



Florida PALM Project
IV&V Assessment Report – April 2021
Deliverable IVV2.2

Presented by:

Information Services Group Public Sector

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1 IV&V Monthly Assessment

1.1 Executive Summary

April 2021

Overall, the Project continues to be assessed in a green status when measured against standardized project management criteria contained in Section 2.3 of this report.

IV&V continues to assess the Project to be in a yellow status in one area: Project Time Management. A rating of yellow indicates a challenge that could, if left unmanaged, negatively impact the Project's outcome in terms of schedule, cost, or quality. The Project Team should prioritize actions to mitigate or resolve the causes.

The yellow rating is due to multiple factors including inherent risk in the overall phased/Wave approach as well as specific schedule risks and issues logged by the Project, all of which are described further in Sections 2.1 Project Risks and 2.2 Project Issues of this report.

The yellow status is calculated and specifically reflected by the scores that appear in Section 2.3 IV&V Detailed Assessment Scorecard, Project Areas: General Project Management page 20, Time Management page 22, and Scope Management page 24.

As reported previously, activities in support of the July 2021 implementation of the CMS Wave are underway in parallel with activities for Central Wave, Payroll Wave, Departmental Wave, and production-support and user-support operations. IV&V monitors and assesses working dynamics, throughput and quality of deliverables and work products according to schedule, and team morale as complexity and workloads increase dramatically. Additionally, IV&V assesses interactions between the Project and state agencies, enterprise partners, and third-party partners.

IV&V continues to closely examine the contributing factors affecting detailed scoring and project area ratings to determine where the Project has adopted or should adopt compensating measures to reduce risk and avoid issues. This includes actions within the Project organization, the Department of Financial Services (DFS), the Executive Steering Committee, and agencies statewide. Key indicators include, project deadlines, quality standards, staff morale and turnovers, agency participation and feedback.

The Project completed multiple key objectives during April, including successful completion of interface and Integration Testing, completion of User Acceptance Testing (UAT), and start of pre-cutover activities including "Full Dress Rehearsal" of cutover for CMS Wave.

IV&V observed interface and integration testing and UAT activities completed in an organized manner and without disruption or major technical incidents. While some SIRs requiring resolution remain open, each has been triaged, assigned priority, and is included in plans to be resolved accordingly.

At the end of April, one CMS Wave issue (Issue 25) remained open:

- Issue 25 was logged in November to address the implementation of interfaces with DFS Treasury's new investment portfolio data provider as part of the CMS Wave.

During March, IV&V observed resolution of Issue 25 as behind schedule according to the original plan to be completed prior to the start of User Acceptance Testing (UAT). Progress continued to be made to resolve the single outstanding matter, which had been diagnosed and isolated. As of the end of April, working with the investment portfolio data provider, the repair was in place and testing was scheduled for early May as part of an updated resolution plan. The remaining open issue did not adversely affect UAT.

	Issue 25 affects IV&V assessment scoring in Section 2.3 IV&V Detailed Assessment Scorecard, Project Area: Capability Management beginning on page 35.
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Interface/Integration and UAT testing results are assessed below in the CMS Wave Testing Update section below.

Full Dress Rehearsal (FDR) is designed to exercise and test implementation of the cutover checklist under realistic conditions, over the course of several days, and involving resources from the project team and stakeholders from agency operations. The objectives of FDR are to test the completeness and sequencing of cutover activities, validate the roles and responsibilities assigned in the cutover checklist, test the actual data conversion and interface programs to be used to deliver the data necessary to launch the system, execute the steps under realistic operational conditions, determine the time needed for each step to confirm the actual schedule, and demonstrate expectations to all parties to be involved in the actual cutover scheduled for July.

IV&V observed that, until shortly before the week of FDR kickoff, the planning and communication of expectations for FDR relied almost exclusively on individuals familiarizing themselves with the draft version of the WP035 Cutover Checklist for CMS Wave. This was not ideal as the FDR exercise calls upon resources outside of the project team to execute certain data validation routines and process data for the first-time using Florida PALM, and work evening and weekend hours. As concerns were expressed, Accenture developed orientation materials and delivered a series of kickoff sessions prior to commencing with FDR activities. This was received well, and Department Division staff were able to prepare, participate, and contribute to FDR in meaningful ways.

By the end of April, the exercise was in progress and expected to complete on time by May 4. As of this report issuance, IV&V observed no indications that FDR would not complete successfully. FDR final results will be assessed in the next IV&V Monthly Assessment.

IV&V recommends the actual CMS Wave cutover (and future Wave FDRs) be preceded by a comprehensive read-through of the cutover checklist and its schedule with all participants to identify, clarify, and confirm mutual expectations and to examine resource assignments to identify back-ups in case of unexpected unavailability and/or needs for assistance occurring during critical periods. This increased preparedness will mitigate risks to the actual cutover process.

Update on Potential Risk

Last month IV&V reported the emergence of a potential Project Risk associated with Central Wave business process designs and chart of accounts approved as part of 2019-2020 project activities.

During April, IV&V observed leaders of DFS Divisions affirm their commitment to implementing the Florida PALM solution as designed. IV&V has seen no indications that the Project is considering a redesign effort at this time. These observations decrease the potential of risk to duration, scope of effort, and budget described in the previous assessment.

Overall

In summary, the Project continues to proactively manage production of many deliverables generally on schedule. The Project also provides agencies, partner system organizations, and third parties with information needed to assess impacts, understand timelines, and act. As of April, no insurmountable technical challenges have emerged that would affect the practicality of implementing Peoplesoft as designed for the Florida PALM solution.

Notwithstanding the challenges described above, IV&V has continued to observe regular contact and productive meetings wherein design details were identified, clarified, and confirmed. Project configuration and development activities have proceeded largely on schedule and, except for interface testing, results have been as expected for development items. IV&V has and continues to assess the organization, execution, and evaluation of technical execution and testing results.

The interactions with agencies, third parties, and other stakeholders have not generated objections to designs of functionality, chart of accounts transformation and data conversion, or the schedule for implementation.

In addition to validation of project activities and verification of work products, IV&V continues to observe agencies' and partner organizations' self-reported progress toward their own Florida PALM related design and development objectives. IV&V also observes the Project is working to obtain evidence to confirm actual agency status agrees with self-reported status in the Master Readiness Workplan. IV&V continues to assess the agency-produced status reports and Project OCM interactions to identify areas of potential risk to execution at agencies.

Agency Engagement Activities

Throughout April, the Project continued to effectively conduct touchpoint meetings by teleconference or video conference with organization representatives to manage activities contained in the Master Readiness Workplan (MRW).

Focus on preparedness for the CMS wave steadily increased during April. Agencies were asked to confirm or make final updates to their role-mapping for production, share training registration information to their user communities, and focus on preparing their Tier 0 support. Agencies submitted their internal Readiness Indicators Survey for the CMS Wave. A subset of agencies participated in UAT testing.

IV&V observed that while agencies appreciated accessing the system and gaining solution exposure, they were disappointed that the UAT experience was tightly scripted with data in place to support specific test scenarios and cases and did not facilitate random testing by participants. The primary purpose of UAT is not to be a loosely controlled learning exercise. It is typically a tightly scripted exercise to execute specific tests cases that prove requirements are met and the application functions as designed. A secondary objective is to include a broad range of end users to provide objective validation with an additional benefit of providing those users with first-hand experience in the new system.

Although UAT was not a formal workforce transition activity, agencies had anticipated that it might bridge the gap in lack of hands-on solution experience. The project should consider adding an opportunity outside of UAT to provide agency super users with additional hands-on solution experiences in which agencies can explore the new functionality and process unscripted transactions.

IV&V observed agencies considering how they would apply what they have learned through the CMS wave to future waves. One of these areas was the use of the project-supplied Change Impact tool and other resources such as the Role-mapping Handbook. While the Change Impact tool is available to the agencies for the Central Wave, the date for the release of the Role-mapping Handbook has been extended. This may affect the timing of agencies in developing fuller understanding of impacts to staff.

The Project released additional Florida PALM training in April. This training was available through the Learning Management System.

IV&V observed end user training for the CMS wave is scheduled for May. The project released most courses in the learning management system (LMS) in April. This training is available to agency users and can be accessed on demand with no role or number of execution limitations. In addition, the User Support page on the Florida PALM website contains links to training resources, such as the Training Curriculum and Role to Course matrix.

Florida PALM training focuses on how to perform business processes within the solution.

IV&V observed feedback from some agencies that their users could not perform their duties from the Florida PALM training alone. In addition, IV&V observed agencies express desire and commitment to helping their staff increase their readiness beyond training. However, the timing of their access to the Florida PALM training did not allow for agency-specific additions. The project may consider providing training to agency training liaisons and super users prior to training the end user community.

The Project continued to communicate with the Florida PALM community through multiple channels including Florida PALM website, the CCN, PALMcast and via the Florida PALM email account

In April, the Project communicated key areas of change to the community through released communications and agency touchpoints. The Project continued to add content to the User Support site to provide information for Tier 0 Support, PALM TECH (training) and other resources.

IV&V has observed agency desire to have additional resources for “connecting the dots” between Florida PALM and FLAIR. During April touchpoints, Readiness Coordinators (RCs) walked agency liaisons through the wave summary documents (i.e., CMS Wave Summary), which provided tables connecting Florida PALM and FLAIR processes, where applicable. IV&V observed concern from the agencies that Departmental wave end users may need more resources to bridge understanding.

Some Agencies Seek Details

On occasion, IV&V observes agencies expressing a desire for more detailed information on the changes to business processing and data structures presented by Florida PALM standardized process models and chart of accounts. This is despite the fact, as observed earlier, the State has set a very high standard in documenting and making accessible both of these foundational bodies of work.

