



Monthly Independent Verification and Validation Assessment Report

Florida Planning, Accounting, and Ledger Management (PALM)
Project

June 2018

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Executive Summary

Grant Thornton independently assessed the Florida PALM Project, provided observations and recommendations on the processes in place to manage, monitor, and control the Florida PALM Project through the phase known as Pre-Design, Development, and Implementation (Pre-DDI). This report presents the technical, schedule, and cost risks identified by the Grant Thornton Independent Verification and Validation (IV&V) Team for the Pre-DDI Phase of the Florida PALM Project during the month ending June 29, 2018.

The IV&V Team, as an unbiased reviewer, independently reviewed key Project performance indicators and assessed Project risk utilizing critical criteria identified by the Agency for State Technology (AST), as well as Grant Thornton's project assessment framework. Based on this review, the IV&V Team assessed the risk status of the Florida PALM Project as "Green" indicating that there were no material issues observed during this assessment period that are likely to adversely affect the Project's outcome in terms of schedule, budget, or quality.

Overall risk status of Florida PALM Project:



The Project closed out the Pre-DDI Phase as of June 29, 2018 completing open activities in preparation for the implementation. In addition to reviewing normal Project activities, the Grant Thornton team reviewed the Project's closeout for the Pre-DDI Phase, including planning and execution of processes, and validation of the Project's Pre-DDI Closeout Report.

DFS Implementation Readiness Assessment Closeout

Grant Thornton performed a final review of DFS Department Readiness for implementation as a follow-up to the initial Readiness Assessment conducted in June 2017. This refresh re-assessed the readiness of key DFS Stakeholders (A&A, Treasury and OIT) to participate in activities expected in the DDI phase of the Florida PALM Project. The primary perspective of the assessment focused on the likely future needs of the Project and DFS Stakeholders with the goal of helping to facilitate the appropriate level of Stakeholder participation in the Florida PALM Project.

During the initial assessment, eleven recommendations were made, and progress has been tracked against these recommendations. During subsequent reviews, no new recommendations were added. The initial eleven Readiness Recommendations focused on:

- Communication pertaining the project, meetings, and production system changes
- Coordination of policy changes
- Project and Stakeholder resources
- Stakeholder and PALM Project understanding of data and integration

As of June 29, 2018, the Project and DFS has addressed the recommendations made as part of the Readiness Assessment.

Pre-DDI Phase Closeout

The Florida PALM Project Team developed and subsequently executed a plan (I-PMO17, Pre-DDI Closeout Plan) to complete the activities and formally close out the Pre-DDI Phase of the Project. The Pre-DDI Closeout Plan takes into consideration requirements and guidance from the Pre-DDI Project Charter; the Department of Financial Services Office of Information Technology Information Systems Development Methodology (ISDM) guidelines; Agency for State Technology Administrative Rule (74-1.007 Closeout), and Project Management Institute leading practices.

Team members from the PMO track created a Closeout Checklist with input from the other Project Tracks and Management. The PMO monitored execution of the items on the checklist, and completed the checklist items as planned.

The Project created a Pre-DDI Closeout report to document the formal completion of the Pre-DDI Phase which was developed and reviewed with final approval on June 29, 2018.

Individual observations related to Pre-DDI Phase Closeout are included in each of the Project Criteria observations below.




Key Project Indicators

Indicator*	Status
Is the Project on schedule?	YES
Is the Project expected to remain on schedule?	N/A
Is the Project currently within budget as defined in the spend plan?	YES
Is the Project expected to remain within budget as defined in the spend plan?	N/A
Were any Project changes proposed or approved during this assessment period?	NO




*Pre-DDI Phase

Assessment of Project Risk

Throughout this assessment, Grant Thornton uses a red-yellow-green indicator to evaluate the status of each area and metric. The table below contains an explanation of each status indicator:

Image	Description
	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.
	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.
	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.

The IV&V Team utilized the lowest indicator in each sub-category to determine the summary risk rating. A more detailed view of the elements that comprise each sub-category can be found in the Detailed Assessment Section beginning on Page 8 of this Assessment Report.

Project Area	Current indicator	May 2018	April 2018
1. Project Execution - Critical Criteria 1.1. Scope management and change control 1.2. Schedule management 1.3. Cost management 1.4. Risk management 1.5. Issue management			

Project Area	Current indicator	May 2018	April 2018
2. Project Governance 2.1. Governance 2.2. Decision management	G	G	G
3. Project Execution - Additional Criteria 3.1. Performance management 3.2. Staffing management 3.3. Action item management	G	G	G
4. Procurement and Contracts 4.1. Procurement and vendor management	G	G	G
5. Quality Management 5.1. Quality management 5.2. Deliverable management 5.3. Lessons Learned Management	G	G	G
6. Communications and Outreach 6.1. Communications management 6.2. Stakeholder management 6.3. Content management 6.4. Collaboration management	G	G	G

As part of the IV&V process for assessing and reporting on identified risks, we applied a value assessment to each area which guides the determination of the priority, or relative impact, an individual observation can have on the Project. A description and explanation of this value assessment approach and the most recent results can be found in Appendix 1 beginning on Page 34.

Findings Addressed This Assessment Period

The following table summarizes the open findings addressed during this assessment period:

Summary Finding	Current indicator	Area(s) impacted	New Observation
There were no open findings or recommendations addressed during the assessment period.			

Summary Findings and Recommendations







The following table summarizes “Red” or “Yellow” findings from the detailed assessment section of the report and maps our associated observations/recommendations to the Project Health Indicator presented in our overall risk reporting:

Summary Finding	Current indicator	Area(s) impacted	Recommendation
There are currently no open findings or recommendations.			

