



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

Presented by:

Information Services Group Public Sector

September 1, 2021

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1 IV&V Monthly Assessment

1.1 Executive Summary

August 2021

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. August 2021 is the final period to be assessed by ISG. IV&V observations were made by participating in project meetings and deliverable review processes, examining project work products, and conducting IV&V specific interviews with the Project Team, stakeholders, and agencies.

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.

Over the course of thirty-seven monthly IV&V assessments, the Project has maintained an overall rating of green because the team has consistently demonstrated a disciplined, organized, and diligent approach to defining, scheduling, and executing tasks, meeting deadlines, and assuring quality. Professionalism and collaboration are evident in working meetings, large and small. Escalations have been few and the normal stresses and tensions that build in projects of this type have not resulted in detectable antagonism or other pitfalls that commonly threaten productivity.

As unexpected issues and major risks have emerged, the Project team has addressed them in a timely and methodical way. Management routinely creates detailed action plans and supervises the execution of work to resolve or mitigate issues and risks in parallel with the overall project schedule.

There are risks and other situations that tend to complicate and possibly threaten progress, but these have mostly to do with a combination of legacy FLAIR system constructs and external factors, rather than the design, development, and implementation of the PeopleSoft ERP system. These include:

- *Challenges that arise when the approach to implementation is influenced by legacy FLAIR concepts and limitations;*
- *Complications introduced by legislative proviso and de facto project governance resulting from ongoing legislative review and approval processes;*
- *Potential ongoing reliance on data translation where legacy FLAIR data elements are not replaced by Florida PALM data elements in Department and agency ancillary business systems; and*
- *Risks to the schedule caused by prolonged contract amendment and rescheduling activities.*

Risk Associated with the Influence of FLAIR and Historical Perspectives

The original approach to the implementation involved the Department and a small pilot group of agencies to be implemented fully on Florida PALM replacing Central FLAIR, Departmental FLAIR and CMS, while the remaining agencies would continue to operate using Departmental FLAIR and CMS and be implemented to Florida PALM incrementally. The modified approach adopted in 2019 would dispose of the pilot group and instead replace CMS first, then Central FLAIR, then FLAIR Payroll, then Departmental FLAIR with interim periods of one to two years between each. With CMS Wave implemented in July of 2021, the latest approach consolidates the Central and Departmental Waves into a single Financials Wave to be implemented in 2024.

The problematic aspect of both the original approach and the first modified approach was that both called for PeopleSoft to be implemented in a way that would emulate the duality of FLAIR (i.e., where PeopleSoft would first be implemented to replace Central FLAIR functions only and agencies would continue to use Departmental FLAIR, which would have required data conversion to occur daily and possibly more frequently). Agencies would also need to operate using temporary Florida PALM business processes during the interim period for work that needed to be processed directly in Florida PALM. The complexities of design and risk to operations in this scenario are difficult to overstate.

The consolidated Financials Wave approach eliminates those conditions and greatly reduces the complexities for not only the Project but also the Department and agencies, who need to understand what is to be implemented and when. Similar approaches have been used by states from across the country to successfully implement ERP solutions with a broader scope of functionality than that planned for Florida PALM. The Financials Wave approach reduces overall risk to design, development, and adoption of the new system.

IV&V has reported previously on the persistent influence that the Department's historical attempt to replace FLAIR with Project ASPIRE has on the perceptions and concerns of stakeholders. The IV&V Assessment of April 2021 contains the most recent comparison of the two projects and is located at: <https://myfloridacfo.com/floridapalm/oversight>

The priority placed on avoiding the pitfalls and preventing the missteps that occurred during Project ASPIRE are evident in the strategies and investments made by Project leadership, the Department, and through interactions with the Executive Steering Committee. Considering these extensive efforts to apply lessons learned and avoid prior mistakes, IV&V believes that focus on the unique challenges of Florida PALM as a very different project will yield better prospects for future success.

Risk of Reliance on Crosswalks and Ongoing Data Translation

With the decision to consolidate Central and Departmental Waves into a single Financials Wave, the need to translate FLAIR-to-Florida PALM and vice versa daily is greatly reduced. The Project does not plan to extend and maintain data crosswalks beyond the implementation of Financials and Payroll waves. However, the idea of translating data to avoid the need to modify legacy systems has gained popularity. If organizations invest in crosswalk programs that enable legacy systems to continue to operate using FLAIR data elements, there are immediate risks to implementation quality and long-term risks to business continuity once the Department ceases FLAIR data maintenance and Florida PALM data evolves.

Time Management Remains “Yellow”

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

A rating of yellow indicates a challenge that could, if left unmanaged, negatively impact the Project’s outcome in terms of schedule, cost, or quality. The Project Team should prioritize actions to mitigate or resolve the causes.

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| | The yellow status is calculated and specifically reflected by the scores that appear in Section 2.3 IV&V Detailed Assessment Scorecard, Area: Project Time Management beginning on page 27 of this report. |
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The yellow rating for Project Time Management persists due to the need to confirm the schedule for the new approach that consolidates Central and Departmental waves into a single implementation of PeopleSoft Financial functions. If the development and ratification of contract Amendment 6 becomes protracted, this risk will be exacerbated.

Deliverable Assessments

| | | | | | | | | | |
|------------------------------------|---|--|-----|---|--|-----|--|---------|--|
| Deliverable or Work Product # Name | WP297 – Security and Compliance Documentation | | | | | | | | |
| Description | The Security and Compliance Documentation work product (WP297) describes the deliverable and work products required to maintain, guide and control security and compliance practices to continuously review and manage the Solution in accordance with Department policies and standards, and applicable laws and rules. Compliance requirements detail the review frequency and roles needed to support each effort. | | | | | | | | |
| Overall Quality | Accuracy | | | Completeness | | | Timeliness | | |
| | Does the subject address its purpose? | | | Does the subject fulfill its purpose value? | | | Is the subject on time or is it late and causing other delays? | | |
| | | | YES | | | YES | | DELAYED | |
| Validation | Does the item fulfill requirements and support business objectives? | | | | | | | YES | |
| | WP297 is currently in the process of Final Review. After joint review of the initial draft of WP297 by IV&V and the SDS Manager, Accenture was asked to add additional supporting artifact references. | | | | | | | | |
| | The Florida PALM Solution requires ongoing security and compliance monitoring of the solution environment to validate the continued appropriateness of technical controls. Security and Compliance Documentation supports continued maintenance and details the frequencies for these activities. | | | | | | | | |
| | IV&V has verified that the final draft provides the methods and processes for the Project to document, support and comply with: | | | | | | | | |
| | 1. The Security and Technical Compliance Administration Guide (D113) includes the Security Controls Inventory that documents the approach of Florida PALM to address | | | | | | | | |

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| | <p>Florida standards and the National Institute of Standards and Technology (NIST) Special Publication 800-53 security controls required for moderate baseline systems.</p> <p>2. Security Controls Assessment - Independent third party with the security controls assessment of the Solution.</p> <p>3. Penetration Testing - Penetration testing is governed by the Penetration Testing Plan (D122) and the Penetration Test Scripts/Scenarios (WP308).</p> <p>4. Work from Home - Due to compliance expectations for the Solution and in consideration of resources working offshore, a quarterly work from home (WFH) test is performed demonstrating various controls expected to be in place for monitoring of remote access.</p> | |
| Verification | Are appropriate methods and standards used to design, configure, and/or develop the item? | YES |
| | <p>This Work Product adheres to project standard protocol for work products in that it is a non-formal deliverable containing references to related and supporting deliverables as well as overall approach to Security Compliance. The SDS Manager, Accenture Security SME, and IV&V collaborated on inclusion of artifacts required for completeness.</p> | |
| Acceptance Criteria | Work Product – N/A | |
| | | |
| | | |
| Project Actions to Resolve Deficiencies | <p>A review session with the SDS Manager, Accenture Security Practice SME and IV&V was scheduled to discussion potential improvements and clarifications to WP297. Through joint review of the initial draft of WP297 by IV&V, the SDS Manager and Accenture it was determined that additional supporting artifact references related to what has been accomplished to date, evidence of compliance to date, and the plan for continued compliance were needed to support security and compliance documentation.</p> <p>The executive summary and work product document body were expanded to clearly describe the scope required to provide the past, current and future security compliance requirement processes. Descriptive context for Penetration Testing (D122), Penetration Test Scripts/Scenarios (WP308), Completion of Penetration Testing (D147), Security and Technical Compliance Confirmation (D146), Technical Compliance and Certification (WP36) [Third Party Assessment] was added, as well as the cyclical nature and documentation methods for future testing and related deliverables.</p> | |
| Other Considerations, Potential Issues, Risks | <p>As of 8/25/2021, the documentation phase of this work product is 100% complete. Acceptance is expected by the end of the month. The original scheduled completion date was 8/2/2021. Additional review time was needed to guide Accenture in required revisions while project resources were focused on CMS post-launch activities. While the current progress is behind schedule, the compliance activities are part of a post-implementation plan to ensure continued compliance and there is minimal risk to on-going compliance as a result of this work product's schedule delay.</p> | |

