

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

IV&V Monthly Assessment Report Reporting Period October 2022

November 10, 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	10/01/22 – 10/31/22

Project Health Summary

In October 2022, the Florida PALM IV&V Team assessed the overall health of the Florida PALM Project Schedule as remaining at Medium Risk (Yellow). The Schedule and Scope are in a Medium Risk (Yellow) range and Resources are in a Low Risk (Green) range.

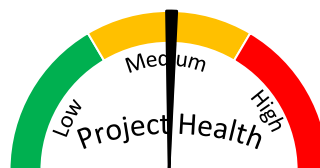
The Florida PALM IV&V Team provides the consensus and recommendations from the Fiscal Year 2022 (FY22) and Year-End Close (YEC) interviews in this report. Those interviewed did not experience High-Impact issues with the FY22 YEC, and responsibility for FY23 was successfully transitioned to Division of Accounting and Auditing (A&A), Division of Treasury (Treasury), and Agencies.

The Florida PALM Project Team continued requirements review sessions and Personalized Agency Working Sessions (PAWS) this month to solicit Agency feedback on FLAIR functionality for upcoming Financials and Payroll Waves. The PAWS are approximately 50% complete, with 15 PAWS completed as of 10/31/22. The associated Florida PALM IV&V Risk #10 remains open, as the requirements are still in review and potential updates to the requirements and design from these sessions are not yet complete. Details of this IV&V Risk are on page 7.

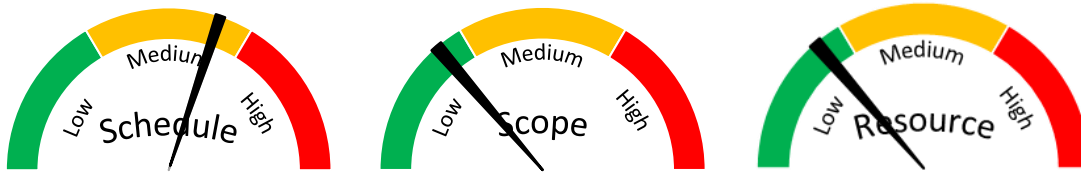
Most Florida PALM Project Financials and Payroll Waves non-administrative tasks are pending Amendment 8 to the SSI Vendor contract before they are added to the Florida PALM Project Scheduled. As Amendment 8 includes confirmed business requirements, which are now scheduled for March 2023, there is a chance of a delay in definition of the Financials and Payroll Waves.

This month the Florida PALM IV&V Team began verifying the Documentation and Agency Assistance Services deliverable, provided monthly by the SSI Vendor as documented in Amendment 7 and in FY22/23 General Appropriations Act, line item 2394.

Overall Risk



The Florida PALM IV&V Team assessed the overall Risk to the Florida PALM Project as Medium Risk (Yellow) in October. According to the Florida PALM Project IV&V Management Plan, the Medium Risk rating is defined as the possibility of a moderate impact on 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 indicates 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 represents 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 high Medium Risk (Yellow). The Florida PALM Project Team updated Issue 27 “Schedule delays prevented a Fully Committed Project Schedule,” with a resolution date of 3/31/23. The Florida PALM Project Team has begun identifying Project Schedule tasks for Financials and Payroll Waves and created Action Item 1534 to track the work associated with identifying and adding Project Schedule tasks. The Action Item 1534 planned completion date is 12/16/22.

The Florida PALM Project Team is working on Amendment 8 with the SSI Vendor that will help establish the Project Schedule for the Financials and Payroll Wave of the Project. The Florida PALM IV&V Team will monitor in the progress of Issue 27 and Action Item 1534 to be made by the Florida PALM Project Team.

Most Florida PALM Project Schedule non-Administrative Financials and Payroll tasks are not yet identified and/or activated. These are pending Amendment 8 to the SSI Vendor Contract to establish the scope that will drive the Florida PALM Project Schedule for the upcoming wave of the Florida PALM Project. The Florida PALM Project Schedule is currently scheduled to provide finalized requirements by March 2023. The business requirements are not anticipated until March 2023, which may contribute to delaying the Project scope for the upcoming Financials and Payroll Waves.

Scope

For the month of October, the Florida PALM IV&V Team assesses the Florida PALM Project Scope Risk rating at Medium Risk (Yellow). As CMS Remediation actions defined in Amendment 7 were completed by 9/30/22, the current scope is primarily preparation for the upcoming Financials and Payroll Waves. This preparation includes reviewing requirements, FLAIR functions and subfunctions, and Agency PAWS. These FLAIR functionality reviews will result in changes to business requirements, which will impact the design and scope of the upcoming Financials and Payroll Waves.

Resources

The Florida PALM IV&V Team maintains the Florida PALM Project Resource Risk rating at Low Risk (Green) in October. Agencies have noted difficulties in retaining and hiring resources with expertise in FLAIR, which could impact the review of FLAIR functionality and Agency business systems that the Florida PALM Project Team is conducting. The Florida PALM Project Team suggested during the 10/26/22 Executive Steering Committee (ESC) meeting that Agencies might reach out to previous employees who have expertise in the Agency's business systems and/or FLAIR processes to understand historical reasons for why certain activities are conducted. Resources on the Florida PALM Project Team with experience in other Agencies have leveraged their knowledge to ask questions that help facilitate in-depth exploration during PAWS. The SSI Vendor has committed resources to become a more dedicated on-site presence for the PAWS to provide feedback in person. Details of these SSI Vendor Documentation and Agency assistance services to support functional and technical requirements reviews are documented in Amendment 7 and in FY22/23 General Appropriations Act, line item 2394.

