

Florida Department of Financial Services Planning, Accounting, and Ledger Management Project

IV&V Monthly Assessment Report Reporting Period August 2022

September 13, 2022

Contract: 80101507-IVV-15-1

Engagement: P0055466

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EXECUTIVE OVERVIEW

IV&V Services Start Date	IV&V Services End Date	IV&V Reporting Period
09/03/2021	6/30/2023	08/01/22 – 08/31/22

PROJECT HEALTH SUMMARY

The Florida PALM IV&V Team assessed the overall health of the Florida PALM Project Schedule as remaining Medium risk (Yellow), the Scope fell to the Low risk (Green) range, Low risk (Green) range for Resources in the month of August.

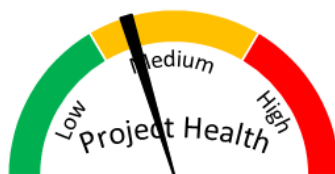
The Florida PALM Project Team undertook a variety of activities in August, with the functional and technical requirements review and planning for the Personalized Agency Working Sessions (PAWS) being the main work efforts for the month. As a collective effort with the Agencies, these activities will update Florida PALM Project requirements using lessons learned from Cash Management System (CMS) Wave and in-depth knowledge of FLAIR.

In August, the Florida PALM Project team also transitioned Fiscal Year 2023 (FY23) reconciliation direct support to Accounting and Auditing (A&A) and Division of Treasury. Further work included continued support for the CMS production environment, such as with updated training videos and guides.

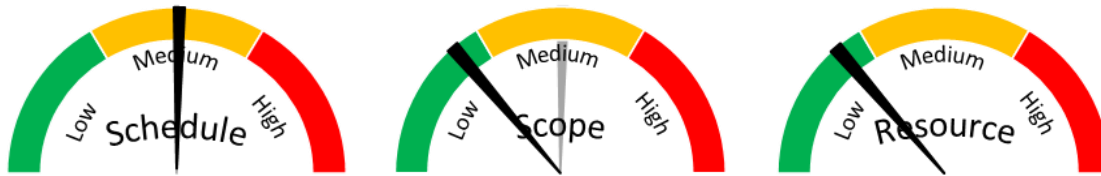
The Florida PALM Project Team closed Issue 30 on 8/16/22 with their decision that the Externally Managed Investment process would not be implemented in the CMS solution as originally planned. Instead, A&A and Treasury will pursue a solution outside of Florida PALM, with potential adjustments to the SSI Vendor's contract and credits to reflect removing this from the Project scope.

Lastly, on 9/2/22, the Florida PALM IV&V Team produced the Florida PALM IV&V Team Business Process Model (BPM) Deliverable Assessment Report on the usage of BPMs and suggestions for best practices in addressing identified areas for improvement for future Waves of the Florida PALM Project.

Overall Risk



The Florida PALM IV&V Team assessed the overall risk to the Florida PALM Project as a low-Medium (Yellow) in August. According to the Florida PALM Project IV&V Management Plan, the Medium rating is defined as the possibility of moderate impact to product quality, manageability, cost, or schedule.



How to Interpret Risk Rating Dials

Each month, the Florida PALM IV&V Team will rate the Florida PALM Project’s Risk in terms of its respective Schedule, Scope, and Resources. The dials include an intuitive Green-Yellow-Red spectrum, where Green indicates a positive status or “Low” risk rating, Yellow represents “Medium” risk, and Red indicating a “High” risk rating.

Light Grey hands on the dial indicate IV&V’s risk rating from the previous month. Black hands on the dial represent IV&V’s current rating for the month. The presence of Grey hands on the dial represent that IV&V updated its rating (increased or decreased) as compared to the previous month. The absence of a Grey hand on the dial (and only Black), indicates that IV&V maintained its rating for the month and represents no change.

Schedule

The Florida PALM IV&V Team assesses the overall Florida PALM Project Schedule risk rating as remaining at a Medium (Yellow). Changes to the Financial Wave and Payroll Wave Project Schedule tasks are expected after the PAWS. These changes, while needed to ensure all FLAIR requirements are identified and met in the Florida PALM solution, increase the Project Schedule risk. Additionally, enhancements in the first CMS Remediation Project Change Request (PCR) were not added to the Project Schedule until after the enhancements were in progress or completed. While Florida PALM Project Team adjusted their PCR processes for subsequent PCRs later in August, this introduced an element of Project Schedule risk for the month. The Florida PALM IV&V Team closed IV&V Issue #4 (formally closed on the afternoon of 9/9/22), titled “Project Schedule does not meet contractual, State, or industry standards and does not contain the necessary information to indicate project progress accurately.” In the month of August, IV&V acknowledges the Florida PALM Project Team reduced the number of tasks with durations exceeding 23 days in the Florida PALM Project Schedule.

Scope

The Florida PALM IV&V Team assesses the Florida PALM Project Scope risk rating as falling to Low (Green) for the month of August. The Florida PALM Project Team continues to successfully meet the current scope of the Florida PALM Project as defined in Amendment 7 and the active Proviso with regards to progress in CMS Remediation, continued support to the Agencies, and conducting a review of technical and functional requirements for the Florida PALM solution.

Reconciliation activities for Month-End Close and Year-End Close were successfully transitioned to Agency partners during August, freeing Florida PALM Project resources to work on other

aspects of the Project. Additionally, the Florida PALM Project Team and SSI Vendor produced a variety of training and support materials for Agencies such as an expanded Sandbox environment, new training videos and manuals, and Hypercare for CMS incidents.

