



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

Presented by:

Information Services Group Public Sector

July 13, 2021

imagine your future®



Copyright © 2021, Information Services Group, Inc. All Rights Reserved.

No part of this document may be reproduced in any form or by any electronic or mechanical means, including information storage and retrieval devices or systems, without prior written permission from Information Services Group, Inc.



TABLE OF CONTENTS

| | | |
|----------|--|-----------|
| 1 | IV&V MONTHLY ASSESSMENT | 1 |
| 1.1 | Executive Summary | 1 |
| 1.2 | IV&V Overall Risk Summary..... | 11 |
| 1.3 | IV&V Monthly Assessment Dashboard..... | 12 |
| 2 | IV&V DETAIL REPORTING | 14 |
| 2.1 | Project Risks..... | 14 |
| 2.2 | Project Issues | 16 |
| 2.3 | IV&V Detailed Assessment Scorecards..... | 17 |
| 2.4 | IV&V Other Activities | 40 |
| 3 | IV&V CONTACT INFORMATION..... | 41 |

1 IV&V Monthly Assessment

1.1 Executive Summary

June 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.

By the end of June, work was completed on the Deliverables that constituted the basis for the Executive Steering Committee’s affirmative Go/No-Go Decision to proceed with the scheduled launch of CMS Wave. Final preparations were made to initiate the cut-over process leading to the system launch on schedule for July 6th. Almost every agency completed the targeted training goals prior to month’s end.

As of June 30th, IV&V had not identified any significant threats to quality or obstacles to the cut-over process or July 6th launch. The Project’s Business Sponsors, key agency partners, and DFS Divisions all demonstrate a focus on awareness, details, and cooperation to execute tests and preparations. The successful completion of multiple iterations of “Full Dress Rehearsal” testing demonstrably improved the cut-over process, refined the cut-over checklist, and produced results that helped build confidence among the participants.

IV&V continues to assess the Project to be in a yellow status in one area: Project Time Management.

The yellow rating for Project Time Management persists due to factors that pertain to near term objectives of the CMS Wave schedule to implement July 6, 2021, as well as the need to confirm the schedule for the new approach that consolidates Central and Departmental waves into a single implementation of PeopleSoft Financial functions. When the Project resolves immediate schedule risks and after the revised long-term schedule is in place, the risks and causes of the yellow rating should diminish.

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.

| | |
|--|---|
| | <i>The yellow status is calculated and specifically reflected by the scores that appear in Section 2.3 IV&V Detailed Assessment Scorecard, Project Area: Time Management page 20.</i> |
|--|---|

Activities in support of the July 2021 implementation of the CMS Wave are underway. Activities for Central Wave, Payroll Wave, and Departmental Wave that cause resource contention have been put on hold pending the launch of CMS Wave. Design and organization of production-support and user-support operations continued through June.

Assessment of Notable Deliverables Completed in June

In June there were several deliverables and work products completed that represent the transition to production for the CMS Wave.

D137 Production Support Operations Plan

The Production Support Operations Plan documents the operational structure and activities of the production support team, including team makeup, services provided, schedule of activities, and how these relate to contractual performance expectations. Production support operations team roles and personnel needs are defined as are projected capacity increases based on the growth of the user population as subsequent waves are implemented and the scope of production support grows.

IV&V has verified D137 meets its objectives and fulfills acceptance criteria by defining team roles, their responsibilities, and staffing model. It identifies services to be provided. It lists the tools provided and associated business processes. D137 also defines the schedule for production operations activities and documents performance expectations.

D138 Production Environment Delivery

This deliverable represents that the system Production environment is in place and operating to support the CMS Wave Performance Test, Full Dress Rehearsal (FDR) testing, Operational Readiness Test (ORT), and culminating in the launch of actual operations.

IV&V has verified that the Production environment was delivered and used to support the testing objectives listed above. Furthermore, IV&V validated that, prior to the release of the Production environment, a Systems Availability and Functionality Evaluation (SAFE) test was performed to validate the technical tiers of the application: Web Server, Application Server, Process Scheduler, and Database.

D141 Production Support Application Configuration Management Plan

The purpose of a configuration management plan is to create and apply rigorous controls to the process of introducing system changes, with the objective being to protect system stability. Controls in this plan should apply to non-production environments and the testing cycles prior to introducing the change in Production.

IV&V has verified D141 meets its objectives as it defines the procedures and controls for non-production and Production environments and addresses the Department's approach during the stabilization period as Florida PALM operations management ramps up following launch. D141 defines the processes required to request, adjudicate, approve, and implement application and infrastructure changes to perform break/fix and proactively patch the Florida PALM Solution (Solution). D141 also meets acceptance criteria in that it defines the application configuration management processes for release and maintenance. It contains a diagram of system configuration control process and steps, and it defines infrastructure configuration management processes for release to Production.

