



Monthly Independent Verification and Validation Assessment Report

Florida Planning, Accounting and Ledger Management (PALM)
Project

September 2016

Date: 10/12/2016

Version 1.0

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Executive Summary

Grant Thornton is independently assessing the Florida PALM Project, providing observations and recommendations on the program management processes in place to manage, monitor and control the Florida PALM Project through its current 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 September 30, 2016.

The IV&V team, as an unbiased reviewer, has independently reviewed key project performance indicators and assessed project risk utilizing both 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 assesses the risk status of the Florida PALM Project as "Green" indicating that there were no material issues observed during the assessment period that could adversely affect the project's outcome in terms of schedule, budget, or quality.

Overall risk status of Florida PALM project:



During this assessment period, the Florida PALM project team completed and obtained approval from the Executive Steering Committee (ESC) for the business requirements, continued work on the business case assessment, and continued to develop the system and integrator ITN, delivering a draft to the ESC for review on September 29.




The approval of the business requirements at the September 28 Executive Steering Committee marked a significant milestone, as this activity is on the critical path for the release of the ITN and was required for submission of the project's first budget amendment. Also during this period, the Florida PALM project team delivered the draft ITN to the ESC on September 29. The draft ITN incorporated input from multiple sources including the PALM project reviews, DFS Purchasing and Legal, the IV&V team, and outside counsel from two separate law firms.

Key Project Indicators







| Indicator | Status |
|---|--------|
| Is the project on schedule? | YES |
| Is the project expected to remain on schedule? | YES |
| 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? | YES |
| Were any project changes proposed or approved during this reporting period? | YES |

Assessment of Project Risk

Throughout the 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 recommendations offered by the IV&V team as process improvement opportunities only. |

The IV&V team utilizes the lowest indicator in each sub-category to determine the summary risk rating. A more detailed view of each of the elements that comprise each sub-category can be found in the Detailed Assessment section beginning on page 7 of this assessment report.

| Project Area | Current indicator | September 2016 | August 2016 |
|---|---|---|---|
| 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 |  |  |  |
| 2. Project Governance 2.1. Governance 2.2. Decision management |  |  |  |

| Project Area | Current indicator | September 2016 | August 2016 |
|---|-------------------|----------------|-------------|
| 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 | 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 have applied a value assessment to each area which guides the determination of the priority, or relative impact an individual observation can have on the entire 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 all findings that have been addressed this assessment period.

| Summary Finding | Current indicator | Area(s) impacted | New Observation |
|--|-------------------|------------------|-----------------|
| There were no open findings or recommendations during the month of August. | | | |

Summary Findings and Recommendations

The following table summarizes any “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. | | | |

Detailed Assessment

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 |  |  | The project did not open or process any change requests during the 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 to the project's change request log. The change request log is available to all project team members and provides visibility into the specific project team members to review changes, any disposition considerations and a record of approval including any escalations that were required.

During the current assessment period, no new change requests were logged or worked. There were no project change requests in overdue status at the end of the assessment period.

| 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 PMP. During the review period, there were no decisions or project changes proposed or discussed. | 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. | There were no changes processed during the review period. | No new recommendations. | Current  Previous  Trend  |

1.2 Schedule Management










Key Metrics

| Item | Observed | Current Status | Previous Status | Notes |
|----------------------------------|----------|---|---|--|
| Schedule Performance Index (SPI) | .98 |  |  | Revision of project schedule reviewed was dated 10/07/2016. This was the final revision of the master project schedule posted for the assessment period. |
| % Complete | 77% |  |  | |
| Number of Late Tasks | 2 |  |  | |

Process Observation Summary



The Florida PALM project management office (PMO) maintains a master schedule incorporating activities performed by all project members and work tracks. During this assessment period, the project continued working from Baseline 6. During the review period, the PMO performed their regular progressive elaboration schedule update process to finalize October and later tasks known at the time.