Additionally, the Florida PALM Project Team and SSI Vendor successfully completed internal reviews of the functional and technical requirements for the Financials and Payroll Waves with support from A&A and the Office of Information Technology (OIT). Plans for the PAWS continue to develop, and all Agencies were scheduled successfully. IV&V will be monitoring for potential revisions to Project scope from the upcoming Agency PAWS sessions, which may identify needed FLAIR functionality not yet in the Financials and Payrolls Waves requirements and design.

Resources

The Florida PALM IV&V Team maintains the Florida PALM Project Resource risk rating at Low (Green) in August. One factor contributing to August's Green status is the Deputy Project Director formally joining the Florida PALM Project Team in the beginning of August (8/1/22), filling a position that had been open since the first quarter of 2022, and providing additional leadership to the Florida PALM Project.

IV&V also observed the Florida PALM Project Team facilitating discussion of resource recruiting and retention during the Florida PALM Advisory committee meeting on 8/17/22. The Florida PALM Advisory Council created a committee to address the need to adjust Agencies' Human Resource (HR) structure, modifying positions and titles as needed to reflect ways they will change as each person using FLAIR will adjust to PALM roles for the future Financials Wave. IV&V notes this committee consists of Agency and HR representatives. IV&V encouraged this subcommittee to add resources with expertise on the new Florida PALM Financials Wave solution, who can advise how Agency positions and job descriptions may change after the transition from FLAIR.

In August, the Florida PALM Project Team also transitioned Fiscal Year 2023 (FY23) reconciliation direct support to Accounting and Auditing (A&A) and the Division of Treasury, which reduces the number of Florida PALM Project Team resources required to support the PALM CMS features in Production and allows more Florida PALM Project Team resources to be allocated to the planning activities for the future Financials and Payroll Waves.

FINDINGS

The Florida PALM IV&V Team uses its proprietary Eclipse IV&V® methodology to define types of Findings used in our IV&V practice:

- **Issue:** an event or condition that has already happened and has impacted, or is currently impacting, the project objectives. There is no uncertainty or probability aspect associated with an issue. The issue probability rating is automatically set to the value five as the issue, by definition, has already occurred.
- **Risk:** an uncertain event or condition that, if it occurs, has a positive or negative effect on one or more project objectives such as scope, schedule, cost, or quality.
- **Preliminary Concern:** often based on observations where the Florida PALM IV&V Team may have “limited visibility” of the subject area. More analysis and a better understanding of the concern is necessary before classifying the item as a risk or issue and assessing the potential impact. This Finding may serve as notice of a concern the Florida PALM IV&V Team is researching.

The rating system for probability, impact, and priority is defined in Appendix A as well as the IV&V Project Management Plan (PMP).

NEW FINDINGS

No findings were opened in the month of August.

UPDATED FINDINGS

No findings were updated in the month of August.

CLOSED FINDINGS

The following finding was closed during this reporting period.

IV&V ID: 4	Status: Updated	Probability: 3	Priority: Medium
PALM ID: N/A	Date Logged: 01/25/22	Impact: 3	Type: Issue
<p>Summary</p> <p>The Project Schedule does not meet contractual, State, or industry standards and does not contain the necessary information to indicate project progress accurately.</p>	<p>Observation</p> <p>The Project Schedule does not follow the Florida PALM Schedule Management Plan (SMP). The Project Schedule has 222 tasks that exceed the 23-day task duration limit, 378 tasks without linked predecessors, 373 tasks without successors, and multiple unused standard fields/components.</p> <p>Recommendation</p> <p>Comply with SMP. As a best practice, main task durations should be no shorter than 1 day and no longer than 2 weeks. Ensure all tasks identify a predecessor and successor and utilize all standard fields and components to ensure consistency. The Florida PALM IV&V Team recommends tasks to be less than 23 days not only to meet best practices but also to accurately monitor and control the Project Schedule. Tasks with long durations do not provide the granularity to identify if a task is on schedule and could lead to unknown delays that are not identified early to mitigate.</p> <p>August Update</p> <p>The Florida PALM IV&V Team formally closed the risk on the afternoon of 9/9/22 (prior to the publication of this August IV&V Monthly Assessment Report) due to the following factors:</p> <ul style="list-style-type: none"> • Florida PALM Project Team has acknowledged and accepted this risk; • The Florida PALM Project Team completed additional long duration tasks on the Project Schedule which were over 23 days; and • Probability, Impact, and Priority of this Risk are in the Medium or Lower range. <p>The Florida PALM IV&V Team will continue to monitor the progress to be made on the Florida PALM Project Schedule updates and conformance to the Florida PALM PMP; IV&V notes substantial changes to the overall Project Schedule are not anticipated until the tasks for the upcoming Financials and Payroll Waves are added, which the Florida PALM Project Team has communicated are pending information from the Requirements Review and PAWS.</p> <p>The formal closure of this risk will also be reflected in the 9/16/22 IV&V Weekly Status Report.</p>		

IV&V ACTIVITIES COMPLETED

This section discusses the activities performed by the Florida PALM IV&V Team during the reporting period. This is not intended to be an exhaustive detailing of the activities but a high-level description of the activity.

MEETINGS ATTENDED

This section contains the meetings the Florida PALM IV&V Team attended detailing the event's subject, purpose, and timing during the reporting period.

Note: The Florida PALM IV&V Team attendees will only be tracked for meetings the Florida PALM IV&V Team has conducted.

