ISG™

Florida PALM Project

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

Presented by:

Information Services Group Public Sector

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1.1 Executive Summary

January 2020 IV&V Summary

Overall, the Project continues to be assessed in a green status when measured against standardized project management criteria contained in Section 2.3 of this report.

IV&V continues to assess the Project to be in a yellow status in one area: Project Time Management. A rating of yellow indicates a challenge that could, if left unmanaged, negatively impact the Project's outcome in terms of schedule, cost, or quality. The Project Team should prioritize actions to mitigate or resolve the causes.

The yellow rating due to multiple factors including inherent risk in the overall phased/Wave approach as well as specific schedule risks and issues logged by the Project, all of which are described further in Sections 2.1 Project Risks and 2.2 Project Issues of this report.

> *The yellow status is calculated and specifically reflected by the scores that appear in Section 2.3 IV&V Detailed Assessment Scorecard, Project Areas: General Project Management page 19; Time Management page 21; and Scope Management page 22.*

As the implementation of the CMS Wave approaches in July 2021, the Project has initiated parallel activities for Central Wave, Payroll Wave, Departmental Wave, and production-support and user-support operations. IV&V monitors and assesses working dynamics, throughput and quality of deliverables and work products according to schedule, and team morale as complexity and workloads increase dramatically.

IV&V will continue to closely examine the contributing factors affecting detailing scoring and project area ratings to determine where the Project has adopted or should adopt compensating measures to reduce risk and avoid issues. This includes actions within the Project organization, the Department of Financial Services, the Executive Steering Committee, and agencies statewide. Key indicators include, project deadlines, quality standards, staff morale and turnovers, agency participation and feedback.

In summary, the Project continues to proactively manage production of a large number of deliverables generally on schedule. The Project also provides agencies, partner system organizations, and third parties with information needed to assess impacts, understand timelines, and act. No design conflicts or insurmountable technical challenges have emerged that would prevent or cause reconsideration of the practicality of implementing Peoplesoft as designed for the Florida PALM solution.

At the end of January, the Project had two active issues logged:

- Issue 25 was logged in November to address the implementation of interfaces with DFS Treasury's new investment portfolio data provider as part of the CMS Wave.

- Issue 26 was logged in December to address the implementation of interfaces to support the accounting of DFS Treasury banking activity as it pertains to the use of subaccounts and concentration accounts.

IV&V observed progress toward resolution of each issue was tracking according to its planned resolution prior to User Acceptance Testing (UAT). As of the end of January, the resolution plan for each issue included a tightening schedule leaving less contingency time available to avoid potential delay to resolution prior to UAT beginning.

> *Issues 25 and 26 affect IV&V assessment scoring in Section 2.3 IV&V Detailed Assessment Scorecard, Project Area: Capability Management beginning on page 33.*

Notwithstanding these challenges, IV&V has continued to observe regular contact and productive meetings wherein design details were identified, clarified, and confirmed. Project configuration and development activities have proceeded largely on schedule and testing results have been as expected for development items and highly successful for data conversion elements.
IV&V has and continues to assess the organization, execution, and evaluation of technical execution and testing results.

Work to resolve test case failures is organized base on a triage process that assigned priority based on severity. Severity is determined based on the finding's impact to business processing and downstream dependencies. As IV&V has assessed the process used to triage and prioritize test case failures, where priority assignments have been challenged, the Testing Team has been responsive and has provided the information needed to support assignments or has adjusted if needed.

The interactions with agencies, third parties, and other stakeholders have not generated objections to designs of functionality, data conversion, or the schedule for implementation. In addition to verification of project activities and work products, IV&V continues to observe agencies and partner organizations reporting progress toward their own Florida PALM related design and development objectives. IV&V continues to assess the agency-produced status reports and Project OCM interactions to identify areas of potential risk to execution at agencies.

Turnover of Key Position
The Project has had a longstanding risk logged to recognize the challenges that arise when there is turnover in key positions. During January, the Accenture SDS Manager resigned.

IV&V observes that the Accenture SDS Manager is responsible for leading the technical teams for development, testing, and infrastructure in addition to serving as the lead technical consultant to State management within the Project, Department, and at times with other entities.

The SDS Manager position has been vacated multiple times for both Accenture and the State positions. As of the end of January, Accenture has brought onboard an SDS Manager with experience working with Florida state government and has transitioned other duties to other managers within the SDS Team. With less than six months to go before the first implementation, it is critical that Accenture stabilize this key position to prevent a loss of momentum and reduce quality risks.

IV&V assessment scoring is directly affected by this turnover in Section 2.3 IV&V Detailed Assessment Scorecard, Project Areas: Vendor Management page 30 and Human Resources page 31.

Notable Deliverables in January

Deliverables for which work was completed in January include D110 Deployment Strategy, D101 Completion of System Test, D112 Training Deployment and Measurement Plan, and D123 Help Desk Training Plan.

D110 Deployment Strategy defines how the Florida PALM solution will be made operational for users. It includes objectives, critical success factors, deployment activities, timelines, and deployment close-out. D110 meets all acceptance criteria and the concepts on deployment activities were shared with the Executive Steering Committee in January.

D101 Completion of System Test represents validation that the Florida PALM solution works as planned, fulfills business requirements, and can support business needs. System Test includes testing of business processes, business requirements, configurations, and custom components such as reports, interfaces, extensions, workflows, forms as well as application security. Application security testing includes confirming roles have access to the correct online pages, have the proper level of authority on those pages, do not have access to restricted pages, and confirms separation of duties. D101 does not include the testing of interfaces associate with Issues 25 and 26. Testing results were observed to be typical, with findings addressed in accordance with prescribed triage criteria and priorities. Testing was comprehensive. No major technical issues emerged, and system testing was able to be completed on schedule. The documentation of D101 was under review for acceptance by the State at the end of January.

D112 Training Deployment and Measurement Plan is consistent with the Project's Training Strategy and incorporates results of the Training Needs Assessment. The plan documents the CMS Wave approach for deploying, measuring, and evaluating end-user training. D112 includes a train-the-trainer program designed to prepare Project trainers to deliver training to agency end users. The measurements in the D112 plan focus on tracking of instructor-led training and web-based training course completions for agency end users relying on data in the State's Learning Management System. D112 meets all acceptance criteria.

D123 Help Desk Training Plan follows the Project's Help Desk Strategy and documents the needs and plan for delivery of training to resources assigned to the Florida PALM Tier 1 Help Desk for the CMS Wave. The plan addresses the use of existing project resources to staff Helpdesk functions, end-user training on the business processes and functionality, as well as the tasks and transactions of Florida PALM; use of the Help Desk technology and supporting customer interactions by the Department; responding to support requests received from agency end users by recording tickets and managing resolution time; and Key Performance Indicators (KPIs) – awareness of metrics used to measure and monitor help desk effectiveness. D123 meets all acceptance criteria however, the Department should monitor operations and user experiences post-implementation to determine if there are further needs to train Tier 1 Help Desk staff to optimize first-call resolution performance.

Comparative Perspective

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

IV&V observes, the Department's 2007 attempt to replace FLAIR with Project ASPIRE consistently appears to be a major element of such retrospective presentations and is used to compare the Florida PALM project.