During the review period, the project completed the ESC approval of the business requirements and release of the draft ITN to the ESC for their review as scheduled.

| Assessment Category | Findings and Observations | Recommendations | Status |
|--|--|--|---|
| Identify whether the project is on schedule. If any schedule slippage exists, identify whether project leadership has assessed severity of the slippage, and identified mitigating actions to address. | Schedule performance index (SPI) measured 0.98 for the last reported schedule within the assessment period. Schedule performance is within acceptable tolerance. | The project should continue to closely monitor the requirements review activities. | Current  Previous  Trend  |
| Determine if project milestones have been identified and documented and are maintained for any changes to the project. | Project milestones continue to be called out in the master project schedule. | 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 continues to review the 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) | 1.0 |  |  | The project is currently tracking CPI in the master project schedule. |

Process Observation Summary

The project continues to follow its cost management procedures as outlined in the PMP and is continuing to refine the level of detail needed. The project team continues to track schedule performance (SPI) and cost performance (CPI) using earned value management (EVM) techniques against the master schedule. Proxy values for project cost are used.









During September, the project updated the cost of resources assigned to un-baselined administrative tasks which had the impact of increasing the CPI to a value of 1.0. This change was reviewed with AST and IV&V as it was being made. We believe CPI is a helpful indicator for looking at resource efficiency from one month to the next, but in and of itself we do not have concerns about CPI being outside of the established tolerance for two reasons: First, because the project team has chosen to partially baseline the schedule, there exist tasks (such as those related to procurement) within the project schedule that put downward pressure on CPI. Second, because the PMO is utilizing proxy values for cost, a CPI below the established tolerance does not indicate nor does it necessarily mean the project is over budget. Our assessment of CPI as an indicator is limited only to noting big movements in CPI which would necessitate closer inspection. This was not the case during this assessment period.

| 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 budget for the year appears sufficient based on the spend plan and the list of two-party agreements. | No new recommendations. | Current  Previous  Trend  |
| Determine the project's compliance with the defined cost management techniques in the PMP (cost management plan component). | The project team followed the cost management process outlined in Appendix 2 of the PMP during the assessment period. | No new recommendations. | Current  Previous  Trend  |
| Verify monitoring is being done on progress against project costs and expended effort. | Cost monitoring is being performed in accordance with the description of spend control in Appendix 2 of the PMP. | No new recommendations. | Current  Previous  Trend  |

| Assessment Category | Findings and Observations | Recommendations | Status |
|--|---|-------------------------|---|
| Verify the right performance measures are being collected and managed for cost management. | The project spend plan currently identifies planned expenditures for the fiscal year by period along with incurred expenditures and paid actuals. In addition, the project is tracking 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 | 12 |  |  | Volume of new risks added to is due to a specific effort performed by the project focused on identifying procurement related issues. |
| # of risks closed during this period | 2 |  |  | |
| # of overdue risks | 0 |  |  | There were no risks observed with a due date that occurs in the past. |
| # of risks transitioned into issues | 0 |  |  | No risks were transitioned into issues during this period. |







Process Observation Summary

Risks on the Florida PALM Project continue to be tracked and managed using the Microsoft SharePoint portal following the risk management processes as outlined per the PMP. These risks are reviewed at regular RAIDL meetings. During the reporting period, the project team continued to identify and bring risks from individual teams to the attention of the entire project, conducted an exercise to explicitly identify and address additional procurement related risks for the project going forward.

| 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 are held at least weekly, and evidence of the identification, tracking and managing of project risk occurs 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 are brought to the attention of the Project Steering Committee at least monthly 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 processes. | Risk management processes were followed by each of the Work Tracks as well as by the PMO during the assessment period. | No new recommendations. | Current  Previous  Trend  |
| Verify that risks have been prioritized for mitigation based on severity and likelihood. | It was observed that the project team holds regularly scheduled RAIDL meetings to identify and address risks in accordance with Appendix 8 of the PMP. During the reporting period, the project conducted additional risk meetings to identify and begin to quantify additional procurement related risks. | 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 period. |

Process Observation Summary

Issues on the Florida PALM Project continue to be tracked and managed using a Microsoft SharePoint portal. The project actively manages project risks and has had very few of these risks become issues. The project issue database is used for issues that have an active impact on the project scope, schedule, or execution. AST continues to attend the project's bi-weekly RAIDL meeting for observation and to provide feedback when solicited by the project team.

