ISG™

Florida PALM Project

IV&V Assessment Report – May 2021
Deliverable IVV2.2

Presented by:

Information Services Group Public Sector

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1 IV&V Monthly Assessment

1.1 Executive Summary

May 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 May, work continued on the Deliverables that will constitute the basis for the upcoming Go/No-Go Decision for CMS Wave. At this time, IV&V has not identified any significant threats to the completion of these without compromises to quality in time to support that decision. The Project's Business Sponsors and key agency partners and DFS Divisions all demonstrate a focus on awareness, details, and cooperation to execute tests and preparations.*
>
> *As of May 31st, the development and testing of functionality to accommodate federal statutory changes to monthly interest apportionment processing was behind schedule but had a plan for delivery prior to launch date, with a Treasury approved business contingency plan. The Project also continued to work with the Department of Revenue and the Department of Business and Professional Regulation to support the latter's internal accounting process.*
>
> *To date IV&V has not identified technical or other issues that would prevent the launch as scheduled.*
>
> *IV&V continues to assess the Project to be in a yellow status in one area: Project Time Management.*
>
> *Some ratings in the Project Time Management detailed scorecard have improved following the Department's decision in May to consolidate the Central and Departmental Waves into a single implementation of Peoplesoft financial functions. The rationale for the improved ratings is explained later in this section.*
>
> *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. 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 greatly.*
>
> *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 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 29.*

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. Organization of production-support and user-support operations continues.

Deployment Readiness Assessments

During May, the Project continued to conduct periodic Deployment Readiness Assessments. This Deliverable is structured to provide cross-functional State and Accenture team members at multiple levels the opportunity to affirm the successful completion of critical path activities toward implementation, identify where attention is needed to complete activities, and recognize impediments that present risk to successful completion.

> *IV&V observes the deployment readiness assessment criteria to be robust and participation to be adequate to elicit concerns and identify dependencies that require attention.*

> *IV&V monitors and assesses working dynamics, throughput, timeliness, and quality of deliverables/work products, and team morale as complexity and workloads increase dramatically.*

> *The State and Accenture teams continue to demonstrate cooperative and collaborative working relations. Productivity is consistently high despite some items being completed later than originally scheduled. Attention to quality remains a priority and contributes to some items taking longer to complete. Morale is challenged by the workload and its complexity as well as the tensions that are a normally anticipated factor when approaching the implementation date. In some cases, anxieties are evident among key resources. Project leadership demonstrates they recognize these dynamics and work on communicating with, supporting, and providing direction to project team resources, Department Division staff, and other agency stakeholders.*

> *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.*

Decision to Consolidate Central and Departmental Waves

Previous IV&V monthly assessments have included descriptions of the risks inherent with the Project's multi-phase, multi-wave, implementation approach that originally set out to implement incrementally both by system function and by organization but was subsequently streamlined into waves to implement all organizations at once by function.

The approach adopted last year that continued to retain the Central and Departmental waves was intended to incrementally implement Peoplesoft in such a way that would divide PeopleSoft functionality in a way comparable to that of Central and Departmental FLAIR. This would require customized temporary business processes, temporary interfaces, daily bidirectional data conversions, and balancing and reconciliation operations for both PeopleSoft and FLAIR to be used in the period between Central Wave implementation and Departmental Wave implementation.

IV&V assessed the schedule risk of this approach to be high due to the complexities of operating a hybrid of the two systems with interim business processing, the unknown factors involved in modifying FLAIR, and the prolonged reliance on FLAIR.

> *IV&V believes the decision to streamline the implementation approach by consolidating the Central and Departmental Waves into a single statewide Financials implementation in 2024 is sound because:*
>
> - *It simplifies the design by eliminating interim business processing and keeping PeopleSoft functionality whole. This also reduces risk to quality.*
>
> - *It eliminates the need for FLAIR customizations and removes the dependencies on a modified FLAIR system to operate using a hybrid PeopleSoft model.*
>
> - *It clarifies the singular timeline toward implementation to reduce confusion among agencies and within the Department and the Project itself. This may also help to reduce the high risk of turn over in key positions.*
>
> - *It provides more time for agencies to analyze and prepare for the change forthcoming with Florida PALM.*

Historical Perspective and Comparative Assessments

IV&V observes the Project is often compared by stakeholders to past efforts to implement large-scale, complex, enterprise systems and specifically to the unsuccessful attempt of Project ASPIRE to replace FLAIR in 2007.

> *Because this is a recurring theme and one that has influence on the perceptions of stakeholders, partners, agencies and user, IV&V has studied the historical diagnostic materials available and has occasionally used the findings to assess Florida PALM.*
>
> *These assessments are compiled and included in this report in Section 2.1 Project Risks.*

Agency Engagement Assessment

Throughout May 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 to be the primary focus in May. Agencies were asked to monitor their agency end user participation in Florida PALM CMS Wave End User Training and continue to prepare their Tier 0 super users to provide immediate support within agencies. Agencies were also asked to review updates to the Standardized Business Processes, which represent the full set of financial business processes to be implemented in 2024.

> *As part of the approach to help agencies prepare their Tier 0 support, the Project conducted a Tier 0 Kick-off for users identified as super users by their agencies. IV&V observed that this session was well attended and focused on the expectations for those serving in a Tier 0 role, tools available to them, and the relationship between Tier 0 and the Solution Center.*

> *In addition to the Tier 0 Kick-off, the Project conducted the Change Champion Network (CCN) Town Hall in May. The meeting continued the focus on preparing for the launch of the CMS wave through topics related to launch expectations, end user support and a managed, incremental, approach to end user access following launch. As with former CCN Town Halls, an agency liaison shared their experience with how their agency plans to handle Tier 0 support. IV&V continues to observe the positive response to interagency collaboration. IV&V recommends an ongoing forum for CCN liaisons to share information and approaches related to agency-specific implementation of Florida PALM initiatives.*

In May, the Project offered Instructor Led Training (ILT) in addition to the online Florida PALM training previously posted. This training was available through the Learning Management System.

> *IV&V has observed mixed feedback from agencies. Some agencies continue to express concern that their users may be challenged to perform their duties proficiently from Florida PALM training alone and desire more hands-on access to the system. IV&V observes the Project has plans to provide end user support labs following launch to provide remedial support to agency staff. Other agencies have expressed that they liked the opportunity to take the online training prior to the ILT, as the ILT reinforced their learning from online training and gave them some additional hands-on experience in the system. IV&V has observed a continued desire from agencies to have 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 has observed some frustration from the agencies regarding the Learning Management System (LMS) itself. Courses are often completed but remain open in LMS. In trying to monitor their end user training completion, they have expressed difficulty in using reports to get an accurate view of status. IV&V has observed collaboration between the Project Training Team and People First to address identified issues.*

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 May, the Project communicated key areas of change to the community through released communications and agency touchpoints. The Project released a pre-go live communications package. In addition to the communications package, Readiness Coordinators reinforced the importance of agency CCNs sharing this information to their end user community in agency touchpoints.*

Testing Assessment

Coinciding with the UAT Testing Service, the Project began to apply a secondary ranking for System Investigation Requests (SIRs). A SIR is logged by testers when an unexpected result and/or suspect defect is encountered.

The new secondary ranking is "Business Criticality" and works with the already in effect "Priority" ranking. 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 is unresolved prior to implementation and persists in the production environment. These rankings will continue to be used for subsequent testing services and Waves.

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

Priority 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).