Reported Persistent Challenges	IV&V Observations of Florida PALM
A lack of leadership and clear sponsorship confuses stakeholders and makes projects susceptible to resistance and other risks.	*The Executive Sponsor is fully engaged and acts as an advocate and champion of the Project within the Department and at agencies.* *The Project Director and Assistant Director are actively in charge of planning, coordinating, problem solving, and supervising the execution of activities. They operate fluidly among the strategic, tactical, and intensively detailed levels of project work.* *The Project Team Managers demonstrate high degrees of commitment, teamwork, partnership, and accountability for quality and timeliness.* *Agency Sponsors present a variety of levels of engagement ranging from completely aware, proactive, and keenly interested in details, to somewhat less engaged in details but supportive of delegates, to less engaged and more reliant on Project-initiated interactions to maintain awareness.*

Reported Persistent Challenges	IV&V Observations of Florida PALM
Difficulty in articulating clear and complete requirements to the implementation services provider.	• *In some isolated CMS Wave cases, the State has faced challenges in explaining legacy data/processes and functionality. This appears due to the archaic nature of some items and limited availability of first-hand expertise in their design and development. Issue 26 is an example of this.* • *Overall, the Project has developed and refined the CMS Wave and Central Wave business process models and requirements to an extraordinary degree. They have been analyzed for cross-functional compatibility and shared extensively with agency subject matter experts.* • *The protocols used to document, maintain, and eventually test requirements is sound and adhered to by the multi-disciplinary teams.* • *The implementation services provider, Accenture, has demonstrated a commitment to clarifying, confirming, and fulfilling requirements. This commitment has been demonstrated by the development of extensions/software customizations necessary to meet requirements provided without additional cost.*
The inflexibility of government processes combined with limitations of the software and/or the imagination of the implementation service provider creates problems.	• *Prior to entering the contract with Accenture, the Department developed detailed business process models and requirements, working with agencies statewide, to standardize and confirm agreement on their practicality and acceptability. These detailed business process models were included in the procurement process and enabled prospective bidders to understand State expectations.* • *Standardization of business processes called for designs that were not only uniform but also consistent with readily available software solutions.* • *The Project has assessed requests for deviations from standardized business processes by seeking the statutory/regulatory mandates and/or assisting agencies with the adoption of the processes.* • *This has resulted in the need for relatively very few, uncomplicated, and insubstantial customizations. This also has helped the Project avoid the typical conflicts that occur when attempting to replicate legacy processes with new technologies.*

Reported Persistent Challenges	IV&V Observations of Florida PALM
Differences in priorities, philosophies, and preferred solution designs lead to antagonistic and unproductive working relationships, which cause risk to quality, timeliness, and governance.	• *Intransigence, conflict, and escalations have been prevented because the Department and the Project have articulated requirements and expectations clearly and consistently from the outset and because work processes and management activities have emphasized a collaboration between the Project, the Department, and agencies.* • *Compliance with protocols, policies, and agreements is actively monitored and managed.* • *Despite significant reorganization of the implementation approach to accommodate stakeholder feedback, the Project has revised it phases/Waves without extending the originally planned duration.* • *The Florida PALM solution design complies with statutory mandates and does not require legislative action to make it viable.* • *Stakeholders are respected and able to engage without resistance by the Project.* • *External influences have not caused confusion or jeopardy to designs or working relationships within the Project.*

CMS Wave Testing Update

Florida PALM and DFS OIT Teams began weekly CMS Wave Batch Process Review meetings during January. Initial meetings reviewed the schedule and opened conversation for more detailed planning and coordination.

> *IV&V observed productive and timely analysis on interdependencies of the Florida PALM and iFLAIR batch cycles. Both teams expressed the importance of synchronizing end-to-end 'production like', 'day in the life' batch processing inclusive of OIT and 3rd party interfaces in the test environments, as well as the importance of timely preparation of conversion data. Ensuring confirmation of the batch scheduling with all team leads, definition and availability of infrastructure and staff resources, and a confirmation of batch cycle testing aspects included in UAT, in addition to the Interface Testing cycles, were all agreed upon as follow-up topics for future meetings.*

System Test Cycle 6 testing was completed during December.

> *IV&V observes, for all System Test Cycles, as of the end of January, zero (0) Highest/Critical, zero (0) High, eight (8) Medium priority SIRs remain open for between 19 and 128 days. System Test Exit Criteria requires that all Highest/Critical and High priority SIRs be resolved or have a mutually acceptable remediation plan.*

Interface and Integration Test Cycle 2 continued during the month of January. Cumulative overall testing status through January month end reported all planned tests (81% - 50 of 62 test scenarios) have been executed. Of these executed tests 60% of the scenarios failed execution and 40% passed. Failed test scenarios are pending SIR resolution and retest. The duration of Cycle 2 testing was extended to accommodate activities to resolve Issue 26. As of the end of January, one (1) Highest/Critical, twelve (12) High, and four (4) Medium priority SIRs remain open pending resolution.

IV&V observed most test case failures are related to interpretation of file layouts by interface partners, newly identified system and file layout specifications, and/or the need for properly staged production like data to be created. While the Cycle 2 percentage of test case failures appears high, IV&V observation experience affirms this is typical of initial interface testing cycle with production like data. Based on experience, it is reasonable to expect future test iterations to attain considerably higher pass ratios. IV&V continues to monitor the affects on test schedules caused by Issue 26.

IV&V observed daily Integration and Interface Test Team meetings focused on test case planning, SIR identification, resolution status and retesting failed test cases. Team leads, testers, developers, and Agency Readiness Coordinators were represented and offered input on test cases, SIR progress and specific needs for resolution. The composite team identified issues or concerns hampering progress requiring management escalation and/or interface partner/agency outreach.

IV&V observed one (1) Highest/Critical SIR PALM-4238 "Unable to process WF sub-accounts from CMI003 file" open for 57 days as of the end of January. Two (2) High priority SIRs have been open between 40 days (CMI015 Mandatory field logic) and 57 days (CMI003 BOA Interface). All other High and Medium priority Interface and Integration SIRs have been open for 15 days or less as of the end of January. IV&V continues to monitor and assess the resolution of SIRs and the acceptable threshold of quality needed to implement.

