



# MINISTRY OF SOCIAL DEVELOPMENT

*Te Manatū Whakahiato Ora*

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- 6 OCT 2014

Keith Bolland  
[fyi-request-1966-5815ff92@requests.fyi.org.nz](mailto:fyi-request-1966-5815ff92@requests.fyi.org.nz)

Dear Mr Bolland

Thank you for your email of 28 August 2014 requesting, under the Official Information Act 1982, information about customer relationship management software.

The Ministry is changing the way it works, to take a whole-of-Ministry approach that will better integrate our services, resources and support. This change will also consider the way the Ministry uses technology to support our service delivery.

Work and Income, a service of the Ministry of Social Development, has a number of systems that enable it to carry out its legislative functions. Work and Income primarily uses the Cúram client management solution (CMS). This is supported by, and links to, a number of other applications that serve as payment engines or provide other specific functionality. The Ministry procured Cúram, a social services framework in 2006, to support the CMS project and to be the core building block of the Ministry's modernisation efforts. Since its purchase, the Ministry has used the product to deliver several significant initiatives, including Welfare Reform.

Over the next four years, a long-term strategy will reduce duplication between Information Communication Technology (ICT) platforms and integrate information systems that support service delivery. This will underpin the Ministry's move towards people-centred and convenient services. The Ministry has started this programme and will have retired two of the legacy systems (Unified Client View II (UCVII) and SOLO) by mid-2015.

Please find enclosed a table that lists the applications used by Work and Income that interact with the Cúram CMS. This table provides an overview of the purpose of the application, including the type of information captured, and whether it was developed for the Ministry or was a pre-existing commercial product. The Ministry has an IT panel of suppliers who provide a number of external resources to IT projects which results in a number of providers working together on projects.

Better technology systems will also support more integrated data, enabling frontline staff to access information about how services are working. This will help them to make decisions about what are the right services to meet people's needs.

The Ministry is developing comprehensive self-service, online and mobile services to streamline the way people access government services and create an integrated transaction account view for users.

Where appropriate, the Customer Relationship Management systems may be accessed between the Ministry's service lines, for example StudyLink, Senior Services, or the National Fraud Investigation Unit. The Information Management Principles of the Ministry are:

*Principle 1*

Information in its various forms is an asset of the organisation and will be actively managed throughout its lifecycle.

*Principle 2*

Information will be readily discoverable and available to staff unless there are valid business reasons for it to be withheld.

*Principle 3*

Information management practices and structures will reflect the business of the Ministry and be continually monitored to ensure ongoing alignment.

*Principle 4*

Where practical and cost effective, information will be collected once and shared by authorised users and systems.

*Principle 5*

The Ministry will ensure that the collection, use, release, and disposal of information meets statutory and legal requirements.

*Principle 6*

Information will be managed in accordance with international best practice standards and meet the government's information management expectations.

*Principle 7*

Ease of use will be a primary requirement of any enabling tools for information capture, discovery, and use.

*Principle 8*

Ministry data and information sets/repositories will have a clearly identified assigned Business Custodian and appropriate Physical Custodians.

*Principle 9*

Information Management practices will ensure the security and confidentiality of client information in accordance with legislation and best practice standards

The Ministry does not have any systems that track current or past beneficiary information through public sources. All personal information about beneficiaries is voluntarily given to the Ministry so as to assess their full entitlements to financial assistance. As part of their obligations for receiving on-going financial assistance from Work and Income, beneficiaries must advise Work and Income of every change in circumstance that may affect their rates of payment. These changes are recorded in the relevant systems to ensure full and correct entitlements to financial assistance continue.

The Ministry is required to establish the identity of every person who applies for assistance, whether they are applying for on-going assistance such as Jobseeker Support or Social housing or a one-off payment. This ensures the right person gets the right assistance at the right time.

The Ministry's National Fraud Investigation Unit and Integrity Intervention Unit preserves the integrity of the benefit system by detecting, deterring and investigating fraud and abuse.

This includes assessing information received through an allegation and the matching of client information with information provided by other government agencies to ensure that clients are receiving their correct entitlement to a benefit. Beneficiaries' information is matched with information provided by the following agencies:

- Inland Revenue to detect beneficiaries who may be working as well as receiving benefit or Student Allowance
- New Zealand Customs Service to detect beneficiaries who have left the country
- Department of Corrections to detect beneficiaries going into prison
- Department of Internal Affairs to identify beneficiaries who have died or married
- Accident Compensation Corporation to identify beneficiaries who are receiving ACC payments
- Housing New Zealand Corporation to identify new tenants, existing tenants who are in relationships and beneficiaries who are no longer tenants.

In all circumstances, the Ministry adheres to the guidelines of the Privacy Act 1993 of the protection and handling of beneficiary information.

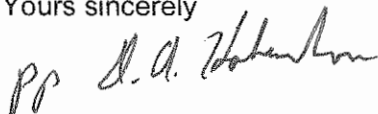
You have requested the business requirements, the functional requirements, and any change management documentation for each of the systems. I have enclosed the project closure reports for both phase 1a and phase 1b of the CMS project. In addition, as you will note there are a number of different operating systems that are specifically used by Work and Income. These have been introduced at many different stages since the implementation (and subsequent amendments) to the Social Security Act 1964.

To compile all business requirements, the functional requirements, and any change management documentation for each of the systems would require substantial manual collation and research to locate the wide range of information requested. As such, your request for this information is refused under section 18(f) of the Official Information Act. I do not consider the resources that this would require to be in the public interest as this would remove staff from their core duties and impact on the effective functioning of the Ministry.

I hope you find this information helpful. You have the right to seek an investigation and review of my response by the Ombudsman, whose address for contact purposes is:

The Ombudsman  
Office of the Ombudsman  
PO Box 10-152  
WELLINGTON 6143

Yours sincerely



Rupert Ablett-Hampson  
**Deputy Chief Executive People, Capability and Resources**

## Ministry of Social Development's Client Management Systems

System	Description	Developer
ABT – Appointment Booking Tool	The Appointment Booking Tool (ABT) is an application that is used for booking appointments and seminars for clients with Work and Income and Senior Services staff members. The ABT is used by Work and Income case managers and contact centre representatives. It is incorporated into UCVII and interfaces with the existing Outlook Calendar. Work and Income working age clients can make a selective choice of appointment types using their online My Account and interfaces with the ABT. New Zealand Superannuation clients do not have access to My Account, therefore, cannot make appointments.	Bespoke
ART - Activity Reporting Tool	Activity Reporting Tool (ART) is a web-based application that is accessed by service providers, specialist case workers and the Youth Service Support Unit (YSSU). This is the internally facing instance and talks to the same DB as the externally facing instance via oracle OCI. ART collects information relating to the services and activities clients are referred to and the outcome of those referrals. It also enables staff to view clients' progress, and monitor the performance of service providers and specialist case workers. ART will create a notification to service providers, specialist case workers and/or YSSU.	Bespoke
Assessment – CMS Assessment	Cúram's Intelligent Evidence Gathering (IEG) functionality is used to take the user through a series of dynamic questions leading to initial assessment calculation of potential eligibility or expectation stream. Work and Income clients can access selective assessments online via their My Account. The assessment answers can be viewed via UCVII.	Curam with customisation
COMET – Collections Management Enforcement Tool	COMET is a Collections management enforcement tool used by the Integrity Services Collections teams. The tool allocates cases to work queues and users, with automated workflows to manage letters and enforcement actions to clients. COMET is built on CURUM platform. Provide an effective tool for the Debt Collection Units to manage cases and workloads. Provide the capability to increase collector performance and reduce the overall cost of collections. Allow Debt Management Officers (DMOs) to focus on cases that are in real need of attention, such as non-payers and potential non-payers. Make use of information related to the debtor that is stored in other systems within the Ministry.	Curam with customisation
Digi – CMS Digi	This is the CMS software component for Digi that resides in the CMS instance. Digitisation is a generic term referring to the conversion of paper information into digital (electronic) form. It is usually associated with a physical process, such as scanning or imaging, for converting paper into some digital format. For Work and Income, Digitisation is a process for managing our client information better by creating a complete client file that is available electronically through a single point of	Curam with customisation

	entry.	
EOS – WEP – Enhanced Online Services/My Account/Apply Online	The <i>Enhanced Online Services (EOS)</i> project enabled customers to check what they are entitled to, apply for benefits, manage their details, book appointments, and provide income and job search declarations. The technical deliverable was the <i>Universal Access</i> instance of CURAM. <i>Universal Access</i> is an application in its own right and EOS also used the CURAM framework and an instance of CURAM	Curam with customisation
Obman – Obligations Management	Obligations Management (OBMAN) is a tool that has been created to capture information about Work and Income clients' obligations. It allows staff to view all client obligations, manage any disputes and manage all social obligations a client may have.	Bespoke
RecruitMe	RecruitMe is the system used by Work and Income staff for matching people to jobs and jobs to people. RecruitMe has been used by Work and Income staff since March 2013.	COT with customisation
Service Plans – CMS Service Plans	An application on the CMS instance of CURAM. A Service Plan is a record of the activities a client has done or is planning to do. The activities may be appointments from the Appointment Booking Tool (ABT) or Plan Items added manually in CMS.	Curam with customisation
SOLO – SOLO Client Management Service	SOLO Employment services details for Work and Income job seekers. SOLO is the primary tool used by Work and Income employees to case manage clients. It enables employees to move and monitor clients into self-sufficiency. SOLO links to SWIFTT to ensure that a work-tested client is meeting their work-test obligations.	Bespoke
SORT– Service Outcome Reporting Tool	This is the internal instance of the case management tool used by external service providers providing a Health and Disability, Sole Parents and similar service to targeted clients. This is the external facing instance of the case management tool used by external service providers providing a Health and Disability, Sole Parents and similar service to targeted clients.	Bespoke
SWIFTT – Social Welfare Information For Tomorrow Today	The computer system that processes the benefit information entered by case managers is known as SWIFTT (Social Welfare Information for Tomorrow Today). It is a screen-based system – it does not use stacked windows. SWIFTT is the biggest payments system in New Zealand, handling more than 2.5 million payment transactions a fortnight. This service is used to record and process benefit payments. It supports approximately 70 different benefit payments and pensions.	Bespoke
TRACE – Tracking Recover and Collection Enforcement	This application is used to facilitate debt management process of investigating, processing and payment receipting. It is also used to record, track and report on Benefit Control case activity and results and other debt related information. The TRACE computer system includes the following sub-systems: <ul style="list-style-type: none"> <li>• DMS (Debt Management System) records client information, debt details, enforcement action and debt repayments.</li> <li>• RMS (Receipt Management System) which ensures debt repayments are</li> </ul>	Bespoke