| Assessment Category | Findings and Observations | Recommendations | Status |
|--|---|-------------------------|---|
| Verify issues are collected and analyzed, and corrective actions have been defined to address them. | Corrective actions included for all issues are captured in the issues log. Issue review occurs 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 utilizes the Microsoft SharePoint issue management log in accordance with the issue management process defined in Appendix 11 of the PMP. | No new recommendations. | Current  Previous  Trend  |

| Assessment Category | Findings and Observations | Recommendations | Status |
|---|--|-------------------------|---|
| Verify corrective action has been taken on identified issues. | Corrective actions, when needed are 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, the Executive Steering Committee (ESC) held its regularly scheduled meeting on September 28 to review and approve the business requirements. An additional ESC meeting was held on September 14 to provide additional communication regarding the requirements review and to begin to prepare the group to receive and review the ITN.

During the reporting period, the project team conducted a series of focused requirements review meetings with key ESC and legislative stakeholders to facilitate understanding and approval of the requirements.

| 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 the reporting period, the project team conducted a series of requirements review sessions with key legislative and other stakeholders. The project planned and began to schedule a series of meetings with ESC members in October to solicit input on the draft ITN. | The project should consider continuing to hold meetings with ESC members and legislative stakeholders as the project progresses to maintain open project communications. | Current  Previous  Trend  |

2.2 Decision Management







Key Metrics







| Item | Observed | Current Status | Previous Status | Notes |
|---|----------|---|---|---|
| Number of new decisions added this period | 0 |  |  | There were no new decisions added this reporting period, which is not abnormal for a project in this stage. |
| Number of decisions closed this period | 0 |  |  | There were no open decisions during this reporting period. |
| Number of overdue open decisions | 0 |  |  | No overdue decisions existed at the close of this period. |

Process Observation Summary

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

During this reporting period, there were no new decisions added, and no decisions remain open.

| Assessment Category | Findings and Observations | Recommendations | Status |
|---|---|-------------------------|---|
| Verify Stakeholders have bought in to all changes which impact project objectives, scope, cost, or schedule. | No changes requiring ESC approval were noted 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 requiring ESC approval were noted during this assessment period. | No new recommendations. | Current  Previous  Trend  |

| Assessment Category | Findings and Observations | Recommendations | Status |
|--|---|-------------------------|--|
| 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 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 the assessment period, minor schedule changes were made as part of the planned monthly progressive elaboration. The overall schedule baseline was not changed. | No new recommendations. | Current  Previous  Trend  |













3 Project Execution – Additional Criteria

3.1 Performance Management

Process Observation Summary





The project team has defined 29 distinct project performance measures within the PMP. These project performance measures are intended to provide insight into eight different project management areas: cost management, schedule management, risk management, issue management, scope management, quality management, organizational change management and staffing management.

Underlying data for the defined risk, issue and scope measures are available through the project's RAIDL dashboards and are available in real time. The various logs available under the RAIDL dashboards offer a comprehensive view of the risks, actions, issues, decisions, and lessons learned.

| Assessment Category | Findings and Observations | Recommendations | Status |
|--|--|-------------------------|---|
| Evaluate implementation of the performance management activities and metrics to determine if processes are effective and are 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 are captured after each task and tracked in SharePoint in the lessons learned log. These are added and reviewed as part of regular weekly team meetings. | No new recommendations. | Current  Previous  Trend  |
| Verify selected measurements are being obtained and analyzed to manage the project and support organization needs. | Key project metrics are being measured and reported individually. | No new recommendations. | Current  Previous  Trend  |
| Verify 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 is reviewed during the regular internal status meetings. Additionally, project performance is reported externally on a weekly and monthly basis. | 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% (26 of 26) |  |  | During the period, the project hired a new assistant project manager and promoted the current PMO track manager to Deputy Project Director. |
| Turnover | 0% (0 of 25) |  |  | No project team members have left the project team in the past six months. |










Process Observation Summary

The PMO manages 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 have been 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.

