

Florida Department of Financial Services Planning, Accounting, and Ledger Management Project

IV&V Monthly Assessment Report Reporting Period September 2022

October 17, 2022

Contract: 80101507-IVV-15-1

Engagement: P0055466

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EXECUTIVE OVERVIEW

IV&V Services Start Date	IV&V Services End Date	IV&V Reporting Period
09/03/2021	6/30/2023	09/01/22 – 09/30/22

PROJECT HEALTH SUMMARY

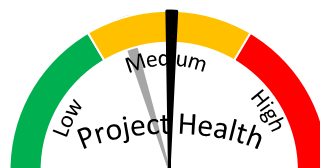
For the month of September, the Florida PALM IV&V Team assessed the overall health of the Florida PALM Project Schedule as remaining at Medium Risk (Yellow). The Schedule and Scope are in a Medium Risk (Yellow) range and Resources are in a Low Risk (Green) range.

The Florida PALM Project Team is conducting requirements review sessions and Personalized Agency Working Sessions (PAWS) to solicit feedback for upcoming Financials and Payroll Waves. The Florida PALM IV&V Team understands these sessions will result in potential updates to the design and compiled documentation work product (I-WP25 Personalized Agency Workgroup Sessions). The documented work products are planned to complete by 1/10/23.

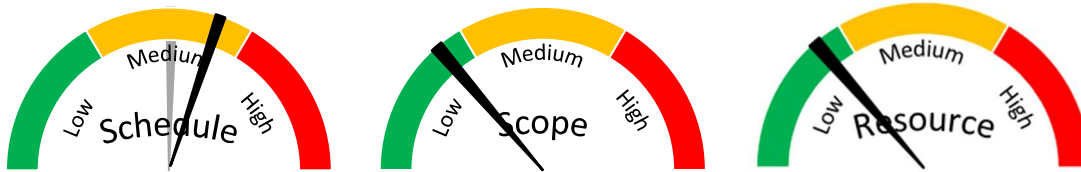
The Florida PALM Project Team is working on Amendment 8 to the SSI Vendor Contract to assist in establishing the scope that will drive the Project Schedule for the next phase of the Project. The Florida PALM Project Schedule does not yet have many Financials and Payroll Waves tasks identified and/or activated after December 2022.

The Florida PALM IV&V Team conducted interviews with the Accounting and Auditing (A&A) and Treasury regarding the Fiscal Year 2022 (FY22) Year-End-Closing (YEC). The purpose of the interviews is to gain their perspective and feedback on the FY22 YEC. The Florida PALM IV&V Team is in the progress of performing the independent review and will provide the outcome in a future report.

Overall Risk



The Florida PALM IV&V Team assessed the overall Risk to the Florida PALM Project as Medium Risk (Yellow) in September. According to the Florida PALM Project IV&V Management Plan, the Medium Risk rating is defined as the possibility of moderate impact on product quality, manageability, cost, or schedule.



How to Interpret Risk Rating Dials

Each month, the Florida PALM IV&V Team will rate the Florida PALM Project’s Risk in terms of its respective Schedule, Scope, and Resources. The dials include an intuitive Green-Yellow-Red spectrum, where Green indicates a positive status or “Low” Risk rating, Yellow represents “Medium” Risk, and Red indicates a “High” Risk rating.

Light Grey hands on the dial indicate IV&V’s Risk rating from the previous month. Black hands on the dial represent IV&V’s current rating for the month. The presence of Grey hands on the dial represents that IV&V updated its rating (increased or decreased) as compared to the previous month. The absence of a Grey hand on the dial (and only Black), indicates that IV&V maintained its rating for the month and represents no change.

Schedule

The Florida PALM IV&V Team assesses the overall Florida PALM Project Schedule Risk rating as moving to a higher Medium Risk (Yellow). The Florida PALM Project Team made progress in completing planned tasks on the Florida PALM Project Schedule related to CMS Remediation activities, during this reporting period. The Florida PALM IV&V Team understands the Florida PALM Project Team is working on an updated Amendment with the SSI Vendor that will help establish the Project Schedule for the next phase of the Project. The Florida PALM IV&V Team will monitor in the next reporting period and propose a Finding if warranted.

