ISG™

Florida PALM Project

IV&V Assessment Report – July 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.

July 2020 IV&V Summary

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

> *In July, the Project completed two noteworthy deliverables that represent progress toward implementing the CMS replacement Wave of the Florida PALM solution. Those are D74 CMS Wave System Test Plan and D89 CMS Wave Role Mapping Handbook. By the end of July, the Project also had submitted D88 Master Data Configuration Workbook for final review and acceptance.*

The D74 System Testing Plan is a component of the overall Testing Strategy (D69) for the Project. System Testing is the first cycle of testing executed by State team members to validate the Florida PALM Solution works as planned, fulfills business requirements, and its processes are practicable in supporting business needs. System Test includes testing of business processes, business requirements, configurations, and custom components such as reports, interfaces, extensions, workflows, and forms. Application security testing is part of System Testing as well. Application security testing includes confirming roles have access to the correct online pages, have the proper level of authority on those pages, do not have access to restricted pages, and confirms separation of duties. Further, it tests that agencies cannot access each other's data, where data is restricted.

> *IV&V observes D74 outlines the System Test Plan for the Cash Management System (CMS) Wave and provides the details required to effectively prepare and execute System Testing, including scope, schedule, test cycles, test data, environments, tools, test team, and entry/exit criteria. Furthermore, IV&V observed the Project began to execute the first cycle of System Test during July and produced very positive results. Issues discovered by testing have not presented any serious concerns or challenges to the solution designs and have been logged for technical investigation and remedy. This first cycle is on schedule to be completed in early August.*

The D89 Role Mapping Handbook is a tool designed to support the process of assigning agency end users to the appropriate system-based security roles. Roles are configured to enable the input of data, approval of transactions, and access to information in Florida PALM. The Role Mapping Handbook deliverable describes and documents the CMS Wave Florida PALM roles. Material from this deliverable will be provided to agencies during the Role Mapping Workshops to describe the Florida PALM security access that each role provides, assign end-users roles, and support ongoing maintenance of role assignments.

> *IV&V observes the Agency Role Mapping Handbook includes the detailed inventory of roles along with their respective context and association with CMS Wave business processes. D89 explains role responsibilities – actions that a user with the role can take within the associated business processes; relationships to other roles and how they interact; and role compatibility – to automate segregation of duties and identify roles that should not be assigned to the same individual, where applicable.*

> *IV&V observes the information contained in D89 to be comprehensive and structured in a way that should be helpful to agencies by presenting a catalog of available roles, their context to the business processes to be implemented, and how roles relate in terms of automated segregation of duties to maintain compliance with internal controls in operations.*

As of the end of July, four deliverables remained in a late status. Those were D75 Conversion Extract Layouts, D76 Publish Interface Layouts, D80 Technical Architecture Documentation, and D499 Protected Data Inventory.

Due to the fact that conversion data will be needed exclusively from DFS applications (FLAIR and CMS) for the CMS Wave and the conversion approach enables the Project to directly access FLAIR and CMS data via a staging table, the delay of finalization of the D75 conversion layouts is not anticipated to adversely affect downstream work at this time.

All interface layouts for the CMS Wave have been shared with interfacing partners. The delay of finalizing the associated documentation is not currently affecting any subsequent interface activities.