Mock 3 Conversion began during the month of January. The Project reported testing execution has tracked to plan. Eight (8) total SIRs have been logged to date for Mock 3. Six (6) SIRs remain open – four (4) high, one (1) medium and one (1) low priority. One (1) low priority SIR, PALM-3441 from Mock 1 has been open for 107 days as of the end of January. Configuration for this test has been updated in the Mock 3 environment and is ready for retest. All other conversion SIRs have been open for 4 days or less.
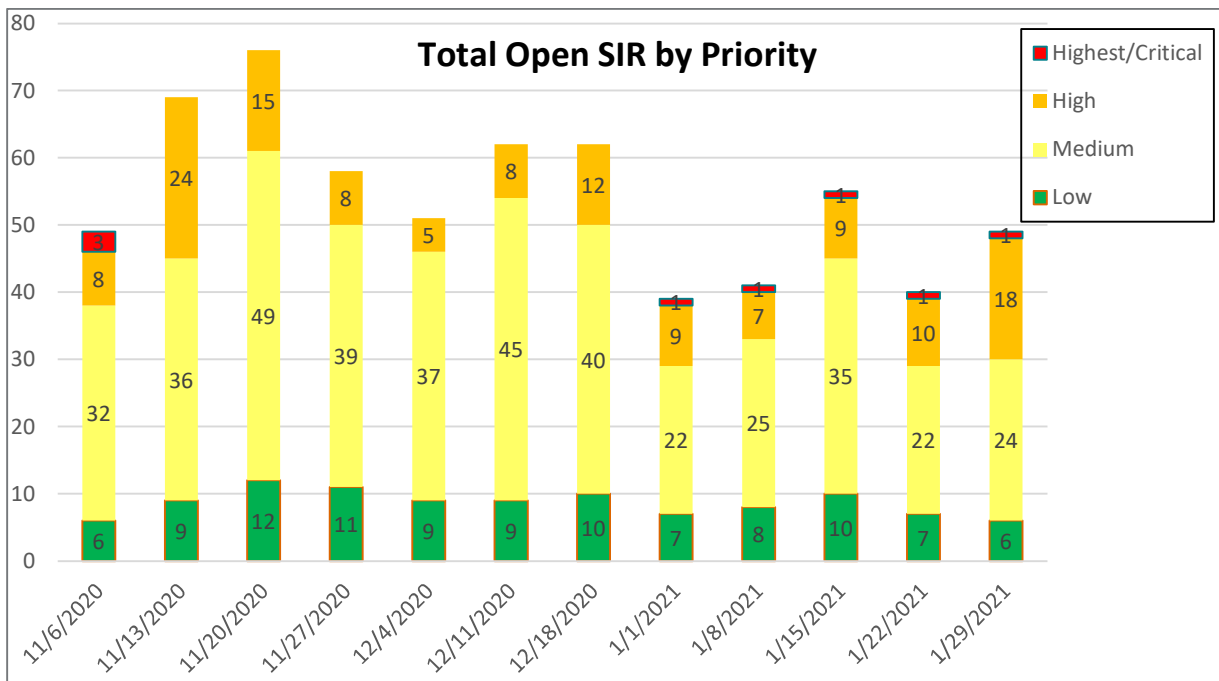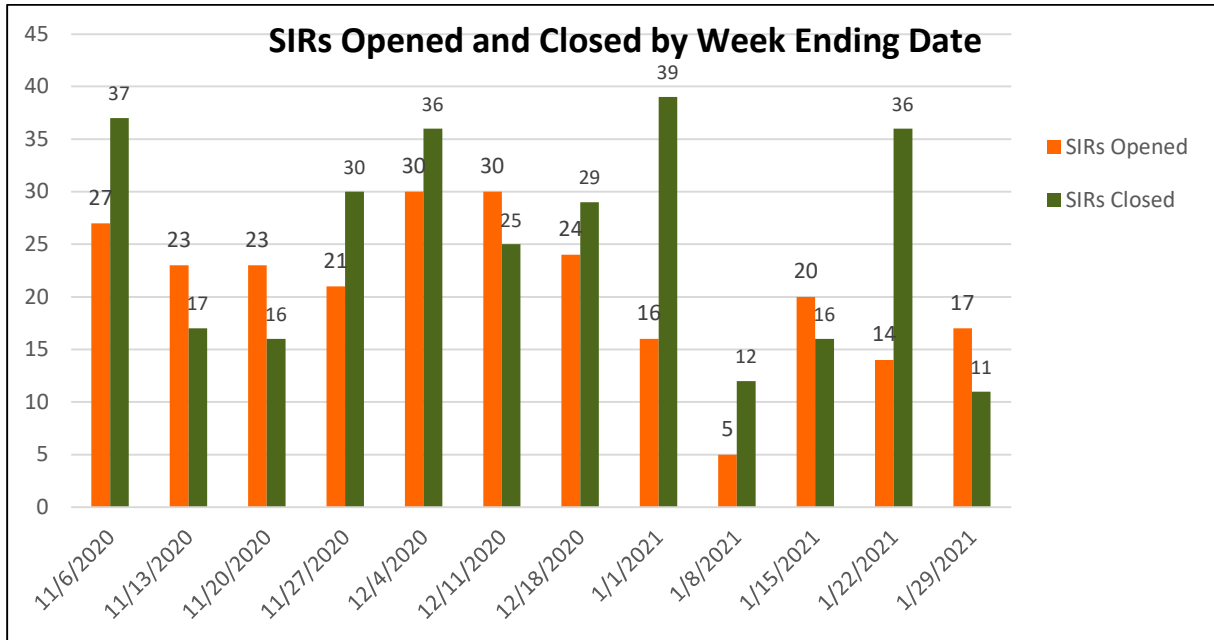
As of the end of January, three (3) Low priority SIRs relating to Identity Access Management (IAM) were open for 57 days.

Overall, Florida PALM testing cycles continue to progress according to the project plan, addressing scheduling and resource coordination challenges as they arise.
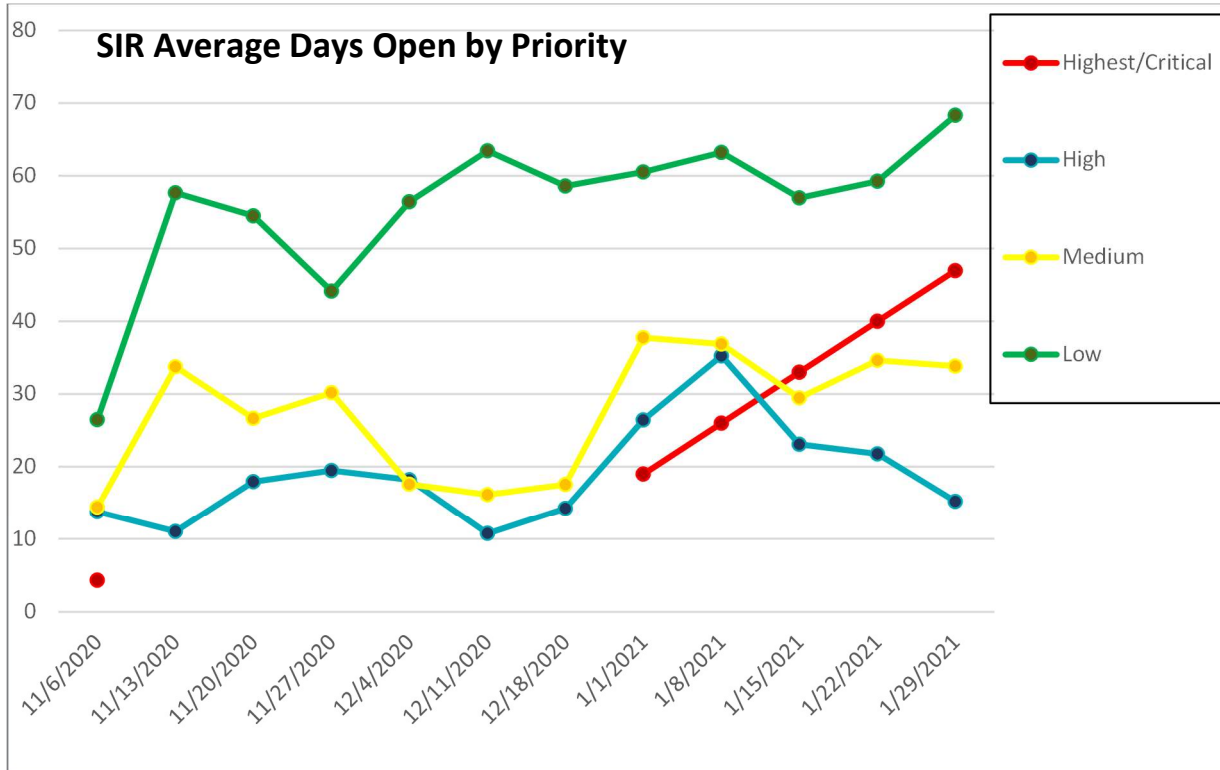
IV&V continues to observe a thorough, effective, and efficient test planning, execution and triage process occurring during team meetings. IV&V has observed a team-wide increase in attention to the proper classification of priority for High and Medium SIRs. IV&V recommends explicitly stating within the SIR description what the production viable workaround is for Medium and lesser SIRs and further recommends that business impact be explicitly described for all SIRs to the extent that it supports the given priority. Documenting the absence of a production viable workaround and existence of a justifiable business impact assessment will better facilitate classification and provide incontrovertible support for High and Highest/Critical SIR classifications.

As of the end of January, out of a total of 49 open (excluding 'On Hold', 'Deferred' and 'Duplicate' statuses) SIRs for all testing cycles, 1 SIR is prioritized as Highest/Critical, 18 are categorized as High Priority, 24 are categorized as Medium and 6 are categorized as Low priority. The average days open for Highest/Critical SIRs is 22 days, High SIRs is 18 days and Medium is 26 days.

