



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

Presented by:

Information Services Group Public Sector

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# 1 IV&V Monthly Assessment

## 1.1 Executive Summary

### March 2020 IV&V Summary

*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 18, Time Management page 19, Scope Management page 21, and Stakeholder 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.*

*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.*

*IV&V observes the emergence of a potential Project Risk associated with Central Wave business process designs. Specially, alignment of multiple DFS expectations is at times challenging given that DFS has three types of stakeholder roles to fulfill:*

- 1) as the enterprise sponsor of the entire project and the functionality to be implemented at agencies statewide,*
- 2) as the operator of FLAIR on which the Project is dependent to facilitate business processing and accounting until completion of Departmental Wave; and*

- 3) *as an individual state agency whose own business will need to implement Florida PALM to support business operations.*

*As of March, there are indications that some stakeholders within DFS have begun to reassess, analyze, and question business process designs and decisions previously presented, reviewed, and approved as part of 2019-2020 project activities. IV&V has seen no indications that the Project is considering a redesign effort at this time.*

*For the current system development lifecycle methodology to produce results within the planned duration, scope of effort, and budget, it remains crucial that all levels and units of DFS align with, support, and execute tasks in unison with the Project.*

At the end of March, two CMS Wave issues remained open. Each was originally planned for closure prior to the start of User Acceptance Testing:

- 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.
- Issue 26 was logged in December to address the implementation of interfaces to support the accounting of DFS Treasury banking activity as it pertains to the use of subaccounts and concentration accounts.

*Beginning in February and throughout March, IV&V observed that resolution of each issue began tracking behind the original plan to be completed prior to the start of User Acceptance Testing (UAT) in March. Significant progress was made to resolve issues affecting multiple interfaces involved. However, challenges persisted. Both situations indicate contingency time in the UAT schedule will be necessary. While each issue was envisioned to be resolved prior to the start of UAT in March, the UAT schedule does not depend on the Issue 25 interfaces in question until mid-April. Open Issue 26 interfaces are not involved in UAT test cases.*

*Issue 25 involves data conversion and interfaces exclusive to the Peoplesoft Deal Management functions to be used by DFS Treasury. Following a delay in execution of the contract for a new investment data services provider, Treasury recently completed the implementation of services. With the dual implementation of this new service and Florida PALM CMS Wave, Treasury is introducing new data and new detailed accounting processes for externally managed investments. The complexity of two new implementations combined with the introduction of new data and new business process have, at times, extended periods of discovery and slowed results as each party works toward mutual understanding of data definitions and process dependencies. IV&V continues to observe the demonstrated commitment of all parties to cooperate with urgency to resolve Issue 25. IV&V also observes that Treasury and the Project have sound contingency measures in place if Issue 25 cannot be resolved during UAT.*

*Issue 26 has a broader impact on the CMS Wave, as it involves the banking interface that supports a much wider range of business processes to be implemented in July. As of the end of March, Issue 26 was very near resolution.*

Issues 25 and 26 affect IV&V assessment scoring in Section 2.3 IV&V Detailed Assessment Scorecard, Project Area: Capability Management beginning on page 33.

*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 March, 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, data conversion, or the schedule for implementation. In addition to verification of project activities and 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.*

### **CMS Wave Testing Update**

*Overall, testing is proceeding in an orderly manner and results are typical and expected for a project of this nature. One area of concern is the timeliness of interface test completion. Test management has tended to focus on organization of test case execution and tactical break/fix activities as negative results are produced. The volume of CMS Wave test items and system changes required is comparatively low when compared to expectations for the Central and Departmental Waves. IV&V strongly recommends that Accenture introduce a routine of metrics to focus on throughput of testing execution, aging of fixes, and trending by functional area and RICEFW area to enable more strategic management of testing activities. This type of information will be crucial to enable prompt and agile management as the volume of testing increases by an order of magnitude in future waves. Recent metrics introduced to address Interface Testing are a good start and should be helpful for stakeholders and other decision-makers to provide direction and feedback to the Project.*

Florida PALM and DFS OIT Teams continued weekly CMS Wave Batch Process Review meetings. Meetings focused on coordination and timing of upcoming Florida PALM and iFLAIR end-to-end interface testing now scheduled to begin in early May.