1. Project Execution - Critical Criteria

1.1 Scope Management and Change Control

Key Metrics







Item	Observed	Current Status	Previous Status	Notes
Number of open change requests	0			No change requests were processed during this reporting period.
Number of change requests processed this period with final determination	0			
Number of open change requests in overdue status	0			

Process Observation Summary

The process for managing changes to the Project is defined within the Project Management Plan. Requests for Project changes are logged in the Project’s Change Request Log. The Change Request Log is available to Project Team members via SharePoint and provides visibility to the Project Team members who review changes, any disposition considerations, and a record of approval including any escalations that were required.







Pre-DDI Phase Closeout Observation

There were no open change requests as of June 29, 2018.

Assessment Category	Findings and Observations	Recommendations	Status
Verify pending Project changes and decisions are clearly communicated to impacted Stakeholders in the appropriate level of detail.	Project decisions and change orders are documented in the Project's SharePoint site and reviewed with the appropriate stakeholders per the Project's Project Management Plan (PMP).	No new recommendations.	Current  Previous  Trend 
Verify any changes to the Project scope adhere to the defined change control processes and the appropriate governance levels for change process.	No change orders were processed during the reporting period.	No new recommendations.	Current  Previous  Trend 

1.2 Schedule Management

Key Metrics










Item	Observed	Current Status	Previous Status	Notes
Schedule Performance Index (SPI)	1.0			Revision of the Master Project Schedule (MPS) reviewed was dated 6/29/2018. The Pre-DDI Phase tasks have been completed.
% Complete	100%			
Number of overdue tasks	0			

Process Observation Summary

The process for managing the project schedule is defined within the Project Management Plan and includes maintenance of a Master Project Schedule incorporating activities performed by Project members and work tracks. The PMO worked individually with each Project Track prior to the scheduled Project Monthly Commits meeting which helped maintain the accuracy and understanding of work detail and resources committed for tasks, allowing for early detection of task and/or resource conflict.



Pre-DDI Phase Closeout Observation

The Pre-DDI Phase work activities were completed and updated as such in the Master Project Schedule dated June 29, 2018. Some operational and administrative tasks such as those related to contractor invoice payment and ongoing staffing management were moved to an interim tracking tool to maintain continuity of Project tracking and reporting.

Assessment Category	Findings and Observations	Recommendations	Status
Identify whether the Project is on schedule. Identify if any schedule slippage exists, identify whether Project leadership has assessed severity of the slippage, and identify mitigating actions to address.	Schedule Performance Index (SPI) measured 1.0 for the last reported schedule within the assessment period.	No new recommendations.	Current  Previous  Trend 
Determine if Project milestones have been identified and documented and are maintained for any changes to the Project.	Project milestones were called out in the Master Project Schedule. No milestones were changed during the current assessment period.	No new recommendations.	Current  Previous  Trend 
Determine if the process for comparing Project progress against planned (baselined) measures is appropriate and being followed.	The Project reviewed the Master Project Schedule against baseline on a regular basis as evidenced by the weekly status reports.	No new recommendations.	Current  Previous  Trend 

1.3 Cost Management

Key Metrics







Item	Observed	Current Status	Previous Status	Notes
Cost Performance Index (CPI)	0.97			The Project is tracked CPI in the Master Project Schedule.







Process Observation Summary

The Project followed the cost management procedures as outlined in the PMP. The Project Team tracked spend variance and the cost performance index (CPI) using earned value management (EVM) techniques against the Master Project Schedule. Proxy values for Project cost are used.

Pre-DDI Phase Closeout Observation









The final June financial results were not available as of June 29, 2018, but preliminary expenses and reports indicate that the Pre-DDI Phase remained within the current planned and appropriated budget.

Assessment Category	Findings and Observations	Recommendations	Status
Determine whether the Project budget appears sufficient to support the activities associated with the scope of the Project.	The Project is transitioning into a new Budget Appropriation for FY18-19.	The Project should continue to review and monitor planned activities and agreements against their appropriated budget.	Current  Previous  Trend 
Determine the Project's compliance with the defined cost management techniques in the PMP Cost Management section.	The Project Team followed the cost management process outlined in Section 9 of the PMP during this assessment period.	No new recommendations.	Current  Previous  Trend 

Assessment Category	Findings and Observations	Recommendations	Status
Verify monitoring is being done on progress against Project costs and expended effort.	Cost monitoring was performed in accordance with the description of spend control in Section 9 of the PMP.	No new recommendations.	Current  Previous  Trend 
Verify the right performance measures are being collected and managed for cost management.	The Project spend plan for Pre-DDI identified planned expenditures for the fiscal year by period along with incurred expenditures and paid actuals. In addition, the Project tracked the cost variance monthly.	No new recommendations.	Current  Previous  Trend 

1.4 Risk Management

Key Metrics










Item	Observed	Current Status	Previous Status	Notes
# of risks opened during this period	0			The Open Pre-DDI risks were closed with the completion of Pre-DDI.
# of risks closed during this period	7			
# of overdue risks	0			
# of risks realized resulting in an issue	0			No risks were realized resulting in an issue during this assessment period.




Process Observation Summary

The Project followed the risk management procedures as outlined in the PMP. Risks on the Florida PALM Project were tracked and managed using the Microsoft SharePoint portal following the risk management processes as outlined per the PMP. These risks were reviewed at regular Risk Log, Action Item Log, Issues Log, Decision Log, Lessons Learned Log (RAIDL) Meetings.

