as the work stoppage continued and the new ASI conducts restart planning. 10/31/2022 - The previous ASI was largely responsible for the infrastructure design and build out, these responsibilities are now transitioned to the new ASI. The previous ASI is performing knowledge transfer (KT) to the new ASI; however, IVW is concerned that KT will suffer given the complexity of the infrastructure and that some of the new ASI resources appear to lack significant experience with some of the tools and techniques used. IVW will reassess our recommendations for this finding once more is known. 9/30/2022 - The ASI announced the departure of key infrastructure resources who have provided leadership to the infrastructure efforts, which could exacerbate this risk. With the recent work stoppage, it is uncertain how this risk will be mitigated going forward. 08/30/22 - The ASI intends to engage two 3rd party vendors to assist with the production environment build (once the GCP change order is approved), which could increase their velocity. The inclusion of these vendors could also mitigate the risk of maintaining a complex infrastructure if these vendors can provide experts who have significant		
70	Insufficient configuration management could lead to development confusion and reduce the effectiveness of defect resolution	Fors, Michael	Finding Risk	8/23/2021	Configuration and Development	The BI-6 SOU Plan Deliverable, Section 5.2 establishes the framework for the Configuration Management Plan, however, it remains unclear if sufficient progress has been made toward establishing CM processes and governance, selecting CM tools (e.g., CMEB), and building out the CM Infrastructure. The project's Security Plan has yet to be finalized which may include additional requirements or decisions that could impact CM. The project currently relies on GitHub for tracking of some configurations.	Configuration Management is a set of processes and procedures that ensures the BES is understood and works correctly. The BES solution includes tools that may provide a level of automation for Configuration Management that may reduce errors and should provide the project team with accurate, dynamic and timely information on some of the configuration items. However, it is critical that DHS/ASI agree to the full list of items that are included in the configuration plan along with the details regarding the management of the configuration items, reporting and audit features.	<ul style="list-style-type: none"> OPEN - ASI adhere to plans for configuration management as documented in BI-6 SOU Plan, Section 5.2 and clearly detail and/or any changes with DHS. ASI validate plans for configuration management with DHS and agree on a meaningful set of configuration items or settings they will track. DHS and ASI work to clearly justify plans for the potential use of configuration management tools and DHS work to fund and procure a CM tool, as required, to avoid any negative impacts to the project. ASI identify the DHS POC for the Configuration Management Activities that would provide oversight of configuration management activities and assure defined CM steps and plans are being followed, are effective, and are achieving DHS objectives for CM. 7/31/2022 	ASAP	2	2	Low	Open	2/28/2023 - The new ASI intends to utilize ServiceNow (SN) for most configuration management tasks. It remains unclear how the new ASI is using SN and its multitude of modules and capabilities remain unclear. 1/31/2023 - Activity in the reporting period concentrated on project restart tasks, and IVW will reassess this finding once related project activity has begun. 12/31/2022 - No material update in the reporting period as the work stoppage continued and the new ASI conducted restart planning. IVW will reassess this finding and our associated recommendations once more is known. 11/30/2022 - No material update in the reporting period as the work stoppage continues and the new ASI conducts restart planning. 10/31/22 - No work has been performed regarding this finding due to the work stoppage and ongoing transition to the new ASI. IVW will reassess our recommendations for this finding once more is known. 09/29/22 - The ASI announced the departure of key resources including their Lead CM strategist, which could exacerbate this risk. With the recent work stoppage and planned reassignment, IVW is not aware of the plans to mitigate this risk. 08/20/22 - The ASI updated the Configuration Management Plan (CMP) with additional configuration management details. 07/27/22 - DHS has identified technical and functional primary points of contacts for ASI to work with for configuration management efforts. IVW remains concerned that some configuration management (CM) details have yet to be finalized and the lack of clarity around the CM database (CMEB) tools. For example, it remains unclear what CMEB tool will be used if Service Now is not part of the GCP change request. 