Scope

Florida PALM IV&V Team assesses the Florida PALM Project Scope Risk rating at Medium Risk (Yellow) in the month of September. The Florida PALM IV&V Team observed that the Scope for CMS Remediation was completed on 9/30/22. After this month, the Florida PALM Project Team will not continue the CMS Hypercare Optional Services (D627) provided by the SSI Contractor in addition to their standard Production Support Services. The scheduled end date is 10/18/22 (as per the Project Schedule).

The Florida PALM Project Team and SSI Vendor also continued working on requirements review and attending Agency PAWS. These activities continue to progress well, although there are some concerns regarding Agency agendas not sufficiently exploring and addressing their unique agency business systems. This is noted in a section of Florida PALM IV&V Finding 10 opened on 9/23/22.

The Florida PALM IV&V Team notes the Florida PALM Project scope is dependent on Amendment 8, which will provide the necessary updates to the Financials and Payroll Waves scope. Amendment 8 is currently under negotiation. The Florida PALM IV&V Team is scheduled to review Amendment 8 documents during the time in between when the Florida PALM Project Team and the SSI Vendor's negotiations end, and when the final drafts are provided to the Executive Steering Committee (ESC) for review. Review dates are outlined in the Amendment 8 section later in this report.

Resources

The Florida PALM IV&V Team maintains the Florida PALM Project Resource Risk rating at Low Risk (Green) in September. Although Hurricane Ian caused office closures across much of Florida, the Florida PALM Project resource availability for Florida PALM Project tasks were not affected significantly by the hurricane.

The Florida PALM Project Team's decision not to continue CMS Hypercare Optional Services (D627) after this month may potentially impact Production Support resources since these additional Production Support Services will no longer be provided by the SSI Vendor.

FINDINGS

The Florida PALM IV&V Team uses its proprietary Eclipse IV&V® methodology to define the types of Findings used in our IV&V practice:

- **Issue:** an event or condition that has already happened and has impacted, or is currently impacting, the project objectives. There is no uncertainty or probability aspect associated with an issue. The issue probability rating is automatically set to the value five as the issue, by definition, has already occurred.
- **Risk:** an uncertain event or condition that, if it occurs, has a positive or negative effect on one or more project objectives such as scope, schedule, cost, or quality.
- **Preliminary Concern:** often based on observations where the Florida PALM IV&V Team may have “limited visibility” of the subject area. More analysis and a better understanding of the concern are necessary before classifying the item as a Risk or Issue and assessing the potential impact. This Finding may serve as notice of a concern the Florida PALM IV&V Team is researching.

The rating system for probability, impact, and priority is defined in Appendix A as well as the IV&V Project Management Plan (PMP).

NEW FINDINGS

ID	Date Opened	Status	Priority	Type
10	9/23/22	New	Medium	Risk
<div style="display: flex;"> <div style="background-color: #1a3d4d; color: white; padding: 10px; width: 20%; font-weight: bold; text-align: center;">Summary</div> <div style="padding: 10px; flex-grow: 1;"> <p>The Florida PALM Project may be at risk of needing additional remediation work during implementation of the Financials and Payroll Waves due to Agencies' not fully defining their needs or not engaging fully in communicating their current FLAIR business processes. If Agency needs are not built into the initial functional and technical requirements of the Florida PALM Project, there is a potential for necessary rework after implementation to address the missed functionality that Agencies need to conduct business operations. Robust Agency involvement is critical to proactively define needs for the Florida PALM solution functionality.</p> <p>Interviews with the Readiness and Training Team revealed that during the CMS Wave, Agencies did not always submit materials in a timely manner or requested materials were incomplete. In response, the Florida PALM Project Team created a variety of new outreach programs to Agencies or enhanced existing programs. These included more robust monthly touchpoints, more Agency involvement in quarterly Town Halls, and the creation of the Advisory Council for more direct Agency input when discussing business and functional aspects of the Florida PALM Project. However, while many Agencies are responding to tasks and questions to a satisfactory degree, there is still a Risk that lack of overall buy-in and cooperation from all Agencies will result in incomplete requirements definition and a solution design that lacks the required functionality the Agencies depend upon. Examples include:</p> <ul style="list-style-type: none"> Agency-created agendas for Personalized Agency Working Sessions (PAWS) that do not address the requirements gathering needs of the Florida PALM Project; as well as Agencies expressing a lack of understanding of PAWS until after the meetings were scheduled. <p>Recommendations</p> <p>The Florida PALM IV&V Team recommends the Florida PALM Project Team continue performing outreach to Agencies encouraging full engagement with the Florida PALM Project, as well as supporting Agencies in whatever questions they have or tasks they may need to accomplish in providing relevant information on their existing processes in FLAIR and needs for the upcoming Financials and Payrolls waves PALM system.</p> <p>Update 9/30/22</p> <p>Two Agency PAWS were conducted in September which the Florida PALM Project Team and SSI Vendor attended, those being the Fish and Wildlife Conservation Commission (FWC) and the Department of Transportation (DOT). Both Agencies engaged well with the Florida PALM Project Team and SSI Vendor in preparing for and conducting the PAWS. However, the Florida PALM Project Team noted that several Agencies did not submit agendas that would address their Agency business systems during PAWS. Several Agencies also expressed the need for additional assistance preparing.</p> </div> </div>				