Pre-DDI Phase Closeout Observation







The open project risks related to Pre-DDI Phase were closed as of June 29, 2018 with the completion of the Pre-DDI Phase of the Project. Risks which might have an impact in later Project phases were noted for later review.

Assessment Category	Findings and Observations	Recommendations	Status
Verify the Risk Management Plan is being followed and is effectively identifying, tracking, and managing Project risk in a standardized fashion.	Risk management meetings were held on a regular basis, and evidence of the identification, tracking, and managing of Project risk can be found in the Project Team's Risk Log.	No new recommendations.	Current  Previous  Trend 
Determine whether the Executive Sponsorship understands effective risk management planning and execution and are reinforcing the importance of sound risk management in their communications with Project personnel.	Results of the risk reporting function of the Project Team were brought to the attention of the Executive Steering Committee and discussed as evidenced by meeting agendas and by direct observation.	No new recommendations.	Current  Previous  Trend 
Determine whether Project Team members possess a command of the defined Risk Management Plan and process.	Each of the work Tracks, including the PMO, followed the risk management process during this assessment period.	No new recommendations.	Current  Previous  Trend 

Assessment Category	Findings and Observations	Recommendations	Status
Verify that risks have been prioritized for mitigation based on severity and likelihood.	It was observed that the Project Team held regularly scheduled RAIDL meetings to identify and address risks in accordance with Section 16 of the PMP.	No new recommendations.	Current  Previous  Trend 

1.5 Issue Management

Key Metrics










Item	Observed	Current Status	Previous Status	Notes
New issues opened this period	0			No new issues were opened during this assessment period.
Issues closed this period	0			
Open Issues past target completion	0			There were no open issues at the end of this assessment period.

Process Observation Summary

The Project followed the issue management procedures as outlined in the PMP. Issues on the Florida PALM Project continued to be tracked and managed using a Microsoft SharePoint portal. The Project actively managed Project risks and has had very few of these risks become issues. The Project issue database was used for issues that have an active impact on the Project scope, schedule, or execution. AST continued to attend the Project's regular project-wide RAIDL meetings for observation and to provide feedback when solicited by the Project Team.

Pre-DDI Phase Closeout Observation

There were no open issues as of June 29, 2018.

Assessment Category	Findings and Observations	Recommendations	Status
Verify issues are collected and analyzed, and corrective actions have been defined to address them.	Corrective actions for issues were captured in the Issues Log. Issue review occurred on a regularly scheduled basis per the outlined process.	No new recommendations.	Current  Previous  Trend 
Verify the existence and institutionalization of an appropriate Project issue tracking mechanism that documents issues as they arise, enables communication of issues to proper Stakeholders, documents a mitigation strategy as appropriate, and tracks the issue to closure.	The Project utilized the Microsoft SharePoint Issue Management Log in accordance with the Issue Management Process defined in Section 18 of the PMP.	No new recommendations.	Current  Previous  Trend 
Verify corrective action has been taken on identified issues.	Corrective actions, when needed, were taken on identified issues through the weekly and bi-weekly RAIDL process.	No new recommendations.	Current  Previous  Trend 

2. Project Governance




2.1 Governance

Process Observation Summary

During this assessment period, no formal meeting of the Executive Steering Committee meeting was conducted. The Project followed the documented governance process with the Project Director making decisions and accepting deliverables within her scope during this assessment period.







Pre-DDI Phase Closeout Observation

There were no deliverables or actions requiring Executive Steering Committee approval for the Pre-DDI Phase closeout. The Project Director approved deliverables and activities within her authority to close out the Phase.

Assessment Category	Findings and Observations	Recommendations	Status
Assess executive Stakeholder buy-in, participation, support and commitment, and open pathways of communication exist among all Stakeholders.	During this assessment period, no meeting of the ESC was held.	No new recommendations.	Current  Previous  Trend 

2.2 Decision Management

Key Metrics












Item	Observed	Current Status	Previous Status	Notes
Number of new decisions added this period	0			No new decisions were opened during this assessment period.
Number of decisions closed this period	0			No decisions were due or closed this period.
Number of overdue open decisions	0			No decisions were overdue as of the end of this period.

Process Observation Summary

The processes associated with decision management were clearly defined in terms of required information, approvals, and escalations. The Decision Log was reviewed regularly and contains a sufficient level of detail appropriate for a Project of this size and complexity. An explanation of the disposition is included in the log for each closed decision in accordance with the PMP.

Pre-DDI Phase Closeout Observation

There were no open decisions as of June 29, 2018.

Assessment Category	Findings and Observations	Recommendations	Status
Verify Stakeholders have bought in to all changes which impact Project objectives, scope, cost, or schedule.	No decisions requiring external Stakeholder input were open during this assessment period.	No new recommendations.	Current  Previous  Trend 
Verify that the Project Team and Project Sponsors have reviewed and approved any Project changes impacting general scope or direction to help ensure alignment with the Project objectives.	No changes impacting Project general scope or direction requiring ESC approval were noted during this assessment period.	No new recommendations.	Current  Previous  Trend 
Determine whether the Project and Project Sponsors have reviewed and approved any deviations from the Project baseline budget prior to further action (e.g., contract modification).	No changes related to the baseline Project budget requiring ESC approval were noted during this assessment period.	No new recommendations.	Current  Previous  Trend 
Determine whether the baseline (and any re-baselines) to the Master Project Schedule was vetted through and received approval from Project Sponsors.	During this assessment period, minor schedule changes were made as part of the regular schedule management process.	No new recommendations.	Current  Previous  Trend 

3 Project Execution – Additional Criteria

3.1 Performance Management







Process Observation Summary







The Project Team has defined 14 individual project performance measures to provide an indication of status within the eight project management areas: cost management, governance management, issue management, quality management, resource management, risk management, schedule management, and scope management.

