



Florida PALM Project  
**IV&V Assessment Report – August 2020**  
Deliverable IVV2.2

Presented by:

Information Services Group Public Sector

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## TABLE OF CONTENTS

<b>1</b>	<b>IV&amp;V MONTHLY ASSESSMENT .....</b>	<b>1</b>
1.1	Executive Summary .....	1
1.2	IV&V Overall Risk Summary.....	6
1.3	IV&V Monthly Assessment Dashboard.....	7
<b>2</b>	<b>IV&amp;V DETAIL REPORTING .....</b>	<b>9</b>
2.1	Project Risks.....	9
2.2	Project Issues.....	10
2.3	IV&V Detailed Assessment Scorecards.....	11
2.4	IV&V Other Activities.....	30
<b>3</b>	<b>IV&amp;V CONTACT INFORMATION.....</b>	<b>31</b>

# 1 IV&V Monthly Assessment

## 1.1 Executive Summary

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. 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.

### August 2020 IV&V Summary

Overall, the Project continues to be assessed in a green status when measured against standardized project management criteria contained in Section 2.3 of this report. IV&V continues to assess the Project to be in a yellow status in one area: Project Time Management. This is due to schedule risks and issues described in this report and officially logged by the Project to ensure that risks and issues are evaluated and managed on a regular basis.

In August, the Project finalized two noteworthy deliverables toward implementing the CMS replacement Wave of the Florida PALM solution: D75 Conversion Extract Layouts and D76 Published Interface Layouts.

- D75, Conversion Extract Layouts, documents the list of conversion layouts identified in the Reports Interfaces Conversions Extensions Forms Workflows (RICEFW) Inventory (D453) to fulfill the business requirements for the Cash Management System (CMS) Wave. Data conversion involves extracting data from source legacy systems, third-party systems, CMS, and FLAIR, transforming it to Florida PALM standards and loading the data to the target Florida PALM application components.

*IV&V observes D75 to be comprehensive and having benefitted from the prolonged review cycle used to confirm the template and communications tools for use in future Waves. As reported last period, because the CMS Wave relies exclusively on conversion data from DFS applications (FLAIR and CMS), and the conversion approach enables the Project to directly access FLAIR and CMS data via a staging table, the delayed acceptance of D75 conversion layouts did not adversely affect downstream work.*

- D76, Published Interface Layouts, contains the data layouts for interfaces identified in the RICEFW Inventory (D453) for the CMS Wave. The deliverable establishes the file format and provides sample data for each interface. The inventory includes interfaces to agencies, third parties, and FLAIR systems. It also includes supporting information such as the type of security protocol to be used and applied to interface processing and which system is going to be the source or target of each interface.



*IV&V observes D76 to be validated for completeness and accuracy. The extended review cycle provided additional clarity on expectations of how the information in D76 can be used to help propel action within agencies. Interface layouts for the CMS Wave have been shared with interfacing partners. The delayed acceptance of D76 did not affect subsequent interface activities.*

*Related to but not part of D76, the Project has begun to develop a catalog of interface offerings for CMS and Central Waves designed to assist agencies in evaluating the extensive information produced on interfaces and to enable agencies to self-assess and identify the interfaces they wish to implement for Florida PALM.*

As of the end of August, three deliverables remained in a late status. Those were D80 Technical Architecture Documentation, D120 Help Desk Strategy, and D499 Protected Data Inventory Plan.

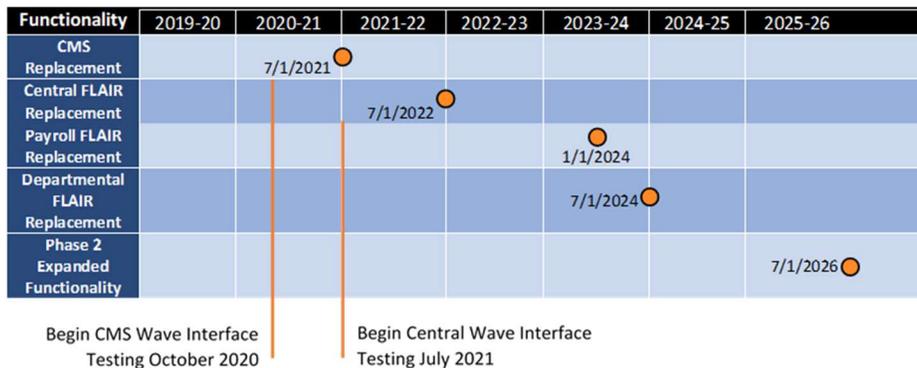
*IV&V continues to observe, following intensive review and refinement cycles, the quality of accepted deliverables to be high and the designs and plans to implement those present no immediate risk to the overall quality of the Florida PALM solution. None of these delays are reportedly causing downstream impacts to other scheduled work.*