	<p>received to the correct debtor record and gives detail of the date, type and source of the payment.</p> <ul style="list-style-type: none"> <li>• BPCU is the Benefit Control case management system used to record, track and report on Benefit Control case activity and results.</li> <li>• MRA/SL holds information about the clients who received major repair advances and suspensory loans.</li> </ul>	
UCVII – Unified Client View II	<p>Application that allows frontline staff to maintain a common view of their client information and carry out automated checks on client information. UCVII collates information from several SOLO and SWIFTT screens to enable case managers to view these details in summary screens. This eliminates case managers, work brokers, customer service representatives and other staff needing to access multiple screens to find the information they require. UCVII provides a view of client data, including the products and services a client is receiving. UCVII is used for creating, modifying and noting client records and entitlement checks.</p>	Bespoke
WASP – Warrants Absence Suspension Processing	<p>Warrants Absence Suspension Processing (WASP) is a system designed specifically to manage clients leaving New Zealand (Absence from New Zealand) and Warrants to Arrest. Information sharing happens between Customs for Absence from New Zealand and the Ministry of Justice for Warrants to Arrest. WASP allows the user to view and manage transactions based on the information.</p>	Bespoke



MINISTRY OF  
SOCIAL DEVELOPMENT  
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**Project Closure Report**  
for  
**Client Management Solution (CMS) Project**  
**Phase 1a**

**Authors:**

**Version:**

1.0

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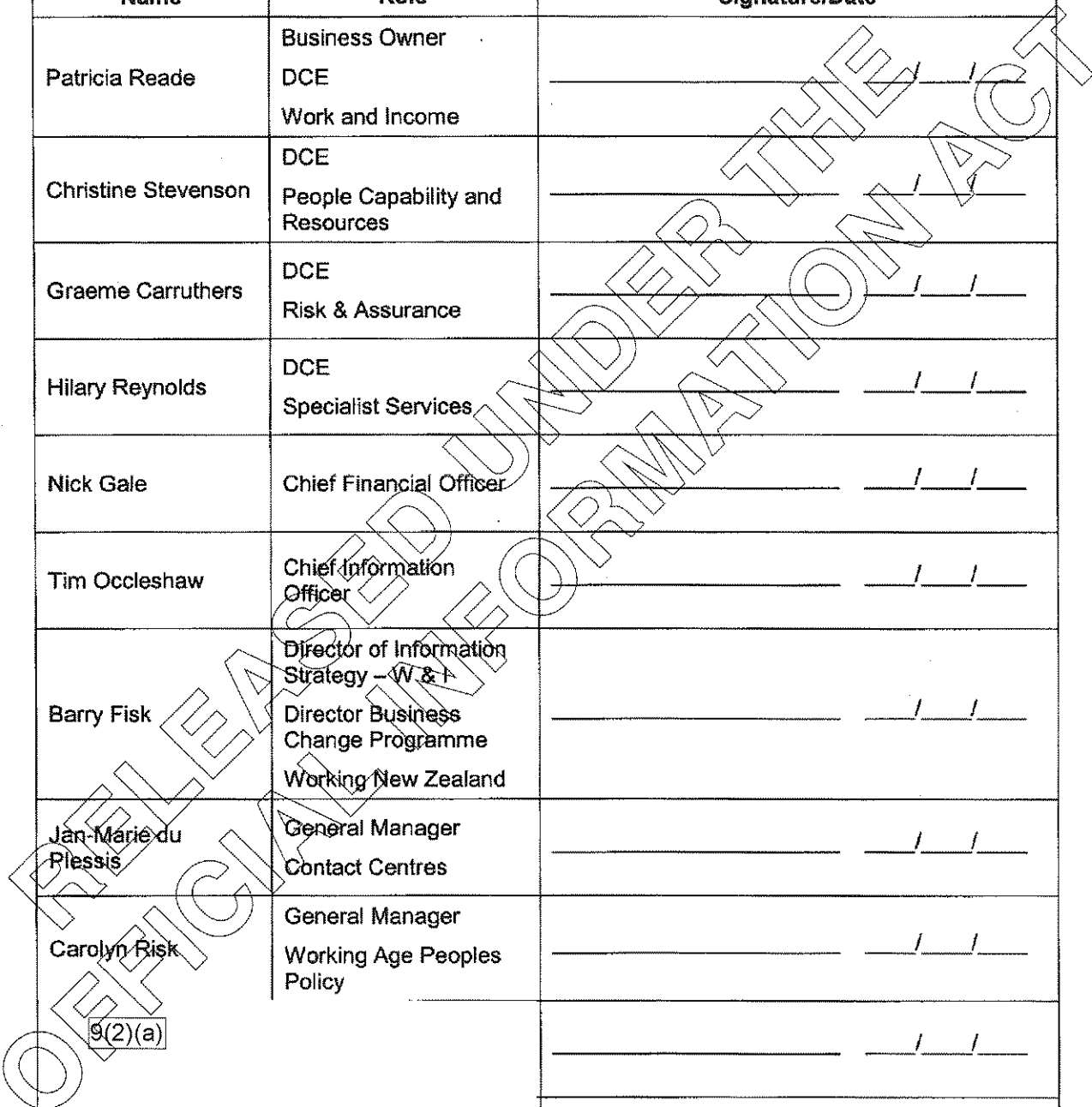
# Sign Off Sheet

This form records the approval and acceptance of the following document.

Document Name	Version	File Location
CMS Phase 1a Project Closure Report	1.0	Filename: CMS- Phase 1a - Project Closure Report.doc Objective ID: A2924137

The following signatures indicate approval and acceptance of the above document.

Name	Role	Signature/Date
Patricia Reade	Business Owner DCE Work and Income	_____ / /
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Graeme Carruthers	DCE Risk & Assurance	_____ / /
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## Compilation and Distribution Summary

Programme Manager:	9(2)(a)	
Project Facilitator:		

Version	Date	Author	Distributed to	Comments/Feedback
0.1	24/01/08	9(2)(a)	CMS Team	Review and feedback
0.2	30/01/08		Directors	Incorporated feedback from Directors
0.3	19/02/08		BSG members and representatives	Pre-sign off release to Business Steering Group members (no feedback received)
1.0	28/02/08		BSG members and representatives	Baselined copy for Sign off

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## Executive Summary

The purpose of this document is to obtain approval to formally close the CMS Phase 1a project based on a demonstration that the project objectives have been met.

The Ministry of Social Development (MSD) obtained approval in August 2006 to

- implement the Cúram platform
- address the need for improved client service-delivery support, as well as meet the Government's objective of assisting clients in their communities with a work-first approach.

The project was divided into two phases. Phase 1a of the Client Management Solution was to integrate Cúram into the Ministry of Social Development infrastructure and establish core functionality.

The project implemented the solution to 800 users in Contact Centres and to frontline staff in the Bay of Plenty region on August 30 2007 and has continued and completed its deployment to all Work and Income staff as proposed by 30 November 2007.

Phase 1a has also implemented automated Service Planning which was originally a component of Phase 1b scope.

Phase 1a has completed with the following outcomes:

- All objectives achieved
- All phases implemented by due date
- All training fully completed
- All Work and Income Staff fully deployed
- All handover documentation and processes completed.

At 30 November 2007 budget status for the Programme was:

- Budget \$30.903 Actual \$30.734m

Phase 1b is now progressing.

It is recommended that the Business Steering Group:

1. **note** that the objectives of the project were achieved
2. **note** the successes and lessons learnt are included in this document
3. **note** that Phase 1b is now progressing
3. **approve** the formal closure of the CMS Phase 1a project.

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# 1 Introduction

## 1.1 Document Purpose

The purpose of this document is to:

- Obtain approval to formally close the CMS Phase 1a project based on a demonstration that the project objectives have been met.
- Identify lessons learnt from the project to be considered in the ongoing improvement of the Ministry's processes and policies.

## 1.2 Document Context

The Ministry of Social Development obtained approval in August 2006 to:

- implement the Cúram platform
- address the need for improved client service-delivery support, as well as meet the Government's objective of assisting clients in their communities with a work-first approach.

The project was divided into two phases. Phase 1a of the Client Management Solution integrated Cúram into the Ministry of Social Development infrastructure and established core functionality. The project implemented the solution to 800 users in Contact Centres and to frontline staff in the Bay of Plenty region on August 30 2007.

Phase 1b is targeted to complete in the latter part of 2008 and will build on and expand the functionality delivered in Phase 1a.

