ISG™

Florida PALM Project

IV&V Assessment Report – October 2020
Deliverable IVV2.2

Presented by:

Information Services Group Public Sector

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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.

October 2020 IV&V Summary

Overall, the Project continues to be assessed in a green status when measured against standardized project management criteria contained in Section 2.3 of this report.

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 logged by the Project and described in Sections 2.1 and 2.2 of this report. In summary, the Project continues to proactively manage production of deliverables and provide agencies, partner system organizations, and third parties with information needed to assess impacts, understand timelines, and take action.

The Project has a long-range plan in place and uses progressive elaboration to develop detailed activity schedules for near-to-midterm tasks. In October, the Project completed the committed schedule of detailed work through June 2021. This enabled publication of the next iteration of the Master Readiness Workplan (MRW) used to inform and assist agencies by providing a detailed workplan that aligns to the project plan and can be incorporated with internal agency plans.

To implement Florida PALM as envisioned, the Project depends on other organizations to complete their respective preparations and technical work. The organizations in turn are dependent on the Project to provide information used to analyze their legacy business systems and/or data needs. Based on IV&V observations and survey responses, there are indications that many of the organizations have undertaken internal assessments using the information and tools created by the Project. There are also some signs that agencies may require further support to fully understand what to analyze and how implement changes to their legacy systems and internal processes.

The CMS Wave involves multiple third-party interfaces. In the area of investments, DFS Treasury is in the midst of implementing a new service provider for investment portfolio data. As that implementation proceeds, and the Project works with the new provider, complications of legacy processes and limitations of the service provider indicate design revisions to Florida PALM interfaces are likely. As of the end of October, the Project was actively managing the risk and preparing plans to resolve potential issues.

Schedule risk is also inherent in the overall Florida PALM wave approach, which is complicated by requiring a large and diverse organization to align to implement a broad scope of business functionality in multiple phases/waves that need to be executed in parallel. The waves are designed to limit the amount of change introduced at one time. However, the approach makes the Project and the State dependent on the prolonged use of the FLAIR system and requires FLAIR to be modified to facilitate business processing using a hybrid of FLAIR/Florida PALM between the implementation of Central Wave and the completion of Departmental Wave. In the experience of the IV&V team, enterprise resource planning (ERP) projects that are phased still experience risks of delays and unanticipated costs.

During October, the Project accepted the following noteworthy deliverables:

Interface and Integration Testing Plan (D94)
D94 contains the plan to test end-to-end business processes to verify the exchanging of data between Florida PALM and external systems such as agency business systems and third-party systems. This type of testing should also validate the flow of data between Florida PALM and external systems and confirm that data can be transmitted successfully.

> *IV&V observes D94 addresses the aspects described above and meets acceptance criteria. It also reflects Project Team coordination with interface partners during the test planning, preparation, and execution. Interface partners include the Department, DFS-OIT, third parties, and agencies that are expected to interface with Florida PALM during the CMS Wave.*

Regression Testing Plan (D95)
D95 contains the Regression Testing Plan for the Cash Management System (CMS) Wave. Regression Testing is performed to confirm that previously working functionality still works after changes such as newly developed enhancements and/or major configuration changes are made elsewhere in the Florida PALM system.

> *IV&V observes the Regression Testing Plan meets expectations established in acceptance criteria and includes industry practices used to confirm that changes such as those mentioned above have not introduced unwanted impacts. D95 includes detailed tasks to prepare and execute Regression Testing, including scope, schedule, test data, environments, tools, test team, and entry/exit criteria.*

RICEFW Inventory (D185)
D185 documents the Reports, Interfaces, Conversions, Extensions, Forms, and Workflows (RICEFW) needed to meet the business requirements for the Central Wave. This deliverable is intended to facilitate a common understanding of the RICEFW items that will be developed and/or configured and implemented in support of the Central Wave. The deliverable provides the Project with a single source an authoritative view of the items to be created specifically for Florida PALM.

IV&V continues to observe a high degree of scope control and a relatively low amount of customization as a result of how the solution design and RICEFW inventory have been managed. D185 meets acceptance criteria, is thorough and has undergone scrutiny, refinement and review by the Project Team. The concepts and designs have consistently been shared with stakeholders in working sessions and as part of the business process reviews. D185 should help the Project manage scope and serve as a reference of all technical work items including customizations required to support the Florida PALM Solution.

