ISG™

Florida PALM Project

IV&V Assessment Report – September 2020
Deliverable IVV2.2

Presented by:

Information Services Group Public Sector

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1.1 Executive Summary

ISG began independent verification and validation (IV&V) services for the Design, Development and Implementation phase (DDI) of the Florida PALM Project (Project) with the July 2018 reporting period. IV&V observations are made by participating in project meetings and deliverable review processes, examining project work products, and conducting IV&V specific interviews with the Project Team and stakeholders.

September 2020 IV&V Summary

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

Schedule risk is also inherent in the overall approach, which combines the complexities of a large and diverse organization aligning to implement a broad scope of business functionality in multiple phases/waves that need to be executed in parallel.

While the rationale for the State's approach is clear and logical, it is influenced significantly by a desire to avoid the missteps and situations that jeopardized the State's earlier attempt to implement an ERP system with Project ASPIRE. As part of ongoing assessment, IV&V occasionally revisits the diagnoses used to assess and make decisions on Project ASPIRE and compare them with what is observable in the Florida PALM Project. The Florida ASPIRE Gartner Final Report 2007 contains the diagnostic analysis and findings used by IV&V to assess current operations. An updated assessment is included in this report.

Critical Project Areas	Project ASPIRE Findings (Gartner 2007)	Florida PALM IV&V Observations
Executive Governance Process	Missing	*Established 2017 and operating regularly*
Statewide ERP Vision & Strategy	Unclear and incomplete at best	*Developed 2014 and refined on an ongoing basis, shared broadly, vetted and affirmed*
Requirements & Long-Term Viability of Solution	Customization and uncontrolled scope promised limited lifespan of solution	*Strong scope control, designs based on industry best practices, very limited customizations, and hosted solution promise long-term viability*

Critical Project Areas	Project ASPIRE Findings (Gartner 2007)	Florida PALM IV&V Observations
Funding Model Promotes/Inhibits Progress	Budget releases tightly controlled to minimize risk after concerns escalated	*Budget releases based on calendar periods rather than contracted project milestones complicates mid-term and long-range commitment of resources*
Authoritative Project Plan & Master Schedule	Incomplete, uncontrolled, and ineffective	*Painstakingly detailed, regularly shared and updated by all teams, closely managed, independently validated*
Project Team Adheres to Best Practices & Meets Deadlines	No evidence of best practices, operating principles, or sense of urgency to meet deadlines	*Extensive work to incorporate best practices, to establish, share and adhere to operating principles, and a record of meeting deadlines*

Furthermore, the Gartner assessment of Project ASPIRE recognized the following as key success components of ERP projects of similar size, scope, and complexity.

Key Success Components (Gartner 2007)	Florida PALM IV&V Observations
Clear vision for the future-state financial environment	*Goals are defined. Business processes are designed and continue to undergo refinement as system specifications are confirmed and the application is configured. The State has decided on a hosted solution and long-term services model. DFS is actively organizing a production support model.*
Business transformation focus	*The Project has maintained a consistent control on scope creep to avoid replication of legacy practices and to enable realization of business value through transformation consistent with the best practices inherent in the PeopleSoft solution.*
Disciplined governance process and business focus	*Project Sponsors meet regularly, are informed, and work as a team to provide executive oversight, support, and decision making. Executive Steering Committee (ESC) members tend to be engaged and willing to give direction to the Project when convened.*

Key Success Components (Gartner 2007)	Florida PALM IV&V Observations
Standardization of business processes	*The business process designs and business requirements issued by the State conform to standard ERP practices with very few exceptions.*
Expectation management	*The Project attempts to communicate with, take input and feedback from, and confirm expectations with all stakeholders. The Project Management Plan specifies standards and practices to maintain transparency. The Project Team uses the procedures and tools as mandated. As noted below, the Project's commitment to organizational change management makes significant contributions to the shared understanding and establishment of stakeholder expectations for the Project.*
Proven implementation approach	*The Project's phased approach, including multiple phases/waves and some limited interim processes, carries complications. This requires investments in Project Management resources and continual vigilance to coordinate multiple workstreams and balance resource commitments. The approach is designed to facilitate a more gradual statewide organizational change process also elongates the duration of the Project and the State's continued reliance on FLAIR.*
Strong user focus	*The Project makes significant investments in OCM resources to conduct a multi-faceted and multi-channel approach to developing agency-based knowledge, in addition to an extensive user orientation and training program to prepare individuals for their roles in the new system.*
Committed sponsorship	*Executive sponsorship has increased greatly following a period of transition. DFS Sponsors are highly engaged and collaborative in their interactions with each other, Project staff, and agencies. The Project continues to manage sponsor engagement on a regular basis and has enhanced the ability for sponsors to provide input, create agendas, and communicate priorities and concerns.*

