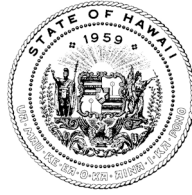


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March 24, 2023

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 Labor and Industrial Relations, Disability Compensation Division's Modernization Project – Electronic Case Management System.

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

Sincerely,


Douglas Murdock (Mar 24, 2023 11:15 HST)

Douglas Murdock
Chief Information Officer
State of Hawai'i

Attachment



Hawaii Electronic Case Management System (eCMS) Project

Disability Compensation Division (DCD)

IV&V Monthly Status Report – Final
For Reporting Period: November 2022

Draft Submitted: 12/12/2022

Final Submitted: 1/23/2022

Updated Final Submitted: 3/23/2023

Overview

- Executive Summary
- IV&V Findings and Recommendations
- Appendices
 - A – IV&V Criticality Ratings
 - B – IV&V Standard Inputs
 - C – IV&V Details



Executive Summary

The Disability Compensation Division (DCD) Electronic Case Management System (eCMS) Project has moved the implementation date for Phase 2 from 11/30/22 to 12/20/22. State and vendor project teams are working diligently to ensure a successful implementation. A code freeze on both the Disability Compensation Information System (DCIS) and eCMS systems has been enacted. Parallel activities are underway for Phase 3, and a soft launch with limited functionality and stakeholders is planned for 12/20/22. A P3 hard-launch is scheduled for 12/31/22, and additional functionality and stakeholders will be phased in throughout 2023. The biggest concerns currently are around P2 User Acceptance Testing (UAT) completion, validation of migrated data, completion of the NCCI interface mapping, and the availability of the P3 UAT environment.

Aug 2022	Sep 2022	Oct 2022	Category	IV&V Observations
N/A	N/A	N/A	Project and Schedule Management	There were no open findings observed in the Project and Schedule Management category during this reporting period.
N/A	N/A	N/A	Requirements Management	There were no open findings observed in the Requirements Management category during this reporting period.
N/A	N/A	M	Design and Development	The National Council on Compensation Insurance (NCCI) interface mapping is in progress, but not yet complete, and NCCI is not ready for the change to the interface platform. A workaround has been identified where the file will be loaded to a SQL server and the needed fields will be exported and uploaded to Salesforce. (#2). There is also a reported difference in the case number format between DCIS and eCMS. The length of the case number is two characters longer in eCMS. This difference will impact external stakeholder processes. All external stakeholders affected by the change should be informed. An agreement is in place between DCD and Data House that the case number length will not increase above the current 12 digits. A contract amendment or change request should be executed to memorialize this agreement (#3).



Executive Summary (cont'd)

Aug 2022	Sep 2022	Oct 2022	Category	IV&V Observations
N/A	N/A	N/A	Resource Management	There were no open findings observed in the Resource Management category during this reporting period.
N/A	N/A	H	Testing	<p>Phase 2 (P2) Go-Live has been moved from 11/30/22 to 12/20/22. P2 User Acceptance Testing (UAT) is not complete. DCD is reporting that 19.5% of the P2 UAT test cases have passed. P2 should not be implemented without comprehensive UAT testing and resolution of critical defects. DCD should focus as many resources as possible on P2 UAT testing for the remaining time available before making the Go/No-Go decision and implementation (#4). IV&V is currently conducting Sample Testing to assist in validating system functionality. The soft-launch of the Phase 3 (P3) web portal is scheduled for 12/20/22. The P3 UAT environment is not yet available to DCD. The delay in the availability of this environment will impact the duration of P3 UAT and Training (#9).</p> <p>Update - Finding #5 - It was brought to the attention of IV&V that it was never determined that an additional LDV was needed, but rather the team was in discussion about whether an additional LDV would be needed. The outcome of the discussions was that the LDV was not needed. Based on this information, an updated final version of the November 2022 report with finding #5 changed to a preliminary concern, and the language updated to reflect that an LDV “may be needed”. The finding has been closed in this reporting period. (#5)</p>
N/A	N/A	M	Data Management	There is a short duration allocated for DCD to complete validation of the Phase 2 migrated data from DCIS. However, the delay of the Phase 2 implementation from 11/30/22 to 12/20/22 has allowed additional time for validation. Comprehensive validation of the migrated data is essential to prevent data issues in the production environment (#8). Although data has been migrated to the new database, there are not fields in Salesforce to display all migrated data. In addition, the taxonomy mapping document shows "Do not Migrate" for some fields, but the status for those fields is marked 100% complete, due to some data being sourced from different fields than the originally agreed mapping. (#11).