06/30/22 - The Project previously stated its intention to utilize ServiceNow (SN) for Configuration Management (CM), however, it remains unclear if progress has been made on 1) finalizing this decision, 2) how it will be used, and 3) the status of funding for purchase. Further, it remains unclear whether DHS will utilize their existing SN installation or 1/27/2023 - The new ASI began weekly status meetings for the security stakeholders in February. The ASI presented and clearly articulated an approach to developing the system Security Plan. This includes the selection of the controls for the SSP and is consistent with NIST 800-53 guidance. At the end of February, the ASI and DHS began the control selection process for a NIST 800-53 moderate GCP. Additionally, the ASI and DHS have begun discussing selecting an eGRC system. However, after looking at the Service Now GRC module, it appears to be cost prohibitive. The ASI continues to look at options for a GRC system while continuing to use Akeas as a repository for the SSP. Based on the current status of security activities IVW lowered the criticality rating to Medium. 1/31/2023 - The new ASI has published a project schedule that shows the BES Security Plan completion in early March. With the significant amount of work required to complete this work that DHS must perform, IVW is concerned that this timeline may be unrealistic. 12/31/2022 - There remains a significant amount of work to plan, implement, test, and approve all Security and Privacy controls prior to starting the BES Pilot. The controls should be implemented and documented in a manner that allows effective maintenance. 11/30/2022 - The new ASI has named its Security Lead. As one of the five key project resources, IVW recommends that DHS review and approve this proposed staff to ensure that they meet the position's contractual requirements. 10/31/2022 - With the transition to the new ASI, the key position of Security Lead will be filled by a new resource. As of the reporting period end, this position remains unfilled. As the new ASI assumes the responsibility for the Project security and privacy tasks it is appropriate to revisit the IVW recommendations and the tools used to document and track security controls. 09/29/2022 - Since only one meeting was held between the ASI and DHS BES security teams prior to the work stoppage, IVW has no material updates to report this	9/8/2021 - RAP - We look forward to receiving specific inquiries from the IVW team on configuration management and having conversations. We do acknowledge this risk and the plan is being updated to reflect the needs to be updated to the plan. The plan is being updated to reflect the needs to be updated to the plan for configuration management.	
68	Incomplete implementation statements in the BES System Security Plan may lead to delays in gaining Federal Partner approval for the BES Project to begin the Pilot Phase.	Heath, Dustin	Finding Risk	7/28/2021	Security and Privacy	Over the last several months, the BES project team has been working through the planning efforts to develop the BI-13 Security Plan while also managing through ASI Security Lead staffing changes. DHS and the ASI agreed to modify the BI-13 Security Plan Deliverable Expectation Document (DED) last month and are currently reviewing it to align to the requirements and changes to the project's next iteration.	The BES project must have a clear plan to define, implement, test, and validate all Security and Privacy Requirements/Controls prior to entering the Pilot phase. There are many standards that must be met, and the project team plans to utilize the BES Security Control Implementation Workbook to document the status of each control. The Security Control Implementation Workbook must be detailed and allow for ease of referencing to the Security Policies, Standards, and implementation plan along with evidence for each control.	<ul style="list-style-type: none"> OPEN - The ASI continues to develop the BI-13 Security Plan in close collaboration with DHS. DHS and the ASI agree upon the tools and process that will be used to document and track security control implementation, such as security governance, risk, and control (GRC-software). The process should define the level of detail needed to track progress (estimates, target dates, risks, issues, evidence) along with the Requirement Traceability Matrix, and plans of actions and milestones (POMs). COMPLETE - ASI assure that the ASI Security Lead has a depth of experience in NIST 800-53 and experience authoring implementation statements of System Security Plans (SSP). COMPLETE 2/28/2023 - DHS review the proposed staff resume, interview individual, and approve resource to ensure that they meet the position's contractual requirements. Complete 2/28/2023 - DHS and the ASI agree and finalize the BI-13 DED. 1/4/22 Complete - ASI, per DHS guidance, should begin to pivot toward the adoption of 800-53 Rev 5 since Rev 4 will be obsolete when the system goes live. COMPLETE 3/1/2022 - DHS should determine the FNS requirements for go live based on their meeting and provide ASI with proper guidance. FNS requirements should be documented as part of BI-13 Security Plan COMPLETE 3/1/2022 - ASI have a security SME attend the weekly security planning meetings and workshops. COMPLETE 7/31/2022 - ASI add a Security Architect to the Project ASAP to assist with the Security Plan activities. COMPLETE 11/30/2022 	ASAP	3	3	Med	Open	2/28/2023 - The project is evaluating other ADA compliance tools. DHS currently uses Site Improver in other areas and the ASI is reviewing its feasibility for this project. The ASI requested access to the Site Improver tool for a Proof of Concept (POC). Additionally, the ASI previously evaluated usability and ease of use if the Site Improver POC is unsuccessful. 