*IV&V observed continued productive discussions focused on interdependencies of the Florida PALM and iFLAIR batch cycles. The analyses and decisions reached should accomplish synchronized end-to-end (i.e., 'production like' or 'day in the life') batch processing inclusive of OIT and third-party interfaces in the test environments.*

Conversion testing in preparation for Full Dress Rehearsal (FDR) continued during the month of March. 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.

Conversion status as of March includes nine (9) SIRs open – one (1) High and eight (8) Medium priority. Conversion routine DMC001 and DMC002 associated with Issue 25 are pending an additional test cycle with 3 open SIRs (1 High and 2 Medium).

Identity Access management (IAM) Testing open SIRs as of the end of March include one (1) Medium and two (2) Low priority SIRs, open for 117 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.

System Test Cycle 6 testing was completed during December.

*IV&V observes testing and issue resolution for these items are being tracked regularly within the Issue 25 remediation plan.*

*IV&V observes, as of the end of March, all System Test SIRs have been closed or deferred to Integration and Interface Testing.*

Preparations for Regression Test began during March. 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 March, IV&V observed that preliminary activities for Regression Test identified four (4) Medium open SIRs.*

User Acceptance Testing (UAT) began in March. At month's end, a total of 46 SIRs were opened including one (1) Highest/Critical, three (3) High and 42 Medium priority.

*IV&V observes, with commencement of UAT, in addition to “Priority” (based on the impact the item causes to Project progress) the Project has implemented a secondary ranking JIRA category for SIRs “Business Criticality”. Introduction of the Business Criticality metric is intended to classify the impact to business operations more accurately in the production environment if the item is unresolved prior to implementation.*

*SIRs defined as Highest/Critical (Business Criticality=1) or High (Business Criticality=2) priority identify defects that would halt or significantly and adversely affect production operations. The SIR documentation practice does not consistently include complete descriptions of potential business impacts and proposed workarounds to support the assigned priority.*

*IV&V recommends documenting the validity of, or the absence of, a production workaround and existence of a justifiable business impact assessment 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 release to the go-live production environment.*

Interface and Integration Test Cycles continued during the month of March and overall testing status is behind schedule. All 44 planned tests for the 27 interfaces have been executed. Eight (8) are in various stages of code fix and/or review. As of the end of March, five (5) Highest/Critical, sixteen (16) High, thirty-two (32) Medium, and one (1) Low priority Interface and Integration Test SIRs remain open pending resolution. Open interface tests and related SIRs are not expected to adversely affect the UAT testing schedule until mid-April.

*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.*

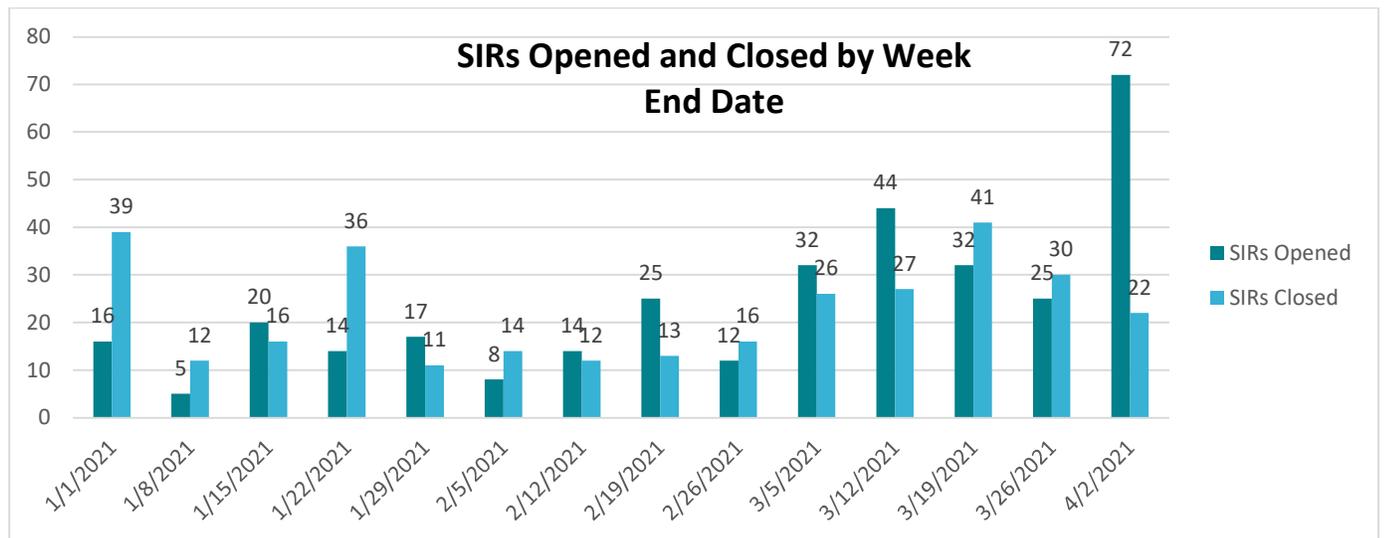
*IV&V continued to observe delays caused by challenges in resolving SIR defects discovered while working Issues 25 and 26 and later test cycles that affect downstream test cases. This is indicated by the continued higher number of open Highest/Critical and High priority SIRs.*