D151 Organizational Readiness Assessment

The objectives of D151 were to survey two types of participants at agencies and enterprise partners for the final CMS Wave Readiness Survey. The first audience was Change Champion Network (CCN) members; the second audience was CMS Wave end users. The responses were used to determine which of the four Change Commitment Curve progress points (i.e., Awareness, Understanding, Acceptance, and Commitment) to which each audience group was currently aligned.

IV&V observed that the survey had three primary measures: (1) a target response rate of 40 percent or greater, (2) the expected progress point of Acceptance for agency CCN members, and (3) the expected progress point of Understanding for agency end users. IV&V has verified the results indicate that the CCN members representing all agencies reached the targeted progress point (Acceptance) with an overall average of 4.1 on the five-point scale.

D151 meets its acceptance criteria insofar that it documents activities to prepare, conduct, and analyze the Organizational Readiness Assessment. It contains metrics for each assessment area and addresses differences in results between it and earlier assessments. D151 reports the variances between the final CMS Wave assessment and target measures set for identified assessment areas. Lastly it includes a list of communications and agency engagement opportunities to support the exercise.

D152 Completion of Mock Go Live

The Project planned to conduct a mock go-live exercise (aka Full Dress Rehearsal [FDR]) prior to the actual launch to confirm the correct tasks, resources, and timelines are in place to reduce risks of unforeseen issues occurring during cutover to Production. The Cutover Checklist (WP35) was created for CMS Wave to document the steps, resources, and timing of cutover activities.

IV&V has validated the Project conducted two FDR exercises to fulfill completion of D152 Mock Go-Live. Following each FDR, the Cutover Checklist was refined by incorporating changes from lessons learned during the exercise. The Cutover Checklist was updated and completed as an output of FDR and is documented as its own Work Product (WP35). The actual launch is based on the execution of steps contained in WP35, Data Validation and Reconciliation procedures (DVRs), the Interface Catchup plan, and the Launch Communications folder hosted on SharePoint, all of which were tested through FDR. IV&V observed the Mock Go Live comprising these elements was executed under the direction of Project leadership and was coordinated with stakeholders, enterprise partners and agencies.

D153 Post Implementation Support Plan

The Post Implementation Support Plan will be used by a Project-based Stabilization Team to provide production support during a post-launch transition period. D153 complements the Production Support Operations Plan (D137) by coordinating additional focus on actively monitoring the Florida PALM system to achieve stable and routine operations described by the Production Support Operations Plan.

IV&V has validated D153 is designed to fulfill its objectives of supporting a smooth transition, by focusing on system availability and functionality through heightened issue awareness, proactive monitoring, and fostering a collaborative support environment that bridges the knowledge of the Implementation Team and Production Support team. Furthermore, IV&V has verified that D153 meets acceptance criteria by containing processes and procedures for providing post-implementation support, identifying tools to be used for production support activities, and by defining resource capacity and skills needed to provide post-implementation support.

Agency Engagement Assessment

Throughout June 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 continued in June. Agencies were asked to review, share, and prepare agency implementation teams to use the cutover checklist, validate understanding of CMS functions, and prepare end users for support offerings, such as Tier 0 support, End User Support Manual, Solution Center and User Support Labs.

IV&V observed agencies leveraging project provided material, as well as internally created readiness materials, to prepare their end users to transition to the CMS functions in Florida PALM. Where many agencies acknowledged the minimal impact to their agency with this wave and their readiness to transition, some also expressed that they will not fully develop their day-to-day processes until they have been in the solution post-go live. IV&V acknowledges that this may have a greater impact in the Financials wave if agencies do not have the solution exposure needed to prepare end users for their roles prior to cutover.

In June, the Project adjusted the Solution rollout to include one Financials wave encompassing both Central and Departmental functionality. Standardized Business Process Models, interface inventories, and conversion inventories have all been shared as part of Departmental wave activities and remain in effect for the forthcoming Financials wave.

IV&V observed positive agency response to the adjusted Solution rollout. Agencies assert they do not plan to pause activities (or reduce momentum), but to use the time to align internal efforts and subsequent budget requests required to transition their staff and business systems to Florida PALM. In June, the Project shared the Interface Offerings and Catalog of Conversions for the Departmental wave to assist agencies in understanding impacts and inform any Legislative Budget Request (LBR) needs.

The Project continued to offer training through the Learning Management System. Agencies monitored staff completion of the training and reported status to the Project.

IV&V has observed a continued desire from agencies to have a more end-to-end, cohesive training that reflects their use of the system versus only focusing on how to perform the tasks within the solution. IV&V observed some agency-created job aids that provide business process context in addition to the solution-specific task training.

The Project released the Florida PALM End User Manual. IV&V observed positive feedback from the agencies on this manual and a desire to have access to it earlier with the Financials wave.

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

In June, Project communications focused on preparation for the CMS Wave. Communications related to cutover activities and user support processes and material were delivered to the community through released communications and agency touchpoints. The Florida PALM website continued to be an important source with increased information on the Florida PALM Solution and User Support pages.