The project team looks for the best possible candidate for each position, from both a skillset and personality fit. During the reporting period, the project transitioned the current PMO track manager to the position of Deputy Project Director, and onboarded a new PMO track manager. Knowledge transfer was effectively managed to the new team member, and because this was a net addition to the project, there was an overall positive impact to productivity of the PMO team.





| 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 establishes clear lines of reporting for the project team. Under the current organization structure, oversight defaults to the executive sponsor and project sponsors. | No new recommendations. | Current  Previous  Trend  |

| Assessment Category | Findings and Observations | Recommendations | Status |
|--|--|-------------------------|---|
| 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 continues to be appropriate for the Pre-DDI effort. | 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 is clear and the team members understand 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 continues to follow the project structure with each track lead managing their team. | No new recommendations. | Current  Previous  Trend  |
| Determine whether project resources appear appropriately qualified to perform their assigned duties (based on the defined project roles/responsibilities). | The current project resources appear to have the background experience and knowledge required for their positions. | No new recommendations. | Current  Previous  Trend  |

| Assessment Category | Findings and Observations | Recommendations | Status |
|---|--|-------------------------|---|
| Determine the project's compliance with the resource management techniques defined in the PMP. | The project team follows the staffing planning and onboarding processes outlined within the PMP. | No new recommendations. | Current  Previous  Trend  |
| Evaluate the stability of the project team and cross sharing of knowledge to buffer for vacations and possible turnover. | The project team actively manages staffing and cross-sharing of information within each work track where possible. | No new recommendations. | Current  Previous  Trend  |
| 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 work. | During this assessment period, an additional resource was added and the PMO manager promoted to the Deputy Project Director role in anticipation of additional workload around managing activities during the procurement. | No new recommendations. | Current  Previous  Trend  |










3.3 Action Item Management

Key Metrics

| Item | Observed | Current Status | Previous Status | Notes |
|-------------------------------|----------|---|---|---|
| Action items past due | 0 |  |  | There are no overdue action items as of September 30, and the project is making progress on the five open items including three added during the review period. |
| Average age of past due items | 0 |  |  | |

Process Observation Summary







The project has a strong discipline around identifying, assigning, tracking, and following up on action items. Each open action item is reviewed at each track's regular (weekly or bi-weekly) RAIDL meeting. The project team reviews the open action items bi-weekly to validate their status.

| 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 the assessment period are 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 reviews action items at least bi-weekly at regularly scheduled RAIDL meetings. | No new recommendations. | Current  Previous  Trend  |
| Verify metrics are in place and reviewed on a regular basis regarding the status and closure of Action Items. | The project team tracks open action items and reviews them on a regular basis in the RAIDL meetings and the weekly RADAR report. Currently 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 deliverable 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 are managed through the PMO. The project has two designated procurement professionals who manage the procurements from the initial strategy, to contract execution and through contract closeout. There have been no significant changes to the procurement processes during the reporting period.

During the reporting period, the project completed the evaluation and contracting for the SDS Data Architect contractor.

| Assessment Category | Findings and Observations | Recommendations | Status |
|--|---|-------------------------|--|
| Determine if procurement has explicitly mapped the procurement objectives and strategy to the program objectives, and if such mapping accurately reflects the procurement strategy being followed. | The PMO manages procurements following the process outlined in the PMP and executes each work track's procurement strategy as outlined. | No new recommendations. | Current  Previous  Trend  |
| Determine if solicitation documentation clearly articulates measurable project objectives, and clearly identifies what (if any), project objectives are the responsibility of the Contractor. | Solicitation documentation reviewed for a selection of procurements from the Florida PALM procurement log contain clear descriptions of contractor responsibilities and project objectives. | No new recommendations. | Current  Previous  Trend  |