D75/D76 had been submitted for acceptance by the end of June. As of the end of July, they remained under review by the State team. D80 was undergoing a final collaborative review by the State and Accenture team members prior to submission for acceptance. D499 has been submitted for acceptance.
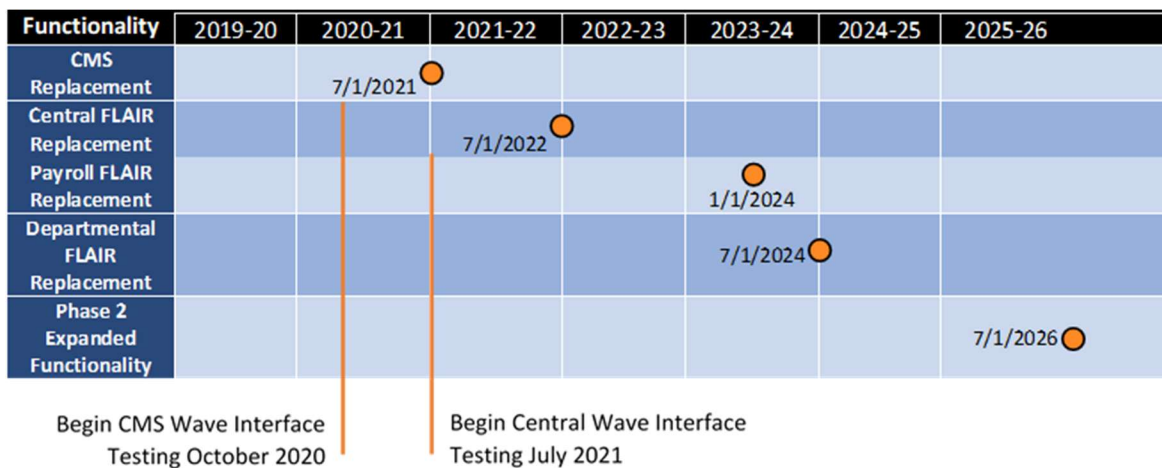
> *IV&V continues to observe, following intensive review and refinement cycles, the quality of accepted deliverables to be high and the designs and plans to implement those present no immediate risk to the overall quality of the Florida PALM solution. None of these delays are reportedly causing downstream impacts to other scheduled work. Acceptance of D499 represents an import prerequisite to the commencement of loading data for conversion activities. A prolonged delay would increase risk to the project schedule.*

Highlighted Schedule Risks

At the end of July, three major factors continued to affect the IV&V assessment of risk to the project schedule.

- First and foremost, the delay in completion of BPS functional design documents has caused downstream delays in the development of select RICEFW items, test designs.
- Second, the fiscal year-end/begin demand for resources within the Department and agencies statewide, and operational impacts of COVID-19, while largely mitigated within the Project, still present challenges to conducting analytical and readiness activities involving external resources.
- Third, there remained some uncertainty that all enterprise partner systems (FFMIS/STMS) are aligned to complete work and be ready to test interfaces according to the project schedule. As of this report, IV&V has contacted the representatives of each partner system to assess alignment.

Functionality	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25	2025-26
CMS Replacement		7/1/2021 ●					
Central FLAIR Replacement			7/1/2022 ●				
Payroll FLAIR Replacement					1/1/2024 ●		
Departmental FLAIR Replacement					7/1/2024 ●		
Phase 2 Expanded Functionality							7/1/2026 ●

Begin CMS Wave Interface Testing October 2020

Begin Central Wave Interface Testing July 2021

IV&V observes the Project has escalated Risk 211 to become Issue 24 to recognize and address schedule risks caused by delayed completion of functional design documents. Prior to this, as part of the mitigation plan, Accenture had begun to use functional designs after initial quality reviews, but prior to final publication, as the basis to begin build activities with a control in place to account for the completion of designs. The dependencies on functional designs for RICEFW development are recognized as critical and are being managed accordingly. Issue 24 is discussed in more detail in Section 2.2 of this report.

IV&V continues to observe the Department make staff available as needed, and the Project has focused activities to minimize demand for resources. DFS Division staff continued to fulfill requests and provide critical information to the Project throughout the reporting period.

IV&V observes that the impacts on FFMIS/STMS enterprise partner systems differ for each Wave of the Project. In the near-term, the CMS Wave and Central Wave objectives are most immediate:

- *CMS Wave represents the least impact on enterprise partner systems since it involves Peoplesoft functionality of treasury and cash management for deposits, accounts receivable for receipts, general ledger accounting and budgeting.*

- *Central Wave represents changes to the Chart of Accounts and interfaces for the relatively few organizations that interface directly into Central FLAIR. Central Wave also entails*

changes for agencies and FFMIS/STMS enterprise partner systems sending data to and/or receiving data from Central FLAIR, as the new Chart of Accounts will change the data used to record expense and revenue postings. A complex and significant effort to routinely crosswalk data and maintain parity will be required from all parties if FFMIS/STMS partner systems are not modified to receive, process and/or provide data in the structure of the Florida PALM Chart of Accounts. The complexities involved in this type of temporary solution present risks of disruption to business processing and reporting if one or more parties dependent on Florida PALM data are not able to adapt on time.

IV&V continues to assess collaborative efforts and management interactions between the Project and enterprise partner systems to identify alignment risks and points of clear commitment to the project schedule.