Considering that somewhat contradictory situation, and following interactions with some of those seeking details, IV&V observes the requests commonly point to two type of details:

- 1. Data mapping from FLAIR chart of accounts values to Florida PALM chart of account values to agency-specific applications and databases, and*
- 2. Visual representations of the new system’s data entry screens and the sequence of steps and/or input fields and/or an online environment in which agency staff can explore those screens and the processing steps.*

In the first case, the analysis required to understand the implications of structural changes to data in the agency-based systems is something typically undertaken within the agency using the type of information now available. Yet, some appear to hold expectations that the Project team should be intimately involved with and possibly leading such analysis within agencies. This type of labor-intensive, widespread deployment of an ERP implementation project team is not typical. It is unclear whether the expectation is due to an inability to understand the FLAIR-to-PALM crosswalk and interface analyses provided by the Project or because the current FLAIR to legacy systems/databases relationship has been in place for so long that a loss of that institutional knowledge has occurred.

To help agencies overcome this type of challenge, IV&V recommends the Project devote some effort to providing additional guidance on the FLAIR-to-PALM transformation and plan to offer guidance on a limited basis to agencies who have questions about how the new data structures may be applied to agency-specific scenarios. To be clear, if the root cause of the inability to apply the FLAIR-to-PALM transformation information is that there is not an understanding of FLAIR legacy data, the Department should consider deploying A&A and OIT resources who are expert in FLAIR to help agencies close this gap. This type of activity would need to be closely controlled in terms of time and ground rules to avoid drawing vital project resources into protracted agency-based efforts and failing to meet expectations. In any event, the implementation will change the structure of chart of account data. It will not simply replace FLAIR data with Florida PALM data in a one-to-one relationship.

In the second case, it is common practice during ERP implementations to delay distribution of images of transaction processing screens and other functionality before end user training materials are final and training has occurred. This is because formats are subject to change as a result of testing and defect resolution and to prematurely publish screen images risks misinforming agencies.

In the near term, to help agencies better understand the information contained in the business process models, IV&V recommends the Project consider adding screen shots to the documented standard business process models and the training team record screen-based video demonstrations of some of the most sought-after processes and make these available via the project website. Any screen shots and demonstrations should be clearly marked “subject to change”. A longer-term mitigation would be to invest in an online “sandbox” environment accessible to agencies who wish to explore system navigation and some limited functionality. Sandbox environments do not typically contain comprehensive data and do not facilitate end-to-end processing. Pursuit of a sandbox environment would introduce unplanned effort and ongoing maintenance.

Through IV&V agency interviews and agency touchpoints, IV&V has observed that agencies view the Florida PALM website as a comprehensive source of project materials that represents a collective history of project work products, communications, and documentation. However, the volume of materials and periodic changes in organization present challenges for users to locate the latest and most pertinent materials applicable to their needs. The Project team should continue to highlight organizational and structural elements to direct agency users to materials that are most applicable to current and upcoming project activities.

CMS Wave Testing Update

With commencement of UAT, in addition to “Priority” (based on the impact the item causes to Project testing progress), the Project has implemented a secondary ranking for SIRs “Business Criticality”. Business Criticality is used to classify the impact specifically to business operations if the item is unresolved prior to implementation and persists in the production environment. These rankings will continue to be used for subsequent testing services and Waves.

Throughout this assessment, for simplified presentation SIRs qualifications are referred to using Priority: Highest/Critical (Business Criticality=1), High (Business Criticality=2), Medium (Business Criticality=3) or Low (Business criticality=4) priority. Project definitions of each are included in the tables below.

Priority represents SIR’s impact on completing testing. Business Critically represents the SIR’s business impact on operations if not fixed in the production environment. Priority and Business Criticality of open SIRs are assigned during the triage process based on the matrix below. Testing Service exit criteria for each testing service states that all Highest/Critical (Business criticality =1) and High Priority (Business Criticality=2) must be resolved prior to testing deliverable acceptance.

Level of Priority	Description
Highest/Critical	Severely impacts test progress and cannot continue testing until the SIR is fixed. Must be fixed immediately.
High	Significantly impacts test progress on the overall planning level. There are no acceptable workarounds and impacts multiple test scripts.

Medium	Moderately impacts test progress on the overall planning level. Testing can continue in many areas. Acceptable workarounds exist.
Low	Small or no impact on test progress. All tests, other than the one associated with the SIR, can be completed as planned.
Level of Business Criticality	Description
1	Total failure of Florida PALM or multiple business process areas within Florida PALM, and no work around available, resulting in a critical business impact.
2	Partial failure of multiple business process areas within Florida PALM, resulting in a major business impact. Workaround exists but is not sustainable.
3	No failure of a business process area within Florida PALM but impairs some functionality, resulting to a minor business impact. Workaround exists that is sustainable.
4	No impact to the business process areas within Florida PALM (e.g., spelling, cosmetic deficiency).

IV&V recommends documenting the validity or the absence of a mutually acceptable production workaround including a statement of business impact to better facilitate classification and provide incontrovertible support for Highest/Critical (Business Criticality=1) or High (Business Criticality=2) SIR classifications. Potential misclassification of SIR priority and business impact criticality increases the risk of a Critical or High Priority defect inadvertently being released to the production environment. Without proper documentation of workaround and business impact Project Leadership and IV&V are unable to readily and accurately assess and understand project impact of the SIR rankings without reaching out to the initiator and/or subject matter expert for each SIR.

Complete qualification and documentation of Priority and Business Criticality within the SIR provides Project decision makers with important and timely insights on testing efforts and the workload required to meet the exit criteria of each testing service and ultimately readiness for implementation. The Project has initiated more frequent SIR triage meetings and identified key staff to review and better manage the SIR documentation and qualification process to ensure quality documentation.

Accenture has introduced a new testing stage JIRA SIR category, “Other”. The Other Category is intended to track SIRs identified after a planned testing service has completed. Items may occur when new requirements and design changes are introduced via Project Change Requests (PCR) and require additional testing of issues (e.g., PCR 65 - Allocations or PCR 76 - CARES Act) or additional testing is needed to resolve Project Issues (e.g., Issue 25).

As of the end of April, thirty-seven (37) SIRs existed categorized as Other, one (1) Highest/Critical, eighteen (18) High, and eighteen (18) Medium. Twenty-three (23) of these were opened during the last two weeks of April. Use of this category should be for exceptions only to preserve the intent of testing service deliverable exit criteria and acceptance criteria and validate completion of testing service objectives. With 34% of the total open SIRs categorized as Other as of the end of April, IV&V recommends SIRs in the Other testing category be reviewed by Project management to determine if they should be included in a planned testing service where they may affect exit criteria and therefore acceptance of that testing service’s completion.

Conversion testing in preparation for Full Dress Rehearsal continued during the month of April. Full Dress Rehearsal is a test cycle specifically designed to simulate the cutover activities including hardware, software, data, interfaces, and operational logistics following the sequence, timing, and duration of the cutover plan.

IV&V observes Conversion Testing status as of April includes six (6) SIRs open – one (1) High and 3 (3) Medium priority. While DMC001 and DMC002 SIRs associated with Issue 25 remain open and classified as “Other” testing cycles, most of the Conversion SIRs related to conversion programs DMC001 and DMC002 associated with Issue 25 were resolved and closed during the month of April.

Identity Access Management (IAM) Testing open SIRs as of the end of April include one (1) Medium and two (2) Low priority SIRs, open for 145 days. These SIRs relate to the third-party software application Accenture uses to facilitate IAM and as such Accenture is dependent on the manufacturer to resolve.

Regression Test SIRs were created during April. Regression Testing is a test cycle for key system business processes affected by system enhancements, software updates, configuration modifications, and new functionality changes introduced during prior testing cycles to confirm those changes have not adversely affected business processes upstream and downstream of the identified system change.

As of the end of April, IV&V observed for Regression Test two (2) High and three (3) Medium SIRs are open. These SIRs relate to specific user configuration changes related to online functionality access.

User Acceptance Testing (UAT) completed during April. The test scenario pass rate reported for UAT 99% with a 105% test execution percentage including nine (9) additional test scenarios requested by the DFS Division. Tests in excess of 100% represent execution by more participants than originally scheduled. Due to CARES Act requirements, the two apportionment scripts are rescheduled for early June and will be tracked based on PCR 76.

IV&V observes at month’s end, a total of nine (9) SIRs remained open including two (2) High six (6) Medium and one (1) Low priority. UAT exit criteria requires that all Highest/Critical and High SIRs be resolved.

The Interface and Integration Test Cycle was completed during the month of April with all interface testing with agencies confirmed as complete.

IV&V observed that, during the extended Integration and Interface Testing period, Daily Review Team meetings were used to manage progress and immediate impediment resolution. Project Management and key interface leads were present and actively engaged at these meetings. This dedicated remediation commitment was key in bringing Interface and Integration testing to closure. As of the end of April, three (3) Medium and one (1) Low priority Interface and Integration Test SIRs remain open pending resolution. Interface and Integration exit criteria requires that all Highest/Critical and High SIRs be resolved.

OIT iFLAIR and PALM interface dependencies will be further tested in a separate end-to-end testing cycle during the month of May to accomplish synchronized end-to-end (i.e., 'production like' or 'day in the life') batch processing inclusive of OIT and related third-party interfaces.

Florida PALM and DFS OIT Teams continued weekly CMS Wave Batch Process Review meetings during the month of April. Details of coordination, file transmission timing and process for end-to-end testing were discussed and refined during these meetings.

The Full Dress Rehearsal (FDR) Testing Cycle was initiated during the month of April. FDR is intended to mimic the pre-conversion, conversion and post-conversion activities of the actual July launch of the new system. FDR formally began April 30, 2021.