The following three charts show trends for three months prior to the end of January for Open and Closed by Week Ending Date, Total Open SIRs and SIR Average Days Open. The Open and Closed by Week Ending Date represents only those SIRs opened and closed each week and does not represent total SIRs or current status. IV&V produces these metrics using data available in the SIR tracking tool and status reports. IV&V has shared these models and recommends the Project adopt these and other metrics that help to identify and manage throughput.

SIRs Opened and Closed by Week Ending Date

Legend: SIRs Opened (orange), SIRs Closed (green)

Week Ending	SIRs Opened	SIRs Closed
11/6/2020	27	37
11/13/2020	23	17
11/20/2020	23	16
11/27/2020	21	30
12/4/2020	30	36
12/11/2020	30	25
12/18/2020	24	29
1/1/2021	16	39
1/8/2021	5	12
1/15/2021	20	16
1/22/2021	14	36
1/29/2021	17	11

Total Open SIR by Priority

Legend: Highest/Critical (red), High (orange), Medium (yellow), Low (green)

Week Ending	Low	Medium	High	Highest/Critical
11/6/2020	6	32	8	3
11/13/2020	9	36	24	
11/20/2020	12	49	15	
11/27/2020	11	39	8	
12/4/2020	9	37	5	
12/11/2020	9	45	8	
12/18/2020	10	40	12	
1/1/2021	7	22	9	1
1/8/2021	8	25	7	1
1/15/2021	10	35	9	1
1/22/2021	7	22	10	1
1/29/2021	6	24	18	1

Excluding SIR status of 'On Hold' or 'Deferred'

SIR Average Days Open by Priority

Excluding SIR status of 'On Hold' or 'Deferred'

Engagement Activities

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

Agencies and the project team worked remotely and effectively through touchpoints that focused on new and ongoing MRW tasks. Agencies continued to engage with the project on activities associated with both CMS Wave and Central Wave. Agencies participated in the final Workforce Transition initiative prior to end-user training, the Leading Change Workshop. In addition to the agency CCN, this workshop included managers and direct supervisors for CMS users, as well as agency super users with the purpose of preparing supervisors to discuss upcoming change with CMS users. IV&V observed that this workshop was well attended with limited questions from participants during the workshop and survey following session.

IV&V observed positive feedback during and following the workshop. However, even with successful completion of these MRW tasks, agencies continue to remain concerned with the level of exposure to the solution in preparing super users and end users. These concerns are most often expressed as a desire for agencies to have online access to the Florida PALM solution well in advance of planned training activities. Such an instance of the system is commonly referred to as a "sandbox" in which agency users can independently explore navigation and potentially practice some functionality. Presently there are no plans to establish a sandbox environment prior to the implementation of each Wave.

The project continued to build training for CMS Wave functions during January. Agencies were asked to review and update their Role Mapping Workbooks. These workbooks will inform both the project and agencies on the solution training their staff will need.

In addition to the solution training, agencies were asked to develop internal Training Plans to reflect any additional, non-solution training needed to perform their jobs post-transition. IV&V observed that although this MRW task was not yet due, some agencies had not started the task. It is important for agencies to understand the full training needs of their staff early, to develop any internal supplemental material and deliver prior to transition.

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

In January, the project communicated key areas of change to the community through released communications and agency touchpoints. IV&V observed project leadership reaching out to agency sponsors through a survey to understand agency status and further identify any barriers the agencies might experience, such as lack of information from PALM. IV&V observed the Project assessing feedback and preparing to take action based on review with the Executive Sponsor.

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

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

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

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

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

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

1.2 IV&V Overall Risk Summary

Overall Status			
Current Period	**Prior Period**	**Overall Trend**	**Observations** *Based on standardized IV&V scoring*
🟩	🟩	⬄	• The DDI Phase has been rescheduled to adjust phases. Activities are underway for CMS Wave, Central Wave, Payroll Wave, and Departmental Wave. • CMS Wave Issues 25 and 26 we logged previously. Each has a resolution plan and activities to resolve are underway and, as of January, were on schedule. • Observed planning activities are consistent with the Project Management Plan and standard practices. • As part of a multi-faceted organizational change management program, the Project regularly conducts proactive communications to stakeholders, including partner system organizations such as FFMIS/STMS and state agencies. • Significant rescheduling has been completed and this should enable agencies to learn, prepare and pursue funding for internal work and to secure commitment from enterprise partner system organizations and agencies to fulfill critical dependencies. • Risks and Issues are being managed proactively and with an appropriate sense of urgency. The Project is actively managing risk to execution of project activities and the implementation schedule. • The risk of turnover in key positions remains high. The multi-year, multi-phase implementation approach increases the probability of occurrence. • The project's managerial and reporting structure supports staff development, process definition, quality assurance, and other functions necessary for project success. • Cost management and resource allocation are monitored closely by Track Managers and PMO. • Quality control, financial control, and vendor processes are established and consistently executed. • Collaboration between the State Project Team and Accenture Team continues to produce acceptable results. • The Project trend is stable as work toward executing the statement of work and producing deliverables is proceeding according to plan.

1.3 IV&V Monthly Assessment Dashboard

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

			CURRENT	PRIOR
IV&V Dashboard				
	PROJECT AREA	**PROJECT AREA DESCRIPTION**	Rating	
12	**Project Change Control**	The Project is appropriately managing the change request process and potential impacts on project scope, project objectives and goals, and implications to the overall project plan.	🟩	🟩
13	**System Capability Management**	The Project is effectively communicating technical process and security requirements (and changes to requirements), managing configuration/development activities, controlling software and environments to support project life cycle.	🟩	🟩
14	**Project System and Acceptance Testing**	The Project has fully staffed the Testing Team and continues to identify use cases to support the development of test scripts to evaluate and accept the system and supporting deliverables. System Testing for CMS Wave has completed without significant technical issues causing risks to system designs. Interface testing is underway. Issue 25 and Issue 26 address situations contributing to schedule risk by isolating components of CMS Wave functionality and managing them on their own timeline.	🟩	🟩
15	**Project Training Management**	The Project continues to build training material for the CMS wave and began sharing sample modules with the agency Training Liaisons. The Central Wave Training Needs Assessment responses are in review and the creation of the curriculum is in process.	🟩	🟩

2 IV&V Detail Reporting

2.1 Project Risks

The assessment score for Project Time Management remains in a yellow status due to challenges including the following factors:

- CMS Wave functionality related to DFS Treasury's transition of investment portfolio data services may require near-term CMS Wave schedule changes (Issue 25).
- Design changes are required for CMS Wave functionality related to interfaces supporting DFS Treasury's accounting for banking activity pertaining to the use of subaccounts and concentration accounts (Issue 26).
- Potential misalignment of development and test schedules with the enterprise system partner MFMP. The Project and DMS/MFMP have collaborated on defining and qualifying the risk and show commitment to continued cooperation to develop a mitigation plan. All parties agree that this risk trend is decreasing.
- The multi-wave/multi-phase approach to implementation has inherent risks to the schedule due to the complexities of managing wave activities in parallel and the resulting potential to exceed resource capacity limits.

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

	PROJECT AREA	PROJECT AREA DESCRIPTION	RATING	
			Current	Prior
3	**Project Time Management**	The entire schedule has been revised to provide additional time for partner systems and agencies to prepare for and adapt respective systems to operate with Florida PALM.	🟡	🟡
		CMS Wave Issues 25 and 26 need to be resolved prior to UAT to prevent risk to the planned implementation date.		
		The Project has communicated schedule revisions and design details for interface layouts. The Project needs firm commitment from critical partner systems (DFS and DOR for CMS Wave) to the project schedule.		
		Alignment of the Project schedule and MFMP Next Generation schedule is important for later Waves implementation.		
		The multi-phase/Waves implementation approach has inherent schedule risk due to parallel activities, competing demands, and resource capacity factors.		

IV&V Risk Assessment of Current Multi-Wave Approach
As reported earlier, schedule risk is inherent in the overall Florida PALM wave approach that requires a large and diverse organization to align to implement a broad scope of business functionality in multiple phases/waves, some of which need to be executed in parallel.

