



Florida PALM Project
IV&V Assessment Report – May 2020
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.

May 2020 IV&V Summary

Overall, the Project continues to be in a green status when measured against standardized project management criteria. IV&V assesses the Project to be in a yellow status in one area: Project Time Management. This is due to schedule risks described in this report and officially logged by the Project to ensure the risk is evaluated and managed on a regular basis.

In May, the Project completed three noteworthy deliverables that represent progress toward implementing the CMS replacement Wave of the Florida PALM solution. Those are D452 CMS Wave Business Process Models, D453 CMS Wave RICEFW Inventory, and D454 CMS Wave Requirements Traceability Matrix.

D452 contains the detailed process diagrams and extensive descriptions of the details behind those to explain how the system will be configured and developed to meet State requirements and support business operations within the Department and agencies statewide. D453 identifies the Reports, Interfaces, Conversions, Extensions, Forms, and Workflows to be created by development or configuration to fulfill the replacement of CMS. D454 contains the data and apparatus to be used to track how each State requirement will be met by the software, system data, and proven by testing activities to achieve the implementation of the CMS Wave.

By the end of May, five other significant deliverables were submitted for acceptance. Those are D74 System Test Plan, D75 Conversion Extract Layouts, D76 Published Interface Layouts, D97 Knowledge Transfer Scorecard, and D113 Security and Technical Compliance Administration Guide. Each of these is under review.

IV&V has observed that the review process for deliverables, in most cases, has improved in terms of the number of iterations and length of time it takes to assure quality prior to acceptance. Where challenges have arisen, the situations appear to be due in part to misinterpretation of expectations delineated in the Deliverable Expectation Documents.

As of the end of May, three Deliverables were in a late status. Those were D69 Testing Strategy, D81 Training Curriculum, and D465 Master Readiness Workplan. All of these had been submitted and were under review. D69 and D81 have received extensive input from all Project Tracks and are expected to be completed in early June. D465 is dependent on input from the committed Project Schedule, which was in final draft and pending a management commitment cycle scheduled for the first week of June.

IV&V observes the quality of accepted deliverables continues to be high and the designs and plans to implement those present no immediate risk to the overall quality of the Florida PALM solution.

Highlighted Schedule Risks

At the end of May, many state agencies continued to report operating with reduced staff and/or staff working remotely resulting from COVID-19. This has somewhat affected the availability of DFS divisions and agency representatives to participate in project activities. If staff is unavailable, upcoming work to design conversion details, configuration details, and interface details may incur delays.

IV&V observes the dependency on staff from DFS and other agencies is most critical to designing and developing how the functionality of Florida PALM will interface with FLAIR and agency business systems during the interim period between CMS Wave implementation and completion of Departmental Wave. DFS Division staff were able to fulfill requests and provide critical information to the Project throughout the reporting period resulting in no loss of time.

The State's contract with Accenture allows Accenture to use teams located outside of the project site to perform configuration and development activities in support of the onsite project team, with the stipulation that this work be performed only at Accenture facilities. In response to COVID-19, Accenture employees have been ordered to work from home.

IV&V observes that Accenture mobilized additional local resources as a contingency plan to augment the project team and implemented additional measures under the contract to enable employees to recover time lost under these circumstances. Accenture reported earlier that, if access were not restored before mid-April, risk to the project schedule would steadily increase. As of May 30th, Accenture indicated that work on functional design documentation is lagging due to this situation. Software development, testing, and end-user training activities each have downstream dependencies on functional designs. The Project is developing Risk 211 to address this risk.

Re-Planning Activities Continue

Review of Accenture's proposed pricing associated with new work presented by the re-plan continued between State project leadership and Accenture project leadership on the rescheduling of project deliverables and the implications for timing and deployment of resources.

As reported earlier, the change in deployment approach makes it necessary for the Project to revisit many deliverables, including strategies, business process models, interface inventories, and technical environment plans. As of this report, the State continues to assess the initial cost proposal from Accenture and negotiate contract changes. Accenture continues to indicate that proposed fiscal impacts will not affect FY2019-2020 or FY2020-2021. This effort has not presented immediate risks to the CMS Wave implementation.

Engagement Activities

The Project and agencies performed work remotely due to COVID-19 workplace restrictions and conducted touchpoint meetings by teleconference or video conference with agency representatives to manage activities contained in the Master Readiness Workplan (MRW).

In May, agencies were asked to complete several MRW tasks relating to the CMS Wave. Apart from a limited number of tasks from a few agencies with unique COVID-19 operational impacts, agencies were able to complete the tasks due in May. IV&V observed agency touchpoints and noted the ongoing commitment to Florida PALM from the agencies throughout the transition to remote work and changes in operations. In addition, IV&V observed the Project's ability to effectively track status, understand the drivers for outstanding tasks, and assist the agencies, where possible, in completing MRW tasks. IV&V anticipates that these practices will become even more important as the MRW expands to include tasks associated with parallel waves.