These metrics are defined in Section 8 (Performance Management) of the PMP. Metrics for each performance measure are captured by the Project each month and reviewed by Project Management per the process outlined within the PMP.

Pre-DDI Phase Closeout Observation





Project metrics for June had not been recorded as of June 29, 2018.

Assessment Category	Findings and Observations	Recommendations	Status
Evaluate implementation of the performance management activities and metrics to determine if processes are effective and being followed.	The Project has formalized a process for tracking, measuring, and reporting key performance metrics.	No new recommendations.	Current  Previous  Trend 
Evaluate if appropriate mechanisms are in place and in practice for Project self-evaluation and process improvement.	Lessons learned were captured after each significant task or deliverable are completed and tracked in SharePoint in the Lessons Learned Log. These were added and reviewed as part of regular Track and Team meetings.	No new recommendations.	Current  Previous  Trend 

Assessment Category	Findings and Observations	Recommendations	Status
Verify selected measurements are being obtained and analyzed to manage the Project and support organization needs.	Key Project metrics were measured and reported individually.	No new recommendations.	Current  Previous  Trend 
Verify the Project's performance is periodically reviewed and aligned with current and anticipated needs, objectives, and requirements of the organization, customers, and end users as appropriate.	Project performance was reviewed during the regular meetings. Additionally, Project performance was reported externally through the Project status report and the Oversight Analysis Quarterly Dashboard.	No new recommendations.	Current  Previous  Trend 

3.2 Staffing Management

Key Metrics





Item	Observed	Current Status	Previous Status	Notes
Percent of scheduled positions filled.	100% (36 of 36)			During this assessment period two new team members were onboarded.
Turnover	0% (0 of 36)			During this assessment period, no team members departed the project.













Process Observation Summary

The PMO managed a formal staffing and onboarding process for State staff and the contract managers manage the process for their assigned contractors. Onboarding procedures and support materials were developed and are shared with new members of the team to provide a clear and consistent background on the Project and operating guidelines moving forward.

Pre-DDI Phase Closeout Observation





Staffing is an ongoing Project activity. There is no impact to this area from the close of the Pre-DDI Phase.

Assessment Category	Findings and Observations	Recommendations	Status
Verify Project roles and associated responsibilities are clearly defined, documented, and communicated and verify that each Project Team member is mapped to a distinct Project role.	The current Project Charter established clear lines of reporting for the Project Team. Under the current organization structure, oversight defaults to the Project Director and ultimately the Executive Sponsor.	No new recommendations.	Current  Previous  Trend 
Determine whether the design and structure of the Project Management Team is sufficient to support the Project given the Project's size, scope, and complexity.	The structure and staffing of the PMO Team was appropriate for the Pre-DDI Phase.	No new recommendations.	Current  Previous  Trend 
Determine whether the design of the organizational structure reflects clear lines of reporting, responsibility, and accountability.	The Project's organization structure was clear for the Pre-DDI Phase, and the team members understood their reporting relationships and how they support each other.	No new recommendations.	Current  Previous  Trend 
Determine whether the Project operates in accordance with the organizational structure, wherein the defined/documented lines of reporting, responsibility and accountability are practiced/adhered to by Project Team members.	The Project Team continued to follow the Project structure with each Track Lead managing their team.	No new recommendations.	Current  Previous  Trend 

Assessment Category	Findings and Observations	Recommendations	Status
<p>Determine whether Project resources appear appropriately qualified to perform their assigned duties (based on the defined Project roles/responsibilities).</p>	<p>The Project resources possessed background experience and knowledge required for their positions.</p>	<p>No new recommendations.</p>	<p>Current  Previous  Trend </p>
<p>Determine the Project's compliance with the resource management techniques defined in the PMP.</p>	<p>The Project Team followed the staffing planning and onboarding processes outlined within the PMP.</p>	<p>No new recommendations.</p>	<p>Current  Previous  Trend </p>
<p>Evaluate the stability of the Project Team and cross sharing of knowledge to buffer for vacations and possible turnover.</p>	<p>The Project Team actively managed staffing and cross-sharing of information within each work Track where possible.</p>	<p>No new recommendations.</p>	<p>Current  Previous  Trend </p>
<p>Determine if adequate time and resources are assigned to each project phase to gauge whether the Project is sufficiently "resourced" (time, money, and staffing) for future effort.</p>	<p>The overall Project resources for the Pre-DDI Phase were adequate for the planned workload.</p>	<p>No new recommendations.</p>	<p>Current  Previous  Trend </p>

3.3 Action Item Management

Key Metrics







Item	Observed	Current Status	Previous Status	Notes
Action items overdue	0			The Pre-DDI action items were close prior to 6/29/2018. Action items related to future tasks were transitioned to a separate tracking mechanism for FY18-19.
Average age of overdue items	0			




Process Observation Summary

The Project had strong discipline around identifying, assigning, tracking, and following up on action items. Open action items were reviewed by each Project Track as needed throughout the month. The Project Team reviewed the open action items at the regular RAIDL meeting to validate their status.

Pre-DDI Phase Closeout Observation

Pre-DDI Phase action items were closed as of June 29, 2018 with action items for completion during FY18-19 moved to a separate tracking mechanism.