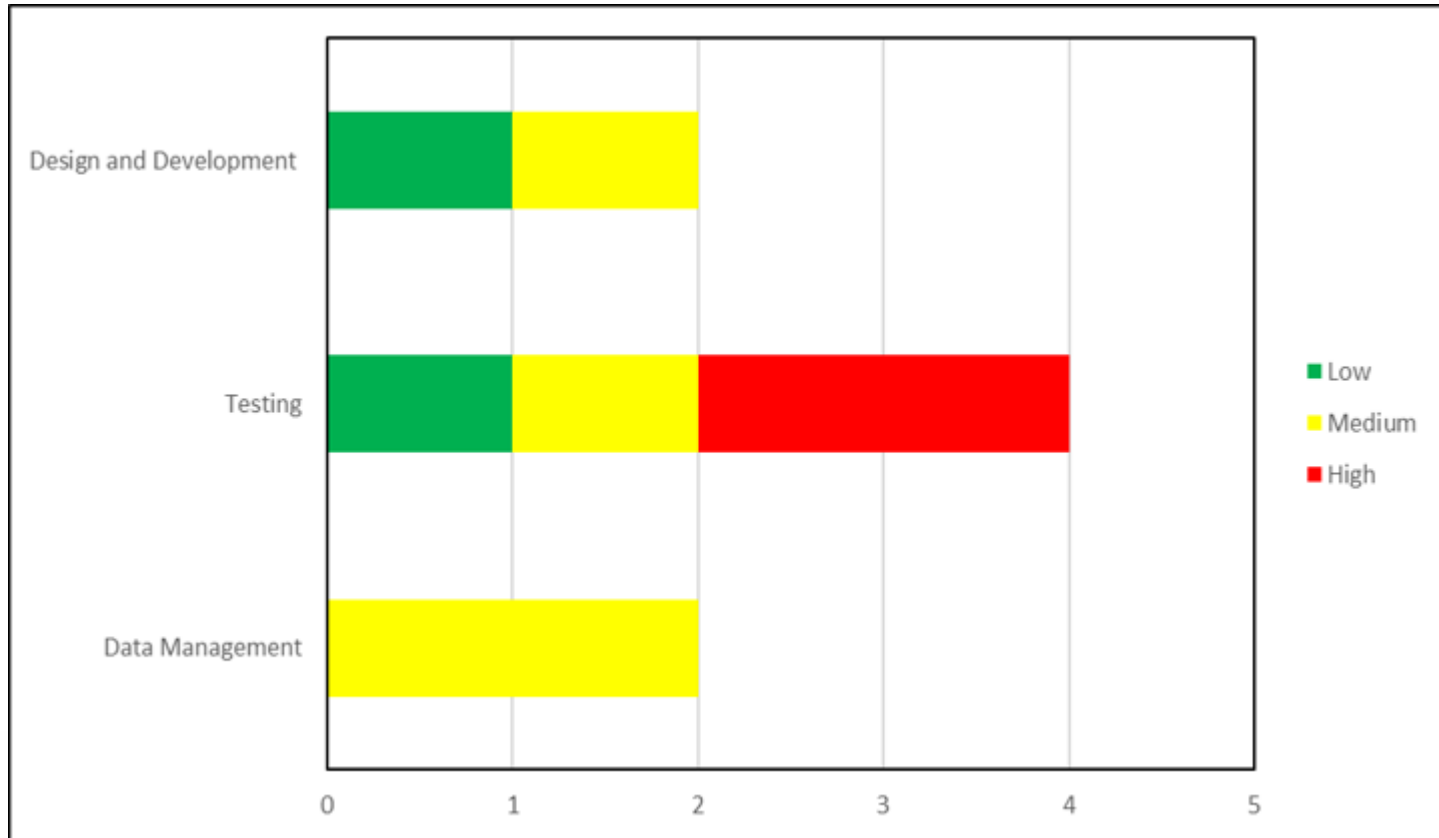
Executive Summary (cont'd)

Aug 2022	Sep 2022	Oct 2022	Category	IV&V Observations
N/A	N/A	N/A	Security	There were no open findings observed in the Security category during this reporting period.
N/A	N/A	L	Organizational Change Management	Training sessions with Maui were conducted in November, and an additional training is planned for January. Stakeholders in Maui are becoming more receptive to the changes and are in the process of getting comfortable with new features. The previously opened finding has been closed. (#1).
N/A	N/A	N/A	Knowledge Transfer	There were no open findings observed in the Knowledge Transfer category during this reporting period.





