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Florida PALM Project

IV&V Assessment Report - July 2019
Deliverable IVV2.2

Presented by:

Information Services Group Public Sector

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1 IV&V Monthly Assessment

1.1 Executive Summary

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

July 2019 IV&V Summary

Overall, with very few exceptions, IV&V continues to observe the Project producing work products and deliverables according to plan with results reflecting the collaborative efforts of State and Accenture resources.

The Project has focused on addressing emerging risks related to key dependencies on readiness to integrate with FFMIS systems on the present schedule and on the completion of interim solution analysis to confirm and provide essential information to FFMIS partners and all state organizations.

None of the ratings for the fifteen standard project areas reported in the Project Risk Summary scorecard (Section 1.2 of this report) have been adversely affected by the items described in the following report.

Interim Solution Complexities

The Project's phased approach presently depends on a hybrid solution of PeopleSoft combined with the continued reliance on Departmental FLAIR for the interim period between Pilot implementation (July 2021) and the completion of Wave 2, when all State organizations will be fully implemented on Florida PALM financial functions.

In July, the Project submitted the Standardized Business Processes deliverable (D54) and the Transaction Mapping and Analysis (D57) to the Executive Steering Committee for approval. D54 contains the end-state core financial processes to be used upon implementation of Florida PALM within each organization. As envisioned, the interim solution requires some of these processes to be modified to facilitate continued processing in Departmental FLAIR for Wave 1 and Wave 2 organizations with output updating Florida PALM instead of Central FLAIR as Florida PALM becomes the State book of record upon Pilot implementation. The hybrid nature of this interim solution complicates inter-unit business processing especially when the parties involved include a mix of Pilot and Wave organizations.

The BPS Team continues to analyze the end-state processes contained in D54 to identify where modifications are needed to incorporate the data exchanges and balancing-and-reconciliation steps required to complete processing and assure results between Florida PALM and FLAIR between Pilot and completion of Wave 2. The Project intends to conduct agency engagement activities to review and

gather feedback and to confirm interim processes in a manner as done in earlier cycles to develop D54 and its predecessors.

> *IV&V observes the definition of interim processes will identify some but not all potential modifications to FLAIR. The complexity of this undertaking is mutually understood to be very high. The scope is wide, and the base functionality of FLAIR has evolved over decades to encompass numerous software customizations within FLAIR developed to support specialized functions. While the Project works to define what's needed from FLAIR and other FFMIS systems to operate Florida PALM and what data from Florida PALM will be provided to those systems, DFS-OIT is working to identify modifications needed to FLAIR functionality to assure operability.*

> *Success is fundamentally dependent on the State's completion of interim process analyses and design to identify and specify the changes needed to support the interim solution. That information combined with interface dependencies and proposed usage with FFMIS and agency business systems are all projected to be completed by mid-November 2019.*

D57 is a document that aligns definitions of current transactions in FLAIR and CMS with their counterparts in the Florida PALM solution.

> *IV&V observes it is rare for this type of analysis to be elevated to the level of a discrete deliverable and be completed this early in the project. It is more commonly something that is produced nearer to implementation to facilitate change management and training activities. The benefits of completing this earlier are apparent:*

> - *It should improve conceptual agreement between Accenture and State on how the Florida PALM solution will fulfill business needs,*
> - *It provides the Readiness Team with context and knowledge needed to interact effectively with agencies,*
> - *It should inform test plans and scenarios to ensure testing activities at each cycle are as comprehensive as needed.*

> *The definitions contained in D57 are thorough and helpful to understanding how FLAIR and CMS functions are accounted for in Florida PALM and the relationship of Florida PALM functions to the overall business process.*

Continuation of Detailed Scheduling
In July the Project continued to align activities designed to identify and confirm engagement with DFS Divisions and agencies for reports, interfaces, data conversions, PeopleSoft program extensions, system-based forms, and workflows (RICEFW). These activities are being scheduled to occur earlier to compile the full inventory of solution components to be developed by Accenture and to provide entities with more time to plan for changes needed to plan for and implement changes necessary to adopt Florida PALM.

The inventory will comprise the content of the RICEFW Inventory deliverable (D64). The process used to gather this information may also encounter items that affect the interim solution design. Therefore, the completion of scheduling through the end of calendar year 2019 is very important to preserving the time allotted for development activities and the objective of beginning testing in the August 2020.