Meeting Subject / Name	Purpose	Date / Time
CMS Remediation	CMS Remediation working session meeting.	8/1/22 1:00 PM – 2:00 PM
Pod C Requirement Reviews- Topic: Customers AR/BI/GM	Reviewing PALM requirements and FLAIR functions for customer AR, BI, and GM modules.	8/1/22 11:00 AM – 12:00 PM
B Pod Requirements Review	Review assigned PALM requirements for matching FLAIR functionality.	8/1/22 2:00 PM – 4:00 PM
CM HyperCare Meeting	Hyper care meeting to work through Cash Management Incident.	8/1/22 2:00 PM- 3:00 PM
Review GL Requirements	Walking through current GL requirements and identifying linkages to FLAIR functions.	8/2/22 10:30 AM – 12:00 PM
CMS Remediation	CMS Remediation working session meeting.	8/2/22 1:00 PM – 2:00 PM
FLAIR Functions / Subfunctions	Examining FLAIR agency adaptability and layout of information.	8/2/22 2:00 PM – 3:30 PM
SCS/Florida PALM Touchpoint	Recurring Florida PALM touchpoint meeting between Change Champion Network Agency Liaisons and Readiness Coordinators.	8/2/22 3:00 PM – 4:00 PM
PMO State Weekly Check Point	Schedule and Reporting, Status of current projects, Upcoming projects, Roadblocks, and impediments.	8/2/22 3:30 PM – 4:00 PM
Project Status Meeting	Meeting to review weekly status of the Project.	8/3/22 9:30 AM – 10:00 AM

Meeting Subject / Name	Purpose	Date / Time
Pod C Requirements Review	Reviewing PALM requirements and FLAIR functions for customer AR, BI, and GM modules.	8/3/22 9:30 AM – 11:00 AM
PMP Update Review	PALM Review Changes to PMP.	8/3/22 10:00 AM – 11:00 AM
RAIDL Meeting	Status of Risks, Action Items, and Decisions.	8/3/22 11:05 AM – 12:00 PM
FLAIR Functions/Subfunctions	Examining FLAIR agency adaptability and layout of information.	8/4/22 2:00 PM – 3:30 PM
Technical Retrospective	RADAR Updates, PCR Status.	8/5/22 9:30 AM – 10:15 AM
CMS Remediation	CMS Remediation working session meeting.	8/08/22 1:00 PM – 2:00 PM
CMS Remediation	CMS Remediation working session meeting.	8/09/22 1:00 PM – 2:00 PM
PMO Weekly Touchpoint	Review PMO Objectives, questions, and hot topics.	8/09/22 3:30 PM – 4:00 PM
PALM ESC Planning Meeting	Planning for upcoming PALM ESC Meeting.	8/10/22 10:00 AM – 11:00 AM
July Monthly Recon	Review July reconciliation query results analysis, disposition, and documentation.	8/10/22 3:00 PM – 4:00 PM
Florida PALM QA Testing and Change Control	To review the functionality ready for CAB Approval.	8/11/22 3:30 PM – 4:00 PM
Review KK Requirements	Commitment Control requirements review and classification.	8/11/22 3:30 PM – 4:00 PM
CMS Remediation	CMS Remediation working session meeting.	8/12/22 3:30 PM – 4:00 PM
July Monthly Recon	Review July reconciliation query results analysis, disposition, and documentation.	8/12/22 3:00 PM – 4:00 PM
GL/KK Requirements Review	Reviewing requirements for the GL and KK modules.	8/15/22 2:00 PM – 4:00 PM

Meeting Subject / Name	Purpose	Date / Time
Pod C Requirements Review	Requirement changes working session for C Pod.	8/16/22 10:30 AM – 12:00 PM
FLAIR Functions/Subfunctions	Continued review of what and why for specific FLAIR functions.	8/16/22 2:00 PM – 3:00 PM
PMO Weekly Touch Point	Review PMO objectives, questions, and hot topics.	8/16/22 3:30 PM – 4:00 PM
PAWS Workgroup/Town Hall	Discuss the upcoming Town Hall and the PAWS workgroups with Agencies.	8/16/22 3:30 PM – 4:30 PM
Advisory Council Meeting	Department of Financial Services Advisory Council August Meeting.	8/17/22 10:00 AM – 12:00 PM
B Pod Requirements Review	Reviewing payroll requirements.	8/17/22 10:00 AM – 12:00 PM
DFS/FL PALM Monthly Touchpoint	DFS and Florida PALM Monthly Meeting.	8/17/22 3:00 PM – 4:00 PM
B Pod Requirements Review	Reviewing payroll requirements.	8/18/22 10:00 AM – 12:00 PM
CMS Remediation	CMS Remediation working session meeting.	8/18/22 1:00 PM – 2:00 PM
FLAIR Functions/Subfunctions	Continued review of what and why for specific FLAIR functions.	8/18/22 2:00 PM – 3:00 PM
CMS Remediation	CMS Remediation working session meeting.	8/19/22 1:00 PM – 2:00 PM
Technical Retrospective	Requirements Review status update, Information Warehouse update.	8/19/22 9:30 AM – 10:15 AM
CM Hyper Care Meeting	Hyper Care Meeting to work through Cash Management Incidents.	8/22/22 2:00 PM – 3:00 PM
Requirements Review Check-in	Checkpoint meeting on progress of the Florida PALM requirements review.	8/22/22 3:00 PM – 4:00 PM
FLAIR Functions/Subfunctions	Continued review of what functions FLAIR has, why, and how they are used.	8/23/22 2:00 PM – 3:30 PM
Project Status Meeting	Meeting to review weekly status of the Project.	8/24/22 9:00 AM – 10:00 AM