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| Deliverable or Work Product # Name | D205 – Application Development – Interfaces (Central Wave) | | | | | | | | |
| Description | Application Development Documentation (D205) documents interface-specific development Functional Design, Technical Design, and Unit Test documentation for interface items in the Central Wave RICEFW Inventory (D185). | | | | | | | | |
| Overall Quality | Accuracy | | | Completeness | | | Timeliness | | |
| | Does the subject address its purpose? | | | Does the subject fulfill its purpose value? | | | Is the subject on time or is it late and causing other delays? | | |
| | | | YES | | | YES | | IN PROGRESS | |
| Validation | Does the item fulfill requirements and support business objectives? | | | | | | | YES | |
| | This submission includes documentation of work units that are 100% complete. Outstanding Items will be stopped or incorporated into Financials Wave via Amendment 6, as required. | | | | | | | | |
| | The D205 deliverable includes an overview document that describes the approach for documenting interface inventory work items. Each interface inventory development work item in D205 is detailed in an individual Word document. For work item documents sampled, it was observed that each work item is consistently and thoroughly documented and meets acceptance criteria. Each work item document contains detailed functional and technical specifications required to facilitate development and creation of testing scenarios. | | | | | | | | |
| | All design documents are stored and available on the Project SharePoint site. | | | | | | | | |
| Verification | Are appropriate methods and standards used to design, configure, and/or develop the item? | | | | | | | YES | |
| | The deliverable describes technical design process specifications and details required facilitate application development, unit test cases and create interface testing documentation. All acceptance criteria have been met. In review of the deliverable document, it was observed that the Deliverable Expectation Document has been closely followed to guide development of this deliverable. Work unit document sampling observed that standard functional and technical design concepts have been incorporated including, in addition to the acceptance criteria below, flow charts, dependency impacts, change management needs, security role considerations, architecture considerations, detailed technical specifications, code examples, and samples of expected results were consistently included in each document. | | | | | | | | |
| | Each design document is individually reviewed and approved by the Project Team. | | | | | | | | |
| Acceptance Criteria | 1. Considerations and outcomes for applicable types | | | | | | | Met | |
| | 2. Overview description of RICEFW item | | | | | | | Met | |
| | 3. List of assumptions | | | | | | | Met | |
| | 4. Issues (Issue, Status, Resolution) | | | | | | | Met | |
| | 5. Impacted objects | | | | | | | Met | |
| | 6. Programming source (i.e., App Designer Project Name) | | | | | | | Met | |
| | 7. Unit test(s) conducted and related results | | | | | | | Met | |
| | 8. Unit test document revision log (Date, Author, Change Description) | | | | | | | Met | |

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| | 9. Report impacts | Met |
| | 10. Extension/Form/Workflow impact | Met |
| | 11. Other impacts | Met |
| | 12. Testing scenarios | Met |
| Project Actions to Resolve Deficiencies | None | |
| Other Considerations, Potential Issues, Risks | As of 8/25 this deliverable, originally scheduled for completion 8/13/2021, is in the Final Collaborative review stage of completion. Acceptance is pending a Project Change Request and expected to be completed in September. | |

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|---|--|-----|--|-----|---|------------|
| Deliverable or Work Product # Name | <i>D473 – Application Development – Reports/Extensions/Forms/Workflows (Central Wave)</i> | | | | | |
| Description | Application Development Documentation (D473) documents Reports/Extensions/Forms/Workflows specific development Functional Design, Technical Design, and Unit Test documentation for interface items in the Central Wave RICEFW Inventory (D185). | | | | | |
| Overall Quality | Accuracy | | Completeness | | Timeliness | |
| | <i>Does the subject address its purpose?</i> | | <i>Does the subject fulfill its purpose value?</i> | | <i>Is the subject on time or is it late and causing other delays?</i> | |
| | | YES | | YES | IN PROGRESS | |
| Validation | <i>Does the item fulfill requirements and support business objectives?</i> | | | | | YES |
| | This submission includes documentation of work units that are 100% complete. Outstanding Items will be stopped or incorporated into Financials Wave via Amendment 6, as required. | | | | | |
| | D473 includes an overview document that describes the approach for documenting Reports/Extensions/Forms/Workflows work items. Each inventory development work item in D473 is detailed in an individual Word document. For work item documents sampled, it was observed that each work item is consistently and thoroughly documented and met the acceptance criteria items listed. Each work item document contains detailed functional and technical specifications required to facilitate development and creation of testing scenarios. All design documents are stored and available on the Project SharePoint site. | | | | | |
| Verification | <i>Are appropriate methods and standards used to design, configure, and/or develop the item?</i> | | | | | YES |
| | The deliverable describes technical design process specifications and details required facilitate application development, unit test cases and create interface testing documentation. All acceptance criteria have been properly met. In review of the deliverable document, it was observed that the Deliverable Expectation Document has been closely followed to guide development of this deliverable. Work unit document sampling observed that, in addition to the acceptance criteria below, standard functional and technical design concepts have been incorporated, including flow charts, dependency impacts, change management needs, security role considerations, | | | | | |

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| | <p>architecture considerations, detailed technical specifications, code examples, and samples of expected results, which were consistently included in each document.</p> <p>Each design document is individually reviewed and approved by the Project Team.</p> | |
| Acceptance Criteria | 1. Considerations and outcomes for applicable types | Met |
| | 2. Overview description of RICEFW item | Met |
| | 3. List of assumptions | Met |
| | 4. Issues (Issue, Status, Resolution) | Met |
| | 5. Impacted objects | Met |
| | 6. Programming source (i.e., App Designer Project Name) | Met |
| | 7. Unit test(s) conducted and related results | Met |
| | 8. Unit test document revision log (Date, Author, Change Description) | Met |
| | 9. Report impacts | Met |
| | 10. Extension/Form/Workflow impact | Met |
| | 11. Other impacts | Met |
| | 12. Testing scenarios | Met |
| Project Actions to Resolve Deficiencies | None | |
| Other Considerations, Potential Issues, Risks | As of 8/25 this deliverable, currently scheduled for Acceptance 8/25/2021, is in the Final Collaborative stage. Acceptance is pending a Project Change Request and expected to be completed in September. | |

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| Deliverable or Work Product # Name | D161 – Data Conversion and Data Migration Activities Complete | | |
| Description | The Data Conversion and Data Migration Activities Complete deliverable documents the activities completed for the deployment of data conversion and data migration. | | |
| Overall Quality | Accuracy | Completeness | Timeliness |
| | <i>Does the subject address its purpose?</i> | <i>Does the subject fulfill its purpose value?</i> | <i>Is the subject on time or is it late and causing other delays?</i> |
| | <div><div></div><div></div><div>YES</div></div> | <div><div></div><div></div><div>YES</div></div> | <div><div></div><div></div><div>YES</div></div> |
| Validation | <i>Does the item fulfill requirements and support business objectives?</i> | | YES |
| | D161 adequately describes the conversion activities per the deliverable expectation document. The deliverable consists of a summary document providing the approach, scope, related deliverables/work products. Project scheduling and execution of conversion tasks were documented in WP35 – Cutover Checklist. D161 contains the summary of the conversion activities. Data Conversion Inventory (D48) contains the original conversion inventory. | | |
| Verification | <i>Are appropriate methods and standards used to design, configure, and/or develop the item?</i> | | YES |
| | The Data Conversion and Data Migration Activities Complete deliverable aligns with the deliverable expectation document requirements comprising two separate documents, including a 'Data Conversion and Data Migration Activities' Word document providing a summary describing an overview and the relevance of this deliverable in relationship to the overall Project including the purpose, scope and | | |

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| | related strategy and plan deliverables and an 'Activities Summary' in Excel detailing the following: Conversion Item, Project Developer, Project Executor, State Developer, State Validator/Reconciler(s), State Data Owner, Source File Due Date, Source File Load Status, Completion Date, and Exceptions (if needed). | |
| Acceptance Criteria | 1. Conversion data sets | Met |
| | 2. Project developer/executor | Met |
| | 3. Per Source of Data: State Developer(s), State Validator/Reconciler(s), State Data Owner(s) | Met |
| | 4. Mock: Source File Due Date | Met |
| | 5. Mock Source File Received Status | Met |
| | 6. Source File Load Status | Met |
| | 7. Completion Date | Met |
| Project Actions to Resolve Deficiencies | None | |
| Other Considerations, Potential Issues, Risks | As of 8/25, this deliverable, currently scheduled for Acceptance 8/31/2021, is in the Final Collaborative review stage of completion. This deliverable was accepted 8/26/2021. | |

Incident Management Assessment

The Project's Incident Management protocols are prescribed by the principles and methods described in D137 – Production Support Operations Plan and D153 – Post Implementation Support Plan. The Production Support Operations Plan documents the operational structure and activities of the production support team, including team makeup, services provided, schedule of activities, and how these relate to contractual performance expectations. D153 documents the Post Implementation Support period, also described as the Stabilization Period, during the first three months following CMS Wave launch.

As production issues are identified and recorded, incidents are created in the ServiceNow (SNOW) incident management software. SNOW is the Project's issue monitoring software for the production environment. Incidents are triaged by the Tier 1 PALM Project team to determine resolution team assignment, priority ranking, and resolution tier assignment. Incidents are escalated to Tier 2 and 3, if required for resolution.