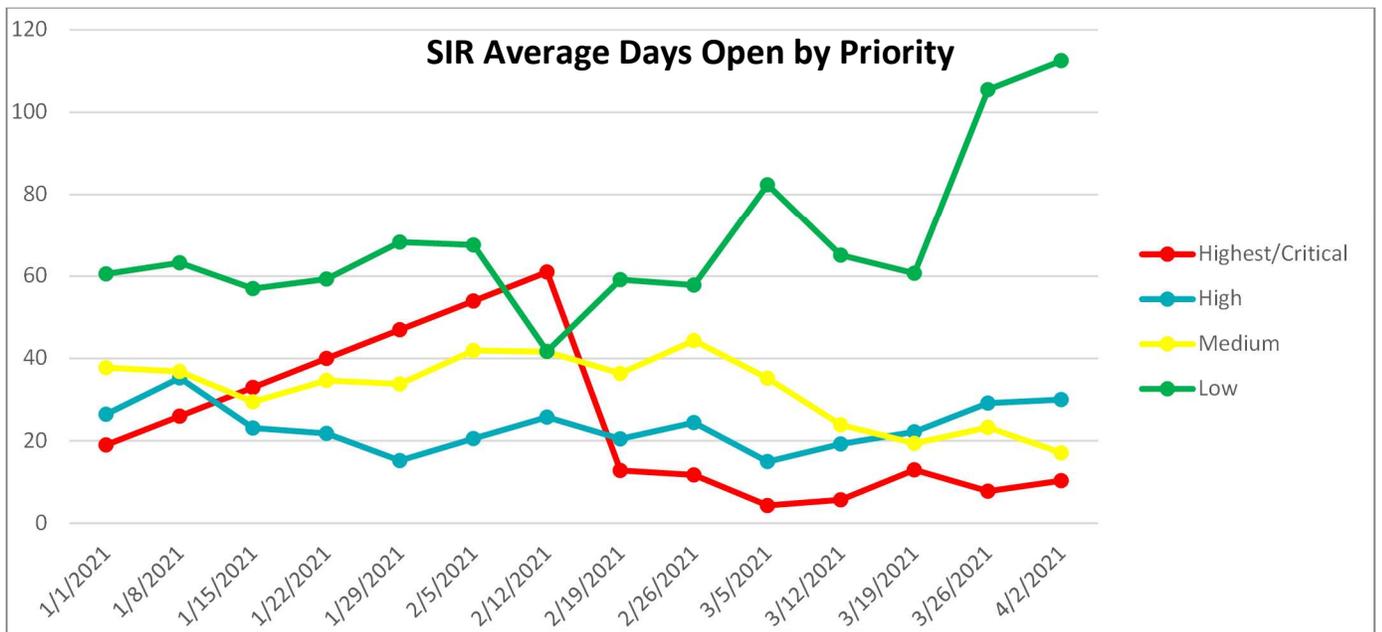
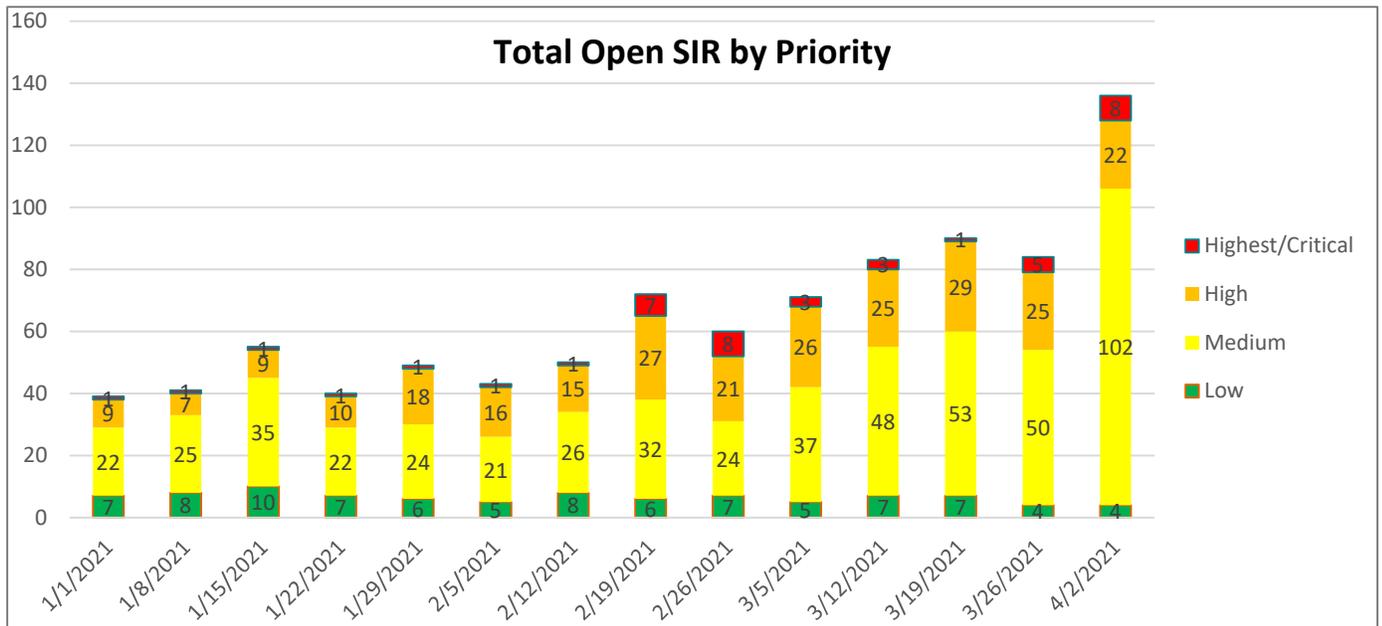
For Interface Testing, five (5) Highest/Critical SIRs are in open in ‘Retest’ and ‘Resolve’ status. Three (3) of these are related to interface DMI001 and Issue 25. As of the end of March, four (4) of the five (5) current Highest/Critical SIRs have been open for twelve (12) days or less. One SIR related to excessive processing time for a bank recon interface has been open for 27 days.