Meeting Subject / Name	Purpose	Date / Time
Production Support Roundtable	Presenting new release information for PALM to Agencies.	8/24/22 10:30 AM – 12:00 PM
PMO State Team Weekly Checkpoint	Schedule and Reporting, Status of current projects, Upcoming projects, Roadblocks and impediments.	8/24/22 11:05 AM – 11:55 AM
Cross Team Requirements Review	Cross-team review of requirements with outstanding questions.	8/24/22 2:00 PM – 3:00 PM
Florida PALM Executive Steering Committee Meeting	Florida PALM Project Update for Executive Steering Committee.	8/24/22 2:00 PM – 3:00 PM
Incident Triage Meeting	Provide updates and progress on priority incidents.	8/25/22 9:30 AM – 10:30 AM
Readiness and Training Touchpoint/RADAR	Updating Personalized Agency Working Sessions activities in Florida PALM Project RADAR Report.	8/25/22 3:00 PM – 4:00 PM
Technical Retrospective	Technical retrospective with the Technical Team for the past week's status.	8/26/22 9:30 AM – 10:15 AM
Week-end Checkpoint	Standard Agenda 1. Key Meetings for the Week 2. CMS Remediation Efforts 3. A-7 Updates 4. A-8 Items 5. Solution Center Update	8/26/22 10:30 AM – 12:00 PM
CMS Remediation	CMS Remediation working session meeting.	8/26/22 1:00 PM – 2:00 PM
PMO State Team Weekly Checkpoint	Schedule and Reporting, Status of current projects, Upcoming projects, Roadblocks, and impediments.	8/29/22 1:00 PM – 2:00 PM
CM Hypercare Meeting	Hyper Care Meeting to work through Cash Management Incidents.	8/29/22 2:00 PM – 3:00 PM
B Pod Weekly Meeting	Discussion of upcoming Florida PALM Project activities needing B Pod input.	8/29/22 3:00 PM – 3:30 PM
Finalize July Reconciliation	Meeting to review open items in reconciliation for July Month-End Close (MEC).	8/29/22 3:30 PM – 4:30 PM
Technical Check	Status Updates on Technical Activities.	8/30/22 9:30 AM – 10:00 AM

Meeting Subject / Name	Purpose	Date / Time
Incident Triage Meeting	Provide updates and progress on priority incidents.	8/30/22 9:30 - 10:30 AM
B Pod Requirements Review – HCM/Payroll	Reviewing HCM and Payroll requirements.	8/30/22 10:00 AM – 11:00 PM
FLAIR Functions/Subfunctions	Continued review of what functions FLAIR has and how they are used.	8/30/22 2:00 PM – 3:30 PM
PALM Project Status meeting	Meeting to review weekly status of the Project.	8/31/22 9:00 AM – 10:00 AM ET
Personalized Agency Working Sessions Planning and Execution	Explaining Florida PALM Project Team expectations and schedule for PAWS.	8/31/22 10:00 AM – 11:00 AM
CCN Town Hall Dry Run	Dry run and planning session for the CCN Town Hall.	8/31/22 2:00 PM – 3:00 PM

MEETINGS CONDUCTED

This section contains the meetings Florida PALM IV&V Team conducted during the reporting period.

Meeting Subject / Name	Purpose	Date / Time	IV&V Attendees
Florida PALM IV&V Questions on the PCR Process	Requested meeting to talk through the PCR process as it relates to CMS Remediation.	8/05/22 2:30 PM – 3:00 PM	Florida PALM Project Director Florida PALM Contract Manager Nicolle Suvada
IV&V Review - Draft Weekly Status Report	Review draft of the Florida PALM IV&V 8/05/22 Weekly Report.	8/05/22 3:00 PM – 3:30 PM	Florida PALM Project Director Florida PALM Contract Manager DMS Contract Manager Nicolle Suvada Sebastian Lende
Florida PALM IV&V Questions on the PCR Process	Requested meeting to talk through the process as it relates to CMS Remediation.	8/05/22 2:30 PM – 3:00 PM	Florida PALM Project Director Florida PALM Contract Manager DMS Contract Manager Nicolle Suvada Sebastian Lende

Meeting Subject / Name	Purpose	Date / Time	IV&V Attendees
IV&V Discussion on Testing Process with FL PALM Team	To discuss with Florida PALM Team on Testing Process and gain feedback. The two below ServiceNow ID's are the use cases the Florida PALM IV&V Team are utilizing for analysis: INC25647322 (Cash Balance by Fund Report is not reflecting balances within the cash in the Treasury node.) INC28578657 (New Index on PS_FLP_CALIU_STG - ARI007 IU job failed in production with dead lock error).	8/08/22 4:30 PM – 5:00 PM	Florida PALM Project Director Florida PALM Contract Manager Florida PALM Production Support Manager DMS Contract Manager Fahad Ahmed
IV&V Review - Drafts Weekly Status Report and Monthly Assessment Report	Review draft of the Florida PALM IV&V 8/12/22 Weekly Status Report and Monthly Assessment Report.	8/12/22 9:30 AM – 10:00 AM	Florida PALM Project Director Florida PALM Contract Manager DMS Contract Manager Nicolle Suvada Kimberly Nichols
IV&V Review - Drafts Weekly Status Report and Monthly Assessment Report	Review draft of the Florida PALM IV&V 8/19/22 Weekly Status Report and Monthly Assessment Report.	8/22/22 11:00 AM – 11:30 AM	Florida PALM Project Director Florida PALM Contract Manager DMS Contract Manager Nicolle Suvada Tricia Shaffer Kimberly Nichols
IV&V Meeting with Chief Business Officer	Discussion of Florida PALM Project status.	8/23/22 9:00 AM – 9:30 AM	Chief Business Officer Fred Forrer
IV&V Meeting with Legislature	Discussion of Florida PALM Project status.	8/23/22 2:00 PM – 3:30 PM	Michelle Mullins Sean Perez Fred Forrer
Meeting with DMS	Discussion of Florida PALM Project.	8/24/22 11:30 AM – 12:30 PM	DMS Contract Managers Fred Forrer Tricia Shaffer