UPDATED FINDINGS

No Findings were updated in the month of September.

CLOSED FINDINGS

No Findings were closed during this reporting period.

IV&V ACTIVITIES COMPLETED

This section discusses the activities performed by the Florida PALM IV&V Team during the reporting period. This is not intended to be an exhaustive detailing of the activities but a high-level description of the activity.

MEETINGS ATTENDED

This section contains the meetings the Florida PALM IV&V Team attended detailing the event's subject, purpose, and timing during the reporting period.

Note: The Florida PALM IV&V Team attendees will only be tracked for meetings the Florida PALM IV&V Team has conducted.

Meeting Subject / Name	Purpose	Date / Time
Week-end Checkpoint	Key Meetings for the Week CMS Remediation Efforts A-7 Updates A-8 Items Solution Center Update.	9/1/22 9:00 AM – 10:00 AM
Project and Grant Discussion	Discuss the Project Costing and Grants module's functionality.	9/1/22 1:00 PM – 2:00 PM
CMS Remediation	CMS Remediation working session meeting.	9/1/22 1:00 PM – 2:00 PM
Technical Retrospective	Technical retrospective with the Technical Team for the past week's status.	9/2/22 9:30 AM – 10:15 AM
CMS Remediation	CMS Remediation working session meeting.	9/2/22 1:00 PM – 2:00 PM
Technical Check	Status Updates on Technical Activities.	9/6/22 9:30 AM – 10:00 AM
Incident Triage Meeting	Provide updates and progress on priority incidents.	9/6/22 9:30 AM – 10:30 AM
PMO Weekly Touchpoint	Review PMO objectives, questions, and hot topics.	9/6/22 2:00 PM – 3:00 PM
PMO State Team Weekly Check-Point	Schedule and Reporting, Status of current projects, Upcoming projects, Roadblocks, and impediments.	9/6/22 3:00 PM – 4:00 PM

Meeting Subject / Name	Purpose	Date / Time
PALM Project Status Meeting	Meeting to review the weekly status of the Project.	9/7/22 9:00 AM – 10:00 AM ET
CM Hypercare Meeting	Discussion of cash management incidents and solutions.	9/7/22 2:00 PM – 3:00 PM
Town Hall Final Prep Meeting	Meeting on 9/7/22 for final preparation for the Town Hall held in-person at DCF on 9/8/22.	9/7/22 1:30 – 2:30 PM
Change Champion Network Town Hall	Change Champion Network Town Hall.	9/8/22 10:00- 12:00 PM
Discussion and Update on Investment Accounting Solution	Update from Treasury on Investment Accounting Solution, Discussion/visual on Treasury's proposal of recording accounting entries in Florida PALM, Discussion on what level of data is needed/desired from Accounting and Auditing/Financial Reporting team.	9/8/22 1:00 – 2:00 PM
PMO State Team Weekly Check-Point	Schedule and Reporting, Status of current projects, Upcoming projects, Roadblocks, and impediments.	9/12/22 9:35 AM – 10:25 AM
PAWS Session Agenda Review	Reviewing agenda for FWC PAWS sessions	9/12/22 2:00 PM – 3:00 PM
Advisory Council Topic Discussion	To discuss agenda for upcoming Advisory Council meetings	9/12/22 2:00 PM – 2:30 PM
Incident Triage Meeting	Provide updates and progress on priority incidents.	9/13/22 9:30 AM – 10:30 AM
Florida PALM PAWS Meeting – FWC	Discussion of Agency business systems during this time slot	9/13/22 2:00 PM – 4:00 PM
DEP / Florida PALM Touchpoint Meeting	Recurring Florida PALM touchpoint meeting between your organization's Change Champion Network Agency Liaison and Agency Readiness Coordinator to review and discuss Pilot implementation activities.	9/14/22 9:00 AM – 10:00 AM
Incident Triage Meeting	Provide updates and progress on priority incidents.	9/15/22 9:30 AM – 10:30 AM
Florida PALM PAWS Meeting – FWC	Discussion of Agency reporting tools and activities during this time slot	9/15/22 11:00 AM – 12:00 PM