Assessment Category	Findings and Observations	Recommendations	Status
Verify Action Items are managed in a consistent manner across the Project and are at an appropriate level of detail.	Action items recorded during this assessment period were consistent in level of detail.	No new recommendations.	Current  Previous  Trend 
Verify open Action Items are regularly reviewed to ensure they are being managed, and if there is a change or larger impact, they are transferred to the Master Project Schedule where appropriate.	The Project Team reviewed Action Items at regularly scheduled RAIDL Meetings.	No new recommendations.	Current  Previous  Trend 

Assessment Category	Findings and Observations	Recommendations	Status
Verify metrics are in place and reviewed on a regular basis regarding the status and closure of Action Items.	The Project Team tracked open Action Items and reviewed them on a regular basis in the RAIDL Meetings and the weekly RADAR report. The weekly RADAR report tracks simple metrics such as action items past due.	No new recommendations.	Current  Previous  Trend 

4 Procurement and Contracts

4.1 Procurement and Vendor Management

Key Metrics













Item	Observed	Current Status	Previous Status	Notes
% Contracts on Schedule	100%			Current contracts are on schedule for deliverables and/or hourly service delivery.
% Contracts on Budget	100%			Current contracts are within planned budget.
Contract Execution on Schedule	Yes			Current planned procurements are on schedule.










Process Observation Summary







Procurements and Vendor contracts were managed through the PMO. The Project has one designated procurement professionals who manage the procurements from the initial strategy, to contract execution and through contract closeout. There were no significant changes to the procurement processes during this assessment period.

Pre-DDI Phase Closeout Observation

The Project performed contract closeout and transition activities for the IV&V vendor per internal processes and guidelines during this assessment period.

Assessment Category	Findings and Observations	Recommendations	Status
<p>Determine if procurement has explicitly mapped the procurement objectives and strategy to the Project objectives, and if such mapping accurately reflects the procurement strategy being followed.</p>	<p>The PMO managed procurements following the process outlined in the PMP and executes each work Track's procurement strategy as outlined.</p>	<p>No new recommendations.</p>	<p>Current  Previous  Trend </p>
<p>Determine if solicitation documentation clearly articulates measurable project objectives, and clearly identifies what (if any), project objectives are the responsibility of the contractor.</p>	<p>Solicitation documentation reviewed for a selection of procurements from the Florida PALM Procurement Log contained clear descriptions of contractor responsibilities and Project objectives.</p>	<p>No new recommendations.</p>	<p>Current  Previous  Trend </p>
<p>Determine if the solicitation documentation provides adequate detail on the Project functional requirements, and if the solicitation process offers bidders, an adequate opportunity for dialogue on functional requirements so that questions, ambiguities, and misunderstandings can be rectified prior to contract award.</p>	<p>Solicitation documentation reviewed for a selection of procurements from the Florida PALM procurement log contained clear functional requirements. A Q&A and clarification process was observed with each procurement performed by the Project.</p>	<p>No new recommendations.</p>	<p>Current  Previous  Trend </p>
<p>Determine whether key Project risks have been shared with potential Contractors. Determine whether significant drivers of risk (e.g., organization and business process change, limitations in number and skills of agency resources, number, and complexity of legacy systems to be replaced, etc.) to the potential contractors have been explained in such a way that bidders can address and mitigate them in their bid.</p>	<p>Project risk factors were identified in solicitation documentation for a selection of the Florida PALM procurements reviewed and an understanding of the risks was confirmed via interview.</p>	<p>No new recommendations.</p>	<p>Current  Previous  Trend </p>

Assessment Category	Findings and Observations	Recommendations	Status
<p>Determine whether documented evaluation processes exist and are being consistently followed.</p>	<p>The Project had an evaluation process for procurements. This process was followed for the recently completed Integration Architect procurement.</p>	<p>No new recommendations.</p>	<p>Current  Previous  Trend </p>
<p>Determine whether the Evaluation Team has received training and ongoing guidance necessary for them to evaluate bids in an effective and consistent manner.</p>	<p>The Project procurement lead provided training for the team members participating in procurements as necessary.</p>	<p>No new recommendations.</p>	<p>Current  Previous  Trend </p>
<p>Determine if matters that pose a risk to Project scope are promptly escalated to the appropriate parties, including Contracts.</p>	<p>The Project contract managers regularly reviewed Project risks and the performance of current and planned contracts. No procurement related issues were raised this assessment period.</p>	<p>No new recommendations.</p>	<p>Current  Previous  Trend </p>

Assessment Category	Findings and Observations	Recommendations	Status
Determine if the defined quality assurance and deliverable approval processes are being followed in the review and acceptance of all contract deliverables.	Deliverable review and approval processes were followed during this assessment period for contract deliverables.	No new recommendations.	Current  Previous  Trend 
Evaluate Contractor Change Request and defect tracking processes.	There were no change requests during this assessment period from contractors or contractor work which resulted in a Project Change Request.	No new recommendations.	Current  Previous  Trend 

5. Quality Management







5.1 Quality Management






Process Observation Summary

The Project's quality management approach, which focuses on deliverable and service quality is detailed within the PMP and the accompanying training materials. Training on this content was provided to the Project Team and was provided to new Project Team members as part of their orientation.

Pre-DDI Phase Closeout Observation

Quality management is an ongoing Project activity, there is no impact to this area from the close of the Pre-DDI Phase.