As of the end of April IV&V observed one (1) high and two (2) medium open SIRs. FDR SIRs created on April 30, 2021 and beyond will be included in the May report. The earliest FDR SIRs were created in the preparatory stages of FDR during April.

The Performance Testing Cycle was initiated during the month of April. Performance testing evaluates high volume user input and transaction processing loads on the PALM solution incorporated automated user simulation and execution of production volume batch cycles where appropriate.

As of the end of April IV&V observed four (4) high and three (3) medium open SIRs.

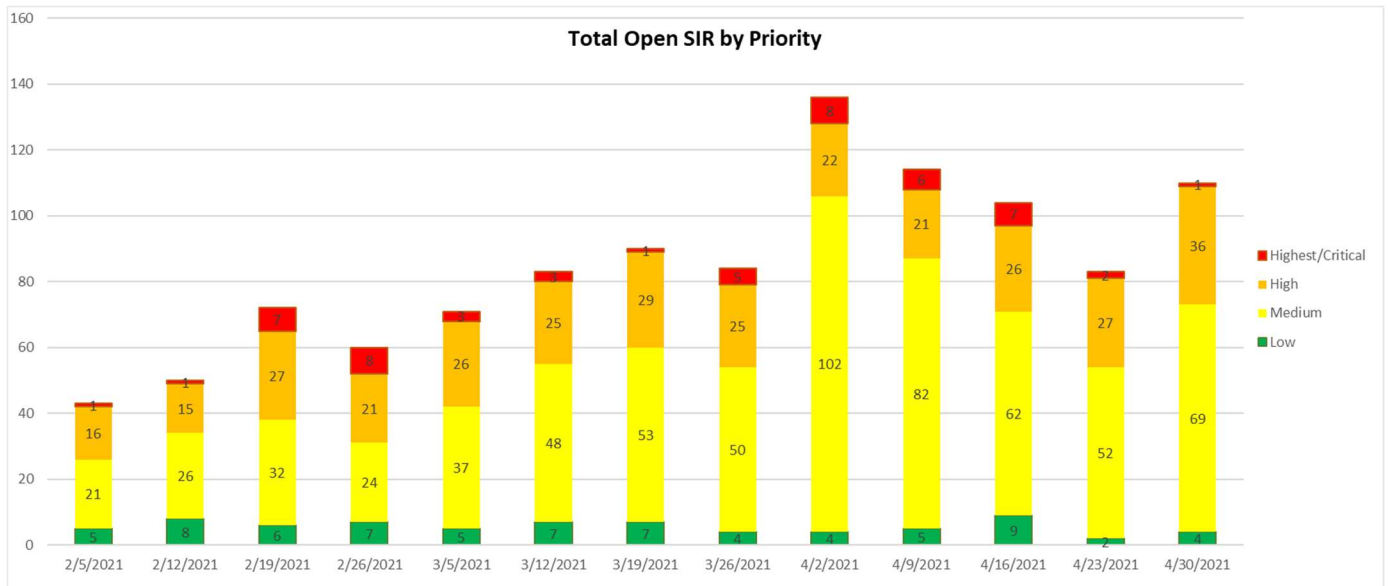
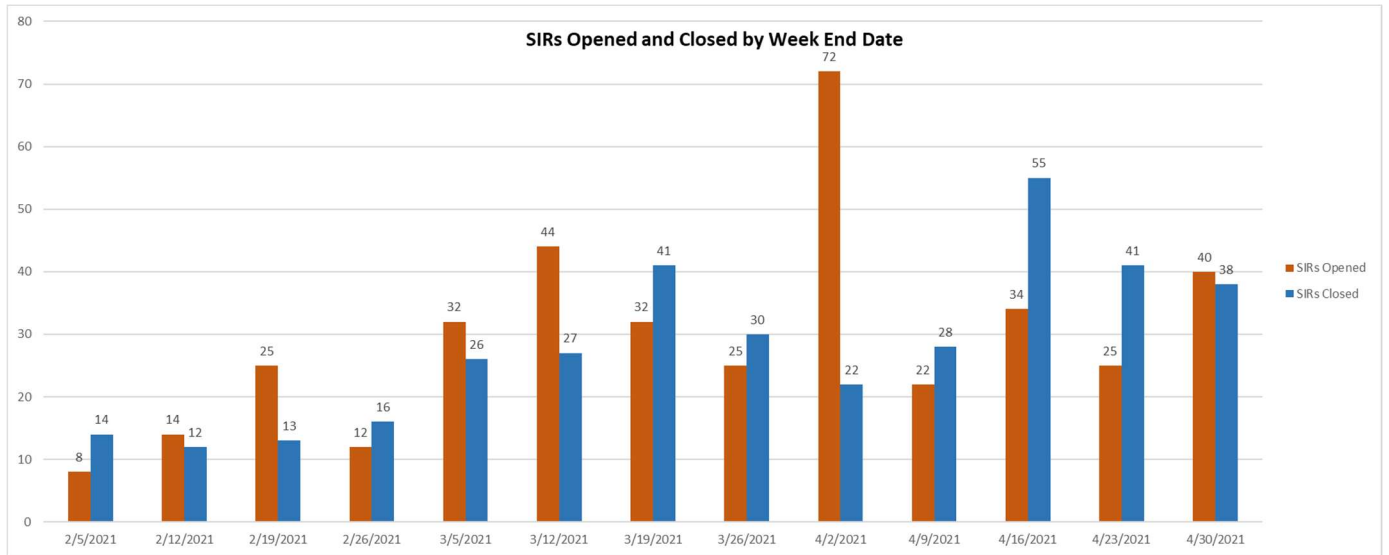
The Batch Testing Cycle testing occurred during the month of April. Batch Testing evaluates PALM batch cycle processes including functional validation of the batch process and select downstream business process.

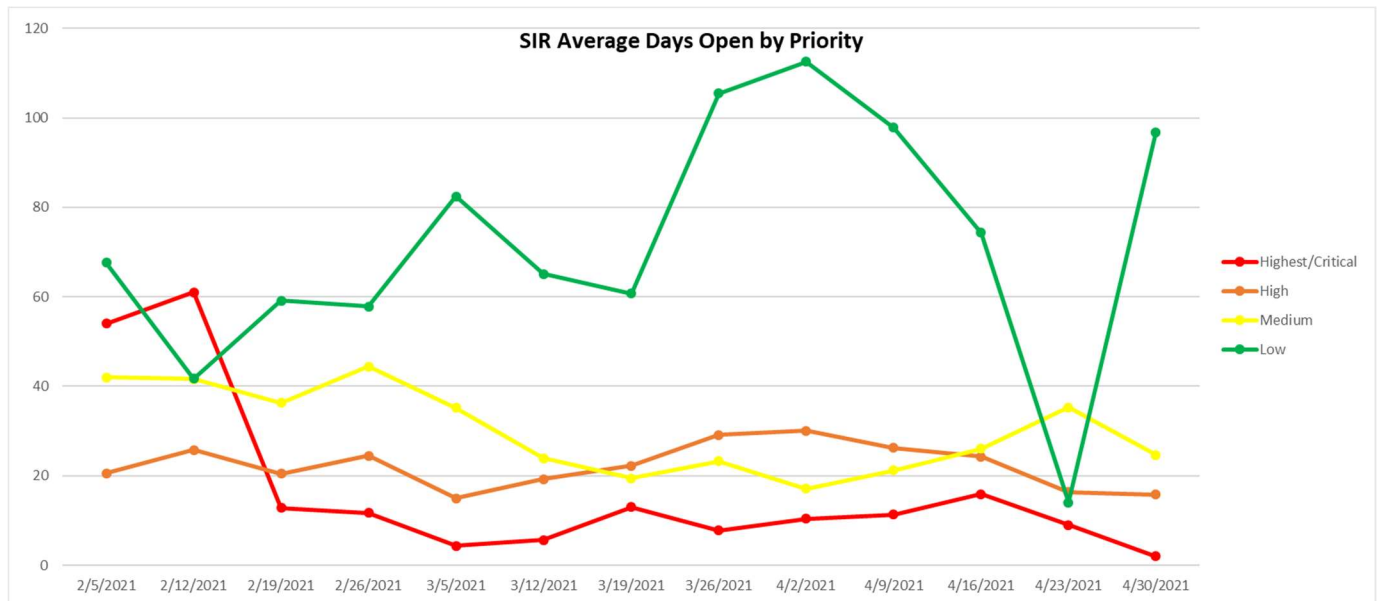
As of the end of April IV&V observed two (2) high, one (1) medium and one (1) low open SIRs.

SIR aging for all testing phases includes, a total of eleven (11) Medium and four (4) Low priority SIRs remain open for greater than 90 days. One (1) High and one (1) Low SIRs remain open 61-90 days. Four (4) High, fourteen (14) Medium and one (1) Low remain open for 31-60 days. All other SIRs have been open for 30 days or less as of the end of April.

IV&V produced the following charts to show trends for three months prior to the end of April for Open and Closed by Week End Date, Total Open SIRs and SIR Average Days Open. The Open and Closed by Week End Date represents only those SIRs opened and closed each week and does not represent total SIRs or current status.

The increase in Opened SIRs during late April includes twenty-four (24) "Other" SIRs noted earlier in the assessment with an IV&V recommendation. The significant drop in days open for low priority SIRs and subsequent increase is caused by two (2) SIRs open for 145 days being temporarily classified as Medium priority for the week ending April 23, 2021.





Charts exclude SIR statuses of 'On Hold' or 'Deferred'.

Continued on next page.