Executive Summary

Open IV&V Findings by Category and Priority



IV&V Findings and Recommendations

M Design and Development

#	Key Findings	Criticality Rating
2	<p>Risk – Availability of National Council on Compensation Insurance (NCCI) Data to Process Worker’s Compensation in Salesforce May Not be Available: The Project was recently made aware that data from NCCI, an external system needed as proof for Worker’s Compensation (WC) cannot accommodate the needed technology for integration. Phase 2 go-live is scheduled for 11/30/22 and without the data from NCCI, determination of WC is in jeopardy. Mapping from DCIS will be used for an updated mapping to Salesforce. Mapping is currently in progress.</p> <ul style="list-style-type: none"> 11/30: P2 go-live has been moved to 12/20/22. DCD downloads the NCCI file daily. A workaround has been identified where the file will be loaded to a SQL server and the needed fields will be exported and uploaded to Salesforce. DH is still working on the mapping for this interface, but it is not yet complete, and NCCI is not ready for the change to the interface platform. 	
3	<p>Risk – Issue With Case Number Length: DCD's expectation was that case numbers would remain at 10 digits. The case number format in Salesforce is different, has now increased to 12 digits, and is expected to incrementally increase in size in the future. The case number format cannot be reverted to the original format since the system is already in production. DCD scans the WC- 1 forms and automatically creates the case number in the system. There is a concern associated with the format of the case numbers changing over time. All external stakeholders need to be informed ahead of time to ensure there are no delays to any of their processes. A contract amendment between DCD and Data House will be executed to limit the case number to 12 digits.</p> <ul style="list-style-type: none"> 11/30: The case numbers will not increase beyond 12 digits, but there is no documented change request or contract amendment. Priority reduced from Medium to Low. 	



IV&V Findings and Recommendations

M Design and Development

Recommendations	Status
<ul style="list-style-type: none">DCD and Data House have agreed to a mapping process from DCIS to Salesforce that is currently being implemented. IV&V will monitor to ensure accuracy of the mapping implemented for Phase 2.	In progress
<ul style="list-style-type: none">All external stakeholders affected by the change need to be informed ahead of time to prevent any delays to their processes. Recommend memorializing the agreement to limit the case number to 12 digits through a contract amendment or a change request.	In Progress



Finding #5 - It was brought to the attention of IV&V that it was never determined that an additional LDV was needed but rather the team was in discussion about whether an additional LDV would be needed. The outcome of the discussions was that the LDV was not needed. Based on this information, an updated final version of the November 2022 report with finding #5 changed to a preliminary concern, and the language updated to reflect that an LDV “may be needed”.

IV&V Findings and Recommendations



H Testing

#	Key Findings	Criticality Rating
4	<p>Risk – Phase 2 UAT Completion: Phase 2 Go-Live has been moved to December 20th. DCD has stated that only 18% of the UAT test cases have passed. Phase 2 should not be implemented without comprehensive UAT testing and resolution of critical defects.</p> <ul style="list-style-type: none"> 11/30: Phase 2 go-live has been pushed to the 12/20/22 go-live date. The pass rate has increased from 18% to 19.58%. The UAT test cases have not been prioritized based on criticality. 	H
9	<p>Risk – Phase 3 UAT Environment Availability: The go-live date for P3 soft launch is scheduled for 12/20/22. DataHouse stated that the UAT environment would be available on 12/5/22. The system read-only mode is planned for 12/6/22, which will not allow time for identification and resolution of any critical defects resulting from UAT. Given the holiday season and limited resource availability after the launch, it is imperative that the release is thoroughly tested.</p> <ul style="list-style-type: none"> 11/30: The environment is not yet available so UAT cannot begin, and the duration of testing will be reduced. The environment will also be needed to conduct P3 Training. A demo was provided to some web portal users on 12/7/22. This was elevated from a Preliminary Concern to a Risk. 	H
5	<p>Closed Preliminary Concern – Large Data Volume for Phase 3 UAT Environment: An additional Large Data Volume (LDV) may be needed for Phase 3. 1.</p> <ul style="list-style-type: none"> 11/30: DCD has determined that a second LDV(Large Data Volume) is not needed, as the LDV used for the Lotus Notes migration is available. The finding has been closed. (the description of this finding has been updated after the Final version submitted on 1/23/23. See note in header.) 	N/A
6	<p>Risk – Entry/Exit Criteria Needed for Phase 3 UAT Plan: Establishing entry/exit criteria ensures that the objectives of the test strategy and product requirements are met and minimizes project risk.</p> <ul style="list-style-type: none"> 11/30: Entry/Exit Criteria are not documented in the UAT Plan. 	M