A Project Closure report is usually documented when a project is finished and is to be closed. This report is being prepared now, at the completion of Phase 1a, because:

- the completion of Phase 1a is a significant milestone in terms of project delivery
- a full life-cycle has been completed for the project
- this is a substantial piece of work
- findings from this review can be used to help improve the quality of Phase 1b of the Project.

# 2 Project Completion

## 2.1 CMS Phase 1 Project Objectives

The following objectives were established for the CMS Project. Note that these objectives relate to the whole project and not just Phase 1a:

### 2.1.1 Service Planning

- streamline the service planning process
- consistently offer appropriate services to meet client outcomes.

### 2.1.2 System Improvements

- reduce the number of systems staff must use
- improve the navigation across systems
- reduce systems training requirements through Help, workflow etc
- introduce configurable management control functionality.

**2.1.3 Client Information**

- provide consistent eligibility assessment regardless of access channel
- provide centralised view of products and services associated with a client
- streamline client information maintenance and updates.

**2.1.4 System Integrity**

- provide complete audit-ability and integrity of data
- supports the payment of correct entitlements.

**2.1.5 Management Information**

- capture robust information for management purposes
- create dynamic caseload management to target initiatives to client groups.

**2.2 CMS Project Phase 1a Scope**

While the objectives in the previous section relate to the whole of Phase 1 of the CMS project, the following scope is specific to Phase 1a.

Scope	Achieved/Not achieved
Establishment of environments and purchase of associated hardware, software and peripherals for: Development Integration and System Testing Non-functional Testing User Acceptance Testing Production Training & Practice Disaster Recovery	<p><b>Partially Achieved</b></p> <p>All environments required for go-live were established and software and peripherals were purchased.</p> <p>Once 1A deployment was completed the training practice base was upgraded to include the CMS system components and reflect production.</p> <p>All testing was completed prior to release to production and full production deployment has been completed.</p> <p><b>Note:</b> The DR environment, hardware and systems have been commissioned, but the full DR test won't be undertaken until Phase 1b is implemented.</p>
Purchase and installation of the Cúram software including contract negotiations.	<p><b>Achieved</b></p> <p>The Cúram software has been successfully installed in MSD environments.</p>
Procurement of Independent Quality Assurance (IQA) services for the Project.	<p><b>Achieved</b></p> <p>IQA services were delivered to the project during the Inception Phase and at the completion of Elaboration. A further report is anticipated for the closure of phase 1A.</p>

Scope	Achieved/Not achieved
Establishment and delivery of training relevant to systems implementation.	<b>Achieved</b> CBT Training has been developed and successfully delivered. The same delivery channel is proposed for Phase 1b.
Establishment and delivery of Organisational change management relevant to the systems implemented and the operational changes required.	<b>Achieved</b> Change mentoring implemented and Change Management delivered.
Customisation of Cúram software to meet MSD requirements.	<b>Achieved</b> User requirements have been incorporated in the Phase 1a CMS release
Integration with Legacy systems as required e.g. SWIFTT/SOLO/UCVII.	<b>Achieved</b> The Web Logic Interface has been implemented and the CMS application has been successfully integrated with UC VII, SOLO and ABT. <b>Note:</b> Integration with SWIFTT was not required for Phase 1a
Pilot deployment to approximately 800 Job Search Facilitation staff & CSRs.	<b>Achieved</b> The application was deployed to all Contact Centre staff and to Service Centres in the Bay of Plenty.
Full deployment of the CMS to all Work & Income Case Managers and CSRs.	<b>Achieved</b> A progressive rollout of CMS to all sites was completed by December 2007.

The initial scope of the functionality to be delivered in Phase 1a was outlined in the Final Business Case and was limited to eligibility to services which supported the Job Search Facilitation Service. Functionality was to be specifically targeted at enabling early assessment for clients.

**Rationale:** Implementing this functionality as a first release of the CMS has enabled the Ministry to achieve the following:

- establish the system into the Ministry's IT infrastructure
- establish core functionality e.g. security, accessibility, roles, locations
- pilot with a small group of staff, eliminating risk associated with 'big-bang' implementations
- prevent any impact on critical business activities
- ensure that network capacity is sufficient.

These processes have introduced new functionality to staff and were specifically targeted at enabling early assessment for clients and ensuring that planning for outcomes started at the first point of contact with a client.

A Project Variation Request (PVR002) was approved by BSG in April 2007 and this increased the scope of Phase 1a to include automated Service Planning functionality.

## 2.3 Project Budget

Given the CMS Phase 1 project is still continuing the table below shows the budget status as at 30 November 2007 which was the date the final region was rolled out to and represents the completion of Phase 1a<sup>1</sup>.

Phase 1A Budget	Approved Budget via PVRs	Actual Expenditure
\$30.903m	PVR's met within budget	\$30.734m

During Phase 1a contingency was increased from \$3.388m to \$3.951m. The variation to increase scope to accommodate service plans was funded from within the existing budget. Key cause for surplus to budget funds was an improved exchange rate from \$US to \$NZ at time of software and maintenance purchase.

The November 2007 Financial report is attached as Appendix C.

## 2.4 Project Schedule

The plan documented in the Final Business Case (FBC) and the Project Management Plan (PMP) targeted the delivery of the CMS pilot (Phase 1a) for July 2007. This was to pilot functionality that specifically enabled early assessment of appropriate work related services for clients.

A further Phase to be delivered later in 2008 was to include additional functionality to enable the creation and maintenance of service plans, assessment for eligibility to employment and training programmes, and further integration of CMS and SWIFTT.

Functionality to enable users to create and maintain Service Plans was included in the scope of Phase 1a at the request of BSG<sup>2</sup>. The Project proposed a deployment date of September 2007 to accommodate this additional functionality; however BSG asked that the Project endeavour to meet an August deployment deadline, and this was achieved.

## 2.5 Project Handover

### 2.5.1 Production Handover

The Project engaged a Deployment Manager to manage the system into production. The process used was based on the standard IT Projects template and processes. For each area deliverables were agreed and confirmation that they had been delivered was sought<sup>3</sup>. All critical deliverables were delivered and agreed with stakeholders.

The UAT exit criteria had not been met when the deployment to production was made, the key issue being that there were five 'B' defects outstanding. Fixes were either in test or being developed for at least two of these at the time and maintenance releases had been planned. ITTS recommended that the application not be deployed to production however, BSG concluded that the risks were minimal and requested the project deploy to production by the end of August.

Business Analysts from IT Client Applications and technical resources from Infrastructure and Services who would be assuming responsibility for Business as Usual support participated in, and provided support to the project. This was to assist with the transfer of knowledge to Ministry staff and help prepare them for supporting the application following

<sup>1</sup> Note that Phase 1a generated change and training queries that are still being fielded by the project team but these will be captured as part of Phase 1B costs.

<sup>2</sup> See VR02 EDRMS Ref:2532048

<sup>3</sup> For a list of these deliverables please refer to the readiness forms in EDRMS file fA345092



Go Live. One BA from IT Applications who has supported the project is to return to their substantive position to provide BAU development support. A software support contract and the building of internal development capability are to be managed by IT Application Design.

Deployment to production was managed by the System Integrators on the weekend of 25 and 26 August. Users at the pilot sites were enabled on the evening of Wednesday 29 August so that Users could start using the system from August 30. A gradual rollout to all remaining sites was then completed by December 2007.

This process of deploying to production was well managed and was completed very successfully with a relatively small number of calls for support.

### 2.5.2 Project Artefacts Handover

Phase 1 of the CMS Project is not yet complete and many of the project artefacts produced in Phase 1a will continue to be used in Phase 1b. These will continue to be managed by the project until the completion of Phase 1b.

Relevant documents required to support BAU activities have been transferred to appropriate stakeholders.

Repositories have been created in EDRMS to store final versions of governance and project documentation<sup>4</sup>. Physical files are held by the Project Facilitator.

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<sup>4</sup> See Folder fA352571

## 3 Project Review

### 3.1 Approach

End of Phase Reports have been completed for the Inception<sup>5</sup>, Elaboration<sup>6</sup> and Construction<sup>7</sup> phases. The findings of these reviews along with test exit reports have been incorporated in the comments below. This report also represents the End of Phase report for Transition.

In addition, a closure workshop of a representative group of stakeholders was held.

Section 3.2 summarises some of the key areas of the Project that led to a successful pilot deployment. A summary of lessons learnt is included in Section 3.3, a more detailed explanation of these can be found in the various end of phase and other exit documents. A comment on the objectives and achievements of each phase are included in Section 3.4

### 3.2 Overall Project Success

#### 3.2.1 Summary

There is no doubt that this was a large and complex piece of work that was delivered within budget, to an agreed timeframe and it has been very well received by users. The solution was deployed to approximately 800 front line staff and implemented processes and a system to support the job search facilitation service.

The number of resources, (from various disciplines) was often over 60 and during the latter stages of the project peaked around 80-90. This was made up of MSD staff both as members of the core team and from other areas such as Infrastructure & Services, contract staff, ITTS as well as vendors. These included HP, Cúram, Azimuth Consulting, Equinox and Inspire Group.

The solution was technically complex. New supporting infrastructure for development, testing, production and Disaster Recovery was installed. The Cúram software had not previously been employed in the Ministry and a significant amount of customisation was required. In addition the solution had to be integrated with core systems UC VII, SOLO and ABT. This in itself was technically challenging.

A good relationship existed with key areas within the Ministry who played a pivotal role in developing the solution including Infrastructure & Services (e.g Middleware support, Database Administrators, Windows & Integration), IT Applications (System Integration, Client Applications National Office) and IT Customer Services.