Testing Assessment

The Project ranks System Investigation Requests (SIR). A SIR is logged by testers when an unexpected result and/or suspected defect is encountered. The two rankings used are “Priority” and “Business Criticality”. Priority is based on the impact the item causes to Project testing progress. Business Criticality is used to classify the impact specifically to business operations if the item were to be unresolved prior to implementation and persists in the production environment.

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). Project definitions of each are included in the tables below.

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 workaround 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). |

In preparing for the PALM production transition the Project has created a Known Issues List (WP47) and Enhancements List (WP48) identifying open “Deferred” SIRs. The “Deferred” SIRs are expected to be resolved post PALM go-live. WP47 and WP48 SIRs have been transitioned to Production Support Known Issues and each have their production impact and temporary fix/workaround stated. As of July, these are tracked and managed in ServiceNow as part of PALM operational reporting. ServiceNow is the Project’s production environment issue monitoring software. June’s CMS Wave SIR reporting includes these “Deferred” status SIRs in addition to SIRs actively being resolved within the CMS Testing Wave.

Deferred status, Known Issue List, and Enhancements List SIRs as of June 30th include 20 total SIRs: two (2) medium IAM SIRs, one (1) low Regression testing, one (1) medium FDR testing, one (1) High Additional Testing, twelve (12) Medium Additional Testing and three (3) low Additional Testing SIRs. IV&V has verified that each of these SIRs has an acceptable work around for production operations and has been prioritized for resolution.

3 SIRs on Known Issue List as of July 9th were created after June 30th and are included in this assessment.

As of the June 30th, seven (7) unresolved SIRs (not included in “Deferred” status) include: two (2) medium and one (1) low ‘Security Test’ SIRs; and one (1) High and three (3) medium ‘Additional Testing’ SIRs were being tracked in various stages of Open. All seven (7) of the June 30th unresolved SIRs were resolved and closed by July 2nd.

SIRs noted in the following assessment sections include both Deferred and non-Deferred open SIRs described above.

The “Additional Testing” category is used for SIRs originating outside formal Testing Services. Such items may occur when design changes are introduced via Project Change Requests (PCR) and require additional testing of issues (e.g., PCR 65 - Allocations or PCR 76 – Federal Funding Impacts) or additional testing is needed to resolve Project Issues (e.g., Issue 25).

Additional Testing SIRs are noted in the above SIR status summary. SIRs identified as “Additional Testing” are considered as exit criteria as part of Deliverable 154 – Deployment Readiness. 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. Launch readiness and exit criteria for all testing service deliverables state that all Highest/Critical and High SIRs have been resolved or have been included in the Project accepted Known Issues List.

SIR Triage meetings continued through the month of June to evaluate SIRs created during testing.

IV&V has observed continued concerted effort of the Triage Team to develop and document clear business impact statements and defect workarounds (or lack thereof) within the JIRA defect tracking application. This supports prioritization and is used to identify which SIRs must be completed prior to the July 6th CMS Wave launch or be noted as a Known Issue with a defined remediation plan for resolution prior to the Post-Cutover activities as part of Production Support operations.

Identity Access Management (IAM) Testing open SIRs as of the end of June include two (2) Medium, open for 206 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.

As of the end of June, IV&V observed for Regression Testing the two (2) open IAM SIRs were on the Known Issues List.

Regression Testing was completed during the month of June. 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 June, IV&V observed for Regression Testing that one (1) Low SIR remained open related to default report output formats. This SIR does not adversely affect the availability of report formats and is noted on the Known Issues list.

OIT iFLAIR and PALM interface dependencies completed testing during the month of June in a separate end-to-end testing cycle to accomplish synchronized end-to-end (i.e., production like) batch processing inclusive of OIT and related third-party interfaces. Florida PALM and DFS OIT Teams held multiple weekly CMS Wave Batch Process Review and Status meetings during the month of June.

IV&V observed end-to-end testing offered the opportunity to the Florida PALM and OIT iFLAIR operations teams to improve their mutual understanding and coordination of the new day-to-day operations along with opportunity for process enhancements prior to implementation.

As of the end of June, zero (0) open SIRs related to end-to-end testing remained open.

A second iteration of Full-Dress Rehearsal (FDR2) was exercised during the month of June. FDR is intended to mimic the pre-conversion, conversion, and post-conversion activities of the actual July launch of the new system. A goal of FDR is to validate the conversion checklist completeness and timing established in previous mock conversion test cycles to ensure the full cut-over process can be executed within the defined production cut-over execution window.

IV&V observed preparation for FDR2 in which the Project Team performed lessons learned exercises identifying opportunities from FDR1 to improve FDR2 and go-live cutover synchronization and execution.