IV&V Findings and Recommendations

Testing

#	Key Findings	Criticality Rating
7	<p>Closed Risk – Use of Multiple Locations to Track Defects May Lead to Confusion: DCD is tracking defects (including Change Requests) in separate Incident Logs in Salesforce for P1 and P2, and in the Quality Log on SharePoint. This separation in defect tracking complicates reporting of defect metrics.</p> <ul style="list-style-type: none">• 11/30: All incident logs have been combined. The finding has been closed.	
12	<p>New Risk - Project Plan Does Not Reflect the Phased Approach for Phase 3 Web Portal implementation: The Project Plan shows the P3 design is completed but it doesn't reflect the phased approach that is going to happen for the P3 Web Portal implementation. Only basic features will be released on 12/20/22 - file upload and case status. DCD and Data House have agreed to a phased testing and implementation approach.</p>	

IV&V Findings and Recommendations



Testing

Recommendations	Status
<ul style="list-style-type: none">• DCD should focus as many resources as possible on Phase 2 UAT testing for the remaining time available before making the Go/No-Go decision and implementation. A process to triage questions from testers should be in place. The IV&V team recommends that Data House have a team available to respond to questions that cannot be answered by DCD. IV&V is currently conducting Sample Testing of the test cases previously run by Data House, that have not yet been tested by DCD. Also recommend prioritizing the most critical test cases to be tested prior to go-live.	In progress
<ul style="list-style-type: none">• Data House should make the UAT environment available to DCD at the earliest for testing and training activities to begin.	Not Started
<ul style="list-style-type: none">• IRecommend establishing entry/exit criteria for Phase 3 UAT	In progress
<ul style="list-style-type: none">• The Project should track all defects in one location, ensure that defects are classified by criticality, the turnaround times for each type of defect is defined and identified, and eventually closed after it has been agreed upon by end users.	Complete
<ul style="list-style-type: none">• New tasks should be added to the Project Schedule to reflect the new approach. The design document should display the features that will be released for the 12/20/22 launch and also the features that are scheduled to be released in 2023.	In Progress



IV&V Findings and Recommendations

Data Management

#	Key Findings	Criticality Rating
11	New Risk - P2 Data Migration Scope Concerns: Although data has been migrated to the new database, there are not fields in SalesForce to display all migrated data. In addition, the taxonomy mapping document shows "Do not Migrate" for some fields, but the status for those fields is marked 100% complete. This is because Data House sourced some data from different fields than the originally agreed mapping. DCD is currently reviewing the mapping and data sources to determine if this has caused any problems. Data House has requested that DCD alert them of any additional concerns identified as soon as possible, so they can determine any impacts to the overall design.	
8	Risk – Validation of Phase 2 Data Migration: Currently there is one week allocated for DCD to complete validation of the Phase 2 migrated data. This may not be sufficient time for comprehensive validation of the migrated data. Insufficient validation could lead to data issues in the production environment. <ul style="list-style-type: none">• 11/30: DCD was instructed to enter queries in the Sandbox Incident Tracker User Feedback Form. DCD will conduct production data validation from 12/15/22 – 12/18/22 and Data House will resolve and test any identified defects/issues from 12/19/22 – 12/20/22. Data will continue to be validated post-implementation.	