Central Wave Business Process Models (D455)

D455 contains flow diagrams and supporting narratives for the business processes that agencies, DFS, and OIT will employ beginning at the implementation of Central Wave. The objective of the Central Wave is to move business processes currently supported by Central FLAIR to Florida PALM. During the Central Wave, agencies will operate within the Payroll and Departmental FLAIR systems, while having access to Florida PALM to execute actions that were previously performed within Central FLAIR. During the interim period between Central Wave and the subsequent implementation of Departmental Wave, each business process model in operation will be wave-specific or standardized.

IV&V observes wave-specific models are for processes applicable to the deployment of a wave and will change in later waves. Standardized models reflect the end-state solution and will not change in later waves. As the Project reaches subsequent waves (e.g., Payroll and Departmental) the wave-specific models will be replaced with their respective standardized models. D455 meets acceptance criteria and reflects the details and refinements resulting from extensive analysis, peer reviews conducted by the Project Team to assure quality of individual models as well as accuracy of integration and interdependencies of the models in their entirety. The complexity in this regard cannot be overstated.

Requirements Traceability Matrix (D458)

D458 contains the Requirements Traceability Matrix (RTM) and is used to measure and assure accountability that the Florida PALM solution meets the State's business and technical requirements for the Central Wave.

IV&V observes D458 is consistent with the earlier RTM deliverable (D49) that was created prior to the Project's revised implementation approach and with the RTM deliverable (D454) that was created for the CMS Wave. The Business Process Standardization (BPS) Team collaborated with the Systems and Data Strategy (SDS) Team to create D458. The RTM should be helpful in developing, configuring, and testing the system.

CMS Wave Testing Update

During October, the SDS Team completed collaborative review and submitted the Interface and Integration Testing Plan (D94) for project acceptance. In tandem with the deliverable development, the PALM SDS Team presented an Interface and Integration Plan overview to the DFS OIT team. The DFS OIT presentation highlighted PALM Project and Department team interaction dependencies, which created opportunity for joint team discussions and identifying areas that will benefit from detailed test planning and coordination. The Project also conducted a statewide Interface and Conversion Workshop to share detailed testing information with agencies.

IV&V observed SDS collaborative deliverable review to properly align testing resources within teams and testing cycles. Furthermore, care was given to assure testing cycles are in alignment with the overall project schedule and timelines shared in the MRW with agencies. Progressive exit/entrance criteria for test cycles were closely reviewed to ensure quality standards are met and readiness for the current and future test cycles is clearly aligned with implementation requirements.

In the course of testing, when a test case cannot be completed or produces an unacceptable outcome, the tester logs a System Investigation Request (SIR). With a key test cycle exit criteria dependency being "Critical or high priority SIRs are resolved or have an agreed upon disposition", IV&V suggests regular management reviews of SIR priority assignments to ascertain that all 'Medium' or lesser priority SIRs would be acceptable in the production solution if they are not resolved during pre-production testing and that each Medium or lesser priority SIR has a documented production-acceptable technical and/or business process workaround.

During the PALM and DFS OIT Interface and Integration Testing Plan overview presentation, IV&V observed the DFS OIT team express a desire to ensure Interim FLAIR interfaces and related business processes are integrated within the PALM Interface and Integration Test Plan and that activities to assess FLAIR will be accommodated. The Project Team assured the DFS OIT team the testing plan and tracking mechanisms allow the flexibility to add DFS OIT-specific test tracking and validation items as needed.

System Test Cycle 4 testing was completed during October. Status reports show 100% of the 95 test scripts were executed; 68 (72%) passed and 27 (28%) failed. A total of 97 SIRs were opened during System Test Cycle 4. As of the end of October, the System Test Cycle 4 SIR statuses are: 20 remain Open, 8 are Ready to Test, and 69 are Closed. At October 30, Cycle 5 was slightly behind schedule with 44% of scripts tested vs the plan of 50% with 64% of the scripts executed to date for Cycle 5 have passed testing.

IV&V has observed a thorough, effective, and efficient triage process during System Test. Meetings are held twice weekly with the Testing, BPS and SDS teams to review individual SIRs for priority and disposition classification as well as escalation paths as needed.

As of the end of October, 10 out of a total of 66 open SIRs for all testing cycles were categorized as High/Highest Priority. High/Highest priority SIRs must be resolved or have an acceptable remediation plan according to the stipulated exit criteria of each testing service. Seven (7) of the 10 High/Highest priority SIRs are specific to System Test and include 3 for accounts receivable and 4 for cash management. The other 3 High/Highest Priority open SIRs were identified during Smoke Test and Training. As of October 29th, none of the 10 High/Highest priority SIRs had been open for more than 15 calendar days with 4 of these being created in the last week of October during Cycle 5 testing.