Change Management Activities
In July the OCM team achieved full staffing with the final Readiness Coordinator position being filled. The team has been conducting a Readiness Survey with Change Champion Network (CCN) members, FLAIR and CMS users for both Pilot and Wave organizations. This is the first of three readiness surveys to be conducted prior to Pilot implementation in 2021. OCM has conducted three CCN Kick-offs, one for Pilot and two for Wave organizations. The Readiness Team continued working on the second round of regular Readiness Touchpoints with Pilot Agency Liaisons and started contacting Wave Agency Liaisons to set up these meetings.

> *IV&V observed the Project was able to complete an extensive first cycle of schedule revisions to plan the objectives described above and begin to incorporate confirmed changes into the overall project schedule before the end of July. This enables to project to manage near term efforts more precisely and share information needed by DFS Divisions, FFMIS partners, and inform the Master Readiness Workbooks to be used by Pilot and Wave organizations to begin implementation activities. Feedback reported following engagements via the CCN has been positive with indications that Pilot agencies and other organizations are taking actions to consume information from the Project and plan internally for their respective implementations.*

Schedule Variances
At the beginning of July, six deliverables continued to incur delays to completion: The Security and Technical Compliance Strategy (D36), Information Technology Controls Strategy (D37), Reporting Strategy (D38), Technical Architecture Strategy (D41), Data Architecture Strategy (D42), and System Infrastructure Strategy (D43).

> *IV&V observes this is the first time in the DDI Phase of the Project a collection of deliverables has not been completed as originally scheduled. As of the end of July, Accenture and State management indicate that downstream work is not negatively impacted by these delays.*

The Project devised a plan to address expectations for each of the following deliverables and complete all before the end of August:

The Security and Technical Compliance Strategy (D36) and Information Technology Controls Strategy (D37) deliverables establish the strategy for Florida PALM's implementation of a security control framework. This framework includes standards and sources required to protect, monitor, satisfy audit requirements and enforce control of State of Florida data and technical infrastructure within the Florida PALM solution. The strategies outline the methodology for Florida PALM's alignment with Department of Financial Services System Security Plan, which includes security and technical compliance expectations with respect to Florida Chapter 60GG, Rules 60GG-2.001 through 60GG-2.006, Florida Administrative Code, known as the Florida Cybersecurity Standards (FCS).

> *IV&V observed at the end of this reporting period that approval of D36 and D37 was imminent and likely to occur at the beginning of August.*

The Florida PALM Reporting Strategy (D38) defines the various ways that users of the Florida PALM solution will be able to retrieve and extract data from the system to support business processing,

decision-making, and accountability. The strategy addresses the use of reports delivered as part of the PeopleSoft product, reporting tools and approaches to ad-hoc reporting.

> *As reported in the prior period, IV&V has observed that D38 meets the acceptance criteria set in the Deliverable Expectations document. The delayed acceptance of D38 stems from a desire to ensure alignment and articulate the strategy to engage stakeholders and attain value for the various data retrieval and extract options that will be available to users. At this time, the delay in formal approval appears unlikely to have downstream impacts.*

The Technical Architecture Strategy (D41), Data Architecture Strategy (D42), and System Infrastructure Strategy (D43) deliverables identify the interrelated, overarching strategy to define the Solution's enterprise architecture framework.

> *IV&V observed at the end of this reporting period that approval of D43 was imminent and likely to occur at the beginning of August.*

These deliverables are managed by or otherwise involve technical expertise drawn from the Accenture SDS Team because they contain technical details on the composition of the Florida PALM solution and the strategic approaches to the implementation of the new system in its entirety. As such, the deliverables draw heavily on the information contained in the contractual statement of work and further details from Accenture and Oracle on how the managed and hosted system is built, configured, and to be managed in operations. Much of this information is prescribed by the fact that the State has contracted for a system that is managed and hosted by Accenture/Oracle for the duration of the current contract.