Meeting Subject / Name	Purpose	Date / Time	IV&V Attendees
IV&V Review - Drafts Weekly Status Report and Monthly Assessment Report	Review draft of the Florida PALM IV&V 8/26/22 Weekly Status Report and Monthly Assessment Report.	8/26/22 9:30 AM – 10:00 AM	Florida PALM Project Director Florida PALM Contract Manager DMS Contract Manager Tricia Shaffer Sebastian Lende
PALM FY23 MEC and YEC Transition to A&A, Treasury, and Agencies	Brief call for IV&V to monitor PALM FY23 MEC and YEC Transition to A&A, Treasury, and Agencies.	8/29/22 3:00 PM – 3:30 PM	Florida PALM Reporting Architect Kimberly Nichols
PCR90 and Externally Managed Investments	This call reviewed 1) PCR90 - Consolidated Revolving Fund Fraud Report and 2) Externally Managed Investments.	8/31/22 1:30 PM – 2:00 PM	Florida PALM Project Director Florida PALM Contract Manager DMS Contract Manager Kimberly Nichols Fred Forrer Fahad Ahmed
PALM Project Team Questions on IV&V Data Dictionary Industry Best Practices Review	This was a call requested by the Florida PALM Project Team to allow the Florida PALM Reporting Architect to speak with the Florida PALM IV&V Team about IV&V's recent Data Dictionary industry best practices review.	8/31/22 2:00 PM – 3:00 PM	Florida PALM Project Reporting Architect Florida PALM Project Data Team member Tyler Cain Kimberly Nichols
PCR90 and Externally Managed Investments	This call was to review PCR90 - Consolidated Revolving Fund Fraud Report and Externally Managed Investments.	8/31/22 4:00 PM – 4:30 PM	Director of Division of Treasury DMS Contract Manager Kimberly Nichols Fred Forrer Fahad Ahmed

IV&V DELIVERABLES SUBMITTED

Deliverable Name	SOW ID	Date Submitted
Florida PALM IV&V Weekly Status Report 080522	IV&V3-D6	8/5/22
Florida PALM IV&V Monthly Assessment Report for July 2022	IV&V3-D7	8/12/22
Florida PALM IV&V Weekly Status Report 081222	IV&V3-D6	8/12/22
Florida PALM IV&V Weekly Status Report 081922	IV&V3-D6	8/22/22
Florida PALM IV&V Weekly Status Report 082622	IV&V3-D6	8/26/22
Florida PALM IV&V Team BPM Deliverable Assessment Report (DAR)	IV&V3-D10	9/2/22

PROJECT DOCUMENTATION REVIEWED

During August, the Florida PALM IV&V Team reviewed the following documents:

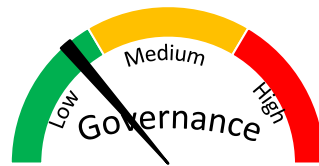
MONTH-END AND YEAR-END CLOSING DOCUMENTS REVIEWED

Document Name	Description
Florida PALM Year-End Close Tracker	YEC Action Tracker spreadsheet with tasks, subtasks, assigned responsible parties and start and end dates.
CMS Remediation Action List – Month-End Close	MEC Action tracker spreadsheet for all FY22 periods, including tasks, subtasks, assigned responsible parties and start and end dates.
Florida PALM Cash Balance Guide	The Florida PALM Cash Balance Guide (Guide) provides information, guidance, and a directory of resources for the DFS stakeholders to manage cash balances in Florida PALM and support operations for CMS Wave (I-D22).
DOR YEC Production Plan	Action Tracker spreadsheet with tasks, subtasks, and dates for Department of Revenue (DOR) FY22 YEC tasks.
2021-2022 Fiscal Year End Activities	A living document that outlines the tasks required by the A&A and OIT to successfully close the current Fiscal year and open a new Fiscal year.
Florida PALM RADAR Report	The Florida PALM RADAR report provides status of the tasks in the Project.
Year-End Summary	Overview of Florida PALM Activities to Support Central FLAIR FY22 Close and Open Actions.
FLAIR PALM YE Interface Schedule	This spreadsheet lists and gives details of the interfaces used to support FY22 YEC, including scheduled dates and frequency.

DATA DICTIONARY INDUSTRY BEST PRACTICE DOCUMENTS REVIEWED

Organization	Source
IEEE	P. P. Uhrowczik, "Data Dictionary/Directories," in <i>IBM Systems Journal</i> , vol. 12, no. 4, pp. 332-350, 1973, doi: 10.1147/sj.124.0332.
IEEE	D. Tobias, "Meta-data dictionary: a system for data administration," [1989] <i>Proceedings. The Fourth Israel Conference on Computer Systems and Software Engineering</i> , 1989, pp. 45-48, doi: 10.1109/ICCSSE.1989.72715.
IEEE	C. Batini, G. Di Battista and G. Santucci, "A methodology for the design of data dictionaries," Ninth Annual International Phoenix Conference on Computers and Communications. 1990 Conference Proceedings, 1990, pp. 706-713, doi: 10.1109/PCCC.1990.101689.
DAMA	"Glossary of Data Management Terms." Dama UK – Glossary, DAMA UK, 11 Aug. 2022, https://www.dama-uk.org/Glossary .
US Data.gov	Data Standards, Data.gov Program Management Office in GSA TTS, the Office of Government and Information Services (OGIS), and the Office of Management and Budget (OMB), 11 Aug. 2022, https://resources.data.gov/standards/concepts/ .