Meeting Subject / Name	Purpose	Date / Time
Working Session: Lessons Learned Template and Log	Working session reviewing the Lessons Learned Template and Lessons Learned Log, and Lessons Learned processes.	9/15/22 9:00 AM – 10:00 AM
PAWS Agenda Review	Reviewing agenda for the upcoming week and any additional relevant information	9/16/22 10:00 AM – 11:00 AM
PGM Touchpoint	Project Grants Module meeting.	9/16/22 10:00 AM – 11:00 AM
Project Costing and Grants Discussion	Discuss the Project Costing and Grants module's functionality.	9/16/22 2:30 AM – 4:00 AM
Weekly Support Services Checkpoint	Status of Florida PALM Weekly Support Services meeting.	9/16/22 2:30 PM – 3:30 PM
PMO State Team Weekly Checkpoint	Schedule and Reporting, Status of current projects, Upcoming projects, Roadblocks, and impediments.	9/19/22 9:35 AM – 10:25 AM
Requirements Review Check-in	Status update on internal requirements review activities	9/19/22 3:30 PM – 4:00 PM
DFS CCN Meeting	Review of DFS unique business systems in preparation for PAWS meeting with Florida PALM Project Team.	9/19/22 4:00 PM – 5:00 PM
Incident Triage Meeting	Provide updates and progress on priority incidents.	9/20/22 9:30 AM – 10:30 AM
PALM Project Status Meeting	Meeting to review weekly status of the Project.	9/20/22 10:00 AM – 11:00 AM
Working Session: Lessons Learned Process Continued	Review of current Lessons Learned Process.	9/20/22 11:00 AM – 12:00 PM
Pod C Requirements Review	Discussion of interest calculation requirements and PeopleSoft capabilities.	9/20/22 4:00 PM – 5:00 PM
Florida PALM Advisory Council Meeting	Meeting of the Florida PALM Advisory Council, representing Agency interests and responsibilities.	9/21/22 10:00 AM – 12:00 PM
Technical Retrospective	To discuss technical status updates for the end of week	9/23/22 9:30 AM – 10:15 AM

Meeting Subject / Name	Purpose	Date / Time
Week-end Checkpoint	1. Key Meetings for the Week 2. CMS Remediation Efforts 3. A-7 Updates 4. A-8 Items Solution Center Update.	9/23/22 10:30 AM – 12:00 PM
Business Process Design Weekly Touchpoint	Review of business process activities.	9/23/22 1:00 PM – 2:00 PM
PGM Touchpoint	Discussion on Project Costing and Grants Modules.	9/23/22 3:00 PM – 4:00 PM
PMO State Team Weekly Checkpoint	Schedule and Reporting, Status of current projects, Upcoming projects, Roadblocks, and impediments.	9/26/22 9:35 AM – 10:35 AM
PGM Ledger Discussion	Review of Projects and Grants Modules options.	9/27/22 2:30 PM – 3:00 PM
PMO Weekly Checkpoint	Weekly meeting with PMO Leads.	9/27/22 3:00 PM – 4:00 PM
Project Status Meetings	Weekly meeting for high-level project status.	9/28/22 9:00 AM – 9:30 AM
Florida PALM Executive Steering Committee Meeting*	Florida PALM Project September Executive Steering Committee Meeting. *Participated as a presenter	9/28/22 2:00 PM – 4:00 PM
Technical Retrospective	Weekly Technical Retrospective status check with Technical Teams.	9/30/22 9:30 AM – 10:15 AM
Week-end Checkpoint	5. Key Meetings for the Week 6. CMS Remediation Efforts 7. A-7 Updates 8. A-8 Items Solution Center Update.	9/30/22 10:00 AM – 11:00 PM
PGM Touchpoint	Discussion on Project Costing and Grants Modules.	9/30/22 10:00 AM – 11:00 AM
PPA Team Requirements Review Follow-up	Follow-up on requirements review activities and preliminary results	9/30/22 11:00 AM – 12:00 PM
Business Process Design Weekly Touchpoint	Weekly meeting to discuss Business Process Design changes.	9/30/22 1:00 PM – 2:00 PM
PPA Team Design Decision Log Review	Review of design decision log format and usage	9/30/22 2:00 PM – 3:00 PM