There are 4 Tiers in the agency production support structure:

- **Tier 0** (Agency Specific Support) – Agency staff (often including Florida PALM Super Users) who provide direct support to their agency’s system users on matters such as questions on basic usage and agency-specific business processes, log-in issues, and user role assignments.
- **Tier 1** (Florida PALM End-User Support) – Department team members who receive calls and written communications from agency users and provide support for inquiries regarding Florida PALM to triage and resolve, if possible, and routing to Tier 2 and Tier 3 when additional support is needed.
- **Tier 2** (Production Operations Support) – Subject matter advisors primarily from the Accenture functional and technical teams, who answer escalated queries from Tier 1 and define, prioritize, and test ticket resolutions in Florida PALM.
- **Tier 3** (Application/Infrastructure Maintenance) – Application and infrastructure teams who maintain the application, infrastructure, system performance, and network, and provide support to address what cannot be resolved by Tier 1 or Tier 2 (e.g., application patching, application upgrades, and infrastructure fixes). Tier 3 will be comprised primarily of Accenture resources. Tier 3 will work with the Florida PALM Communications Team to develop and distribute communications regarding such topics as application updates, system downtimes, and maintenance releases to Project team members, the other tiers, and agency end users.

D127 Production Support Strategy defines how incidents are ranked according to the following severity levels:

- **Severity Level 1** (Critical) Problem – a problem or deficiency that causes total failure of critical Solution components or unrecoverable data loss, resulting in a critical business impact
- **Severity Level 2** (Major) Problem – a problem or deficiency that causes substantial failure of critical Solution components or data to be incorrectly processed or stored, causing a major business impact.
- **Severity Level 3** (Moderate) Problem – a problem or deficiency that impairs some functionality within the Solution but does not prevent or materially impair the continuation of normal production operations.
- **Severity Level 4** (Minor) Problem – a spelling or cosmetic problem or deficiency that does not impact the business processes or another issue that does not impair the functionality of the Solution.

Stabilization Team

As defined in PALM’s Post Implementation Support Plan “Stabilization Stage 2,” twice-weekly meetings began on the third week following implementation and continued through the third week of August. Stabilization Team meetings reviewed, triaged, and reported status priority incidents recorded in SNOW. Twice weekly Incident Management meeting where SNOW incident status, expected resolution date, and assignment are reviewed by the Project team. New incidents are triaged, assigned priority and follow-up needs are identified.

IV&V observed thorough and responsive attention to project needs through representation of functional and technical disciplines identified during the on-going stabilization period. Issues are triaged and escalated. Issues are assigned specific resolution support teams to work through issues with the user community providing expedited resolution as needed. This same thoroughness and responsiveness is also observed during the recently initiated twice-weekly Incident Management meetings.

IV&V observes that the ServiceNow application used to manage incidents offers robust functionality to categorize and track status, activities, and resources involved in resolving incidents. Accenture has configured some but not all fields and data elements available. It is recommended that the Project assess its reporting needs from ServiceNow and enable additional fields and functions as needed.

During August, feedback from agencies indicates some confusion on incident escalation routes with some agencies attempting to escalate Production Support incidents via their Project Readiness Coordinators. Project and Production Support management began working with Project Sponsors and DFS Divisions to clarify responsibilities and develop communications to guide agencies.

Daily Treasury and Banking hypercare sessions continued through August. The team worked through bank reconciliation and other needs primarily related to manual reconciliation adjustments for transactions spanning CMS conversion FLAIR and PALM date. Daily Deal Management hypercare sessions also occurred through August, working through PALM interest apportionment procedures and resolving code/configuration incident in both the QAS and Production environments.

Quality Assurance Change Control Management

As prescribed in the Florida PALM Production Support Operations Plan, the Project established the production Quality Control and Change Control Management Process for reviewing routine changes to address break/fix tickets (i.e., incidents), update system configuration (e.g., increase memory allocation), and to apply vendor patches as well as requests for new and/or enhanced functionality (i.e., enhancements).

IV&V observed twice weekly QA Testing and Change Control Management meetings. SNOW incident resolutions were reviewed timely by the Change Control team. Incidents are grouped and queued relative to priority for patch testing, migration approval and migration. Higher impact/priority incidents are queued for emergency/immediate environment migration as necessary.

With satisfactory review, the State Change Control Advisory team approves and schedules the SNOW incident resolution for migration to production with consideration for dependent business processes and priorities. Upon SNOW incident resolution migration to production, Tier 1 support notifies the reporting PALM user of the migration of the fix to production for review.

Known Issues List

In preparing for the transition to production, the Project created a Known Issues List (WP47) identifying open “Deferred” Testing SIRs with the “Deferred” SIRs planned for resolution post CMS Wave launch. WP47 and WP48 SIRs were transitioned to Production Support and the Known Issues list, with current status, was posted to SmartSheet where it is readily accessible to all interested parties. As of July, these are tracked and managed in SNOW as part of PALM operational reporting.

IV&V observed, as of the end of August, seven (7) Minor and two (2) Moderate priority SNOW incidents remain open that were included in the Known Issues List (WP47). Of the Minor priority incidents, two are related to application code, three are related to application configuration, and two are related to interface data. The Moderate priority incidents both relate to interface data.

Production Support Incidents

The following charts present SNOW incident trends from weeks ending 7/11/2021 to 8/24/2021. ‘Cancelled’ SNOW incidents are not included as these may be erroneous entry or SNOW functionality test entries.

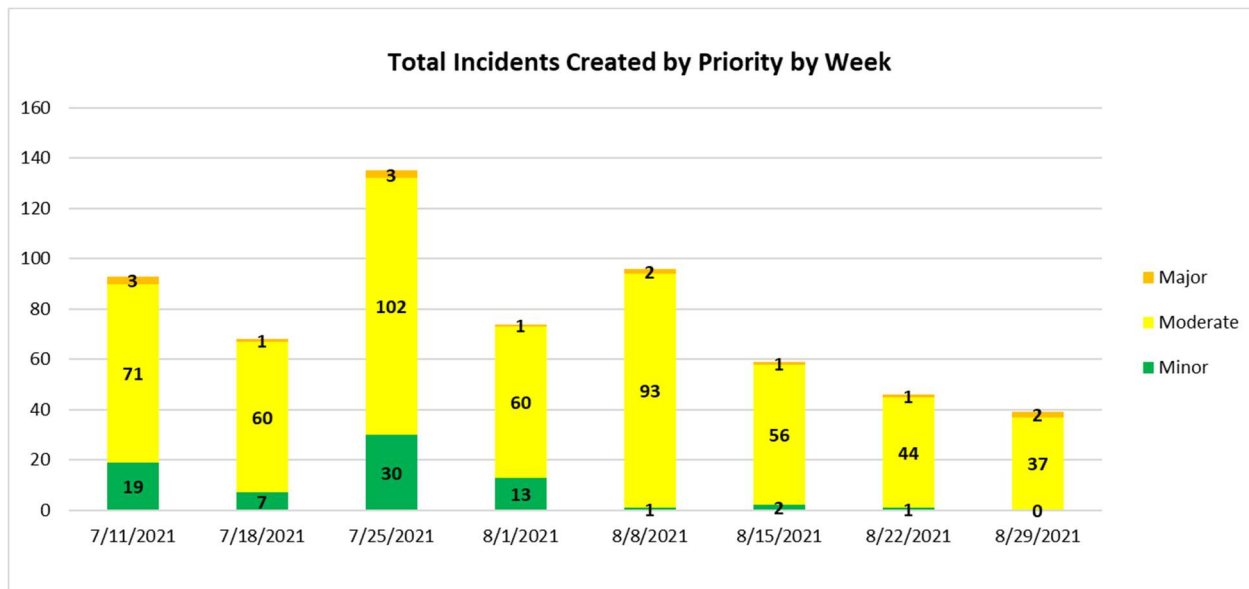
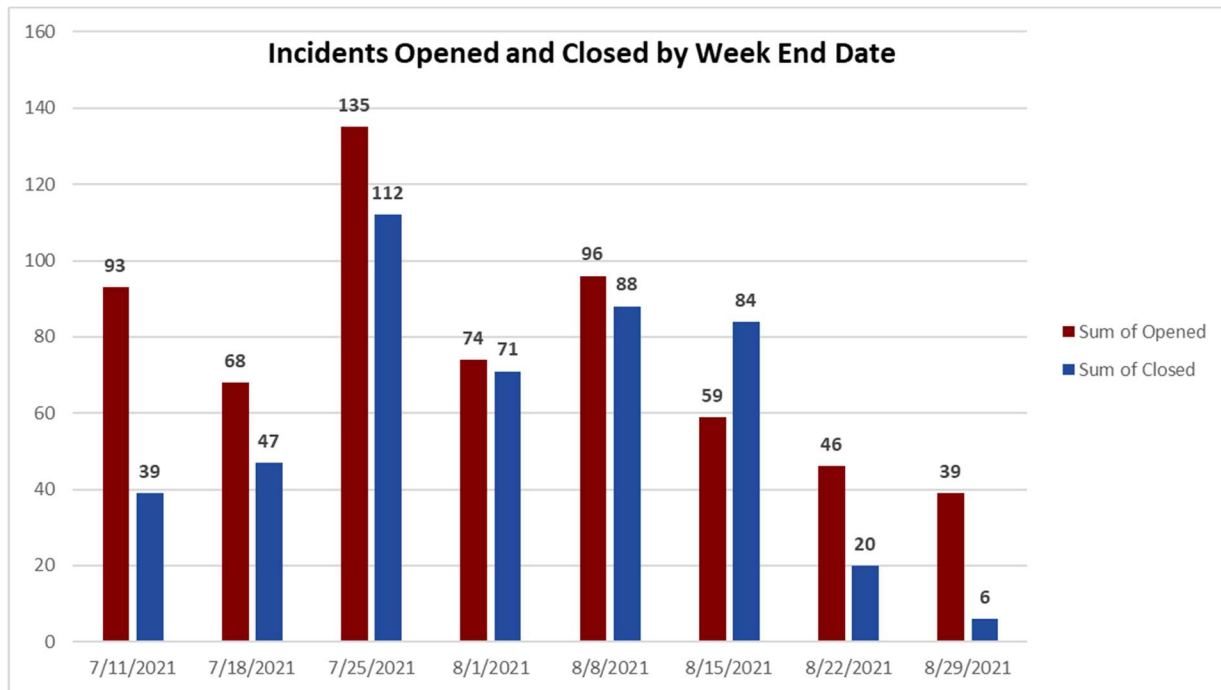
The volume of incidents open is typical of implementations of the CMS Wave magnitude. Average time for incident closure is representative of a quality Post Implementation Support Plan and Team response.