During May, the Project continued to prepare for the CMS Wave. As part of this effort, the Knowledge Transfer and Training (KT&T) team created training design work units. In addition, the Project focused on ongoing knowledge transfer across the team.

As training designs were created, the training team performed peer reviews and engaged members of the BPS and SDS teams for content validation and design review. IV&V observed training design review sessions and found them collaborative across tracks. KT&T leadership provided comprehensive tools for work unit tracking and processes for iterative improvement.

IV&V observed KT&T providing support to track managers in conducting knowledge transfer checkpoints and further developing Role Learning Plans (RLPs). Project leadership reinforced with track managers and team leads the importance of ensuring State of Florida team members can demonstrate skill transfer prior to completing RLP items. This is not only valuable in applying skills to future waves but in transitioning to operations.

During May, the Project continued to communicate with the Florida PALM community through multiple channels including the Florida PALM website, the Change Champion Network, and via the Florida PALM email account.

IV&V observed the Project updating communication channels with information relating to the CMS Wave, released MRW tasks, and agency-specific inquiries.

Note to Reader

This IV&V Assessment Report presents information in an expanded manner. Past reports have included the IV&V Standardized Dashboard to present a summarized set of ratings based on the more detailed IV&V standardized scorecards used to assess each of the fifteen standard project areas. This report contains that dashboard as part of Section 1.3 IV&V Monthly Assessment Dashboard and includes the detailed scoring of elements that constitute the summarized dashboard as Section 2.3 Detailed Assessment Scorecards. Detailed IV&V comments respective to each project area are provided in Section 2.3 using the far-right column on each scorecard.





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 & Readiness	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 material findings.

Assessment Scoring					
Blank	1	2	3	4	5
Not Active	Catastrophic	Critical	Moderate	Minor	No Material 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.

1.2 IV&V Overall Risk Summary

Overall Status			
Current Period	Prior Period	Overall Trend	Observations <i>Based on standardized IV&V scoring</i>
			<ul style="list-style-type: none"> The DDI Phase has been rescheduled to adjust phases. Observed planning activities are consistent with the Project Management Plan and standard practices. As part of a multi-faceted organizational change management program, the Project regularly conducts proactive communications to stakeholders, including partner system organizations such as FFMS and state agencies. The Project has not incurred negative impacts to productivity during the COVID-19 emergency. However, risk of delays to some work has emerged as a result. The rescheduling provides extended time for many activities to be completed. This should enable the Project to secure commitment from partner system organizations and agencies to fulfill critical dependencies. Otherwise, there is a risk to the schedule. Risks and Issues are being managed proactively and with an appropriate sense of urgency. The Project is actively managing risk to execution of project activities and the implementation schedule. The risk of turnover in key positions remains, as the Project has experienced such, and the multi-year, multi-phase implementation approach increases the probability of occurrence. The project’s managerial and reporting structure supports staff development, process definition, quality assurance, and other functions necessary for project success. Cost management and resource allocation are monitored closely by Track Managers and PMO. Quality control, financial control, and vendor processes are established and consistently executed. Collaboration between the State Project Team and Accenture Team continues to produce acceptable results. The Project trend is stable as work toward executing the statement of work and producing deliverables is proceeding according to plan.

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	While multiple tasks appear in a late status, the Project consistently demonstrates the ability to manage completion of deliverables and work products according to the project schedule. The schedule has been revised to provide additional time for partner systems and agencies to prepare. The Project has communicated schedule revisions and design details for interface layouts. The Executive Steering Committee approved the Go/No-Go Decision for the CMS Wave Ready for Build. Additionally, the COVID-19 emergency presents resource availability challenges that have increased risk to the scheduled completion of functional design activities on which development, testing and training activities have direct downstream dependencies.		
4	Project Cost Management	The Project is routinely estimating, budgeting, managing, and controlling costs. The current budget amendment release process presents a risk to project liquidity and/or compliance with prompt payment mandates.		
5	Project Quality Management	The Project has defined quality measures and uses continuously improving processes to achieve intended results. The State expresses clear and thorough expectations for quality. Accenture responds positively to address concerns.		
6	Project Stakeholder Management	The Project has identified key individuals, groups or organizations that could impact/be impacted by the Project and uses consistent outreach strategies to ensure stakeholder engagement on Project decisions, effective governance, and productive sponsorship participation.		
7	Project Communications & Readiness	The Project team routinely identifies internal and external stakeholders and supports timely, appropriate and accessible communications.		
8	Project Risk & Issue Management	The Project is effectively identifying, analyzing, prioritizing, 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.		

