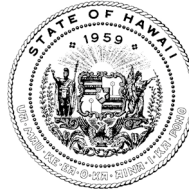


JOSH GREEN, M.D.
GOVERNOR



DEPT. COMM. NO. 22
DOUGLAS MURDOCK
CHIEF INFORMATION
OFFICER

OFFICE OF ENTERPRISE TECHNOLOGY SERVICES

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April 18, 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

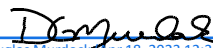
The Honorable Scott K. Saiki
Speaker and Members of the
House of Representatives
Thirty-Second State Legislature
State Capitol, Room 431
Honolulu, Hawai'i 96813

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 (Apr 18, 2023 12:33 HST)

Douglas Murdock
Chief Information Officer
State of Hawai'i

Attachment



Hawaii Electronic Case Management System (eCMS) Project

Disability Compensation Division (DCD)

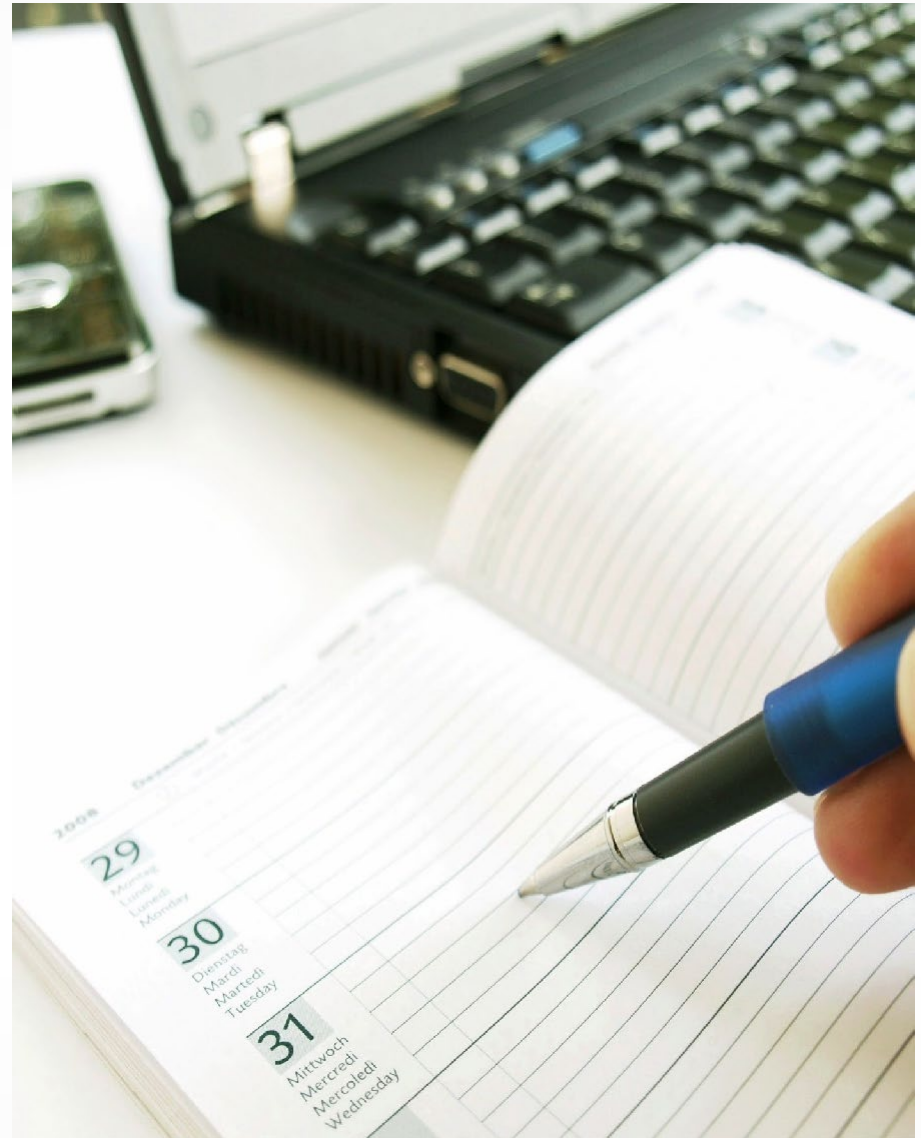
IV&V Monthly Status Report – Final
For Reporting Period: February 2023

Draft Submitted: 3/14/2023

Final Submitted: 3/15/2023

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 implemented Phase 2 on 1/10/23. Identified defects and conversion issues were quickly resolved by the State and vendor project teams. Phase 2 UAT testing will continue until a 100% pass rate is achieved, to ensure system quality. Active cases were migrated to the new environment and DCD is working to determine which non-active case data will need to be migrated. The Phase 3 internal soft-launch occurred on 1/11/23, and a soft launch with limited functionality and stakeholders occurred on 12/20/22. This soft launch contained limited functionality, 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, and implementation of the NCCI interface solution.

Nov 2022	Dec/Jan 2023	Feb 2023	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.
M	M	M	Design and Development	The National Council on Compensation Insurance (NCCI) interface mapping is in progress, but not yet complete. It is essential that this mapping is completed and tested prior to the P2 implementation (#2). The planned workaround will not require manual entry of data. The NCCI file will be loaded to SQL Server, and fields will be extracted and uploaded to Salesforce. Data mapping for the workaround has been completed, and the solution is expected to move to production on 3/3/23.