Findings

The Florida PALM IV&V Team uses its proprietary Eclipse IV&V® methodology to define the 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 are 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

ID	Date Opened	Status	Priority	Type
11	10/7/22	Closed	Medium	Preliminary Concern
Summary		<p>The arrival of Hurricane Ian to the state of Florida caused severe damage to many areas. Millions of people evacuated, business and government offices closed, and some areas are still without power. Hurricane Ian also impacted areas of the Atlantic Coast such as Georgia and the Carolinas. Considering these factors, the Florida PALM IV&V Team is opening this Preliminary Concern to account for the potential impact on resources, both personnel and facilities/equipment.</p> <p>Agencies have mentioned Hurricane Ian’s disruptive impact on their operations in meetings with the Florida PALM Project Team. The Department of Health’s contribution to the Florida PALM Project was directly impacted by the cancellation of their PAWS during the week of Hurricane Ian. Because of the hurricane’s lingering impacts, there is a concern about relying on resources that may be unavailable for an indeterminate amount of time due to direct or indirect effects. Displacement or redirection of resources can also increase the time it takes for responses to questions to return.</p> <p>Recommendations</p> <p>The Florida PALM Project Team should be aware of and allow additional time for responses, required inputs, and other activities from Florida Agencies to account for these impacts.</p> <p>Update 10/21/22</p> <p>This Preliminary Concern was opened and closed within the month of October. The Florida PALM IV&V Team has closed Preliminary Concern #11 this reporting period after continued observation of unimpacted daily operations for the Florida PALM Project in the wake of Hurricane Ian. The Florida PALM Project scope, schedule or resources were not significantly impacted at any point during the time since the hurricane occurred.</p>		

Updated Findings

ID	Date Opened	Status	Priority	Type
10	9/23/22	Open	Medium	Risk
Summary		<p>The Florida PALM Project may be at risk of needing additional remediation work during implementation of the Financials and Payroll Waves due to Agencies' not fully defining their needs or not engaging fully in communicating their current FLAIR business processes. If Agency needs are not built into the initial functional and technical requirements of the Florida PALM Project, there is a potential for necessary rework after implementation to address the missed functionality that Agencies need to conduct business operations. Robust Agency involvement is critical to proactively define needs for the Florida PALM solution functionality.</p> <p>Interviews with the Readiness and Training Team revealed that during the CMS Wave, Agencies did not always submit materials in a timely manner or requested materials were incomplete. In response, the Florida PALM Project Team created a variety of new outreach programs to Agencies or enhanced existing programs. These included more robust monthly touchpoints, more Agency involvement in quarterly Town Halls, and the creation of the Advisory Council for more direct Agency input when discussing business and functional aspects of the Florida PALM Project. However, while many Agencies are responding to tasks and questions to a satisfactory degree, there is still a Risk that lack of overall buy-in and cooperation from all Agencies will result in incomplete requirements definition and a solution design that lacks the required functionality the Agencies depend upon. Examples include:</p> <ul style="list-style-type: none"> • Agency-created agendas for Personalized Agency Working Sessions (PAWS) that do not address the requirements gathering needs of the Florida PALM Project; as well as • Agencies expressing a lack of understanding of PAWS until after the meetings were scheduled. <p>Recommendations</p> <p>The Florida PALM IV&V Team recommends the Florida PALM Project Team continue performing outreach to Agencies encouraging full engagement with the Florida PALM Project, as well as supporting Agencies in whatever questions they have or tasks they may need to accomplish in providing relevant information on their existing processes in FLAIR and needs for the upcoming Financials and Payrolls waves PALM system.</p> <p>Update 10/31/22</p> <p>The Florida PALM Project Team continues to emphasize the importance to the Agencies of thoroughly preparing for PAWS. These efforts occur through ESC, Agency touchpoints, statewide meetings, and other avenues. The Florida PALM IV&V Team concurs with this emphasis and will continue to monitor and evaluate the Florida PALM Project Team's Risk mitigation actions.</p>		