*Acceptance of D499 represents an important prerequisite to the commencement of loading data for conversion activities. As of the end of August, D80 and D499 had undergone reviews and revisions to the point where acceptance by mid-September appears likely.*

### Highlighted Schedule Risks

At the end of August, two major factors continued to affect the IV&V assessment of risk to the project schedule.

- Delay in completion of BPS functional design documents has caused downstream delays in the development of select RICEFW items, test designs. The Project logged Issue 24 to address this situation. Further details on Issue 24 are included in this report.
- Uncertainty of whether the Florida PALM project schedule and MFMP Next Generation project schedule are aligned to complete work and be ready to build and test interfaces according to the Florida PALM project schedule and Master Readiness Workplan. As of this report, IV&V has independently confirmed that other enterprise partner systems (FFMIS, STMS, People First) are aligned and committed to the current Florida PALM schedule.



*As reported last period, IV&V observed the Project logged Issue 24 to recognize and address schedule risks caused by delayed completion of functional design documents. The mitigation plan is in place and has been used to put work in order of priority and adjust deadlines. Through August, IV&V observed the Project team produce functional designs according to the mitigation plan and make significant progress toward resolving the backlog. The dependencies on functional designs for RICEFW development are recognized as critical and are being managed accordingly. Issue 24 is discussed in more detail in Section 2.2 of this report.*

*Whereas the original Florida PALM schedule had a subset of agencies planned for implementation of full functionality replacing Central and Departmental FLAIR as a Pilot group in July 2021, the re-planning effort initiated in January of this year quickly identified that Central would not be replaced until July 2022 thereby extending the time for most partner systems, including MFMP, to prepare for the implementation of Florida PALM.*

*IV&V observes the Project and MFMP continuing to regularly collaborate on designs and identify and manage the schedule risks. IV&V continues to assess collaborative efforts and management interactions between the Project and enterprise partner systems to identify alignment risks and points of clear commitment to the project schedule. At this point there appears to be no jeopardy to the planned Central Wave implementation date of July 2022.*

### **Engagement Activities**

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

In August, agencies were assigned MRW tasks relating to both the CMS Wave and Central Wave. As a follow up to last month's Central Wave Office Hours, agencies were asked to provide the project continued feedback on the business process models for Central Wave. These are the basis for system configuration and the creation of functional designs to support development of the RICEFW items for Central Wave. Agency scrutiny and diligence are imperative because, as the project moves forward, it will be more complicated, and potentially risky to modify the Central Business Process Models.

*IV&V observed the Readiness Coordinators (RCs) following up with agency liaisons about the review of MRW tasks related to the Central Wave as well as soliciting questions and feedback about the Central Business Process Models during monthly touchpoints. When needed, RCs coordinated follow up sessions between the agency and project staff to address outstanding questions. IV&V observed that agencies seemed comfortable with the activities around the CMS Wave and the overlapping Central Wave activities. However, a few agencies expressed that they will not fully understand potential impacts until they have more detailed information on interfaces and hands-on access to the solution. The Project continues to create communications meant to guide agencies to the information that is available and try to manage expectations for when agencies will be able to examine the system online.*

Change Impact Workshops were conducted in late June. As an outcome, agencies were asked to use the provided Change Impact tools and processes to identify impacts to their people, processes, and technology, as well identifying potential internal communication needs.

*IV&V observed agencies interacting with RCs during touchpoints about their progress and challenges in performing their internal change impact identification. IV&V observed varying levels of engagement across the agencies. Some agencies completed the effort citing minimal or no impacts, others had follow-up questions for the project as they performed the effort, and many completed the effort with very little additional interaction with the Project. IV&V considers this to be potentially aligned to the agency level of CMS impact. Overall, agencies were responsive in completing their change impact tool with only a few outstanding agencies at the end of August. All agencies communicated to their RCs that they would complete the effort prior to participating in upcoming role mapping workshops.*

During August, the Project continued to prepare for the CMS Wave. As part of this effort, the Training team continued to build training material.