Assessment Category	Findings and Observations	Recommendations	Status
Verify Project self-evaluations are performed and that measures are continually taken to improve the process.	A formal review of the Project's process effectiveness was performed during the fourth quarter of FY 16-17 and improvements to the Master Project Schedule, internal communication, and other PMO processes were made. The Project continues to make changes based upon ongoing informal self-evaluations.	The Project should consider planning and conducting a formal self-evaluation as part of the transition from pre-DDI to DDI.	Current  Previous  Trend 
Verify QA has an appropriate level of independence.	The QA/Risk Manager monitors Quality Assurance activities and reports through the PMO Manager with direct access to the Project Director as needed.	No new recommendations.	Current  Previous  Trend 

Assessment Category	Findings and Observations	Recommendations	Status
Verify all process definitions and standards are complete, clear, up-to date, consistent in format, and easily available to Project personnel.	The quality management activities, processes, tools, and responsibilities were outlined within the PMP and included in the new employee orientation training.	No new recommendations.	Current  Previous  Trend 
Assess whether the roles and responsibilities are clearly defined, and responsible personnel are identified related to quality assurance and deliverable approval processes.	The deliverable review process was clearly defined in the PMP. Review responsibilities for each individual deliverable were determined during planning and documented in the DED and Master Project Schedule.	No new recommendations.	Current  Previous  Trend 
Verify the Project Quality Manager monitors the fidelity of defined QA processes in all phases of the Project.	The Deliverable Management Standards and Procedures was developed and accepted. They addressed the deliverable lifecycle development and review process.	No new recommendations.	Current  Previous  Trend 
Verify quality of products, produced by the Project, are monitored by formal reviews and sign-offs where appropriate.	Project deliverables were reviewed and formally signed off.	No new recommendations.	Current  Previous  Trend 







5.2 Deliverable Management

Process Observation Summary

The Project followed a structured deliverable review process. Key elements of that process include development and review steps included in the Master Project Schedule (MPS) and a Deliverable Expectation Document (DED) created which defined the scope, content, and review process for each deliverable. A review committee of Project Team staff and Project Sponsors was identified and assigned to each deliverable during development of the DED. Upon completion of the review and edit process the committee makes a recommendation for approval to the Project Director, who accepts each deliverable.

Pre-DDI Phase Closeout Observation

Deliverable management is an ongoing Project activity. There is no impact to this area from the close of the Pre-DDI Phase.

Assessment Category	Findings and Observations	Recommendations	Status
Confirm there is a clear definition of Project deliverables and that deliverables are managed in a consistent manner.	The deliverable process outlined in Section 20 of the PMP was followed for deliverables.	No new recommendations.	Current  Previous  Trend 
Verify defined deliverable review process is consistently administered across the Project.	The deliverable process outlined in Section 20 of the PMP was followed for the deliverables.	No new recommendations.	Current  Previous  Trend 

5.3 Lessons Learned Management







Process Observation Summary

Lessons Learned are defined in the PMP as “any useful information or experience gained through the course of the Project that can be applied to a later phase or Project activity”.

The Project had a sound discipline around identifying and documenting findings. Significant lessons learned are entered in the Project SharePoint portal. New or active lessons learned were reviewed at each Project Track's regular RAIDL Meeting. At the PMO RAIDL Meeting, new lessons learned items were reviewed as appropriate.

Pre-DDI Phase Closeout Observation

Lessons learned management is an ongoing Project activity. There is no impact to this area from the close of the Pre-DDI Phase.

Assessment Category	Findings and Observations	Recommendations	Status
Verify lessons learned are managed in a consistent manner across the Project and are at an appropriate level of detail.	The Project conducted formal and informal lessons learned sessions at the completion of significant activities and deliverables. Lessons learned were documented in SharePoint by the work Tracks as they were identified and discussed at the regular RAIDL Meetings.	The Project should continue efforts focused on standardizing formal lessons learned facilitations; creating categories and possible revising the SharePoint template.	Current  Previous  Trend 
Verify Project or phase closeout reports are created to provide a concise evaluation of the Project. The closeout report should summarize at a high level, the Project objectives, variances, or deviations from the plan/baseline encountered, lessons learned, and next steps.	The Project closed the Pre-DDI Phase during this reporting period and generated an appropriate closing report.	No new recommendations.	Current  Previous  Trend 

6. Communications and Outreach

6.1 Communications Management

Process Observation Summary







The Project Team maintained a Communications Plan to guide the development, execution and monitoring of Project communication. The Plan defined the communication infrastructure, identified stakeholder groups, and outlined the various types of communication routinely utilized by the Project Team.

The OCM Team maintained a Project Communications Log which serves as a record of Project communication and meetings conducted with entities outside of the Florida PALM Project Team. Project communications are initially captured within individual Project Track

status reports and subsequently transferred by the OCM Team into the Project Communications Log.

Pre-DDI Phase Closeout Observation

Communications management is an ongoing Project activity. There is no impact to this area from the close of the Pre-DDI Phase.

Assessment Category	Findings and Observations	Recommendations	Status
Determine whether the Project Communications Plan identifies the correct audiences, contains approaches and strategies to maximize receipt of the targeted messages, and contains effective feedback mechanisms.	Feedback and monitoring processes were observed for ESC meetings, individual meetings with ESC members, and with legislative stakeholders.	No new recommendations.	Current  Previous  Trend 
Determine if the Plan is being successfully executed, observing the Plans in action.	The current Project Communications Plan outlined key communication and outreach activities. During the current assessment period, Project documents were developed consistent with the Communications Plan and were available for review by the IV&V Team. The OCM Team also maintains a Communications Log that substantiates Project communication consistent with the Project Communications Plan.	No new recommendations.	Current  Previous  Trend 



6.2 Stakeholder Management




Process Observation Summary

The Project proactively manages outreach to department and agency stakeholders through various formats, including: website updates, directed communications about the Project, and planning and execution of workshop and workgroup meetings. The Project Communications Management Plan included a stakeholder analysis. In addition, the OCM team is performing an agency stakeholder assessment (Deliverable I-OCM37) to collect additional information and continue to plan for outreach activities during DDI. To date, the Project has obtained stakeholder input from 16 agencies as part of this initiative.