Engagement Activities
The Project and some agencies continued to perform work remotely due to COVID-19 workplace restrictions and conduct touchpoint meetings by teleconference or video conference with organization representatives to manage activities contained in the Master Readiness Workplan (MRW).

IV&V has observed the agencies and project team work remotely and effectively through touchpoints, workshops, and office hours. Agencies engaged with the project on activities associated with both CMS Wave and Central Wave. In October, agencies participated in Interface and Conversion Workshops, Identity and Access Management (IAM) Office Hours and Reporting Workshops. IV&V observed the project capturing agency questions and input and leveraging project management processes and tools to resolve or monitor any resulting action items, risks, or issues. RCs continued to schedule additional sessions, when needed, with agencies and the project team to work through barriers to completing MRW tasks.

Throughout October, the Project continued to communicate with the Florida PALM community through multiple channels including Florida PALM website, the Change Champion Network (CCN), and via the Florida PALM email account.

The project conducted a CCN Town Hall in October. During this session, the project engaged an agency liaison from the Florida Department of Agriculture and Consumer Services to share information on how their agency CCN organizes and manages activities related to Florida PALM. Following the session, IV&V observed agencies reaching out to each other to further share ideas and techniques in managing their transition to Florida PALM.

During October, the project and agencies continued to plan and deliver activities associated with the CMS Wave workforce transition. Along with the previous workforce transition activities, Change Impact workshops, and Role Mapping workshops, agencies participated in the Training Liaison Preparation Kick-Off and prepared for upcoming Model Office for Super Users sessions in November.

IV&V observed increased levels of agency participation in the Training Liaison Preparation Kick-Off. However, many of the questions asked during the session centered around when to engage the agency Super Users. When creating their respective Change Champion Networks, agencies were asked to identify Super Users that would serve within the agencies to provide additional system and process support during and after the transition. There is an expectation that individuals selected to be Super Users will be afforded opportunities to develop a deep understanding and skills in using the functionality of Florida PALM prior to the implementation of each wave.

IV&V observes that the present schedule of workforce transition activities may need to be expanded to provide the agency Super Users with the exposure necessary to prepare them to fulfill their role. IV&V suggests that the project evaluate the remaining CMS Wave activities for opportunities to provide more instruction on the functionality to this group of users. In addition, IV&V suggests the Project consider providing an environment for agencies to have hands-on practice following training to reinforce how they will execute the processes in their setting after training but prior to implementation.

Continued next page.

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. CMS Wave activities continue as Central Wave activities are now underway. - By the end of October, the mitigation plan for resolving delays in CMS Wave functional designs was executed, thus resolving the issue and putting the project back on schedule for the CMS Wave. - Contract Amendment 3 is still pending and would ratify the schedule of deliverables pursuant to the agreements contained in the amendment. - 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 rescheduling has been intended in part to enable agencies to learn, prepare and pursue funding for internal work and to secure commitment from enterprise partner system organizations and agencies to fulfill critical dependencies. - 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 high. The multi-year, multi-phase implementation approach increases the probability of occurrence. Transition of the Accenture PMO Lead has completed. - 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 the factors described in the Executive Summary and discussed in Section 2.1, Project Risks.	🔶	🔶
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.	🟩	🟩
11	**Project Human Resource Management**	The Project is acquiring, developing, and managing appropriately skilled and adequately staffed project teams.	🟩	🟩

IV&V Dashboard

	PROJECT AREA	PROJECT AREA DESCRIPTION	CURRENT	PRIOR
			Rating	
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. System Testing is underway without disruptions and/or significant technical issues causing risks to system designs or execution of testing.	🟩	🟩
15	**Project Training Management**	The Project has conducted the training needs assessment and continues to create training curricula for delivery of end-user training to successfully prepare employees for use of the new system.	🟩	🟩

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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 include the following factors:

- Potential misalignment of development and test schedules with the enterprise system partner MFMP. The Project and DMS/MFMP have collaborated on defining and qualifying the risk and show commitment to continued cooperation to develop a mitigation plan.
- Prolonged evaluation of Contract Amendment 3 may increase risk to the schedule of deliverables.
- CMS Wave functionality related to DFS Treasury's transition of investment portfolio data services may require near-term CMS Wave schedule changes.