An extremely high level of commitment was shown by members of both the core Project Team and by others who were involved in delivering the Project. These resources worked cohesively and cooperatively as a team and were solution focussed, often delivering to above expectations and frequently working extra time.

The project was well managed, adhering to sound project management practices. The project management team worked well as a group to manage the progress of the project and to address and resolve issues. The BSG also played a critical role in ensuring the success of the project, helping resolve issues and providing the Programme Manager and his team with the necessary support and guidance.

#### 3.2.2 CMS Change Management

A Change Management strategy allowed the project team to focus on the 'people side' of implementation to inform all stakeholders on the proposed solution.

<sup>5</sup> EDRMS Reference: A2285056

<sup>6</sup> EDRMS Reference: A2527918

<sup>7</sup> EDRMS Reference: A2873628

Delivering a presentation through regional road shows enabled over 1200 staff from eleven regions and five contact centres to be engaged with. Key messages were delivered and reiterated as well as providing an opportunity for those attending the road shows to feed into the project team any enhancements they could think of to CMS.

Surveys taken after the road shows provided positive feedback in that over 95% agreed that once they had seen the presentation and had an opportunity to discuss what they had seen that they then understood the purpose of CMS, how crucial to the delivery of services CMS is, how CMS will help staff deliver better services and the benefits of CMS to clients.

Regular communication updates were delivered through preferred mediums as identified from these surveys.

Training was delivered to trainers and to end-users via CBT. This approach was largely successful and was managed in a very tight timeframe as the CBT package was developed in parallel with CMS development and testing.

From the results of the skills checks, over 2200 people completed the CBT and the average score was 93%, the pass rate being 85%. It was noted however, that this form of training did not suit everyone as it required the participant to be very specific in their responses. Also, the CBT screens were not always exactly the same as the production system as CBT was being developed at the same time as the system was being developed and there were changes to the system screens that were not reflected in the CBT. This proved to be a problem for some staff.

After the first training run was completed it was found that the Site Champions needed additional training. This process was then included for progressive training roll outs.

Another issue that was identified with the training was the length of time between the staff training and implementation date – in some cases this was as long as six weeks. There were a couple of reasons for this delay: regions required six weeks to get all staff through the training programme with their resource constraints and other training that they needed to have completed in the same timeframe. In addition to the training constraints there were other major changes happening for Work and Income staff in the same time period eg Working New Zealand. The project did provide activities for staff to complete to keep their training fresh – however they did not always have specific time allocated to do this and as a result did not have time to complete them.

The training was managed using MSD's training management system, Moodle. The project to implement Moodle had not delivered a production system and consequently the CMS project was required to host the application on one of its servers and provide support for implementing and configuring training courses. This placed additional pressure on both Project and IT resources. No firm date has yet been agreed to transfer Moodle on to a production server and this remains a requirement of the Moodle project team.

### **3.2.3 Use and co-location of a Multidisciplinary Project Team**

One of the key factors leading to the success of the project was the use of a multidisciplinary team, with the core project team being located on a single floor.

As the project progressed, relationships between these groups developed to the benefit of the project and to individual members of the team. This required careful management to ensure that formal channels of communication were not by-passed where these were required to ensure consistency and to ensure that change was appropriately managed.

Engagement of key business and IT staff was made easier because of the existing relationships between them and members of the core project team.

### **3.2.4 Deployment and Implementation Model**

The decision to limit functionality and to deploy to a pilot group has proven to be sound.

The standard process to deploy applications was managed by the Systems Integrators. This process was extremely well managed with the project receiving excellent support and good communication at all stages.

### 3.2.5 Transition to Business as Usual

Having BAU staff on the project team and the engagement with key resources in IT assisted greatly in making a seamless transition possible.

### 3.2.6 Post Implementation Support

On 'Go Live' day project team members provided on site support to the BOP region and contact centres. This proved very useful and this support was then provided to all other regions as CMS was being implemented to them. Project team presence was appreciated by both frontline and Contact Centres and by being there they ensured the deployment was as smooth and as positive an experience as it could be. This is evidenced by many positive comments captured from site champions during deployment.

Technical support was provided by the IT help team and this was successful, especially with assisting with user access and initial login issues that were experienced.

Business process support was provided by Helpline and project team Business Analysts. This was not as successful as anticipated. Helpline had resource issues and was also providing business support for the Working New Zealand changes.

The project's business change team remain in close contact with Operations Managers and Site Champions to provide continuing support and to help them manage the change in their regions and sites. This change management support will be ongoing for the length of the project.

### 3.2.7 Vendor Relationship

At the project peer level the relationship with the vendors has been extremely positive and helpful. This was assisted by the co-location of both groups.

There were delays in concluding contract negotiations with HP that impacted the project schedule and placed additional pressures on the project team at the outset. Weekly reports were produced by the principal vendor, HP. MSD were given the opportunity to comment on the draft reports, this helped ensure that the status reported was acceptable to both parties.

## 3.3 Lessons Learnt

Lessons learnt are recorded in detail in each end of phase report and test exit reports. In addition HP has produced their own Completion report that includes detailed lessons learned. This section provides a summary of the key lessons.

### 3.3.1 Difficulty in confirming planning and costs

The vision document was not baselined until the end of the Inception Phase. This made it difficult to confirm planning and costs as a number of requirements had not been clarified.

#### Lesson Learnt

The Vision document should be confirmed early in the Inception Phase.

### 3.3.2 Using an Iterative System development process

The Project implemented an iterative development process that had not previously been used within the Ministry.

Negotiations with vendors were protracted as a consequence of MSD wishing to agree a fixed cost and the reluctance of the vendor to do so given the iterative nature of the process. This led to delays in engaging HP which impacted the start-up of the Elaboration Phase. The nature of the iterative approach is such that the completion of some

deliverables may span more than one project phase, this made it difficult for the vendor to close off a phase as there were a number of deliverables for which work had been performed yet were not ready for acceptance by MSD.

In the initial planning, it was assumed that certain use cases and other deliverables would be completed at the end of a particular phase and the plan of the project schedule and deliverables were constructed accordingly. This proved to be wrong making the tracking of deliverables and performance of work more difficult to manage.

#### **Lessons Learnt**

The Ministry needs to develop a negotiating model that recognises the challenges of engaging with a vendor in an iterative development environment.

Planning needs to recognise the iterative nature of development and be based on the life-cycle of each deliverable and not on project phases.

#### **3.3.3 The need to adhere to robust processes for deliverables**

Variables existed early on in the Elaboration Phase across the various staff documenting key use cases. This led to inconsistencies of documentation throughout Elaboration both within use cases documented by MSD and use case realisations documented by HP.

#### **Lessons Learnt**

The Ministry needs to ensure some standardisation of process is applied and formal training delivered to establish standards and guidelines for documentation in the Elaboration Phase.

#### **3.3.4 Management of Testing**

Nearing the end of the Elaboration Phase it became apparent that the plan for system testing to start could not occur as it was reliant on a number of functional deliverables that had been scheduled for differing delivery dates. This delayed System Test completion and equally forced a significant constraint on User Acceptance Test timeframes. As a result project team members worked a significant number of overtime hours to ensure timely test completion.

#### **Lessons Learnt**

Ensure planning of the Construction Phase deliverables aligns with System Test needs. Also ensure time contingency is provided around the testing area to cater to final high risks that can significantly impact schedules.

#### **3.3.5 Training**

The timeframes of training was an issue where some staff were trained up to six weeks prior to implementation. This meant that they were not able to retain the information learned for the length of time between their training and implementation. The project did provide quizzes and revision exercises for staff, and they had the ability to re-do the CBT at their desks, however specific time was not allocated for staff to complete these activities and due to other commitments they were unable to.

#### **Lessons Learnt**

For future implementations the timeframe between training and implementation should be minimised. Also time should be allocated to staff to allow them to revise their training with no other interference.

#### **3.3.6 Business Process Post Implementation Support**

Business process support was provided by Helpline and project team Business Analysts. This was not as successful as anticipated. Helpline had resource issues and was also providing business support for the Working New Zealand changes. They also opted to

complete the training in their own time and for some Helpline staff this was not done in a timely manner or extensively enough.

**Lessons Learnt**

Helpline staff should complete the training early within the training window and more time should be spent with Helpline staff to ensure that they have a good understanding of the system and processes involved prior to implementation. Helpline staff should also be allocated time to refresh their training on a regular basis.

**3.4 Project Phases**

The Project used an iterative software development methodology. This was a tailored Rational Unified Process (RUP) methodology that draws on the Software Engineering Institute's 'Evolutionary Process for Integrating COTS-Based Systems' (EPIC) and MSD's existing development procedures and artefacts<sup>8</sup>.

Following is a summary of the status of each phase at its completion:

**3.4.1 Inception Phase**

Objective	Achieved/Not achieved
Confirm the scope (functionality) that will be delivered by the project.	<b>Achieved</b> Vision 1a document was outlined.
Establish the project and an acceptable timeframe for delivering CMS Phase 1a.	<b>Achieved</b> Project Management Plan was baselined. High level schedule was outlined and a draft timeline for the Elaboration Phase was baselined.
Establish an engagement model with vendors who will be working with MSD to deliver this solution.	<b>Achieved</b> Statements of Work were agreed with both HP and Cúram.

**3.4.2 Elaboration Phase**

Objective	Achieved/Not achieved
Confirm that the vision for CMS is stable and realistic.	<b>Achieved</b> Baselined: Vision 1a document, Use Case Model, Supplementary Specification, and Glossary.
Confirm that the architecture is correct and stable.	<b>Achieved</b> Baselined Software Architecture Document (SAD).
Demonstrate that the major risks associated with development have been addressed and mitigated.	<b>Achieved</b> Risks reviewed and the Risk Register rebaselined with all major risks addressed and/or resolved.