MEETINGS CONDUCTED

This section contains the meetings Florida PALM IV&V Team conducted during the reporting period.

Meeting Subject / Name	Purpose	Date / Time	IV&V Attendees
PALM IV&V BPM DAR Review	This call is to walk through the Florida PALM IV&V Team Business Process Model (BPM) Deliverable Assessment Report (DAR).	9/2/22 10:30 -11:00 AM	Florida PALM Project Director Florida PALM Contract Manager DMS Contract Manager Fred Forrer Kimberly Nichols Fahad Ahmed
IV&V Review – Draft Weekly Status Report	Review draft of 9/2/22 Weekly Status Report.	9/6/22 9:30 AM – 10:00 AM	Florida PALM Project Manager Florida PALM Contract Manager DMS Contract Manager Kimberly Nichols Sebastian Lende
Work Product IV&V Questions	Discuss how Work Products have been historically managed, how they're presently governed, and ideas for future Work Product acceptance and governance.	9/8/22 8:30 AM – 9:00 AM	Florida PALM Project Manager Florida PALM Deputy Project Director Florida PALM Contract Manager Technical Architect Reporting Architect DMS Contract Manager Interim IV&V Services Contract Manager at DMS Tyler Cain
IV&V Review – Draft Weekly Status Report	Review draft of 9/9/22 Weekly Status Report.	9/9/22 9:30 AM – 10:00 AM	Florida PALM Project Manager Florida PALM Contract Manager DMS Contract Manager Kimberly Nichols Sebastian Lende

Meeting Subject / Name	Purpose	Date / Time	IV&V Attendees
Florida PALM IV&V August Monthly Report Assessment.	This call is to review the IV&V Monthly Assessment Report for August 2022 Reporting Period.	9/13/22 4:30 PM – 5:30 PM	Florida PALM Project Manager Florida PALM Contract Manager DMS Contract Manager Kimberly Nichols Sebastian Lende
PALM Lessons Learned	This call is to review IV&V questions on PALM Lessons Learned.	9/15/22 11:00 AM – 11:30 AM	Florida PALM Finance Manager Kimberly Nichols
IV&V Review – Draft Weekly Status Report	Review draft of 9/9/22 Weekly Status Report.	9/16/22 9:30 AM – 10:00 AM	Florida PALM Project Manager Florida PALM Contract Manager DMS Contract Manager Kimberly Nichols Sebastian Lende
Fiscal Year 2022 – A&A Perspective	This call was to review IV&V questions on PALM Lessons Learned.	9/16/22 3:30 PM – 4:00 PM	Accounting & Auditing Assistant Division Director Kimberly Nichols
Florida PALM Penetration Testing Documentation	To discuss Florida PALM Penetration Testing Documentation with Florida PALM Director	9/20/22 1:30 PM – 2:00 PM	Florida PALM Project Director Kimberly Nichols Fred Forrer Fahad Ahmed Rajat Kunwar
PALM IV&V Team Check-in	In-person check-in with Florida PALM IV&V Team before the Florida PALM Advisory Council Meeting.	9/21/22 8:30 AM – 9:00 AM	Florida PALM Project Director Kimberly Nichols Nicolle Suvada
IV&V Review – Draft Weekly Status Report	Review draft of 9/23/22 Weekly Status Report.	9/23/22 9:30 AM – 10:00 AM	Florida PALM Project Director Florida PALM Contract Manager DMS Contract Manager Kimberly Nichols Sebastian Lende