1/31/2023 - Activity in the reporting period concentrated on project restart tasks, and IVW will reassess this finding once related project activity has begun. 12/31/2022 - No material update in the reporting period as the work stoppage continued and the new ASI conducted restart planning. IVW will reassess this finding and our associated recommendations once more is known. 11/30/2022 - No material update in the reporting period as the work stoppage continued and the new ASI conducts restart planning. 10/31/2022 - No work has been performed regarding this finding due to the work stoppage and ongoing transition to the new ASI. IVW will reassess our recommendations for this finding once more is known. 9/30/2022 - DHS issued a work stoppage, and no progress was made to move forward with purchasing the ASI recommended ADA compliance tool. 8/20/2022 - No change in status. Waiting on DHS acceptance/approval to move forward with purchase, installation, configuration, and implementation of the ASI recommended ADA compliance tool. 7/27/2022 - The ASI successfully completed the ADA compliance tool proof of concept and provided reports to DHS for their review and approval. The final steps remaining would be the purchase, installation, and implementation of the tool. 6/29/2022 - The ADA compliance tool is still in the trial phase and a compliance report will be run once the initial testing has been completed. The ASI is expected to provide results of the testing to DHS when the trial phase is finished, and the report generated. 5/31/2022 - The ASI has identified an accessibility compliance tool that will meet the needs of the Project and DHS has	9/8/2021 - RAP - The ASI has invited the IVW team to review the contract with the development team to make the results of the desk top tool to gain insight. To date, the IVW has not contacted the development lead to have further discussions on this topic.	
67	The Americans With Disabilities Act (ADA) Section 508 compliance tool has not been installed for the Project, which may cause significant rework.	Tan, Ryan	Finding Risk	7/12/2021	Testing	While R0.3 and R0.4 reported that Section 508 compliance had been successfully completed the AS confirmed that there is currently no working tool installed and that Section 508 compliance testing has not been performed. This risk has been discussed with the AS over the past several months, but there have been evidence of results to date. The ASI did state that they are coding to some of the ADA requirements and are using a desk top tool for ADA compliance as an interim solution. IVW has not received any data to demonstrate the desk top tool results nor if it provides coverage for ADA compliance items.	There is a contractual obligation and requirement for BES to be ADA compliant to obtain State and Federal funds for the development of the BES. The ADA Section 508 intent is to make electronic and information technology accessible to people with disabilities (e.g., color blindness, vision and hearing disabilities), in a way that is comparable to the access available to others. Part of the system acceptance criteria for BES is to meet all applicable State and Federal policies, law, regulations, and standards, including without limitation the Electronic and Information Technology Accessibility Standards associated with Section 508 of the Rehabilitation Act, which was verified in the ASI proposed Technical Requirements Approach that states "The system complies with DHS branding standards defined by DHS and adheres to W3C level 2 accessibility guidelines, sub-parts of Section 508 of the Americans with Disabilities Act (ADA), nondiscrimination safeguards in 45 CFR 85", if the Hawaii guidelines (https://www.hawaii.edu/accessibility/un-guidelines-for-accessibility/) FNS Guidelines from the 90L Handbook, and contractual obligations to adhere to the Section 508 compliance guidelines (https://section508.gov). There may be a significant amount of rework to the solution.	1/31/2022 - The following recommendations will be evaluated for this finding: <ul style="list-style-type: none"> The ADA tool meets contractual and project requirements. The ASI communicates a plan for ADA test execution. The ASI communicates how the tool will be used to report compliance and non-compliance and how non-compliance will be addressed/corrected. The available to others. ASI communicates how and when DHS/IVW will be provided the reports from the ADA tool execution and how to interpret the results. Subscribed 8/30/2021 - The ASI should gain DHS approval on the tool selection after the ASI validates it will perform as expected within the BES architecture, meeting all contractual and project requirements. The ASI create and communicate the plan for when the ADA compliance tool will be put into action, how the tool will report compliance or non-compliance, how non-compliance will be corrected, and how and when DHS/IVW will be provided the reports from the ADA compliance tool and how to interpret those reports for the code from previous, current and future releases. 	