<sup>8</sup> See CMS Development Case (Document ID: A2067468)

Objective	Achieved/Not achieved
Complete planning for the remaining phases of the project including fixed costs for Construction and Transition Phases.	<p><b>Achieved</b></p> <p>Timelines for Construction outlined.</p> <p>Received a Statement of Work from HP that covered the two remaining phases of the project – Construction and Transition Phases, complete with costing and resources required.</p>

- Major solution design risks were either mitigated or downgraded.
- Service Plans functionality was not originally part of Phase 1a delivery for July, but was included in the scope following BSG request to provide a better business experience. As a consequence the project's deployment date for Phase 1a moved from end July 07 to end August 07.

**3.4.3 Construction Phase**

Objective	Achieved/Not achieved
Minimising development costs by optimizing resources and avoiding unnecessary scrap and rework.	<p><b>Achieved</b></p> <p>Previous prototypes were reused where possible.</p>
Achieving adequate quality as rapidly as practical.	<p><b>Partially achieved</b></p> <p>Following build review some improvements can be made during Phase 1b.</p>
Achieving useful versions (alpha, beta, and other test releases) as rapidly as practical.	<p><b>Achieved</b></p> <p>Software Product integrated on the adequate platforms.</p> <p>All major risks addressed and/or resolved, and ready for user acceptance testing.</p>
Completing the analysis, design, development and testing of all required functionality.	<p><b>Achieved</b></p> <p>Use Case Model was completed during the early Construction iterations.</p> <p>Supplementary Specification was baselined early in the Construction Phase.</p> <p>The Software Architecture Document (SAD) was updated and a new baseline issued.</p>
To iteratively and incrementally develop a complete product that is ready to transition to its user community. This implies describing the remaining use cases and other requirements, fleshing out the design, completing the implementation, and testing the software.	<p><b>Achieved</b></p>

Objective	Achieved/Not achieved
To decide if the software, the sites, and the users are all ready for the application to be deployed.	<b>Achieved</b>

**3.4.4 Transition Phase**

Objective	Achieved/Not achieved
Plan Deployment	<b>Achieved</b> A comprehensive Deployment Plan was developed and signed off after extensive consultation with key stakeholders.
Fix Defects in Components	<b>Achieved</b> The first deployment occurred with some defects outstanding, however these were addressed in later releases.
Develop remaining components	<b>Achieved</b>
Integrate and Test	<b>Achieved</b>
Manage Acceptance Test	<b>Achieved</b>
Create Product to release	<b>Achieved</b> CMS went Live on 30 August 2007 to Bay of Plenty Region and all Work and Income Contact Centres. Remaining deployments occurred on schedule and were completed 29 November 2007.
Close out Phase 1a	<b>Achieved</b> Post Implementation Review conducted with Operations Managers. Project Closure Report produced.

**3.5 Project Management**

Disciplines	Description
Integration Management	<p>Project Plan Development was successful to a point. The use of RUP for the first time resulted in detailed timelines becoming redundant within weeks of their creation. Milestone management was a much more stable approach.</p> <p>Statement of Work (SOW) development with detailed planning and deliverable definition was completed in the early phases but was later transitioned to a Time and Materials basis.</p> <p>Project Plan Execution at a milestone level worked well.</p>



Disciplines	Description
	Integrated Change Control was loose early in the Construction cycle but was firmed up significantly as processes and the use of change tools became better understood.
Scope Management	Scope changes were well controlled. Where any change was required approval was sought from the BSG. Only one Variation Request was required to accommodate a BSG approved/requested change.
Time Management	<p>Timeline management was problematic particularly during the Elaboration Phase. RUP allows for progressive change as a component of the process so detailed timelines were regularly out of date within a short timeframe.</p> <p>Key milestone dates were determined to be a better method of tracking progress. BSG reports were adapted to include a milestone view on a fortnightly basis.</p>
Cost Management	Project budget management was a complex process. The project adopted a new financial reporting model using the Time Management system via Finance, and this had a large number of teething issues that required and still require close management to ensure true cost allocations. In spite of this the project managed well within the budget allocated and this resulted in operating surpluses available to fund future phase business case development and Cúram training for BAU staff.
Quality Management	Independent Quality Assurance was engaged at the outset of the project and continues to monitor progress of the project. All key project reporting documentation was referred to the IQA partner and their reports indicate that all IT standards and processes have been followed.
Human Resources Management	The project started with a fixed number of internal resource and got good support for additional Business Analyst resource as required. However, technical design and developer resource were difficult to attain internally and the need was met through either vendor or contracted resources.
Communications Management	<p>Early on the project developed a comprehensive communications and change management plan and this formed the base plan that guided the project through the communications cycle. Internal reporting to all internal stakeholders was well structured and regular to:</p> <ul style="list-style-type: none"> <li>• Business Steering Group</li> <li>• Technical Advisory Group</li> <li>• Business Advisory Group</li> </ul>
Risk and Issues Management	Risk management was generally well managed and run. Early on the project found it had far too many and too detailed risks to monitor adequately and so tended to place most management emphasis on the medium and high priority areas. Logs were well kept tracking both risks and issues and mitigation strategies were built into the planned work approach. Contingency funds were not required.

Disciplines	Description
	Residual risks from Phase 1a where appropriate will carry across into Phase 1b as part of the risk register for management during that phase.
Procurement Management	RFI and RFP processes were completed for the software purchase prior to embarking on the project. However a separate process was run to select an IQA partner and this followed the standards for this process. The project also procured a number of smaller services from a number of different contracted agencies that did not require the RFI and RFP process but did follow internal standards for contracted engagement.

### 3.6 Project Governance

Disciplines	Description
IT Governance Controls	The project followed all IT Governance procedures as well as RUP driven procedures for process management and documentation. However, given the status of the attendees at the BSG this forum was used for approvals rather than the ITGC forum.
Operation of the Business Steering Group	The BSG on this project was extremely effective and the project received excellent support and engagement from the group as well as decision making on key issues.
Programme Directors	The Programme Directors provided joint management combining Work and Income and IT.
Role of IT Governance Committee	The attendees of the BSG were sufficient to gain approvals to all necessary documentation required for the project.

## 4 Recommendations

It is recommended that the Business Steering Group:

1. note that the objectives of the CMS Phase 1a project were achieved
2. note the successes and lessons learnt are included in this document
3. approve the formal closure of the CMS Phase 1a project.

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**Appendix A:**

**Consultation Details**

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**Consultation Details**

Who consulted	Role	Nature of Consultation
Business Advisory Group	Project steering group	Agree and approve
Project team	Deliverables implementation	Review and agree

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**Appendix B:**

**Deliverable Reconciliation**

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## Deliverable Reconciliation of CMS Phase 1A

Del. #	Deliverable Name	Target Date	Actual Date	Status	Comment
	<b>End of phase Inception</b>	<b>17/11/06</b>	<b>27/11/06</b>	Complete	
01	1A Vision document			Complete	
02	Project management Plan			Complete	
03	Statements of work			Complete	
	<b>End of phase Elaboration</b>	<b>30/03/07</b>	<b>30/03/07</b>	Complete	
04	Baselined Vision, Use case model			Complete	
05	Baselined Software Architecture document			Complete	
06	Statements of work for construction			Complete	
07	Baselined risk register			Complete	
	<b>End of phase Construction</b>	<b>30/08/07</b>	<b>30/08/07</b>	Complete	
08	Updated software architecture document			Complete	
09	Software integrated into platforms			Complete	
10	Training materials completed			Complete	
	<b>End of phase Transition</b>	<b>28/11/07</b>	<b>28/11/07</b>	Complete	
11	Training deployed			Complete	
12	Go live request agreed			Complete	
13	Software tested and pilot deployed			Complete	
14	Package fully deployed			Complete	

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**Appendix C:**

**Final Financial Report**

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**November Financial Report**

CMS Phase 1A completion

*Project Summary*

DETAILS (\$ '000)	MONTH				PROJECT TO DATE				TOTAL PROJECT				
	Act	Bud	Var	Var %	Act	Bud	Var	Var %	To Go	Fcst	Bud	Var	Var %

REPORT TOTAL

810	1,079	269	25%	20,734	90,993	169	1%	23,638	54,372	54,372	0	0%
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**Notes**

**General:**  
 1. The budget was revised on 9 November 2007 and this report shows the revised budget.

Prepared by:

Approved by:

Project Accountant

Project Manager







MINISTRY OF  
SOCIAL DEVELOPMENT  
*Te Manatū Whakahiato Ora*

**Project Closure Report  
for  
Client Management Solution (CMS) Project  
Phase 1B**

**Author:** 9(2)(a)

**Version:** 1.1

### Sign Off Sheet

This form records the approval and acceptance of the following document.

Document Name	Version	File Location
CMS-Phase 1B-Project Closure Report	1.1	Filename: CMS- Phase 1B - Project Closure Report.doc Objective ID: A4274437

The following signatures indicate approval and acceptance of the above document.