IV&V Dashboard			CURRENT	PRIOR
	PROJECT AREA	PROJECT AREA DESCRIPTION	Rating	
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 fully staffed the Testing Team and continues to identify use cases to support the development of test scripts to evaluate and accept the system and supporting deliverables.		
15	Project Training Management	The Project has conducted the training needs assessment and has created the inventory of training curriculum for delivery of end-user training to successfully prepare employees for use of the new system.		

2 IV&V Detail Reporting

2.1 Project Risks

Similar to last month’s report, the assessment score for Project Time Management remains in a yellow status to reflect challenges presented to the Project Schedule. While re-planning efforts were substantially completed to support final commitment of scheduling details, after the information is shared, the project needs to obtain firm commitments from FFMIS/STMS.

Though FFMIS partners and STMS have not expressed objections to re-planned schedule details provided to date, forthcoming details should provide information needed to affirm or decline a commitment to the project schedule. Also of note, the Department’s new contract for investment data services has not been finalized, and the selected provider may not be able to commit to final interface layouts until the contract is executed. While this poses a risk to the CMS Wave development and testing schedules, the selected provider has indicated they intend to meet the testing target of October 2020.

A rating of yellow indicates a challenge that could, if left unmanaged, negatively impact the Project’s outcome in terms of schedule, cost, or quality. The Project Team has prioritized corrective action, as described below.

	PROJECT AREA	PROJECT AREA DESCRIPTION	RATING	
			Current	Prior
3	Project Time Management	While multiple tasks appear in a late status, the Project consistently demonstrates the ability to manage completion of deliverables and work products according to the project schedule. The schedule has been revised to provide additional time for partner systems and agencies to prepare. The Project has communicated schedule revisions and design details for interface layouts. The Executive Steering Committee approved the Go/No-Go Decision for the CMS Wave Ready for Build. Additionally, the COVID-19 emergency presents resource availability challenges that have increased risk to the scheduled completion of functional design activities on which development, testing and training activities have direct downstream dependencies.	◆	◆

The PMO has recognized these risks as well as potential mitigations and recorded them in the Project Risk Log during May.

The Risk Log lists twenty-eight (28) open risks in the following statuses as of May 31, 2020:

- Mitigating: Nineteen (19) are being actively mitigated by project management techniques, including the activities that address the risk directly or that enhance already planned activities to avoid or otherwise prevent the risk from affecting project outcomes.
- Monitoring: Seven (7) are being monitored to identify when their probability of affecting the Project increases to the point that mitigation is required.
- Under Evaluation: Two (2) risks are being evaluated and awaiting plan development.

During May, two (2) risks were removed from the Risk Log:

Risk 199: Delays in the Department’s Final Production Support model decision may affect the completion of project Deliverables and Work Products.

IV&V observes that Risk 199 was closed during the Sponsor Meeting of May 19, 2020, with Department reaching a decision.

Risk 205: If re-planning tasks are not completed by the baselined schedule date, PMO may face delays in completion of re-planning schedule.

IV&V observes the risk was closed and escalated to Issue #22 (see below).

During May, four (4) new risks were logged:

Risk 209: Agencies may not attend Central Office Hours in June or July 2020.

IV&V understands mitigation steps have been developed and measures are being taken to mitigate the risk prior to the July 31 due date. No further action is required at this time.

Risk 210: If there are delays in receiving the release of funds associated with the Q4 budget amendment past May 2020, the Florida PALM Project may have access to sufficient funds to comply with prompt payment requirements.

IV&V understands the Project provided information to the Legislature related to Amendment 2 on May 19th and continues to provide supporting information to OPB and the Legislature. Following the close of the May reporting period, the requested release was put on legislative consultation.

Risk 211: Functional design delays could result in delays in downstream activities such as solution build and testing.

IV&V observes this risk, created on May 20th is under evaluation. As of May 30th, this risk is on the agenda for the upcoming RAIDL Meeting, it is within the 20-business day requirement for plan definition and development.

Risk 212: The Division of Treasury Bloomberg AIM contract execution timing may result in delays to interface design, build, and test.

IV&V notes this risk, created on May 27th, is under evaluation. While this risk is awaiting the inclusion of a plan to monitor or mitigate, it is within the 20-business day requirement for plan definition and development.

2.2 Project Issues

There was one (1) new Project Issue logged during this reporting period:

Issue 22: Re-planning tasks were not completed by the baselined schedule date, causing delays in completion of the re-planning schedule.

As indicated earlier in the Project Risks section of this report, this issue is the escalation of former Risk #205. IV&V understands by the end of May, the effort to reschedule the overall project was sufficiently completed to support final commitment of scheduling details by the beginning of June for the June-October 2020 period. Since the May reporting period ended, this issue has been closed.

There is one (1) Project Issue on the log carried over from the preceding month:

Issue 21: Some Contractor team members are not able to access secure bay to perform Project work.



IV&V understands that efforts to release desktop workstations are still in progress that will allow impacted team members to work from home.