IV&V observed processes improvements over FDR1 and active participation by all to ensure that each participant confirms the presence and completion of predecessor tasks and validation steps. During FDR2, task owners were diligent in confirming a task complete with the owner explicitly receiving confirmation from the subsequent task owner that they were ready to begin the next task. FDR2 completed successfully within the planned time scheduled that represented allotted time for CMS Wave production live.

As of the end of June, IV&V observed one (1) medium FDR SIR was open and included in the Known Issue list.

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

As of the end of June zero (0) SIRs remained open related to Performance Testing.

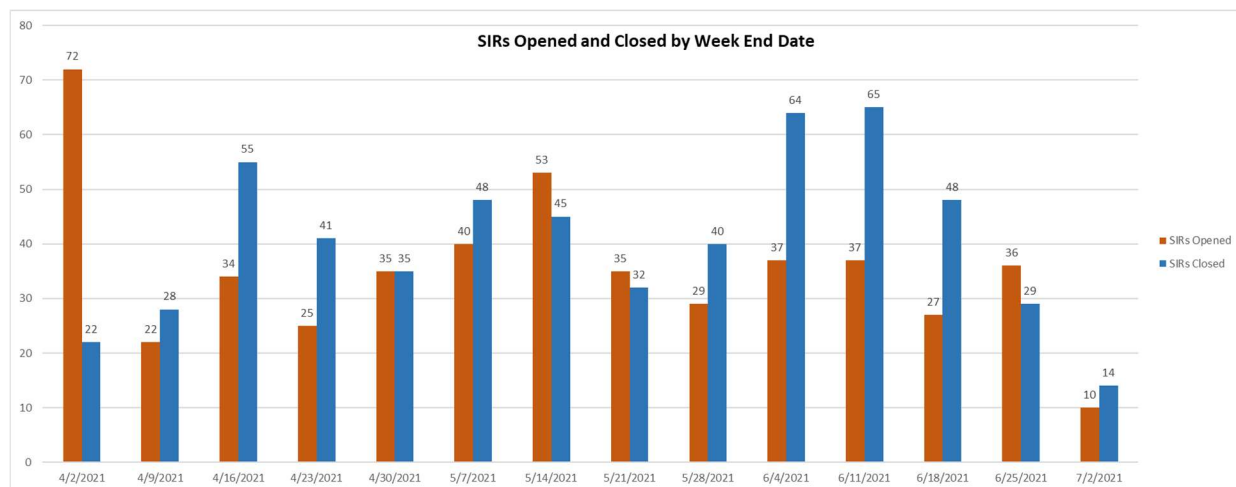
SIR aging for all CMS Wave testing phases includes a total of two (2) IAM Medium SIRs remaining open for greater than 90 days. Three (3) Medium SIRs remain open 61-90 days. One (1) Medium and one (1) Low SIRs remain open for 31-60 days. All other SIRs have been open for 30 days or less as of the end of June.