*IV&V participated in training build review sessions within the training team and across other project tracks. During these sessions, IV&V reviewed training materials and provided feedback. IV&V observed collaboration across project teams in developing the training material.*

Throughout August, the Project continued to communicate with the Florida PALM community through multiple channels including Florida PALM website, the Change Champion Network, and via the Florida PALM email account. The project released the updated MRW. The Project's Executive Sponsor also initiated direct communications to Agency Sponsors via email. The Project gathered and began to analyze agency responses to the newly developed Agency Readiness Indicators. Additionally, the initial cycle of agency status reporting as mandated by Proviso was conducted.

*IV&V observed the Sponsor-to-Sponsors communication to contain direction to agencies on how to self-assess the impacts of forthcoming changes to chart of accounts data as well as guidance on how to develop Legislative Budget Requests if needed to support agency-based implementation activities.*

*Many of the newly released MRW tasks relate to the Reporting, Conversion, and Interface areas. During touchpoints, RCs asked for feedback regarding effectiveness of task instructions. IV&V observed agencies' positive reception of the new tasks and level of detail included in the instructions provided by the Project.*

*In addition to MRW feedback, the mid-wave Readiness Impact Survey results were submitted by the agencies. Agencies were responsive and feedback was received from almost all agencies. The project is following up with the remaining agencies and assessing survey results for themes and potential action items.*

*The Agency Readiness Indicators, developed by the Project team working with the Executive Steering Committee, and the Agency Status Reports both contain important insights and help to improve two-way communications between the Project and agencies by standardizing certain data.*

Continued next page.

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

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

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

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

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

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

## 1.2 IV&V Overall Risk Summary

Overall Status			
Current Period	Prior Period	Overall Trend	Observations <i>Based on standardized IV&amp;V scoring</i>
			<ul style="list-style-type: none"> <li>The DDI Phase has been rescheduled to adjust phases. Observed planning activities are consistent with the Project Management Plan and standard practices.</li> <li>As part of a multi-faceted organizational change management program, the Project regularly conducts proactive communications to stakeholders, including partner system organizations such as FFMIS/STMS and state agencies. The Project has not incurred major negative impacts to productivity during the COVID-19 emergency.</li> <li>The rescheduling provides extended time for many activities to be completed. This should enable the Project to secure commitment from enterprise partner system organizations and agencies to fulfill critical dependencies. Otherwise, there is a risk to the schedule.</li> <li>Risks and Issues are being managed proactively and with an appropriate sense of urgency. The Project is actively managing risk to execution of project activities and the implementation schedule.</li> <li>The risk of turnover in key positions remains, as the Project has experienced such, and the multi-year, multi-phase implementation approach increases the probability of occurrence.</li> <li>The project’s managerial and reporting structure supports staff development, process definition, quality assurance, and other functions necessary for project success.</li> <li>Cost management and resource allocation are monitored closely by Track Managers and PMO.</li> <li>Quality control, financial control, and vendor processes are established and consistently executed.</li> <li>Collaboration between the State Project Team and Accenture Team continues to produce acceptable results.</li> <li>The Project trend is stable as work toward executing the statement of work and producing deliverables is proceeding according to plan.</li> </ul>

### 1.3 IV&V Monthly Assessment Dashboard

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

IV&V Dashboard			CURRENT	PRIOR
	PROJECT AREA	PROJECT AREA DESCRIPTION	Rating	
12	<b>Project Change Control</b>	The Project is appropriately managing the change request process and potential impacts on project scope, project objectives and goals, and implications to the overall project plan.		
13	<b>System Capability Management</b>	The Project is effectively communicating technical process and security requirements (and changes to requirements), managing configuration/development activities, controlling software and environments to support project life cycle.		
14	<b>Project System and Acceptance Testing</b>	The Project has fully staffed the Testing Team and continues to identify use cases to support the development of test scripts to evaluate and accept the system and supporting deliverables. System Testing is underway without disruptions and/or significant technical issues causing risks to system designs or execution of testing.		
15	<b>Project Training Management</b>	The Project has conducted the training needs assessment and has begun to create the inventory of training curricula for delivery of end-user training to successfully prepare employees for use of the new system.		