Name	Role	Signature/Date
Patricia Reade	Business Owner DCE Work and Income	_____ / ____ / ____
Graeme Carruthers	DCE People Capability and Resources	_____ / ____ / ____
David Habershon	Chief Information Officer	_____ / ____ / ____
Barry Fisk	Director of Information Strategy Work and Income	_____ / ____ / ____
s 9(2)(a)		_____ / ____ / ____
		_____ / ____ / ____
		_____ / ____ / ____

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### Compilation and Distribution Summary

Programme Manager:	s 9(2)(a)
Project Facilitator:	

Version	Date	Author	Distributed to	Comments/Feedback
0.1	27/05/09	R. Non	s 9(2)(a)	Review and feedback
0.2	02/06/09	R. Non	D. Habershon	Review and feedback
0.3	02/07/09	R. Non	Signatories	Review before formal sign-off
1.0	07/07/09	R. Non	Signatories	Sign Off
1.1	14/07/09	R. Non	Signatories	Changed sign off from C. Stevenson to G. Carruthers

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## Executive Summary

The purpose of this document is to obtain approval to formally close the CMS Phase 1B project based on a demonstration that the project objectives have been met.

The Ministry of Social Development (MSD) obtained approval in August 2006 to:

- implement the Cúram platform
- address the need for improved client service-delivery support, as well as meet the Government's objective of assisting clients in their communities with a work-first approach.

The project was divided into two phases. Phase 1A of the Client Management Solution was to integrate Cúram into the Ministry of Social Development infrastructure and establish core functionality. This was successfully implemented to all Work and Income staff with the final deployment occurring on 30 November 2007 and was on time and on budget.

### Scope of Phase 1B

CMS Phase 1A went a long way in terms of completing the scope of the whole of Phase 1. The only major scope item outstanding after Phase 1A was to implement 'eligibility to employment and training programmes'. As a result, the vision document for CMS Phase 1B was extended to cover a scope that was more than what was originally planned for Phase 1. Therefore, Phase 1B (and the whole of CMS Phase 1) delivered more than what was covered by the business case for CMS.

### Project Profile

CMS Phase 1B is a large and complex project with a budget of \$23M and had a large number of complex integrations with the Ministry's core systems. It was a multi-vendor effort (amongst HP, Fronde, StaffCV and internal MSD development resources) where the level of staff resources was typically at around 60 and had a peak of 90 staff. For a variety of reasons, the project had a 'big bang' deployment compared to the a progressive deployment model that was successfully used for its predecessor CMS Phase 1A.

### Outcome

The project was delivered within budget with minimal slippage in the schedule.

The overall scope delivered for the whole of CMS was more than the scope as defined in the CMS Final Business Case, but this was completed at no additional cost to the Ministry. Compared to Phase 1A, CMS Phase 1B had a greater scope and complexity. The business requirements had a broader coverage and had a larger impact to the staff in terms of streamlining their processes thereby offering more value.

CMS Phase 1B as a whole was better delivered and better received by the end users compared to CMS Phase 1A which on its own was also a successful project. However, 1B learned from the lessons of 1A and improvements were made in the delivery of 1B.

Despite the high risks involved with the big bang delivery into production, there was a smooth deployment into production. The training was very effective and the production of the CMS workbook was a huge help.

Despite the size and complexity of the project there had been a low number of production defects.

### Strategic Positioning

CMS supports the long term goals of both Work and Income, and of the Ministry from the viewpoint that CMS has provided the Ministry with the starting point to continue to build on. CMS will be used for further deliveries and can be used as the launching pad for decommissioning the other heritage applications. Strategically, the Ministry is in a good spot as the Ministry starts to embark on using other modules of Cúram that we can add business value with.

### Financials

CMS as a whole (Phases 1A and 1B) was delivered within the original budget of \$54.372M. The Phase 1B project (and consequently the whole of Phase 1) has been closed financially as at 31<sup>st</sup> December 2008.

#### **Successes and Lessons Learnt**

A separate section of this closure document provides a summary of the key factors that led to the success of the project as well as the areas that can be improved for future projects. These successes and lessons learnt are further detailed in the Post Implementation Review document.

#### **Recommendations**

It is recommended that the Business Steering Group:

1. **Note** that the objectives of the CMS Phase 1b project were achieved
2. **Note** that strategically the Ministry is in a good position to use CMS for future business add deliveries and/or legacy transformation
3. **Note** the successes and lessons learnt are summarised in this document and detailed in the Post Implementation Review document.
4. **Approve** the formal closure of the CMS Phase 1b project.
5. **Approve** the formal closure of the full CMS Phase 1 project.

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# 1 Introduction

## 1.1 Document Purpose

The purpose of this document is to:

- Obtain approval to formally close the CMS Phase 1B project based on a demonstration that the project objectives have been met.
- Provide a summary of the Post Implementation Review document (EDRMS Ref A3834907).

Note that Phase 1B represents the completion of the whole of CMS Phase 1 which was the subject of the Cabinet Paper (EDRMS Ref: A2012464) and the \$54.372M budget.

## 1.2 Document Context

The Ministry of Social Development obtained approval in August 2006 to:

- implement the Cúram platform
- address the need for improved client service-delivery support, as well as meet the Government's objective of assisting clients in their communities with a work-first approach.

The project was divided into two phases. Phase 1A integrated Cúram into the Ministry's infrastructure and established core functionality. The project implemented the solution to 800 users in Contact Centres and to frontline staff in the Bay of Plenty region on August 30 2007 and completed its deployment to all Work and Income staff as proposed by 30 November 2007.

Phase 1B was targeted to complete in the latter part of 2008 and was designed to build on and expand the functionality delivered in Phase 1A around pre-assessment, and the interfaces with existing legacy systems. The main focus of Phase 1B was to enable the assessment of clients for various Work & Income Training and Employment Programmes and Services, and the use of these to provide content for client Service Plans in CMS, such as referrals to training courses and paid employment opportunities. As a result of these, existing CMS interfaces to legacy systems were enhanced to accommodate information sharing from the new CMS functionality areas. Options to improve the user experience and decrease the numbers of systems used for the client assessment process were assessed for inclusion in phase 1B of which some were implemented as part of the enhanced business process.

CMS Phase 1 is focused on the risks associated with the development of a system on the new platform (Cúram) and the implementation of basic system-wide functionality. Subsequent projects will be phased so as to minimise the risks associated with transitioning complex functionality and moving off the legacy systems.

CMS Phase 1B is part of the Client Management Programme Implementation described in the Final Business Case (EDRMS Reference A1980259) and described in the 1B Vision Document (EDRMS Reference A2895315).

## 2 Project Completion

### 2.1 CMS Phase 1 Project Objectives

The following objectives were established for the CMS Project. Note that these objectives relate to the whole project, both Phase 1A and 1B:

Objective	Comments
<b>Service Planning</b> <ul style="list-style-type: none"> <li>streamline the service planning process</li> <li>consistently offer appropriate services to meet client outcomes.</li> </ul>	<b>Achieved</b> This was largely achieved with Phase 1A and improved on by Phase 1B.
<b>System Improvements</b> <ul style="list-style-type: none"> <li>reduce the number of systems staff must use</li> <li>improve the navigation across systems</li> <li>reduce systems training requirements through Help, workflow etc</li> <li>introduce configurable management control functionality.</li> </ul>	<b>Achieved</b> DST was de-implemented as part of Phase 1A. This was largely achieved with Phase 1A and improved on by Phase 1B.
<b>Client Information</b> <ul style="list-style-type: none"> <li>provide consistent eligibility assessment regardless of access channel</li> <li>provide centralised view of products and services associated with a client</li> <li>streamline client information maintenance and updates.</li> </ul>	<b>Achieved</b> This was largely achieved with Phase 1A and improved on by Phase 1B. Consistent eligibility assessment across contact centres and service centres has been achieved. The foundation has been laid for progressing with other service channels (e.g., on line service channel) through separate projects. More can still be achieved with streamlining of the client information maintenance and updates when core client maintenance is eventually moved to CMS – which is out of scope for CMS Phase 1.
<b>System Integrity</b> <ul style="list-style-type: none"> <li>provide complete audit-ability and integrity of data</li> <li>supports the payment of correct entitlements.</li> </ul>	<b>Achieved</b> This was largely achieved with Phase 1A and improved on by Phase 1B.
<b>Management Information</b> <ul style="list-style-type: none"> <li>capture robust information for management purposes</li> <li>create dynamic caseload management to target initiatives to client groups.</li> </ul>	<b>Achieved</b> This was largely achieved with Phase 1A and improved on by Phase 1B.

### 2.2 CMS Project Phase 1b Scope Completion

CMS Phase 1A went a long way in terms of completing the scope of the whole of Phase 1. The only major scope item outstanding after Phase 1A was to implement 'eligibility to employment and training programmes'. As a result, the vision document for CMS Phase 1B was extended to cover a scope that was more than what was originally described in the Final Business Case for CMS Phase 1.

The additional requirements delivered are tabled below. Note that this increase in scope was delivered within the original budget, i.e., no additional funding was sought.