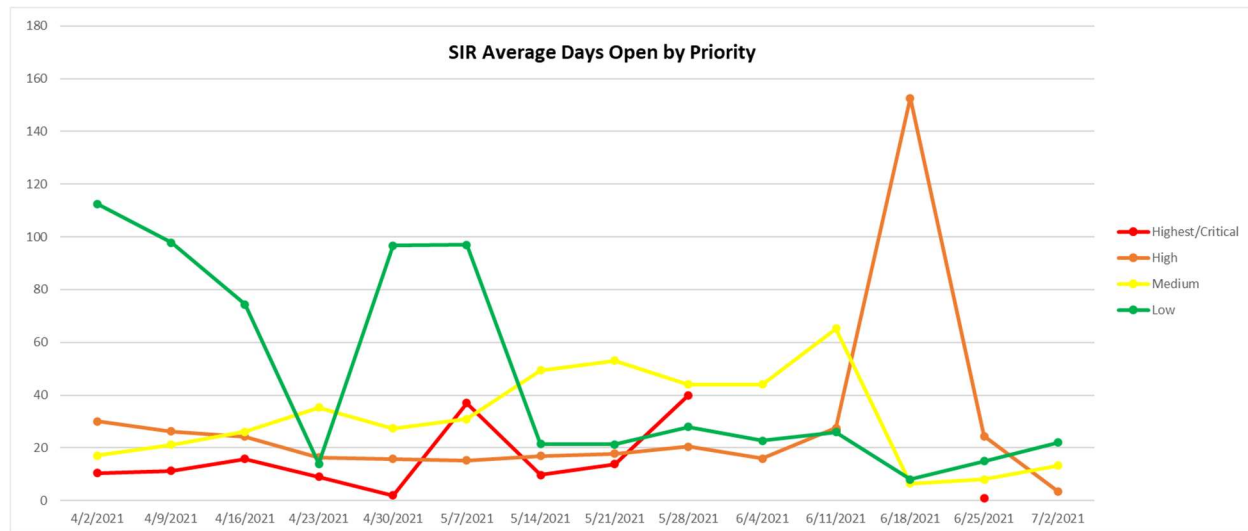
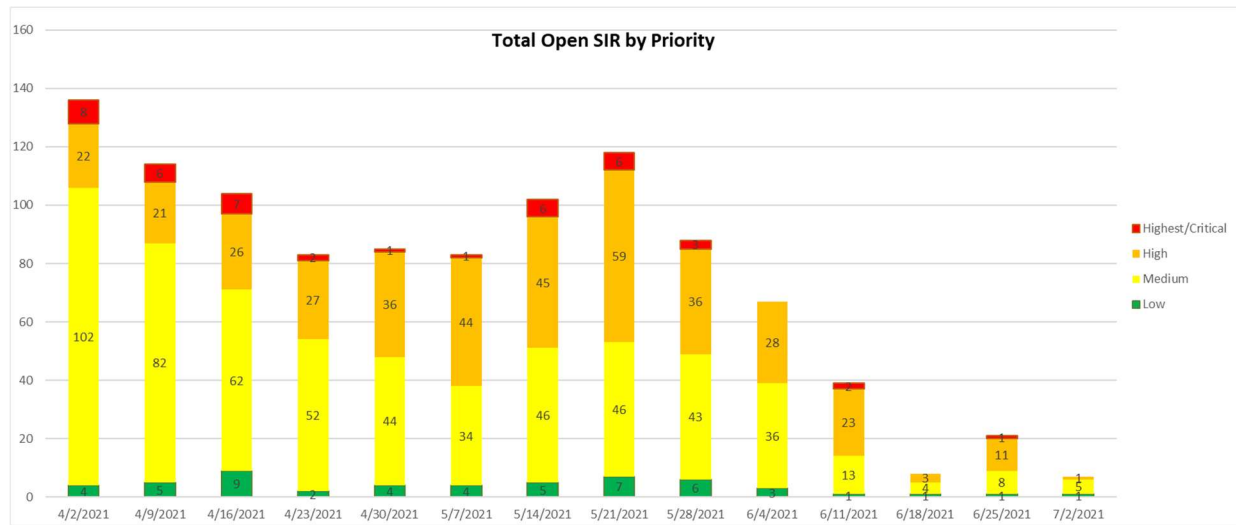
IV&V produced the following charts to show trends for three months prior to the end of June for Open and Closed by Week End Date, Total Open SIRs and SIR Average Days Open. The Open and Closed by Week End Date represents only those SIRs opened and closed each week and does not represent total SIRs or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

The June spike in average days open for week ending 6/18 is related to a prior medium priority SIR open for >90 days that was reclassified as High priority and subsequently resolved.

All charts reflect the testing transition to production operations with a large portion of open SIRs being resolved prior to go live.

** Week Ending 7/2/2021 includes only SIRs created through 6/30/2021*





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, Payroll Wave and the combined Financials Wave. The parallel activities present risks to schedule due to complexity, dependencies, and resource capacity. CMS Wave Issues 25 and 26 were resolved and no longer 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. Complete rescheduling details for the consolidated Financials Wave are dependent on contract amendment 6. In the meantime, the Project continues to publish near-term MRW and agencies have access to Standardized Business Process Models, Interface inventories, and Conversion inventories that can be used to analyze changes 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. |  |  |
| 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, Interface Testing, User Acceptance Testing and End-to-End Batch Testing for CMS Wave were completed without significant technical issues causing risks to system designs. |  |  |
| 15 | Project Training Management | The Project has delivered training to DFS and state agencies via multiple channels and has made published training material available, including user manuals that provide instructions in business context for the CMS Wave. User labs are planned to provide remedial support. |  |  |

Continued on next page.

2 IV&V Detail Reporting

2.1 Project Risks

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 assessment score for Project Time Management remains in a yellow status due to the following factors:</p> <p>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. The Department's decision to streamline the approach by consolidating Central and Departmental Waves in May has improved the rating.</p> <p>The eventual ratification of that decision along with revised deliverable and activities schedule as constituted by contract amendment 6 should further improve scoring in this area.</p> |  |  |

The Risk Log lists forty-two (41) open risks in the status of Mitigating or Monitoring as of June 30, 2021:

- Mitigating: Thirty (30) 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: Eleven (11) are being monitored to identify when their probability of affecting the Project increases to the point that mitigation is required.

During June, there were two Risks with status of Monitoring or Mitigating removed from the log while eleven (11) risks were added.

Risks removed from the log include:

Risk #190: If there is an inability to obtain the ESC approval for D156 CMS Ready to Deploy Go/No-Go Decision in June 2021, then it could cause delays in the Project.

IV&V notes Risk #190, created on September 23, 2019, was closed on June 16, 2021, as Executive Steering Committee approval was provided for the CMS launch.

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, created on April 8, 2021, was closed and removed from the log on June 9, 2021, after the June RAIDL meeting and confirmation that access was provided timely.