2.3 IV&V Detailed Assessment Scorecards

AREA: General Project Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
GPM - 1	Verify and assess project management and organization, verify that lines of reporting and responsibility provide adequate technical and managerial oversight of the project.	5	The Project Director, Project Management Office, Track Managers and Team Leads regularly conduct joint and separate team meetings and demonstrate hierarchical support and accountability on activities, schedule and delivery.
GPM - 2	Evaluate the project's system's change request and defect tracking processes.	5	All teams are observed to adhere to the prescribed change control processes for requirements, designs, and tools to be used to implement the solution. Change control decisions are made according to the prescribed process.
GPM - 3	Verify the creation and approval of high-level plans.	5	PMO conducts regular planning sessions with Track Managers and Accenture to create the project plan and schedule and to commit resources to activities and deadlines.
GPM - 4	Verify that a Project Management Plan and procedures are developed, communicated, followed, monitored and complete.	4	The DDI PMP is approved and updated as needed following the prescribed process. The Project is observed to manage critical path by means of select milestones aligned to ESC Go/No Go Decisions encompassing select Deliverables. The PMP should be updated to provide an explicit description of method used to manage the project's critical path beyond the use of Microsoft Project functionality.

AREA	TASK	SCORE	IV&V OBSERVATIONS
GPM - 5	Verify project status is accurately traced against milestones and completion dates via project reports and metrics.	5	Deadlines and work progress are monitored and status is updated regularly by use of status reports, the project schedule, critical path stage gates / milestones, and detailed day-to-day inventories of select work units using hillclimber charts.
GPM - 6	Verify use of a project issue tracking mechanism that documents issues as they arise, enables communication of issues to proper stakeholders, documents mitigation strategies as appropriate, and tracks the issue to closure.	5	The RAIDL process is in place and used to identify, vet, monitor and manage risks, action items, issues, decisions, and lessons learned on a recurring and regular basis.
GPM - 7	Evaluate the effectiveness of the system's life-cycle development methodology (waterfall, agile, evolutionary spiral, rapid prototyping, incremental, etc.) and deployment process.	4	The project has undergone a comprehensive re-planning to shift from an approach that was phased incrementally by both functions and by agencies to one that is phased by functions. The new approach is more streamlined but retains an interim period of two years that will require temporary solutions and translation of legacy FLAIR data to new Florida PALM data to support business processing. There are inherent risks associated with this deployment approach.
GPM - 8	Verify that the project's managerial and reporting structure supports training, process definition, independent quality assurance, configuration management, product evaluation, and any other functions critical for the project's success.	5	The project's managerial and reporting structure supports staff development, process definition, quality assurance, configuration management, and other functions necessary for project success.
GPM - 9	Assess coordination and management to verify agencies and departments are not working independently of one another and following the communication plan.	5	The project has created a Change Champion Network to facilitate project-to-agencies and agencies-to-project communications. The CCN is also intended to foster agency-to-agency peer-to-peer communications.

AREA: Project Time Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
TME - 1	Evaluate the estimating and scheduling process of the project to assess if the project budget and resources are adequate for the work-breakdown structure and schedule.	3	By the end of May, the rescheduling effort to rephase the overall project was sufficiently completed to support final commitment of scheduling details by the beginning of June for the June-October 2020 period.
TME - 2	Review that project milestones are realistic and meaningful and aid in managing project performance.	4	Deliverable Expectation Documents are inclusive of timelines to inform the project schedule. Deliverable deadlines and milestones appear reasonable and realistic. Milestones are used to set and manage the critical path in a manual manner.
TME - 3	Review schedules to verify that adequate time and resources are assigned for planning, development, review, testing and rework.	3	Agencies and enterprise partners (FFMIS/STMS) have not expressed objections to re-planned schedule details provided to date. Forthcoming details should provide information needed to continue commitment to the project schedule. The Department's new contract for investment data services has not been finalized. The selected provider may not be able to confirm interface layouts until the contract is executed. This presents a potential risk to the CMS Wave development and testing schedules and possibly to the overall CMS implementation schedule.
TME - 4	Evaluate that the project team is taking full advantage of time savings and resource flexibilities available in the project schedule, managing lead times and float.	5	The consistent attention paid to the project schedule results in increased awareness of planned activity starts and deadlines for completion.
TME - 5	Examine relevant supporting data to determine if the project team has accurately estimated the time required for system configuration and/or software development efforts.	4	Some Deliverables have not been submitted or accepted within the originally scheduled time deadlines. To date this has not caused delays in configuration or development. The project's critical path has not been adversely affected.
TME - 6	Review Project Team meeting process for tight agendas focusing on proactive issues (e.g., problem solving, risk identification, meaningful analysis) and relevant progress reports.	5	Agendas are used and meetings are focused and productive.