PROJECT GOVERNANCE ASSESSMENT



Project Governance Risk Rating

Project Governance Risk Assessment

The Florida PALM IV&V Team assesses the Florida PALM Project governance as remaining within the Low risk (Green) rating in the month of August. Factors that contributed to this rating include Fiscal Year 2022 (FY22) closing in August, and the Florida Fiscal Year 2023 (FY23) reconciliation direct support transitioning from the Florida PALM Project Team to A&A and the Division of Treasury this month. The remaining open CMS Remediation tickets are also progressing and estimated to be complete by the end of September. Though IV&V identified the first PCR in the CMS Remediation was outside Florida PALM PMP guidelines, after adjustments to the PCR processes to reflect these are taking place in the Production environment, the following two PCRs IV&V reviewed in August were within PMP compliance.

FISCAL 2022 YEAR-END CLOSE AND FISCAL YEAR 2023 BEGINNING

The following FY22 activities completed in August:

Item	Activity	Status
1	FY22 Departmental FLAIR	Closed 8/12/22
2	FY22 Adjustment Period	Closed 8/26/22
3	FY22 YEC	Closed 8/26/22

IV&V will monitor the few pending FY22 Year-End Close (YEC) actions, including remaining adjustments, YEC reporting, and Budget closing.

This month FY23 reconciliation transitioned from Florida PALM Project Team direct support. The Florida PALM Project Team no longer manages reconciliation and is only involved if asked to assist with specific requests. July 2023 MEC is being managed by A&A and the Division of Treasury (Treasury). This is consistent with the Florida PALM Project Team’s plan to transition A&A, Treasury, and Agencies to full FY23 MEC and YEC responsibility in August 2022. On 8/29/22, IV&V met with the Florida PALM Reporting Architect and A&A Assistant Division Director, who confirmed that after a 7-month period of Reconciliation process building and training (referred to as the Reconciliation Stabilization period in the Florida PALM Project Schedule), A&A and Treasury are now fully responsible for reconciliation processes for FY23.

PROJECT CHANGE REQUESTS

In August, Florida PALM IV&V analyzed three Project Change Requests (PCRs): two Tier 1 PCRs which required Project Director approval (PCR87 and PCR89), and a Tier 2 PCR, requiring Executive Steering Committee (ESC) approval. The first PCR IV&V analyzed was outside the Florida PALM PMP and best practices, but IV&V found no issues with the 2nd and 3rd PCRs we reviewed.

IV&V Review of Florida PALM Project Tier 1 Change Requests

On 8/19/22, the Florida PALM IV&V Team reported their analysis of PCR87; PCR87 was submitted 7/6/22, requesting four CMS Production enhancements. IV&V reported PCR87 was not in compliance with the PCR process outlined in the Florida PALM PMP or the State of Florida Project Management and Oversight Standards for Information Technology (IT) projects ([60GG-1](#)), as work began before PCR87 was created and approved, approval was not provided in writing, and the enhancements in the PCR were not put into the Project Schedule until after they were in progress or in Production.

The Florida PALM IV&V Team spoke with the Florida PALM Project Director on 8/12/22 about PCR87; he communicated that PCR87 was the first PCR modifying Production, and the Florida PALM Project Team was adjusting their PCR processes, to ensure Production PCRs were created, approved, and updated in a timely manner.

IV&V observed evidence of these adjustments to the PCR processes in the second Tier 1 PCR IV&V reviewed in August. PCR89 was created on 8/15/22 for four CMS Production enhancements. IV&V reported that PCR89 complied with PMP PCR processes and State of Florida Project Management and Oversight Standards for IT projects ([60GG-1](#)): PCR90 had accurate statuses, required approval before any work could begin, and was scheduled to be included in the Project Schedule in a timely manner.

IV&V Review of Florida PALM Project Tier 2 Change Requests Approval Process

In August, the Florida PALM IV&V Team also reviewed the notification and approval process the Florida PALM Project Team used for PCR90 requesting a Consolidated Revolving Fund Fraud report (CMR027). This was the first PCR requiring ESC approval (a Tier 2 PCR) in CMS Remediation. The Florida PALM IV&V Team found the ESC notification and approval process the Florida PALM Project Team used for PCR90 complied with the Florida PALM PMP requirements for Tier 2 PCRs.

DATA DICTIONARY

The Florida PALM IV&V Team conducted a best practice review comparing the original Data Dictionary delivered by the SSI Vendor (WP21_Data Dictionary_CMS Wave Delivered Records_v1.0, 1/29/21) to industry guidance from the Institute of Electrical and Electronics Engineers (IEEE), the international Data Management Association (DAMA), and the United States [Data.gov](#) Program Management Office.

IV&V acknowledged that the first version of the Florida PALM Project Data Dictionary Work Product included some critical foundational information, including the Peoplesoft table title an individual data element belonged to (“Record Name”), a general description of the Peoplesoft table (“Record Description”), the individual data element name (“Field Name”), and a description of the data element itself (“Field Description”).

IV&V provided the results of the industry best practice review in the 8/12/22 IV&V Weekly Status Report. In summary, IV&V discerned that – according to the three industry sources for best practices – effective and complete data dictionaries should also include:

- A range of acceptable values for each data element (Data Types);
- An area for comments about each data element for the personnel providing and/or maintaining the data dictionary (for additional context);
- A format that facilitates the understanding of how individual data elements relate to *other* data elements at a broader level. Ideally, a data dictionary should serve as the written foundation for corresponding entity relationship diagrams or other visual depictions for how data relates to other data throughout the IT system; and
- Cross references (or identifying locations for where else the data element appears throughout the system). Cross references can take a variety of formats, but they provide the end user with a clear understanding of how the data element can be traced throughout the system.