Key Success Components (Gartner 2007)	Florida PALM IV&V Observations
Limit modifications to the software (customizations)	*Project scope has been closely managed, customizations are few and do not include large-scale, highly complicated items. The number of customizations has increased slightly from that in the original contract. However, the degree of customization and their complexity are remarkably low compared to similar projects nationwide.*
Strong risk management	*The Project continues to recognize risks to execution and performance and has adopted criteria that are effective in monitoring and mitigating risks. As needed, risks are escalated to issues that receive an appropriate level of project management, sponsor, and ESC scrutiny to determine a course of action and address project impacts.*
Significant change management effort	*The Project's comparatively large investment in OCM resources provides agencies with regular engagement opportunities, clear and frequent points of contact, and opportunities to express concerns, objections, and requests for assistance. The Project continues to develop information-packed deliverables and has initiated activities to make important information more readily consumable by agencies. Agency Sponsorship is increasing and will be critical to successful transition. The ability to independently assess, prepare for, and execute changes appears to differ greatly at agencies based on responses to surveys.*

IV&V also assessed current performance as it reflects the Project Operating Principles agreed to in Deliverable 31 and the purposes of which include communicating the expectations for Project Team members, the Executive Steering Committee, and Sponsors.

Florida PALM Operating Principles	IV&V Observations
Be engaged with, involved in, and supportive of the Project	*Engagement is proactively managed, fostered, and evident with all stakeholders. COVID-19 has presented challenges to which the Project has risen.*
Be open and candid, sharing ideas and concerns with the Project first	*Staff and Sponsors demonstrate openness and candor during working meetings and in management decision-making. While consistently well attended and usually with broad agendas, unless there are voting matters, the ESC meetings do not generate extensive dialogue.*

Florida PALM Operating Principles	IV&V Observations
Give best effort for Project responsibilities	*Despite the current challenges of working 100% remotely, the Project Team continues to demonstrate high effort and produce results.*
Honor and comply with Project standards	*Attention to Project standards is constant. There has been no discernible erosion of or deviation from standards.*
Seek out information and share information	*The BPS/SDS design/build activities include work necessary to seek out and confirm information. The Project continues to document and publish information as needed for both internal use and as part of its overall organizational change management program.*
Promote teamwork and collaboration to achieve Project goals	*Teamwork is demonstrated each day; disagreements are isolated and resolved productively and amicably. The environment is cohesive and supportive.*
Be a leader of and embrace change	*The leadership team has undergone changes and improved effectiveness. Managers are in command of the subject matters, the state of work, and support urgency of executing on time. Team members support each other in professional development to ensure they can express the Project's objectives in terms that resonate with the agencies to be affected by change.*

Summary

The Project's operating principles are reflected in the practices and behaviors observed by IV&V.

There are challenges, as expected in any undertaking of this complexity and with many diverse interests. However, those challenges tend to be focused in areas where longstanding legacy processes and data constructs of FLAIR and agency business systems are not readily explainable by operational staff.

Thus far, no major technical challenges have emerged due to demands to replicate legacy processes or statutory mandates reflective of those processes.

CMS Wave System Testing and Data Conversion Testing

During the month of September, the Florida PALM project continued System Testing and began Conversion Testing efforts. System Testing included the completion of Cycle 2 and Cycle 3 testing along with the start of Cycle 4. System Test is the first of a series of application testing iterations to assure business scenarios are executable within the Florida PALM solution and fulfill the State's requirements. Future test iterations include Integration Testing and User Acceptance Testing. Mock Conversion Testing also started with Cycle 0 in the month of September. Mock Conversion Cycle 0 is the first of a series of conversion test cycles to validate the accuracy of converted data and the processes executed during the conversion.