AREA: Project Scope Management

AREA	TASK	SCORE	Comments
SCP - 1	Verify that the project scope is clearly documented; look for items listed as out of scope.	4	Project scope as defined in the SOW is communicated and affirmed. No potentially out-of-scope items have emerged. The phased approach to implementation creates a prolonged dependency on FLAIR for the hybrid design to be in service between implementation of Central Wave and implementation of Departmental Wave. While the approach is designed to minimize changes to legacy systems, the implications of modifying FLAIR to support interim processing involves some risk.
SCP - 2	Review the procedure/process to evaluate the impact of scope changes to the project, including trade-offs, is unambiguous, e.g. objectives, schedule, cost, resources.	5	Changes in Scope are adequately managed through Project Decisions and/or Project Change Requests.
SCP - 3	Evaluate that assumptions made to support scope change requests are fully checked and vetted.	5	Project Decisions and/or Project Change Requests affecting project scope are fully vetted by subject matter experts and reviewed in Sponsor Meetings and as needed with the Executive Steering Committee according to criteria established in the governance structure.
SCP - 4	Project sponsors and stakeholders demonstrate a clear understanding of scope control and participate in the scope control and management process.	5	The Project routinely takes a painstaking approach to sharing detailed information with stakeholders, sponsors, and governance entities. Attention to and absorption of such information by all parties has demonstrably improved over time.
SCP - 5	Evaluate the thoroughness of scope control communications including project team, sponsors, and stakeholders.	5	The Project routinely takes a painstaking approach to communicating detailed information with stakeholders, sponsors, and governance entities.

AREA: Project Cost Management

AREA	TASK	SCORE	Comments
CST - 1	Review and evaluate the Project Cost Management Plan to assess its reasonableness related to the project.	5	Project Management has consistently demonstrated attention to detail and cost management practices.
CST - 2	Examine relevant supporting data to determine if the project team has accurately estimated the labor and cost of software deployment efforts.	5	Execution of planned work, fulfillment of deliverables and work products, and adherence to protocols have been evident without any indications that the levels of effort are greater or significantly less than available resources are able to accomplish.
CST - 3	Review the basis for cost forecasts and assess their accuracy.	4	The original contract is fixed-price and fixed-duration. During contract amendment negotiations. IV&V does not have access to confidential pricing details on the new work proposed for the re-planning effort.
CST - 4	Verify that State staff are tasked to monitor project costs and the allocation of resources according to resource estimates and plans.	4	The Project Director's office and PMO team demonstrate regular prospective and actual cost analysis and management practices. As of the end of May, the state budget amendment release process was prolonged and presented risk to project release balance and potential jeopardy to compliance with state prompt payment mandates due to contractually obligated dates of delivery. Note: <i>Following the close of the May reporting period, the requested release was put on legislative consultation.</i>

AREA: Project Quality Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
QAL - 1	Verify the project's Quality Assurance plans, and procedures are comprehensive and complete.	5	The Project has adopted quality assurance processes that increase vendor accountability and help to ensure quality upon delivery/submission. The Project has also established a well-organized State Testing team that has demonstrated insight, thoroughness, and a highly effective approach to engaging with Track teams and creating plans and supporting documents for test efforts.

AREA	TASK	SCORE	IV&V OBSERVATIONS
QAL - 2	Verify QA is following the QA plan and procedures by performing checks of system documentation, and monitoring products produced by the project with formal reviews and sign-offs.	5	The collaborative review process combined with individual quality review steps are effective in detecting and resolving quality issues prior to final submission for acceptance.
QAL - 3	Evaluate if appropriate mechanisms are in place for project self-evaluation and that measures are continually taken to improve the process.	4	Some deliverables have required significant efforts pre and post-submission to attain approval. Accenture pre-collaboration and pre-submission quality reviews need to be improved to make the prescribed process more efficient.
QAL - 4	Verify that QA has an appropriate level of independence to raise concerns, make recommendations on the project's Quality Assurance plans, procedures and organization and is acknowledged by project management.	5	No Material Findings
QAL - 5	Verify that QA is monitoring all major development process definitions and standards for completeness, clarity, up-to-date, consistent in format, and easily available to project personnel.	5	The State Testing team is organized to monitor cross-track activities and changes to deliverables and work products that affect test planning, design, and execution.
QAL - 6	Verify that the processes and standards are followed and compatible with each other and with the system development methodology.	5	There has been no indication of variances. Likewise, the Project overall adheres to a very disciplined approach and adherence to prescribed processes.