For all testing phases (inclusive of above noted Interface Testing status notes), a total of three (3) High (Two (2) interface Testing related), three (3) Medium and three (3) Low priority SIRs remain open for greater than 90 days. Two (2) Medium SIRs remain open 61-90 days. Three (3) High, nine (9) Medium and one (1) Low remain open for 31-60 days. Six (6) High priority SIRs have been open greater than thirty (30) days. All other Interface and Integration SIRs have been open for 30 days or less as of the end of March.

*IV&V produced the following charts to show trends for three months prior to the end of February 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 March includes 46 User Acceptance Testing SIRs as noted earlier in the assessment. The late March increase in opened as well as total open SIRs can be attributed to the commencement of UAT. The increase in Average Days Open for Low Priority SIRs is due to the closure of all except four (4) low priority SIRs which have all been open for 52 to 164 days.*





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

### Engagement Activities

The Project and some agencies continued to perform work remotely due to COVID-19 workplace accommodations and conduct touchpoint meetings by teleconference or video conference with organization representatives to manage activities contained in the Master Readiness Workplan (MRW).

*Agencies and the project team worked remotely and effectively through touchpoints that focused on new and ongoing MRW tasks. Working remotely does not appear to have adversely affected productivity. Agencies continued to engage with the project on activities associated with CMS Wave, Central Wave and Departmental Wave.*

*During March, agencies were asked to create and share agency-specific development timelines for Central Wave interfaces. IV&V observed that these timelines provided additional visibility for both the agency and the Project in understanding scope and ability to be ready for Central Wave testing and go-live. Readiness Coordinators (RCs) assessed the timelines received and compared those to agency status reports and interface connections inventories. IV&V observed ongoing collaboration between the project and agencies in identifying and addressing discrepancies between identified integrations.*

*Agencies submitted their final CMS Wave Readiness Survey in March.*

*Select agencies participating in UAT testing identified testers and participated in a UAT Kickoff in March. IV&V observed that agencies participating in UAT had high levels of anticipation for accessing the system and gaining solution exposure.*

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

*In addition to the Security Access Manager (SAM) training, the Project added PALM navigation and CMS overview training. This training is accessible to agency users and can be accessed on demand with no role or number of execution limitations.*

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 March, the Project communicated key areas of change to the community through released communications and agency touchpoints. The Project launched a Solution Center site to provide information for Tier 0 Support, PALM TECH (training) and other help. This site will be expanded in the weeks preceding CMS implementation.*

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&amp;V scoring</i>
			<ul style="list-style-type: none"> <li>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.</li> <li>CMS Wave Issues 25 and 26 were logged previously. Each has a resolution plan and activities are underway and, as of March, were behind schedule. While each issue presents schedule risks, as of March, these issues do not threaten the overall CMS Wave implementation.</li> <li>Observed planning activities are consistent with the Project Management Plan and standard practices.</li> <li>As part of a multi-faceted organizational change management program, the Project regularly conducts proactive communications to stakeholders, including partner system organizations such as FFMS/STMS and state agencies.</li> <li>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.</li> <li>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.</li> <li>The risk of turnover in key positions remains high. The multi-year, multi-phase implementation approach increases the probability of occurrence.</li> <li>The project’s managerial and reporting structure supports staff development, process definition, quality assurance, and other functions necessary for project success.</li> <li>Cost management and resource allocation are monitored closely by Track Managers and PMO.</li> <li>Quality control, financial control, and vendor processes are established and consistently executed.</li> <li>Collaboration between the State Project Team and Accenture Team continues to produce acceptable results.</li> <li>The Project trend is stable as work toward executing the statement of work and producing deliverables is proceeding according to plan.</li> </ul>

### 1.3 IV&V Monthly Assessment Dashboard

IV&V Dashboard			CURRENT	PRIOR
	PROJECT AREA	PROJECT AREA DESCRIPTION	RATING	
1	<b>General Project Management</b>	Consistent and effective project management processes are being used and coordinated within the Project and with Project participants to achieve desired results.		
2	<b>Project Scope Management</b>	Effective scope management practices are evident.		
3	<b>Project Time Management</b>	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	<b>Project Cost Management</b>	The Project is routinely estimating, budgeting, managing, and controlling costs.		
5	<b>Project Quality Management</b>	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	<b>Project Stakeholder Management</b>	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	<b>Project Communications &amp; Readiness</b>	The Project team routinely identifies internal and external stakeholders and supports timely, appropriate, and accessible communications.		
8	<b>Project Risk &amp; Issue Management</b>	The Project is effectively identifying, analyzing, prioritizing, and controlling project risks and issues.		
9	<b>Project Procurement Management</b>	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	<b>Project Vendor Management</b>	The Project is monitoring vendors and subcontractors to confirm they meet all requirements and managing performance where needed.		
11	<b>Project Human Resource Management</b>	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	<b>Project Change Control</b>	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	<b>System Capability Management</b>	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	<b>Project System and Acceptance Testing</b>	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. Issue 25 and Issue 26 address situations contributing to schedule risk by isolating components of CMS Wave functionality and managing them on their own timeline.		
15	<b>Project Training Management</b>	The Project continues to build 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 may require near-term CMS Wave schedule changes (Issue 25).
- Delays incurred to complete and test design changes required for CMS Wave functionality related to interfaces supporting DFS Treasury’s accounting for banking activity pertaining to the use of subaccounts and concentration accounts (Issue 26). This risk decreased by the end of March.
- 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	<b>Project Time Management</b>	<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 Issues 25 and 26 need to be resolved or have practicable business contingency plans invoked to complete UAT and prevent risk to the planned implementation date.</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**

This section has been retained and added to 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's 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 after 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. IV&V has observed recent inquiries emanating from A&A that indicate renewed scrutiny of the BPMs, with some of the questions signaling the possibility that redesigns may be desired. If this is the case, and the Department proceeds to consider redesign efforts, the risk to project schedule and cost control, and potentially scope, will increase.