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 the factors described in the Executive Summary and discussed in Section 2.1, Project Risks.	🟨	🟨

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

The Risk Log lists twenty-six (26) open risks in the following statuses as of October 31, 2020.

- Mitigating: Eighteen (18) 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: Eight (8) are being monitored to identify when their probability of affecting the Project increases to the point that mitigation is required.

- Under Evaluation: There are no risks currently in Under Evaluation status (risks being evaluated and awaiting plan development).

During October, there were no risks removed from the Risk Log. There were two (2) new risks added to the log, both in mitigating status:

Risk #224: Amendment 3 may not be executed by the October 28, 2020 Executive Steering Committee (ESC) meeting, resulting in the need for a provisional ESC approval for the Central Wave RICEFW Go/No-Go Decision.

> *IV&V notes Risk #224, created on 10/14/2020, is being actively mitigated by Florida PALM. The Project provided a status update on Amendment 3 during the October 28th Executive Steering Committee stating all three deliverables associated with the Go/No-Go Decision are complete. Amendment 3 addresses the revision of contractual documents to conform to the revised implementation approach developed in January, 2020. The due date for this risk is 10/30/2020. Whereas the Project's replanning effort began early in 2020 and has proceeded with the approval of the ESC through October, the work is being completed pursuant to the concepts and schedule contained in Amendment 3. The risk of further delay at this point appears to be to the ability to accept and pay for new deliverables resulting from Amendment 3 as reflect in Risk #225.*

Risk #225: The Project has committed work in the schedule that aligns with ESC approval of implementation approach but some work is defined/modified by Amendment 3.

> *IV&V notes Risk #225, created on 10/16/2020 with a due date of 10/30/2020, is being actively mitigated by Florida PALM. As of October 30th, the Project planned to update the Executive Steering Committee on the status of Amendment 3 and the alignment of contractual documents with the revised implementation approach during the November 10th ESC meeting.*

2.2 Project Issues

There are no Issues logged for the Project as of 10/30/2020.

The one issue from last month was removed during October:

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 notes the Project closed this issue and informed the ESC at its October 28th meeting. Functional designs have been completed and, while some development remains in progress as of October 30th, indications are that it is on track to be completed imminently.*

There were no new issues added during October.

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 and maintain the project plan, schedule activities and deadlines, commit resources, and gain necessary approvals of high-level plans.
GPM - 4	Verify that a Project Management Plan and procedures are developed, communicated, followed, monitored and completed.	4	The DDI PMP is approved and updated as needed following the prescribed process. The Project uses a discrete plan for each Wave. The Project is observed to manage critical path by means of select milestones aligned to ESC Go/No Go Decisions encompassing select Deliverables. Where tasks entail the production of multiple work units, the Project uses discrete hillclimber tracking spreadsheets to avoid needlessly elongating the project schedule with subtasks and to enable team members to report progress daily by directly updating the hillclimbers. 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.
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.

AREA	TASK	SCORE	IV&V OBSERVATIONS
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), requires an interim period dependent on FLAIR, and requires temporary solutions and translation of legacy FLAIR data to new Florida PALM data and vice versa to support business processing. The waves-based schedule includes concurrent multi-wave activities of analysis, configuration, and development. There are inherent risks associated with this deployment approach due to the complexity of managing multiple Waves in parallel.
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.	3	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. Despite the Project's efforts to communicate plan expectations and important details needed for agencies to take action to ready themselves, some agencies indicate less than full awareness of what information is available and express expectations of Project resource involvement in internal analysis of changes that the Project may not be able to fulfill.

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	The rescheduling effort to rephase the overall project is completed and has been communicated to stakeholders. The envisioned 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. IV&V was able to independently confirm commitment of FLAIR, LAS/PBS, STMS and People First 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 have been sufficient in most cases. Issues causing slippage have been resolved without adversely affecting the critical path. Milestones are used to set and manage the critical path in a manual manner. By the end of October, the backlog in completion of CMS Wave functional design documents had been cleared reducing schedule risk. Substantial progress was achieved pursuant to the resolution plan.
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 the replanned schedule. Schedule details communicated provide information needed for FFMIS/STMS partners to affirm or decline a commitment to the project schedule. The resolution plan enacted to address the backlog in functional designs for the CMS Wave has been effective. The project continues to execute work in accordance with contract Amendment 3, which is pending ESC feedback on cost increased as of October 30th.
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.