As soon as possible	3	3	Med	Open	2/28/2023 - The project is evaluating other ADA compliance tools. DHS currently uses Site Improver in other areas and the ASI is reviewing its feasibility for this project. The ASI requested access to the Site Improver tool for a Proof of Concept (POC). Additionally, the ASI previously evaluated usability and ease of use if the Site Improver POC is unsuccessful. 1/31/2023 - Activity in the reporting period concentrated on project restart tasks, and IVW will reassess this finding once related project activity has begun. 12/31/2022 - No material update in the reporting period as the work stoppage continued and the new ASI conducted restart planning. IVW will reassess this finding and our associated recommendations once more is known. 11/30/2022 - No material update in the reporting period as the work stoppage continued and the new ASI conducts restart planning. 10/31/2022 - No work has been performed regarding this finding due to the work stoppage and ongoing transition to the new ASI. IVW will reassess our recommendations for this finding once more is known. 9/30/2022 - DHS issued a work stoppage, and no progress was made to move forward with purchasing the ASI recommended ADA compliance tool. 8/20/2022 - No change in status. Waiting on DHS acceptance/approval to move forward with purchase, installation, configuration, and implementation of the ASI recommended ADA compliance tool. 7/27/2022 - The ASI successfully completed the ADA compliance tool proof of concept and provided reports to DHS for their review and approval. The final steps remaining would be the purchase, installation, and implementation of the tool. 6/29/2022 - The ADA compliance tool is still in the trial phase and a compliance report will be run once the initial testing has been completed. The ASI is expected to provide results of the testing to DHS when the trial phase is finished, and the report generated. 5/31/2022 - The ASI has identified an accessibility compliance tool that will meet the needs of the Project and DHS has	9/8/2021 - RAP - The ASI has invited the IVW team to review the contract with the development team to make the results of the desk top tool to gain insight. To date, the IVW has not contacted the development lead to have further discussions on this topic.	

ID	Title	Reporter	Finding Type	Identified Date	Criticon	Description	Significance	Recommendation	Event Horizon	Impact	Probability	Analyst Priority	Finding Status	Initial Update	Client Comments	Vendor Comments
63	The lack of early planning and coordination with interface partners may result in schedule delays.	Reynolds, Mark	Finding Risk	1/21/2023	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 AP Gateway. However, there is no evidence that details have been determined or documented in this regard. There is little evidence of active and sufficient communication with interface partners for coordination, design, and testing activities (Units Test, SIT, UAT). Interface planning and execution tasks and activities, including those for interface partners, are neither resident nor managed within the Project Schedule.	DOI project 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 can minimize the risk of potential 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 developed and tested before deploying the system to production.	OPEN 5. Complete all MOAs and obtain formal approvals. 6. Confirm testing dates with interface partners in writing. 7. Complete early proof of concept interfaces to avoid unexpected delays due to external organization testing tasks, and IVV reassesses this finding once related project activity has begun. 12/31/2022 - No material update in the reporting period as the work stoppage continued and the new ASI conducted restart planning. IVV will reassess this finding and our associated recommendations once more is known. 11/30/2022 - No material update in the reporting period as the work stoppage continued and the new ASI conducted restart planning. 10/31/2022 - No work has been performed regarding this finding due to the work stoppage and ongoing transition to the new ASI. IVV will reassess our recommendations for this finding once more is known. 09/29/22 - No material update in the reporting period. 08/26/2022 - The statuses of the three remaining required agreements (DAGS, DLIR, HYCF) have not changed. 08/01/2022 - DHS executed the ASI agreement (MOA) on 07/20/2022. The statuses of the three remaining required agreements are as follows: The DAGS agreement is moving forward with design work. DHS reviewed the DLIR MOA and resubmitted it to DLIR. The latest draft of the HYCF was sent to the DHS Director's office with feedback from BESO and MQD. 06/30/2022 - There are 4 agreements outstanding (DAGS, DLIR, OPS, and HYCF). DHS plans to discuss the agreement at the next meeting with DAGS, which is tentatively scheduled for 07/06/2022. DHS is currently reviewing the DLIR, OPS, and HYCF agreements. 