> *IV&V has observed an improved and concerted Triage Team effort during SIR Triage Meetings to develop and document clearer business impact statements and defect workarounds (or lack thereof) within the JIRA defect tracking application for each SIR.*

Potential misclassification of SIR priority and business impact criticality increases the risk of a Critical or High Priority defect being left unaddressed and subsequently released to the production environment. Complete qualification and documentation of Priority and Business Criticality within the SIR provides important and timely insights on testing efforts and the workload required to meet the exit criteria of each testing service and, ultimately, readiness for implementation.

Accenture has introduced a new testing service JIRA SIR category, "Additional Testing". The Additional Testing Category is intended to track SIRs identified after a planned testing service has completed. 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).

As of the end of May, forty-nine (49) SIRs existed categorized as Additional Testing, one (1) Highest/Critical, twenty-one (21) High, twenty-four (24) Medium and three (3) Low. SIRs identified as "Additional Testing" are considered 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. With 55% of the total open SIRs categorized as Additional Testing as of the end of May, IV&V recommends SIRs in the Additional Testing category be reviewed by Project management to determine if items whether they align with test service exit criteria.

Launch readiness and exit criteria for all testing service deliverables state that all Highest/Critical and High SIRs must be resolved or have a mutually agreed upon remediation plan.

Identity Access Management (IAM) Testing open SIRs as of the end of May include three (3) Medium, open for 172 days. These SIRs relate to the third-party software application Accenture uses to facilitate IAM and as such Accenture is dependent on the manufacturer to resolve.

Regression Test continued during the month of May. 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 May, IV&V observed for Regression Test that one (1) High, three (4) Medium and one (1) Low SIRs are open.

OIT iFLAIR and PALM interface dependencies underwent testing during the month of May in a separate end-to-end (E2E) 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 May.

IV&V observed the OIT iFLAIR and PALM teams experienced expected challenges coordinating the intricate interdependencies associated with staging simulated production batch cycles. Many challenges were due to the need to stage and simulate processing and transaction dates retroactively using prior date test data as well as teams' learning curve in understanding of coordination needs for iFLAIR and PALM operations to interact smoothly.

These challenges along with newly discovered SIR defects and requirements clarification issues extended some portions of the testing, requiring additional test cycles before the batch cycle testing could be considered adequately complete for functional validation.

End-to-end testing has paid dividends to the Florida PALM and OIT iFLAIR operations teams by enhancing understanding of the new day-to-day operations along with providing opportunity for process enhancements prior to implementation. E2E testing is expected to complete in early June.

As of the end of May, five (5) high and three (3) medium SIRs remained open as related to batch processing and E2E testing.

The first Full-Dress Rehearsal (FDR) exercise was completed during the month of May. 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 cut-over execution window.

As FDR progressed, IV&V observed FDR execution delays were encountered due to required tasks not being explicitly noted in the FDR checklist causing a missed step (e.g., task validation or a missed configuration migration) that resulted in back tracking and redo of actions in the task list resulting in overall FDR progress delays. Other instances occurred where task confirmation and team member handoff for the next task were not confirmed by the predecessor and subsequent task owner causing additional delays.

As of the end of May, IV&V observed one (1) highest/critical, five (5) high, three (3) medium and one (1) low open SIRs related to FDR.

IV&V recommends in-depth review of the cut-over checklist by all participants prior to further FDR exercises to ensure that each participant confirms the presence of predecessor tasks and validation steps. Additionally, task owners should not consider a task complete until the owner has explicitly received confirmation from the subsequent task owner that they are ready to begin the next task. Accenture assigned a Deployment Manager to FDR 1 cut-over task list progression and this additional resource has been effective in cut-over task management, confirmation, and timeliness.

In preparation for FDR2 the Project Team has performed lessons learned exercises identifying opportunities to improve FDR2 and go-live cutover synchronization and execution.

The Performance Testing Cycle was continued during the month of May. 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 May, IV&V observed two (2) high and two (2) medium open SIRs. All these SIRs are directly related to performance requiring SQL and/or data index tuning. The two high priority/criticality SIRs relate to Cash Management (Bank Recon and Conversion) processes. The two medium consist of one AR and one GL interface processes. During SIR triage it was noted by Accenture that, while the system performance related to these processes is not optimal, the processes are completing and not postponing testing. The two high priority SIRs are in "Retest" status and expected to be resolved prior to implementation.*

The Operational Readiness Testing (ORT) Cycle was completed during the month of May. ORT evaluates PALM Project readiness batch cycle processes including functional validation of the batch process and select downstream business process. ORT validates the Florida PALM Solution Center business operations that are used to support the system function are ready for production use. During ORT, selected key business functionality, tools, and procedures are validated to confirm that Florida PALM Solution Center, Production Support Teams, DFS Divisions/Offices, and agencies can use, run, monitor, maintain, and support Florida PALM. ORT also confirms the learning reference, training materials, and application support procedures.

> *ORT testing scenarios completed with a 98% pass rate. As of the end of May, IV&V observed three (3) medium open SIRs related to ORT. Two of these SIRs are related to batch scheduling concerns where the batch timing needs to be adjusted. One is a request to revisit a test scenario marked as incomplete. These SIRs were identified within the intent of Operational Readiness functional validation of batch process testing. The issues identified do not adversely affect the batch process functional requirements themselves but require scheduling adjustments that are easily addressed.*

The Disaster Recovery (DR) Testing Cycle occurred during the month of May. DR testing evaluates the approach to recover the Florida PALM Solution in the event of a disaster in the production environment. This includes the scope of DR applications, DR processes and procedures, DR training, plan for DR communications and coordination during DR, identification of key interfaces for business continuity, and planned involvement of interface partners in the DR testing.

> *As of the end of May, IV&V observed one (1) medium open SIR related to DR testing. This one open SIR from DR is related to SFTP file transmission with OIT during DR failover and is in "Resolve" status and resolution is planned with OIT.*

The following SIR aging and trend sections are separated for CMS Wave and Central Wave Testing Cycles. Each section has its own narrative and corresponding charts.

SIR aging for all CMS Wave testing phases includes a total of one (1) Highest/Critical, six (6) Medium and one (1) Low priority SIRs remaining open for greater than 90 days. The one (1) Highest/Critical SIR is specific to the training environment and is not adversely affecting the CSM Wave testing and production environments. Two (2) High SIRs remain open 61-90 days. Four (4) High, eight (8) Medium and one (1) Low remain open for 31-60 days. All other SIRs have been open for 30 days or less as of the end of May.