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 organization representatives to manage activities contained in the Master Readiness Workplan (MRW).

In July, agencies were asked to complete MRW tasks relating to the CMS wave, as well as preparing for activities associated with the Central wave. While the project worked to limit MRW tasks this month to allow agencies to focus on end of year activities, there were some initiatives designed to move the project forward. This month, the project conducted a Change Champion Network (CCN) Town Hall. The Town Hall highlighted the upcoming wave overlap where CMS and Central wave activities will continue in parallel. Where many of the MRW tasks associated with Central will be familiar to the agencies as they were performed for CMS, the scale of these tasks may be increased as agency impacts tend to increase with the Central wave. Therefore, understanding the overlapping tasks will be important to agencies moving forward.

IV&V observed the Readiness Coordinators (RCs) highlighting this overlap in agency touchpoints following the Town Hall.

Central Business Process Models were published in July, and agency liaisons were asked to share these models within their agencies. In addition, the project conducted Central Business Process Office Hours to review grouped business processes.

IV&V observed RCs reviewing MRW tasks related to agency participation in these office hours, as well as their plan to share the process models.

From the outset, RCs have been assigned to support agencies and enterprise partners. In July, the RCs were assigned to third-party banking partners as well. In this role, RCs will facilitate meetings between the project and the third parties and track outstanding action items, risks, and issues.

IV&V observed initial third-party meetings where work effort and schedules were aligned. IV&V assesses this as a positive addition to the change network as third-party work effort can be a risk if activities are not aligned.

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 despite the agencies' continued COVID impacts and increased operational activity associated with year-end. IV&V observed high agency participation and commitment in completing MRW tasks.

During July, the Project continued to prepare for the CMS Wave. As part of this effort, the Training team began building training material. In addition, the Project focused on ongoing knowledge transfer across the team. The project conducted a series of training focus groups with limited participants that represented a cross-section of the CCN. The purpose of these sessions was to elicit feedback on the CMS training topics and identify potential additional topics for PALM and agency-specific training.

IV&V observed interest from the participants in the opportunity to review the planned topics and a desire to have a continued channel to identify topics as they gain understanding of the processes.

Throughout July, the Project continued to communicate with the Florida PALM community through multiple channels including Florida PALM website, the Change Champion Network, and via the Florida PALM email account. The project released the Quarterly Communication Package.

IV&V observed touchpoints where agency liaisons expressed their approaches for leveraging the information included in the package to provide updates for their staff. These approaches included meetings, newsletters, email series, and SharePoint. In addition, IV&V observed the Project updating communication channels with information relating to the CMS Wave, released MRW tasks, recorded system demonstrations, and agency-specific inquiries.

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** *Based on standardized IV&V scoring*
🟩	🟩	↔	- 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 FFMIS/STMS and state agencies. The Project has not incurred major 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 enterprise 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**	The project schedule continues to be at risk due to delays in completion of functional designs, potential conflicts in demand for external resources because of fiscal year end and year begin activities, operational impacts of COVID-19, and because of potential misalignment of development and test schedules with FFMIS enterprise system partners.	🔶	🔶
4	**Project Cost Management**	The Project is routinely estimating, budgeting, managing, and controlling costs.	🟩	🟩
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.	🟩	🟩
10	**Project Vendor Management**	The Project is monitoring vendors and subcontractors to confirm they meet all requirements and managing performance where needed.	🟩	🟩

IV&V Dashboard

	PROJECT AREA	PROJECT AREA DESCRIPTION	CURRENT	PRIOR
			Rating	
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 begun to create the inventory of training curricula 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

The assessment score for Project Time Management remains in a yellow status to reflect challenges presented to the Project Schedule.

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	The project schedule continues to be at risk due to delays in completion of functional designs, potential conflicts in demand for external resources because of fiscal year end and year begin activities, operational impacts of COVID-19, and because of potential misalignment of development and test schedules with FFMIS enterprise system partners.	🟡	🟡

> *As reported in June, PMO has recognized schedule risk as well as potential mitigations and logged a risk in the Project Risk Log. The risk associated with functional designs has been escalated to an issue as described in Section 2.2 of this report.*

The Risk Log lists twenty-two (23) open risks in the following statuses as of July 31, 2020:

- **Mitigating:** Thirteen (13) 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:** Three (3) risks are being evaluated and awaiting plan development.