Closed Findings

ID	Date Opened	Status	Priority	Type
11	10/7/22	Closed	Medium	Preliminary Concern
Summary		<p>The arrival of Hurricane Ian to the state of Florida caused severe damage to many areas. Millions of people evacuated, business and government offices closed, and some areas are still without power. Hurricane Ian also impacted areas of the Atlantic Coast such as Georgia and the Carolinas. Considering these factors, the Florida PALM IV&V Team is opening this Preliminary Concern to account for the potential impact on resources, both personnel and facilities/equipment.</p>		
		<p>Agencies have mentioned Hurricane Ian’s disruptive impact on their operations in meetings with the Florida PALM Project Team. The Department of Health’s contribution to the Florida PALM Project was directly impacted by the cancellation of their PAWS during the week of Hurricane Ian. Because of the hurricane’s lingering impacts, there is a concern about relying on resources that may be unavailable for an indeterminate amount of time due to direct or indirect effects. Displacement or redirection of resources can also increase the time it takes for responses to questions to return.</p> <p>Recommendations</p> <p>The Florida PALM Project Team should be aware of and allow additional time for responses, required inputs, and other activities from Florida Agencies to account for these impacts.</p> <p>Update 10/21/22</p> <p>This Preliminary Concern was opened and closed within the month of October. The Florida PALM IV&V Team has closed Preliminary Concern #11 this reporting period after continued observation of unimpacted daily operations for the Florida PALM Project in the wake of Hurricane Ian. The Florida PALM Project scope, schedule or resources were not significantly impacted at any point during the time since the hurricane occurred.</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
PMO State Team Weekly Checkpoint	Schedule and Reporting, Status of current projects, Upcoming projects, Roadblocks, and impediments	10/3/22 9:35 AM – 10:35 AM
PPA Team Weekly Meeting	Planning, Accounting, and Ledger Management tickets	10/3/22 11:00 AM – 12:00 PM
Personalized Agency Working Sessions Checkpoints	Agencies who have already had PAWS present on their preparation process and Lessons Learned	10/03/22 2:00 PM – 3:00 PM
FLAIR Functions and Sub-Functions Meeting	Purchasing Card Works Interface	10/3/22 2:00 PM – 3:00 PM
DCF PAWS	Review of DCF agency business systems and processes	10/4/22 9:00 AM – 5:00 PM
DCF PAWS	Review of DCF agency business systems and processes	10/5/22 9:00 AM – 3:30 PM
Weekly Personalized Agency Working Sessions Briefing	Debrief on PAWS held during the week and discuss meetings for the upcoming week	10/7/22 9:00 AM – 10:00 PM
Weekend Checkpoint (Standing Agenda Added)	End-of-week standing meeting to discuss Key Meetings, CMS Remediation, A-7 Updates, A-8 Updates, and Solution Center updates	10/7/22 10:00 AM – 11:00 AM
Business Process Design Weekly Touchpoint	Review of business process design activities and design disposition log	10/7/22 1:00 PM – 2:00 PM
PGM Touchpoint	Weekly touchpoint meeting with Projects and Grants Management (PGM)	10/7/22 3:00 PM – 4:00 PM

Meeting Subject/Name	Purpose	Date/Time
PGM Working Session	Discuss Projects and Grants options to share with Advisory Council.	10/10/22 9:30 AM – 10:30 AM
AHCA/PALM Monthly Touchpoint	Meeting between Liaison and Agency to review and discuss Florida PALM implementation activities	10/12/22 1:00 PM – 2:00 PM
Treasury Production Support	Treasury production incidents and resolution	10/12/22 2:00 PM – 3:00 PM
DMA/FL PALM Readiness Touchpoint Meeting	Touchpoint meeting between the Agency's Change Champion Network and Florida PALM Readiness Coordinator	10/13/22 1:30 PM – 2:30 PM
PMO Weekly Touchpoint	Weekly meeting with PMO Leads	10/13/22 3:00 PM – 4:00 PM
CRAIDL Meeting	Review and updates on CRAIDL log items	10/14/22 11:00 AM – 12:00 PM
Weekend Checkpoint Meeting	Key Meetings for the Week: <ul style="list-style-type: none"> • CMS Remediation Efforts • A-7 Updates • A-8 Items • Solution Center Update 	10/14/22 10:00 AM – 11:00 AM
Business Process Design Weekly Touchpoint	Review of business process design activities and design disposition log	10/14/22 1:00 PM – 2:00 PM
PPA Team Design Disposition Log Review	Review and discussion of the Design Disposition Log for the PPA Team	10/14/22 3:30 PM – 4:30 PM
PMO State Team Weekly Checkpoint	Weekly meeting with PMO Leads	10/17/22 9:35 AM – 10:25 AM
Treasury Production Support Meeting	Review and discussion of Treasury Production Support Incidents and Enhancements	10/19/22 2:00 PM – 3:00 PM
EOG Readiness Touchpoint w/Florida PALM	Preparation for EOG Agency's PAWS Session	10/19/22 3:00 PM – 4:00 PM
Functional Leads Touchpoint	Weekly Functional Leads meetings	10/20/22 2:00 PM – 3:00 PM
Florida PALM QA Testing and Change Control	Weekly meeting to review Quality Assurance Testing and Change Control	10/20/22 3:30 PM – 4:00 PM

Meeting Subject/Name	Purpose	Date/Time
Weekly Personalized Agency Working Sessions Briefing	Debrief and discussion on the week's PAWS	10/21/22 9:00 AM – 10:00 AM
PPA Team Requirements Review - HCM/Payroll	Meeting to discuss the requirements related to HCM/Payroll	10/21/22 10:00 AM – 11:00 AM
Disposition Meeting	Disposition Meeting: Review of Action Items, Receipt of Goods and Services, Encumbrances, Vouchers, Payments, audits, and Statistical Sampling Tool	10/21/22 11:00 AM – 12:00 PM
FLAIR Functions/Subfunctions	Meeting to discuss FLAIR Functions/Subfunctions	10/21/22 1:00 PM – 3:30 PM
PGM Touchpoint	Discussion on Project Costing and Grants Modules	10/21/22 3:30 PM – 4:30 PM
TRP – Requirements Review and PAWS Debrief	This meeting for TRP Team based on FDOT PAWS, Review requirements where FLAIR Functionality is blank, review OAT Discussion and obtain clarification if needed, and discuss the next steps for Requirements Dashboard	10/24/22 10:00 AM – 12 PM
PPA Team Weekly Meeting	Discussion of PPA Team activities and work status	10/24/22 3:15 PM – 4:00 PM
CDFS CCN Meeting	Meeting to discuss Change Champion Network (CCN) status Updates	10/24/22 3:30 PM – 5:00 PM
Incident Triage Meeting	Provide updates and progress on priority incidents	10/25/22 9:30 AM – 10:30 AM
PMO Weekly Touchpoint	Weekly PMO Status Updates	10/25/22 3:00 PM – 4:00 PM
PPA Team Requirements Review	Continuing review of HCM and Payroll requirements	10/25/22 4:00 PM – 5:00 PM
JAC Monthly Touchpoint	This is a recurring Florida PALM touchpoint meeting between JAC CCN Agency Liaison to review and discuss Florida PALM implementation activities	10/26/22 10:00 AM – 11:00 AM
Florida PALM Executive Steering Committee Meeting	October ESC meeting with project updates and plans	10/26/22 2:00 PM – 4:00 PM