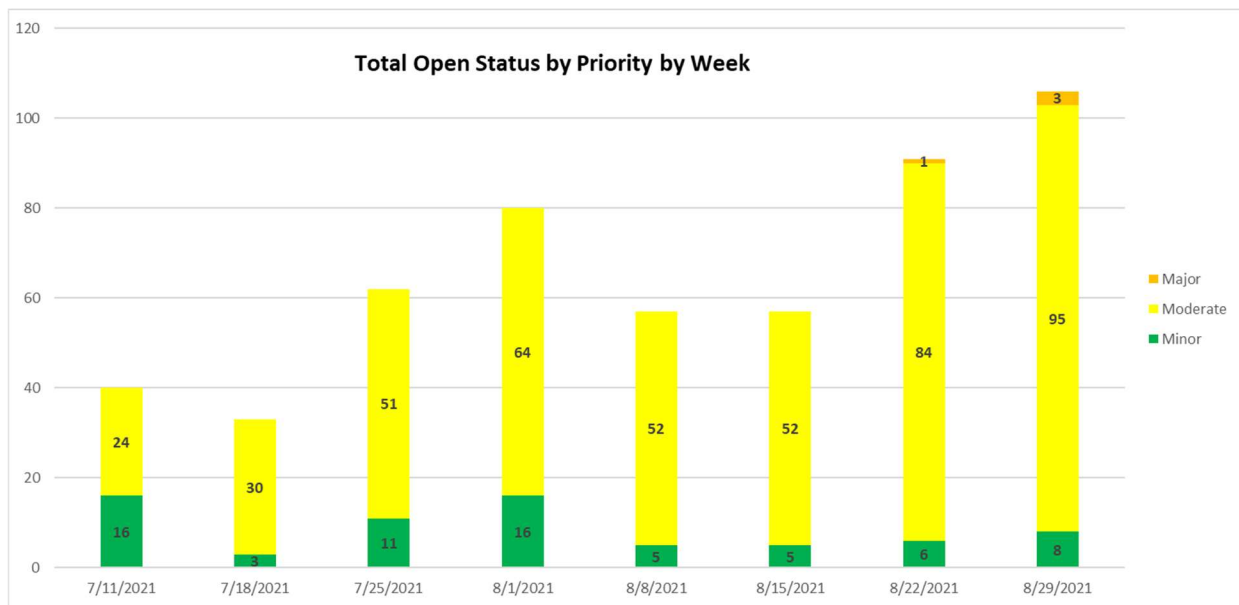
As of August 24, 2021, no Critical incidents have been opened since launch.

For the time period 7/2/2021 to 8/24/2021, 11 Major incidents, 491 Moderate, and 61 Minor were opened.

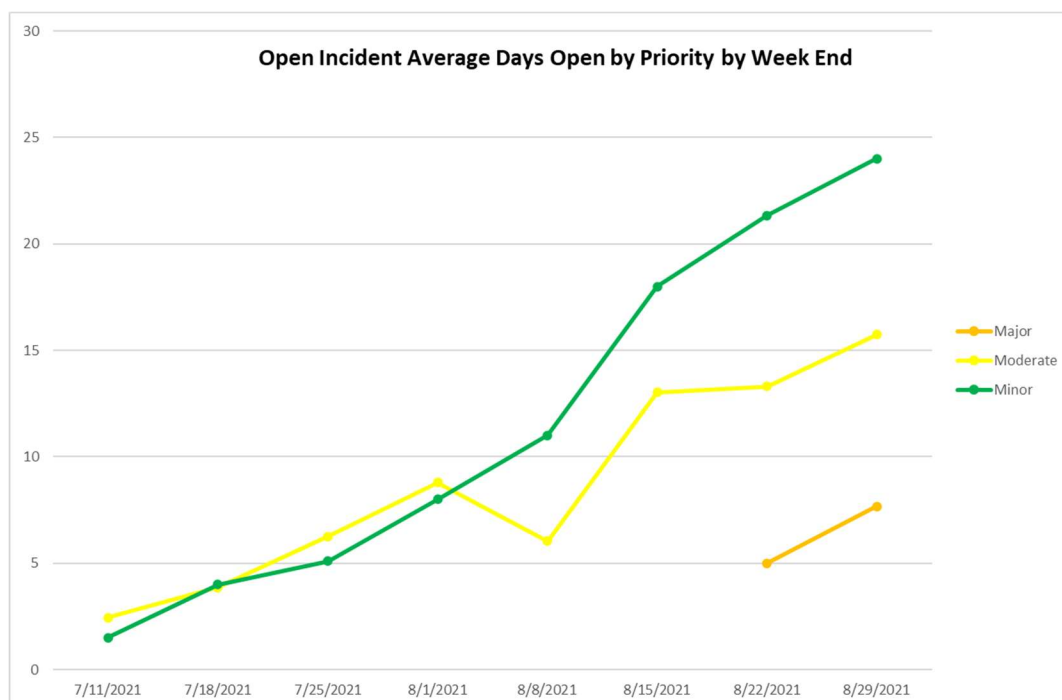
- *All but 2 of the Major incidents were resolved within 1 business day during this time period.*
- *46% of incidents have been Information/Report related with users needing additional instructional assistance and/or accessing/running reports.*
- *11% of incidents have been user-access related.*
- *11% of incidents have been application configuration related.*
- *All other incident SNOW categories had less than 5% of the total incident count occurrence.*

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* Of eleven (11) Major priority incidents opened since go-live, seven (7) were resolved in less than one day. One was resolved in 3 days. As of 8/24, two remain open in "Awaiting User Info" Status. Most Major incidents were closed by the same week's end and therefore will not be represented in average days open for open incidents in the chart below.



*Charts do not include SNOW incidents with a status of 'Cancelled'.

**Trend data collection began with Week Ending 7/11/2021.

***Open incidents include incidents in Resolved status. Resolved incidents are automatically moved to Closed status after 3 days, if no further concerns are reported.

**** Weekend 8/29/2021 includes SNOW Incident data through 8/24/2021.

Agency Engagement Assessment

Throughout August, 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).

Engagement activities in August focused on CMS wave user support and initial preparation for future waves by encouraging agencies to review Standard Business Processes. Agencies were asked to reinforce awareness of the solution center support resources, review Standard Business Processes and identify any statutory impediments to adoption, and document CMS lessons learned that can be applied to future waves to better transition to Florida PALM.

IV&V observed agencies transitioning to the new CMS processes with varying levels of needed support. Many agencies indicated that they were able to use the resources provided by the Project to work through any issues that they encountered and felt confident that their users would soon gain greater proficiency as they had more experience using the Solution. Others felt frustrated with the speed at which their issues were being addressed by the Solution Center and had a desire for more proactive sharing of issue resolutions across the agencies.

The Project continued to offer User Support Labs (USLs) in August to aid users performing their work in production. These USLs were not heavily attended by individuals, but IV&V observed agencies scheduling agency specific USLs with successful outcomes.

IV&V observed some confusion around the ownership of areas of support between the Project and Solution Center. Readiness Coordinators (RCs) reinforced in agency touchpoints that the Project would be focusing on areas of implementation and the DFS-OIT Solution Center would provide production support. As the Solution Center identifies issue trends that demonstrate a gap in knowledge, it will be important to understand at what point the issues are best addressed individually or require communication, training, or other initiative and which organization will develop and deliver that knowledge to agencies.

During August, agencies were asked to identify lessons learned from the CMS wave that could be applied to future waves.

IV&V observed that many of the submitted documents from agencies focused on Florida PALM resources and processes. While it is important for the Project to apply lessons learned from CMS to adequately scale to the impacts in the future waves, it is also important for the agencies themselves to consider their own experiences and how they may prepare for the next, more impactful wave.

As part of responding to CMS wave experience and agency feedback, IV&V observed the Project preparing to implement new initiatives, such as Module Workgroups and Tuesday Task Talks. One of the continued challenges agencies have expressed is the need to better understand how current processes and transactions translate to Florida PALM. IV&V observes that the resources and tools created for the Module Workgroups will help address agency challenges. In addition, agency touchpoints occur throughout the month at varying timeframes. Some MRW tasks are released weeks prior to the scheduled touchpoints. Tuesday Task Talks will provide additional support to agencies closer to the release of the task, increasing opportunity for agencies to complete tasks with the intended outcome.

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

In August, Project communications focused on CMS user support. IV&V observed positive agency response to the Florida PALM Solution and User Support pages.