AREA: Project Stakeholder Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
STK -1	Verify that executive sponsorship supports all changes that impact project objectives, cost, or schedule.	5	Sponsorship has steadily improved over the past six months. Sponsors are fully engaged, inquisitive, and active within their respective organizations. Sponsors generally demonstrate a high level of commitment to the Project.
STK -2	Verify that there is a Project Governance Plan and an active Executive Steering Committee (ESC) whose role it is to oversee changes impacting project objectives, cost, or schedule.	5	The governance plan and ESC are in place and active on a regular basis. The individual members of the ESC express a common understanding of their role and expectations of work demands as approvers of major project deliverables.
STK -3	Verify that project is in compliance with the State of Florida's Enterprise Architecture, Information Security and other IT policies and Guidelines	5	The Department has engaged fully in the process of planning and assessing the design of infrastructure, network connectivity, and security of the cloud-based solution.
STK -4	Assess to assure stakeholder participation, support and commitment, and that open pathways of communication exist among all stakeholders.	5	Internal and external stakeholders are consistently communicated with, engaged in project activities and encouraged to contribute feedback as project plans and designs are shared.
STK -5	Verify that stakeholder expectations match the project objectives and deliverables.	4	The Project regularly conducts proactive communication and interaction to stakeholders and uses stakeholder feedback for continuous improvement. Feedback from stakeholders indicates a high degree of satisfaction with project support. The Project needs to monitor continued support of agencies and enterprise partners (FFMIS/STMS).

AREA: Project Communications Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
COM - 1	Confirm communication plans and strategies are established, accessible and being used.	5	The Project continues to maintain a comprehensive, multi-channel communication planning log. The OCM team has created a comprehensive communications strategy.
COM - 2	Verify communication plans and strategies are effective and support communications and work product sharing between all project stakeholders.	4	Stakeholder assessments have been used to gauge effectiveness. The Project routinely publishes and distributes targeted communications and makes materials available online. Agencies indicate they are consuming the information available and using it for internal planning purposes. Few agencies have indicated COVID-19 has affected their ability to dedicate resources to project activities.
COM - 3	Review that mechanisms to capture informal communications and feedback are active and effective for informing project team of stakeholder and end-user needs.	5	The Project has established a Change Champion Network designed to channel informal communications to various agency-based liaisons prior to contacting Project resources directly. This helps to ensure ad hoc communications are received, treated by the appropriate resources, and responded to in a consistent manner.

AREA: Project Risk Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
RSK - 1	Verify that the project is managing project risk through plans and procedures to identify, quantify, report, log and act upon reducing risk through contingency plans and communication.	5	The project has a long-established process to manage risks and is consistently monitoring and assessing potential risks. The project to date has logged a small number of issues that have been resolved without negative impacts to the overall plan or objectives. More details on logged Risks are provided in Section 2 of the IV&V Monthly Assessment.
RSK - 2	Verify that the project is managing project Issues and actively acting to resolve.	5	The project has a long-established process to manage issues and is consistently monitoring and assessing risks that present emergent issues. More details on logged Issues are provided in Section 2 of the IV&V Monthly Assessment.

AREA	TASK	SCORE	IV&V OBSERVATIONS
RSK - 3	Verify that Risk Plans include indicators for executive commitment and support.	5	Risks are regularly reviewed with Executive Sponsors and the Executive Steering Committee.
RSK - 4	Verify the Risk Plan recognizes multiple aspects of integrated project risk: processes, systems, organizations, culture and knowledge.	5	No Material Finding.
RSK - 5	Verify the Risk Plan includes a review of technical components for quality factors including stability, availability, scalability, usability, security and extensibility and identifies specific risks in components.	5	Contractual performance standards address quality, stability, availability, scalability, usability, security, and extensibility.

AREA: Project Procurement Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
PRC - 1	An inventory of necessary services and resources for completion of the project has been created and maintained.	4	The re-planning effort has produced the need for contract amendments. As of the end of May, this has not been executed.
PRC - 2	Necessary timeframes and specifications for project resources are identified and monitored.	5	No Material Finding.
PRC - 3	Vendors and suppliers are identified to provide resources that meet the criteria.	5	There is not foreseen a need to change vendors or suppliers resulting from the re-planning effort.

AREA	TASK	SCORE	IV&V OBSERVATIONS
PRC - 4	Contracts have been secured following State requirements and conditions for the selected vendors.	5	Contracts are in effect and compliant.

AREA: Project Vendor Management

TASK #	TASK	SCORE	Comments
VND - 1	Verify the obligations of vendors (including sub-contractors) are clearly defined under the statement of work, requirements, standards, development milestones, acceptance criteria, delivery dates, etc.)	5	The Statement of Work is comprehensive. Roles and responsibilities are clear. The Project maintains a disciplined approach to the development of Deliverable Expectation Documents that include scope, timeframes, and acceptance criteria.
VND - 2	Verify that vendor's services are delivered in a manner compatible with the project's standards and work environment.	4	Adaptation of vendor service delivery practices to meet project standards is an ongoing process.
VND - 3	Verify the vendor has and maintains the required skills and resource capacity, procedures and supervisory standards to meet their commitments	4	Vendor resource issues require ongoing management to prevent risk. After a period of turnover in key positions, there has been no turnover in the current reporting period.
VND - 4	Verify that any proprietary tools used by vendor do not restrict the future maintainability, portability, and reusability of the system.	5	Infrastructure and application designs have been reviewed by the State Project team and Department stakeholders. Decisions on the use of tools have been fully informed and vetted by State stakeholders.