IV&V produced the following charts to show trends for three months prior to the end of May 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. With implementation approaching and a relatively high number of High and High/Critical SIRs open, IV&V has observed Project Management closely managing resolution progress and confirming remediation plans for all open High and Highest/Critical SIRs.
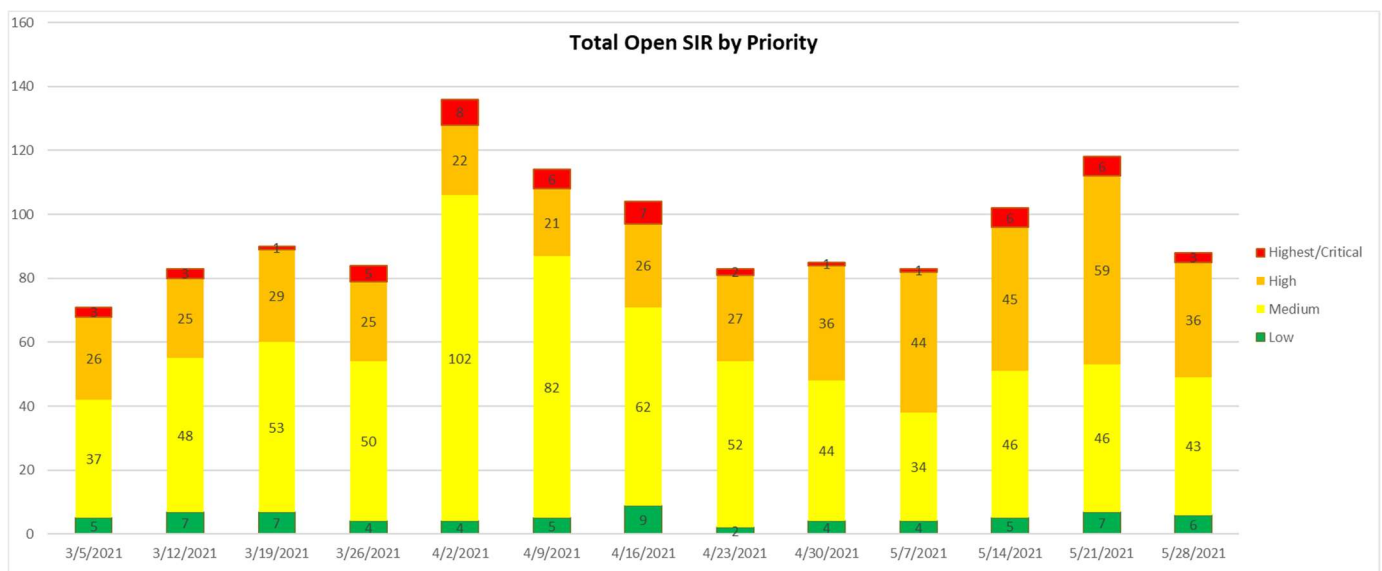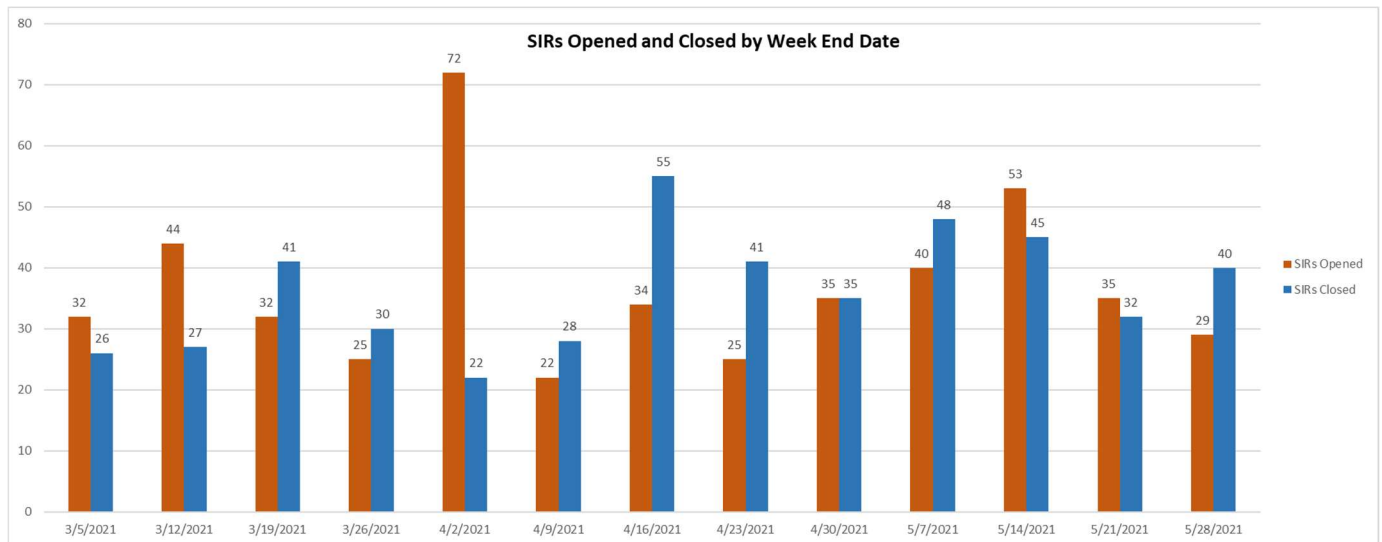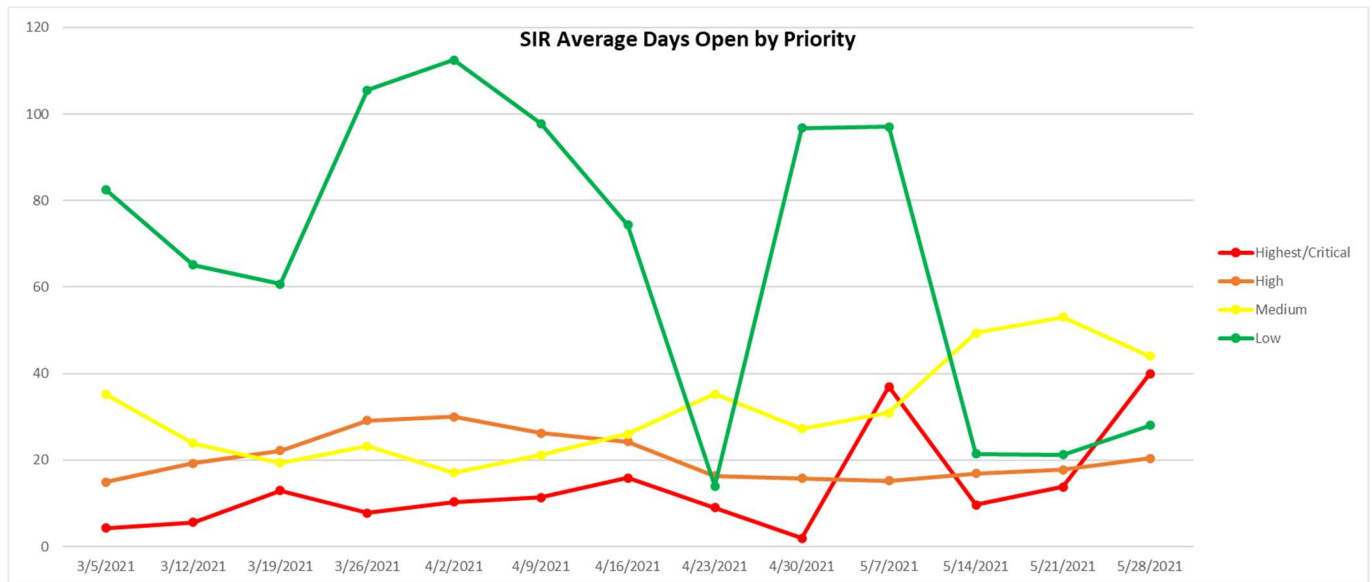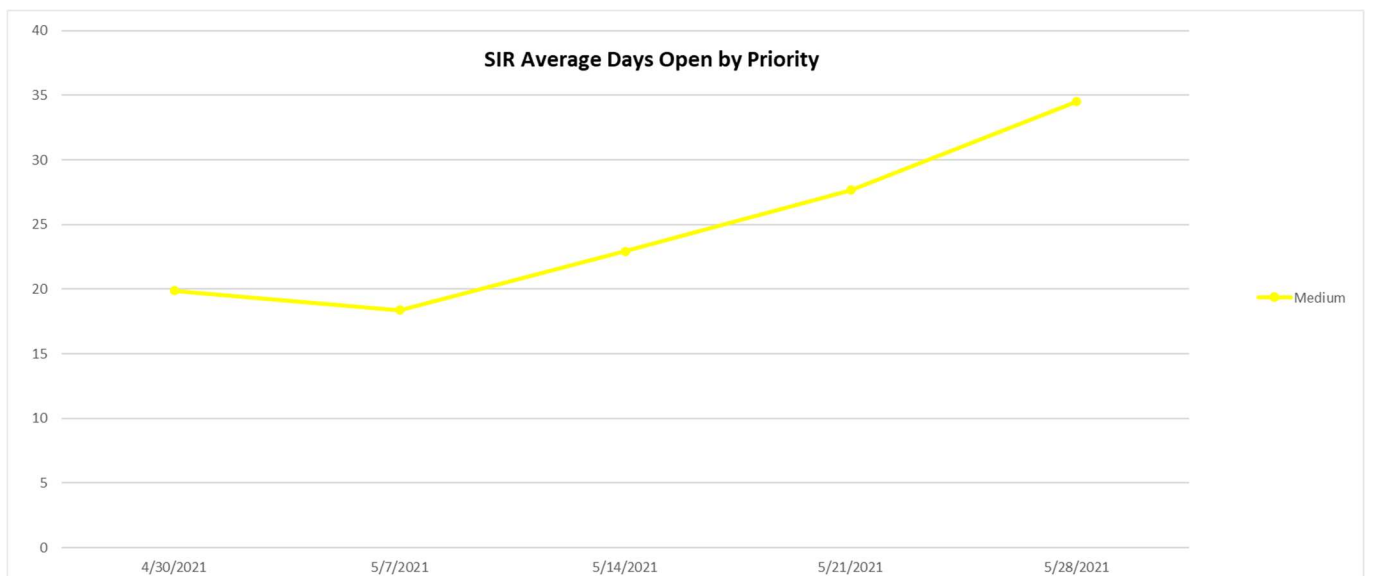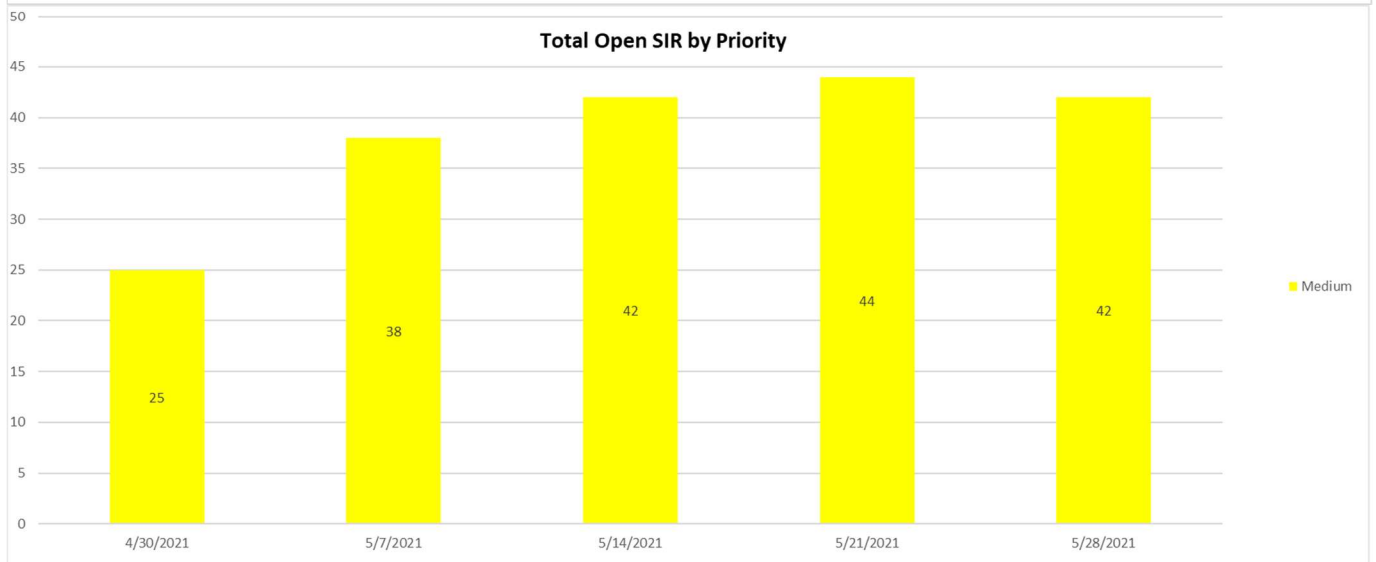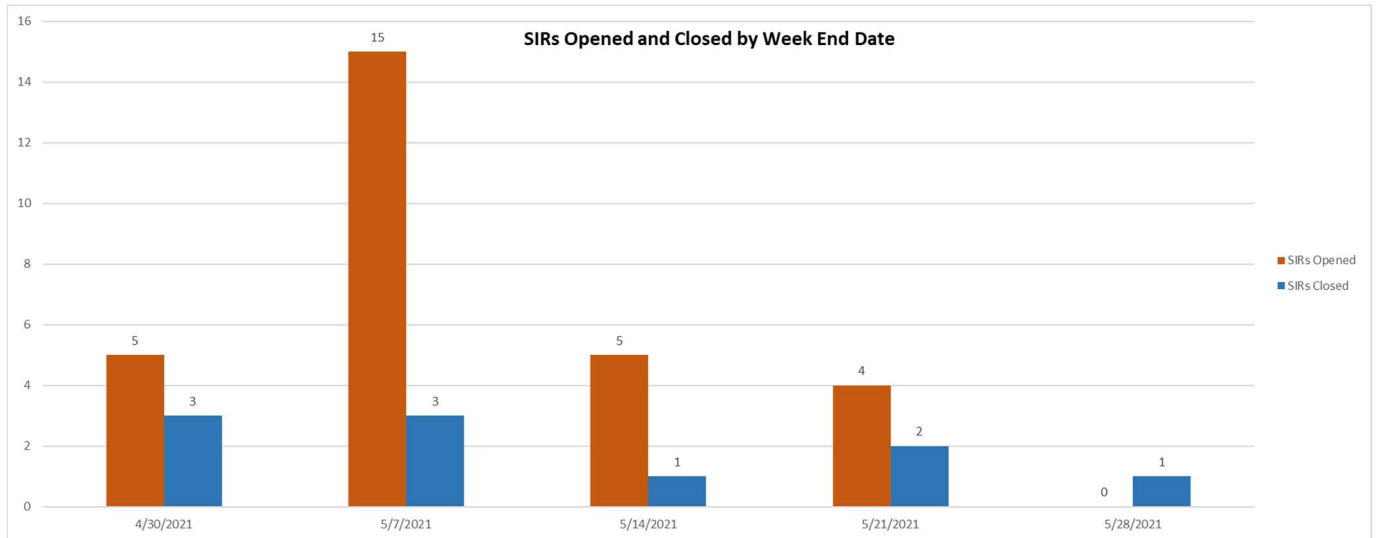
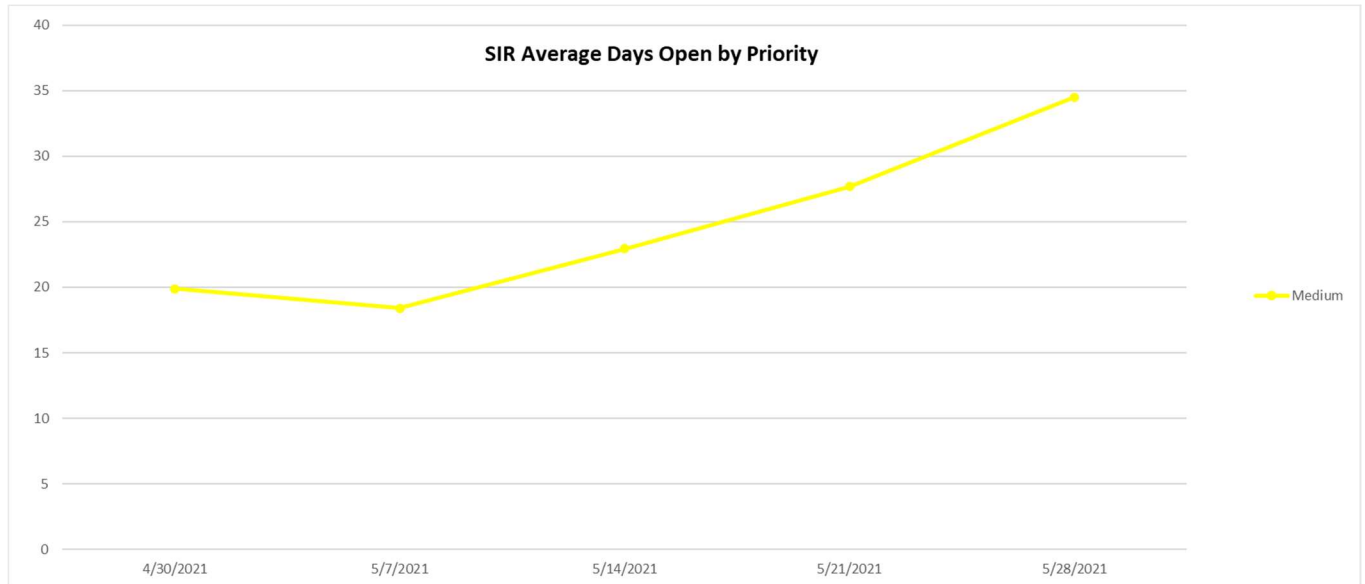*Charts exclude SIR statuses of 'On Hold' or 'Deferred'.*