Agency Engagement Interviews

Beginning in June and continuing through August, IV&V conducted one-on-one interviews with agencies to verify their experience with Project training and communication activities regarding readiness in adapting their business operations and data dependencies to the changes in the Chart of Accounts and new Business Processes resulting with Florida PALM. The interviews consisted of a standard set of questions, asked of each agency, to obtain answers in three major areas:

- Agency engagement and the effectiveness of Florida PALM Readiness Activities;
- Agency conceptual understanding of the Florida PALM change; and
- Agency preparedness for Florida PALM operational impacts.

Agencies participating in the interviews included:

June Interviews

Florida Department of Transportation (FDOT)

Florida Department of Corrections (FDC)

Florida Commission on Offender Review (FCOR)

Department of Elder Affairs (DOEA)

Department of Juvenile Justice (DJJ)

Florida Department of Law Enforcement (FDLE)

July Interviews

Department of Children and Families (DCF)

State Courts System (SCS)

Department of Environmental Protection (DEP)

Department of Health (DOH)

Department of Veteran Affairs (DVA)

Department of Revenue (DOR)

Department of Business and Professional Regulation (DBPR)

Department of Agriculture & Consumer Services (DACS)

August Interviews

Florida Highway Safety and Motor Vehicles (FLSMV)

Department of State (DOS)

Division of Administrative Hearings (DOAH)

Division of Emergency Management (DEM)

Florida Legislature (LEG)

Florida School for the Deaf and Blind (FSDB)

Agency responses were largely uniform and consistent throughout the interview process. Eighteen of the twenty agencies confirmed they are using the Change Impact Tool and the Chart of Accounts (COA) Materials and find both helpful in understanding the new Processes and COA changes. They also affirmed that they were able to adequately prepare Internal Florida PALM Super Users for Tier 0 User Support. DCF has identified cultural change issues in the adoption of new process by staff and are successfully addressing these challenges. DOH feels project information requires greater detail on actual processing steps and more training on how the new system impacts their day-to-day jobs.

Agencies reported that they completed the PALM Training rollout yet expressed a need for more context detail in training documentation, processing of transactions flow-tabs, pages, fields, and agency-specific valid COA codes. Agencies expressed a desire for greater detail in identifying the actual steps for the new business processes and would value having access to a “Sandbox Environment” to gain hands-on exposure and improved understanding of how end users will input data, process transactions, and navigate the new system.

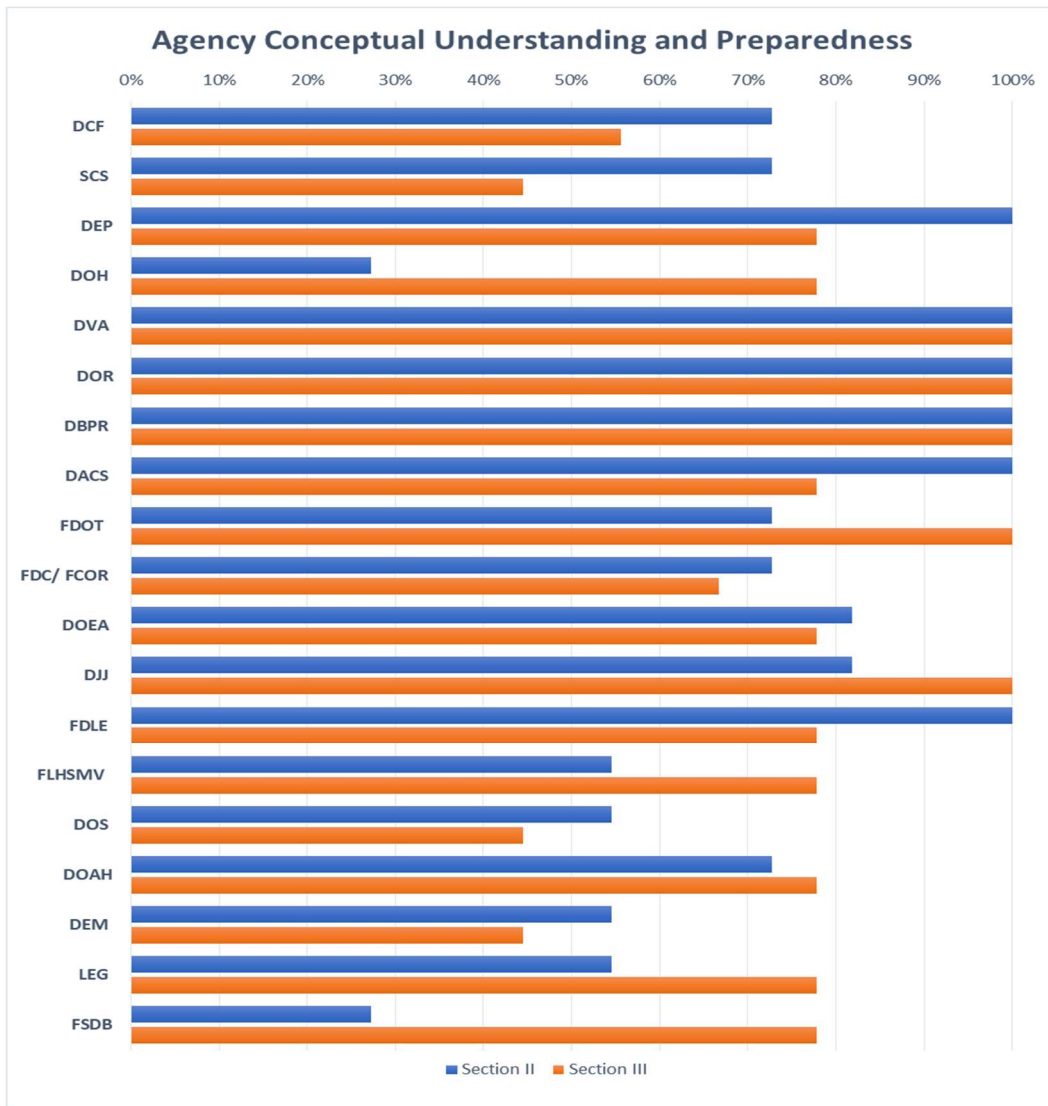
Agencies indicated that separation of duties has been identified for internal controls and compliance. However, agencies with low headcount expressed concerns over implementing separation of duties while maintaining efficient operations. Agencies are evaluating the impact to agency operations from the CMS Wave Implementation and will reassess the impacts to agency operations for the Financials Wave Implementation.

Agencies reported that resources were adequate for the CMS Wave implementation. They indicated that they will continue evaluating the resource needs for the Financials Wave implementation.

Agencies conveyed that mid-level and senior-level users understand accounting principles and, thus, two-sided/balanced journal entries. However, they shared that other staff levels will need focused accounting training for the balanced entry process.

Overall, IV&V found the agencies to be engaged and supportive of PALM. Agencies acknowledge the impact of the Financial Wave will be greater on their organizations and diligence on their part in training, communication, and overall preparation will be critical to cutover success.

The chart on the following page illustrates agencies’ responses to readiness questions for conceptual understanding (Section II responses – in blue) and operational preparedness (Section III responses – in orange).







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

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




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

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























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









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

1.2 IV&V Overall Risk Summary

| Overall Status | | | |
|---|---|---|--|
| Current Period | Prior Period | Overall Trend | Observations <i>Based on standardized IV&V scoring</i> |
|  |  |  | <ul style="list-style-type: none"> • CMS Wave successfully launched in July. This major accomplishment validates the Project's efficacy and progress toward eventually replacing FLAIR. • Post-launch incidents requiring repairs or modifications to the application, interfaces, and/or data, have required constant attention to avoid business disruption in the areas of investment accounting and interest apportionment. • The Project is in the process of defining the approach and statement of work to implement a consolidated Financials Wave statewide in 2024. The consolidated implementation greatly reduces the complexity and risks associated with the prior plan to retain FLAIR in a hybrid state. • It is imperative that the consolidated approach, schedule, and contract amendment be completed and in effect as soon as possible to avoid squandering the time gained for agencies to prepare. • A decision to reschedule the Payroll Wave to coincide with the Financials Wave is pending. The desirability of this is based on the gap that would need to be filled to support agency payroll cost accounting if Departmental FLAIR is decommissioned while People First and FLAIR Payroll remain in operations. The proponents of the idea assert that the change impact to the Department and agencies would be contained to select back-office functions and a technical replacement of the payroll engine rather than a full-scale HR/payroll implementation affecting all employees. • 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. • Risks and issues are being managed proactively and with an appropriate sense of urgency. • The risk of turnover in key positions remains high. The multi-year, multi-phase implementation approach increases the probability of occurrence. • Cost management and resource allocation are monitored closely by Track Managers and the 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 improving as CMS Wave success serves to prove the Project's ability to fulfill its plan. |

1.3 IV&V Monthly Assessment Dashboard

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



| IV&V Dashboard | | | CURRENT | PRIOR |
|----------------|--|--|---|---|
| | PROJECT AREA | PROJECT AREA DESCRIPTION | RATING | |
| 12 | Project Change Control | The Project is appropriately managing the change request process and potential impacts on project scope, project objectives and goals, and implications to the overall project plan. |  |  |
| 13 | System Capability Management | The Project is effectively communicating technical process and security requirements (and changes to requirements), managing configuration/development activities, controlling software and environments to support project life cycle. |  |  |
| 14 | Project System and Acceptance Testing | The Project has fully staffed the Testing Team and continues to identify use cases to support the development of test scripts to evaluate and accept the system and supporting deliverables. |  |  |
| 15 | Project Training Management | The Project has delivered training to DFS and state agencies via multiple channels and has made published training material available, including user manuals that provide instructions in business context for the CMS Wave. User labs are planned to provide remedial support. |  |  |

Continued on next page.