05/31/2022 - There were no changes to the interface communication plans in this reporting period. There are 5 agreements outstanding (DLIR, OPS, HYCF, DAGS, and CYRCA). DHS, HYCF, and DLIR have all been drafted and are going through reviews with DHS and the interested parties. DAGS has not been drafted by DHS. DHS is in discussions with the Department of Tax for an interface that would bypass	4	1	Low	Open	02/28/2023 - The new ASI is reviewing all the BES interfaces and is building a Confluence dashboard to track and progress and status of each interface. 01/31/2023 - Activity in the reporting period concentrated on project restart tasks, and IVV reassesses this finding once related project activity has begun. 12/31/2022 - No material update in the reporting period as the work stoppage continued and the new ASI conducted restart planning. IVV will reassess this finding and our associated recommendations once more is known. 11/30/2022 - No material update in the reporting period as the work stoppage continued and the new ASI conducted restart planning. 10/31/2022 - No work has been performed regarding this finding due to the work stoppage and ongoing transition to the new ASI. 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There are 5 agreements outstanding (DLIR, OPS, HYCF, DAGS, and CYRCA). DHS, HYCF, and DLIR have all been drafted and are going through reviews with DHS and the interested parties. DAGS has not been drafted by DHS. DHS is in discussions with the Department of Tax for an interface that would bypass		7/20/2023 RAP - The ASI tests and assesses that the IV&V reassess the severity of this risk in light of the updates. The reasons: a) the ATC schedule extension has made the urgency for lacking these tasks less than it was before that started lessening the schedule risk. b) the increase from Low to Medium to High in May was based on a misunderstanding of the current state of the MOA's and contact metrics. c) substantial progress has made against each of the In Progress recommendations, and it continues to trend in the right direction. In regards to	
61	Poorly executed JAD and design sessions could lead to inaccurate design and rework.	Molina, Brad	Finding Issue	11/20/2020	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 - led 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 their participation. (2) What improvements will be made in the new BES to support the users and clients? - incomplete JAD sessions with insufficient Experience (UX) designers to engage with DHS and review the currently built BES solution. - New ASI to quickly gain lessons learned to apply to future workflow sessions. - Closed JAD and design sessions should be lead by experienced senior BAs, with goals, objectives and results communicated to all participants. (Additional Senior BA being added, rest of recommendation being met. Closed 4/30/2022). 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. (Closed 4/30/2022). The ASI should track significant differences in design direction to determine the root cause to identify these items as early in the SDLC as possible. COMPLETE - The Product Owners should have more direct interaction with the development team, proactively seeking collaboration. 10/5/21 Complete - The Functional Design Document process, to include the Design Sprint concept, should be clearly defined and shared with all project team members. (Closed, 1/12/2022) - Invite IVV to all future design sessions and design sprints to allow IVV to observe and assess the effectiveness of the revised design processes. (Closed, 1/12/2022) - ASI and DHS should work together to set the in-progress design with all SMEs for the area of focus, (being met by new design sprint process, closed 2/28/2022) - ASI staff all design sprint meetings with additional support staff to ensure the meetings are adequately documented and ASI Business Analyst are not running the meetings alone. Complete 7/11/2022	ASAP	2	5	Med	Open	2/28/2023 - DHS and IVV observed the ASI continues to struggle to sufficiently prepare for its design sessions. The design sessions are indications the ASI team has not thoroughly prepared for, discussed, and solicited designs prior to client meetings. While the ASI has made progress in addressing some of the recommendations of this finding, other concerns continue. IVV suggests the ASI team review and apply the recommendations of this finding, to improve the productivity of meetings going forward. 1/31/2023 - The new ASI is in the start-up phase and as expected have experienced a few wrinkles during the initial design sessions. IVV looks for the ASI to quickly incorporate the recommendations in this finding to deliver effective design sessions, avoiding delays to design and development. 12/31/2022 - The new ASI continues to develop in approach to the BES design sessions. IVV will assess this issue along with the below recommendations when new ASI restarts the BES design sessions. 