ATTACHMENT 10 – AMENDMENT 5 SERVICE LEVEL AGREEMENT

In August, the Florida PALM Project Team reviewed Attachment 10 documenting Service Level for potential revisions in Amendment 8; ESC's input was requested. To support ESC's review, on 8/24/22, the Florida PALM IV&V Team emailed ESC members the Florida PALM IV&V SSI Vendor Contract Service Level Expectation Comparison Assessment Report. IV&V originally distributed this report on 5/3/22. The Florida PALM IV&V Team will be monitoring revisions to the Florida PALM Attachment 10 – A5 SLA.

EXTERNALLY MANAGED INVESTMENTS

The Florida PALM Project Team closed Issue 30 – Externally Managed Investment Process – on 8/16/22. During the Florida PALM ESC Meeting on 8/24/22, the ESC members discussed the decision that the Division of Treasury received to proceed with implementing this in a separate solution. During this reporting period, the Florida PALM IV&V Team also met with the Florida PALM Project Director and Treasury Lead to discuss the decision made regarding closing Issue 30. The Florida PALM Team will be discussing how to integrate the Florida PALM system with the external functionality. The Florida PALM IV&V Team is performing further analysis on the decision and the impacts on the Florida PALM Project. The Florida PALM IV&V Team understands the Florida PALM Team will continue to have working sessions in planning the integration between Florida PALM and the Externally Managed Investment accounting solution. The Florida PALM IV&V Team understands the Florida PALM Team will be negotiating the contract with the SSI vendor via Amendment 8 since Externally Managed Investments will no longer be considered part of the Florida PALM Project.

CHANGE READINESS AND DEPARTMENT ENGAGEMENT INITIATIVES ASSESSMENT



Change Readiness And Department Engagement Risk Ranking

Change Readiness and Department Engagement Risk Assessment

The change readiness and department engagement risk level rose to a high-Low (Green) in the month of August. Transitioning the reconciliation processes fully to A&A and Treasury is a positive step in the FY22 Year-End Close process. Additionally, the Florida PALM Project Team continued expanding support provided to CMS users with additional training material and collaboration. The scheduling of the PAWS and developing agendas with the Agencies establishes a good foundation for eliciting Agency input on the functional and technical Florida PALM requirements. As PAWS agendas and durations were determined by the Agencies, some PAWS may not fully cover all topics adequately. The Florida PALM Project Team is making plans for follow-up sessions with Agencies who are not able to address all their needs during the first round of PAWS.

STANDARDIZED BUSINESS PROCESS MODELS DELIVERABLE ASSESSMENT REPORT

The Florida PALM IV&V Team reviewed selected Florida PALM Project Standardized Business Process Models (BPM) from the CMS Wave and Financials Wave. These BPMs were created between 2019 and 2021 with no revisions made to them after January 2022.

The Florida PALM IV&V Team offered BPM observations and recommendations to assist with Florida PALM Project Team's in-progress Requirements Review and upcoming PAWS. The PAWS will reassess requirements and design for replacing FLAIR functionality, required by the FY23 General Appropriations Act, Specific Appropriation 2394 [Proviso in House and Senate Appropriations and Implementing Bills for FY 2022 - FY 2023](#).

On 9/2/22, the Florida PALM IV&V Team distributed the Florida PALM IV&V Team BPM Deliverable Assessment Report (DAR) to the ESC and confirmed stakeholders.

REQUIREMENTS REVIEW AND PERSONALIZED AGENCY WORKING SESSIONS

The Florida PALM Project Team and SSI Vendor dedicated a significant amount of time and resources to completing the review of Florida PALM technical, functional, and business requirements during the month of August. Different teams were assigned specific sections and

modules to review internally using the SSI Vendor's knowledge of what the PeopleSoft system can provide, understanding of the FLAIR system gained through previous Florida PALM Project work, and consultations with the FLAIR User Manual. Enterprise partners from A&A, OIT, and Treasury also attended certain meetings to explain and discuss the operation of certain FLAIR functions with the Florida PALM Project Team and SSI Vendor.

Internal review work and information gained from the FLAIR functions explanations inform planning and preparations for the PAWS, which are scheduled to run from mid-September through December. The goal of PAWS is for the Florida PALM Project Team and SSI Vendor to gain an understanding of how Agency end users use FLAIR on a daily basis, any customized features that an Agency might use, and review the Florida PALM Project requirements to ensure their needs are being met in the scope of work. PAWS range from half-day to three-day sessions, conducted between Tuesday and Thursday, with Agendas defined by the Agencies. The Florida PALM Project Team is planning follow-up sessions to elicit further information not covered during the first round of PAWS.

ORGANIZATIONAL CHANGE MANAGEMENT

In August, the Florida PALM IV&V Team met with representatives from PCG's Organizational Change Management (OCM) Service Line. The OCM Service Line provided additional research and insight on OCM best practices. The IV&V Team's continues to assess the Florida PALM Project OCM efforts.

OCM plays a fundamental role leading a company's transition from one system to another. For changes as significant and encompassing as the multiyear Florida PALM Project, OCM plays a particularly relevant role. The sheer volume of change represented in transitioning a four-decade old accounting and CMS FLAIR system to the new cloud-based, integrated, modern financial management Florida PALM solution requires insight and close attention.