2 IV&V Detail Reporting

2.1 Project Risks

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

| | PROJECT AREA | PROJECT AREA DESCRIPTION | RATING | |
|---|-------------------------|--|---|---|
| | | | Current | Prior |
| 3 | Project Time Management | <p>The assessment score for Project Time Management remains in a yellow status due to the following factors:</p> <p>While the decision to consolidate the Departmental and Central Waves into a single Financials Wave should reduce the overall risk to the Project, the need to finalize the approach and execute the contract amendment is essential to reducing the risks to Time Management caused by not having the definitive schedule and statement of work in place and potentially enabling inaction by agencies.</p> <p>The eventual ratification of that decision along with revised deliverable and activities schedule as constituted by contract Amendment 6 should further improve scoring in this area.</p> |  |  |

The Risk Log lists thirty-two (32) open risks in the following statuses as of August 25, 2021:

- **Mitigating:** Twenty-five (25) risks are being actively mitigated by project management techniques, including the activities that address the risk directly or that enhance already planned activities to avoid or otherwise prevent the risk from affecting project outcomes.
- **Monitoring:** Seven (7) risks are being monitored to identify when their probability of affecting the Project increases to the point that mitigation is required.

During the period, there was one (1) risk removed from the log and one (1) risk added. Three (3) risks had status changes from Under Evaluation to Mitigating.

The risk removed from the log was:

Risk #243: If Organizations with technical dependencies on the Florida PALM solution do not have time to identify changes needed and modify business systems to support Central Wave implementation activities, then it could cause delays in the Project.

IV&V notes Risk #243, created on 1/1/2021, was removed from the log on 8/4/2021 when Leadership review determined the risk could be closed as the Central and Departmental waves were now combined into the Financial Wave.

The risk added to the log was:

Risk #266: Unfunded financial resources at agencies may impact Florida PALM transitions.

IV&V notes Risk #266, was created on 8/18/2021 after discussions during the July Executive Steering Committee.

Risks with change in status include:

Risk #261: Without an executed contract amendment to define the 2024 implementation approach, the Project implementation and agency adoption schedules are at risk.

IV&V notes Risk #261, received a status change from Under Evaluation to Mitigating on 8/4/2021 noting the risk will continue to be monitored during September. The risk received a revised due date of 9/30/2021.

Risk #262: Agencies may encounter delays in funding releases for transaction activities.

IV&V notes Risk #262, received a status change from Under Evaluation to Mitigating on 8/4/2021 as confirmation is underway that agencies are indeed receiving 1st quarter funding releases.

Risk #265: There may be a misalignment of stakeholder expectations with Project Team activities.

IV&V notes Risk #265, received a status change from Under Evaluation to Mitigating on 8/4/2021 as the Project plans to notify agencies that there is no intent for Florida PALM to map legacy data or interfaces.

2.2 Project Issues

There are no open issues listed in the issues log as of this report. No issues were added or deleted during the period.

2.3 IV&V Detailed Assessment Scorecards

AREA: General Project Management

| AREA | TASK | SCORE | IV&V OBSERVATIONS |
|---------|--|-------|--|
| GPM – 1 | Verify and assess project management and organization, verify that lines of reporting and responsibility provide adequate technical and managerial oversight of the project. | 5 | The Project Director, Project Management Office, Track Managers and Team Leads regularly conduct joint and separate team meetings and demonstrate hierarchical support and accountability on activities, schedule and delivery. |
| GPM – 2 | Evaluate the project's system's change request and defect tracking processes. | 5 | All teams are observed to adhere to the prescribed change control processes for requirements, designs, and tools to be used to implement the solution. Change control decisions are made according to the process as prescribed in the Project Management Plan (PMP). Changes to requirements and designs are also governed by the Executive Steering Committee. |
| GPM – 3 | Verify the creation and approval of high-level plans. | 5 | PMO conducts regular planning sessions with Track Managers and Accenture to create and maintain the project plan and its schedule, and to commit resources to activities and deadlines. In addition to high level plans, these activities also develop and scrutinize details. Plans are coordinated with DFS Divisions, Enterprise systems partners, and key agencies when needed. |
| GPM – 4 | Verify that a Project Management Plan and procedures are developed, communicated, followed, monitored and completed. | 4 | The DDI PMP is approved and updated as needed following the prescribed process. The Project uses a discrete plan for each Wave. The Project is observed to manage critical path by means of select milestones aligned to ESC Go/No Go Decisions encompassing select Deliverables. Where tasks entail the production of multiple work units, the Project uses discrete hillclimber tracking spreadsheets to avoid unnecessarily elongating the project schedule with subtasks and to enable team members to report progress daily by directly updating the hillclimbers. The consolidation of Central and Departmental Waves into a single implementation of Financial functions should enable management of the critical path using standard MS Project functionality. In lieu of that, the PMP should be updated to provide an explicit description of method used to manage the project's critical path beyond the use of Microsoft Project functionality. |

| AREA | TASK | SCORE | IV&V OBSERVATIONS |
|---------|--|-------|---|
| GPM – 5 | Verify project status is accurately traced against milestones and completion dates via project reports and metrics. | 5 | Deadlines and work progress are monitored, and status is updated regularly by use of status reports, the project schedule, critical path stage gates/milestones, and detailed day-to-day inventories of select work units using hillclimber charts. |
| GPM – 6 | Verify use of a project issue tracking mechanism that documents issues as they arise, enables communication of issues to proper stakeholders, documents mitigation strategies as appropriate, and tracks the issue to closure. | 5 | The RAIDL process is in place and used to identify, vet, monitor and manage risks, action items, issues, decisions, and lessons learned on a recurring and regular basis. The Project demonstrates a disciplined approach to the identification and analysis of issues. Furthermore, the project has consistently developed detailed action plans to address issues, and these are shared as part of the RAIDL log. Such plans have proven to be accurate and comprehensive. Since CMS Wave launch, issues encountered in production are recorded in the ServiceNow application used to manage incidents reported by users and Production Support operations. The Project has also maintained regular communications to a wide array of stakeholders on service metrics and the status of key incidents. |
| 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 | <p>The project is undergoing another re-planning action to consolidate phases originally designed to implement Peoplesoft in multiple parts to replace FLAIR incrementally. The new approach is more streamlined and makes unnecessary the interim period that would have been dependent on FLAIR, requiring temporary solutions and translation of legacy FLAIR data to new Florida PALM data and vice versa, on a daily basis, to support business processing. While there are inherent risks associated with a phased deployment approach due to the complexity of managing multiple Waves in parallel, this streamlined approach simplifies the implementation of financial functions and should reduce risks to project execution and agency adoption.</p> <p>The Project is also evaluating the potential consolidation of Payroll Wave to launch simultaneously with the Financials Wave. Stakeholders with operational responsibilities and dependencies on payroll, including People First, are engaged in the deliberations.</p> <p>The rationale in favor of this decision is based on concerns that attempting to operate FLAIR Payroll without Departmental FLAIR would require significant investments in temporary technology to facilitate current payroll cost accounting processes at agencies that may prove impracticable. Additionally, supporters characterize the replacement of FLAIR Payroll as a relatively lower impact implementation to agencies, as they primarily use People First to provide inputs and receive outputs for payroll. Support for the decision has been expressed by the Department and DMS / People First. Objections have not been raised as of the end of August.</p> |

| AREA | TASK | SCORE | IV&V OBSERVATIONS |
|---------|--|-------|---|
| GPM – 8 | Verify that the project's managerial and reporting structure supports training, process definition, independent quality assurance, configuration management, product evaluation, and any other functions critical for the project's success. | 5 | The project's managerial and reporting structure supports staff development, process definition, quality assurance, configuration management, and other functions necessary for project success. Project meetings, working sessions, and work products are all accessible for validation, verification, and quality assessments. Project team members demonstrate the ability and willingness to raise concerns and articulate risks and needs. |
| GPM – 9 | Assess coordination and management to verify agencies and departments are not working independently of one another and are following the communication plan. | 3 | <p>The project has created a Change Champion Network (CCN) to facilitate project-to-agencies and agencies-to-project communications. The CCN is also intended to foster agency-to-agency peer-to-peer communications. Despite the Project's efforts to communicate plan expectations and important details needed for agencies to take action to ready themselves, some agencies indicate less than full awareness of what information is available and express expectations of Project resource involvement in internal analysis of changes that the Project may not be able to fulfill.</p> <p>Agency Sponsors present a variety of levels of engagement ranging from completely aware, proactive, and keenly interested in details, to somewhat less engaged in details but supportive of delegates, to less engaged and more reliant on Project-initiated interactions to maintain awareness. Most exhibit a general awareness and express support for the plan.</p> <p>IV&V has conducted independent assessments of individual agency readiness specifically in areas of understanding what information is available, what are the impacts of changing the chart of accounts, what actions are needed, and deployment of resources. With few exceptions, agencies have attested they have the information they need to understand the impacts and their next steps to prepare for implementation.</p> |