The following pages contain the IV&V monthly assessment in which ISG provides independent observations using an evidence-based rating method applied to fifteen standard project areas listed in the following table. Further information regarding ISG's IV&V methodology can be found in deliverable IVV2.1, the Florida PALM IV&V Management Plan.

Project Areas		
General Project Management	Project Scope Management	Project Time Management
Project Cost Management	Project Quality Management	Project Human Resources
Project Communications & Readiness	Project Change Control	System Capability
Project Stakeholder Management	Project Risk & Issue Management	Project Procurement
System and Acceptance Testing	Project Vendor Management	Project Training




The ratings are calculated using a five-point scoring range designed to objectively assess conditions in each project area based on evidence observed and examined. Each assessment is given a score between 1 and 5, with 1 being the highest severity and 5 to indicate no material findings.

Assessment Scoring					
Blank	1	2	3	4	5
Not Active	Catastrophic	Critical	Moderate	Minor	No Material Findings























Ratings are applied to multiple tasks or deliverables in each project area to calculate an average score for the area. The resulting score for each area is used to determine a status based on the commonly used scale of green, yellow, or red, as defined in the table below and indicated by an icon for each project area in the IV&V Dashboard.









Color	Icon	Description
Green		The assessment category or area is on track without material issues. The Project Team should consider any recommendation offered by the IV&V Team as process improvement opportunities only.
Yellow		The assessment category or area faces a challenge or set of challenges that could, if left unmanaged, negatively impact the Project's outcome in terms of schedule, cost, or quality in the future. The Project Team should prioritize corrective action.
Red		The assessment category or area faces a challenge or set of challenges that threatens the Project's outcome in terms of schedule, cost, or quality. The Project Team should take corrective action immediately.
White		During the project life cycle some project areas may not have activities underway. Project areas not assessed will be reported using a white icon.

1.2 IV&V Overall Risk Summary

Overall Status			
Current Period	Prior Period	Overall Trend	Observations <i>Based on standardized IV&V scoring</i>
			<ul style="list-style-type: none"> Activities are underway for CMS Wave, Central Wave, Payroll Wave, and Departmental Wave. The parallel activities present risks to schedule due to complexity, dependencies, and resource capacity. CMS Wave Issues 25 and 26 were logged previously. Each has a resolution plan and activities are underway and, as of April, Issue 26 was resolved and Issue 25 was behind schedule. While each issue presented schedule risks, as of April, Issue 25 does not threaten the overall CMS Wave implementation. Observed planning activities are consistent with the Project Management Plan and standard practices. As part of a multi-faceted organizational change management program, the Project regularly conducts proactive communications to stakeholders, including partner system organizations such as FFMIS/STMS and state agencies. Significant rescheduling has been completed and this should enable agencies to learn, prepare and pursue funding for internal work and to secure commitment from enterprise partner system organizations and agencies to fulfill critical dependencies. Risks and Issues are being managed proactively and with an appropriate sense of urgency. The Project is actively managing risk to execution of project activities and the implementation schedule. The risk of turnover in key positions remains high. The multi-year, multi-phase implementation approach increases the probability of occurrence. The project's managerial and reporting structure supports staff development, process definition, quality assurance, and other functions necessary for project success. Cost management and resource allocation are monitored closely by Track Managers and PMO. Quality control, financial control, and vendor processes are established and consistently executed. Collaboration between the State Project Team and Accenture Team continues to produce acceptable results. The Project trend is stable as work toward executing the statement of work and producing deliverables is proceeding according to plan.

1.3 IV&V Monthly Assessment Dashboard

IV&V Dashboard			CURRENT	PRIOR
	PROJECT AREA	PROJECT AREA DESCRIPTION	RATING	
1	General Project Management	Consistent and effective project management processes are being used and coordinated within the Project and with Project participants to achieve desired results.		
2	Project Scope Management	Effective scope management practices are evident.		
3	Project Time Management	The project schedule continues to be at risk due to the factors described in the Executive Summary and discussed in Section 2.1 Project Risks and Section 2.2 Project Issues.		
4	Project Cost Management	The Project is routinely estimating, budgeting, managing, and controlling costs.		
5	Project Quality Management	The Project has defined quality measures and uses continuously improving processes to achieve intended results. The State expresses clear and thorough expectations for quality. Accenture responds positively to address concerns.		
6	Project Stakeholder Management	The Project has identified key individuals, groups or organizations that could impact/be impacted by the Project and uses consistent outreach strategies to ensure stakeholder engagement on Project decisions, effective governance, and productive sponsorship participation.		
7	Project Communications & Readiness	The Project team routinely identifies internal and external stakeholders and supports timely, appropriate, and accessible communications.		
8	Project Risk & Issue Management	The Project is effectively identifying, analyzing, prioritizing, and controlling project risks and issues.		
9	Project Procurement Management	The Project is appropriately managing the acquisition of products and services needed from outside the project team and is effectively managing the resulting contracts over the life of the contract.		
10	Project Vendor Management	The Project is monitoring vendors and subcontractors to confirm they meet all requirements and managing performance where needed.		
11	Project Human Resource Management	The Project is acquiring, developing, and managing appropriately skilled and adequately staffed project teams.		

IV&V Dashboard			CURRENT	PRIOR
	PROJECT AREA	PROJECT AREA DESCRIPTION	RATING	
12	Project Change Control	The Project is appropriately managing the change request process and potential impacts on project scope, project objectives and goals, and implications to the overall project plan.		
13	System Capability Management	The Project is effectively communicating technical process and security requirements (and changes to requirements), managing configuration/development activities, controlling software and environments to support project life cycle.		
14	Project System and Acceptance Testing	The Project has fully staffed the Testing Team and continues to identify use cases to support the development of test scripts to evaluate and accept the system and supporting deliverables. System Testing for CMS Wave has completed without significant technical issues causing risks to system designs. Interface testing is underway. Mitigation plans relating to Issue 25 address a situation contributing to schedule risk by isolating components of CMS Wave functionality and managing them on a timeline to be resolved prior to cutover.		
15	Project Training Management	The Project has published training material for the CMS wave and began sharing sample modules with the agency Training Liaisons. The Central Wave Training Needs Assessment responses are in review and the creation of the curriculum is in process.		

Continued on next page.



2 IV&V Detail Reporting

2.1 Project Risks

The assessment score for Project Time Management remains in a yellow status due to challenges including the following factors:

- Delays incurred due to CMS Wave functionality and data conversion related to DFS Treasury's transition of investment portfolio data services require near-term CMS Wave schedule changes (Issue 25) specifically for Deal Management functions for externally managed investments. With the isolation of the remaining issue and the successful testing of the broader functionality, the risk trend is decreasing.
- Potential misalignment of development and test schedules with the enterprise system partner MFMP. The Project and DMS/MFMP have collaborated on defining and qualifying the risk and show commitment to continued cooperation to develop a mitigation plan. All parties agree that this risk trend is decreasing.
- The multi-wave/multi-phase approach to implementation has inherent risks to the schedule due to the complexities of managing wave activities in parallel and the resulting potential to exceed resource capacity limits.

A rating of yellow indicates a challenge that could, if left unmanaged, negatively impact the Project's outcome in terms of schedule, cost, or quality. The Project Team has prioritized corrective action, as described below.

	PROJECT AREA	PROJECT AREA DESCRIPTION	RATING	
			Current	Prior
3	Project Time Management	<p>The entire schedule has been revised to provide additional time for partner systems and agencies to prepare for and adapt respective systems to operate with Florida PALM.</p> <p>CMS Wave Issue 25 contingency plan has been invoked to complete UAT and preserve the planned implementation date while a remaining element of the Deal Management functionality continues to be resolved on its own timeline.</p> <p>The Project has communicated schedule revisions and design details for interface layouts. The Project needs firm commitment from critical partner systems (DFS and DOR for CMS Wave) to the project schedule.</p> <p>Alignment of the Project schedule and MFMP Next Generation schedule is important for the implementation of later Waves.</p> <p>The multi-phase/multi-waves implementation approach has inherent schedule risk due to parallel activities, competing demands, and resource capacity factors.</p>		

IV&V Risk Assessment of Current Multi-Wave Approach

Note: This section has been retained since last report.

As reported earlier, schedule risk is inherent in the overall Florida PALM wave approach that requires a large and diverse organization to align to implement a broad scope of business functionality in multiple phases/waves, some of which need to be executed in parallel.

The waves are designed to limit the amount of change introduced at one time. However, the approach makes the Project and the State dependent on the prolonged use of the FLAIR system and requires FLAIR to be modified to facilitate business processing using a hybrid of FLAIR/Florida PALM between the implementation of Central Wave and the completion of Departmental Wave.

Furthermore, to facilitate FLAIR/PALM hybrid operations, the Project will need to translate chart of accounts data from FLAIR to Florida PALM and vice versa daily and potentially on a transaction-by-transaction basis. This translation is needed to complete intricate business processing of individual transactions, to maintain synchronization between the two systems, and to provide Florida PALM data in FLAIR legacy format to agency business systems, enterprise partners, and the DFS Information Warehouse (and the numerous enterprise reporting services that depend on it) via interfaces. This represents a significant effort to implement and will require constant attention to quality management while hybrid operations are in place between the implementation of Central Wave and until Departmental Wave is completed.

As reported in Section 1 Engagement Activities of this report, the multi-wave approach is complicated and at times can cause confusion among all parties involved including agencies, the Department, and even Project team members.

This solution to an interim challenge also carries another risk that has the potential of enabling resistance to change. IV&V has observed participants ask, "If Florida PALM is able to translate its data into legacy formats, doesn't that lessen the need for downstream system updates and reporting changes?" The Project intends to cease intermediary data translation from Florida PALM to FLAIR legacy values upon completion of the Departmental Wave. At that point, organizations dependent on accounting and other data processed in Florida PALM will need to be able to access and consume data in the Peoplesoft format.