> *IV&V observed weekly Testing and System Investigation Request (SIR) review meetings. During the meetings, notable team synergy is evident within and between the State and Accenture test teams as well as the technical teams supporting these efforts. Testing is progressing as described and defined in the respective System Test and Conversion Test Strategies and Plans. Adequate tracking tools are in place to provide status and metrics as well as highlight potentially adverse trends or bottlenecks in testing or defect management. Testing progress reports are distributed daily to project staff. SIR status reports are shared and reviewed regularly.*
>
> *IV&V has observed opportunities to improve test monitoring reports and SIR related communications and shared suggestions with the Testing and SIR Triage Teams. The inclusion of mutually agreed upon SIR due dates would set team expectations for test execution planning as well as provide visibility to potential bottlenecks or resources issues with resolutions teams. JIRA, the SIR management software being used, provides multiple flexible label fields for SIR classification by categories such as Security, Business Process, Code, Tech Design, and Configuration. Expanding upon and requiring use of these fields for SIR entry would provide additional visibility into specific solution areas that may have higher occurrence of SIRs and/or longer resolution times. IV&V shared examples of SIR trend reports by categories (e.g., severity, days open, resolution area, and functional area) that may be helpful in identifying adverse impacts and/or confirming process improvements that have been implemented.*

Engagement Activities

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

> *IV&V observed the agencies and project team work effectively through touchpoints, focus groups, workshops, and office hours. Since workshops and focus groups were originally planned to be in-person sessions to foster bidirectional dialogue, the project facilitators and agency participants have had to approach virtual sessions differently to produce desired outcomes. IV&V has observed the project team applying feedback and continually adjusting approaches to generate the highest level of agency engagement and understanding. It is important for agencies to communicate any issues or questions during workshops and office hours, as the outcomes of these sessions are cumulative and build toward the overall workforce transition strategy.*

In September, agencies were assigned MRW tasks relating to both the CMS wave and Central wave. Many of these tasks relate to areas for which agencies have indicated a desire to have more information, such as interfaces, reporting, user roles and security, and direct exposure to the solution.

> *IV&V observed the Readiness Coordinators (RCs) following up with agency liaisons to confirm their review of MRW tasks related to both the CMS and Central Waves. Agencies appear and sound comfortable with the CMS wave activities underway and the fact that Central wave activities have been initiated in parallel. For agencies that had additional questions related to identity management or interface layouts, IV&V observed RCs scheduling additional sessions with the project team to work through internal obstacles to completing tasks. It is imperative that agencies receive, consume, and independently act on the information provided by the Project so that they identify the impacts and develop their specific operational processes.*

Role Mapping Workshops and Role Mapping Office Hours were conducted in September. As an outcome, agencies were asked to use the Role Mapping Handbook to plan the assignment of the Florida PALM user security roles to their staff.

> *IV&V observed good agency participation in the Role Mapping Workshops. Agencies participated in the office hours following the workshops. IV&V observed fewer questions regarding the process or toolsets provided by the Project than occurred at previous workshops and more questions related to role functionality, workflow, and separation of duties, which may provide a positive indication that agencies are working through their people and process impacts.*

Throughout September, the Project continued to communicate with the range of organizations involved in the Florida PALM implementation through multiple channels, including the Florida PALM website, the Change Champion Network, and via the Florida PALM email account. The project also released the updated MRW.

> *In addition to agency input regarding the MRW, the Project assessed the feedback from the Agency Readiness Indicator survey. The Agency Readiness Indicators, developed by the Project team working with the Executive Steering Committee, and the Agency Status Reports both contain important insights and help to improve two-way communications between the Project and agencies by standardizing certain data. IV&V observed the project working through key themes and developing responses to bridge understanding through RC communication with agency liaisons and project leadership engagement with agency sponsors.*

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.