Risk #250: There is a delay in obtaining quotes for the planned Oracle technical support for existing licenses and procurement of additional licenses.

IV&V notes that Oracle has agreed to extend the extant licensure to ensure coverage and accommodate the execution of the new agreement.

With the exception of Risk #259, the following Risks were previously reported in earlier IV&V assessments have been carried over from the prior Fiscal Year and added to the log for FY 2021-2022:

Risk #251: Organizations lack of participation in readiness activities may impact their ability to implement the Florida PALM Solution.

Risk #252: External stakeholders understanding of Florida PALM scope or work may be unclear, which could impact the Project's work.

Risk #253: The Project might not have the staffing resources with the correct skills to perform the required activities, which could have an impact on the progress of the Project.

Risk #254: Current budget holdbacks could impact Project funding for FY 21-22.

Risk #255: Organizations may identify changes that are required to their legacy/business systems during a Wave implementation, which could cause additional work.

Risk #256: Current budget holdbacks could impact agency funding for PALM transition.

Risk #257: Florida PALM activities may not be completed timely, which could affect implementation activities organizations need to complete for go-live.

Risk #258: Deliverables may not be accepted within the fiscal year in which they are planned, which could impact funding.

Risk #259: Resource turn over post CMS launch could impact scheduled activities.

As reported earlier, IV&V has observed conditions that may indicate the likelihood of an increase in turnover of positions following the CMS Wave implementation. Higher levels of attrition are more probable in a project of longer duration.

Risk #260: Inability to make timely decisions may impact activities defined in the Project Schedule.

2.2 Project Issues

There are no open issue listed in the issues log as of June 30, 2021. No issues were added or deleted during the month.

Continued on next page.

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 process as prescribed in the Project Management Plan (PMP). 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. Plans are coordinated with DFS Divisions, Enterprise systems partners, and key agencies when needed. |
| 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 unnecessarily elongating the project schedule with subtasks and to enable team members to report progress daily by directly updating the hillclimbers. The consolidation of Central and Departmental Waves into a single implementation of Financial functions should enable management of the critical path using standard MS Project functionality. In lieu of that, 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. |

| AREA | TASK | SCORE | IV&V OBSERVATIONS |
|---------|--|-------|---|
| 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. |
| 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. | 4 | The project is undergoing another re-planning action to consolidate phases originally designed to implement Peoplesoft in multiple parts to replace FLAIR incrementally. The new approach is more streamlined and makes unnecessary the interim period that would have been dependent on FLAIR, requiring temporary solutions and translation of legacy FLAIR data to new Florida PALM data and vice versa, on a daily basis, to support business processing. While there are inherent risks associated with a phased deployment approach due to the complexity of managing multiple Waves in parallel, this streamlined approach simplifies the implementation of Financial functions and should reduce risks. |
| 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. |

| AREA | TASK | SCORE | IV&V OBSERVATIONS |
|---------|--|-------|---|
| GPM - 9 | Assess coordination and management to verify agencies and departments are not working independently of one another and are following the communication plan. | 3 | <p>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.</p> <p>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. Most exhibit a general awareness and express support for the plan.</p> <p>IV&V has initiated independent direct assessments of individual agency readiness specifically in areas of understanding what information is available, the impacts of changing the chart of accounts, actions that are needed, and deployment of resources.</p> |

Continued on next page.

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 has previously independently confirmed commitment of FLAIR, LAS/PBS, STMS and People First to complete these activities according to the project schedule. The Project and MFMP continue to engage to align activities and schedules. The consolidation of Central and Departmental Waves into a single implementation of Peoplesoft Financial functions reduces the risk of misalignment with MFMP because it provides more time and simplifies the development by reducing items meant to support interim processing.</p> <p>As of the end of June, the Project is working with People First and DFS Divisions to determine the implications to the timing/transition of agency payroll cost accounting processes with the new consolidated implementation.</p> <p>The Project continued to work with OIT and A&A to organize and establish production support resources for post-implementation operations and agency users. State leadership has redeployed resources and Accenture has added resources to fulfill expectations and comply with recent proviso mandates.</p> <p>Staff show some signs of 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. | 4 | <p>Deliverable Expectation Documents are inclusive of timelines to inform the project schedule. Deliverable deadlines and milestones have been sufficient in most cases.</p> |