> *IV&V observes that while the turnover of the Accenture SDS manager position can be considered a contributing factor to these delays, the collective nature of the deliverables has also caused elongated creation, review, and revision cycles. This is because Accenture's initial reliance on technical subject matter experts resulted in documents full of technical information that were not as helpful as the strategic communication devices the State expected. Expectations have been clarified, to expand and refine the documents to increase their value to the State. As of the end of July, each of the late deliverables has a schedule for completion. All are expected to be completed by the end of August 2019.*

Technical Activities
The SDS Team and OIT continue conducting working meetings focused on identifying, scheduling and executing joint SDS and OIT conversion and infrastructure tasks. Work is focused on reviewing the State Security Plan, Oracle Cloud Infrastructure (OCI) provisioning, network connectivity and routing (Load Balancing, related security configuration and audit logging), and analyzing data to be provisioned from FLAIR/CMS for conversion to Florida PALM. Preliminary discussions have begun on identifying project tasks and specifications for the modification of the FLAIR system and the development of interfaces between FLAIR, FFMIS systems, and Florida PALM to support interim operations following the implementation of Pilot.

The Project determined Oracle's OCI Load Balancer as a Service (LBaaS) alone will not meet security and logging requirements of the PALM solution. To address the needs, Accenture presented FortiADC load

balancer software with which Accenture has had success in combination with PeopleSoft/OCI. OIT expressed a preference for F5 load balancer software with which OIT has extensive inhouse experience. As of the end of July, F5 and FortiNet's Application Delivery Controller (ADC) - FortiADC were being considered. RAIDL Decision 129 with a due date of August 2, 2019 was created to track this.

> *IV&V continues to observe collaborative and productive discussion within and between the Project and OIT teams during joint team meetings. During the review meetings the State OIT team offered load balancer routing recommendations providing better optimization of routing isolation, logging, diagnostic, and analytic capabilities. These OIT recommendations will be included in the infrastructure build. The OIT and SDS Teams are exhibiting exceptional teamwork in planning and executing current state conversion data analysis and OCI infrastructure build as well as identifying and overcoming challenges along the way. Project RAIDL Decisions and Action items are created as required for project tasks requiring PALM project response.*

The non-production build of Oracle Cloud Infrastructure (OCI) continued through July. Non-production build results are documented within the Florida PALM Non-Production Infrastructure Installation (D71) deliverable with an expected completion date of October 31, 2019.

> *IV&V has observed a detailed project plan, daily SDS lead and team status meetings and open Accenture, PALM SDS, and OIT build knowledge sharing sessions.*

The SDS Data Team and DFS OIT, in coordination with efforts on State Work Product I-WP05 Current State Data Analysis, continue conducting working sessions analyzing database structure and file layouts of data to be provisioned from FLAIR/CMS for conversion to Florida PALM. I-WP05's objectives are:

1. Explore opportunities to assist the Divisions of Accounting & Auditing (A&A), Treasury, and the Office of Information Technology (OIT) to cleanse data that will be converted into Florida PALM;
2. Share results from the current state data analysis, which identified potential anomalies.
3. Obtain feedback on observations and recommendations to incorporate into future data analysis Project work.

During July, cross-team planning began to include BPS, SDS Interface and DFS OIT team interim interface process collaboration as part of the SDS Data Team's meeting agendas.

> *IV&V has observed a detailed and thorough documentation of the current state data analysis. OIT has shared knowledge related to the current state FLAIR/CMS database structure and data formats. This information will be instrumental in the creation of the PALM Solution data conversion from FLAIR/CMS as well as the creation of interim interfaces. I-WP05 Current State Data Analysis continues to be on schedule. Base analysis for this effort has been completed, and the team is currently compiling the comprehensive results documentation to be used to support conversion and interim interfaces.*

The following pages contain the IV&V monthly assessment in which ISG provides independent observations using an evidence-based rating method applied to fifteen standard project areas listed in the following table. Further information regarding ISG's IV&V methodology can be found in deliverable IVV2.1, the Florida PALM IV&V Management Plan.

Project Areas		
General Project Management	Project Scope Management	Project Time Management
Project Cost Management	Project Quality Management	Project Human Resources
Project Communications	Project Change Control	System Capability
Project Stakeholder Management	Project Risk & Issue Management	Project Procurement
System and Acceptance Testing	Project Vendor Management	Project Training

The ratings are calculated using a five-point scoring range designed to objectively assess conditions in each project area based on evidence observed and examined. Each assessment is given a score between 1 and 5 with 1 being the highest severity and 5 to indicate no notable findings. Ratings are applied to multiple tasks or deliverables in each project area to calculate an average score for the area. The resulting score for each area is used to determine a status based on the commonly used scale of green, yellow, or red, as defined in the table below and indicated by an icon for each project area in the IV&V Dashboard.