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## 2 IV&V Detail Reporting

### 2.1 Project Risks

Unchanged from the prior reporting period, the assessment score for Project Time Management remains in a yellow status to reflect challenges presented to the Project Schedule. While, re-phasing efforts were completed to support final commitment of scheduling details, and IV&V was able to independently confirm agreement to the current schedule with LAS/PBS, STMS, and People First, the project still needs to confirm the alignment of scheduling with MFMP.

Though FFMS partners and STMS have not expressed objections to re-planned schedule details provided to date, forthcoming details should provide information needed to affirm or decline a commitment to the project schedule.

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 project schedule continues to be at risk due to delays in completion of functional designs and because of potential misalignment of development and test schedules with the enterprise system partner MFMP.		

*The PMO has recognized these risks as well as potential mitigations and recorded them in the Project Risk Log during August.*

The Risk Log lists twenty-four (24) open risks in the following statuses as of August 31, 2020:

- Mitigating: Fifteen (15) 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: Eight (8) are being monitored to identify when their probability of affecting the Project increases to the point that mitigation is required.
- Under Evaluation: One (1) risk is being evaluated and awaiting plan development.

During August, there were no risks removed from the Risk Log. Risk #219 (*Completion of deliverables and/or work products at risk due to timing of Bloomberg AIM contract execution*) was moved from “Under Evaluation” to “Mitigating” status.

During August, one (1) new risk was logged:

**Risk 222:** If there is an inability to obtain the ESC approval for D187 Central - Ready to Start RICEFW Build Go/No-Go Decision in October 2020, then it could cause delays in the Project.

*IV&V notes Risk 222, created on 8/1/2020, is currently being mitigated as Florida PALM utilizes PMP processes to manage the Project and complete deliverables in accordance with the Project Schedule while openly communicating Project status and actively assisting the ESC on Major Deliverable reviews and approvals.*

## 2.2 Project Issues

There is currently one (1) Project Issue logged (Issue 24), which addresses the delays in functional designs and their subsequent impact upon technical design/build and other downstream cross track activities. This issue has a 9/30/2020 due date.

**Issue 24:** Functional designs are not being completed by planned dates causing impacts to technical design/build and other downstream cross track activities.

*IV&V observed that Issue 24 was transferred from the Risk Log (Risk 211) to the Issue Log on 7/21/2020. The issue is being mitigated by the Project's execution of Accenture's plan to resolve.*

*In July Accenture submitted an extensive action plan designed to reprioritize activities, augment resources, and focus on expediting the development of interfaces and data conversion programs. These two areas represent the primary RICEFW items that involve agencies, partner systems and third-party systems. The action plan preserves the milestones set in the current project schedule.*

*In August, IV&V observed significant gains in the completion of functional designs and the development of RICEFW items. By the end of the month, the Project metrics used to track execution on a day-to-day basis showed that the BPS and SDS teams were completing work on or ahead of schedule according to the mitigation plan.*

There were no new issues added or removed during August.

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.
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.
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. The PMP should be updated to provide an explicit description of the method used to manage the project's critical path beyond the use of Microsoft Project functionality.
GPM - 5	Verify project status is accurately traced against milestones and completion dates via project reports and metrics.	5	Deadlines and work progress are monitored, and status is updated regularly by use of status reports, the project schedule, critical path stage gates/milestones, and detailed day-to-day inventories of select work units using hillclimber charts.