**The Risk Log lists thirty-six (36) open risks in the following statuses as of March 31, 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: Six (6) are being monitored to identify when their probability of affecting the Project increases to the point that mitigation is required.
- Under Evaluation: There are no risks currently in Under Evaluation status (risks being evaluated and awaiting plan development).

**During March, there were two (2) risks removed from the log, and there were no risks added.**

Risks removed from the log include:

**Risk # 189:** If there is an inability to obtain the ESC approval for D130 CMS Ready for User Acceptance Testing UAT Go/No-Go Decision in March 2021, then it could cause delays in the Project.

*IV&V notes Risk #189, created on 9/23/19, was removed from the log as all deliverables for D130 were accepted by the Project Director and approved by the Steering Committee during the March meeting.*

**Risk #246:** Timely submission of the Post Implementation Support Plan (D153).

*IV&V notes Risk #246, created on 2/13/2021, was removed from the log on 3/1/21 as the Post Implementation Support Plan deliverables were submitted.*

## 2.2 Project Issues

There are two open issues listed in the issues log as of March 31, 2021. No issues were added to or deleted from the log during the month.

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

*IV&V notes that the Mock Pass 1 was reported successfully completed on 3/2/2021.*

*The Mock Pass 2, focused on Deal Management (DM) and Bloomberg-dependent data, was executed in mid-March but the verification process uncovered issues with input data. The Mock Pass 2 has been re-executed with Treasury now verifying data. Treasury will update the file used for conversion to correct data that failed to load. The Interface Testing of DM interfaces is in progress, but data issues have been uncovered. The team works together with Treasury and Bloomberg daily to resolve these data issues. Completion of testing is dependent upon loading valid data from conversion and interfaces.*

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

*IV&V notes, as of the end of March, Issue 26 is nearly closed. Issues with downstream processes and interfaces are delaying interface testing completion. As most processes are dependent upon this file, it is fundamental to the CMS implementation.*

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 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.



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.
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	<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.</p>



**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&amp;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 March, 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. As of March, prolonged interface testing related to Issues 25/26 is exacerbating risk to the CMS Wave critical path and functional designs for Central Wave are behind schedule.</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	As of March, the Project continues to meet most of its deadlines. The project schedule continues to be at risk due to immediate Issue 25/26 and other factors described in Section 2.2.  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.
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	Some deliverables have not been submitted or accepted within the originally scheduled time 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.  As of the end of March, Issue 25 continues to threaten the completion of UAT as scheduled. To date, the project's critical path has not been adversely affected.
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.	4	The Project routinely takes a painstaking approach to sharing detailed information with stakeholders, sponsors, and governance entities. While attention to and absorption of such information has improved for most parties, within the Department the business and organizational implications of designs completed and approved in 2019-2020 appear to be undergoing renewed scrutiny, which is opening the Project to possible scope change for process designs that have long been considered complete.
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.
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 greater or significantly less than available 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. Although Accenture has made efforts to improve pre-collaboration and pre-submission quality reviews to make the prescribed process more efficient, State reviews continue to generate a high volume of revisions, edits, and rework in some cases. 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.