Meeting Subject/Name	Purpose	Date/Time
PALM Meet and Greet with FL[DS]	Introduction of new FL[DS] oversight manager to the Florida PALM Project.	10/27/22 10:00 AM – 10:30 AM
Readiness and Training Touchpoint/RADAR	Status and discussion of Training elements and actions, and RADAR updates for Florida PALM upcoming Waves.	10/27/22 1:00 PM – 1:30 PM
EOG, DEM, PSC Personalized Agency Working Session	Group PAWS meeting for several agencies.	10/27/22 1:30 PM – 5:00 PM
Weekly Personalized Agency Working Sessions Briefing	Debrief on the week’s PAWS and planning for next week.	10/28/22 8:30 AM – 9:00 AM
Disposition Meeting	Follow-up on action items for Design Disposition and outside bank accounts.	10/28/22 11:00 AM – 12:00 PM
PGM Touchpoint	Discussion on Project Costing and Grants Modules.	10/28/22 3:00 PM – 4:00 PM
CRAIDL Meeting	Review of Change Requests, Risks, Action Items, Issues, Decisions, and Lessons Learned.	10/28/22 3:30 PM – 4:30 PM
Personalized Agency Working Sessions (PAWS)	Checkpoint PAWS checkpoint between the Organizational Change Management (OCM) Track Manager and Knowledge Transfer and Training Team Manager.	10/31/22 11:00 AM – 12:00 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 Work Product Discussion	Governance of Florida PALM Work Products from the SSI Vendor Perspective.	10/6/2022 8:30 AM – 9:00 AM	Matthew Cole, SSI Vendor Sharon Studley, SSI Vendor Joy Schneider, SSI Vendor Florida PALM Project Director Florida PALM Contract Manager DMS Contract Manager Fred Forrer Nicolle Suvada Tyler Cain
Fiscal Year 2022 – Agency Perspective	DCF perspective on closing FY22 and transitioning FY23 direct support to A&A and Treasury. Input regarding DCF PAWS session.	10/6/2022 10:00 AM – 10:30 AM	Chief of Strategic Planning and Projects DMS Contract Manager Nicolle Suvada Kimberly Nichols
IV&V Review – Draft Weekly Status Report	Review draft of 10/7/22 Weekly Status Report.	10/7/22 9:30 AM – 10:00 AM	Florida PALM Project Director Florida PALM Contract Manager DMS Contract Manager Nicolle Suvada Kimberly Nichols
FY22 YEC and FY23 Transition Interviews – Verification Session	Verification of the Treasury, A&A, and Agency feedback and perspective on the FY22 closing and the transition to FY23.	10/13/22 11:30 AM – 12:00 PM	Florida PALM Project Director Florida PALM Contract Manager DMS Contract Manager Kimberly Nichols Sebastian Lende

Meeting Subject/Name	Purpose	Date/Time	IV&V Attendees
IV&V Review – Draft Weekly Status Report	Review draft of 10/14/22 Weekly Status Report.	10/14/22 9:30 AM – 10:00 AM	Florida PALM Project Director Florida PALM Contract Manager DMS Contract Manager Nicolle Suvada Sebastian Lende
Florida PALM IV&V Monthly Assessment Report for September 2022	Review of the September 2022 IV&V Monthly Assessment Report.	10/17/22 10:00 AM – 11:00 AM	Florida PALM Project Director DMS Contract Manager Nicolle Suvada Sebastian Lende
IV&V Status Meeting	Review Status of IV&V efforts on the Florida PALM Project.	10/20/22 10:30 AM – 11:30 AM	Budget Chief IT Budget & Policy Staff Member Nicolle Suvada Jason Kelly
IV&V Review – Draft Weekly Status Report	Review draft of 10/21/22 Weekly Status Report.	10/21/22 9:30 AM – 10:00 AM	Florida PALM Project Director Florida PALM Contract Manager DMS Contract Manager Nicolle Suvada Kimberly Nichols
Meeting with the Executive Office of the Governor (EOG)	Discussion with EOG Policy Coordinator on the Florida PALM Project.	10/26/22 10:45 AM – 11:45 AM	Policy Coordinator, EOG Nicolle Suvada Sebastian Lende
IV&V Review – Draft Weekly Status Report	Review draft of 10/28/22 Weekly Status Report.	10/28/22 9:30 AM – 10:00 AM	Florida PALM Project Director Florida PALM Contract Manager DMS Contract Manager Nicolle Suvada Kimberly Nichols Sebastian Lende