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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. CMS Wave activities continue as Central Wave activities have been initiated. • The mitigation plan for resolving delays in CMS Wave functional designs has been effective so far in producing results on the revised schedule. • Contract Amendment 3 is still pending and would ratify the schedule of deliverables pursuant to the agreements contained in the amendment. • 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. • The rescheduling has been intended in part to 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. Transition of Accenture PMO Lead is underway. • 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 because of 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. Prolonged evaluation of Contract Amendment 3 may increase risk to the schedule of deliverables.	🟡	🟡
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.	🟩	🟩

IV&V Dashboard

	PROJECT AREA	PROJECT AREA DESCRIPTION	CURRENT	PRIOR
			Rating	
11	**Project Human Resource Management**	The Project is acquiring, developing, and managing appropriately skilled and adequately staffed project teams.	🟩	🟩
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 is underway without disruptions and/or significant technical issues causing risks to system designs or execution of testing.	🟩	🟩
15	**Project Training Management**	The Project has conducted the training needs assessment and has begun to create the inventory of training curricula for delivery of end-user training to successfully prepare employees for use of the new system.	🟩	🟩

2 IV&V Detail Reporting

2.1 Project Risks

Unchanged from the prior reporting period, the assessment score for Project Time Management remains in a yellow status to reflect challenges presented to the Project Schedule. While re-phasing efforts were completed to support final commitment of scheduling details, and IV&V was able to independently confirm agreement to the current schedule with LAS/PBS, STMS, and People First, the Project continues to work with DMS/MFMP to manage the alignment of schedules. FFMIS partners and STMS have not expressed objections to re-planned schedule details provided to date.

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

	PROJECT AREA	PROJECT AREA DESCRIPTION	RATING	
			Current	Prior
3	**Project Time Management**	The project schedule continues to be at risk because of 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. Prolonged evaluation of Contract Amendment 3 may increase risk to the schedule of deliverables.	◆	◆

Contract Amendment 3 has not been finalized. The current project schedule is based in part on the re-planned activities contained in Amendment 3 and reschedules some deliverables and introduces new deliverables. Without Amendment 3 being executed, there is potential risk that deliverables may be completed for which there is no contractual basis for acceptance and payment.

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

The Risk Log lists twenty-four (24) open risks in the following statuses as of September 30, 2020.

- Mitigating: Sixteen (16) are being actively mitigated by project management techniques, including the activities that address the risk directly or that enhance already planned activities to avoid or otherwise prevent the risk from affecting project outcomes.

- Monitoring: Eight (8) are being monitored to identify when their probability of affecting the Project increases to the point that mitigation is required.

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

During September, one (1) risk was removed from the Risk Log:

Risk #219: Completion of deliverables and/or work products at risk due to timing of Bloomberg AIM contract execution.

> *IV&V notes that Risk #219 was closed on 9/29/20 as the Bloomberg contract was executed. However, weekly meetings discussing data conversion requirements have discovered that Bloomberg cannot provide the planned single source of conversion data required to initiate business in Florida PALM upon implementation. Accordingly, Risk #223 has been opened to address this risk (see below).*

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

Risk #223: Completion of interface and conversion testing at risk due to potential inability to obtain data needed prior to Mock 2 conversion testing.

> *IV&V notes Risk #223, created on 9/29/2020, is being actively mitigated by Florida PALM. The first four steps of the mitigation action plan have been completed. Florida PALM is now developing plans for populating any missing data as well as the approach for developing the DMI001 formatted file utilizing Bloomberg, Bank of New York and manually sourced data. Any impacts to milestones or deliverables will be identified.*

2.2 Project Issues

There is currently one (1) Project Issue logged:

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

> *IV&V observes the issue log was updated to "working" status on 9/16/20. Also, progress has been reported on the issue to include:*
> - *Cycle test 3 is complete, test 4 is in progress and plan test 5 on schedule,*
> - *Reports are in progress and on track,*
> - *Interfaces builds are in progress but the trending is behind for all,*
> - *Conversion builds are complete with exception of DM1001/DMC001,*
> - *Extension system is behind schedule,*
> - *Forms are on track,*
> - *Workflows are on track,*
> - *All conversion layouts are complete, and*
> - *Functional designs are in progress and on target.*
>
> *The issue due date, or check point, was updated to 10/14/20 from 9/30/2020 at month end.*

There were no new issues added or removed during September.