During July, four (4) risks were removed from the Risk Log:

Risk 195: The Division of Treasury E-Payments ITN received a protest which will delay interface testing with a new vendor if not resolved timely.

> *IV&V observes that Risk 195 was closed on 7/22/2020 as the protest was resolved.*

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

IV&V observes Risk 209 was closed as attendance of 27 agencies and 170 participants joined in Central Office Hours.

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

IV&V observes Risk 211 was closed and moved to Issue status on 7/21/2020.

Risk 215: The design requirements for several forms may exceed the technical limitations of the delivered forms capability.

IV&V observes Risk 215 was closed as form design requirements were configured to fit with the delivered form capabilities.

During July, three (3) new risk were logged:

Risk 217: Current budget holdbacks could impact agency funding for Florida PALM transition.

IV&V notes Risk 217 was created on 7/9/2020 and is currently under evaluation as Florida PALM will communicate with State agencies to determine impact of holdbacks and provide information regarding potential costs when known.

Risk 219: Completion of deliverables and/or work products at risk due to Bloomberg AIM contract timing.

IV&V notes Risk 219 was created on 7/20/2020 and is currently under evaluation as progress with Bloomberg AIM meetings are being monitored with progress status reported to Project Leadership.

Risk 220: Current budget holdbacks could impact Project funding for FY 20-21.

IV&V notes Risk 220 was created on 7/22/2020 and is currently under evaluation as the Project will monitor all spending to determine the timing of additional releases.

2.2 Project Issues

There is currently one (1) Project Issue logged.

Issue 24: Functional designs are not being completed by planned dates causing impacts to technical design/build and other downstream cross track activities.

IV&V observed that Issue 24 was transferred from the Risk Log (Risk 211) to the Issue Log on 7/21/2020. The issue status is listed as Under Evaluation with the Project evaluating Accenture's proposed plan to resolve.

Accenture has submitted an extensive action plan that is designed to reprioritize activities, augment resources, and focus on expediting the development of interfaces and data conversion programs. These two areas represent the primary RICEFW items that involve agencies, partner systems and third-party systems. The action plan is meant to preserve the milestones set in the current project schedule.

Continued on next page.

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.	3	The project has undergone a comprehensive re-planning to shift from an approach that was phased incrementally by both functions and by organizations to one that is phased by functions. The new approach is more streamlined but retains multiple phases (Waves) and an interim period that depends on FLAIR, requires temporary solutions, and translation of legacy FLAIR data to new Florida PALM data and vice versa to support business processing. The deployment schedule includes concurrent multi-wave activities of analysis, configuration, and development. 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 July, the rescheduling effort to rephase the overall project was completed and communicated to stakeholders. As envisioned, the Florida PALM solution is dependent on timely completion of system modifications and/or new interface development by FLAIR, LAS/PBS, MFMP, STMS, and People First. As collaborations continued throughout July, it remained unclear if all parties are firmly committed to complete these activities according to the current project schedule.
TME – 2	Review that project milestones are realistic and meaningful and aid in managing project performance.	3	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. As of July, a backlog in completion of CMS Wave functional design documents has exacerbated project schedule risk.
TME – 3	Review schedules to verify that adequate time and resources are assigned for planning, development, review, testing and rework.	3	FFMIS partners and STMS have not expressed objections to re-planned schedule details provided to date. Schedule details communicated provide information needed for FFMIS/STMS partners to affirm or decline a commitment to the project 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.	3	Some Deliverables have not been submitted or accepted within the originally scheduled time deadlines. The delayed completion of CMS Wave functional designs is adversely affecting the start and completion of some development activities. To date, 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. The implications of modifying FLAIR and relying on FLAIR-to-PALM and PALM-to-FLAIR data translations involve 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, as evidenced by increased interactions and dialogs.
SCP – 5	Evaluate the thoroughness of scope control communications including project team, sponsors, and stakeholders.	5	The Project routinely takes a painstaking approach to sharing 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 consistently demonstrates attention to detail and cost management practices.

AREA	TASK	SCORE	Comments
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. IV&V does not have access to confidential pricing details on the new work introduced by the re-planning effort. IV&V has observed discussions concerning cost containment and project leadership working to minimize any new costs associated with the re-plan.
CST – 4	Verify that State staff are tasked to monitor project costs and the allocation of resources according to resource estimates and plans.	5	The Project Director's office and PMO team demonstrate regular prospective and actual cost analysis and management practices.