| Assessment Category | Findings and Observations | Recommendations | Status |
|--|---|-------------------------|---|
| 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. | The plans for the ITN include time for questions and dialog to enable bidders to gain an understanding of the project functional requirements. The solicitation documents for Change Management support and for the Business Case included appropriate detail of requirements and the process followed allowed for vendor questions and answers as well as oral presentations to clarify any questions. | No new recommendations. | Current  Previous  Trend  |
| 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. | The plans for the ITN include time for questions and dialog to enable bidders to gain an understanding of the project functional requirements. The solicitation documents for Change Management support and for the Business Case included appropriate detail of project complexity for the respondents to submit bids. | No new recommendations. | Current  Previous  Trend  |
| Determine whether documented evaluation processes exist and are being consistently followed. | The BPS and procurement teams are currently planning the evaluation process for the ITN. No procurements were evaluated by the project team during the review period. | No new recommendations. | Current  Previous  Trend  |

| Assessment Category | Findings and Observations | Recommendations | Status |
|---|---|-------------------------|---|
| Determine whether the Evaluation Team has received training and ongoing guidance necessary for them to evaluate bids in an effective and consistent manner. | No procurements were evaluated by the project team during the review period. | No new recommendations. | Current  Previous  Trend  |
| Determine if matters that pose a risk to project scope are promptly escalated to the appropriate parties, including Contracts. | As critical decisions and scope items for the ITN are raised, they have been documented and managed either as project changes or as project decisions. No other procurement related issues were raised this reporting period. | No new recommendations. | Current  Previous  Trend  |
| Determine if invoice review processes are established. | The project is following the DFS Contract Lifecycle Guide and the guidelines published by the DFS Division of Accounting & Auditing for invoice review | No new recommendations. | Current  Previous  Trend  |




| 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 the review 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

A high-level approach to quality management is outlined within the PMP. The project team has finalized the QMS implementation strategy and is executing the QMS implementation plan. During this assessment period the project team accepted the Content Release Management Standards and Procedures. The Project Performance Management Standards and Procedures are currently in their review cycle.

| Assessment Category | Findings and Observations | Recommendations | Status |
|---|--|-------------------------|---|
| Verify project self-evaluations are performed and that measures are continually taken to improve the process. | Project self-evaluation was not scheduled to be performed during this assessment period. | No new recommendations. | Current  Previous  Trend  |







| Assessment Category | Findings and Observations | Recommendations | Status |
|---|--|-------------------------|---|
| Verify QA has an appropriate level of independence. | Quality Assurance is monitored by the QA/Risk Manager. | No new recommendations. | Current  Previous  Trend  |
| Verify all process definitions and standards are complete, clear, up-to date, consistent in format, and easily available to project personnel. | The QMS Implementation Strategy has been finalized. Until the QMS is released, the project team follows the high-level process definitions and standards outlined within the PMP. | 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. | Deliverable review responsibilities are clearly defined and communicated to appropriate project team members and reflected in the appropriate DED documents. | No new recommendations. | Current  Previous  Trend  |
| Verify QA organization monitors the fidelity of defined processes in all phases of the project. | The Deliverable Management Standards and Procedures have been developed and accepted. As part of the QMS it addresses the full deliverable lifecycle development and review process. | No new recommendations. | Current  Previous  Trend  |

| Assessment Category | Findings and Observations | Recommendations | Status |
|--|--|-------------------------|---|
| Verify quality of products produced by the project is monitored by formal reviews and sign-offs where appropriate. | Project deliverables are reviewed and formally signed off. | No new recommendations. | Current  Previous  Trend  |

5.2 Deliverable Management

Process Observation Summary

The project follows a structured deliverable review process. Key elements of that process include that for each deliverable, development and review steps are included in the master project schedule and a deliverable expectation document (DED) is created which defines the scope, content, and review process for the deliverable. A review committee of project team staff and project sponsors is identified and assigned to each deliverable. Upon completion of the review and edit process the committee makes a recommendation for approval to the project director, who accepts each deliverable.