Central Wave Test Preparation

Central Wave preparation for System, Conversion, and Batch Testing cycles began in late April. In the early stages of the Central Wave, SIRs are created and logged according to their impact on future testing cycles or identified as Unit Test resulting from development activities. SIRs logged for Central Wave currently include two (2) Medium Conversion Test, eleven (11) Medium System Test, twenty- eight (28) Medium Unit Test, and one (1) Medium Batch Test SIRs that are aggregated in the trend charts below.

SIR aging for Central Wave testing phases includes six (6) Medium SIRs remaining open for greater than 90 days. Fourteen (14) Medium SIRs remain open 61-90 days. Twenty (20) Medium SIRs remain open for 31-60 days. All other SIRs have been open for 30 days or less as of the end of May.

> *IV&V produced the following charts to show trends from the beginning of Central Wave SIR activity in April and May 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. IV&V observes that with all SIRs being medium and no formal testing services in progress, there is no current adverse impact on the project resulting from these SIRs.*

SIRs Opened and Closed by Week End Date

Total Open SIR by Priority

SIR Average Days Open by Priority

SIR Average Days Open by Priority

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** *Based on standardized IV&V scoring*
🟩	🟩	◄►	- Activities are underway for CMS Wave, Payroll Wave, and Departmental Wave. The parallel activities present risks to schedule due to complexity, dependencies, and resource capacity. - CMS Wave Issues 25 and 26 were 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. - Significant rescheduling has been completed and this should enable agencies to learn, prepare and pursue funding for internal work and to secure commitment from enterprise partner system organizations and agencies to fulfill critical dependencies. - Risks and Issues are being managed proactively and with an appropriate sense of urgency. The Project is actively managing risk to execution of project activities and the implementation schedule. - The risk of turnover in key positions remains high. The multi-year, multi-phase implementation approach increases the probability of occurrence. - The project's managerial and reporting structure supports staff development, process definition, quality assurance, and other functions necessary for project success. - Cost management and resource allocation are monitored closely by Track Managers and PMO. - Quality control, financial control, and vendor processes are established and consistently executed. - Collaboration between the State Project Team and Accenture Team continues to produce acceptable results. - The Project trend is stable as work toward executing the statement of work and producing deliverables is proceeding according to plan.

1.3 IV&V Monthly Assessment Dashboard

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

	PROJECT AREA	PROJECT AREA DESCRIPTION	CURRENT	PRIOR
	IV&V Dashboard		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 and User Acceptance Testing for CMS Wave were completed without significant technical issues causing risks to system designs. End-to-End Batch Testing with OIT for the Florida PALM and FLAIR nightly batch cycles is progressing.	🟩	🟩
15	**Project Training Management**	The Project has published training material for the CMS wave and training is underway in both instructor-led and online self-paced modes.	🟩	🟩

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**	The assessment score for Project Time Management remains in a yellow status due to the following factors: 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 scoring somewhat. 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. Completion of CMS Wave testing and resolution of high/critical SIRs for functionality needed upon implementation need to be completed prior to cut-over in July 2021.	◇	◇

Comparative Perspective

Given the State's history of large-scale information technology projects and the reported persistent challenges faced by agencies when attempting ambitious transformational projects like Florida PALM, from time to time IV&V will compare the Project's performance to the reported history.

IV&V observes, the Department's 2007 attempt to replace FLAIR with Project ASPIRE is invoked consistently to express skepticism about the Florida PALM project.

As part of ongoing assessment, IV&V occasionally revisits the diagnoses used to assess and make decisions on Project ASPIRE and compare them with what is observable in the Florida PALM Project. The Florida ASPIRE Gartner Final Report 2007 contains the diagnostic analysis and findings used by IV&V in comparison to current operations. An updated assessment is included in this report.

Critical Project Areas	Project ASPIRE Findings (Gartner 2007)	Florida PALM IV&V Observations
Executive Governance Process	Missing	*Established in 2017 and operating regularly*
Statewide ERP Vision & Strategy	Unclear and incomplete at best	*Developed in 2014 and refined on an ongoing basis, shared broadly, vetted, and affirmed*
Requirements & Long-Term Viability of Solution	Customization and uncontrolled scope promised limited lifespan of solution	*Strong scope control, designs based on industry best practices, very limited customizations, and hosted solution promise long-term viability*
Funding Model Promotes/Inhibits Progress	Budget releases tightly controlled to minimize risk after concerns escalated	*Budget releases based on calendar periods rather than contracted project milestones complicates mid-term and long-range commitment of resources*
Authoritative Project Plan & Master Schedule	Incomplete, uncontrolled, and ineffective	*Painstakingly detailed, regularly shared and updated by all teams, closely managed, independently validated*
Project Team Adheres to Best Practices & Meets Deadlines	No evidence of best practices, operating principles, or sense of urgency to meet deadlines	*Extensive work to incorporate best practices, to establish, share and adhere to operating principles, and a record of meeting deadlines*

Furthermore, the Gartner assessment of Project ASPIRE recognized the following as key success components of ERP projects of similar size, scope, and complexity.