11/30/2022 - The new ASI is revising the approach to the BES design sessions to improve efficiency and align with Agile methodology. IVV will assess this issue along with the below recommendations when the new ASI restarts the BES design sessions. 10/31/2022 - No work has been performed regarding this finding due to the work stoppage and ongoing transition to the new ASI. IVV will reassess our recommendations for this finding once more is known. 9/30/2022 - DHS Product owners and SMEs have raised concerns about a lack of cohesive design and a user experience that is less than satisfactory. DHS users are citing examples of not being able to achieve desired tasks or achieve tasks timely. 8/31/2022 - The ASI's addition of senior BAs to the design sessions has resulted in improvement. The Senior BA offer guidance to ensure the project team remains focused on the design. Unfortunately, one of the Senior BAs has left the project so is unknown if this practice will continue for all BES sessions. 7/28/2022 - DHS continues to recruit for PMO positions. Although the needed applications, the recent applicants have not been selected to interview. 7/15/2022 - The BES project management status and responsibilities continue to be filled by the new DHS Contract Project Manager (PM) and the Assistant Project Manager. However, the new PM is still onboarding and learning about the BES Project. The lack of DHS PMO resources could lead to Project delays if Program PMO responsibilities are not met timely. 12/31/2022 - No material update in the reporting period as the work stoppage continued and the new ASI conducted restart planning. IVV will reassess this finding and our associated recommendations once more is known. 11/30/22 - No material update in the reporting period as the work stoppage continued and the new ASI conducts restart planning. 10/31/2022 - No work has been performed regarding this finding due to the work stoppage and ongoing transition to the new ASI. IVV will reassess our recommendations for this finding once more is known. 9/30/2022 - No material update in the reporting period. 8/31/2022 - DHS continues to seek applicants for the three PMO positions these positions remain unfilled. 7/29/2022 - DHS has received minimal applications for the open PMO positions therefore, they may fill the positions with contractors. IVV does not have visibility to the full impact of the delay in filling these positions. However, some of the administrative and contract management activities, are significant to DHS assigned these activities to internal staff on an interim basis. 6/30/2022 - DHS continues to recruit for PMO resources. No other material updates for this reporting period. 5/15/2022 - DHS continues to recruit for PMO resources, but the three positions remain unfilled. However, some PMO responsibilities are being addressed through existing resources. For example, the contracted DHS PM has filled in leadership gaps and has positively impacted the Project. 4/28/2022 - No material updates for			
43	DHS PMO project team members have transitioned off the Project, which may cause gaps in knowledge transfer and leadership on the Project.	Molina, Brad	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 announced and introduced an interim Project Manager, but a plan for a permanent replacement is not currently known.	The key resources leaving the BES Project provide knowledge and history of DHS and its software, solutions, and business processes, along with a level of consistency and continuity to the extended project team. This experience and knowledge is critical for the BES DOI and KOLEA Modifications, and planning efforts for BES Maintenance and Operations activities. Additionally, as per the budget, DHS staffed if they are unable to fill these positions timely, DHS may fall out of federal funding compliance and lose the \$37 million needed matching funds for continued development of BES.	ASAP	3	5	High	Open	2/28/2023 - DHS considers other options (Contractors, State employees borrowed from other agencies) to fill these positions if there is ongoing difficulty in finding permanent hires. 5/31/2022 - DHS continue to work with the appropriate organizations to identify the funds necessary to fill these positions. - In progress - The state should document a transition plan for the project and PMO resources as identified in the RFP (reference RFP section 3.4.3 DHS Staffing). The plan should include the possible COVID-19 economic impact to the state budget, directly in relation to the project resources. - Closed - The ASI should document a transition plan for each key resource as required by the RFP (reference RFP section 3.5.1.2 Benefits Eligibility Solution Project Staffing). - Closed		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 02/08/2021, 06/30/2020 - Mark Cho is becoming more involved in the project. Involved in Arch decisions and PM decisions around tool sets, future vision, etc. Day to day work closely w/ Gary and Emerald. We have no insight into other DHS staffing.	