IV&V Deliverables Submitted

Deliverable Name	SOW ID	Date Submitted
Florida PALM IV&V Weekly Status Report 100722	IV&V3-D6	10/07/22
Florida PALM IV&V Weekly Status Report 101422	IV&V3-D6	10/14/22
Florida PALM IV&V Monthly Assessment Report for September 2022	IV&V3-D7	10/17/22
Florida PALM IV&V Weekly Status Report 102122	IV&V3-D6	10/21/22
Florida PALM IV&V Weekly Status Report 102822	IV&V3-D6	10/28/22

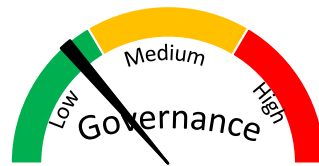
Project Documentation Reviewed

During October, the Florida PALM IV&V Team reviewed the following documents.

Subject	Document in Review	Description
Documentation and Agency Assistance Services page 5	D622_Appendix_FLAIR Functions and Subfunctions D623_Appendix_FLAIR Functions and Subfunctions	List of FLAIR requirements reviewed by the SSI Vendor and how the requirements are met (or not met) in Florida PALM requirements.
	D622_Deliverable Review Form D623_Deliverable Review Form	This outlines the review of the D620 Documentation and Agency Assistance Services Monthly reports.
	DEL622_Documentation and Agency Assistance Services (August 2022) DEL623_Documentation and Agency Assistance Services (September 2022)	Monthly report that summarizes the activities completed and details the documentation and agency assistance services, as documented in Amendment 7, provided by the SSI Vendor. This includes reviewing functional and technical system requirements for the replacement of FLAIR functionality to confirm all requirements needed are included in the Florida PALM system; participating in meetings, walkthroughs, and sessions to fully understand FLAIR functionality, business processes, and assumptions; developing and reviewing supporting materials and documenting action or follow-up items.
Fiscal 2022 Year-End Close and Fiscal Year 2023 Insights page 17	Florida PALM Year-End Close Tracker	YEC Action Tracker spreadsheet with tasks, subtasks, assigned responsible parties, and start and end dates.
	Florida PALM Cash Balance Guide	The Florida PALM Cash Balance 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).

Subject	Document in Review	Description
	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.

Project Governance Assessment



Project Governance Risk Rating

Project Governance Risk Assessment

For the month of October, the Florida PALM IV&V Team assesses the Florida PALM Project governance as remaining within the Low Risk (Green) rating. Fiscal Year 2022 (FY22) and YEC interviews reported responsibility for FY23 was successfully transitioned to A&A, Treasury, and Agencies, and High-Impact issues were not reported by those interviewed. Details and recommendations concerning these FY22 YEC and FY23 interviews are in the following segment of this report. In addition, the Florida PALM Project Team Leadership, such as the Project Director and Deputy Director, have placed diligent focus on ensuring the execution of the PAWS sessions are using best efforts to engage Agencies in a productive manner.

Fiscal 2022 Year-End Close and Fiscal Year 2023 Insights

FY22 YEC on 8/26/22 closed the Florida PALM Project Team's direct enhanced support of Fiscal Year 2023 (FY23). This completed a 7-month period of the Florida PALM Project Team providing reconciliation process building, training, and support (referred to as the Reconciliation Stabilization period in the Florida PALM Project Schedule). A&A, Treasury, and Agencies took over managing FY23 reconciliation processes.

The Florida PALM IV&V Team interviewed A&A, Treasury, and selected Agencies for their perspective on FY22 YEC and transitioning reconciliation responsibilities from the Florida PALM Project Team to them for FY23.

The Florida PALM IV&V gathered the following consensus from these interviews: Those interviewed did not experience High-Impact issues with the FY22 YEC, and feedback returned indicated FY22 generally went as anticipated and followed the structured plan. In addition, responsibility for FY23 was successfully transitioned to A&A, Treasury, and Agencies. Pre-planning, collaboration and task management were considered contributing factors in this.

The Florida PALM IV&V Team recommends the methodologies and tracking tools used in FY22 YEC be maintained and used again in FY23, that Lessons Learned from FY22 YEC be applied to FY23 YEC processes, and that the Florida PALM Project Team review the requests outlined in this report to improve the quality of support and YEC Reconciliation Issue resolution for FY23 YEC.

Interviews Completed

Department	Interview Date	Attendees
A&A	9/16/22	A&A Director Kimberly Nichols
Treasury	9/23/22	Director of the Division of the Treasury DMS Contract Manager Kimberly Nichols Fred Forrer
Department of Children and Family Services (DCF)	10/6/22	Agency Chief of Strategic Planning and Projects DMS Contract Manager Nicolle Suvada Kimberly Nichols
Fish and Wildlife Conservation Commission (FWC)	10/7/22	FWC Finance and Accounting Director FWC Project Manager FWC Revenue, Contracts & Grants Manager DMS Contract Manager Kimberly Nichols
FWC	10/11/22	FWC Finance and Accounting Director FWC Project Manager FWC Revenue, Contracts & Grants Manager DMS Contract Manager Kimberly Nichols
Florida PALM Project Team (Verification)	10/13/22	Florida PALM Project Director Florida PALM Contract Manager DMS Contract Manager Nicolle Suvada Kimberly Nichols

Interview Questions

To conduct qualitative interviews with those associated with FY22 YEC, the Florida PALM IV&V Team asked the following questions to gain A&A, Treasury, and Agency feedback on FY22 YEC and the transition of Month-End Close (MEC) and Year-End Close (YEC) responsibilities to them for FY23.