Key Success Components (Gartner 2007)	Florida PALM IV&V Observations
Clear vision for the future-state financial environment	*Goals are defined. Business processes are designed and continue to undergo refinement as system specifications are confirmed and the application is configured. The State has decided on a hosted solution and long-term services model. DFS is actively organizing a production support model.*

Key Success Components (Gartner 2007)	Florida PALM IV&V Observations
Business transformation focus	*The Project has maintained a consistent control on scope creep to avoid replication of legacy practices and to enable realization of business value through transformation consistent with the best practices inherent in the PeopleSoft solution.*
Disciplined governance process and business focus	*Project Sponsors meet regularly, are informed, and work as a team to provide executive oversight, support, and decision-making. Executive Steering Committee (ESC) members tend to be engaged and willing to give direction to the Project when convened.*
Standardization of business processes	*The business process designs and business requirements issued by the State conform to standard ERP practices with very few exceptions, and those tend to be relatively minor.*
Expectation management	*The Project attempts to communicate with, take input and feedback from, and confirm expectations with all stakeholders. The Project Management Plan specifies standards and practices to maintain transparency. The Project Team uses the procedures and tools as mandated. As noted below, the Project's commitment to organizational change management makes significant contributions to the shared understanding and establishment of stakeholder expectations for the Project.*
Proven implementation approach	*The Project's original phased approach, including multiple phases/waves, a hybrid operation in which FLAIR and Florida PALM were to be synchronized using interim processes, came with extraordinary complications. That approach was designed to facilitate a more gradual statewide organizational change process but also elongated the duration of the Project and the State's continued reliance on FLAIR. The newly decided approach is more straightforward and does not rely on a modified version of FLAIR to conduct all financial functions. This should further reduce implementation risks.*
Strong user focus	*The Project makes significant investments in OCM resources to conduct a multi-faceted and multi-channel approach to developing agency-based knowledge, in addition to an extensive user orientation and training program to prepare individuals for their roles in the new system.*

Key Success Components (Gartner 2007)	Florida PALM IV&V Observations
Committed sponsorship	*Executive sponsorship has increased greatly following a period of transition. DFS Sponsors are highly engaged and collaborative in their interactions with each other, Project staff, and agencies. The Project continues to manage sponsor engagement on a regular basis and has enhanced the ability for sponsors to provide input, create agendas, and communicate priorities and concerns.*
Limit modifications to the software (customizations)	*Project scope has been closely managed, customizations are few and do not include large-scale, highly complicated items. The number of customizations has increased slightly from that in the original contract. However, the degree of customization and their complexity are remarkably low compared to similar projects nationwide.*
Strong risk management	*The Project continues to recognize risks to execution and performance and has adopted criteria that are effective in monitoring and mitigating risks. As needed, risks are escalated to issues that receive an appropriate level of project management, sponsor, and ESC scrutiny to determine a course of action and address project impacts.*
Significant change management effort	*The Project's comparatively large investment in OCM resources provides agencies with regular engagement opportunities, clear and frequent points of contact, and opportunities to express concerns, objections, and requests for assistance. The Project continues to develop information-packed deliverables and has initiated activities to make important information more readily consumable by agencies. Agency sponsorship is increasing and will be essential to successful transition. The ability to independently assess, prepare for, and execute changes appears to differ greatly at agencies based on responses to surveys.*

A more recent presentation identified a set of "Persistent Challenges" the State has faced when attempting numerous major enterprise technology projects over the past decade and going back further to Project ASPIRE:

Reported Persistent Challenges	IV&V Observations of Florida PALM
A lack of leadership and clear sponsorship confuses stakeholders and makes projects susceptible to resistance and other risks.	• *The Executive Sponsor is fully engaged and acts as an advocate and champion of the Project within the Department and at agencies.* • *The Project Director and Assistant Director are actively in charge of planning, coordinating, problem solving, and supervising the execution of activities. They operate fluidly among the strategic, tactical, and intensively detailed levels of project work.* • *The Project Team Managers demonstrate high degrees of commitment, teamwork, partnership, and accountability for quality and timeliness.* • *Agency Sponsors present varying 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.*
Difficulty in articulating clear and complete requirements to the implementation services provider.	• *In some isolated CMS Wave cases, the State has faced challenges in explaining legacy data/processes and functionality. This appears due to the archaic nature of some items and limited availability of first-hand expertise in their design and development. Issue 26 was an example of this.* • *Overall, the Project has developed and refined the CMS Wave and Central Wave business process models and requirements to an extraordinary degree. They have been analyzed for cross-functional compatibility and shared extensively with agency subject matter experts.* • *The protocols used to document, maintain, and eventually test requirements is sound and adhered to by the multi-disciplinary teams.* • *The implementation services provider, Accenture, has demonstrated a commitment to clarifying, confirming, and fulfilling requirements. This commitment has been demonstrated by the development of extensions/software customizations necessary to meet requirements provided without additional cost.*

Reported Persistent Challenges	IV&V Observations of Florida PALM
The inflexibility of government processes combined with limitations of the software and/or the imagination of the implementation service provider creates problems.	• *Prior to entering the contract with Accenture, the Department developed detailed business process models and requirements, working with agencies statewide, to standardize and confirm agreement on their practicality and acceptability. These detailed business process models were included in the procurement process and enabled prospective bidders to understand State expectations.* • *Standardization of business processes called for designs that were not only uniform but consistent with readily available software solutions.* • *The Project has assessed requests for deviations from standardized business processes by seeking the statutory/regulatory mandates and/or assisting agencies with the adoption of the processes. This has resulted in the need for relatively very few, uncomplicated, and insubstantial customizations and has helped the Project avoid the typical conflicts that occur when attempting to replicate legacy processes with new technologies.*
Differences in priorities, philosophies, and preferred solution designs lead to antagonistic and unproductive working relationships, which cause risk to quality, timeliness, and governance.	• *Intransigence, conflict, and escalations have been prevented as the Department and the Project have articulated requirements and expectations clearly and consistently from the outset, and work processes and management activities have emphasized a collaboration between the Project, the Department, and agencies.* • *Compliance with protocols, policies, and agreements is actively monitored and managed.* • *Despite significant reorganization of the implementation approach to accommodate stakeholder feedback, the Project has revised it phases/Waves without extending the originally planned duration.* • *The Florida PALM solution design complies with statutory mandates and does not require legislative action to make it viable.* • *Stakeholders are respected and able to engage without resistance by the Project.* • *External influences have not caused confusion or jeopardy to designs or working relationships within the Project.*

IV&V also assessed current performance as it reflects the Project Operating Principles agreed to in Deliverable 31 and the purposes of which include communicating the expectations for Project Team members, the Executive Steering Committee, and Sponsors.

Florida PALM Operating Principles	IV&V Observations
Be engaged with, involved in, and supportive of the Project	*Engagement is proactively managed, fostered, and evident with all stakeholders. COVID-19 has presented challenges that the Project overcame.*
Be open and candid, sharing ideas and concerns with the Project first	*Staff and Sponsors demonstrate openness and candor during working meetings and in management decision-making. While consistently well attended, and usually with broad agendas, unless there are voting matters, the ESC meetings do not generate extensive dialogue.*
Give best effort for Project responsibilities	*Despite the challenges of working 100% remotely March 2020 - May 2021, the Project Team continues to demonstrate high effort and produce results.*
Honor and comply with Project standards	*Attention to Project standards is constant. There has been no discernible erosion of or deviation from standards.*
Seek out information and share information	*The BPS/SDS design/build activities include work necessary to seek out and confirm information. The Project continues to document and publish information, as needed, for both internal use and as part of its overall organizational change management program.*
Promote teamwork and collaboration to achieve Project goals	*Teamwork is demonstrated each day; disagreements are isolated and resolved productively and amicably. The environment is cohesive and supportive.*
Be a leader of and embrace change	*The leadership team has undergone changes and improved effectiveness. Managers are in command of the subject matter, the state of work, and support urgency of executing on time. Team members support each other in professional development to ensure they can express the Project's objectives in terms that resonate with the agencies to be affected by change.*

Summary

The Project's operating principles are reflected in the practices and behaviors observed by IV&V.