AREA: Project Time Management

| AREA | TASK | SCORE | IV&V OBSERVATIONS |
|---------|---|-------|---|
| TME - 1 | Evaluate the estimating and scheduling process of the project to assess if the project budget and resources are adequate for the work-breakdown structure and schedule. | 3 | <p>The envisioned Florida PALM solution is dependent on timely completion of system modifications and/or new interface development by FLAIR, LAS/PBS, MFMP, STMS, and People First.</p> <p>IV&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 with MFMP because it provides more time and simplifies the development by reducing items meant to support interim processing.</p> <p>As of the end of August, the Project continues to work with People First and DFS Divisions to determine the implications to the timing/transition of agency payroll cost accounting processes with the new consolidated implementation. The Project continued to work with OIT and A&A to organize production support operations and services to agencies and their users. State leadership has redeployed resources and Accenture has added resources to fulfill expectations and comply with recent proviso mandates.</p> <p>Staff show some signs of working at or above normal capacity which is not ideal or sustainable long term.</p> |
| TME - 2 | Review that project milestones are realistic and meaningful and aid in managing project performance. | 4 | <p>Deliverable Expectation Documents are inclusive of timelines to inform the project schedule. Deliverable deadlines and milestones have been sufficient in most cases.</p> |

| AREA | TASK | SCORE | IV&V OBSERVATIONS |
|---------|--|-------|---|
| TME - 3 | Review schedules to verify that adequate time and resources are assigned for planning, development, review, testing and rework. | 3 | <p>As of August, the Project continues to meet the deadlines necessary to secure the support of its governance structure and Department management. While some tasks are behind schedule, they do not pose risks to the overall project.</p> <p>The Project has already designed the new chart of accounts and the standardized business processes that represent the end-state along with interface layouts for standard processing.</p> <p>The project schedule is being revised to simplify the objectives and provide more time for agencies to plan, develop interfaces, and be prepared for transition. The revised schedule will provide more time complete configuration, development, and testing activities to assure quality.</p> <p>FFMIS partners and STMS have not expressed objections to the revised approach consolidating Central and Departmental Waves. People First has prompted discussions on how the new approach would affect agency payroll costs accounting if Florida PALM payroll is implemented later than the Financial functions. This has led to working sessions with OIT and People First to determine the feasibility of scheduling the Payroll Wave launch to coincide with the Financials Wave launch in July 2024.</p> |
| TME - 4 | Evaluate that the project team is taking full advantage of time savings and resource flexibilities available in the project schedule, managing lead times and float. | 4 | <p>The consistent attention paid to the project schedule results in increased awareness of planned activity starts and deadlines for completion. The project team is vigilant in observing deadlines and escalates time management concerns that would increase project risk. The workload is heavy and leaves little to no time for slack.</p> |

| AREA | TASK | SCORE | IV&V OBSERVATIONS |
|---------|---|-------|---|
| TME - 5 | Examine relevant supporting data to determine if the project team has accurately estimated the time required for system configuration and/or software development efforts. | 3 | <p>Some Deliverables have not been submitted or accepted within the originally scheduled deadlines. This did not prevent the CMS Wave launch from occurring on schedule.</p> <p>Complications to investment accounting and interest apportionment processes discovered after launch have been given priority. The ability to precisely estimate the time needed to resolve these incidents is further complicated by there not being a precedent in Treasury for some of the detailed accounting activities.</p> <p>Isolated agency feedback indicates there may be near term challenges in securing resources to support the development of interfaces and internal systems remediation. This appears to be affected by the idea that the consolidation of Departmental and Central Waves somehow delays the need to execute analysis and design activities which is not advisable given one of the purposes of the consolidation is to provide sufficient time.</p> <p>The draft timelines shared with the Executive Steering Committee indicate a plan with enough time to complete configuration and development activities in addition to providing extended time for testing.</p> |
| TME - 6 | Review Project Team meeting process for tight agendas focusing on proactive issues (e.g., problem solving, risk identification, meaningful analysis) and relevant progress reports. | 5 | Agendas are used and meetings are focused and productive. |

AREA: Project Scope Management

| AREA | TASK | SCORE | Comments |
|---------|--|-------|---|
| SCP – 1 | Verify that the project scope is clearly documented; look for items listed as out of scope. | 4 | <p>Project scope as defined in the SOW is communicated and affirmed, and no arguably out-of-scope items have emerged.</p> <p>The phased approach to implementation has created a prolonged dependency on FLAIR. The decision to consolidate Central and Departmental waves into a single Financials wave greatly reduces the complexities of this dependency.</p> <p>As contract Amendment 6 is developed to support this decision, consideration will be given to further consolidating the Payroll wave into the Financials wave. It remains to be confirmed whether this is practicable for the State.</p> |
| SCP – 2 | Review the procedure/process to evaluate the impact of scope changes to the project, including trade-offs, is unambiguous (e.g., objectives, schedule, cost, resources). | 4 | Changes in Scope are managed through Project Decisions and/or Project Change Requests. As of the end of August, while progress continues toward a finalized Amendment 6, decisions, their trade-offs and potential costs are not. |
| 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. The Project has conducted frequent and regular written updates to stakeholders and weekly meetings with the ESC leading to the launch of CMS Wave and continues to broadcast regular updates to the broader stakeholder community. |

AREA: Project Cost Management

| AREA | TASK | SCORE | Comments |
|---------|---|-------|---|
| CST - 1 | Review and evaluate the Project Cost Management Plan to assess its reasonableness related to the project. | 5 | Project Management consistently demonstrates attention to detail and cost management practices. Change orders to date have been absorbed without introducing costs more than budgeted appropriations including contingency funds. |
| CST - 2 | Examine relevant supporting data to determine if the project team has accurately estimated the labor and cost of software deployment efforts. | 5 | Execution of planned work, fulfillment of deliverables and work products, and adherence to protocols have been evident without any indications that the levels of effort are significantly greater or less than budgeted resources are able to accomplish. |
| CST - 3 | Review the basis for cost forecasts and assess their accuracy. | 4 | The original contract is fixed price fixed duration. IV&V has observed discussions concerning cost containment and project leadership work to minimize any new costs associated with changes and/or unanticipated work. The multi-wave phased approach has an increased risk of cost variances due to higher complexity and longer duration of the Project. It is unclear at this point whether contract Amendment 6 will introduce additional costs. |
| CST - 4 | Verify that State staff are tasked to monitor project costs and the allocation of resources according to resource estimates and plans. | 5 | The Project Director's office and PMO team demonstrate regular and vigilant prospective and actual cost analysis and management practices. |

AREA: Project Quality Management

| AREA | TASK | SCORE | IV&V OBSERVATIONS |
|---------|--|-------|---|
| QAL - 1 | Verify the project's Quality Assurance plans, and procedures are comprehensive and complete. | 4 | <p>The Project has adopted quality assurance processes that assure vendor accountability and help to ensure quality upon delivery/submission. The Project has established a well-organized testing team and the BPS functional team and SDS technical team are extensively involved in testing activities and demonstrate attention to details and quality criteria.</p> <p>Some incidents occurring after launch were presented by conditions and data scenarios not known at the time of testing, while others have been caused by functional designs that passed testing but required modification to perform as needed.</p> |
| 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 | <p>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.</p> |
| QAL - 3 | Evaluate if appropriate mechanisms are in place for project self-evaluation and that measures are continually taken to improve the process. | 3 | <p>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.</p> |
| 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 | <p>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.</p> |
| 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 | <p>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.</p> |
| QAL - 6 | Verify that the processes and standards are followed and compatible with each other and with the system development methodology. | 5 | <p>There has been no indication of variances. On the contrary, the Project overall adheres to a very disciplined approach to prescribed processes.</p> |

AREA: Project Stakeholder Management

| AREA | TASK | SCORE | IV&V OBSERVATIONS |
|--------|--|-------|--|
| STK -1 | Verify that executive sponsorship supports all changes which impact project objectives, cost, or schedule. | 5 | Sponsors are fully engaged, inquisitive, and active within their respective organizations. Sponsors demonstrate a high level of commitment to the Project. DFS Division leaders have increasingly demonstrated a commitment to finding workable solutions. |
| STK -2 | Verify that there is a Project Governance Plan and an active Executive Steering Committee (ESC) whose role it is to oversee changes impacting project objectives, cost, or schedule. | 3 | <p>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.</p> <p>The Project also interacts with legislative committee staff on a frequent and regular basis to address inquiries and concerns and to obtain clarification and guidance on criteria contained in proviso and suggestions made by staff. The influence of these interactions is apparent as Project resources are deployed to develop responses. In effect, this relationship implies a secondary level of governance in addition to the ESC.</p> |
| 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 those open pathways of communication exist among all stakeholders. | 5 | Internal and external stakeholders are consistently communicated with, engaged in project activities, and encouraged to contribute feedback as project plans and designs are shared. |

| AREA | TASK | SCORE | IV&V OBSERVATIONS |
|--------|--|-------|--|
| STK -5 | Verify that stakeholder expectations match the project objectives and deliverables | 3 | <p>The Project regularly conducts proactive communications to and interaction with stakeholders and uses stakeholder feedback to improve where needed.</p> <p>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. In some instances, it appears there are expectations that Project staff will not only explain how the FLAIR chart of accounts data is transformed to the Florida PALM chart of accounts but also participate in agency activities to map the new chart of accounts data into various agency business systems. This agency expectation may be driven the fact that FLAIR-to-PALM chart of accounts data elements are not a one-to-one relationship. Nevertheless, the Project does not appear to be staffed to provide internal analytical services to agencies.</p> <p>There have also been statements made that indicate agencies may face challenges in securing resources to support development of interfaces and business system remediation activities. This may result in disruption of automated processing in cases where development of interfaces and/or business system modifications lags.</p> |