| Assessment Category | Findings and Observations | Recommendations | Status |
|--|--|-------------------------|---|
| Ensure there is a clear definition of project deliverables and that deliverables are managed in a consistent manner. | The deliverable process outlined in the PMP is being followed for all deliverables. The updated Deliverable Management Standards and Procedures provide additional definition of the process outlined within the PMP. | No new recommendations. | Current  Previous  Trend  |
| Verify defined deliverable review process is consistently administered across the project. | The deliverable process outlined in the PMP is being followed for all deliverables. In addition, the more detailed deliverable management process outlined within the Deliverable Management Standard and Procedures is being piloted with each of the QMS elements. | 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 has a sound discipline around identifying and documenting findings. Significant lessons are entered into the project SharePoint portal. New or active lessons learned are reviewed at each track's regular RAIDL meeting. At the bi-weekly PMO RAIDL meeting, any new lessons learned items are reviewed.

| 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. | Lessons learned are documented in SharePoint by the tracks as they are identified and discussed at the regular RAIDL meetings. | No new recommendations. | 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. | No project phases were closed during the reporting period. | No new recommendations. | Current  Previous  Trend  |







6. Communications and Outreach

6.1 Communications Management

Process Observation Summary

The project team maintains a communications plan to guide the development, execution and monitoring of project communications. The plan defines the communications infrastructure, identifies stakeholder groups, and outlines the various types of communications routinely utilized by the project team.










The OCM team maintains a project communications log which serves as a record of all project communications and meetings conducted with entities outside of the Florida PALM project team. Project communications are initially captured within individual project track status reports and later transferred by the OCM team into the communications log.







| Assessment Category | Findings and Observations | Recommendations | Status |
|---|---|--------------------------------|---|
| <p>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.</p> | <p>Feedback and monitoring processes were observed for steering committee meetings, individual meetings with steering committee members, and with legislative stakeholders.</p> | <p>No new recommendations.</p> | <p>Current  Previous  Trend </p> |
| <p>Determine if the plan is being successfully executed, observing the plans 'in action'.</p> | <p>The current project communications plan outlines key communication and outreach activities. During the current assessment period, project artifacts were developed consistent with the communication plan and were available for review by the IV&V team. The OCM team also maintains a communication log that substantiates project communication consistent with the communication plan.</p> | <p>No new recommendations.</p> | <p>Current  Previous  Trend </p> |

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 includes a full stakeholder analysis. The OCM team tracks participation and monitors engagement in these sessions to identify and proactively engage agencies that may require additional support. Formal outreach to external parties is being managed, as needed.

| 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 includes 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 addresses outreach to impacted stakeholders to maximize their involvement. | 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 performs proactive communication to impacted stakeholders and uses feedback mechanisms such as surveys and email to gauge the effectiveness of project messages. | No new recommendations. | Current  Previous  Trend  |










| Assessment Category | Findings and Observations | Recommendations | Status |
|--|--|-------------------------|--|
| Review plan to determine how the team plans to measure the key components of change (e.g., awareness, buy-in, etc.). | The project team has outlined and is following a process for capturing relevant communications to and from stakeholders within a project-wide communications log. Measurement of awareness and buy-in is not fully operationalized, but the project team does track key elements of change during events where the project interacts with a convened group of stakeholders such as the requirements workshops. | No new recommendations. | Current  Previous  Trend  |
| Determine whether the project proactively identifies areas at risk for resistance and effects strategies to manage the potential resistance. | The project team continues to document risk and issue information on SharePoint and communicate with the impacted parties. | No new recommendations. | Current  Previous  Trend  |

6.3 Content Management

Key Metrics

Process Observation Summary







The project extensively uses a Microsoft SharePoint collaboration site for the tracking and managing of working documents and artifacts. Version control is enabled in SharePoint, providing the ability to track revisions to documents if necessary. The project team consistently uses SharePoint collaboration for the internal development of project deliverables and other project artifacts.

| Assessment Category | Findings and Observations | Recommendations | Status |
|--|---|-------------------------|---|
| Verify the project has a clear strategy for maintaining and managing project artifacts. | The project has a strategy which guides the management of project artifacts including work products, deliverables, and KPIs. | No new recommendations. | Current  Previous  Trend  |
| Assess the level of detail and adherence to document and deliverable management policies and procedures. | The OCM team has created and published document management standards and naming conventions. Version management is outlined in the Content Release Management Standards and Procedures which were drafted during April. | No new recommendations. | Current  Previous  Trend  |
| Assess the consistency and ease of finding and accessing project documentation. | Each team has their own SharePoint file structure. In April, the project posted indexes to each team's SharePoint directory to aid in the navigation and location of files. | No new recommendations. | Current  Previous  Trend  |