AREA	TASK	SCORE	IV&V OBSERVATIONS
GPM - 6	Verify use of a project issue tracking mechanism that documents issues as they arise, enables communication of issues to proper stakeholders, documents mitigation strategies as appropriate, and tracks the issue to closure.	5	The RAIDL process is in place and used to identify, vet, monitor and manage risks, action items, issues, decisions, and lessons learned on a recurring and regular basis.
GPM - 7	Evaluate the effectiveness of the system's life-cycle development methodology (waterfall, agile, evolutionary spiral, rapid prototyping, incremental, etc.) and deployment process.	3	The project has undergone a comprehensive re-planning to shift from an approach that was phased incrementally by both functions and by organizations to one that is phased by functions. The new approach is more streamlined but retains multiple phases (Waves) and an interim period that depends on FLAIR and requires temporary solutions and translation of legacy FLAIR data to new Florida PALM data and vice versa to support business processing. The Waves schedule included concurrent multi-wave activities of analysis, configuration, and development. There are inherent risks associated with this deployment approach due to the complexity of managing multiple Waves in parallel.
GPM - 8	Verify that the project's managerial and reporting structure supports training, process definition, independent quality assurance, configuration management, product evaluation, and any other functions critical for the project's success.	5	The project's managerial and reporting structure supports staff development, process definition, quality assurance, configuration management, and other functions necessary for project success.
GPM - 9	Assess coordination and management to verify agencies and departments are not working independently of one another and following the communication plan.	4	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.

## 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 rescheduling effort to rephase the overall project is completed and has been communicated to stakeholders. The current implementation approach for Florida PALM includes system modifications and/or new interface development by FLAIR, LAS/PBS, MFMP, STMS, and People First. IV&V was able to independently confirm commitment of FLAIR, LAS/PBS, STMS and People First to complete these activities according to the current project schedule. MFMP's commitment has not been confirmed as of the end of August.
TME - 2	Review that project milestones are realistic and meaningful and aid in managing project performance.	3	Deliverable Expectation Documents are inclusive of timelines to inform the project schedule. Deliverable deadlines and milestones appear reasonable and realistic. Milestones are used to set and manage the critical path in a manual manner. Through August, a backlog in completion of CMS Wave functional design documents continued to affect project schedule risk.
TME - 3	Review schedules to verify that adequate time and resources are assigned for planning, development, review, testing and rework.	3	FFMIS partners and STMS have not expressed objections to re-planned schedule details provided to date. Schedule details communicated provide information needed for FFMIS/STMS partners to affirm or decline a commitment to the project schedule. A resolution plan has been enacted to address the backlog in functional designs for the CMS Wave.
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.	5	The consistent attention paid to the project schedule results in increased awareness of planned activity starts and deadlines for completion.
TME - 5	Examine relevant supporting data to determine if the project team has accurately estimated the time required for system configuration and/or software development efforts.	3	Some Deliverables have not been submitted or accepted within the originally scheduled time deadlines. The delayed completion of CMS Wave functional designs is adversely affecting the start and completion of some development activities. To date, the project's critical path has not been adversely affected.
TME - 6	Review Project Team meeting process for tight agendas focusing on proactive issues (e.g., problem solving, risk identification, meaningful analysis) and relevant progress reports.	5	Agendas are used and meetings are focused and productive.

## AREA: Project Scope Management

AREA	TASK	SCORE	Comments
SCP - 1	Verify that the project scope is clearly documented; look for items listed as out of scope.	3	Project scope as defined in the SOW is communicated and affirmed. No potentially out-of-scope items have emerged. The phased approach to implementation creates a prolonged dependency on FLAIR. A hybrid design relying on FLAIR and PALM is to be in service between implementation of Central Wave and implementation of Departmental Wave. The implications of modifying FLAIR and relying on FLAIR-to-PALM and PALM-to-FLAIR data translations present design and development risks in the near-term, as well as increased risk to production operations requiring ongoing data translation.
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 as needed with the Executive Steering Committee according to 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 by all parties has demonstrably improved over time as evidenced by increased interactions and dialogs.
SCP - 5	Evaluate the thoroughness of scope control communications including project team, sponsors, and stakeholders.	5	The Project routinely takes a painstaking approach to sharing detailed information with stakeholders, sponsors, and governance entities.

### AREA: Project Cost Management

AREA	TASK	SCORE	Comments
CST - 1	Review and evaluate the Project Cost Management Plan to assess its reasonableness related to the project.	5	Project Management consistently demonstrates attention to detail and cost management practices.
CST - 2	Examine relevant supporting data to determine if the project team has accurately estimated the labor and cost of software deployment efforts.	5	Execution of planned work, fulfillment of deliverables and work products, and adherence to protocols have been evident without any indications that the levels of effort are greater or significantly less than available resources are able to accomplish.
CST - 3	Review the basis for cost forecasts and assess their accuracy.	4	The original contract is fixed price fixed duration. IV&V does not have access to confidential pricing details on the new work introduced by the re-planning effort. IV&V has observed discussions concerning cost containment and project leadership work to minimize any new costs associated with the re-plan.
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 prospective and actual cost analysis and management practices.