IV&V Findings and Recommendations


Data Management

Recommendations	Status
<ul style="list-style-type: none">Fields should be added to Salesforce screens that display the required migrated data. Also, the team should ensure that questions are documented, discussed with Data House, and prioritized.	In Progress
<ul style="list-style-type: none">Determine the sufficient amount of time for validation of the migrated data and ensure that time is allowed or provide support staff to assist with the data validation.	In progress



IV&V Findings and Recommendations

Organizational Change Management

#	Key Findings	Criticality Rating
1	<p>Closed Risk – Adoption of OCM by all Stakeholders: It was observed that team members from Maui feel less prepared for the changes coming, as was indicated during their conversations with the Project Team from DCD during the site visit on 09/19/22. From an IV&V perspective, this upgrade is considered a substantial change, impacting the way people have been working. It is important that all stakeholders are encouraged to adopt the defined OCM Strategy, otherwise a significant amount of time and effort in managing readiness issues from stakeholders could be experienced, and ultimately pose a significant risk to the project.</p> <ul style="list-style-type: none">• <i>11/30: Jamie delivered a virtual training session, and an on-site training was conducted in November, and DCD feels the trainings went well. Georgie will be traveling to Maui in January to conduct in-person training. Stakeholders in Maui are becoming more receptive to the changes and are in the process of getting comfortable with new features. The finding has been closed.</i>	



IV&V Findings and Recommendations

Organizational Change Management

Recommendations	Status
<ul style="list-style-type: none">DCD has implemented an OCM strategy that incorporates early outreach to stakeholders from all affected program areas. This is reinforced through regular updates, will help reduce negative impacts such as schedule slippage, and surprises to stakeholders, which will in turn, increase positive impacts such as end-user buy-in and adoption. All stakeholders are provided the required technical and business knowledge, to guide them through the modernization effort. It is integral to ensure there is significant buy-in from all stakeholders. This can help them gain a full understanding of the system, and ensure they are aware of the implications of their decisions downstream. DCD has planned a trip to Maui, to work with stakeholders, conduct targeted training, and ensure that Stakeholders are prepared for the P2 implementation.	Complete



IV&V Findings and Recommendations




Training

#	Key Findings	Criticality Rating
10	Positive Finding - Training Sessions Hosted by DCD: DCD has scheduled the training session every Monday, Wednesday and Thursdays and Roundtable session every Tuesday and Thursday. During these sessions they go through the functionality of each form in Salesforce and also use these sessions to answers the questions from the audience. Training sessions continue to be productive with good discussion.	N/A



Appendix A – IV&V Criticality Ratings

See definitions of Criticality Ratings below:

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



Appendix B – IV&V Standard Inputs

Meetings attended during the reporting period:

1. Training Sessions for Phase 1 (Content, Case) Phase 2 (UAT for Plans, SCF)	6. Meeting with Data House
2. Case Management Production User Feedback Standup Call	7. Divisional eCMS Update
3. eCMS Testing Roundtable	8. Phase 2: DCIS taxonomy discussion
4. Weekly PM Meeting	9. Review-discuss IF-001012 (FID-000882) Case Management Production User Feedback
5. IV&V Mtg w/DCD & ETS	10. Phase 3: Sprint 13.9 Review – Insurance Carrier and Adjuster Portal



Appendix B – IV&V Standard Inputs

Meetings attended during the reporting period:

11. Phase 3 - Web Portal Standing Meeting	16. Phase 2: Sprint 10.1 Review with Group 2a – Correspondence
12. Executive Steering Committee meetings	17. Phase 2: Sprint 10.1 Review with Group 2b – Correspondence
13. IV&V Touchpoint meetings with DCD	18. Phase 2: Sprint 10.1 Review with Group 1 - Correspondence
14. Phase 2: Content Management Training with updates related to Temporary Disability Insurance (TDI)	19. Phase 3 Discussion session
15. Phase 2 Checklist review	20. eCMS Phase 3 - Meeting with Mana'olana Team



Appendix B – IV&V Standard Inputs

Artifacts reviewed during the reporting period:

Project Plan	Phase 3 Testing Instructions
Data House Test Plan	UAT Case Management PH1B, PH2
Phase 3 UAT Plan (Mana’olana)	Phase 3 Testing Instructions
DCD eCMS Phase 3 – Web Portal User Acceptance Testing Plan	

To keep abreast of status throughout the project, IV&V regularly:

- Attends the project meetings
- Reviews the project documentation
- Utilizes Eclipse IV&V® Base Standards and Checklists



PCG Eclipse IVV
Checklists



Appendix C – IV&V Details

- 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 IV&V 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.

Note: This report is a point-in-time document with findings accurate as of the last day in the reporting period.





Solutions that Matter