There are challenges, as expected, in any undertaking of this complexity and with many diverse interests. However, those challenges tend to be focused in areas where longstanding legacy processes and data constructs of FLAIR and agency business systems are not readily explainable by operational staff.

Thus far, no major technical challenges have emerged due to demands to replicate legacy processes or statutory mandates reflective of those processes.

The Risk Log lists thirty-four (34) open risks in the following statuses as of May 31, 2021:

- Mitigating: Twenty-seven (27) 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 is one (1) risks currently in Under Evaluation status (risks being evaluated and awaiting plan development).

During May, there were two (2) risks removed from the log and no risks were added. One risk had a status change.

Risks removed from the log include:

Risk #221: Florida PALM Central Wave build timeline and Central Wave work for MFMP build activities are not aligned.

> *IV&V notes Risk #221, created in July of 2020, was removed from the log after confirmation with the Florida PALM Project Director and the representative of the DMS state purchasing program (MFMP) on 5/24/2021.*

Risk #237: If there is an inability to obtain the ESC approval for D502 Central Ready for Conversion Testing Go/No-Go Decision in April 2021, then it could cause delays in the Project.

> *IV&V notes the Executive Steering Committee voted to approve this Go/No-Go decision and thus Risk #237, created on 12/16/2020, was removed from the log on 5/12/2021.*

Risk with a change in status:

Risk #248: Untimely information sharing between Enterprise partners and the Project.

> *IV&V notes that Risk #248 was created on 4/20/21. The risk's status was changed from Monitoring to Under Evaluation on May 12 to allow conversations with Project Sponsors on the topic of information sharing.*

> *IV&V recommends the mitigation plan for Risk 248 be enhanced to include periodic steps to obtain confirmation from Enterprise partners that Project communications are received, and that each Enterprise partner has communicated potential changes or affirms there are no changes affecting the implementation of Florida PALM.*

2.2 Project Issues

There are no open issue listed in the issues log as of May 31, 2021. One (1) issue was deleted from the log while no new issues were added during the month.

The following issue was removed from the log:

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

> *IV&V notes that Issue #25 was removed from the log on 5/17/21 as the Deal Management Development Plan was approved through PCR77.*

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. 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 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. 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 eliminates the need for an 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. Whereas the previous implementation approach presented 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	The project has created a Change Champion Network to facilitate project-to-agencies and agencies-to-project communications. The CCN is also intended to foster agency-to-agency peer-to-peer communications. Despite the Project's efforts to communicate plan expectations and important details needed for agencies to take action to ready themselves, some agencies indicate less than full awareness of what information is available and express expectations of Project resource involvement in internal analysis of changes that the Project may not be able to fulfill. Agency Sponsors present a variety of levels of engagement ranging from completely aware, proactive, and keenly interested in details, to somewhat less engaged in details but supportive of delegates, to less engaged and more reliant on Project-initiated interactions to maintain awareness. Most exhibit a general awareness and express support for the plan.

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	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. IV&V has independently confirmed commitment of FLAIR, LAS/PBS, STMS and People First to complete these activities according to the previous project schedule containing Central and Departmental Waves. 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 because it provides more time and simplifies the development by reducing items meant to support interim processing. As of the end of May, activities are underway for the implementation of CMS, Payroll, and PeopleSoft financial functions. Additionally, the Project is working with OIT and A&A 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. As of this reporting period resources have been directed to focus on CMS Wave launch activities and pause Central Wave activities. Staff show some signs of working at or above normal capacity which is not ideal or sustainable long term.
TME - 2	Review that project milestones are realistic and meaningful and aid in managing project performance.	4	Deliverable Expectation Documents are inclusive of timelines to inform the project schedule. Deliverable deadlines and milestones have been sufficient in most cases.

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 May, the Project continues to meet most of it deadlines. 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 Project has already designed the standardized business processes that represent the end state. The revised schedule will provide more time to complete configuration, development, and testing activities to assure quality. FFMIS partners and STMS have not expressed objections to the revised approach consolidating Central and Departmental Waves. Neither State nor Accenture management has indicated an inability to complete work as planned. 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 risk remains high.
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.

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	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. As of the end of May, Issue 25 was resolved by delivering enhanced accounting functionality for internally managed investments upon implementation. Investments managed by external providers will continue to be accounted for in the current manner until testing can be completed. The Project and OIT are conducting end-to-end batch testing involving the exchange of data and automated nightly batch cycle execution for Florida PALM and FLAIR. This testing is taking longer than anticipated mainly due to issues involving the creation of test data using specific date parameters and file naming conventions. As of the end of May, results had greatly improved. 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.	4	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 greatly reduces this dependency. The impacts to FLAIR presented by CMS Wave are considered by OIT and A&A to be minimal.
SCP – 2	Review the procedure/process to evaluate the impact of scope changes to the project, including trade-offs, is unambiguous (e.g., objectives, schedule, cost, resources).	5	Changes in Scope are adequately managed through Project Decisions and/or Project Change Requests.
SCP – 3	Evaluate that assumptions made to support scope change requests are fully checked and vetted.	5	Project Decisions and/or Project Change Requests affecting project scope are fully vetted by subject matter experts and reviewed in Sponsor Meetings and with the Executive Steering Committee as mandated by criteria established in the governance structure.
SCP – 4	Project sponsors and stakeholders demonstrate a clear understanding of scope control and participate in the scope control and management process.	5	The Project routinely takes a painstaking approach to sharing detailed information with stakeholders, sponsors, and governance entities. Attention to and absorption of such information has improved for most parties.
SCP – 5	Evaluate the thoroughness of scope control communications including project team, sponsors, and stakeholders.	5	The Project routinely takes a painstaking approach to sharing detailed information with stakeholders, sponsors, and governance entities. As CMS Wave implementation approaches, the Project has initiated frequent and regular written updates to stakeholders and weekly meetings with the ESC.

AREA: Project Cost Management

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

AREA: Project Quality Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
QAL - 1	Verify the project's Quality Assurance plans, and procedures are comprehensive and complete.	5	The Project has adopted quality assurance processes that assure vendor accountability and help to ensure quality upon delivery/submission. The Project has also established a well-organized State Testing team that has demonstrated insight, thoroughness, and 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	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. 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. This may result in disruption of automated processing in cases where development of interfaces and/or business system modifications lags.

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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	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). 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. 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.
COM - 3	Review that mechanisms to capture informal communications and feedback are active and effective for informing project team of stakeholder and end-user needs.	5	The Project has established a Change Champion Network designed to channel informal communications to various agency-based liaisons prior to contacting Project resources directly. This helps to ensure ad hoc communications are received, treated by the appropriate resources, and responded to in a consistent manner.