Color	Icon	Description
Green	◻	The assessment category or area is on track without material issues. The Project Team should consider any recommendation offered by the IV&V Team as process improvement opportunities only.
Yellow	◇	The assessment category or area faces a challenge or set of challenges that could, if left unmanaged, negatively impact the Project's outcome in terms of schedule, cost, or quality in the future. The Project Team should prioritize corrective action.
Red	●	The assessment category or area faces a challenge or set of challenges that threatens the Project's outcome in terms of schedule, cost, or quality. The Project Team should take corrective action immediately.
White	○	During the project life cycle some project areas may not have activities underway. Project areas not assessed will be reported using a white icon.

When a project area is assessed and rated as red or yellow, ISG will provide a detailed description including status and actions taken, recommendations on potential solutions and contingency plans to resolve issues and reduce risk.

1.2 IV&V Overall Risk Summary

Overall Status			
Current Period	**Prior Period**	**Overall Trend**	**Observations** *Based on standardized IV&V scoring*
🟩	🟩	↔	• The DDI Phase continues to progress according to plan. Detailed planning activities involve rescheduling of multiple activities to occur earlier than originally planned. • Resource allocation is monitored closely by Track Managers and PMO. Rescheduling requires Accenture to accelerate staffing. • Activities are allotted reasonable time to complete. • The project's managerial and reporting structure supports staff development, process definition, quality assurance, and other functions necessary for project success. • Risks and Issues are being managed proactively and with a reasonable sense of urgency. • PMO demonstrates consistent and strong cost management practices. • Quality control, financial control, and vendor processes are established and consistently executed. • The Project regularly conducts proactive communications to stakeholders. • An effective organizational structure combined with positive morale among staff continues to foster a collaborative environment. • Collaboration between the State Project Team and Accenture Team continues to produce mutually satisfactory results. • The IV&V Team has identified no significant risks to DDI Phase activities. New risks under development are being assessed by IV&V. • The Project trend is stable as work toward producing deliverables is proceeding according to plan with some schedule variation that presently does not affect milestones.

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1.3 IV&V Monthly Assessment Dashboard

	IV&V Dashboard		CURRENT	PRIOR
	PROJECT AREA	**PROJECT AREA DESCRIPTION**	Rating	
1	**General Project Management**	Consistent and effective project management processes are being used and coordinated within the Project and with Project participants to achieve desired results	🟩	🟩
2	**Project Scope Management**	Effective scope management practices are evident	🟩	🟩
3	**Project Time Management**	The Project is effectively managing the timely completion of the activities	🟩	🟩
4	**Project Cost Management**	The Project is routinely estimating, budgeting, managing, and controlling costs so that the project can be successfully completed	🟩	🟩
5	**Project Quality Management**	The Project is defining quality measures and using continuously improving processes to achieve intended results	🟩	🟩
6	**Project Stakeholder Management**	The Project has identified key individuals, groups or organizations that could impact/be impacted by the Project and is using the appropriate strategies to ensure stakeholder engagement on Project decisions, effective governance, and productive sponsorship participation	🟩	🟩
7	**Project Communications Management**	The Project team is identifying stakeholders and supporting timely, appropriate and accessible communications	🟩	🟩
8	**Project Risk & Issue Management**	The Project is effectively identifying, analyzing, and controlling project risks and issues	🟩	🟩
9	**Project Procurement Management**	The Project is appropriately managing the acquisition of products and services needed from outside the project team and is effectively managing the resulting contracts over the life of the contract	🟩	🟩
10	**Project Vendor Management**	The Project is monitoring vendors and subcontractors to confirm they meet all requirements and managing performance where needed	🟩	🟩
11	**Project Human Resource Management**	The Project is acquiring, developing and managing appropriately skilled and adequately staffed project teams	🟩	🟩
12	**Project Change Control**	The Project is appropriately managing the change request process and potential impacts on project scope, project objectives and goals, and implications to the overall project plan	🟩	🟩
13	**System Capability Management**	The Project is effectively communicating technical process and security requirements (and changes to requirements), managing configuration/development activities, controlling software and environments to support project life cycle	🟩	🟩
14	**Project System and Acceptance Testing**	The Project has identified and developed the appropriate test scripts to evaluate and accept the system and supporting deliverables	○	○
15	**Project Training Management**	The Project is developing and delivering training to successfully prepare users for use of the new system	○	○

2   IV&V Detail Reporting

2.1 Project Risks

As of the end of July, the Project logged one new risk and maintained seven open risks logged in the SharePoint application used to record and administer risk identification, mitigation and resolution.