The waves are designed to limit the amount of change introduced at one time. However, the approach makes the Project and the State dependent on the prolonged use of the FLAIR system and requires FLAIR to be modified to facilitate business processing using a hybrid of FLAIR/Florida PALM between the implementation of Central Wave and the completion of Departmental Wave.

Furthermore, to facilitate FLAIR/PALM hybrid operations, the Project will need to translate chart of accounts data from FLAIR to Florida PALM and vice versa daily and potentially on a transaction-by-transaction basis. This translation is needed to complete intricate business processing of individual transactions, to maintain synchronization between the two systems, and to provide Florida PALM data in FLAIR legacy format to agency business systems, enterprise partners, and the DFS Information Warehouse (and the numerous enterprise reporting services that depend on it) via interfaces. This represents a significant effort to implement and will require constant attention to quality management while hybrid operations are in place between the implementation of Central Wave and until Departmental Wave is completed.

This solution to an interim challenge also carries another risk that has the potential of enabling resistance to change. Already, IV&V has observed participants ask, "If Florida PALM is able to translate its data into legacy formats, doesn't that lessen the need for downstream system updates and reporting changes?" The Project intends to cease intermediary data translation from Florida PALM to FLAIR legacy values upon completion of the Departmental Wave. At that point, organizations dependent on accounting and other data processed in Florida PALM will need to be able to access and consume data in the Peoplesoft format.

Resistance to change can actively manifest in behaviors such as requesting continual data translation. Resistance can also take a passive form through lack of independent action to analyze, prepare for, and adapt agency business systems to the new data to be presented by Florida PALM. As the Project produces and explains its designs, formats, and new data elements, it is incumbent on stakeholders to analyze the impacts to their internal operations, data usage, and business systems. To expect the Project expand its scope to analyze agency business systems and internal processes for detailed changes and prescribe solutions may not be feasible and would likely be disruptive to the present Florida PALM plan and schedule.

The Risk Log lists thirty-seven (37) open risks in the following statuses as of January 29, 2021:

- Mitigating: Thirty-one (31) are being actively mitigated by project management techniques, including the activities that address the risk directly or that enhance already planned activities to avoid or otherwise prevent the risk from affecting project outcomes.

- Monitoring: Six (6) are being monitored to identify when their probability of affecting the Project increases to the point that mitigation is required.

- Under Evaluation: There are no risks currently in Under Evaluation status (risks being evaluated and awaiting plan development).

During January, there were three (3) new risks added to the log and one (1) risk was removed.

Risks added to the log include:

> *IV&V notes Risks #243, #244, and #245, each created on 1/11/2021, are being actively mitigated by Florida PALM. The mitigation action plans call for interface meetings to document organization interfacing needs, existing inventory of Florida PALM interfaces and discuss which organizations plan to use inbound and outbound interfaces.*

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

Risk #244: If Organizations with technical dependencies on the Florida PALM solution do not have time to identify changes needed and modify business systems to support _Departmental Wave_ implementation activities, then it could cause delays in the Project.

Risk #245: If Organizations with technical dependencies on the Florida PALM solution do not have time to identify changes needed and modify business systems to support _Payroll Wave_ implementation activities, then it could cause delays in the Project.

There was one (1) risk removed from the Risk Log:

Risk #191: If there is an inability to obtain Project Director approval for D158 Pilot Ready to Go Live Go/No-Go Decision in June 2021, then it could cause delays in the Project.

> *IV&V notes Risk #191 was closed on January 26, 2021 as the Project Director approval was moved from a Deliverable (D158) to become a logged Project Decision (De-187) per Amendment 3.*

2.2 Project Issues

There are two open issues listed in the issues log as of January 29, 2021. No issues were added to or deleted from the log during the month.

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

> *IV&V notes the former risk (Risk #223: Completion of interface and conversion testing at risk due to potential inability to obtain data needed prior to Mock 2 conversion testing.) was moved to Issue status during a cross track meeting on November 5, 2020 with the title updated to describe the issue more accurately.*

A mitigation plan describing the impacts to existing project activities allowing for the revised design, build, and test of Bloomberg interfaces, configuration, and report updates has been updated during January by the Project Team. While DMI001 was completed according to plan, an issue was identified requiring modification.

As of the end of January, the project team foresees this being completed by February 5, 2021. This represents a delay of five days from the original plan. The SDS Conversion team who depends on DMI001 does not report a problem with the revised deadline.

The plan to execute Mock Pass 2 in Mock 3 environment (Bloomberg) as well as confirming the converted data is scheduled for March 15, 2021 completion.

Issue #26: Bank Account Hierarchy for Wells Fargo is not Aligned with Florida PALM Configuration and Processing.

Issue #26 was created on December 17, 2020. IV&V notes an action plan is in place to complete functional designs to create two new extensions and one new report.

IV&V notes in a January 23, 2021 update that the build for:
- *CME004 BAI2 Allocation Sub Account Data is in progress with an expected completion of 1/29/21;*
- *CME005 is in progress with an expected completion of 2/10/21; and*
- *CMR025 Master to Sub Account Reconciliation Report has not started and the completion date is yet to be determined.*

In each case (Issue 25 and Issue 26), once the issue was identified, the impact and requirements were readily analyzed, and the work necessary to resolve the issue was quickly determined. This enabled the Project Team to develop a plan to resolve the issues.

Because each issue is isolated to specific interfaces and does not impact application functionality, the resolution plans are able to discretely set a course of action that does not disrupt broader activities across the project. This approach dovetails resolution into the regular project schedule prior to User Acceptance Testing, which will ensure full end-to-end testing.

2.3 IV&V Detailed Assessment Scorecards

AREA: General Project Management

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

AREA	TASK	SCORE	IV&V OBSERVATIONS
GPM - 5	Verify project status is accurately traced against milestones and completion dates via project reports and metrics.	5	Deadlines and work progress are monitored, and status is updated regularly by use of status reports, the project schedule, critical path stage gates/milestones, and detailed day-to-day inventories of select work units using hillclimber charts.
GPM - 6	Verify use of a project issue tracking mechanism that documents issues as they arise, enables communication of issues to proper stakeholders, documents mitigation strategies as appropriate, and tracks the issue to closure.	5	The RAIDL process is in place and used to identify, vet, monitor and manage risks, action items, issues, decisions, and lessons learned on a recurring and regular basis.
GPM - 7	Evaluate the effectiveness of the system's life-cycle development methodology (waterfall, agile, evolutionary spiral, rapid prototyping, incremental, etc.) and deployment process.	3	The project has undergone a comprehensive re-planning to shift from an approach that was phased incrementally by both functions and by organizations to one that is phased by functions. The new approach is more streamlined but retains multiple phases (Waves), requires an interim period dependent on FLAIR, and requires temporary solutions and translation of legacy FLAIR data to new Florida PALM data and vice versa to support business processing. The waves-based schedule includes concurrent multi-wave activities of analysis, configuration, and development. There are inherent risks associated with this deployment approach due to the complexity of managing multiple Waves in parallel.
GPM - 8	Verify that the project's managerial and reporting structure supports training, process definition, independent quality assurance, configuration management, product evaluation, and any other functions critical for the project's success.	5	The project's managerial and reporting structure supports staff development, process definition, quality assurance, configuration management, and other functions necessary for project success. Project team members demonstrate the ability and willingness to raise concerns and articulate risks and needs.
GPM - 9	Assess coordination and management to verify agencies and departments are not working independently of one another and following the communication plan.	3	The project has created a Change Champion Network to facilitate project-to-agencies and agencies-to-project communications. The CCN is also intended to foster agency-to-agency peer-to-peer communications. Despite the Project's efforts to communicate plan expectations and important details needed for agencies to take action to ready themselves, some agencies indicate less than full awareness of what information is available and express expectations of Project resource involvement in internal analysis of changes that the Project may not be able to fulfill. The Project Sponsor has initiated recurring communication with Agency Sponsors to improve awareness and increase engagement.