In Scope	Comments
<p><b>Client Assessment for Services &amp; Subsidies</b>, including capturing the assessment and eligibility outcomes, and spanning both products (e.g. training services) and subsidies such as Skills Investment (wage subsidies).</p>	
<p><b>Client Matching</b>, including matching a client with services for which they are eligible, selecting a client set (e.g. in case load) and matching the group with suitable services, or finding clients who match a specific selected opportunity.</p>	<p>If client achieved eligibility rules for services, not "matching" as such.</p>
<p><b>Refer Client to Training, including TEC and Contracted Services Opportunities</b>. This entails the creation and resulting of referrals and monitoring client participation and completion of the opportunity. It also includes updates to the clients' Service Plans and alerting Case Managers of client progress.</p>	
<p><b>Refer Client to Paid Employment Opportunity</b>, including generating a referral for one or more clients to a specific paid employment opportunity, and resulting the referrals. It also includes updates to the clients' Service Plans and alerting Case Managers of client events.</p>	<p>Registration of interest from CMS integrated with JOBZ4U paid employment referrals.</p>
<p><b>Client Self Placement</b>, enabling the capture of role details when the client finds their own paid employment (not managed and referred by Work &amp; Income).</p>	
<p><b>Exit from Benefit</b>, specifically the steps of lapsing the client's enrolment, and ending/updating the Service Plan.</p>	<p><b>Achieved partially.</b> Service plan is not ended / updated.</p>
<p><b>Business Rules</b>, relating to client eligibility for services/subsidies, JSS reassessment, referrals to TEC and Contracted Services courses, usage of products such as Enterprise Allowance and Skills Investment (wage subsidy)</p>	<p><b>Achieved</b> – except for JSS Reassessment</p>
<p><b>Decommissioning SOLO components being migrated into CMS:</b></p> <ul style="list-style-type: none"> <li>• Work Plans (JSA, PDE, i-Plan and Action Plans)</li> <li>• Journals</li> <li>• Discussion</li> <li>• Need Categories and Employment Barriers</li> <li>• Structured (SGI) Questions</li> <li>• Assessment</li> </ul>	<p>Assessment – Need Categories &amp; Employment Barriers and Structured (SGI) Questions decommissioned</p> <p>Assessment – Discussion not decommissioned</p> <p>Journals not decommissioned</p> <p>Work Plans and Referrals read only</p> <p>Targeted Client Search decommissioned</p>

**2.3 Project Budget**

The CMS Phase 1 project has been closed off as a project at the end of December 2008. The budget status as at 31<sup>st</sup> December 2008 pending other charges for January 2009 is provided below.

	Budget	Approved Budget via PVRs	Actual Expenditure

Phase 1B	\$23.0m	No PVR's raised	\$23.8m
Whole of Phase 1	\$54.372m	PVR's met within budget	\$53.423

Pending confirmation from Finance, Phase 1B appears to have been slightly over its budget, but the whole of CMS Phase 1 was delivered under budget. Considering that the overall project scope that has been successfully delivered is larger than the scope described in the CMS final business case, the final financial position for CMS is excellent.

The December 2009 Financial report is in the Post Implementation Review document.

## 2.4 Project Schedule

The plan as originally presented to the Business Steering Group was for a "big bang" implementation date of end of September 2008. The BSG Meeting of the 24<sup>th</sup> of July 2008<sup>1</sup> discussed the available options at the time with respect to a revised delivery date, where it was agreed to go with a 3<sup>rd</sup> of November implementation date subject to a final decision being made by BSG on the 15<sup>th</sup> of August.

The project went live on the 3<sup>rd</sup> of November 2008, and a patch release was delivered soon after to address any high priority defects.

All development for 1B was completed in December 2008, and the project was closed off at the end of December 2008.

## 2.5 Project Handover

### 2.5.1 Production Handover

As with Phase 1A, the Project engaged a Deployment Manager to manage the system into production. Due to the larger number of integration points in 1B compared to 1A, the deployment was far more complex. Release plans were more complex and needed extra level of details that were not seen in 1A.

Key staff members from areas that will be supporting the system were involved either with the development of the solution or the production deployment or both. Support of Phase 1B will be owned and managed by the Ministry's IT Applications group.

This process of deploying to production was well managed and was completed very successfully with a relatively small number of calls for support. However, there are lessons learned in the wider area of environment management and deployment that future projects need to take heed of.

### 2.5.2 Project Artefacts Handover

Some of the project artefacts produced in Phase 1A was used in Phase 1B (e.g., Metrics Programme, Development Case). Some new artefacts were produced specifically for Phase 1B. All project artefacts have now been completed including technical "as built" documents and have been handed over to the appropriate stakeholders.

<sup>1</sup> Refer to BSG Minutes, EDRMS Reference A3635785.

### 3 Project Review

#### 3.1 Approach

An End of Phase Report was completed for the Elaboration<sup>2</sup> phase. The findings of the end of phase report along with review reports from other groups (e.g., Test Exit Report) were incorporated in the Post Implementation Review document which also served as the End of Phase report for Construction and Transition.

In addition, interviews were conducted with representatives from the different groups involved in the project. This was followed up with a meeting with all those representatives where the combined feedback from the individual meetings was presented.

Comments were also sought from key members of the Business Steering Group.

The Post Implementation Review document has more details of the feedback received from the reviews. The following is a summary of the key comments made.

#### 3.2 Project Profile

- CMS Phase 1B is a large and complex project.
- Budget of \$23M.
- Larger number and more complex integrations than Phase 1A, including core systems UCVII, SOLO and Jobz4U (which incidentally also had a major release in the same timeframe).
- Staff resources of often around 60 and peak of 90.
- Multi-vendor effort (HP, Fronde, StaffCV and internal MSD development resources)
- 'Big bang' deployment compared to progressive deployment approach in Phase 1A.

#### 3.3 Outcome

The project was delivered within budget with minimal slippage in the schedule. The implementation date ended up being the original proposed delivery date by the project team. However the project team was requested to aim for an earlier implementation date.

The overall scope delivered for the whole of CMS was more than the scope as defined in the CMS Final Business Case, but this was completed at no additional cost to the Ministry. Compared to Phase 1A, CMS Phase 1B had a greater scope and complexity. The business requirements had a broader coverage and had a larger impact to the staff in terms of streamlining their processes thereby offering more value.

CMS Phase 1B as a whole was better delivered and better received by the end users compared to CMS Phase 1A which on its own was also a successful project. However, 1B learned from the lessons of 1A and improvements were made in the delivery of 1B.

Despite the high risks involved with the big bang delivery into production, there was a smooth deployment into production. The training was very effective and the production of the CMS workbook was a huge help.

Despite the size and complexity of the project there had been a low number of production defects.

<sup>2</sup> EDRMS Reference: A3426624

### 3.4 Feedback

#### 3.4.1 Business and Staff Impact

1. CMS Phase 1B (and CMS Phase 1 as a whole) has a positive business impact. It has streamlined part of the processes used by front line staff and reduced the number of applications that staff have to access, which would have contributed to staff efficiencies.
2. CMS Phase 1A was a useful beginning but there was some perceived level of frustration from staff that Phase 1A did not go far enough. Phase 1B was well received by the staff. It delivers real value in terms of supporting them in their jobs.
3. There was a definite improvement in training, change management and the production of the CMS 1B Workbook helped.
4. Despite being a "big bang" rollout at a busy time of the year, the rollout has gone very smoothly.
5. Hard to quantify at this stage what the overall impact is of Phase 1B and Phase 1 as a whole, until the formal survey and benefit realisation processes are completed in the latter part of 2009. However, there has been very little negative response received which suggests that Phase 1B has been well received by the users.
6. Timing of the release has been extraordinary considering the increased workload proportionate with the rise in unemployment brought about by the current economic situation (though this was not part of the original conditions / constraints considered when the project plan was made). Allowed the Ministry to handle the increase in workload.

#### 3.4.2 Strategic Positioning

1. CMS supports the long term goals of both Work and Income, and of the Ministry from the viewpoint that CMS has provided the Ministry with the starting point to continue to build on. How it is achieved architecturally remains to be seen at this point, but CMS will be used for further deliveries.
2. Strategically, the Ministry is in a good spot as the Ministry starts to embark on using other modules of Cúram that we can add business value with. The Ministry would not be contemplating on embarking on some of the other projects had it not been for the successful completion of CMS Phases 1A & 1B.
  - a. Reasonably happy with the reduction of the systems staff have to use for the business processes covered by CMS
  - b. Job's not complete yet from a Work and Income perspective
  - c. Pleased with the other opportunities that are now visible and available – e.g., payment card, collaboration suite
3. CMS can be used as the launching pad for decommissioning the other heritage applications.

#### 3.4.3 Value for Money

1. Considering that CMS Phase 1 is the starting point of a long term programme of work towards building for the Ministry's future, it is difficult to measure its effectiveness purely in terms of typical value for money assessment. As yet, our implementation has not allowed us to switch off legacy systems (apart from Decision Support Tool) and so far it has not given the Ministry substantial savings. However we are positioned well for implementing business requirements away from our legacy applications in future.
2. With a total budget of (\$54.372m) CMS may appear to be quite an expensive investment. Note however that this is largely because of the costs of the Cúram software and the licenses which comprise an investment for the future. 1A & 1B development costs are not high. Compared to SOLO development costs when it

was released to production which was apparently \$30M, CMS development costs appear to be reasonable. Considering that relief for staff has already occurred (and we continue to harness the benefits of CMS), then it is a good investment.

3. There is an implied deferred payback for the investment as the Ministry roll out further functionality.

#### **3.4.4 Complexity of Integration**

With numerous legacy applications involved in the delivery of the functionality for CMS 1B, the project had to deal with multiple vendors in the development process. The complexity of the integration and the need for multiple vendors also contributed to the complexity of the testing.

These factors directly contributed to the amount of time required for successful delivery as well as the ability of the Ministry to accurately estimate the development effort.

The Ministry needs to be able to better plan and assess testing time required if it is impossible to avoid large complex projects such as 1B.

On the positive side, the vendors involved with 1B have all worked hard and have worked well together towards achieving a successful delivery. This is both a tribute to the vendors and to the Ministry's effective management of these vendors.

#### **3.4.5 For future consideration**

IT needs to be more effective at managing scope and business requirements. This links into leveraging Curam out of the box functionality as much as possible in order to reduce customisation.

Focus on business problems and shift the thinking away from how legacy applications have to be modified.