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 high effective approach to engaging with Track teams and creating plans and supporting documents for test efforts.
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.

AREA	TASK	SCORE	IV&V OBSERVATIONS
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. On the contrary, the Project overall adheres to a very disciplined approach to prescribed processes.

AREA: Project Stakeholder Management

AREA	TASK	SCORE	IV&V OBSERVATIONS
STK -1	Verify that executive sponsorship supports all changes which 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.

AREA	TASK	SCORE	IV&V OBSERVATIONS
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 communications to and interaction with stakeholders and uses stakeholder feedback to improve where needed. Feedback from stakeholders indicates a high degree of satisfaction with project support. Project needs to confirm schedule commitments with FFMIS partners, STMS and OIT/FLAIR.

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 communication strategy.
COM – 2	Verify communication plans and strategies are effective and support communications and work product sharing between all project stakeholders.	5	Stakeholder assessments have been used to gauge effectiveness. The Project routinely publishes target communications and makes materials available online. IV&V has observed agency liaisons leveraging published online material and the quarterly communications package to create internal content for meetings and other forms of communication (e.g., SharePoint, newsletters, agency site).

AREA	TASK	SCORE	IV&V OBSERVATIONS
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 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 are provided in Section 2 of the IV&V Monthly Assessment.
RSK – 3	Verify that Risk Plans include indicators for executive commitment and support.	5	Risks and Issues 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 some contract amendments. As of the end of July, one has been executed, and one was still pending. To preserve the integrity of the schedule and concepts agreed to through the re-planning effort and to enable OIT and FFMIS partners to provide firm commitments, the Project needs to promptly execute the pending contract amendment.
PRC – 2	Necessary timeframes and specifications for project resources are identified and monitored.	4	The re-planning effort has produced the need for some contract amendments. As of the end of July, the final amendment had not been executed.
PRC – 3	Vendors and suppliers are identified to provide resources that meet the criteria.	5	There is no foreseen need to change vendors or suppliers as a result of the re-planning effort.
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	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.

TASK #	TASK	SCORE	Comments
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 mitigate risk. Turnover remains an area of focus.
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.

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	Accenture has encountered delays in onboarding resources due in part to COVID-19 logistical issues. This situation has reportedly contributed to the delay in completion of CMS Wave functional design documents.
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.

AREA	TASK	SCORE	IV&V Observations
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.	5	No material findings.
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.	5	No material findings.
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 solicit involvement with stakeholders.
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.

AREA	TASK	SCORE	IV&V OBSERVATIONS
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.
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 personally identifiable data (PII) 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.

AREA	TASK	SCORE	IV&V OBSERVATIONS
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 comply with 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 scheduled to begin on determining specifications for subsequent Waves.
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 determine specifications.
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.

AREA	TASK	SCORE	IV&V OBSERVATIONS
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
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.

AREA	TASK	SCORE	IV&V OBSERVATIONS
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.	5	No Material Findings.
TST - 9	Verify that test scripts are complete, with step-by-step procedures, required pre-existing events or triggers, and expected results.	5	No Material Findings.
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.	5	No Material Findings.
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 and build.
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 and build.
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.

AREA	TASK	SCORE	IV&V OBSERVATIONS
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
D074	Review and observations on deliverable	System Test Plan
D075	Review and observations on deliverable	Conversion Extract Layouts
D076	Review and observations on deliverable	Published Interface Layouts
D080	Review and observations on deliverable	Technical Architecture Documentation
D088	Review and observations on deliverable	Master Data Configuration Workbook
D097	Review and observations on deliverable	Knowledge Transfer Scorecard
D127	Review and observations on deployment plan	Production Support Strategy
D172	Review and observations on deliverable	Project Schedule
D465	Review and observations on deliverable	CMS Wave Master Readiness Workplan
D465	Review and observations on deliverable	Master Readiness Workplan
D499	Review and observations on deliverable	Protected Data Inventory Plan
WP326	Review and observations on work product	Production Support Roles & Responsibilities
D115	Review and observations on deliverable expectations document	User Acceptance Test Plan
WP10	Review and observations	Interface Inventory and Analysis
AMEND 3	Observations	Contract Amendment 3

3   IV&V Contact Information

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