



# Monthly Independent Verification and Validation Assessment Report

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

September 2017

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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, 2017.

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 this assessment period that could adversely affect the Project's outcome in terms of schedule, budget, or quality.

Overall risk status of Florida PALM Project:



The Project continues to support the Department's procurement activities. In September, the Project received a negotiations timeline from the negotiations team indicating activities past the previous planned milestone date. The project followed its documented governance process and obtained approval for PCR26 to adjust the ITN Negotiations and Contract Award date to 6/30/2018 from the Executive Steering Committee during the September 27, 2017 meeting.




During the month of September, the Project continued to execute on their planned pre-DDI readiness activities including detailed business process analysis, interface inventory analysis, data assessment, and work to identify necessary statutory changes to support the implementation. The Project also began to evaluate the impacts on the schedule and project activities from the change to the ITN Negotiations and Contract award date milestone. The Project effectively used its schedule management processes to balance between scheduled activities and the needs of the ITN.

## 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 assessment period?	NO













## 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
	<b>Red.</b> 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.
	<b>Yellow.</b> 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.
	<b>Green.</b> 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 utilizes 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	August 2017	July 2017
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	August 2017	July 2017
3. Project Execution - Additional Criteria 3.1. Performance management 3.2. Staffing management 3.3. Action item management			
4. Procurement and Contracts 4.1. Procurement and vendor management			
5. Quality Management 5.1. Quality management 5.2. Deliverable management 5.3. Lessons Learned Management			
6. Communications and Outreach 6.1. Communications management 6.2. Stakeholder management 6.3. Content management 6.4. Collaboration management			

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 the open finding that was addressed this assessment period.

Summary Finding	Current indicator	Area(s) impacted	New Observation
<b>F15.</b> The negotiations team has not established a timeline for the negotiations, which would enable the Project to determine if there was an overall schedule impact due to the delay of the start of negotiations.		1.2 – Schedule Management	During the reporting period, the Project approved PCR26 to adjust the ITN Negotiations and Contract Award milestone date to 6/30/2018 to reflect the timeline identified by the Negotiations team.

### 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 opened and closed one change request during the period. The ESC approved PCR26 as proposed by the Project.
Number of change requests processed this period with final determination	1			
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 all Project Team members and provides visibility into the Project Team members who review changes, any disposition considerations, and a record of approval including any escalations that were required.



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). PCR26 processed during September, was clearly communicated to the ESC members and reviewed during the September 27 <sup>th</sup> ESC meeting.	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.	The Project followed the defined review, escalation, and approval process for PCR26, processed in September.	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 Project Master Schedule (PMS) reviewed was dated 09/29/2017. This was the last revision of the PMS posted for this assessment period. The six late tasks are on non-critical path tasks with plans to complete the work before it has an impact on dependent tasks.
% Complete	86%			
Number of Late Tasks	6			

### Process Observation Summary



The process for managing the project schedule is defined within the Project Management Plan and includes maintenance of a Project Master Schedule (PMS) incorporating activities performed by all Project members and work tracks. During this assessment period, the Project continued working from Baseline 6. The Project performed their regular progressive elaboration schedule update process during the last reporting period which finalized the May and June tasks and due dates. The PMO continues to work individually with each Project Track prior to the scheduled Project Monthly Commits meeting which increases the accuracy and understanding of work detail and resources committed for tasks, allowing for early detection of task and/or resource conflict.

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.  During the reporting period, the Project approved PCR26 to adjust the ITN Negotiations and Contract Award date to 6/30/2018 to reflect the timeline identified by the Negotiations team.	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 continue to be called out in the Project Master Schedule (PMS). No milestones were changed during the current assessment period.	No new recommendations.	Current  Previous  Trend 

Assessment Category	Findings and Observations	Recommendations	Status
Determine if the process for comparing Project progress against planned (baselined) measures is appropriate and being followed.	The Project continues to review the PMS 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)	.98			The Project is currently tracking CPI in the Project Master 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 both the schedule performance index (SPI) and cost performance index (CPI) using earned value management (EVM) techniques against the Project Master Schedule. Proxy values for Project cost are used.

We believe CPI is a helpful indicator for looking at resource efficiency from one month to the next with the understanding that there are some limitations due to the Project utilizing proxy values. Our assessment of CPI as an indicator is limited 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 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 
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 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 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	4			Four risks were opened during this period and are under evaluation.
# of risks closed during this period	0			
# of overdue risks	0			There were no overdue risks during this assessment period.
# of risks transitioned into issues	0			No risks transitioned into issues during this assessment period.

### Process Observation Summary







The Project continues to follow its risk management procedures as outlined in the PMP. 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 Risk Log, Action Item Log, Issues Log, Decision Log, Lessons Learned Log (RAIDL) Meetings.