Interview Questions
Could you share your thoughts on FY22 Closing and the transition to FY23? Anything that went particularly well, or elements that went less smoothly?

Interview Questions
At the close of FY22 and start of FY23, A&A, Treasury, and Agencies were scheduled to assume full FY23 MEC and YEC responsibility in August 2022. Do you believe that transition has occurred?
After transitioning reconciliation responsibilities from the Florida PALM Project Team to A&A and Treasury for Fiscal Year 2023 (FY23), What is your opinion on current Production Support?
Reflecting over FY22 and the transition to FY23, are there any Lessons Learned or suggestions you would like to share?
Any final comments as we close this interview?

Insights in detail are provided below. Requirements and Standards applied in this segment are in Appendix B –Best Practices and Standards on page 29.

Insight #1 – Fiscal Year 2022 Closed Without High-Impact Issues

Those interviewed by the Florida PALM IV&V Team reported experiencing no High-Impact Issues during FY22 YEC. The Florida PALM IV&V Team reviewed ServiceNow and confirmed only three (3) High-Impact tickets associated with FY22 YEC were reported during FY22 YEC (6/1/22-8/26/22), which were responded to on the day they were opened.

One interviewee described FY22 YEC as uneventful. Another interviewee noted the closing processes and integrations generally went as designed and presented in YEC Planning.

Key contributors to FY22 YEC success shared in the interviews included engaging Office of Information Technology (OIT) resources early, and early validation of the data transmitted between FLAIR, Florida PALM, and external entities (i.e., banks). Interviewees also recalled that collaboration and planning for FY22 YEC was thorough and effective. This allowed the reconciliation processes to stabilize, and Florida PALM CMS features in Production to run smoothly, and as expected by the parties using them.

The Florida PALM Year-End Close Tracker was used to manage the actions for FY22 YEC. Representatives from A&A, Treasury, and Agencies noted its effectiveness in managing the detailed tasks and integration of FY22 YEC.

Recommendations

For FY23 YEC, the Florida PALM IV&V Team recommends:

1. To provide the same safeguards for FY23 YEC, repeat the OIT early engagement and validations of the data transmissions which occurred in FY22 YEC.
2. Ensure any revisions that occur to the processes, reports, and interfaces used in FY22 YEC between Florida PALM and Central and Departmental FLAIR are documented and considered in the YEC documentation that will be used for FY23 YEC.
3. The PALM Project Management Organization (PMO) is applying feedback from FY22 YEC* to the Florida PALM Year-End Close Tracker. IV&V encourages this, as the Florida PALM Year-End Close Tracker was instrumental in the FY22 closing success and will be used for managing FY23 YEC. Modifying this with Lessons Learned potentially increases the effectiveness of the Florida PALM Year-End Close Tracker in next year's FY23 YEC.

**This FY22 YEC Feedback was logged in the Florida PALM Project Team's YEC Lessons Learned Registry. Best Practices and Standards applying to this practice are outlined in Appendix B –Best Practices and Standards on page 29.*

Insight #2 – Successful Transition of Reconciliation for FY23

For a 7-month period beginning 2/1/22 (referred to as the Reconciliation Stabilization period in the Florida PALM Project Schedule), the Florida PALM Project Team provided reconciliation process building, training, and support, to A&A, Treasury, and Agencies. This included in-depth reviews of process details, end-user desk procedures, job aids, queries, operational error handling, interactive walk-throughs, and Issue resolution. This 7-month Reconciliation Stabilization period was scheduled to end when FY22 YEC was completed (8/26/22).

After FY22 YEC was completed, A&A, Treasury, and Agencies were scheduled to assume full FY23 MEC and YEC responsibility from Florida PALM Project Team. Interviewees confirmed this occurred. The Florida PALM Project Team transitioned A&A, Treasury, and Agencies to full responsibility for FY23 Month-End Close and Year-End Close reconciliation in August 2022 as scheduled.

A&A, Treasury, and Agencies are managing FY23 reconciliation independently. This is no longer managed by the Florida PALM Project Team.

- Florida PALM Project Team provides reconciliation support only at A&A, Treasury, or Agencies' request;
- Production Support Tickets were reported by two interviewees as substantially fewer, continuing to decrease, and all four interviews included mention that the tickets were not high-priority requests, but instead lower-priority incidents or requests. One interviewee referred to their requests as "lower-priority ongoing maintenance requests";
- Production Support meetings have been reduced to a frequency consistent with standard Production Support.; and
- Two interviews included references to prompt responses to incident tickets they submitted.

Recommendations

The Florida PALM Project Team concluded Cash Management System (CMS) Hypercare Optional Services (D627) on 10/18/22 (as per the Project Schedule). They indicated they no longer require these additional Production Support Services from the SSI Vendor, which were added via Amendment 7. These services include system troubleshooting, reconciliation support, user support materials, and Production environment queries. Since these additional Support Services will no longer be provided by the SSI Vendor, the Florida PALM IV&V Team recommends monitoring Production Support to ensure the level of support is not altered by this, and the same quality reported in these interviews (i.e., promptness of response, effectiveness of resolution, volume of incidents resolved) continues.