The Florida PALM Project Change Champion Network (CCN) has a dual OCM responsibility to 1) reinforce and support CMS changes already in Production, and 2) prepare for the transition of the upcoming Financial and Payroll Waves.

Change Champion Network Reinforcing Change

IV&V observed the Florida PALM CCN making continued actions in August to reinforce the new CMS PALM solution in Production. These actions included emailing reminders of newly published end user learning tools, providing a Production Support Round Table vehicle for feedback and open issues, and a rolling billboard of notifications and available Florida PALM user resources in the Florida PALM website. Florida PALM CMS users were also encouraged to make use of the CMS Wave sandbox to try out Florida PALM CMS features in a secure test environment.

Reinforcing new changes after implementation strengthens and supports the change and increases the probability the change objectives will be met. Reinforcement cements the change in the organization's culture and ways of working. (Prosci ADKAR®. Reinforcement: How to Sustain a Change, page 5.)

Change Champion Network Preparing for Change

In addition to reinforcing implemented Florida CMS PALM features, the Florida PALM IV&V Team observed the Florida PALM CCN preparing Agencies for their upcoming transition from FLAIR to PALM functionality in the Florida PALM Financials and Payroll Waves. These CCN initiatives in

August included preparing Agencies for their upcoming PAWS, providing the CCN Town Hall (scheduled for 9/8/22) to prepare Agencies for the upcoming Florida PALM Financials and Payroll Waves, educating Agencies in differences between FLAIR and Florida PALM solutions, and offering Florida Digital Services (FL [DS]) resources to help Agencies define and map their FLAIR business processes during PAWS.

IV&V notes these CCN actions align with the goals and key outcomes of the Preparing for Change phase of OCM. The Preparing for Change phase of OCM relies on actively engaging the organization (or in this case, the individual Agencies) undergoing the change to understand the reason for the change, sharing a vision for the Agency's future, embracing their role and accountability as sponsors of the change, and being prepared and equipped to lead discussions with impacted stakeholders and other leaders. (Managing Change in Organizations: A Practice Guide [2013], pages 34, 69, 91, 107).

IV&V ACTIVITIES PLANNED FOR FUTURE PERIODS

PENETRATION TESTING ANALYSIS

The Florida PALM Project Penetration Testing is actively underway with expected completion by 9/2/22 and the WP293 Penetration Testing Work Product updates completed by 9/30/22. The Florida PALM IV&V Team is planning an independent review of the Penetrating Testing Plan, including the Penetration Testing scenarios for Internal and External Actors, and the subsequent results. The Florida PALM IV&V Team will assess the progress and results of the Penetration Testing and will report back in a subsequent report.

BUSINESS TRANSFORMATION

In August, the Florida PALM IV&V Team continued to support the Florida PALM Project's transition by providing additional analysis and comparison of successful Business Transformation processes in parallel projects. The California statewide financial system project is a comparable PeopleSoft implementation to the Florida PALM Project, with the same SSI Vendor. The Florida PALM IV&V Team met with PCG resources with knowledge of a California statewide financial system project to discuss insight and potential recommendations for the Florida PALM Business Transformation effort and researched this parallel project. Reviewing experience and Lessons Learned from this project can provide valuable insight for the Florida PALM project. IV&V plans to consolidate the information into a single report.

DOCUMENTATION / INFORMATION REQUESTS

The Florida PALM IV&V Team has no pending Information requests.

APPENDIX A: RISK PRIORITY MATRIX

The Florida PALM IV&V Analysts will use the following table to assign a risk probability rating to each identified risk.

Risk Probability Rating	Probability of Occurrence	Probability Description
1	Improbable	Risk has between a 1%-19% likelihood of occurring
2	Unlikely	Risk has between a 20%-39% likelihood of occurring
3	Possible	Risk has between a 40%-59% likelihood of occurring
4	Likely	Risk has between a 60%-79% likelihood of occurring
5	Probable	Risk has between an 80%-99% likelihood of occurring

The Risk Impact Criteria that will be used by the Florida PALM IV&V Analysts to assign a risk impact rating to each identified risk are described in the table below.

Risk Impact Rating	Magnitude of Impact	Impact Description
1	Negligible	Risk will have an impact so small that it can be ignored when studying the larger effect
2	Minor	Risk will have a small impact on the project that should not be ignored when studying the larger effect
3	Moderate	Risk will have a noticeable impact on the project
4	Significant	Risk will have a large impact on the project
5	Critical	Risk will have a large impact and may jeopardize the success of the project

The table below outlines the Risk Priority Ratings for a Finding based on a combination of impact and probability of occurrence.

Probability of Occurrence	Magnitude of Impact				
	Negligible 1	Minor 2	Moderate 3	Significant 4	Critical 5
Probable 5 (80-90%)	Low	Medium	High		
Likely 4 (60-79%)			Medium	High	
Possible 3 (40-59%)		High			
Unlikely 2 (20-39%)		High			
Improbable 1 (1-19%)		High			

The table below defines the levels of the Risk Priority Ratings.

Rating	Definition
High	The possibility of substantial impact to product quality manageability cost or schedule. Major disruption is likely, and the consequences would be unacceptable. A different approach is required. Mitigation strategies should be evaluated and acted upon immediately.
Medium	The possibility of moderate impact to product quality manageability cost or schedule. Some disruption is likely, and a different approach may be required. Mitigation strategies should be evaluated and implemented as soon as feasible.
Low	The possibility of a slight impact to product quality manageability cost or schedule. Minimal disruption is likely, and some oversight is needed to ensure that it remains low. Mitigation strategies should be evaluated and considered for implementation when possible.