Meeting Subject / Name	Purpose	Date / Time	IV&V Attendees
Fiscal Year 2022 – Treasury Perspective	Director of Treasury perspective on closing FY22 and transitioning FY23 direct support to A&A and Treasury.	9/23/22 2:00 PM – 2:30 PM	Director of Treasury DMS Contract Manager Fred Forrer Kimberly Nichols
IV&V Review – Draft Weekly Status Report	Review draft of 9/30/22 Weekly Status Report.	9/30/22 9:30 AM – 10:00 AM	Florida PALM Project Director Florida PALM Contract Manager DMS Contract Manager Nicolle Suvada Kimberly Nichols

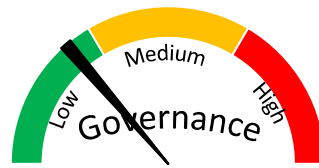
IV&V DELIVERABLES SUBMITTED

Deliverable Name	SOW ID	Date Submitted
Florida PALM IV&V Weekly Status Report 090222	IV&V3-D6	9/6/22
Florida PALM IV&V Weekly Status Report 090922	IV&V3-D6	9/9/22
Florida PALM IV&V Monthly Assessment Report for August 2022	IV&V3-D7	9/13/22
Florida PALM IV&V Weekly Status Report 091622	IV&V3-D6	9/16/22
Florida PALM IV&V Weekly Status Report 092322	IV&V3-D6	9/23/22
Florida PALM IV&V Weekly Status Report 093022	IV&V3-D6	9/30/22

PROJECT DOCUMENTATION REVIEWED

During September, the Florida PALM IV&V Team reviewed the following documents:

PROJECT GOVERNANCE ASSESSMENT



Project Governance Risk Rating

Project Governance Risk Assessment

The Florida PALM IV&V Team assesses the Florida PALM Project governance as remaining within the Low Risk (Green) rating in the month of September. FY23 is being managed by Accounting and Auditing (A&A), Treasury, and Agencies. This marks a month of their governance after it was transitioned from the Florida PALM Project Team to them at FY22 YEC on 8/26/22.

In addition, the Florida PALM Project Team’s conclusion of CMS Hypercare Optional Services (D627) indicates they no longer require these additional Production Support Services from the SSI Vendor (which include system troubleshooting, reconciliation support, user support materials, and Production environment queries). The Florida PALM IV&V Team suggests continued monitoring of Production Support to ensure the quality of support is not altered by this transition.

FISCAL 2022 YEAR-END CLOSE AND FISCAL YEAR 2023 INSIGHTS

After FY22 YEC 8/26/22, IV&V conducted interviews with Accounting and Auditing (A&A), Treasury, and selected Agencies to gather their perspective on FY22 YEC and transitioning direct support of reconciliation from the Florida PALM Project Team to A&A and Treasury for Fiscal Year 2023 (FY23). The Florida PALM IV&V Team has completed the following interviews.

Interviews Completed	Date
Accounting and Auditing (A&A) Assistant Division Director	9/16/22
Directory of Treasury	9/23/22

The Florida PALM IV&V Team has requested interviews with representatives from additional Agencies and will consolidate the feedback and insights into a single report.

PENETRATION TESTING ANALYSIS

The Florida PALM IV&V Team began performing an assessment of the Florida PALM Penetration Testing Plan and the Penetration Testing Work Product. The SSI Vendor performed the Penetration Testing, and subsequently completed the test on 9/2/22. The SSI Vendor developed the WP293 Penetration Testing Work Product as the output of the test. The Florida PALM IV&V Team is completing the review and will provide in a future report.