Resistance to change can actively manifest in behaviors such as requesting continual data translation. Resistance can also take a passive form through lack of independent action to analyze, prepare for, and adapt agency business systems to the new data to be presented by Florida PALM. As the Project produces and explains its designs, formats, and new data elements, it is incumbent on stakeholders to analyze the impacts to their internal operations, data usage, and business systems. To expect the Project to expand its scope to analyze agency business systems and internal processes for detailed changes and prescribe solutions may not be feasible and would likely be disruptive to the present Florida PALM plan and schedule.

As mentioned in Sections 1.1 and 2.3 of this report, the multi-wave approach that intends to implement first Central Wave followed by Departmental wave has produced two sets of Business Process Models (BPMs). Central Wave BPMs represent operations during the interim period between the implementation of Central Wave and the implementation of Departmental Wave. During this time, the Department Division of Accounting and Auditing (A&A) will be the primary users of Florida PALM financial processing functionality while agencies will continue use of FLAIR. The designs of Central Wave BPMs were created following extensive rounds of project collaborative sessions and review/presentation workshops involving representative subject matter experts and stakeholders from Department divisions and agencies. The resulting work products were then presented to the Executive Steering Committee for review and approval prior to their being accepted as deliverables.

The Risk Log lists thirty-six (36) open risks in the following statuses as of April 30, 2021:

- Mitigating: Twenty-nine (29) are being actively mitigated by project management techniques, including the activities that address the risk directly or that enhance already planned activities to avoid or otherwise prevent the risk from affecting project outcomes.
- Monitoring: Seven (7) are being monitored to identify when their probability of affecting the Project increases to the point that mitigation is required.
- Under Evaluation: There is one risk currently in Under Evaluation status (risks being evaluated and awaiting plan development).

During April, there were two (2) risks removed from the log and one risk was added.

Risk removed from the log include:

Risk #177: If Organizations with technical dependencies on the Florida PALM solution do not have time to identify changes needed and modify business systems to support CMS Wave implementation activities, then it could cause delays in the Project.

IV&V notes Risk #177, created on 7/10/19, was removed from the log and will now be reviewed with Issue #25.

Risk #236: If there is an inability to obtain the ESC approval for D471 Departmental - Ready to start RICEFW Build Go/No-Go Decision in April 2021, then it could cause delays in the Project.

IV&V notes the Executive Steering Committee voted to approve this Go/No-Go decisions and thus Risk #236, created on 12/16/2020, was removed from the log on 4/28/21.

Risk added to the log include:

Risk #247: Delay in ServiceNow access for Department resources could impede training and creation of operational materials for Solution Center Team members.

IV&V notes Risk #247 was created on 4/8/21. Access to ServiceNow was gained on 4/21/21 and the first training was completed. This risk is being actively mitigated.

2.2 Project Issues

There is one open issue listed in the issues log as of April 30, 2021. One issue was deleted from the log while no new issues were added during the month.

Issue removed from the log:

Issue #26: Bank Account Hierarchy for Wells Fargo is not Aligned with Florida PALM Configuration and Processing.

IV&V notes that Issue #26 was removed from the log on April 20, 2021 as all twenty-five tasks involved with this Issue were reported successfully completed.

The remaining issue on the log:

Issue #25: Deal Management Interface and Conversion Testing Does Not Align with Certain Project Milestone Dates.

IV&V notes that it was reported on April 13, 2021 the contingency plan to implement internal manager securities for CMS Wave and external manager securities after CMS Wave Go Live was in the final stages of development. Closure is pending approval of the Project Change Request that provides the detailed plan to implement Deal Management for externally managed investments.

2.3 IV&V Detailed Assessment Scorecards

AREA: General Project Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
GPM - 1	Verify and assess project management and organization, verify that lines of reporting and responsibility provide adequate technical and managerial oversight of the project.	5	The Project Director, Project Management Office, Track Managers and Team Leads regularly conduct joint and separate team meetings and demonstrate hierarchical support and accountability on activities, schedule and delivery.
GPM - 2	Evaluate the project's system's change request and defect tracking processes.	5	All teams are observed to adhere to the prescribed change control processes for requirements, designs, and tools to be used to implement the solution. Change control decisions are made according to the prescribed process. All teams are observed to adhere to the prescribed change control processes for requirements, designs, and tools to be used to implement the solution. Change control decisions are made according to the prescribed process. Changes to requirements and designs are also governed by the Executive Steering Committee.
GPM - 3	Verify the creation and approval of high-level plans.	5	PMO conducts regular planning sessions with Track Managers and Accenture to create and maintain the project plan and its schedule, and to commit resources to activities and deadlines. In addition to high level plans, these activities also develop and scrutinize details.
GPM - 4	Verify that a Project Management Plan and procedures are developed, communicated, followed, monitored and completed.	4	The DDI PMP is approved and updated as needed following the prescribed process. The Project uses a discrete plan for each Wave. The Project is observed to manage critical path by means of select milestones aligned to ESC Go/No Go Decisions encompassing select deliverables. Where tasks entail the production of multiple work units, the Project uses discrete hillclimber tracking spreadsheets to avoid needlessly elongating the project schedule with subtasks and to enable team members to report progress daily by directly updating the hillclimbers. The PMP should be updated to provide an explicit description of method used to manage the project's critical path beyond the use of Microsoft Project functionality.
GPM - 5	Verify project status is accurately traced against milestones and completion dates via project reports and metrics.	5	Deadlines and work progress are monitored, and status is updated regularly by use of status reports, the project schedule, critical path stage gates/milestones, and detailed day-to-day inventories of select work units using hillclimber charts.

AREA	TASK	SCORE	IV&V OBSERVATIONS
GPM - 6	Verify use of a project issue tracking mechanism that documents issues as they arise, enables communication of issues to proper stakeholders, documents mitigation strategies as appropriate, and tracks the issue to closure.	5	The RAIDL process is in place and used to identify, vet, monitor and manage risks, action items, issues, decisions, and lessons learned on a recurring and regular basis. The Project demonstrates a disciplined approach to the identification and analysis of issues. Furthermore, the project has consistently developed detailed action plans to address issues, and these are shared as part of the RAIDL log. Such plans have proven to be accurate and comprehensive.
GPM - 7	Evaluate the effectiveness of the system's life-cycle development methodology (waterfall, agile, evolutionary spiral, rapid prototyping, incremental, etc.) and deployment process.	3	The project has undergone a comprehensive re-planning to shift from an approach that was phased incrementally by both functions and by organizations to one that is phased by functions. The new approach is more streamlined but retains multiple phases (Waves), requires an interim period dependent on FLAIR, and requires temporary solutions and translation of legacy FLAIR data to new Florida PALM data and vice versa to support business processing. The waves-based schedule includes concurrent multi-wave activities of analysis, configuration, and development. There are inherent risks associated with this deployment approach due to the complexity of managing multiple Waves in parallel.
GPM - 8	Verify that the project's managerial and reporting structure supports training, process definition, independent quality assurance, configuration management, product evaluation, and any other functions critical for the project's success.	5	The project's managerial and reporting structure supports staff development, process definition, quality assurance, configuration management, and other functions necessary for project success. Project meetings, working sessions, and work products are all accessible for validation, verification, and quality assessments. Project team members demonstrate the ability and willingness to raise concerns and articulate risks and needs.
GPM - 9	Assess coordination and management to verify agencies and departments are not working independently of one another and following the communication plan.	3	The project has created a Change Champion Network to facilitate project-to-agencies and agencies-to-project communications. The CCN is also intended to foster agency-to-agency peer-to-peer communications. Despite the Project's efforts to communicate plan expectations and important details needed for agencies to take action to ready themselves, some agencies indicate less than full awareness of what information is available and express expectations of Project resource involvement in internal analysis of changes that the Project may not be able to fulfill. Agency Sponsors present a variety of levels of engagement ranging from completely aware, proactive, and keenly interested in details, to somewhat less engaged in details but supportive of delegates, to less engaged and more reliant on Project-initiated interactions to maintain awareness.

AREA: Project Time Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
TME - 1	Evaluate the estimating and scheduling process of the project to assess if the project budget and resources are adequate for the work-breakdown structure and schedule.	3	<p>The envisioned Florida PALM solution is dependent on timely completion of system modifications and/or new interface development by FLAIR, LAS/PBS, MFMP, STMS, and People First.</p> <p>IV&V was able to independently confirm commitment of FLAIR, LAS/PBS, STMS and People First to complete these activities according to the current project schedule. The Project and MFMP continue to engage to align activities and schedules.</p> <p>As of the end of April, activities are underway for the CMS, Central, Payroll, and Departmental Waves. Additionally, the Project is working to organize and establish production support resources for post-implementation operations and agency users. The complexity and level of effort to execute, coordinate, and fulfill these objectives cannot be overstated. State leadership has redeployed resources. Accenture has added resources.</p> <p>As of this reporting period resources appear to be working at or above normal capacity which is not ideal or sustainable long term.</p>
TME - 2	Review that project milestones are realistic and meaningful and aid in managing project performance.	3	<p>Deliverable Expectation Documents are inclusive of timelines to inform the project schedule. Deliverable deadlines and milestones have been sufficient in most cases. During April, prolonged interface testing related to Issues 25 and 26 posed risk to the CMS Wave critical path, but each issue was resolved by month's end. Functional designs for Central Wave are behind schedule.</p>
TME - 3	Review schedules to verify that adequate time and resources are assigned for planning, development, review, testing and rework.	3	<p>As of April, the Project continues to meet most of its deadlines. The project schedule continues to be at risk due to factors described in Section 2.2.</p> <p>FFMIS partners and STMS have not expressed objections to the replanned schedule. Schedule details communicated provide information needed for FFMIS/STMS partners to affirm or decline a commitment to the project schedule. Neither State nor Accenture management has indicated an inability to complete work as planned; however, some work on Central Wave has been postponed, allowing resources to focus exclusively on CMS Wave activities as the July launch date draws nearer.</p>