Executive Summary (cont'd)

Nov 2022	Dec/Jan 2022	Feb 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.
H	H	H	Testing	Phase 2 (P2) implementation occurred on 1/10/23. P2 User Acceptance Testing (UAT) is not complete. DCD reported that 28.75% of the P2 UAT test cases had passed by the end of February. UAT testing is critical for identification and resolution of defects prior to implementation. P2 UAT testing will continue until a 100% pass rate is achieved, to ensure system quality (#4).
M	M	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 to 1/10/23 allowed additional time for validation. Two categories could not be fully validated, and validation is in progress. Comprehensive validation of the migrated data is essential to prevent data issues in the production environment (#8). The data for all active accounts has been migrated and 50% of the active account data has been validated/tested. The team is working to analyze the data for non-active accounts, to determine which historical data will be migrated. Migration of the historical data will start on 3/3/23. Testing of migrated data will continue until all data is validated and identified issues are resolved.



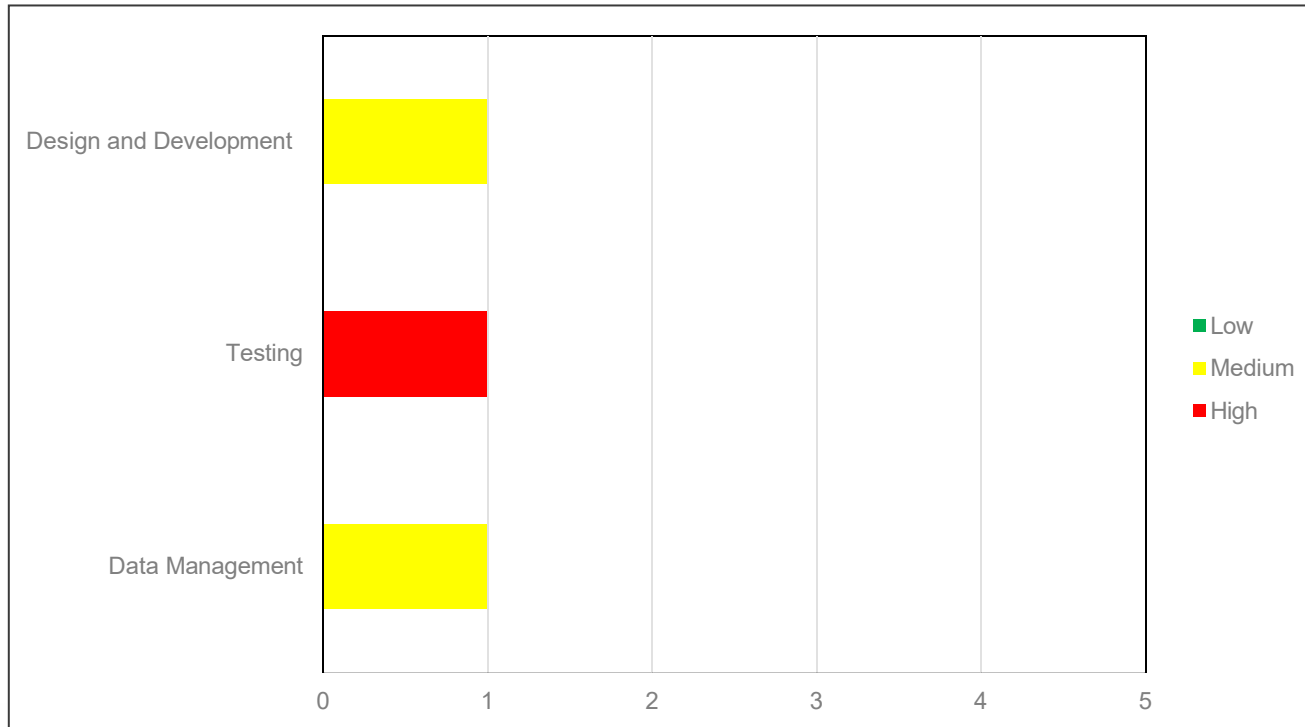
Executive Summary (cont'd)

Nov 2022	Dec/Jan 2023	Feb 2023	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.
L	N/A	N/A	Organizational Change Management	There were no open findings observed in the Organizational Change Management category during this reporting period.
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

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">• <i>02/27/23 - Mapping for the workaround has been completed and the solution is planned to go into production on Friday, 3/3/23.</i>	



IV&V Findings and Recommendations



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



IV&V Findings and Recommendations

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">02/27/23 - Phase 2 UAT testing is still in progress and will continue until all tests are passed to ensure system quality. As of the end of February, the pass-rate for P2 UAT is 28.75%.	
6	<p>Closed Risk - 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">02/27/23 - P3 UAT is in progress and will continue through May 2023. DCD has confirmed there is UAT exit criteria in place for each phase of testing. Finding closed.	

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">• Recommend establishing entry/exit criteria for Phase 3 UAT	Complete



IV&V Findings and Recommendations

Data Management

#	Key Findings	Criticality Rating
8	<p>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.</p> <ul style="list-style-type: none">02/27/23: The data for all active accounts has been migrated. 50% of the data has been validated/tested. The team is working to analyze the data for non-active accounts, to determine which historical data will be migrated. Migration of the historical data will start on 3/3/23. Testing of migrated data will continue until all data is validated and identified issues are resolved.	



IV&V Findings and Recommendations

Data Management

Recommendations	Status
<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




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 answer 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. IV&V Status Meeting – 02/27	



Appendix B – IV&V Standard Inputs

Artifacts reviewed during the reporting period:	
DCD eCMS Timeline	

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**



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.





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