Insight #3 – Requested Improvements and Enhancements

In the interviews, some requests were made regarding Issue resolution. Interviewees did not classify these as high priorities but presented them as requested improvements or needed enhancements.

Quicker Notification of Issues

One interview included the observation that the interviewee's team was not involved in some Issues with a posting until days after they occurred. The interviewee requested earlier notifications of postings with Issues that needed to be revised.

Recommendations

On 10/13/22, the Florida PALM Project Director confirmed that notification of Issues (such as email notification) is in the planned scope for the upcoming Financials and Payroll Wave, and the Florida PALM CMS solution also includes some Issue notification enhancement requests. The Florida PALM IV&V Team recommends the CCN communicate the details, status, and estimated delivery of these Issue notification enhancements to Florida PALM CMS solution users and those who will be using the upcoming Florida PALM Financials and Payroll Waves functionality.

More Understanding of Issue Resolution

For FY22 YEC Issue resolution, interviewees requested more information be provided on the Issue itself, and what caused it, in addition to instructions on the steps to take to resolve the Issue. An example was given of receiving instructions to resolve a disinvestment that did not successfully post to Central FLAIR; while the instructions to resolve were effective, a better understanding of the root cause of the Issue was requested.

Recommendations

Per the Florida PALM Project Director on 10/13/22, the current Production Support standard process includes the root cause in an incident ticket. Individuals can also reach out to the Production Support Team to request further details. The Florida PALM IV&V Team recommends the CCN consider means of communicating where the root cause of the Issue is located in incident tickets and encourage users to contact the Production Support Team for additional information on any resolution.

More Informative Error Messages

Interviewees requested more detailed informative error messages in PALM, reporting that they had experienced situations where either no error message was provided, or the error messages were not informative or not sufficient.

Recommendations

The Florida PALM Project Director informed the Florida PALM IV&V Team on 10/13/22 that Florida PALM CMS solution error messages are still standard solution messages and can be customized to provide more detail or be more specific to the Florida PALM solution. The Florida PALM IV&V Team recommends error messages be customized for more detailed information on the root cause and resolution of each error. IV&V also recommends the Florida PALM Project Team consider consolidating the solutions and answers to the highest-frequency and highest-impact Issues and questions that occurred in FY22 YEC into training and support materials for FY23 YEC.

Easier and Quicker Reconciliation Processes

Interviewees reported the process to resolve FY22 YEC reconciliation Issues was more cumbersome in Florida PALM than their previous FLAIR processes, reporting experiencing situations where a multi-step process was needed in Florida PALM for an action that would have required one step in FLAIR. Another input from interviews was that the Florida PALM FY22 YEC

processes were so different from their previous FLAIR processes that they were more difficult to remember and fully comprehend.

Recommendations

While some differences between the FLAIR system and Florida PALM are unavoidable, some of the interviewees' perceptions that the Florida PALM YEC processes are more time-consuming may be because the YEC processes in the Florida PALM CMS solution are unfamiliar. The Florida PALM IV&V Team recognizes that new Florida PALM YEC processes may require additional effort on the part of users due to the learning curve. IV&V recommends the Florida PALM Project Team consider providing additional training on the most common reconciliation Issues and questions from FY22 YEC.

IV&V also suggests using the CMS Sandbox now available, for this training, since retention of learning associated with tools and processes is highest when processes are completed by the learners themselves. (Prosci ADKAR®. Knowledge: How to Effectively Build Knowledge in Individuals, page 7).

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 remains at Medium Risk (Yellow) in the month of October 2022. The Florida PALM IV&V Team Finding #10 opened on 9/23/22 documented the Risk of Agencies' not fully engaging with the Florida PALM Project, with the potential to miss functionality and buy-in for the upcoming Financials and Payroll Waves. Requirements review activities and PAWS continue to progress, although additional time is being scheduled in January 2023 based on reassessment of the amount of work necessary. The Florida PALM IV&V Team was provided access to the Design Disposition Log and will be reviewing it to provide suggestions on improvement.

Requirements Review and Personalized Agency Working Sessions

The Florida PALM Project Team and SSI Vendor continued to attend Personalized Agency Working Sessions throughout the month of October, having met with 15 of 33 Agencies as of the 10/31/22 PAWS Checkpoint. Several Agencies were invited to the Checkpoint to describe their preparation for and facilitation of their PAWS to help other Agencies prepare. The Florida PALM Project Team also continued to describe common themes, recommend improvements to agendas, and suggest possible areas where unique Agency processes might exist.

The Florida PALM Project Team has pushed back the review timing for Attachment 5 – Business Requirements of Amendment 8 to the SSI Vendor contract to accommodate larger amounts of work than expected for requirements review activities, with the new timeframe for ESC review in March 2023. Requirements review is approximately 40% complete as of the 10/26/22 ESC meeting, and the Florida PALM Project Team has added additional time in January and February 2023 to further revise requirements based on the results of PAWS.

Design Disposition Documents

The Florida PALM Project Design Disposition Log is a tool and set of associated processes that the Florida PALM Project Team is establishing to facilitate the capture, tracking, development, and sharing of design options for the Florida PALM system. Items entered in the Design

Disposition Log that impact the requirements or scope of the Florida PALM Project will require ESC approval as laid out in the Florida PALM Project's change management procedures.