AREA: Project Human Resource Management

AREA	TASK	SCORE	IV&V Observations
HUM - 1	Evaluate the project staffing plan and verify that adequate human resources will be available for project activities.	4	Over the past several months, Accenture has onboarded additional resources. Some of these resources are to backfill for staff inaccessible due to COVID-19. Accenture is reporting delays in the completion of functional designs. This is addressed in the Project Risk Log. No recent turnover in key positions or indications of any imminent turnover.
HUM - 2	Verify skills and experience of project resources are adequate for the job assignments.	5	Track management and PMO demonstrate clear accountability and performance management practices are in place and exercised.
HUM - 3	Verify the Project Team allows for staffing adjustments to schedule and cost e.g. learning curves when team members need to acquire new skills.	5	Project Staff are provided training and lead time as new skills are required. Staff are added to the schedule aligning with the need for resources.
HUM - 4	Assess team morale and any potential effects on project progress.	5	Morale remains steady without evident issues. As COVID-19 causes extended telecommuting situations, the Project has taken steps to connect with staff and gauge morale.

AREA: Project Change Control

AREA	TASK	SCORE	IV&V OBSERVATIONS
CNG - 1	Verify that a Change Control Plan is created with procedures to evaluate/approve change requests and verify they are developed, communicated, implemented, monitored, and complete.	5	Change control processes are included in the PMP and System Analysis and Design documents.
CNG - 2	Verify that appropriate processes and tools are in place to manage system changes, including formal logging of change requests and the review, prioritization and timely scheduling of maintenance actions.		Pending

AREA	TASK	SCORE	IV&V OBSERVATIONS
CNG - 3	Verify that mechanisms are in place to prevent unauthorized changes being made to the system and to prevent authorized changes from being made to the wrong version.		Pending
CNG - 4	Verify that changes are communicated to stakeholders in advance of decisions, participation of stakeholders is sufficient to increase awareness of proposed changes and provide for adequate input.	5	The Project Change Control and Decision Processes adequately inform stakeholders and facilitate involvement with stakeholders as needed.
CNG - 5	Review the change requests received by the Project and the documentation to approve/reject the change.	5	Project Change Requests are reviewed and approved by Project Management.
CNG - 6	Assess the project's analysis of approved changes for reasonableness and impact to existing requirements, schedule, cost, quality and complexity.	5	Project Management adequately manages the Project Change Control Process

AREA: Project Capability Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
CAP - 1	Assess the configuration management (CM) plans and procedures for clarity and completeness.	5	Configuration management controls are defined in deliverables and evident in daily project activities.
CAP - 2	Evaluate the project's process and procedures for managing requirements.	5	The Project has confirmed mutual understanding of requirements and associated each requirement with functionality in the system to be used to fulfill the requirements.

AREA	TASK	SCORE	IV&V OBSERVATIONS
CAP - 3	Verify that business/technical requirements can be traced through design and test phases to verify that the system is configured/developed and performs as intended.	5	The Requirements Traceability Matrix is designed to facilitate traceability to requirements and tests
CAP - 4	Evaluate project policies and procedures for ensuring that the system is secure and that the privacy of client data is maintained.	4	The strategy for securing personally identifiable information (PII) and other protected data types is currently being developed.
CAP - 5	Evaluate the project policies and procedures for security on user access to the system and data.	5	Standard Accenture procedures for assignment of user security can be adapted to comply with state requirements
CAP - 6	Evaluate the project policies and procedures for security and risk analysis.	5	Accenture's use of Oracle Cloud Infrastructure has been evaluated by DFS OIT and the buildout and planned ongoing operations meet state requirements.
CAP - 7	Verify that performance requirements (e.g., timing, response time and throughput) are completely specified.	5	System performance requirements are defined as part of the Service Levels Expectations deliverable.
CAP - 8	Verify that user's maintenance requirements for the system are completely specified.	5	The contract stipulates maintenance agreements and includes State requirements.
CAP - 9	Verify that all system interfaces are identified and specifications are defined.	4	The Project has provided standard interface layouts and is in the process of working with agencies and partner systems to finalize specifications for the CMS Wave. Work is underway on interface layouts for subsequent Waves.

AREA	TASK	SCORE	IV&V OBSERVATIONS
CAP - 10	Verify approved interface specifications are documented and available and that appropriate relationships (such as interface working groups) are in place with all agencies and organizations supporting the interfaces.	4	The Project has shared interface layouts and is in the process of working with interfacing entities to complete designs. Treasury's new contract for investment data services presents a timing challenge for which the Project has logged a Risk.
CAP - 11	Verify that the processes and tools are in place to identify software versions within environments and to rebuild system configurations based on predecessors.	5	No Material Findings.
CAP - 12	Verify that sufficient software instances and environments are available for training, test, and production and that formal control procedures are in place to avoid conflicting demands.	5	No Material Findings.