29	Uncertainty and/or a lack of communication around low-level architectural decisions could impact the project budget, schedule, system design, and planning decisions.	Fors, Michael	Finding Issue	5/28/2019	Project Management	Throughout the last several years since project initiation, platform and BES system architecture decisions have not always been clearly communicated and socialized to all relevant project stakeholders. For example, the ASI and DHS had not broadly communicated their decision implementing two Sabel instances (one for KOLEA, one for BES) in a timely manner, and the decision was not immediately reflected in the project change log or the project decision log. Further, the details of the rationale for this decision or the plan for integrating the two instances were not immediately and/or broadly communicated.	The current project architecture and design should be as representative and inclusive of all known future solution plans as soon as details become available. These architecture plans and future state designs and capabilities should be thoroughly vetted by a broad base of relevant stakeholders and available experts and broadly communicated to relevant stakeholders as soon as possible. Architecture plans and changes that are not effectively communicated can lead to confusion and rework. For example, if infrastructure tools, governance for those tools, and important capabilities/features of these tools are not clearly communicated to development teams, they may have to rework their designs once they realize more advanced platform capabilities/features are available after development planning has completed.	ASAP	2	2	Low	Open	2/28/2023 - The ASI has made efforts to clarify the scope of BES 2023 in the recent Agile training sessions. There remains some uncertainty around the use of ServiceNow (SN) and the tools that will be utilized for eSIC. 01/31/23 - It remains unclear if the scope of the BES 2023 phase 1 has been clearly communicated to stakeholders. For some, the understanding is that the ASI is developing a lift-and-shift of their existing legacy system (HAWM) with little to no improvements (to avoid scope creep) and have labeled it HAWM 2.0. Others seem to think the ASI will continue the work of the previous ASI that include improvements based on previous ASI design sessions. 12/31/22 - IVV and some DHS stakeholders remain concerned with the lack of clarity and lack of communication around the plans for and capabilities of the BES public portal. 11/30/22 - The new ASI is developing its communication plans so it is unknown at this time if their process will improve this issue. IVV notes one specific area that does need additional communication to the project team is the plan and future use of the BES portal. The previous ASI had built the bulk of the portal (based on LifeRay) prior to their departure. The new ASI developed the current portal used by the public to submit applications for benefits. The new ASI is assessing the best way forward and is considering combining both code sets without LifeRay. 10/31/22 - Given that the project is transitioning to the new ASI, it remains unclear what changes the new ASI will make to the planned infrastructure and other technologies being utilized. IVV will update the recommendations to include any infrastructure changes the new ASI may adopt. If any. 9/29/22 - No material update for this reporting period. 8/30/22 - No material update for this reporting period. 7/12/22 - IVV remains concerned with the lack of clear communication around the planned configuration management tool and its intended use. DHS prefers Service Now but it is currently not funded, and IVV is unaware of		06/30/2020 - Combined application is still planned. App still not finalized by DHS. From Arch perspective, we are building in IVV's. 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. We expect that final decisions will have been 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 likely we made during this reporting period, are complete. If the IV&V does not believe it is Complete we request supporting the 4/23/21 rap - The ASI and DHS continue to refine the final plan for the two portal vision. We expect that	