Pre-DDI Phase Closeout Observation

Stakeholder management is an ongoing Project activity. There is no impact to this area from the close of the Pre-DDI Phase.

Assessment Category	Findings and Observations	Recommendations	Status
Determine if a stakeholder assessment has been performed for the Project and assess the completeness and appropriateness of the targeted audiences and messages.	The Communications Plan included a stakeholder assessment.	No new recommendations.	Current  Previous  Trend 
Determine whether the Change Management Plan contains approaches and strategies to maximize adoption, assess and manage resistance, assess, and increase awareness, and effect a successful Project implementation.	The current Communications Plan addressed outreach to stakeholders to increase their involvement and maintain engagement.	No new recommendations.	Current  Previous  Trend 
Verify that outreach efforts exist to ensure that all Stakeholders are aware of the impending change and know their role in the change process. Verify that communication provides appropriate channels for feedback.	The Project Team performed proactive communication to stakeholders and used feedback mechanisms such as surveys, conversations, and email to gauge the effectiveness of Project messages.	No new recommendations.	Current  Previous  Trend 
Review the Plan to determine how the team plans to measure the key components of change (e.g., awareness, buy-in, etc.).	The Project Team evaluated key change components through activities consistent with the expected change during the Project phase. The OCM team captured observations as part of developing the Stakeholder Assessment.	No new recommendations.	Current  Previous  Trend 

Assessment Category	Findings and Observations	Recommendations	Status
Determine whether the Project proactively identifies areas at risk for resistance and effects strategies to manage the potential resistance.	The Project Team documented risk and issue information on SharePoint and communicate with the parties involved.	No new recommendations.	Current  Previous  Trend 

6.3 Content Management




Key Metrics







Process Observation Summary

The Project extensively used a Microsoft SharePoint collaboration site for the tracking and managing of working documents and deliverables. Version control was enabled in SharePoint, providing the ability to track document revisions as necessary. The Project Team consistently used SharePoint collaboration for the internal development of Project deliverables and other Project documents.

Pre-DDI Phase Closeout Observation

Content management is an ongoing Project activity. There is no impact to this area from the close of the Pre-DDI Phase.

Assessment Category	Findings and Observations	Recommendations	Status
Verify the Project has a clear strategy for maintaining and managing Project documents.	The Project had a strategy which guides the management of Project documents including work products, deliverables, and KPIs.	No new recommendations.	Current  Previous  Trend 

Assessment Category	Findings and Observations	Recommendations	Status
Assess the level of detail and adherence to document and deliverable management policies and procedures.	The Project followed the currently approved Content Release and Deliverable Management processes outlined within the PMP.	No new recommendations.	Current  Previous  Trend 
Assess the consistency and ease of finding and accessing Project documentation.	The Project SharePoint repository had a reasonably consistent structure for common elements across the Project Tracks.	No new recommendations.	Current  Previous  Trend 







6.4 Collaboration Management

Process Observation Summary

The Florida PALM Project identified external partners with whom they will require collaboration to be successful. Outreach to several of these entities has occurred either through individual Project activities, or through execution of the Communications Plan. The Project's collaboration strategy addresses planned engagement with key external stakeholders including State departments, agencies, the Florida Financial Management Information System (FFMIS) entities, other Public Sector Enterprise Resource Planning (ERP) Implementations, and external interest groups.

Pre-DDI Phase Closeout Observation

Collaboration management is an ongoing Project activity. There is no impact to this area from the close of the Pre-DDI Phase.

Assessment Category	Findings and Observations	Recommendations	Status
Determine whether the Collaboration Management Strategy and Plan contains approaches and strategies to engage with the right external entities to support the goals of the Project in a productive manner.	The Project Team’s overall collaboration strategy defined approaches to collaboration with both external State of Florida agency entities, as well as entities other than State of Florida agencies. The Project Team further defined an engagement approach for engaging the statutorily defined functional owners for each of the FFMIS subsystems.	No new recommendations.	Current  Previous  Trend 
Verify metrics for assessing collaboration partner engagement are appropriate and tracked.	As part of its collaboration strategy rollout, the Project Team established partner collaboration metrics such as participation and level of engagement and is evaluating them on a quarterly basis.	No new recommendations.	Current  Previous  Trend 

Appendix 1. Project Element Value Assessment and Mapping

Value Map Approach

Grant Thornton evaluated the elements of project management outlined within the Florida PALM PMP, along with additional critical elements included from our methodology. Risks and issues in some project categories will have a larger impact on the overall Project. The project elements were prioritized based on their relative impact to the Project. Each project management process was evaluated against the following three categories to determine an overall priority for the Pre-DDI Phase of the Florida PALM Project. These priorities are likely to change to some degree once the SSI vendor is chosen. Each project management process was weighted either *high*, *medium*, or *low* for each of the following categories, with the average providing the overall prioritization.

- **Correlation to Outcomes** – how directly related is the project area to desired outcomes of the Project. (i.e., scope management has a high correlation; if desired functionality is removed from scope, it will have a significant impact). Note that this category is weighted twice as strongly in the overall prioritization.
- **Visibility** – how much external attention is this project management area likely to attract.
- **External Impact** – is this an area that has direct impact on external stakeholders, or where external stakeholders will have a direct impact on the execution of the Project.

Process Values

The following table displays the project management processes, their relative score in each of the value prioritization categories, and the overall priority value. Going forward, these priority values will be used to weight and prioritize the recommendations identified in the body of this report.