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 continue to be 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 Executive Steering Committee and discussed as evidenced by meeting agendas and by direct observation.	No new recommendations.	Current  Previous  Trend 

Assessment Category	Findings and Observations	Recommendations	Status
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 
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 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 continues to follow its issue management procedures as outlined in the PMP. 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 regular project-wide RAIDL Meetings 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 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 Section 18 of the PMP.	No new recommendations.	Current  Previous  Trend 
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 Project followed their established governance process, conducting an Executive Steering Committee meeting on September 27, 2017.

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, there was one ESC meeting. In addition, Project Team met with some members of the ESC individually.	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	1			One new decisions were opened during this assessment period.
Number of decisions closed this period	0			No decisions were closed during this assessment period
Number of overdue open decisions	1			One decision related to negotiation support tools was overdue at the close of this assessment 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 assessment period, there was one overdue decision relating to a project support tool which is dependent on input from the ITN Negotiations team.



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.	Project Change Request #26 which extended the Project duration was presented to the ESC following the documented governance process.	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 Project Master Schedule was vetted through and received approval from Project Sponsors.	During this assessment period, minor schedule changes were made as part of the planned monthly progressive elaboration. In addition the milestone date for the ITN Negotiations and Contract Award was updated per the approved PCR26.	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.

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 are captured after each task and tracked in SharePoint in the Lessons Learned Log. These are added and reviewed as part of regular weekly Track 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 

Assessment Category	Findings and Observations	Recommendations	Status
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 is reviewed during the regular internal status meetings. Additionally, Project performance is reported externally on a quarterly basis through 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.	97% (30 of 31)			During this assessment period, two additional team members were onboarded.
Turnover	0% (0 of 30)			During this assessment period, there were no team departures.

#### 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.





During this assessment period, the Project continued to maintain their staffing plans within the baselined Project Master Schedule. One Project Team member joined the OCM track, and one joined the BPS track as planned.

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 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 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 

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 current Project resources appear to have the 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 follows 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 manages 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 continue to appear 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 past due	2			There were two outstanding action items as of September 29. The Project is making progress on the open items including those added during this assessment period.
Average age of past due items	2			

#### 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 Project Track's regular (weekly or bi-weekly) RAIDL Meeting. The Project Team reviews the open action items bi-weekly to validate their status.

With activities identified during fiscal year planning, the Project is using the action items to track Project activities







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 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 Project Master Schedule where appropriate.	The Project Team reviews Action Items at least bi-weekly 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 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 this assessment period.

During this assessment period, the Project completed a procurement for PMO support services and continued a procurement for Integration Architect support services.

Assessment Category	Findings and Observations	Recommendations	Status
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.	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 
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.	Solicitation documentation reviewed for a selection of procurements from the Florida PALM procurement log contain clear functional requirements. A Q&A and clarification process has been observed with each procurement performed by the Project.	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.	Project risk factors are identified in solicitation documentation for a selection of the Florida PALM procurements reviewed and an understanding of the risks was confirmed via interview.	No new recommendations.	Current  Previous  Trend 



Assessment Category	Findings and Observations	Recommendations	Status
Determine whether documented evaluation processes exist and are being consistently followed.	The Project has an evaluation process for procurements. This process was followed for the recently completed PMO Support procurement, and to date has been followed for the Integration Architect procurement.	No new recommendations.	Current  Previous  Trend 
Determine whether the Evaluation Team has received training and ongoing guidance necessary for them to evaluate bids in an effective and consistent manner.	The Project procurement lead provides training for the team members participating in procurements as necessary.	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.	The Project contract managers regularly review Project risks and the performance of current and planned contracts. No procurement related issues were raised this assessment 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 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 both deliverable and service quality is detailed within the PMP and the accompanying training materials. Training on this content has been provided to the Project Team, and is provided to new Project Team members as part of their orientation.

Assessment Category	Findings and Observations	Recommendations	Status
Verify Project self-evaluations are performed and that measures are continually taken to improve the process.	A review of the Project's process effectiveness was performed during the fourth quarter of FY 16-17 and improvements to the Project Master Schedule, internal communication, and other PMO processes were made.	No new recommendations.	Current  Previous  Trend 







Assessment Category	Findings and Observations	Recommendations	Status
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 
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 are 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 is clearly defined in the PMP. Specific review responsibilities for each individual deliverable are determined during planning and documented in the DED and Project Master 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 have been developed and accepted. They address 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, are 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 development and review steps included in the Project Master Schedule (PMS) and a deliverable expectation document (DED) created which defines the scope, content, and review process for each deliverable. A review committee of Project Team staff and Project Sponsors is 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.







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 section 20 of the PMP is being followed for all 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 is being followed for all 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 has a sound discipline around identifying and documenting findings. Significant lessons learned are entered in the Project SharePoint portal. New or active lessons learned are reviewed at each Project Track's regular RAIDL Meeting. At the bi-weekly PMO RAIDL Meeting, 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 work 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 this assessment 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 communication. The Plan defines the communication infrastructure, identifies stakeholder groups, and outlines the various types of communication routinely utilized by the Project Team.

The OCM Team maintains a Project Communications Log which serves as a record of all 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 later transferred by the OCM Team into the Project Communications Log.