AREA: Project Time Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
TME - 1	Evaluate the estimating and scheduling process of the project to assess if the project budget and resources are adequate for the work-breakdown structure and schedule.	3	As of the end of January, activities are underway for the CMS, Central, Payroll, and Departmental Waves. Additionally, the Project is working to organize and establish production support resources for post-implementation operations and agency users. The complexity and level of effort to execute, coordinate, and fulfill these objectives cannot be overstated. State leadership has redeployed resources. Accenture has added resources. As of this reporting period resources appear to be working at or above capacity. The envisioned Florida PALM solution is dependent on timely completion of system modifications and/or new interface development by FLAIR, LAS/PBS, MFMP, STMS, and People First. IV&V was able to independently confirm commitment of FLAIR, LAS/PBS, STMS and People First to complete these activities according to the current project schedule. The Project and MFMP continue to engage to align activities and schedules.
TME - 2	Review that project milestones are realistic and meaningful and aid in managing project performance.	3	Deliverable Expectation Documents are inclusive of timelines to inform the project schedule. Deliverable deadlines and milestones have been sufficient in most cases. Late tasks generally have not caused jeopardy to timely delivery and/or milestones. However, as of January, some late tasks are indicated as affecting the project schedule critical path. Milestones are used to set and manage the critical path in a manual manner. Functional designs for Central Wave were underway and slightly behind schedule.
TME - 3	Review schedules to verify that adequate time and resources are assigned for planning, development, review, testing and rework.	3	As of January, the Project continues to meet most of its deadlines. The project schedule continues to be at risk due to immediate Issues 25/26 and other factors described in Section 2.2. FFMIS partners and STMS have not expressed objections to the replanned schedule. Schedule details communicated provide information needed for FFMIS/STMS partners to affirm or decline a commitment to the project schedule. Neither State nor Accenture management has indicated an inability to complete work as planned.

AREA	TASK	SCORE	IV&V OBSERVATIONS
TME - 4	Evaluate that the project team is taking full advantage of time savings and resource flexibilities available in the project schedule, managing lead times and float.	5	The consistent attention paid to the project schedule results in increased awareness of planned activity starts and deadlines for completion.
TME - 5	Examine relevant supporting data to determine if the project team has accurately estimated the time required for system configuration and/or software development efforts.	4	Some deliverables have taken longer to complete than originally planned. The delayed completion of CMS Wave functional designs adversely affected the start and completion of some development activities. However, the SDS team has been able to complete tasks pursuant to the resolution plan.
TME - 6	Review Project Team meeting process for tight agendas focusing on proactive issues (e.g., problem solving, risk identification, meaningful analysis) and relevant progress reports.	5	Agendas are used and meetings are focused and productive.

AREA: Project Scope Management

AREA	TASK	SCORE	Comments
SCP - 1	Verify that the project scope is clearly documented; look for items listed as out of scope.	3	Project scope as defined in the SOW is communicated and affirmed. No potentially out-of-scope items have emerged. The phased approach to implementation creates a prolonged dependency on FLAIR. A hybrid design relying on FLAIR and PALM is to be in service between implementation of Central Wave and implementation of Departmental Wave. As of this reporting period, the changes to FLAIR required of Central Wave, the functional designs for those, and the plan to complete those have not been fully documented by DFS OIT and the Project. The implications of modifying FLAIR and relying on FLAIR-to-PALM and PALM-to-FLAIR data translations present risks to execution of design and development objectives as well as production operations requiring data translation. The impacts to FLAIR presented by CMS Wave are considered to be minimal compared to later Waves.
SCP - 2	Review the procedure/process to evaluate the impact of scope changes to the project, including trade-offs, is unambiguous, e.g. objectives, schedule, cost, resources.	5	Changes in Scope are adequately managed through Project Decisions and/or Project Change Requests.
SCP - 3	Evaluate that assumptions made to support scope change requests are fully checked and vetted.	5	Project Decisions and/or Project Change Requests affecting project scope are fully vetted by subject matter experts and reviewed in Sponsor Meetings and as needed with the Executive Steering Committee according to criteria established in the governance structure.
SCP - 4	Project sponsors and stakeholders demonstrate a clear understanding of scope control and participate in the scope control and management process.	5	The Project routinely takes a painstaking approach to sharing detailed information with stakeholders, sponsors, and governance entities. Attention to and absorption of such information by all parties has demonstrably improved over time as evidenced by increased interactions, dialogs and the completion of tasks prescribed by the Project.
SCP - 5	Evaluate the thoroughness of scope control communications including project team, sponsors, and stakeholders.	5	The Project routinely takes a painstaking approach to sharing detailed information with stakeholders, sponsors, and governance entities.

AREA: Project Cost Management

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

AREA: Project Quality Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
QAL - 1	Verify the project's Quality Assurance plans, and procedures are comprehensive and complete.	5	The Project has adopted quality assurance processes that assure vendor accountability and help to ensure quality upon delivery/submission. The Project has also established a well-organized State Testing team that has demonstrated insight, thoroughness, and a highly effective approach to engaging with Track teams and creating plans and supporting documents for test efforts. The State BPS functional team and SDS technical team are extensively involved in testing activities and demonstrate attention to details and quality criteria.
QAL - 2	Verify QA is following the QA plan and procedures by performing checks of system documentation, and monitoring products produced by the project with formal reviews and sign-offs.	4	The collaborative review process combined with individual quality review steps are effective in detecting and resolving quality issues prior to final submission for acceptance. However, as activities to support multiple waves in parallel increase, intensive, pre-submission collaborative reviews may not occur due to competing demands for resources.
QAL - 3	Evaluate if appropriate mechanisms are in place for project self-evaluation and that measures are continually taken to improve the process.	3	Written deliverables have routinely required significant efforts pre and post-submission to attain approval. Although Accenture has made efforts to improve pre-collaboration and pre-submission quality reviews to make the prescribed process more efficient, State reviews continue to generate a high volume of revisions, edits, and rework in some cases. Collaborative reviews have been invoked to lessen handoffs; however, these demand resources that are already assigned to other work.
QAL - 4	Verify that QA has an appropriate level of independence to raise concerns, make recommendations on the project's Quality Assurance plans, procedures and organization and is acknowledged by project management.	5	The testing process is transparent with information accessible to participants, management, and IV&V. Input and feedback from team members at all levels is frequent and does not appear to be stifled in anyway. Project management is updated regularly on progress and hindrances.
QAL - 5	Verify that QA is monitoring all major development process definitions and standards for completeness, clarity, up-to-date, consistent in format, and easily available to project personnel.	5	The State Testing team is organized to monitor cross-track activities and changes to deliverables and work products that affect test planning, design, and execution.
QAL - 6	Verify that the processes and standards are followed and compatible with each other and with the system development methodology.	5	There has been no indication of variances. On the contrary, the Project overall adheres to a very disciplined approach to prescribed processes.