AREA: Project Testing Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
TST - 1	Evaluate the plans, environment, procedures, and acceptance criteria to be used for system testing of the software.	5	The State Testing team is organized and leveraging all available information to develop plans, scenarios, and test scripts.
TST - 2	Evaluate interface testing plans and procedures for compliance with industry standards.	5	No Material Findings
TST - 3	Review and evaluate cutover and go-live plan.		Pending

AREA	TASK	SCORE	IV&V OBSERVATIONS
TST - 4	Acceptance criteria for each deliverable of business functionality and technical component must be defined, reviewed, and approved prior to test and the results of the test must be documented. Acceptance procedures must also address the process by which any software product that does not pass acceptance testing will be corrected.	5	Deliverable Expectation Documents have all included detailed acceptance criteria.
TST - 5	Verify that a sufficient level of system test coverage is achieved by the test cases/scenarios and execution, that test results are verified, and that the test results are documented.	5	No Material Findings
TST - 6	Verify that a sufficient level of integration test coverage is achieved by the test cases/scenarios and execution, that test results are verified, and that the test results are documented.		Pending
TST - 7	Verify that the test organization has an appropriate level of independence from the software configuration/development organization.	5	The State has organized a Testing team separate from the BPS/SDS tracks.
TST - 8	Verify that a sufficient number and type of case scenarios are used to ensure comprehensive but manageable testing and that tests are run in a realistic, real-time environment.		Pending
TST - 9	Verify that test scripts are complete, with step-by-step procedures, required pre-existing events or triggers, and expected results.		Pending
TST - 10	Verify that test results are verified, that the correct code configuration has been used, and that the test runs are appropriately documented, including formal logging of errors found in testing.		Pending



AREA	TASK	SCORE	IV&V OBSERVATIONS
TST - 11	Verify that appropriate acceptance testing based on the defined acceptance criteria is performed satisfactorily before acceptance of software products.		Pending
TST - 12	Verify that the acceptance test organization has an appropriate level of independence from the software configuration/development organization.		Pending

AREA: Project Training Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
TRN - 1	Verify that all necessary policy, process and standards documentation is easily available to resources responsible for configuration/development of software.	5	Cross-track accessibility to information and coordination for assistance is in place.
TRN - 2	Verify that all necessary policy, process, procedures and standards documentation is easily available to state systems administrators		Pending
TRN - 3	Assess curriculum and delivery plan for training to be provided to state system administrators. Verify sufficient knowledge transfer for maintenance and operation of the new system.	5	Training curriculum is under development. CMS Wave training units are in design.
TRN - 4	Verify that training for users is instructor-led and hands-on and is directly related to the business process and required job skills.	5	The plan includes all facets. End-user training for CMS Wave is in design.



AREA	TASK	SCORE	IV&V OBSERVATIONS
TRN - 5	Verify that training materials including policies and processes along with help desk services are easily available to all users.		Pending
TRN - 6	Verify that all training is given on-time and is evaluated and monitored for effectiveness, with remedial training provided as needed.		Pending
TRN - 7	Verify that developer/configuration training is technically adequate, appropriate for the development phase, and available at appropriate times.	5	The Project maintains an extensive program of Knowledge Transfer to ensure project staff are trained on how to maintain and update the system.
TRN - 8	Verify that systems administrator training is technically adequate, appropriate for the development phase, and available at appropriate times.	5	The Project maintains an extensive program of Knowledge Transfer to ensure project staff are trained on how to operate and maintain the system.
TRN - 9	Verify that training in using the contractor-supplied software is ongoing throughout the development process, especially if the software is to be turned over to state staff for operation.		Pending



2.4 IV&V Other Activities

During this period, IV&V observed and participated in activities involving the following deliverables as part of our ongoing role in the quality assurance process.

Subject	Activities	Description
D048	Review and observations on deliverable	Data Conversion Inventory
D069	Review and observations on deliverable	Testing Strategy
D074	Review and observations on deliverable	System Testing Plan
D075	Review and observations on deliverable	Conversion Extract Layouts
D076	Review and observations on deliverable	Published Interface Layouts
D081	Review and observations on deliverable	Training Curriculum
D113	Review and observations on deliverable	Security and Technical Compliance Administration Guide
D127	Review and observations on deployment plan	Production Support Strategy
D172	Review and observations on deliverable	Project Schedule
D452	Review and observations on deliverable	CMS Wave Business Process Models
D453	Review and observations on deliverable	CMS Wave Requirements Traceability Matrix
D454	Review and observations on deliverable	CMS Wave RICEFW Inventory
D465	Review and observations on deliverable	Master Readiness Workplan



3 IV&V Contact Information

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