AREA	TASK	SCORE	IV&V OBSERVATIONS
STK -5	Verify that stakeholder expectations match the project objectives and deliverables.	3	<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 forthcoming technological changes.</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 March, this work continues.</p> <p>Alignment of multiple DFS expectations is at times challenging given that DFS has three types of stakeholder role to fulfill:</p> <ol style="list-style-type: none"> <li>1) as the enterprise sponsor of the entire project and the functionality to be implemented at agencies statewide;</li> <li>2) as the operator of FLAIR on which the Project is dependent to facilitate business processing and accounting until completion of Departmental Wave; and</li> <li>3) as an individual state agency whose own business will need to implement Florida PALM to support business operations.</li> </ol> <p>As of March, there are indications that some units within the department have begun to reassess, analyze, and question business process designs and decisions previously presented, reviewed, and approved as part of 2019-2020 project activities. It remains crucial that all levels and units of DFS align with, support, and execute tasks in unison with the Project to ensure fiscal controls, quality, and timeliness.</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&amp;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>
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.	3	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 March, the Project was actively managing two open issues. Issues 25/26 were originally planned to be resolved prior to starting User Acceptance Testing. Work to close these issues is behind schedule and may affect the schedule for UAT. 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.
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.
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. As COVID-19 causes extended telecommuting situations, the Project has taken steps to connect with staff and gauge morale. 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.
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.
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.
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 can be 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 start development for the Central Wave.</p> <p>Issue 25: DFS Treasury's newly contracted investments data service provider limitations have introduced the need to re-evaluate some interface designs to fulfill functional requirements.</p> <p>Issue 26: Unanticipated work is needed to resolve interface format conflicts with standard functionality to support Treasury Banking interfaces.</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	Cutover planning is underway with all parties. There are no objections to timing or activities as of this reporting period.
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	As of March, Interface Testing was ongoing.  Issues 25/26 have caused delays in testing downstream processes and interfaces.  Test cases/scenarios are producing findings that are documented, triaged, and addressed in an orderly fashion.
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



AREA	TASK	SCORE	IV&V OBSERVATIONS
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>
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		Pending expansion of training beyond the initial online Security Access Manager training.
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 curriculum is under development. CMS Wave training units are in design and build.
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.		Pending

## 2.4 IV&V Other Activities

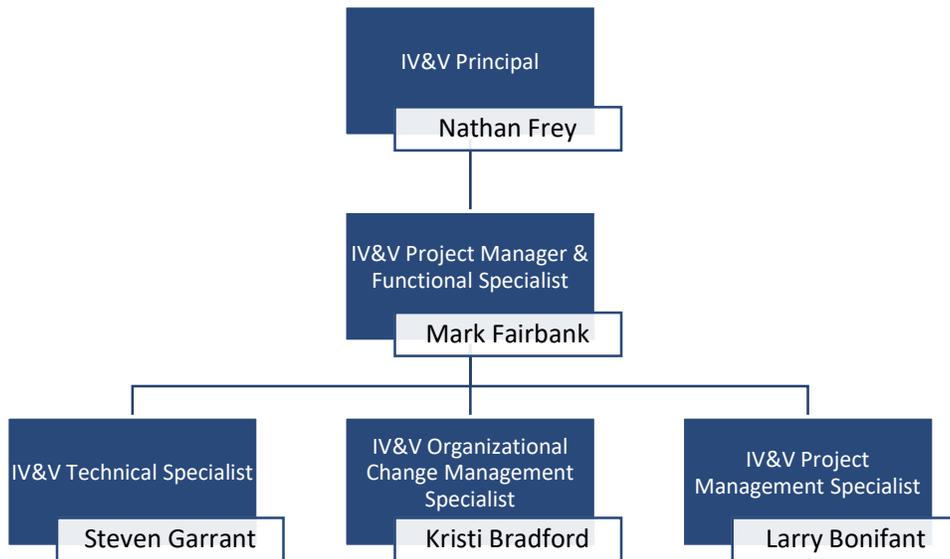
During this period, IV&V observed and participated in activities involving the following topics as part of our ongoing role in the quality assurance process.

Subject	Activities	Description
D094	Ongoing validation	Interface and Integration Testing Plan
D101	Validation	Completion of System Test
D105	Review and observations on deliverable	Workflow Administration Guide
D115	Review and observations on deliverable	User Acceptance Test Plan
D120	Ongoing validation	Help Desk Strategy
D125	Review and observations on deliverable	CMS Wave Training Materials
D127	Ongoing validation	Production Support Strategy
D135	Ongoing validation	Deployment and Contingency Plan (CMS Wave)
D153	Ongoing validation	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
D500	Ongoing review and observations on deliverable	Training curriculum (Central Wave)
I-D190	Ongoing review and observations on internal deliverable	Training Needs Assessment
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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