Risk 177 was logged recognizing that state organizations with technical dependencies on Florida PALM, including agencies and FFMIS partners, may not have enough time to ensure full preparedness for testing of data interfaces and any other potential integrations by the Project's scheduled start date for testing in August 2020.

> *IV&V has observed the Project continue to develop the information needed to identify technical dependencies, explain designs, and establish and share schedules for organizations to use to plan and prepare for implementation. While this risk focuses primarily on the need to exchange data with agency business systems, in July the Project began to draft more specific risks associated with FFMIS partners systems, which are dependent on Florida PALM. Likewise, Florida PALM is dependent on those partner systems as fundamental components of the overall solution for the State.*

Risk 172 was first logged in April to acknowledge the risk to project execution that arises when any key position goes unfilled. Project leadership plans to mitigate this risk by assigning interim resources to act in the unfilled role.

> *As reported last month: IV&V observed that the State filled 2 key technical management positions on the SDS team in May. However, at the end of May, the Accenture SDS Manager submitted his resignation. As of this reporting period, the Accenture SDS Manager position remains vacant. In the meantime, leadership responsibilities have been covered by the Accenture Deputy Director and the Accenture Security and Infrastructure Lead. By the end of July, a candidate was selected and approved and is planned to be in position during August.*

As reported earlier, Risk 174 was logged in May to acknowledge the potential inability of DFS staff to participate in all expected project activities occurring through the summer of 2019 due to operational priorities relating to fiscal year end activities.

> *IV&V has observed that DFS participation has remained steady and reflective of a commitment to balancing priorities and helping the Project stay on schedule. The Project continues to work with DFS to mitigate this risk by planning and communicating regularly. Organizing points of contact, availability, and participation levels is complicated in some cases because some key individuals fulfill multiple project roles serving as subject matter experts, operational decision makers, and Executive Steering Committee members.*

The remaining four risks have been logged since 2018. Two of these risks are being actively mitigated by the successful execution of planned project activities. Two risks are being regularly monitored to determine if mitigating action is needed.

- Two risks focus on the potential consequences of insufficient awareness, participation, and cooperation of stakeholders and major decisions on whether to proceed with the project at defined milestones. Each of these have active plans for mitigation underway as part of the Project's Risk Management Process and in the way the Project has integrated organizational change management in pursuit of its goals.

- Two risks recognize potential delays in key decisions if decision-making positions are vacated due to attrition and/or transition, and the potential emergence of new requirement mandates and their effect on the project plan. Each of these are being actively monitored to determine if the Project will need to implement a mitigation plan.

2.2 Project Issues

The Project had no open issues logged during this reporting period.

IV&V did not observe any other issues requiring action.

2.3 Other IV&V Activities

During this period, the following deliverable reviews were undertaken by the IV&V Team as part of our ongoing role in the quality assurance process.

Subject	Activities	Description
D007	Review and periodic quality control analysis	Project Schedule
D040	Review and recommendations on deliverable	Organizational Readiness Assessment
D041	Review and recommendations on deliverable	Technical Architecture Strategy
D042	Review and recommendations on deliverable	Data Architecture Strategy
D043	Review and recommendations on deliverable	System Infrastructure Strategy
D049	Review and recommendations on deliverable	Requirements Traceability Matrix
D050	Review and recommendations on deliverable	Gap Inventory
D055	Review and recommendations on deliverable expectations document	Application Configuration and Development Strategy
D057	Review and recommendations on deliverable	Process and Transaction Mapping Analysis
D062	Review and recommendations on deliverable	Workforce Transition Plan
D064	Review of deliverable	RICEFW Inventory
D71	Review and monitor build schedule. Attend status and working build sessions.	Non-production Infrastructure Build
D073	Review and recommendations on deliverable expectations document	Knowledge Transfer Scorecard
D127	Review and recommendations on deliverable expectations document	Production Support Strategy
I-WP05	Review and recommendations on internal work product	Current State Data Analysis
I-WP06	Review and recommendations on internal work product	Current State Interface Research & Analysis

3 IV&V Contact Information

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