AREA	TASK	SCORE	IV&V OBSERVATIONS
TME - 4	Evaluate that the project team is taking full advantage of time savings and resource flexibilities available in the project schedule, managing lead times and float.	4	The consistent attention paid to the project schedule results in increased awareness of planned activity starts and deadlines for completion. The project team is vigilant in observing deadlines and escalates time management concerns that would increase project risk. The workload is heavy and leaves little to no time for slack.
TME - 5	Examine relevant supporting data to determine if the project team has accurately estimated the time required for system configuration and/or software development efforts.	3	<p>Some deliverables have not been submitted or accepted within the originally scheduled deadlines. The delayed completion of CMS Wave functional designs adversely affected the start and completion of some development activities. However, the SDS team has been able to complete tasks pursuant to the resolution plan. Central Wave functional designs are behind schedule.</p> <p>As of the end of April, UAT was completed on schedule with the exception of isolated interface tests related to Issues 25. That testing has been scheduled to be executed prior to implementation.</p> <p>To date, the project's critical path has not been adversely affected.</p>
TME - 6	Review Project Team meeting process for tight agendas focusing on proactive issues (e.g., problem solving, risk identification, meaningful analysis) and relevant progress reports.	5	Agendas are used and meetings are focused and productive.

AREA: Project Scope Management

AREA	TASK	SCORE	Comments
SCP – 1	Verify that the project scope is clearly documented; look for items listed as out of scope.	3	<p>Project scope as defined in the SOW is communicated and affirmed. No potentially out-of-scope items have emerged. The phased approach to implementation creates a prolonged dependency on FLAIR. A hybrid design relying on FLAIR and PALM is to be in service between implementation of Central Wave and implementation of Departmental Wave.</p> <p>As of this reporting period, the changes to FLAIR required of Central Wave, the functional designs for those, and the plan to complete those have not been fully documented by DFS OIT and the Project. The implications of modifying FLAIR and relying on FLAIR-to-PALM and PALM-to-FLAIR data translations present risks to execution of design and development objectives as well as production operations requiring data translation. The impacts to FLAIR presented by CMS Wave are considered to be minimal compared to later Waves.</p>
SCP – 2	Review the procedure/process to evaluate the impact of scope changes to the project, including trade-offs, is unambiguous (e.g., objectives, schedule, cost, resources).	5	Changes in Scope are adequately managed through Project Decisions and/or Project Change Requests.
SCP – 3	Evaluate that assumptions made to support scope change requests are fully checked and vetted.	5	Project Decisions and/or Project Change Requests affecting project scope are fully vetted by subject matter experts and reviewed in Sponsor Meetings and with the Executive Steering Committee as mandated by criteria established in the governance structure.
SCP – 4	Project sponsors and stakeholders demonstrate a clear understanding of scope control and participate in the scope control and management process.	5	The Project routinely takes a painstaking approach to sharing detailed information with stakeholders, sponsors, and governance entities. Attention to and absorption of such information has improved for most parties.
SCP – 5	Evaluate the thoroughness of scope control communications including project team, sponsors, and stakeholders.	5	The Project routinely takes a painstaking approach to sharing detailed information with stakeholders, sponsors, and governance entities.

AREA: Project Cost Management

AREA	TASK	SCORE	Comments
CST - 1	Review and evaluate the Project Cost Management Plan to assess its reasonableness related to the project.	5	Project Management consistently demonstrates attention to detail and cost management practices. Change orders to date have been absorbed without introducing costs in excess of budgeted appropriations including contingency funds.
CST - 2	Examine relevant supporting data to determine if the project team has accurately estimated the labor and cost of software deployment efforts.	5	Execution of planned work, fulfillment of deliverables and work products, and adherence to protocols have been evident without any indications that the levels of effort are significantly greater or less than budgeted resources are able to accomplish.
CST - 3	Review the basis for cost forecasts and assess their accuracy.	4	The original contract is fixed price fixed duration. IV&V has observed discussions concerning cost containment and project leadership work to minimize any new costs associated with changes and/or unanticipated work. The multi-wave phased approach has an increased risk of cost variances due to higher complexity and longer duration of the Project.
CST - 4	Verify that State staff are tasked to monitor project costs and the allocation of resources according to resource estimates and plans.	5	The Project Director's office and PMO team demonstrate regular and vigilant prospective and actual cost analysis and management practices.

AREA: Project Quality Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
QAL - 1	Verify the project's Quality Assurance plans, and procedures are comprehensive and complete.	5	The Project has adopted quality assurance processes that assure vendor accountability and help to ensure quality upon delivery/submission. The Project has also established a well-organized State Testing team that has demonstrated insight, thoroughness, and a highly effective approach to engaging with Track teams and creating plans and supporting documents for test efforts. The State BPS functional team and SDS technical team are extensively involved in testing activities and demonstrate attention to details and quality criteria.
QAL - 2	Verify QA is following the QA plan and procedures by performing checks of system documentation, and monitoring products produced by the project with formal reviews and sign-offs.	4	The collaborative review process combined with individual quality review steps are effective in detecting and resolving quality issues prior to final submission for acceptance. The execution of test plans, scenarios, and scripts are well documented and are cross referenced to support resolution of issues and requirements traceability.
QAL - 3	Evaluate if appropriate mechanisms are in place for project self-evaluation and that measures are continually taken to improve the process.	3	Written deliverables have routinely required significant efforts pre and post-submission to attain approval and acceptance. Although Accenture has made efforts to improve pre-collaboration and pre-submission quality reviews to make the prescribed process more efficient, in some cases, State reviews continue to generate a high volume of revisions, edits, and rework. Collaborative reviews have been invoked to lessen handoffs; however, these demand resources that are already assigned to other work.
QAL - 4	Verify that QA has an appropriate level of independence to raise concerns, make recommendations on the project's Quality Assurance plans, procedures and organization and is acknowledged by project management.	5	The testing process is transparent with information accessible to participants, management and IV&V. Input and feedback from team members at all levels is frequent and does not appear to be stifled in anyway. Project management is updated regularly on progress and hindrances.
QAL - 5	Verify that QA is monitoring all major development process definitions and standards for completeness, clarity, up-to-date, consistent in format, and easily available to project personnel.	5	The State Testing team is organized to monitor cross-track activities and changes to deliverables and work products that affect test planning, design, and execution.
QAL - 6	Verify that the processes and standards are followed and compatible with each other and with the system development methodology.	5	There has been no indication of variances. On the contrary, the Project overall adheres to a very disciplined approach to prescribed processes.

AREA: Project Stakeholder Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
STK - 1	Verify that executive sponsorship supports all changes which impact project objectives, cost, or schedule.	5	Sponsorship has steadily improved. Sponsors are fully engaged, inquisitive, and active within their respective organizations. Sponsors generally demonstrate a high level of commitment to the Project.
STK - 2	Verify that there is a Project Governance Plan and an active Executive Steering Committee (ESC) whose role it is to oversee changes impacting project objectives, cost, or schedule.	5	The governance plan and ESC are in place and active on a regular basis. The individual members of the ESC express a common understanding of their role and expectations of work demands as approvers of major project deliverables and overseers of project management.
STK - 3	Verify that project is in compliance with the State of Florida's Enterprise Architecture, Information Security and other IT policies and Guidelines	5	The Department has engaged fully in the process of planning and assessing the design of infrastructure, network connectivity, and security of the cloud-based solution. No objections have been raised by authorities.
STK - 4	Assess to assure stakeholder participation, support and commitment, and that open pathways of communication exist among all stakeholders.	5	Internal and external stakeholders are consistently communicated with, engaged in project activities, and encouraged to contribute feedback as project plans and designs are shared.
STK - 5	Verify that stakeholder expectations match the project objectives and deliverables.	4	<p>The Project regularly conducts proactive communications to and interaction with stakeholders and uses stakeholder feedback to improve where needed. Despite those efforts, there are indications that some agency stakeholders may not be fully aware of or acting on available information to fully adapt to the technological changes forthcoming.</p> <p>The Project and MFMP continue to work together to confirm schedule commitments to ensure the development and testing of key interfaces can be accomplished by DMS. As of April, this work continues.</p> <p>As of April, Division leaders have affirmed their commitment to assess, analyze, and plan for the implementation of business process designs approved as part of 2019-2020 project activities.</p>

AREA: Project Communications Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
COM - 1	Confirm communication plans and strategies are established, accessible and being used.	5	The project continues to maintain a comprehensive, multi-channel communication planning log. The OCM team has created a comprehensive communication strategy to share information and follow-up with recipients to confirm receipt and solicit feedback.
COM - 2	Verify communication plans and strategies are effective and support communications and work product sharing between all project stakeholders.	4	<p>Stakeholder assessments have been used to gauge effectiveness. The Project routinely publishes targeted communications and makes materials available online. IV&V has observed agency liaisons leveraging published online material and the quarterly communications package to create internal content for meetings and other forms of communication (i.e., SharePoint, newsletters, agency site).</p> <p>Some agencies indicate a need for detailed information for them to be able to assess the impact of Florida PALM on their agency business systems, operations, and demand for technical resources to complete preparations. The Project continually assesses its communications practices and creates alternative communications to inform agencies on where to find the details they seek. Some agencies demonstrate infrequent or incomplete interaction between agency sponsors and the various agency liaisons established as part of the project's Change Champion Network.</p> <p>Agency project participants find the Project web site to be a comprehensive source of project materials that represents a collective history of project work products, communications, documentation, and the like. However, the volume of materials and periodic changes in organization present challenges for users to locate the latest and most pertinent materials applicable to their needs. The OCM team should highlight organizational and structural elements to direct agency users to materials that are most applicable to current and upcoming project activities.</p>
COM - 3	Review that mechanisms to capture informal communications and feedback are active and effective for informing project team of stakeholder and end-user needs.	5	The Project has established a Change Champion Network designed to channel informal communications to various agency-based liaisons prior to contacting Project resources directly. This helps to ensure ad hoc communications are received, treated by the appropriate resources, and responded to in a consistent manner.