AREA: Project Communications Management

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

AREA: Project Risk Management

| AREA | TASK | SCORE | IV&V OBSERVATIONS |
|---------|---|-------|---|
| RSK - 1 | Verify that the project is managing project risk through plans and procedures to identify, quantify, report, log and act upon reducing risk through contingency plans and communication. | 5 | The project has a long-established process to manage risks and consistently monitors and assesses potential risks. The project to date has logged a small number of issues that have been resolved without negative impacts to the plan or objectives. More details are provided in Section 2 of the IV&V Monthly Assessment. |
| RSK - 2 | Verify that the project is managing project issues and actively acting to resolve. | 5 | The project has a long-established process to manage issues and is consistently monitoring and assessing risks that present emergent issues. As of this report, the Project had no open issues on the Issues log. Situations requiring urgent attention in the CMS Wave production environment are addressed and Accenture actively manages these matters as Incidents. |
| 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. Input and feedback are unrestrained. Support for mitigation plans is evident. |
| RSK - 4 | Verify the Risk Plan recognizes multiple aspects of integrated project risk: processes, systems, organizations, culture and knowledge. | 5 | No Material Findings. 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 | <p>The contract, statement of work, and schedule reflect responsibilities and resources assigned to tasks.</p> <p>With the decision to consolidate Central and Departmental Waves results in the need for schedule revisions, the potential for new or increased services, and contract Amendment 6 to support the necessary changes.</p> <p>Until Amendment 6 is finalized, it remains to be determined whether additional services are needed.</p> |
| PRC - 2 | Necessary timeframes and specifications for project resources are identified and monitored. | 5 | No material findings |
| PRC - 3 | Vendors and suppliers are identified to provide resources that meet the criteria. | 5 | There is no foreseen need to change vendors or suppliers because of the re-planning effort. |
| PRC - 4 | Contracts have been secured following State requirements and conditions for the selected vendors. | 5 | Contracts are in effect and compliance has been assured by Department legal reviews. |

AREA: Project Vendor Management

| TASK # | TASK | SCORE | Comments |
|---------|---|-------|---|
| VND - 1 | Verify the obligations of vendors (including sub-contractors) are clearly defined under the statement of work, requirements, standards, development milestones, acceptance criteria, delivery dates, etc. | 5 | Statement of Work is comprehensive. Roles and responsibilities are clear. The Project maintains a disciplined approach to the development of Deliverable Expectation Documents that include scope, timeframes, and acceptance criteria. |
| VND - 2 | Verify that vendor's services are delivered in a manner compatible with the project's standards and work environment. | 4 | Adaptation of vendor service delivery practices to meet project standards is an ongoing process. Accenture has demonstrated a commitment to meeting State expectations. At times the expectations have needed to be clarified and confirmed after being originally expressed and agreed to by both parties. |
| VND - 3 | Verify the vendor has and maintains the required skills and resource capacity, procedures and supervisory standards to meet their commitments | 3 | Vendor resource issues require ongoing management to prevent risk. Turnover remains an area of focus. 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 | 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 launch and production operations. |
| 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 August, 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 identified the inventory of standard interfaces. The decision to consolidate Central and Departmental Waves into a single Financials Wave removes the need for a significant effort to design and develop PALM-to-FLAIR and FLAIR-to-PALM interfaces. The pending decision to implement Payroll with the Financials Wave would introduce additional interfaces earlier than originally planned. |
| 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 the inventory of standard interfaces for the Financials wave 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. | 5 | <p>The Project completed multiple iterations of "Full Dress Rehearsal" testing of the cutover plan, which included execution of data conversion programs and reconciliation of results. The exercises were successful in identifying some changes needed and the cutover plan was enhanced accordingly.</p> <p>The Project and OIT completed end-to-end batch testing and clarified validation steps and quality criteria for the automated batch processing cycle.</p> <p>The Project, OIT, A&A and Treasury met their objectives to establish how incidents that occur during batch cycles will be responded to and how records that error out of the cycle will be resolved by exception handling.</p> |
| TST - 4 | Acceptance criteria for each deliverable of business functionality and technical component must be defined, reviewed, and approved prior to test and the results of the test must be documented. Acceptance procedures must also address the process by which any software product that does not pass acceptance testing will be corrected. | 5 | Deliverable Expectation Documents have all included detailed acceptance criteria. |
| 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. |

| AREA | TASK | SCORE | IV&V OBSERVATIONS |
|----------|---|-------|--|
| TST - 6 | Verify that a sufficient level of integration test coverage is achieved by the test cases/scenarios and execution, that test results are verified, and that the test results are documented. | 4 | <p>Testing services for CMS Wave were completed successfully. Open SIRs to address items needing development or configuration after launch have been triaged, prioritized, and transitioned to Incidents in ServiceNow for production support attention.</p> <p>Mutually agreed workarounds used as the basis for categorizing SIRs/incidents should be documented within the SIR/incident itself to help expedite the assessment of items.</p> |
| TST - 7 | Verify that the test organization has an appropriate level of independence from the software configuration/development organization. | 5 | The State has organized a Testing team consisting of full-time testers. The team is organized under SDS Track management. |
| TST - 8 | Verify that a sufficient number and type of case scenarios are used to ensure comprehensive but manageable testing and that tests are run in a realistic, real-time environment. | 5 | No Material Findings |
| TST - 9 | Verify that test scripts are complete, with step-by-step procedures, required pre-existing events or triggers, and expected results. | 5 | No Material Findings |
| TST - 10 | Verify that test results are verified, that the correct code configuration has been used, and that the test runs are appropriately documented, including formal logging of errors found in testing. | 4 | <p>Test results were verified, and correct system versions were used to execute tests. Results and findings were documented.</p> <p>SIRs/incidents are documented insofar as they describe the issue preventing execution.</p> <p>The Project has implemented a secondary ranking JIRA category for SIRs - "Business Criticality". Introduction of the Business Criticality metric is intended to classify the business operational impact more accurately 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.</p> |

| AREA | TASK | SCORE | IV&V OBSERVATIONS |
|----------|---|-------|----------------------|
| 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 |
| TST - 12 | Verify that the acceptance test organization has an appropriate level of independence from the software configuration/development organization. | 5 | No Material Findings |

AREA: Project Training Management

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

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

2.4 IV&V Other Activities

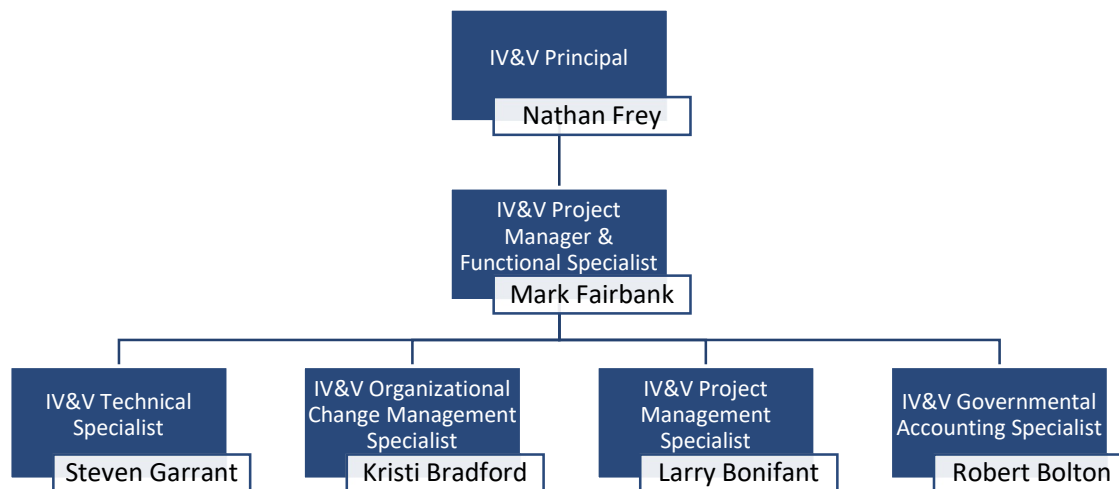
During this period, IV&V observed and participated in activities involving the following topics as part of our ongoing role in the quality assurance process.

| Subject | Activities | Description |
|---------|--|--|
| 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) |
| D153 | Ongoing validation of execution | Post Implementation Support Plan (CMS Wave) |
| D162 | Assessment of deliverable | Application Development – Reports, Conversions, Extensions, Workflows (Central Wave) |
| D161 | Assessment of deliverable | Data Conversion – Data Migration Complete (CMS Wave) |
| D172 | Ongoing review and observations on schedule | Project Schedule |
| D205 | Assessment of deliverable | Application Development – Interfaces (Central Wave) |
| D465 | Ongoing review and observations on deliverable | CMS Wave Master Readiness Workplan |
| WP297 | Assessment of work product | Security and Compliance Documentation |
| IV&V | Ongoing validation | Project/Department/Agencies engagement and readiness activities |
| IV&V | Ongoing validation | Project phasing approach and resourcing |
| IV&V | Ongoing validation | Incident management, test services execution and defect management |

3 IV&V Contact Information

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

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



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

For questions regarding this report, please contact:

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|---|--|
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