### **3.5 Deployment and Implementation Model**

Any decision to progress with a "big bang" delivery into production is always fraught with risks. However, given that the requirements were generally well-understood and the technical complexity of the integration required, a phased implementation into production would have had less risks but would have cost more and would have taken longer. Given the desire by the business to deliver 1B before the end of the year, a calculated risk to progress with a 'big bang' delivery was taken with 1B. This risk was constantly monitored throughout the project.

### **3.6 Lessons Learnt from 1A**

Documented lessons learnt from the project closure report of CMS Phase 1A were taken into account as part of the CMS Phase 1B delivery planning. As a consequence the lessons learnt were either fully addressed as part of Phase 1B, or there was an improvement in Phase 1B compared to Phase 1A.

The one exception is in the area of developing a negotiating model that recognises the challenges of engaging with a vendor / service provider in an iterative development environment. This was not addressed largely due to the existing arrangements (e.g., HP, Fronde and StaffCV) with respect to business as usual projects.

#### **Recommendation**

It is still worth recommending that the Ministry should develop an arrangement to cover iterative development projects that it could use when the opportunity arises. This will cover the Ministry's view of how such an arrangement will work that has been properly reviewed by the Ministry's legal department. This will at least reduce the time required to finalise such an arrangement with a vendor when the opportunity arises.

### 3.7 Project Methodology

The Project used an iterative software development methodology. This was a tailored Rational Unified Process (RUP) methodology that draws on the Software Engineering Institute's 'Evolutionary Process for Integrating COTS-Based Systems' (EPIC) and MSD's existing development procedures and artefacts<sup>3</sup>.

The project generally achieved all of the objectives of each of the phases of the selected methodology. However given that the project became a waterfall delivery, the project failed in its original intent to deliver iteratively to UAT (User Acceptance Testing).

### 3.8 Project Management

The project was well managed. The project management team was composed of representatives from key groups involved in the delivery of the solution. The following are comments on the project management disciplines.

Disciplines	Comments
Integration Management	Project Plan Development was successful to a point. The combined development schedule showing all interdependencies across all vendors (including MSD groups) took a lot longer than expected, but worked well when the detailed 'integration schedule' was eventually produced.
Scope Management	Scope changes were well controlled. Where any change was required approval was sought from the BSG. No Variation Request was required for Phase 1B.
Time Management	Timeline management was challenging until the integration schedule was produced.
Cost Management	As with Phase 1A, project budget management was a complex process.
Quality Management	Independent Quality Assurance was engaged at the outset of Phase 1A and they have continued to monitor progress of the project.
Human Resources Management	The project started with a fixed number of internal resources and got good support for additional Business Analyst resource as required. Technical design and developer resources were difficult to obtain internally and the need was met through either vendor or contracted resources.
Communications Management	Early on the project developed a comprehensive communications and change management plan and this formed the base plan that guided the project through the communications cycle.
Risk and Issues Management	Risk management was generally well managed and run.
Procurement Management	The project did not have to procure additional services or products outside of business as usual.
Change Management	Successful implementation of the Change Management strategy meant a smooth transition, assurance that staff were willing and able to adopt the new processes and technology and the business benefits from the investment in CMS were realised.
Training	A CMS Training Team was established to provide a training package (workbook) for Work and Income staff to ensure that they will be

<sup>3</sup> See CMS Development Case (Document ID: A2067468)

Disciplines	Comments
	<p>competent in the use of CMS by the time CMS was implemented.</p> <p>Training was provided to all staff who work with Working Age Clients, along with staff in Service Centres<sup>4</sup>, Contact Centres, Regional Offices and National Office.</p>

### 3.9 Project Governance

The project followed all IT Governance procedures as well as RUP driven procedures for process management and documentation. However, given the status of the attendees at the BSG this forum was used for approvals rather than the ITGC forum.

The BSG on this project was extremely effective and the project received excellent support and engagement from the group as well as decision making on key issues.

The Programme Directors provided joint management combining Work and Income and IT.

### 3.10 Lessons Learned

#### 3.10.1 Positives

The following factors had a positive impact to the success of the project.

1. **Strong Leadership**  
The project had a very supportive and well engaged BSG. This was further aided by the balance provided by the Project Directors.
2. **Good project management team**  
The project was well managed and, although the management team was quite big at the peak of the project, everyone in the team brought something to the table that aided decision making and sound planning.
3. **Collaborative effort**  
It was a good collaborative effort by a team of experts. Every group in the project knew what was expected of them and each group delivered.
4. **Co-location**  
This was carried over from Phase 1A and the value of co-location was further validated by the experience in Phase 1B even though co-location was not achieved for everyone.
5. **Stable Business Requirements & Effective business change management**  
The vision document was completed early and the business requirements documentation that followed were all completed using an improved process, were of a high quality and were in sync with the vision document. The requirements were stable and changes were governed by an effective business change management process.
6. **Early involvement of UAT**  
As with Phase 1A, early involvement of UAT in the project resulted in a smooth transition through the testing phases.
7. **Deployment Resource**  
As with 1A, having a full time deployment resource dedicated to the project helped immensely in managing the releases into the different environments used by the project particularly during the testing phase.
8. **Stand up meetings**  
When the detailed integration plan and release plans became available, stand up meetings assisted in the smooth execution of the deliverables as the various groups were aware of all the issues, dependencies and any deviations.

<sup>4</sup> Including Service Centre Managers, Assistance Service Centre Managers, Work Brokers, Programme Co-ordinators and Employment Co-ordinators.

9. Service Centre Managers and Operations Managers were better engaged
10. A good relationship existed with key areas within the Ministry who played a pivotal role in developing the solution including Infrastructure & Services, IT Applications and IT Customer Services.
11. An extremely high level of commitment was shown by members of both the core Project Team and by others who were involved in delivering the Project. These resources worked cohesively and cooperatively as a team and were solution focussed, often delivering to above expectations and frequently working extra time.
12. Compared to Phase 1A, this was a true multi-vendor effort. The vendors worked cooperatively well together.

### 3.10.2 Needs Improvement

The following factors need to be looked at by future projects as they were identified by the project team as something that can be improved on. No attempt was made by the project team to identify how these can be addressed.

1. **Financial Reporting**  
The financial reporting needs to be improved. There was some confusion with respect to the project's actual financial position. The magnitude of the project probably warranted the project to have its own finance person (not necessarily full time).
2. **Project deliverable was too big**  
Future projects need to promote and adhere to one of the phasing principles adopted for the CMS programme – delivery of small and manageable chunks at regular intervals into production.
3. **Balance between 'Out of the Box' vs Customisations**  
The accepted position of the Ministry is to use as much of 'out of the box' functionality as possible primarily for 2 reasons – (1) Less customisations, which typically equate to lesser costs and development time, and (2) better protects the investment made in the Cúram product. Project teams need to buy in to this position, by actively promoting it as early as the requirements gathering phase. The project team needs to be supported in promoting and adhering to this position.  
NB The Ministry has now created a Cúram Architecture Group that can set the overall architecture direction of Cúram -based projects.
4. **Disruption on various attempts at re-planning scope and contingency plan**  
Despite having covered re-planning scope and investigating contingency plans earlier in the life of the project, for various reasons these were revisited more than once during construction and transition. There may have been value at revisiting the earlier decisions, particularly as the project had a very tight timeframe, but the exercise took out a few key people at important points during the project.
5. **Improve low level planning**  
Given the complexity of the project particularly in the multiple integration points, the team needed to improve its low level planning. Although low level plans were produced when needed, it would have benefited the project even more had they been produced much earlier.
6. **Complexity of the Service Contracts**  
It is generally accepted that the service contracts are complex. A design review may shed light on whether there are better alternatives.
7. **Specialised Team / Resources for Data Migration Testing**  
A project of this size should consider having a specialised team or resources dedicated to looking after data migration testing.



8. **Management of the BAU Team**

Some of the development changes were managed externally from the project as BAU changes. This became an issue with respect to meeting deadlines, a feeling of being managed by the vendor (instead of being managed by MSD), and a feeling of separation from the main project team. Project teams should consider having all groups involved in the delivery of the project to be managed from within the project team.
9. **Staff churn was high**

There were a lot of staff changes even at the senior positions of the project. It is to the team's credit that the team managed to rise above those changes but project teams should guard against a high staff churn. When they do happen, the transition should be handled well.

Staff churn at the worker level resulted in too many junior developers being left on their own, and in some cases an obvious lack of continuity as similar questions / clarifications are being made by various people at different times.
10. **Co-location was not fully achieved**

As much as co-location was a strength of Phase 1A and 1B, co-location was not fully achieved. Admittedly this may not necessarily be achievable in most cases, but as much co-location as possible should be sought.
11. **Management of the Environment**

Although there was an improvement in the management of the environments, there is still plenty of room for improvement in this area. Consistency, predictability and ownership are the common themes that came out in the interviews. The state of the systems also needs to be looked at, e.g., IAP is not kept in sync in a similar fashion to the production environment.
12. **Methodology**

There was an improvement in the iterative planning from Phase 1A to Phase 1B, but like Phase 1A, the project still ended up as a waterfall delivery for completely different reasons.

## 4 Recommendations

It is recommended that the Business Steering Group:

1. **Note** that the objectives of the CMS Phase 1b project were achieved
2. **Note** that strategically the Ministry is in a good position to use CMS for future business add deliveries and/or legacy transformation
3. **Note** the successes and lessons learnt are summarised in this document and detailed in the Post Implementation Review document.
4. **Approve** the formal closure of the CMS Phase 1b project.
5. **Approve** the formal closure of the full CMS Phase 1 project.

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