AREA: Project Risk Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
RSK - 1	Verify that the project is managing project risk through plans and procedures to identify, quantify, report, log and act upon reducing risk through contingency plans and communication.	5	The project has a long-established process to manage risks and consistently monitors and assesses potential risks. The project to date has logged a small number of issues that have been resolved without negative impacts to the plan or objectives. More details are provided in Section 2 of the IV&V Monthly Assessment.
RSK - 2	Verify that the project is managing project issues and actively acting to resolve.	4	The project has a long-established process to manage issues and is consistently monitoring and assessing risks that present emergent issues. As of the end of April, the Project resolved two open issues. Issue 26 was resolved with no negative impact to UAT. For the most part, Issue 25 was able to be resolved without disrupting UAT and has an outstanding component related to interest apportionment that is being addressed and tested discretely prior to implementation. More details are provided in Section 2 of the IV&V Monthly Assessment.
RSK - 3	Verify that Risk Plans include indicators for executive commitment and support.	5	Risks and Issues are regularly reviewed with Executive Sponsors and the Executive Steering Committee.
RSK - 4	Verify the Risk Plan recognizes multiple aspects of integrated project risk: processes, systems, organizations, culture and knowledge.	5	No Material Finding. The risk management practices are proactive and circumspect.
RSK - 5	Verify the Risk Plan includes a review of technical components for quality factors including stability, availability, scalability, usability, security and extensibility and identifies specific risks in components.	5	Contractual performance standards address quality, stability, availability, scalability, usability, security, and extensibility.

AREA: Project Procurement Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
PRC - 1	An inventory of necessary services and resources for completion of the project has been created and maintained.	5	The contract, statement of work, and schedule reflect responsibilities and resources assigned to tasks.
PRC - 2	Necessary timeframes and specifications for project resources are identified and monitored.	5	No material findings
PRC - 3	Vendors and suppliers are identified to provide resources that meet the criteria.	5	There is no foreseen need to change vendors or suppliers because of the re-planning effort.
PRC - 4	Contracts have been secured following State requirements and conditions for the selected vendors.	5	Contracts are in effect and compliance has been assured by Department legal reviews.

AREA: Project Vendor Management

TASK #	TASK	SCORE	Comments
VND - 1	Verify the obligations of vendors (including sub-contractors) are clearly defined under the statement of work, requirements, standards, development milestones, acceptance criteria, delivery dates, etc.	5	Statement of Work is comprehensive. Roles and responsibilities are clear. The Project maintains a disciplined approach to the development of Deliverable Expectation Documents that include scope, timeframes, and acceptance criteria.
VND - 2	Verify that vendor's services are delivered in a manner compatible with the project's standards and work environment.	4	Adaptation of vendor service delivery practices to meet project standards is an ongoing process. Accenture has demonstrated a commitment to meeting State expectations. At times the expectations have needed to be clarified and confirmed after being originally expressed and agreed to by both parties.
VND - 3	Verify the vendor has and maintains the required skills and resource capacity, procedures and supervisory standards to meet their commitments	4	Vendor resource issues require ongoing management to prevent risk. Turnover remains an area of focus. Demand for resources may exhaust capacity in some areas. Accenture has deployed additional resources in areas requiring more and/or escalated attention.
VND - 4	Verify that any proprietary tools used by vendor do not restrict the future maintainability, portability, and reusability of the system.	5	Infrastructure and application designs have been reviewed by the State Project team and Department stakeholders.

AREA: Project Human Resource Management

AREA	TASK	SCORE	IV&V Observations
HUM - 1	Evaluate the project staffing plan and verify that adequate human resources will be available for project activities.	4	As turnover occurs, there are indications of challenges in securing adequate resources to quickly refill positions.
HUM - 2	Verify skills and experience of project resources are adequate for the job assignments.	5	Track management and PMO demonstrate clear accountability and performance management practices are in place and exercised.
HUM - 3	Verify the Project Team allows for staffing adjustments to schedule and cost (e.g., learning curves when team members need to acquire new skills).	5	Project Staff are provided training and lead time as new skills are required. Staff are added to the schedule aligning with the need for resources.
HUM - 4	Assess team morale and any potential effects on project progress.	4	The increased workload and complexities associated with the multi-wave approach have affected morale. While no serious or dramatic manifestations have been observed, stress and fatigue factors are evident at times during working sessions. Deadlines continue to be met in most areas and teams continue to maintain high productivity.

AREA: Project Change Control

AREA	TASK	SCORE	IV&V OBSERVATIONS
CNG - 1	Verify that a Change Control Plan is created with procedures to evaluate/approve change requests and verify they are developed, communicated, implemented, monitored, and complete.	5	Change control processes are included in the PMP and System Analysis and Design documents.
CNG - 2	Verify that appropriate processes and tools are in place to manage system changes, including formal logging of change requests and the review, prioritization, and timely scheduling of maintenance actions.	5	No Material Findings
CNG - 3	Verify that mechanisms are in place to prevent unauthorized changes being made to the system and to prevent authorized changes from being made to the wrong version.	5	No Material Findings
CNG - 4	Verify that changes are communicated to stakeholders in advance of decisions, participation of stakeholders is sufficient to increase awareness of proposed changes and provide for adequate input.	5	The Project Change Control and Decision Processes adequately inform stakeholders and solicit involvement with stakeholders.
CNG - 5	Review the change requests received by the Project and the documentation to approve/reject the change.	5	Project Change Requests are reviewed and approved by Project Management and the Executive Steering Committee when required by the Governance Plan.
CNG - 6	Assess the project's analysis of approved changes for reasonableness and impact to existing requirements, schedule, cost, quality and complexity.	5	Project Management adequately manages the Project Change Control Process. Multiple perspectives are factored in the process.

AREA: Project Capability Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
CAP - 1	Assess the configuration management (CM) plans and procedures for clarity and completeness.	5	Configuration management controls are defined in deliverables and evident in daily project activities as well as being reflected in the course of CMS Wave UAT and Full Dress Rehearsal completed in April.
CAP - 2	Evaluate the project's process and procedures for managing requirements.	5	The Project has confirmed mutual understanding of requirements and associated each requirement with functionality in the system to be used to fulfill the requirements. To date there have been relatively few disputes on the interpretation of requirements and those have been resolved amicably.
CAP - 3	Verify that business/technical requirements can be traced through design and test phases to verify that the system is configured/developed and performs as intended.	5	The Requirements Traceability Matrix is designed to facilitate traceability to requirements and tests and it is maintained regularly.
CAP - 4	Evaluate project policies and procedures for ensuring that the system is secure, and that the privacy of client data is maintained.	5	The strategy for data protection (D499) was accepted.
CAP - 5	Evaluate the project policies and procedures for security on user access to the system and data.	5	Standard Accenture procedures for assignment of user security have been adapted to comply with State requirements
CAP - 6	Evaluate the project policies and procedures for security and risk analysis.	5	Accenture's use of Oracle Cloud Infrastructure has been evaluated by DFS OIT and the buildout and planned ongoing operations comply with State requirements.
CAP - 7	Verify that performance requirements (e.g., timing, response time and throughput) are completely specified.	5	System performance requirements are defined as part of the Service Levels Expectations deliverable.
CAP - 8	Verify that user's maintenance requirements for the system are completely specified.	5	The contract stipulates maintenance agreements and includes State requirements.

AREA	TASK	SCORE	IV&V OBSERVATIONS
CAP - 9	Verify that all system interfaces are identified, and specifications are defined.	3	<p>The Project has provided standard interface layouts and is in the process of working with agencies and partner systems to finalize development for the CMS Wave.</p> <p>Interface issues contained in Issue 26 have been resolved. Issue 25 has largely been resolved with some isolated issues to be resolved next reporting period. Central Wave functional designs are behind schedule.</p>
CAP - 10	Verify approved interface specifications are documented and available and that appropriate relationships (such as interface working groups) are in place with all agencies and organizations supporting the interfaces.	3	<p>The Project has shared interface layouts and is in the process of working with interfacing entities to determine specifications. CMS Wave objectives are clear and commitments to schedule are confirmed. Central Wave commitments to schedule are yet to be confirmed.</p>
CAP - 11	Verify that the processes and tools are in place to identify software versions within environments and to rebuild system configurations based on predecessors.	5	No Material Findings
CAP - 12	Verify that sufficient software instances and environments are available for training, test, and production and that formal control procedures are in place to avoid conflicting demands.	5	No Material Findings

AREA: Project Testing Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
TST - 1	Evaluate the plans, environment, procedures, and acceptance criteria to be used for system testing of the software.	5	The State Testing team is organized and leveraging all available information to develop plans, scenarios, and test scripts.
TST - 2	Evaluate interface testing plans and procedures for compliance with industry standards.	5	No Material Findings
TST - 3	Review and evaluate cutover and go-live plan.	5	At the end of April, the Project began to conduct "Full Dress Rehearsal" testing of the cutover plan, which included execution of data conversion programs and reconciliation of results. The exercise was considered largely successful but did identify some activities requiring resolution prior to the actual cutover date. Additionally, Project team and division personnel will need to collaborate on realistic expectations for roles and timelines for coordination of cutover activities.
TST - 4	Acceptance criteria for each deliverable of business functionality and technical component must be defined, reviewed, and approved prior to test and the results of the test must be documented. Acceptance procedures must also address the process by which any software product that does not pass acceptance testing will be corrected.	5	Deliverable Expectation Documents have all included detailed acceptance criteria.
TST - 5	Verify that a sufficient level of system test coverage is achieved by the test cases/scenarios and execution, that test results are verified, and that the test results are documented.	5	During December System Test was completed. Test cases/scenarios produced findings that are documented, triaged, and being addressed in an orderly fashion. There are no apparent risks to meeting exit criteria for System Test.
TST - 6	Verify that a sufficient level of integration test coverage is achieved by the test cases/scenarios and execution, that test results are verified, and that the test results are documented.	3	By the end of April, CMS Wave Interface Testing was completed. Outstanding SIRs have been triaged and prioritized. Mutually agreed workarounds used as the basis for categorizing SIRs should be documented within the SIR itself.
TST - 7	Verify that the test organization has an appropriate level of independence from the software configuration/development organization.	5	The State has organized a Testing team consisting of full-time testers. The team is organized under SDS Track management.