AREA: Project Stakeholder Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
STK -1	Verify that executive sponsorship supports all changes which impact project objectives, cost, or schedule.	5	Sponsorship has steadily improved. Sponsors are fully engaged, inquisitive, and active within their respective organizations. Sponsors generally demonstrate a high level of commitment to the Project.
STK -2	Verify that there is a Project Governance Plan and an active Executive Steering Committee (ESC) whose role it is to oversee changes impacting project objectives, cost, or schedule.	5	The governance plan and ESC are in place and active on a regular basis. The individual members of the ESC express a common understanding of their role and expectations of work demands as approvers of major project deliverables.
STK -3	Verify that project is in compliance with the State of Florida's Enterprise Architecture, Information Security and other IT policies and Guidelines	5	The Department has engaged fully in the process of planning and assessing the design of infrastructure, network connectivity, and security of the cloud-based solution.
STK -4	Assess to assure stakeholder participation, support and commitment, and that open pathways of communication exist among all stakeholders.	5	Internal and external stakeholders are consistently communicated with, engaged in project activities, and encouraged to contribute feedback as project plans and designs are shared.
STK -5	Verify that stakeholder expectations match the project objectives and deliverables.	3	The Project regularly conducts proactive communications to and interaction with stakeholders and uses stakeholder feedback to improve where needed. Feedback from stakeholders indicates a high degree of satisfaction with project support. Despite that feedback, there are indications that some agency stakeholders may not be fully aware of or acting on available information to fully adapt to the technological changes forthcoming. The Project and MFMP continue to work together to confirm schedule commitments to ensure the development and testing of key interfaces can be accomplished by DMS. As of January, alignment of the Project schedule with the DMS MFMP Next Generation project schedule continues.

AREA: Project Communications Management

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

AREA: Project Risk Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
RSK - 1	Verify that the project is managing project risk through plans and procedures to identify, quantify, report, log and act upon reducing risk through contingency plans and communication.	5	The project has a long-established process to manage risks and consistently monitors and assesses potential risks. The project to date has logged a small number of issues that have been resolved without negative impacts to the plan or objectives. More details are provided in Section 2 of the IV&V Monthly Assessment.
RSK - 2	Verify that the project is managing project issues and actively acting to resolve.	5	As of January, the Project is actively managing two open issues. The project has a long-established process to manage issues and is consistently monitoring and assessing risks that present emergent issues. More details are provided in Section 2 of the IV&V Monthly Assessment.
RSK - 3	Verify that Risk Plans include indicators for executive commitment and support.	5	Risks and Issues are regularly reviewed with Executive Sponsors and the Executive Steering Committee.
RSK - 4	Verify the Risk Plan recognizes multiple aspects of integrated project risk: processes, systems, organizations, culture and knowledge.	5	No Material Findings
RSK - 5	Verify the Risk Plan includes a review of technical components for quality factors including stability, availability, scalability, usability, security and extensibility and identifies specific risks in components.	5	Contractual performance standards address quality, stability, availability, scalability, usability, security, and extensibility.

AREA: Project Procurement Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
PRC - 1	An inventory of necessary services and resources for completion of the project has been created and maintained.	5	The contract amendment needed to ratify the re-planning was approved and executed during December. This preserves the integrity of the schedule and concepts agreed to through the re-planning effort and should enable OIT and FFMIS partners to provide firm commitments.
PRC - 2	Necessary timeframes and specifications for project resources are identified and monitored.	5	No material findings
PRC - 3	Vendors and suppliers are identified to provide resources that meet the criteria.	5	There is no foreseen need to change vendors or suppliers because of the re-planning effort.
PRC - 4	Contracts have been secured following State requirements and conditions for the selected vendors.	5	Contracts are in effect and compliant.

AREA: Project Vendor Management

TASK #	TASK	SCORE	Comments
VND - 1	Verify the obligations of vendors (including sub-contractors) are clearly defined under the statement of work, requirements, standards, development milestones, acceptance criteria, delivery dates, etc.	5	Statement of Work is comprehensive. Roles and responsibilities are clear. The Project maintains a disciplined approach to the development of Deliverable Expectation Documents that include scope, timeframes, and acceptance criteria.
VND - 2	Verify that vendor's services are delivered in a manner compatible with the project's standards and work environment.	4	Adaptation of vendor service delivery practices to meet project standards is an ongoing process.
VND - 3	Verify the vendor has and maintains the required skills and resource capacity, procedures and supervisory standards to meet their commitments	3	Vendor resource issues require ongoing management to prevent risk. Turnover remains an area of focus. In January, the Accenture SDS Manager resigned. This key position has turned over more than once since the start of the project, which creates risk to managing, coordinating and executing technical work as activities increase with multiple Waves underway.
VND - 4	Verify that any proprietary tools used by vendor do not restrict the future maintainability, portability, and reusability of the system.	5	Infrastructure and application designs have been reviewed by the State Project team and Department stakeholders.

AREA: Project Human Resource Management

AREA	TASK	SCORE	IV&V Observations
HUM - 1	Evaluate the project staffing plan and verify that adequate human resources will be available for project activities.	3	After encountering delays in onboarding resources due in part to COVID-19 logistical issues, Accenture deployed additional resources to help resolve the delay in completion of CMS Wave functional design documents and subsequent development activities. The Accenture SDS Manager resigned from that key position in January. As turnover occurs, there are indications of challenges in securing adequate resources to refill positions.
HUM - 2	Verify skills and experience of project resources are adequate for the job assignments.	5	Track management and PMO demonstrate clear accountability and performance management practices are in place and exercised.
HUM - 3	Verify the Project Team allows for staffing adjustments to schedule and cost e.g. learning curves when team members need to acquire new skills.	5	Project Staff are provided training and lead time as new skills are required. Staff are added to the schedule aligning with the need for resources.
HUM - 4	Assess team morale and any potential effects on project progress.	4	The increased workload and complexities associated with the multi-wave approach have affected morale. While no serious or dramatic manifestations have been observed, stress and fatigue factors are evident at times during working sessions. As COVID-19 causes extended telecommuting situations, the Project has taken steps to connect with staff and gauge morale. Deadlines continue to be met in most areas and teams continue to maintain productivity.

AREA: Project Change Control

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

AREA: Project Capability Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
CAP - 1	Assess the configuration management (CM) plans and procedures for clarity and completeness.	5	Configuration management controls are defined in deliverables and evident in daily project activities.
CAP - 2	Evaluate the project's process and procedures for managing requirements.	5	The Project has confirmed mutual understanding of requirements and associated each requirement with functionality in the system to be used to fulfill the requirements.
CAP - 3	Verify that business/technical requirements can be traced through design and test phases to verify that the system is configured/developed and performs as intended.	5	The Requirements Traceability Matrix is designed to facilitate traceability to requirements and tests.
CAP - 4	Evaluate project policies and procedures for ensuring that the system is secure, and that the privacy of client data is maintained.	5	The strategy for data protection (D499) was accepted.
CAP - 5	Evaluate the project policies and procedures for security on user access to the system and data.	5	Standard Accenture procedures for assignment of user security can be adapted to comply with State requirements.
CAP - 6	Evaluate the project policies and procedures for security and risk analysis.	5	Accenture's use of Oracle Cloud Infrastructure has been evaluated by DFS OIT and the buildout and planned ongoing operations comply with State requirements.
CAP - 7	Verify that performance requirements (e.g., timing, response time and throughput) are completely specified.	5	System performance requirements are defined as part of the Service Levels Expectations deliverable.
CAP - 8	Verify that user's maintenance requirements for the system are completely specified.	5	The contract stipulates maintenance agreements and includes State requirements.