**AREA: Project Quality Management**

AREA	TASK	SCORE	IV&V OBSERVATIONS
QAL - 1	Verify the project's Quality Assurance plans, and procedures are comprehensive and complete.	5	The Project has adopted quality assurance processes that assure vendor accountability and help to ensure quality upon delivery/submission. The Project has also established a well-organized State Testing team that has demonstrated insight, thoroughness, and a highly effective approach to engaging with Track teams and creating plans and supporting documents for test efforts.
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.	5	The collaborative review process combined with individual quality review steps are effective in detecting and resolving quality issues prior to final submission for acceptance.
QAL - 3	Evaluate if appropriate mechanisms are in place for project self-evaluation and that measures are continually taken to improve the process.	3	SDS written deliverables continue to require significant efforts pre and post-submission to attain approval. Accenture pre-collaboration and pre-submission quality reviews need to be improved to make the prescribed process more efficient.
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	No Material Findings
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 over the past six months. 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.
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.
STK -4	Assess to assure stakeholder participation, support and commitment, and that open pathways of communication exist among all stakeholders.	5	Internal and external stakeholders are consistently communicated with, engaged in project activities, and encouraged to contribute feedback as project plans and designs are shared.
STK -5	Verify that stakeholder expectations match the project objectives and deliverables.	4	The Project regularly conducts proactive communications to and interaction with stakeholders and uses stakeholder feedback to improve where needed. Feedback from stakeholders indicates a high degree of satisfaction with project support. However, the Project needs to confirm schedule commitments with MFMP to ensure the development and testing of key interfaces can be accomplished by DMS. As of August, alignment of the Project schedule with the DMS MFMP Next Generation project schedule has not been confirmed.

## 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.
COM - 2	Verify communication plans and strategies are effective and support communications and work product sharing between all project stakeholders.	4	<p>Stakeholder assessments have been used to gauge effectiveness. The Project routinely publishes targeted communications and makes materials available online. IV&amp;V has observed agency liaisons leveraging published online material and the quarterly communications package to create internal content for meetings and other forms of communication (i.e. Sharepoint, newsletters, agency site).</p> <p>Some agencies indicate a need for detailed information for them to be able to assess the impact of Florida PALM on their agency business systems, operations, and demand for technical resources to complete preparations. The Project continually assesses its communications practices and creates alternative communications to inform agencies on where to find the details they seek.</p>
COM - 3	Review that mechanisms to capture informal communications and feedback are active and effective for informing project team of stakeholder and end-user needs.	5	The Project has established a Change Champion Network designed to channel informal communications to various agency-based liaisons prior to contacting Project resources directly. This helps to ensure ad hoc communications are received, treated by the appropriate resources, and responded to in a consistent manner.



### AREA: Project Risk Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
RSK - 1	Verify that the project is managing project risk through plans and procedures to identify, quantify, report, log and act upon reducing risk through contingency plans and communication.	5	The project has a long-established process to manage risks and is consistently monitoring and assessing potential risks. The project to date has logged a small number of issues that have been resolved without negative impacts to the overall plan or objectives. More details are provided in Section 2 of the IV&V Monthly Assessment.
RSK - 2	Verify that the project is managing project issues and actively acting to resolve.	5	The project has a long-established process to manage issues and is consistently monitoring and assessing risks that present emergent issues. More details are provided in Section 2 of the IV&V Monthly Assessment.
RSK - 3	Verify that Risk Plans include indicators for executive commitment and support.	5	Risks and Issues are regularly reviewed with Executive Sponsors and the Executive Steering Committee.
RSK - 4	Verify the Risk Plan recognizes multiple aspects of integrated project risk: processes, systems, organizations, culture and knowledge.	5	No Material Findings
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.	4	The re-planning effort has produced the need for some contract amendments. As of the end of August, one has been executed, and one was under review at DFS and Legislative Staff. The Project needs to quickly execute the pending contract amendment to preserve the integrity of the schedule, maintain concepts agreed to through the re-planning effort, and to enable OIT and FFMS partners to provide firm commitments.
PRC - 2	Necessary timeframes and specifications for project resources are identified and monitored.	4	The re-planning effort has produced the need for some contract amendments. As of the end of August, one still has not been executed.
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 as a result 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 compliant.