AREA	TASK	SCORE	IV&V OBSERVATIONS
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 adversely affected the start and completion of some development activities. However, the SDS team has been able to complete tasks pursuant to the resolution plan. 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.	3	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. A hybrid design relying on FLAIR and PALM is to be in service between implementation of Central Wave and implementation of Departmental Wave. As of this reporting period, the changes to FLAIR required of Central Wave, the functional designs for those, and the plan to complete those have not been fully documented. The implications of modifying FLAIR and relying on FLAIR-to-PALM and PALM-to-FLAIR data translations present risks to execution of design and development objectives as well as production operations requiring data translation.
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 dialogues.
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.
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 fixed duration. IV&V has observed discussions concerning cost containment and project leadership work to minimize any new costs associated with the re-plan. The final cost of contract Amendment 3 has not been approved as of October 30th.
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 assure 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.
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.	3	SDS written deliverables have routinely 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. 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 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. The Project and MFMP continue to work together to confirm schedule commitments to ensure the development and testing of key interfaces can be accomplished by DMS. As of October, alignment of the Project schedule with the DMS MFMP Next Generation project schedule continues.

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.	4	Stakeholder assessments have been used to gauge effectiveness. Responses indicate widespread awareness and consistent levels of engagement with few exceptions. The Project routinely publishes targeted 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). Some agencies indicate a need for detailed information to assess the impact of Florida PALM on their agency business systems, operations, and demand for technical resources to complete preparations. The Project continually assesses its communications practices and creates alternative communications to inform agencies on where to find the details they seek.
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 consistently monitors and assesses potential risks. The project to date has logged a small number of issues that have been resolved without negative impacts to the 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 Findings
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 this reporting period, one has been executed and one remained under review (Amendment 3) and cost changes are planned for presentation to the ESC in November. 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 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 October, the proposed Amendment 3 has 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 because 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.
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. Turnover remains an area of focus. The Accenture PMO Lead position transition was completed in October.
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.	5	After encountering delays in onboarding resources due in part to COVID-19 logistical issues, Accenture has deployed additional resources to help resolve the delay in completion of CMS Wave functional design documents and subsequent development activities.
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. Deadlines continue to be met in most areas and teams continue to maintain productivity.

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 solicitate 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.
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.	5	The strategy for data protection (D499) was accepted in September.
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 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.

AREA	TASK	SCORE	IV&V OBSERVATIONS
CAP - 9	Verify that all system interfaces are identified, and specifications are defined.	3	The Project has provided standard interface layouts and, with one exception, has completed work with agencies and partner systems to finalize specifications for the CMS Wave. Recently identified limitations regarding DFS Treasury's newly contracted investment portfolio data service provider have introduced the need to reevaluate some interface designs to fulfill functional requirements. Work has begun 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.	3	The Project has shared CMS Wave and Central Wave interface layouts and has confirmed specifications for CMS Wave. Based on observations and feedback from engagement activities for Central Wave, it is unclear that all agencies are independently assessing impacts to their agency business systems to identify resources needed to prepare for the changes to data and processes that will result from Florida PALM Central Wave.
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
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	System Test is proceeding without disruption. Test cases/scenarios are producing findings that are documented, triaged, and addressed in an orderly fashion. No significant risks have emerged from the defects encountered as of October.
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 consisting of full-time testers. The team is organized under SDS Track management.
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

AREA	TASK	SCORE	IV&V OBSERVATIONS
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
D094	Review and observations on deliverable	Interface and Integration Testing Plan
D095	Review and observations on deliverable	Regression Testing Plan
D120	Review and observations on deliverable	Help Desk Strategy
D127	Review and observations on deployment plan	Production Support Strategy
D172	Ongoing Review and observations on schedule	Project Schedule
D185	Review and observations on deliverable	RICEFW Inventory – Central Wave
D455	Review and observations on deliverable	Business Process Models – Central Wave
D458	Review and observations on deliverable	Requirements Traceability Matrix – Central Wave
D465	Review and observations on deliverable	CMS Wave Master Readiness Workplan
WP65	Review and observations on work product	Role Learning Plans
WP301	Review and observations on work product	Change Champion Network Quarterly Townhall
WP326	Review and observations on work product	Production Support Roles & Responsibilities
AMEND 3	Observations	Contract Amendment 3

3   IV&V Contact Information

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For questions regarding this report, please contact:

Mark Fairbank, ISG Director
IV&V Project Manager
Mark.Fairbank@isg-one.com

or

Nathan Frey, ISG Partner
IV&V Principal
Nathan.Frey@isg-one.com