AREA	TASK	SCORE	IV&V OBSERVATIONS
CAP - 9	Verify that all system interfaces are identified, and specifications are defined.	3	The Project has provided standard interface layouts and is in the process of working with agencies and partner systems to test functionality for the CMS Wave. Issue 25: Provider limitations in DFS Treasury's newly contracted investments data service have introduced the need to re-evaluate some interface designs to fulfill functional requirements. Issue 26: Unanticipated work is needed to resolve interface format conflicts with standard functionality to support Treasury banking interfaces.
CAP - 10	Verify approved interface specifications are documented and available and that appropriate relationships (such as interface working groups) are in place with all agencies and organizations supporting the interfaces.	3	The Project has shared CMS Wave and Central Wave interface layouts and has confirmed specifications for CMS Wave. Based on observations and feedback from engagement activities for Central Wave, it is unclear that all agencies are independently assessing impacts to their agency business systems to identify resources needed to prepare for the changes to data and processes that will result from Florida PALM Central Wave. In some cases, there are inconsistencies in what an agency will include in status reports and what's indicated in their interface inventory.
CAP - 11	Verify that the processes and tools are in place to identify software versions within environments and to rebuild system configurations based on predecessors.	5	No Material Findings
CAP - 12	Verify that sufficient software instances and environments are available for training, test, and production and that formal control procedures are in place to avoid conflicting demands.	5	No Material Findings

AREA: Project Testing Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
TST - 1	Evaluate the plans, environment, procedures, and acceptance criteria to be used for system testing of the software.	5	The State Testing team is organized and leveraging all available information to develop plans, scenarios, and test scripts.
TST - 2	Evaluate interface testing plans and procedures for compliance with industry standards.	5	No Material Findings
TST - 3	Review and evaluate cutover and go-live plan.	5	Cutover planning for CMS Wave has begun.
TST - 4	Acceptance criteria for each deliverable of business functionality and technical component must be defined, reviewed, and approved prior to test and the results of the test must be documented. Acceptance procedures must also address the process by which any software product that does not pass acceptance testing will be corrected.	5	Deliverable Expectation Documents have all included detailed acceptance criteria.
TST - 5	Verify that a sufficient level of system test coverage is achieved by the test cases/scenarios and execution, that test results are verified, and that the test results are documented.	5	During December System Test was completed. Test cases/scenarios produced findings that are documented, triaged, and being addressed in an orderly fashion. There are no apparent risks to meeting exit criteria for System Test.
TST - 6	Verify that a sufficient level of integration test coverage is achieved by the test cases/scenarios and execution, that test results are verified, and that the test results are documented.	4	Interface Testing is underway. Except for the interfaces involved in Issues 25/26, testing is proceeding without disruption. Test cases/scenarios are producing findings that are documented, triaged, and addressed in an orderly fashion.
TST - 7	Verify that the test organization has an appropriate level of independence from the software configuration/development organization.	5	The State has organized a Testing team consisting of full-time testers. The team is organized under SDS Track management.
TST - 8	Verify that a sufficient number and type of case scenarios are used to ensure comprehensive but manageable testing and that tests are run in a realistic, real-time environment.	5	No Material Findings
TST - 9	Verify that test scripts are complete, with step-by-step procedures, required pre-existing events or triggers, and expected results.	5	No Material Findings

AREA	TASK	SCORE	IV&V OBSERVATIONS
TST - 10	Verify that test results are verified, that the correct code configuration has been used, and that the test runs are appropriately documented, including formal logging of errors found in testing.	5	No Material Findings SIR resolution management may be enhanced by documenting justification of priority with explicit business impact and a workaround statement described within the SIR.
TST - 11	Verify that appropriate acceptance testing based on the defined acceptance criteria is performed satisfactorily before acceptance of software products.		Pending
TST - 12	Verify that the acceptance test organization has an appropriate level of independence from the software configuration/development organization.		Pending

AREA: Project Training Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
TRN - 1	Verify that all necessary policy, process and standards documentation is easily available to resources responsible for configuration/development of software.	5	Cross-track accessibility to information and coordination for assistance is in place.
TRN - 2	Verify that all necessary policy, process, procedures and standards documentation is easily available to state systems administrators		Pending
TRN - 3	Assess curriculum and delivery plan for training to be provided to state system administrators. Verify sufficient knowledge transfer for maintenance and operation of the new system.	5	Training curriculum is under development. CMS Wave training units are in design and build.
TRN - 4	Verify that training for users is instructor-led and hands-on and is directly related to the business process and required job skills.	5	The plan includes all facets. End-user training for CMS Wave is in design and build.
TRN - 5	Verify that training materials including policies and processes along with help desk services are easily available to all users.		Pending
TRN - 6	Verify that all training is given on-time and is evaluated and monitored for effectiveness, with remedial training provided as needed.		Pending
TRN - 7	Verify that developer/configuration training is technically adequate, appropriate for the development phase, and available at appropriate times.	5	The Project maintains an extensive program of Knowledge Transfer to ensure project staff are trained on how to maintain and update the system.

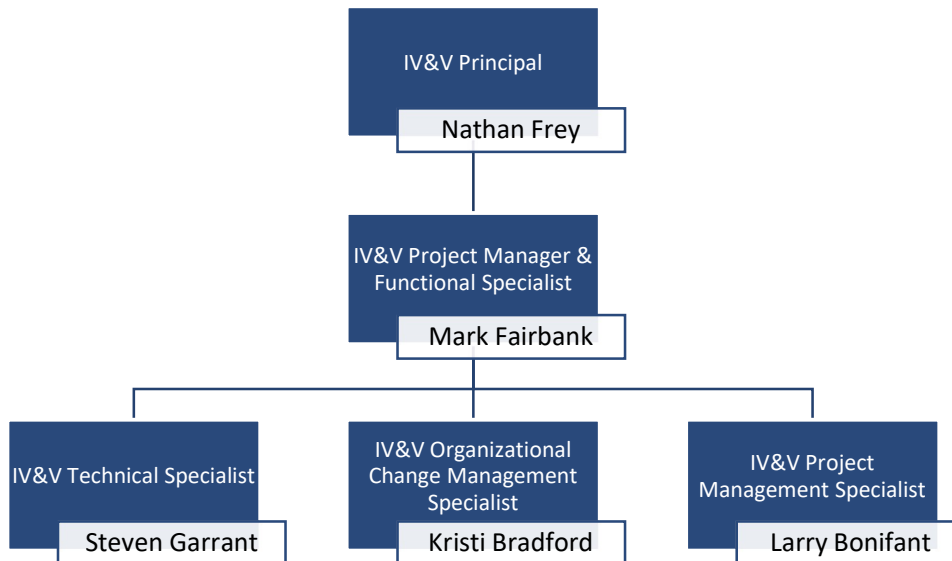| AREA	TASK	SCORE	IV&V OBSERVATIONS
TRN - 8	Verify that systems administrator training is technically adequate, appropriate for the development phase, and available at appropriate times.	5	The Project maintains an extensive program of Knowledge Transfer to ensure project staff are trained on how to operate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

2.4 IV&V Other Activities

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

Subject	Activities	Description
D094	Ongoing validation	Interface and Integration Testing Plan
D101	Review and observations on deliverable	Complete System Test
D105	Review and observations on schedule	Workflow Administration Guide
D110	Review and observations on deliverable	Deployment Strategy
D112	Ongoing review and observations	Training Deployment Management Plan
D116	Ongoing review and observations	Master Readiness Workplan
D120	Ongoing validation	Help Desk Strategy
D123	Review and observations on deliverable	Help Desk Training Plan
D125	Review and observations on deliverable	Training Materials
D127	Ongoing validation	Production Support Strategy
D172	Ongoing review and observations on schedule	Project Schedule
D465	Ongoing review and observations on deliverable	CMS Wave Master Readiness Workplan
I-D21	Review and observations on internal deliverable	Help Desk Mobilization Plan
I-D190	Ongoing review and observations on internal deliverable	Training Needs Assessment
WP65	Ongoing validation	Role Learning Plans
WP326	Ongoing review and observations on work product	Production Support Roles & Responsibilities
WP362	Ongoing review and observations on work product	Help Desk Mobilization Plan
IV&V	Ongoing validation	Project/Department engagement activities
IV&V	Ongoing validation	Project phasing approach and resourcing

3   IV&V Contact Information

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

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

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                    │  │  Nathan Frey  │   │
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                 │  IV&V Project Manager &     │
                 │   Functional Specialist     │
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   ││Steven Garrant││ │ │Kristi Bradford│  │ │ │Larry Bonifant│  │
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IV&V observations are made by participating in project meetings and deliverable review processes, examining project work products, and conducting IV&V specific interviews with the Project Team and stakeholders.

For questions regarding this report, please contact:

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