6.4 Collaboration Management

Process Observation Summary

The Florida PALM Project has identified external partners with whom they will require collaboration to be successful. Outreach to several 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 FFMIS entities, other public sector ERP Implementations and external interest groups. The Q3 collaboration strategy update FY15/16 was accepted in May, and the project submitted the Q4 collaboration strategy update in August.

| Assessment Category | Findings and Observations | Recommendations | Status |
|---|---|--------------------------------|---|
| <p>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.</p> | <p>The project team's overall collaboration strategy defines 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 defines an engagement approach for engaging the statutorily defined functional owners for each of the Florida Financial Management Information System (FFMIS) subsystems.</p> | <p>No new recommendations.</p> | <p>Current  Previous  Trend </p> |
| <p>Verify metrics for assessing collaboration partner engagement are appropriate and tracked.</p> | <p>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.</p> | <p>No new recommendations.</p> | <p>Current  Previous  Trend </p> |

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. Because risks and issues in some project categories will have a larger impact on the overall project, we prioritized the project elements based on their relative impact to the project. We evaluated each project management process against the following three categories to determine an overall priority for the Pre-SSI portion of the Florida PALM Project. These priorities are likely to change to some degree once the integrator 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. (e.g. 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 Outcomes | 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 weekly reviews | AST |
| Executive Steering Committee | Regular scheduled steering committee meetings to inform on project status and make decisions | DFS, ESC |

Appendix 3. Project Documentation Reviewed

The table below lists some of the project artifacts reviewed by the IV&V team in preparation of this assessment:

| Category of Documents Reviewed | Documents Reviewed |
|--|---|
| PMO and project reporting related documents | <ul style="list-style-type: none"> • Florida PALM Project Charter, 11/20/15 • Florida PALM Project Management Plan, 02/19/16 • Organization Charts, 02/02/16 • SSI Project Management Requirements/Project Specifications (PMO7) • IV&V Continuous Improvement Plan, 09/30/16 • Master Project Schedule, 09/02/16 • Monthly Project Status Reports (PMO6), 05/27/16 • Project Status Reports, 9/30/16 • RADAR Report, 9/30/16 • RAIDL: Action Item Log, 09/30/16 • RAIDL: Decision Log, 09/30/16 • RAIDL: Issues Log, 09/30/16 • RAIDL: Lessons Learned Log, 09/30/16 • RAIDL: Project Change Request Log, 09/30/16 • RAIDL: Risk Log, 09/30/16 • Spend Plan, 9/30/16 • Track Project Status Reports (PMO5), 9/30/16 • Procurement Log, 08/30/2016 • QMS Implementation Plan, 02/22/16 |
| Executive Steering Committee (ESC) related documents | <ul style="list-style-type: none"> • Governance Charter, 02/19/16 • Presentation Documents, 8/23/2016 |
| 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, 9/30/16 • BPS Strategic Plan Section 3, 08/06/15 |

| Category of Documents Reviewed | Documents Reviewed |
|--|--|
| | <ul style="list-style-type: none"> • 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"> • Florida PALM Pre-DDI Website (intranet), 9/30/16 • Florida PALM Website (public-facing), 9/30/16 • Communications Log, 9/30/16 • Style Guide, 03/22/16 • Collaboration Strategy FY 2015-2016, 03/17/16 • Collaboration Strategy FY16 Q3 Update, 05/20/16 • Communications Plan, 02/19/16 • New Employee Orientation Materials, 07/17/15 • OCM Pre-DDI Track Strategy, 06/15/15 • FFMS Engagement Strategy, 06/13/15 |
| Procurement related documents | <ul style="list-style-type: none"> • SSI ITN document and Attachments 9/29/16 |
| 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 |