2.3 IV&V Detailed Assessment Scorecards

AREA: General Project Management

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

AREA	TASK	SCORE	IV&V OBSERVATIONS
GPM - 6	Verify use of a project issue tracking mechanism that documents issues as they arise, enables communication of issues to proper stakeholders, documents mitigation strategies as appropriate, and tracks the issue to closure.	5	The RAIDL process is in place and used to identify, vet, monitor and manage risks, action items, issues, decisions, and lessons learned on a recurring and regular basis.
GPM - 7	Evaluate the effectiveness of the system's life-cycle development methodology (waterfall, agile, evolutionary spiral, rapid prototyping, incremental, etc.) and deployment process.	3	The project has undergone a comprehensive re-planning to shift from an approach that was phased incrementally by both business function and by organizations to one that is phased by business function. The new approach is more streamlined but retains multiple phases (Waves) and an interim period that depends on FLAIR and requires temporary solutions and translation of legacy FLAIR data to new Florida PALM data and vice versa to support business processing. The Waves schedule 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.
GPM - 9	Assess coordination and management to verify agencies and departments are not working independently of one another and following the communication plan.	4	The project has created a Change Champion Network to facilitate project-to-agencies and agencies-to-project communications. The CCN is also intended to foster agency-to-agency, peer-to-peer communications. Despite the Project's efforts to communicate plan expectations and important details needed for agencies to take action to ready themselves, some agencies indicate less than full awareness of what information is available.

AREA: Project Time Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
TME - 1	Evaluate the estimating and scheduling process of the project to assess if the project budget and resources are adequate for the work-breakdown structure and schedule.	3	The rescheduling effort to rephase the overall project is completed and has been communicated to stakeholders. The current implementation approach for Florida PALM includes system modifications and/or new interface development by FLAIR, LAS/PBS, MFMP, STMS, and People First. IV&V was able to independently confirm commitment of FLAIR, LAS/PBS, STMS and People First to complete these activities according to the current project schedule. The Project and MFMP are working closely together to define and qualify the risk and to develop a mitigation plan.
TME - 2	Review that project milestones are realistic and meaningful and aid in managing project performance.	3	Deliverable Expectation Documents are inclusive of timelines to inform the project schedule. Deliverable deadlines and milestones appear reasonable and realistic. Milestones are used to set and manage the critical path in a manual manner. Through September, the Project pursued a mitigation plan to resolve a backlog in completion of CMS Wave functional design documents.
TME - 3	Review schedules to verify that adequate time and resources are assigned for planning, development, review, testing and rework.	3	FFMIS partners and STMS have not expressed objections to re-planned schedule details provided to date. Schedule details communicated provide information needed for FFMIS/STMS partners to affirm or decline a commitment to the project schedule. A resolution plan has been enacted to address the backlog in functional designs for the CMS Wave. Amendment 3
TME - 4	Evaluate that the project team is taking full advantage of time savings and resource flexibilities available in the project schedule, managing lead times and float.	5	The consistent attention paid to the project schedule results in increased awareness of planned activity starts and deadlines for completion.
TME - 5	Examine relevant supporting data to determine if the project team has accurately estimated the time required for system configuration and/or software development efforts.	3	Some Deliverables have not been submitted or accepted within the originally scheduled time deadlines. The delayed completion of CMS Wave functional designs has subsequently delayed the start and completion of some development activities. To date, the project's critical path has not been adversely affected.
TME - 6	Review Project Team meeting process for tight agendas focusing on proactive issues (e.g., problem solving, risk identification, meaningful analysis) and relevant progress reports.	5	Agendas are used and meetings are focused and productive.