AREA: Project Risk Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
RSK - 1	Verify that the project is managing project risk through plans and procedures to identify, quantify, report, log and act upon reducing risk through contingency plans and communication.	5	The project has a long-established process to manage risks and consistently monitors and assesses potential risks. The project to date has logged a small number of issues that have been resolved without negative impacts to the plan or objectives. More details are provided in Section 2 of the IV&V Monthly Assessment.
RSK - 2	Verify that the project is managing project issues and actively acting to resolve.	4	The project has a long-established process to manage issues and is consistently monitoring and assessing risks that present emergent issues. As of the end of May, the Project had no open issues on the Issues log. However, the potential for late breaking CMS issues continues as ongoing end-to-end batch testing involving the exchange and processing of data with FLAIR and as agencies with higher levels of activity in CMS continue to analyze changes presented by Florida PALM.
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	4	Vendor resource issues require ongoing management to prevent risk. Turnover remains an area of focus. Demand for resources may exhaust capacity in some areas. Accenture has deployed additional resources in areas requiring more and/or escalated attention.
VND - 4	Verify that any proprietary tools used by vendor do not restrict the future maintainability, portability, and reusability of the system.	5	Infrastructure and application designs have been reviewed by the State Project team and Department stakeholders.

AREA: Project Human Resource Management

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

AREA: Project Change Control

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

AREA: Project Capability Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
CAP - 1	Assess the configuration management (CM) plans and procedures for clarity and completeness.	5	Configuration management controls are defined in deliverables and evident in daily project activities as well as being reflected in the course of CMS Wave UAT and Full Dress Rehearsal 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 May, 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.

AREA	TASK	SCORE	IV&V OBSERVATIONS
CAP - 9	Verify that all system interfaces are identified, and specifications are defined.	4	The Project has provided standard interface layouts and is in the process of working with agencies and partner systems to finalize development for the CMS Wave. Interface issues contained in Issue 26 have been resolved. Issue 25 has been resolved for launch with some specific work to be done following implementation to enhance accounting for externally managed investments.
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 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.
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.	4	Cutover planning is underway with all parties. There are no objections to timing or activities as of this reporting period. At the end of May, the Project completed the first "Full Dress Rehearsal" testing of the cutover plan, which included execution of data conversion programs and reconciliation of results. The exercise was considered largely successful but did identify some activities requiring resolution prior to the actual cutover date. The Project and OIT decided to extend end-to-end batch testing into June to clarify validation steps and quality criteria and to execute two consecutive business days of testing without extraordinary manual intervention to complete automated job scheduler cycles. Challenges encountered have frequently been caused by limitations in test data being manipulated to emulate certain date ranges and because of difference in the way Peoplesoft and FLAIR count records. The current CMS FLAIR process experiences records that are rejected and need to be handled as exceptions. Likewise with the Florida PALM batch cycle, rejects (i.e., unmatched records) will occur and require manual handling as exceptions to the automated processes. Two important objectives are 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. This testing along with production support deliverables and work products are designed to achieve those objectives.

AREA	TASK	SCORE	IV&V OBSERVATIONS
TST - 4	Acceptance criteria for each deliverable of business functionality and technical component must be defined, reviewed, and approved prior to test and the results of the test must be documented. Acceptance procedures must also address the process by which any software product that does not pass acceptance testing will be corrected.	5	Deliverable Expectation Documents have all included detailed acceptance criteria.
TST - 5	Verify that a sufficient level of system test coverage is achieved by the test cases/scenarios and execution, that test results are verified, and that the test results are documented.	5	During December System Test was completed. Test cases/scenarios produced findings that are documented, triaged, and being addressed in an orderly fashion. There are no apparent risks to meeting exit criteria for System Test.
TST - 6	Verify that a sufficient level of integration test coverage is achieved by the test cases/scenarios and execution, that test results are verified, and that the test results are documented.	3	By the end of May, CMS Wave Interface Testing was completed, and SIRs initiated during that testing were resolved.

End-to-end batch testing with FLAIR continued to make steady progress. Other open SIRs have been triaged and prioritized.

Project leadership plans to review the SIRs to identify those most critical to be resolved prior to implementation and focus resources on those.

Mutually agreed workarounds used as the basis for categorizing SIRs should be documented within the SIR itself to help expedite the assessment of SIRs. |
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	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. 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 with such.
TST - 11	Verify that appropriate acceptance testing based on the defined acceptance criteria is performed satisfactorily before acceptance of software products.	5	No Material Findings UAT for CMS Wave is underway.
TST - 12	Verify that the acceptance test organization has an appropriate level of independence from the software configuration/development organization.	5	No Material 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.

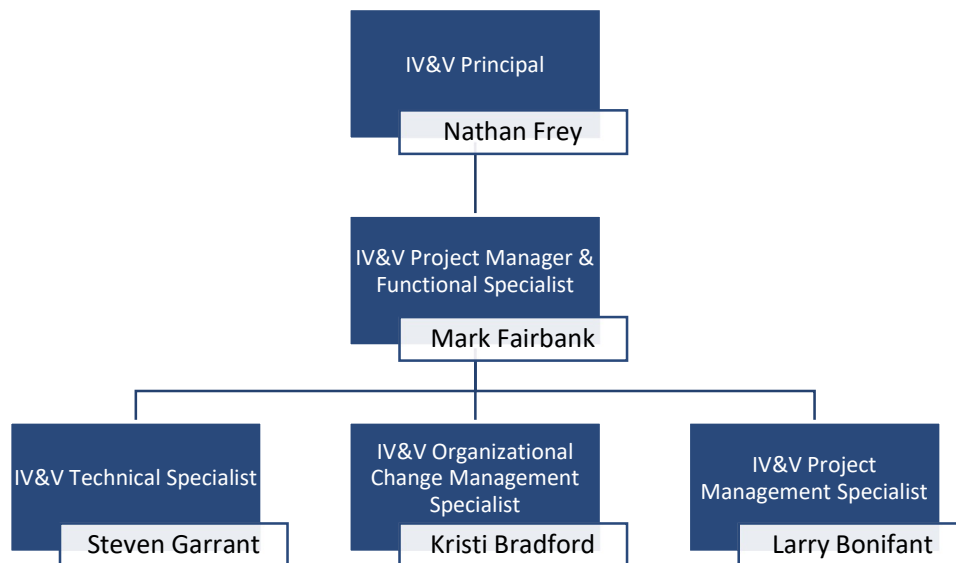| AREA	TASK	SCORE	IV&V OBSERVATIONS
TRN - 8	Verify that systems administrator training is technically adequate, appropriate for the development phase, and available at appropriate times.	5	The Project maintains an extensive program of Knowledge Transfer to ensure project staff are trained on how to operate 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
D127	Ongoing validation of execution	Production Support Strategy
D135	Ongoing validation of execution	Deployment and Contingency Plan (CMS Wave)
D150	Validation of deliverable	Completion of User Acceptance Test – (CMS Wave)
D153	Ongoing validation of deliverable and execution	Post Implementation Support Plan (CMS Wave)
D172	Ongoing review and observations on schedule	Project Schedule
D199	Review and observations on deliverable	Master Configuration Workbook
D465	Ongoing review and observations on deliverable	CMS Wave Master Readiness Workplan
D468	Review and observations on deliverable	System Testing Plan – (Central Wave)
D501	Review of deliverable	Application Development Conversions – (Central Wave)
FDR 1	Review and validation of exercise	CMS Wave Full Dress Rehearsal – 1st iteration
FDR 2	Review and observations on planning for second exercise	CMS Wave Full Dress Rehearsal – 2nd Iteration
WP29	Ongoing validation of execution	Operational Readiness Test Plan (CMS Wave)
WP44	Review and observations on work product	Incident Management Procedures
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 /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.

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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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