AREA	TASK	SCORE	IV&V OBSERVATIONS
TST - 8	Verify that a sufficient number and type of case scenarios are used to ensure comprehensive but manageable testing and that tests are run in a realistic, real-time environment.	5	No Material Findings
TST - 9	Verify that test scripts are complete, with step-by-step procedures, required pre-existing events or triggers, and expected results.	5	No Material Findings
TST - 10	Verify that test results are verified, that the correct code configuration has been used, and that the test runs are appropriately documented, including formal logging of errors found in testing.	4	<p>Test results are verified and correct system versions are used to execute tests. Results and findings are documented. SIRs are documented insofar as they describe the issue preventing execution.</p> <p>The Project has recently applied a secondary ranking JIRA category for SIRs titled "Business Criticality". Introduction of the Business Criticality metric is intended to more accurately classify the business operational impact in the production environment if the identified defect was not fixed prior to implementation. However, the SIRs do not include complete descriptions of business impact and potential workarounds to support priority assigned.</p> <p>Without proper documentation of workaround and business impact the Project and IV&V are unable to readily assess and understand project impact of the SIR rankings without reaching out to the initiator and/or subject matter expert for each SIR.</p>
TST - 11	Verify that appropriate acceptance testing based on the defined acceptance criteria is performed satisfactorily before acceptance of software products.	5	No Material Findings UAT for CMS Wave is underway.
TST - 12	Verify that the acceptance test organization has an appropriate level of independence from the software configuration/development organization.	5	No Material Findings

AREA: Project Training Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
TRN - 1	Verify that all necessary policy, process and standards documentation is easily available to resources responsible for configuration/development of software.	5	Cross-track accessibility to information and coordination for assistance is in place.
TRN - 2	Verify that all necessary policy, process, procedures and standards documentation is easily available to state systems administrators	4	User Support Page on the Florida PALM website contains information for agency Security Access Managers, Super Users and End users. Upcoming Operational Readiness Testing should provide additional exposure to these processes and procedures.
TRN - 3	Assess curriculum and delivery plan for training to be provided to state system administrators. Verify sufficient knowledge transfer for maintenance and operation of the new system.	5	Training modules for CMS Wave have been developed and are posted to the Project website for agencies to preview. Training curriculum and materials are comprehensive on use of the application. DFS Treasury and A&A are pursuing some additional training materials and job aids on specific topics relative to ancillary procedures.
TRN - 4	Verify that training for users is instructor-led and hands-on and is directly related to the business process and required job skills.	5	The plan includes all facets. End-user training for CMS Wave is in design and build.
TRN - 5	Verify that training materials including policies and processes along with help desk services are easily available to all users.	5	No Material Findings
TRN - 6	Verify that all training is given on-time and is evaluated and monitored for effectiveness, with remedial training provided as needed.	5	Initial project instructor-led training of Security Access Managers was delivered in February. Feedback from participants was predominantly very positive. During March, online CMS Wave overview training was developed for an April delivery.
TRN - 7	Verify that developer/configuration training is technically adequate, appropriate for the development phase, and available at appropriate times.	5	The Project maintains an extensive program of Knowledge Transfer to ensure project staff are trained on how to maintain and update the system.

AREA	TASK	SCORE	IV&V OBSERVATIONS
TRN - 8	Verify that systems administrator training is technically adequate, appropriate for the development phase, and available at appropriate times.	5	The Project maintains an extensive program of Knowledge Transfer to ensure project staff are trained on how to operate and maintain the system.
TRN - 9	Verify that training in using the contractor-supplied software is ongoing throughout the development process, especially if the software is to be turned over to state staff for operation.	5	Training on Accenture-provided tools that the State expects to use on an ongoing basis is part of the overall Knowledge Transfer Plan and occurs regularly as needed.

2.4 IV&V Other Activities

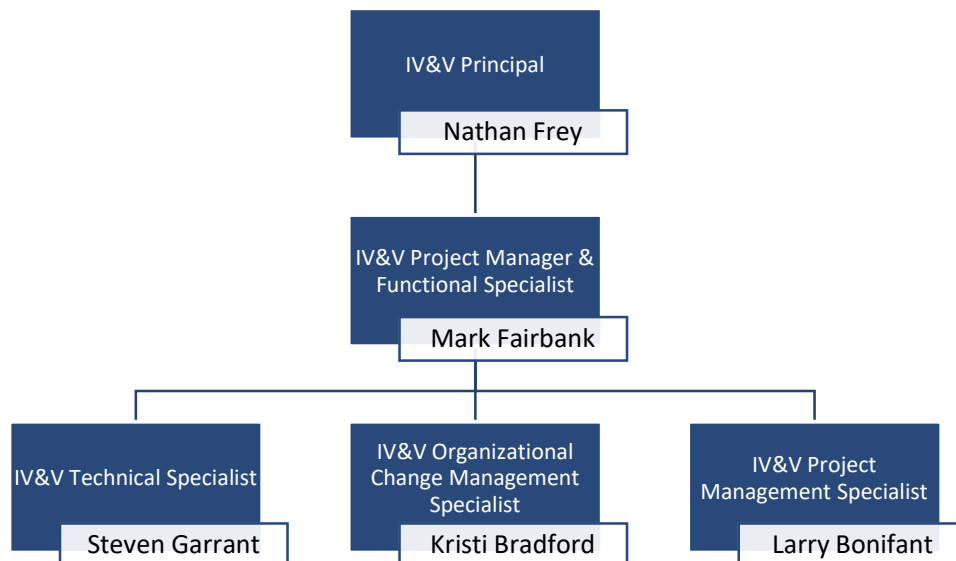
During this period, IV&V observed and participated in activities involving the following topics as part of our ongoing role in the quality assurance process.

Subject	Activities	Description
D101	Ongoing validation of SIR resolutions	Completion of System Test
D120	Ongoing validation	Help Desk Strategy
D127	Ongoing validation	Production Support Strategy
D134	Review and observations on deliverable	Disaster Recovery Testing Plan
D135	Ongoing validation	Deployment and Contingency Plan (CMS Wave)
D139	Review and observations on deliverable	Train the Trainer Plan
D153	Ongoing validation	Post Implementation Support Plan (CMS Wave)
D172	Ongoing review and observations on schedule	Project Schedule
D456	Review and observations on deliverable	Standardized Business Process Models
D457	Review and observations on deliverable	RICEFW Inventory
D465	Ongoing review and observations on deliverable	CMS Wave Master Readiness Workplan
D500	Ongoing review and observations on deliverable	Training curriculum (Central Wave)
FDR	Review, assessment and validation of exercise	CMS Wave Full Dress Rehearsal
WP29	Ongoing review and observations on work product	Operational Readiness Test Plan (CMS Wave)
WP65	Ongoing validation	Role Learning Plans
WP326	Ongoing review and observations on work product	Production Support Roles & Responsibilities
WP362	Ongoing review and observations on work product	Help Desk Mobilization Plan
IV&V	Ongoing validation	Project/Department engagement activities
IV&V	Ongoing validation	Project phasing approach and resourcing

3 IV&V Contact Information

ISG (Information Services Group) (NASDAQ: III) is a leading global technology research and advisory firm. A trusted business partner to more than 700 clients, including 75 of the top 100 enterprises in the world, ISG is committed to helping corporations, public sector organizations, and service and technology providers achieve operational excellence and faster growth. The firm specializes in digital transformation services, including automation, cloud and data analytics; sourcing advisory; managed governance and risk services; network carrier services; technology strategy and operations design; change management; market intelligence and technology research and analysis. Founded in 2006, and based in Stamford, Conn., ISG employs more than 1,300 professionals operating in more than 20 countries—a global team known for its innovative thinking, market influence, deep industry and technology expertise, and world-class research and analytical capabilities based on the industry’s most comprehensive marketplace data.

ISG began independent verification and validation (IV&V) services for the Design, Development and Implementation phase (DDI) of the Florida PALM Project (Project) with the July 2018 reporting period. The IV&V team comprises multi-disciplinary specialists with government career experience in ERP project management, software development, data science, business process design, operations management, and organizational change management.



IV&V observations are made by participating in project meetings and deliverable review processes, examining project work products, and conducting IV&V specific interviews with the Project Team and stakeholders.

For questions regarding this report, please contact:

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