AREA: Project Scope Management

AREA	TASK	SCORE	Comments
SCP - 1	Verify that the project scope is clearly documented; look for items listed as out of scope.	3	Project scope as defined in the SOW is communicated and affirmed. No potentially out-of-scope items have emerged. The phased approach to implementation creates a prolonged dependency on FLAIR. A hybrid design relying on FLAIR and PALM is to be in service between implementation of Central Wave and implementation of Departmental Wave. The implications of modifying FLAIR and relying on FLAIR-to-PALM and PALM-to-FLAIR data translations present design and development risks in the near-term, as well as increased risk to production operations requiring ongoing data translation.
SCP - 2	Review the procedure/process to evaluate the impact of scope changes to the project, including trade-offs, is unambiguous, e.g. objectives, schedule, cost, resources.	5	Changes in Scope are adequately managed through Project Decisions and/or Project Change Requests.
SCP - 3	Evaluate that assumptions made to support scope change requests are fully checked and vetted.	5	Project Decisions and/or Project Change Requests affecting project scope are fully vetted by subject matter experts and reviewed in Sponsor Meetings and as needed with the Executive Steering Committee according to criteria established in the governance structure.
SCP - 4	Project sponsors and stakeholders demonstrate a clear understanding of scope control and participate in the scope control and management process.	5	The Project routinely takes a painstaking approach to sharing detailed information with stakeholders, sponsors, and governance entities. Attention to and absorption of such information by all parties has demonstrably improved over time as evidenced by increased interactions and dialogues.
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. New work introduced by the re-planning effort as contained in Contract Amendment 3 will cause the State to incur additional costs. IV&V has observed discussions concerning cost containment and project leadership' work to minimize any new costs associated with the re-plan by reassigning some work originally to be performed by Accenture to State Project Team Resources. The reassignments appear reasonable.
CST - 4	Verify that State staff are tasked to monitor project costs and the allocation of resources according to resource estimates and plans.	5	The Project Director's office and PMO team demonstrate regular prospective and actual cost analysis and management practices.

AREA: Project Quality Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
QAL - 1	Verify the project's Quality Assurance plans, and procedures are comprehensive and complete.	5	The Project has adopted quality assurance processes that assure vendor accountability and help to ensure quality upon delivery/submission. The Project has also established a well-organized State Testing team that has demonstrated insight, thoroughness, and a highly effective approach to engaging with Track teams and creating plans and supporting documents for test efforts.
QAL - 2	Verify QA is following the QA plan and procedures by performing checks of system documentation, and monitoring products produced by the project with formal reviews and sign-offs.	5	The collaborative review process combined with individual quality review steps are effective in detecting and resolving quality issues prior to final submission for acceptance.
QAL - 3	Evaluate if appropriate mechanisms are in place for project self-evaluation and that measures are continually taken to improve the process.	3	SDS written deliverables continue to require significant efforts pre and post-submission to attain approval. Accenture pre-collaboration and pre-submission quality reviews need to be improved to make the prescribed process more efficient.
QAL - 4	Verify that QA has an appropriate level of independence to raise concerns, make recommendations on the project's Quality Assurance plans, procedures and organization and is acknowledged by project management.	5	No Material Findings
QAL - 5	Verify that QA is monitoring all major development process definitions and standards for completeness, clarity, up-to-date, consistent in format, and easily available to project personnel.	5	The State Testing team is organized to monitor cross-track activities and changes to deliverables and work products that affect test planning, design, and execution.
QAL - 6	Verify that the processes and standards are followed and compatible with each other and with the system development methodology.	5	There has been no indication of variances. On the contrary, the Project overall adheres to a very disciplined approach to prescribed processes.

AREA: Project Stakeholder Management

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

AREA: Project Communications Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
COM - 1	Confirm communication plans and strategies are established, accessible and being used.	5	The project continues to maintain a comprehensive, multi-channel communication planning log. The OCM team has created a comprehensive communication strategy.
COM - 2	Verify communication plans and strategies are effective and support communications and work product sharing between all project stakeholders.	4	Stakeholder assessments have been used to gauge effectiveness. Responses indicate widespread awareness and consistent levels of engagement with few exceptions.

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 (e.g., 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. |
| COM - 3 | Review that mechanisms to capture informal communications and feedback are active and effective for informing project team of stakeholder and end-user needs. | 5 | The Project has established a Change Champion Network designed to channel informal communications to various agency-based liaisons prior to contacting Project resources directly. This helps to ensure ad hoc communications are received, treated by the appropriate resources, and responded to in a consistent manner. |

AREA: Project Risk Management

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

AREA: Project Procurement Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
PRC - 1	An inventory of necessary services and resources for completion of the project has been created and maintained.	4	The re-planning effort has produced the need for some contract amendments. As of the end of September, one has been executed, and Amendment 3 remained under review at DFS and Legislative Staff. The Project needs to quickly execute the pending contract amendment to preserve the integrity of the schedule, maintain concepts agreed to through the re-planning effort, and to enable OIT and FFMIS partners to provide firm commitments.
PRC - 2	Necessary timeframes and specifications for project resources are identified and monitored.	4	The re-planning effort has produced the need for some contract amendments. As of the end of September, one still has not been executed.
PRC - 3	Vendors and suppliers are identified to provide resources that meet the criteria.	5	There is no foreseen need to change vendors or suppliers as a result of the re-planning effort.
PRC - 4	Contracts have been secured following State requirements and conditions for the selected vendors.	5	Contracts are in effect and compliant.