| AREA | TASK | SCORE | IV&V OBSERVATIONS |
|---------|--|-------|---|
| TME - 3 | Review schedules to verify that adequate time and resources are assigned for planning, development, review, testing and rework. | 3 | <p>As of June, the Project continues to meet the deadlines necessary to secure the support of its governance structure and Department management. While some tasks are behind schedule, those do not pose risk to the timely launch of CMS Wave or the overall project.</p> <p>The Project has already designed the new chart of accounts and the standardized business processes that represent the end-state along with interface inventories for standard processing.</p> <p>The project schedule is being revised to simplify the objectives and provide more time for agencies to plan, develop interfaces, and be prepared for transition. The revised schedule will provide more time complete configuration, development and testing activities to assure quality.</p> <p>FFMIS partners and STMS have not expressed objections to the revised approach consolidating Central and Departmental Waves. People First has prompted discussions on how the new approach would affect agency payroll costs accounting if Florida PALM payroll is implemented later than the Financial functions.</p> <p>Neither State nor Accenture management has indicated an inability to complete work as planned.</p> <p>The Project is working to create a revised project schedule along with a contract amendment to fully detail how the new approach will be executed. It is crucial that these pieces of work be completed and ratified quickly to avoid loss of productivity following CMS Wave implementation in July. Until the schedule revisions are complete and contract amendment 6 is executed, the definitive schedule remains to be confirmed.</p> |
| 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 | <p>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.</p> |

| AREA | TASK | SCORE | IV&V OBSERVATIONS |
|---------|---|-------|---|
| 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.</p> <p>During June, the Project and OIT successfully completed end-to-end batch testing involving the exchange of data and automated nightly batch cycle execution for Florida PALM and FLAIR.</p> <p>Isolated agency feedback received in June indicates there may be near term challenges in securing resources to support the development of interfaces and internal systems remediation. This appears to be affected by the idea that the consolidation of Departmental and Central Waves somehow delays the need to execute analysis and design activities.</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. | 4 | <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. The decision to consolidate Central and Departmental waves into a single Financials wave greatly reduces this dependency.</p> <p>The impacts to FLAIR presented by CMS Wave are regarded as minimal. As contract amendment 6 is developed to support this decision, consideration will be given to further consolidating the Payroll wave into the Financials wave. It remains to be confirmed whether this is practicable for the State.</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 | <p>The Project routinely takes a painstaking approach to sharing detailed information with stakeholders, sponsors, and governance entities.</p> <p>As CMS Wave implementation approaches, the Project has conducted frequent and regular written updates to stakeholders and weekly meetings with the ESC.</p> |

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 more than 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. It is unclear at this point whether contract amendment 6 will introduce additional costs. |
| 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 engagement with Track teams to create 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 | Sponsors are fully engaged, inquisitive, and active within their respective organizations. Sponsors generally demonstrate a high level of commitment to the Project. DFS Division leaders have increasingly demonstrated a commitment to finding workable solutions. |
| 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. The Project has increased interaction with the ESC to provide updates on progress and issues and to solicit input and feedback from the Committee. |
| 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. | 3 | The Project regularly conducts proactive communications to and interaction with stakeholders and uses stakeholder feedback to improve where needed. 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 May, this work continues. 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. There have also been statements made that indicate agencies may face challenges in securing resources to support development of interfaces and business system remediation activities. This may result in disruption of automated processing in cases where development of interfaces and/or business system modifications lags. |

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. | 5 | 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 June, the Project had no open issues on the Issues log. |
| 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. | 3 | The contract, statement of work, and schedule, reflect responsibilities and resources assigned to tasks. With the decision to consolidate Central and Departmental Waves comes the need for schedule revisions, potential for new or increased services, and contract amendment 6 to support the necessary changes. |
| 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 | 3 | Vendor resource issues require ongoing management to prevent risk. Turnover remains an area of focus. Late in June, Accenture notified the State of upcoming departures of some positions. 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 | June brought notice that some Accenture resources will depart the project. 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 approaching CMS Wave launch, 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 exercises. |
| 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. As of June, there have been relatively few disputes on the interpretation of requirements and those have been resolved amicably to mutual agreement. |
| 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. |
| CAP - 9 | Verify that all system interfaces are identified, and specifications are defined. | 4 | The Project has provided standard interface layouts and in June completed the process of working with agencies and partner systems to finalize development for the CMS Wave. |

| AREA | TASK | SCORE | IV&V OBSERVATIONS |
|----------|---|-------|--|
| 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. | 4 | The Project has shared standard interface layouts for the Financials wave and is in the process of working with interfacing entities to determine specifications. CMS Wave objectives are clear and commitments to schedule are confirmed. |
| 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 | <p>In June, cutover planning was completed with all parties. There were no objections to timing or activities as of this reporting period.</p> <p>The Project completed multiple iterations of "Full Dress Rehearsal" testing of the cutover plan, which included execution of data conversion programs and reconciliation of results. The exercises were successful in identifying some changes needed and the cutover plan was enhanced accordingly.</p> <p>The Project and OIT completed end-to-end batch testing and clarified validation steps and quality criteria for the automated batch processing cycle.</p> <p>The Project, OIT, A&A and Treasury met their objectives to establish how incidents that occur during batch cycles will be responded to and how records that error out of the cycle will be resolved by exception handling.</p> |
| 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. |