Project Management Process	Value Prioritization Category			
	Correlation to Outcome	Visibility	External Impact	Overall Prioritization
1. Critical Criteria				
1.1. Scope Management and Change Control	HIGH	HIGH	HIGH	HIGH
1.2. Schedule Management	HIGH	HIGH	MEDIUM	MEDIUM
1.3. Cost Management	HIGH	HIGH	MEDIUM	HIGH
1.4. Risk Management	HIGH	MEDIUM	HIGH	HIGH
1.5. Issue Management	HIGH	MEDIUM	LOW	MEDIUM
2. Governance				
2.1. Project Governance	HIGH	MEDIUM	MEDIUM	HIGH
2.2. Decision Management	HIGH	HIGH	HIGH	HIGH
3. Project Execution				
3.1. Performance Management	HIGH	MEDIUM	LOW	MEDIUM
3.2. Staffing Management	MEDIUM	MEDIUM	LOW	MEDIUM
3.3. Action Item Management	MEDIUM	MEDIUM	LOW	MEDIUM
4. Procurement and Contracts				
4.1. Procurement and Vendor Management	MEDIUM	MEDIUM	HIGH	MEDIUM
5. Quality Management				
5.1. Quality Management	MEDIUM	HIGH	LOW	MEDIUM
5.2. Deliverable Management	HIGH	MEDIUM	LOW	MEDIUM
5.3. Lessons Learned Management	LOW	LOW	LOW	LOW
6. Communications and Outreach				
6.1. Communications Management	LOW	HIGH	HIGH	HIGH
6.2. Stakeholder Management	HIGH	HIGH	HIGH	HIGH
6.3. Content Management	LOW	LOW	LOW	LOW
6.4. Collaboration Management	MEDIUM	LOW	LOW	MEDIUM

Appendix 2. Interviews and Meetings Summary

The following meetings and interviews were conducted with entities outside of the Florida PALM Team during the assessment period covered by this report.

Meeting Type	Meeting Summary	Agencies Represented
Planning / Working	Project status updates	AST
Planning / Working	Discuss DDI readiness	DFS OIT, A&A, Treasury

Appendix 3. Project Documentation Reviewed

The table below lists some of the Project documents reviewed by the IV&V Team during the assessment period covered by this report.

Category of Documents Reviewed	Documents Reviewed
PMO and Project reporting related documents	<ul style="list-style-type: none"> • Master Project Schedule, 6/29/2018 • RADAR Report, 6/29/2018 • RAIDL: Action Item Log, 6/29/2018; RAIDL: Decision Log, 6/29/2018; RAIDL: Issues Log, 6/29/2018; RAIDL: Lessons Learned Log, 6/29/2018; RAIDL: Project Change Request Log, 6/29/2018; RAIDL: Risk Log, 6/29/2018 • Spend Plan, 5/10/18 • Procurement Log, 6/29/2018
Organizational Change Management (OCM) related documents	<ul style="list-style-type: none"> • Florida PALM Pre-DDI Website (intranet), 6/29/2018 • Florida PALM Website (public-facing), 6/29/2018 • Communications Log, 6/29/2018

The table below lists some of the Project documents reviewed by the IV&V Team during prior assessment periods and used to prepare for this report.

Category of Documents Reviewed	Documents Reviewed
PMO and Project reporting related documents	<ul style="list-style-type: none"> • Florida PALM Project Charter, 5/20/2015 • Florida PALM Project Management Plan, 11/09/2017 • QMS Implementation Plan, 02/22/16 • PMP Presentation, 9/29/2017 • New Employee Orientation Materials (Florida PALM PTO), 09/14/2017
Executive Steering Committee (ESC) related documents	<ul style="list-style-type: none"> • Presentation Documents, 12/13/2017 • Governance Charter, 02/19/16

Category of Documents Reviewed	Documents Reviewed
Business Process Standardization (BPS) related documents	<ul style="list-style-type: none"> • BPS Business Requirements Cycle 2, 03/07/16 • BPS Level 2 Standardized Business Process Models - Version 1.0, 12/02/15 • BPS Business Requirements Cycle 1, 10/13/15 • BPS Policy Issue Tracking Log • BPS Standard Business Process L1 Flows and Standard Business Process Model, 07/09/15
Organizational Change Management (OCM) related documents	<ul style="list-style-type: none"> • Project Team Guidelines (I-OCM18) • Change Champion Strategy (I-OCM30) • Florida PALM Project Style Guide, FY17-18 Q1 • Project Team Guidelines, FY17-18 Q1 • Project Collaboration Strategy FY17-18 • Florida PALM Illustrative Story
Systems and Data Strategy (SDS) related documents	<ul style="list-style-type: none"> • Pre-DDI Enterprise Architecture Strategy (SDS2) • Florida PALM Pre-DDI Data Management Plan (I-SDS2) • Integration Point Gap Analysis Cycle 2 (I-SDS5) • FLAIR-CMS Conceptual Data Model (I-SDS6) • FLAIR-CMS Integration Data Model (I-SDS8) • Interface Inventory Analysis (I-SDS10) DED • Data Assessment (I-SDS110) DED
Agency Business Case related documents	<ul style="list-style-type: none"> • Business Case for Maintaining Agency Business Systems 10/31/16 • Attachment 2 of Business Case for Maintaining Agency Business Systems, 10/31/16
FLAIR Study	<ul style="list-style-type: none"> • FLAIR Study Report, 4/9/2014 • FLAIR Study Cost Model, 4/9/2014 • Agency Business System Inventory Analysis, 4/8/2014 • Inventory of Agency Systems Interfacing with FLAIR, 4/9/2014