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 executive steering committee meetings, individual meetings with executive steering committee 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 outlines 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 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 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 stakeholders and uses feedback mechanisms such as surveys 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 is evaluating key change components through activities consistent with the expected change during the Project phase. Currently, the OCM team is capturing 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 continues to document 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 uses a Microsoft SharePoint collaboration site for the tracking and managing of working documents and deliverables. Version control is enabled in SharePoint, providing the ability to track document revisions as necessary. The Project Team consistently uses SharePoint collaboration for the internal development of Project deliverables and other Project documents.

Assessment Category	Findings and Observations	Recommendations	Status
Verify the Project has a clear strategy for maintaining and managing Project documents.	The Project has a strategy which guides the management of Project documents 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 Project is following the currently approved Content Release and Deliverable Management processes outlined within the PMP.	No new recommendations.	Current  Previous  Trend 









Assessment Category	Findings and Observations	Recommendations	Status
Assess the consistency and ease of finding and accessing Project documentation.	The Project SharePoint repository has a 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 has 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.

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 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 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. 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-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 bi-weekly reviews	AST
Planning / Working	Discuss DDI readiness preparation	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"> <li>• Project Master Schedule, 09/29/2017</li> <li>• Monthly Project Status Reports, 09/22/2017</li> <li>• RADAR Report, 10/03/2017</li> <li>• RAIDL: Action Item Log, 09/29/2017; RAIDL: Decision Log, 09/29/2017; RAIDL: Issues Log, 09/29/2017; RAIDL: Lessons Learned Log, 09/29/2017; RAIDL: Project Change Request Log, 09/29/2017; RAIDL: Risk Log, 09/29/2017</li> <li>• Spend Plan, 10/11/17</li> <li>• Procurement Log, 09/29/2017</li> </ul>
Organizational Change Management (OCM) related documents	<ul style="list-style-type: none"> <li>• Florida PALM Pre-DDI Website (intranet), 09/29/2017</li> <li>• Florida PALM Website (public-facing), 09/29/2017</li> <li>• Communications Log, 09/29/2017</li> </ul>

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"> <li>• Florida PALM Project Charter, 9/15/2017</li> <li>• Florida PALM Project Management Plan, 06/01/2017</li> <li>• QMS Implementation Plan, 02/22/16</li> <li>• PMP Presentation, 09/29/2017</li> </ul>

Category of Documents Reviewed	Documents Reviewed
	<ul style="list-style-type: none"> <li>New Employee Orientation Materials (Florida PALM PTO), 09/14/2017</li> </ul>
Executive Steering Committee (ESC) related documents	<ul style="list-style-type: none"> <li>Presentation Documents, 09/27/2017</li> <li>Governance Charter, 02/19/16</li> </ul>
Business Process Standardization (BPS) related documents	<ul style="list-style-type: none"> <li>BPS Business Requirements Cycle 2, 03/07/16</li> <li>BPS Level 2 Standardized Business Process Models - Version 1.0, 12/02/15</li> <li>BPS Business Requirements Cycle 1, 10/13/15</li> <li>BPS Policy Issue Tracking Log, 09/29/2017</li> <li>BPS Standard Business Process L1 Flows and Standard Business Process Model, 07/09/15</li> </ul>
Organizational Change Management (OCM) related documents	<ul style="list-style-type: none"> <li>Project Team Guidelines (I-OCM18)</li> <li>Change Champion Strategy (I-OCM30)</li> <li>Florida PALM Project Style Guide, FY17-18 Q1</li> <li>Project Team Guidelines, FY17-18 Q1</li> <li>Project Collaboration Strategy FY17-18</li> <li>Florida PALM Website (public-facing), 09/29/2017</li> <li>Florida PALM Illustrative Story</li> </ul>
Systems and Data Strategy (SDS) related documents	<ul style="list-style-type: none"> <li>Pre-DDI Enterprise Architecture Strategy (SDS2)</li> <li>Florida PALM Pre-DDI Data Management Plan (I-SDS2)</li> <li>Integration Point Gap Analysis Cycle 2 (I-SDS5)</li> <li>FLAIR-CMS Conceptual Data Model (I-SDS6)</li> <li>FLAIR-CMS Integration Data Model (I-SDS8)</li> <li>Interface Inventory Analysis (I-SDS10) DED</li> <li>Data Assessment (I-SDS110) DED</li> </ul>
Agency Business Case related documents	<ul style="list-style-type: none"> <li>Business Case for Maintaining Agency Business Systems 10/31/16</li> <li>Attachment 2 of Business Case for Maintaining Agency Business Systems, 10/31/16</li> </ul>
FLAIR Study	<ul style="list-style-type: none"> <li>FLAIR Study Report, 4/9/2014</li> <li>FLAIR Study Cost Model, 4/9/2014</li> <li>Agency Business System Inventory Analysis, 4/8/2014</li> <li>Inventory of Agency Systems Interfacing with FLAIR, 4/9/2014</li> </ul>