| AREA | TASK | SCORE | IV&V OBSERVATIONS |
|---------|--|-------|--|
| 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. | 4 | <p>Testing services for CMS Wave were completed successfully. Open SIRs to address items needing development or configuration have been triaged and prioritized.</p> <p>Project leadership reviewed the SIRs to identify those most critical to be resolved prior to implementation and focused resources on those.</p> <p>Mutually agreed workarounds used as the basis for categorizing SIRs should be documented within the SIR itself to help expedite the assessment of SIRs.</p> |
| 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. |
| 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 |

| AREA | TASK | SCORE | IV&V OBSERVATIONS |
|----------|---|-------|---|
| 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 implemented a secondary ranking JIRA category for SIRs - "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 were not fixed prior to implementation. However, while considerable progress has been made to include complete descriptions of business impact and workarounds to support priority assigned, not all SIRs have been updated.</p> |
| TST - 11 | Verify that appropriate acceptance testing based on the defined acceptance criteria is performed satisfactorily before acceptance of software products. | 5 | <p>No Material Findings</p> <p>UAT for CMS Wave is underway.</p> |
| TST - 12 | Verify that the acceptance test organization has an appropriate level of independence from the software configuration/development organization. | 5 | No Material Finding |

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

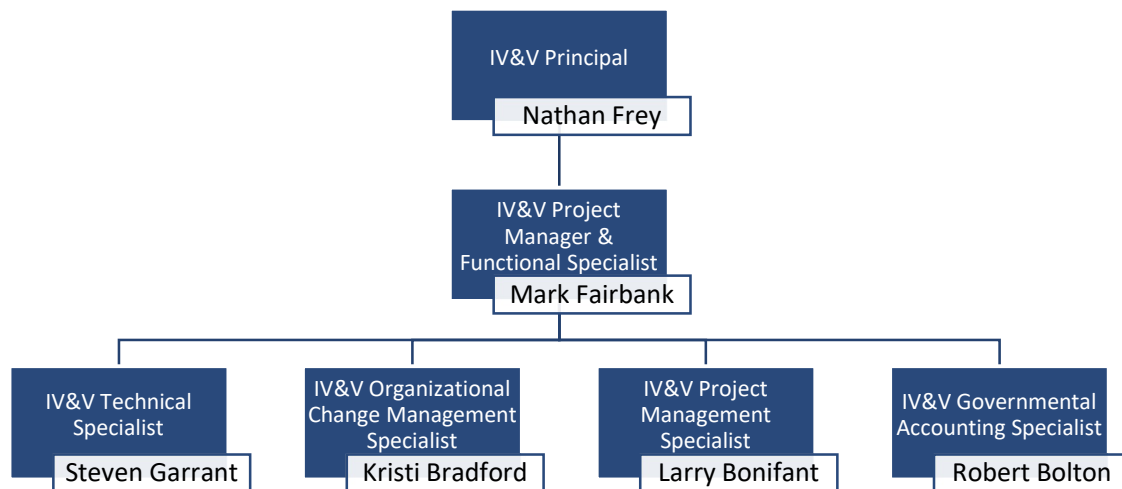
During this period, IV&V observed and participated in activities involving the following topics as part of our ongoing role in the quality assurance process.

| Subject | Activities | Description |
|---------|---|--|
| D101 | Ongoing validation of SIR resolutions | Completion of System Test |
| D120 | Ongoing validation of execution | Help Desk Strategy |
| D122 | Review and observations on deliverable | Confirm Requirements Traceability |
| D127 | Ongoing validation of execution | Production Support Strategy |
| D135 | Ongoing validation of execution | Deployment and Contingency Plan (CMS Wave) |
| D137 | Review and observations on deliverable | Production Support Operations Plan |
| D138 | Validation of deliverable | Production Environment Delivery |
| D141 | Review and observations on deliverable | Production Support Application Configuration Management Plan |
| D146 | Validation of deliverable | Technical and Security Compliance Confirmation |
| D152 | Review and observations on deliverable | Completion of Mock Go-Live |
| D153 | Ongoing validation of execution | Post Implementation Support Plan (CMS Wave) |
| D172 | Ongoing review and observations on schedule | Project Schedule |
| D465 | Ongoing review and observations on deliverable | CMS Wave Master Readiness Workplan |
| FDR 2 | Review and observations on execution of second exercise | CMS Wave Full Dress Rehearsal – 2 nd Iteration |
| WP29 | Ongoing validation of execution | Operational Readiness Test Plan (CMS Wave) |
| WP362 | Ongoing review and observations on work product | Help Desk Mobilization Plan |
| IV&V | Ongoing validation | Project/Department /Agencies engagement and readiness activities |
| IV&V | Ongoing validation | Project phasing approach and resourcing |
| IV&V | Ongoing validation | Test services execution and defect management |

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:

| | |
|---|--|
| Mark Fairbank, ISG Director IV&V Project Manager Mark.Fairbank@isg-one.com | Nathan Frey, ISG Partner IV&V Principal Nathan.Frey@isg-one.com |
|---|--|