AREA: Project Vendor Management

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

AREA: Project Human Resource Management

AREA	TASK	SCORE	IV&V Observations
HUM - 1	Evaluate the project staffing plan and verify that adequate human resources will be available for project activities.	5	After encountering delays in onboarding resources due in part to COVID-19 logistical issues, Accenture has deployed additional resources to help resolve the delay in completion of CMS Wave functional design documents and subsequent development activities.
HUM - 2	Verify skills and experience of project resources are adequate for the job assignments.	5	Track management and PMO demonstrate clear accountability and performance management practices are in place and exercised.
HUM - 3	Verify the Project Team allows for staffing adjustments to schedule and cost e.g. learning curves when team members need to acquire new skills.	5	Project Staff are provided training and lead time as new skills are required. Staff are added to the schedule aligning with the need for resources.
HUM - 4	Assess team morale and any potential effects on project progress.	5	Morale remains steady without evident issues. As COVID-19 causes extended telecommuting situations, the Project has taken steps to connect with staff and gauge morale. Deadlines continue to be met in most areas and teams continue to maintain productivity.

AREA: Project Change Control

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

AREA: Project Capability Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
CAP - 1	Assess the configuration management (CM) plans and procedures for clarity and completeness.	5	Configuration management controls are defined in deliverables and evident in daily project activities.
CAP - 2	Evaluate the project's process and procedures for managing requirements.	5	The Project has confirmed mutual understanding of requirements and associated each requirement with functionality in the system to be used to fulfill the requirements.
CAP - 3	Verify that business/technical requirements can be traced through design and test phases to verify that the system is configured/developed and performs as intended.	5	The Requirements Traceability Matrix is designed to facilitate traceability to requirements and tests.
CAP - 4	Evaluate project policies and procedures for ensuring that the system is secure, and that the privacy of client data is maintained.	5	The strategy for personally identifiable data (PII) was accepted in September.
CAP - 5	Evaluate the project policies and procedures for security on user access to the system and data.	5	Standard Accenture procedures for assignment of user security can be adapted to comply with State requirements.
CAP - 6	Evaluate the project policies and procedures for security and risk analysis.	5	Accenture's use of Oracle Cloud Infrastructure has been evaluated by DFS OIT and the buildout and planned ongoing operations comply with State requirements.
CAP - 7	Verify that performance requirements (e.g., timing, response time and throughput) are completely specified.	5	System performance requirements are defined as part of the Service Levels Expectations deliverable.
CAP - 8	Verify that user's maintenance requirements for the system are completely specified.	5	The contract stipulates maintenance agreements and includes State requirements.
CAP - 9	Verify that all system interfaces are identified, and specifications are defined.	4	The Project has provided standard interface layouts and is in the process of working with agencies and partner systems to finalize specifications for the CMS Wave.

AREA	TASK	SCORE	IV&V OBSERVATIONS
CAP - 10	Verify approved interface specifications are documented and available and that appropriate relationships (such as interface working groups) are in place with all agencies and organizations supporting the interfaces.	3	The Project has shared interface layouts and is in the process of working with interfacing entities to confirm specifications. 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 resource needed to prepare for the changes to data and process that Florida PALM.
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

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AREA: Project Testing Management

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

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AREA	TASK	SCORE	IV&V OBSERVATIONS
TST - 10	Verify that test results are verified, that the correct code configuration has been used, and that the test runs are appropriately documented, including formal logging of errors found in testing.	5	No Material Findings
TST - 11	Verify that appropriate acceptance testing based on the defined acceptance criteria is performed satisfactorily before acceptance of software products.		Pending
TST - 12	Verify that the acceptance test organization has an appropriate level of independence from the software configuration/development organization.		Pending

AREA: Project Training Management

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

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

2.4 IV&V Other Activities

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

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

3   IV&V Contact Information

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