WORK PRODUCTS

During September, the Florida PALM IV&V Team conducted a meeting on 9/8/22 with the Florida PALM Project Team to discuss how Work Products have been historically managed, how they're presently governed, and ideas for future Work Product acceptance and governance. IV&V also researched a variety of Florida PALM Project documentation sources seeking additional information on, or specific references to, Work Products. Specifically, IV&V reviewed the following documents:

- Attachment 1– Statement of Work Contract #: FP004-Florida PALM SSI, Amendment #:5;
- Attachment 6-A5 Definitions;
- Design, Development, and Implementation (DDI) Project Management Plan (PMP);
- House Bill No. 5003 (2022); and
- Work Product Table (Located within the “Project Tracking Folder” of the Florida PALM Project site within the DFS Intranet).

IV&V reviewed the Work Products listed in the Florida PALM Work Product Table and assessed them based on the definitions for “Deliverable,” “Work Product,” and “Deliverable Supplement,” articulated within Attachment 6 – Definitions Contract #: FP004-Florida PALM SSI, Amendment #: 5. The Florida PALM IV&V Team observed the following sampling of documents listed within the Work Product Table:

- Functional Solution Design Specifications (Reference #16);
- Enhancements List (Reference #48);
- Update Functional and Technical Requirements (Reference # I-WP23); and
- Personalized Agency Working Sessions (Reference #I-WP25).

Lastly, IV&V arranged for a meeting with the SSI Vendor on 10/6/22 to understand the Work Product classification, creation, collaborative development, and approval process from their perspective. The Florida PALM IV&V Team will provide the results of the analysis in a subsequent report as our research is finalized.

CHANGE READINESS AND DEPARTMENT ENGAGEMENT INITIATIVES ASSESSMENT



Change Readiness And Department Engagement Risk Ranking

Change Readiness and Department Engagement Risk Assessment

The Change Readiness and Department Engagement Risk level moved to Medium Risk (Yellow) in the month of September. The Florida PALM IV&V team opened Finding #10 on 9/23/22 to document the Risk of Agencies' not fully engaging with the Florida PALM Project, with the potential to miss functionality and buy-in for the upcoming Financials and Payroll Waves.

In September, the Florida PALM Project Team continued action to mitigate this and support full Agency engagement. This includes starting PAWS with Agencies this month, to elicit Agency input on their current FLAIR processes. September also included Agency engagement via the monthly PALM Advisory Council meeting on 9/21/22 and the Florida PALM Project Change Champion Network (CCN) Town Hall meeting on 9/8/22, which primarily focused on preparing Agencies for their upcoming PAWS. The Florida PALM Project Team also continued educating Agencies on differences between FLAIR and Florida PALM solutions and created a Design Disposition Log to track potential PALM Design decisions.

REQUIREMENTS REVIEW AND PERSONALIZED AGENCY WORKING SESSIONS

The Florida PALM Project Team and SSI Vendor kicked off PAWS in September with the Florida Fish and Wildlife Conservation Commission (FWC) and Department of Transportation (DOT). The Department of Health's (DOH) PAWS was preemptively canceled in anticipation of Hurricane Ian and is now scheduled for October. A PAWS Checkpoint is scheduled for 10/3/22 so that FWC and DOT can discuss their lessons learned on running PAWS logistically and with regards to understanding and explaining their own Agency business systems. As discussed in part of IV&V Finding #10, continuing to support Agencies' understanding of how PAWS will contribute to successful requirements definition is an important activity for the Florida PALM Project Team to continue undertaking, especially as some Agency PAWS agendas reviewed in September showed a focus on discussing undefined Florida PALM capabilities as opposed to exploring and sharing Agency business systems and processes.

DESIGN DISPOSITION DOCUMENTS

On Friday, 9/23/22, the Florida PALM Project Team began business process design weekly calls. In the meeting, the Florida PALM Project Management Organization (PMO) presented the new Design Disposition process. This process will capture, track, and share Design options that would impact the Florida PALM solution via the Design Disposition Log. To be sure that there is no confusion between this section and the wording from the IV&V Weekly Status Report dated 10/07/22, the Florida PALM IV&V Team clarifies that if an item in the Design Disposition Log affects the Florida PALM Project requirements or scope, then it will go to the ESC for approval. The Design Disposition Log will also contain design options that do not require such approval. The Florida PALM IV&V Team will monitor the Design Disposition Log and related processes for adherence to industry best practices and standards.