The Florida PALM Project Team provided the Florida PALM IV&V Team access to the Design Disposition Log Smartsheet on 10/18/22. A review of the Design Disposition Log is underway, and recommendations for improving its usage and setup will be provided in November.

Executive Steering Committee

During the 10/26/22 Florida PALM ESC meeting, the Florida Department of Financial Services (DFS) Chief Business Officer encouraged members and attendees to bring ideas or suggestions for ESC effectiveness to him and the Florida PALM Project Team. In support of this request, the Florida PALM IV&V Team is examining best practices and utilizing PCG's knowledge base of similar implementation projects to provide recommendations regarding the functioning of the ESC.

IV&V Activities Planned for Future Periods

Amendment 8

The Florida PALM Project Team is undergoing discussions with the SSI Vendor on the upcoming contract Amendment 8. The Florida PALM IV&V Team will review Amendment 8 documents as they are made available, according to the schedule the Florida PALM Project Team provided below.

Attachments	IV&V Review Dates	To ESC for Review	ESC Vote
Attachment. 10: Service Level Agreements Attachment. 12: Parent Company Guarantee Attachment. 13: Software Source Code	11/08/22 – 11/22/22	11/23/22	12/14/22
Attachment. 1: Statement of Work Attachment. 6: Definitions	01/17/23 – 02/02/23	2/3/23	2/27/23
Attachment. 8: Deliverable Acceptance Criteria	01/30/23 – 02/09/23	2/10/23	2/27/23
Attachment. 2: Payment Schedule	02/01/23 – 02/09/23	2/10/23	2/27/23
Attachment. 5: Business Requirements	02/27/23 – 03/03/23**	3/6/23	3/22/23

*** This IV&V Review Date is extrapolated from the ESC Review Date, as IV&V review begins approximately 10 to 14 days before ESC Review begins.*

Investment Accounting Solution

The Florida PALM IV&V Team performed an analysis on the Investment Accounting Solution, related to the closure of Issue 30, “The externally managed investment process has not launched as scheduled due to a delay in the receipt of the conversion data.” The Florida PALM Project Team decided to only implement the Deal Management module (Investment Accounting) for internally managed investments. According to the September 2022 CMS Remediation Report, the “Deal Management processes will continue to be monitored and maintained in Florida PALM until Treasury transitions to the new investment accounting solution.” The negotiations for Amendment 8 will provide the outcome of the requirements disposition of the Investment Accounting Solution integration with the Florida PALM functionality. The Florida PALM IV&V Team will provide the results and recommendations from the analysis in the next monthly reporting period.

Penetration Testing

In October, the Florida PALM IV&V developed a Deliverable Assessment Report (DAR) for the Penetration Testing performed by the SSI Vendor for Florida PALM from 8/22/22 to 9/26/22. The Florida PALM IV&V Team reviewed the approach, testing principles, and results of the Penetration Testing execution. The Florida PALM Project Director and Florida PALM Contract Manager met with IV&V on 10/31/22 to review the draft DAR for the Penetration Testing Execution and will submit the final version of the report in the next monthly reporting period.

SSI Vendor Documentation and Agency Assistance Services

The Florida PALM IV&V Team is verifying the Documentation and Agency Assistance Services deliverable, which is being provided monthly by the SSI Vendor as documented in Amendment 7 and in FY22/23 General Appropriations Act, line item 2394.

Documentation and Agency Assistance Services Acceptance Criteria

IV&V is reviewing this deliverable for compliance with the Deliverable Acceptance Criteria (DAC) in Amendment 7, its associated D620 Deliverable Expectations Document (DED), industry standards, and best practices. IV&V will consolidate research and feedback into a DAR.

The Amendment 7 DAC that the SSI Vendor must meet for this deliverable is as follows:

- Monthly report that summarizes the activities completed;
- List of FLAIR requirements reviewed and how the requirements are met (or not met) in Florida PALM requirements;
- List of meetings and Agencies attended;
- List of supporting materials reviewed; and
- List and status of follow-up activities.

Documentation and Agency Assistance Services Elements in Review

The documents included in the Florida PALM IV&V Team's review of this deliverable are provided in Project Documents Reviewed on page 15.

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 the Florida PALM IV&V Analysts will use 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.

Appendix B –Best Practices and Standards Considered for Year-End Close Insights

This appendix provides industry standards and best practices used by the Florida PALM IV&V Team in Fiscal 2022 Year-End Close and Fiscal Year 2023 Insights on page 17.

Lessons Learned

The Florida PALM Project Team is applying FY22 Lessons Learned to Florida PALM YEC Tracker, which will be used for FY23 YEC. This meets the requirements of the Florida PALM Project Management Plan (PMP) and Project Management best practices for Lessons Learned application and Execution.

This is an example of the Florida PALM Project Team's compliance with the Florida PALM PMP's requirement that Florida PALM Project Team members incorporate Lessons Learned, so the knowledge gained through the experience of those who have gone before them improves the effectiveness and efficiency of a process (Florida PALM PMP, Managing Lessons Learned pages 127-129).

Applying Project Lessons Learned to current and future processes is also a best practice, as documented in the Project Management Body of Knowledge (PMBOK) as an effective opportunity to identify and share the knowledge gained during a project phase to improve project performance, address situations that could have been handled better, and preserve effective practices that produced favorable outcomes (PMBOK).