### AREA: Project Vendor Management

TASK #	TASK	SCORE	Comments
VND - 1	Verify the obligations of vendors (including sub-contractors) are clearly defined under the statement of work, requirements, standards, development milestones, acceptance criteria, delivery dates, etc.	5	Statement of Work is comprehensive. Roles and responsibilities are clear. The Project maintains a disciplined approach to the development of Deliverable Expectation Documents that include scope, timeframes, and acceptance criteria.
VND - 2	Verify that vendor's services are delivered in a manner compatible with the project's standards and work environment.	4	Adaptation of vendor service delivery practices to meet project standards is an ongoing process.
VND - 3	Verify the vendor has and maintains the required skills and resource capacity, procedures and supervisory standards to meet their commitments	4	Vendor resource issues require ongoing management to prevent risk. Turnover remains an area of focus.
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.	5	After encountering delays in onboarding resources due in part to COVID-19 logistical issues, Accenture has deployed additional resources to help resolve the delay in completion of CMS Wave functional design documents and subsequent development activities.
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.	5	Morale remains steady without evident issues. As COVID-19 causes extended telecommuting situations, the Project has taken steps to connect with staff and gauge morale. Deadlines continue to be met in most areas and teams continue to maintain 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 solicitate 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.
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.

## AREA: Project Capability Management

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



AREA	TASK	SCORE	IV&V OBSERVATIONS
CAP - 10	Verify approved interface specifications are documented and available and that appropriate relationships (such as interface working groups) are in place with all agencies and organizations supporting the interfaces.	4	The Project has shared interface layouts and is in the process of working with interfacing entities to determine specifications.
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.		Pending
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	System Test is proceeding without disruption. Test cases/scenarios are producing findings that are documented, triaged, and addressed in an orderly fashion. No significant risks have emerged from the defects encountered as of August.
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.		Pending
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.	5	No Material Findings
TST - 11	Verify that appropriate acceptance testing based on the defined acceptance criteria is performed satisfactorily before acceptance of software products.		Pending
TST - 12	Verify that the acceptance test organization has an appropriate level of independence from the software configuration/development organization.		Pending

### 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	5	Pending
TRN - 3	Assess curriculum and delivery plan for training to be provided to state system administrators. Verify sufficient knowledge transfer for maintenance and operation of the new system.	5	Training curriculum is under development. CMS Wave training units are in design and build.
TRN - 4	Verify that training for users is instructor-led and hands-on and is directly related to the business process and required job skills.	5	The plan includes all facets. End-user training for CMS Wave is in design and build.
TRN - 5	Verify that training materials including policies and processes along with help desk services are easily available to all users.		Pending
TRN - 6	Verify that all training is given on-time and is evaluated and monitored for effectiveness, with remedial training provided as needed.		Pending
TRN - 7	Verify that developer/configuration training is technically adequate, appropriate for the development phase, and available at appropriate times.	5	The Project maintains an extensive program of Knowledge Transfer to ensure project staff are trained on how to maintain and update the system.



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

## 2.4 IV&V Other Activities

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

Subject	Activities	Description
D075	Review and observations on deliverable	Conversion Extract Layouts
D076	Review and observations on deliverable	Published Interface Layouts
D080	Review and observations on deliverable	Technical Architecture Documentation
D088	Review and observations on deliverable	Master Data Configuration Workbook
D097	Review and observations on deliverable	Knowledge Transfer Scorecard
D120	Review and observations on deliverable	Help Desk Strategy
D127	Review and observations on deployment plan	Production Support Strategy
D172	Review and observations on deliverable	Project Schedule
D465	Review and observations on deliverable	CMS Wave Master Readiness Workplan
D499	Review and observations on deliverable	Protected Data Inventory Plan
WP326	Review and observations on work product	Production Support Roles & Responsibilities
WP10	Review and observations	Interface Inventory and Analysis
WP28	Review and observations	Conversion Checklists
WP321	Review and observations	Mock Conversion Testing Plan
WP356	Review and observations	Mock Conversion Test Scripts
AMEND 3	Observations	Contract Amendment 3



### 3 IV&V Contact Information

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