FLORIDA PALM ADVISORY COUNCIL

The Florida PALM Advisory Council Meeting on 9/21/22 provided Agencies a forum for communicating and preparing for the upcoming Florida PALM Financials and Payrolls Waves. This meeting included the Advisory Council engaging in-depth on Agency inquiries, discussing the Legislative Budget Request (LBR) process for Agencies to request resources for PALM-related actions, creating Agency focus groups on Data Management and Conversion from FLAIR to the PALM system; and encouraging Agency engagement in their upcoming PAWS, communicating the importance of Agencies providing all existing FLAIR processes for the PALM Financials and Payroll Wave solution design.

The Advisory Council provides a vehicle for management communication and sharing relevant valid information with Agencies about upcoming changes, reducing the chance of employees listening to clouded or distorted rumors, and misinformation by ensuring the right information is communicated from the start. (Prosci ADKAR® Awareness: How to Build Awareness for Change, page 9.)

IV&V ACTIVITIES PLANNED FOR FUTURE PERIODS

AMENDMENT 8

The Florida PALM Team is undergoing discussions with the SSI Vendor on the upcoming contract Amendment 8. The Florida PALM IV&V Team will review the various documents for Amendment 8 as they are made available, according to the schedule provided. The September ESC meeting on 9/28/22 outlined that Amendment 8 will be available for review in two phases, with the first Amendment 8 segments available for ESC review on 11/23/22 for discussion and approval in the 12/14/22 ESC meeting, and the remaining Amendment 8 segments available for review 2/3/22 and 2/10/22, to be discussed and approved in the 2/27/22 ESC meeting.

INVESTMENTS

The Florida PALM IV&V Team is performing a review of the requirements, business process models, and UAT Execution results related to functionality identified in the Investment Accounting Solution (Issue #30).

PENETRATION TESTING

The Florida PALM IV&V Team will finalize the review of the Florida PALM Penetration Testing execution and documented results.

DOCUMENTATION / INFORMATION REQUESTS

The Florida PALM IV&V Team has no pending Information requests.

APPENDIX A: RISK PRIORITY MATRIX

The Florida PALM IV&V Analysts will use the following table to assign a Risk probability rating to each identified Risk.

Risk Probability Rating	Probability of Occurrence	Probability Description
1	Improbable	Risk has between a 1%-19% likelihood of occurring
2	Unlikely	Risk has between a 20%-39% likelihood of occurring
3	Possible	Risk has between a 40%-59% likelihood of occurring
4	Likely	Risk has between a 60%-79% likelihood of occurring
5	Probable	Risk has between an 80%-99% likelihood of occurring

The Risk Impact Criteria that will be used by the Florida PALM IV&V Analysts to assign a Risk impact rating to each identified Risk are described in the table below.

Risk Impact Rating	Magnitude of Impact	Impact Description
1	Negligible	Risk will have an impact so small that it can be ignored when studying the larger effect
2	Minor	Risk will have a small impact on the project that should not be ignored when studying the larger effect
3	Moderate	Risk will have a noticeable impact on the project
4	Significant	Risk will have a large impact on the project
5	Critical	Risk will have a large impact and may jeopardize the success of the project

The table below outlines the Risk Priority Ratings for a Finding based on a combination of impact and probability of occurrence.

Probability of Occurrence	Magnitude of Impact				
	Negligible 1	Minor 2	Moderate 3	Significant 4	Critical 5
Probable 5 (80-90%)	Low	Medium	High		
Likely 4 (60-79%)			Medium	High	
Possible 3 (40-59%)		High			
Unlikely 2 (20-39%)		High			
Improbable 1 (1-19%)		High			

The table below defines the levels of the Risk Priority Ratings.

Rating	Definition
High	The possibility of substantial impact to product quality manageability cost or schedule. Major disruption is likely, and the consequences would be unacceptable. A different approach is required. Mitigation strategies should be evaluated and acted upon immediately.
Medium	The possibility of moderate impact to product quality manageability cost or schedule. Some disruption is likely, and a different approach may be required. Mitigation strategies should be evaluated and implemented as soon as feasible.
Low	The possibility of a slight impact to product quality manageability cost or schedule. Minimal disruption is likely, and some oversight is needed to ensure that it remains low. Mitigation strategies should be evaluated and considered for implementation when possible.