

State of Florida

■ ■ ■ ■ Department of Financial Services

Project Aspire Evaluation

Final Report



17 May 2007

Engagement: 221698841

FINAL REPORT

Gartner[®]

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■ ■ ■ ■ I. Engagement Overview

Project Overview

■ Overview

- The State of Florida, Department of Financial Services, is in the process of implementing PeopleSoft Financials to support the statewide financial management requirements. It recently completed an internal validation of the project (Aspire) and concluded that it will continue through to the completion of its shorted-scope testing phase.
- As a result of this decision, the State is now seeking an independent, objective third party to perform an evaluation and assessment of the project with a focus on steps needed to successfully complete the project, as well as long-term issues of maintainability/upgradeability.

Florida Asked Gartner

What are the major risks?

What are the options/next steps for Aspire?

How much is this going to cost going forward?

What is the timeline?

Is the PeopleSoft tool viable for Aspire?

Approach

Data Collection

Risks and Gaps (April 6th)

Road Map

Costs

Final Report (May 17th)

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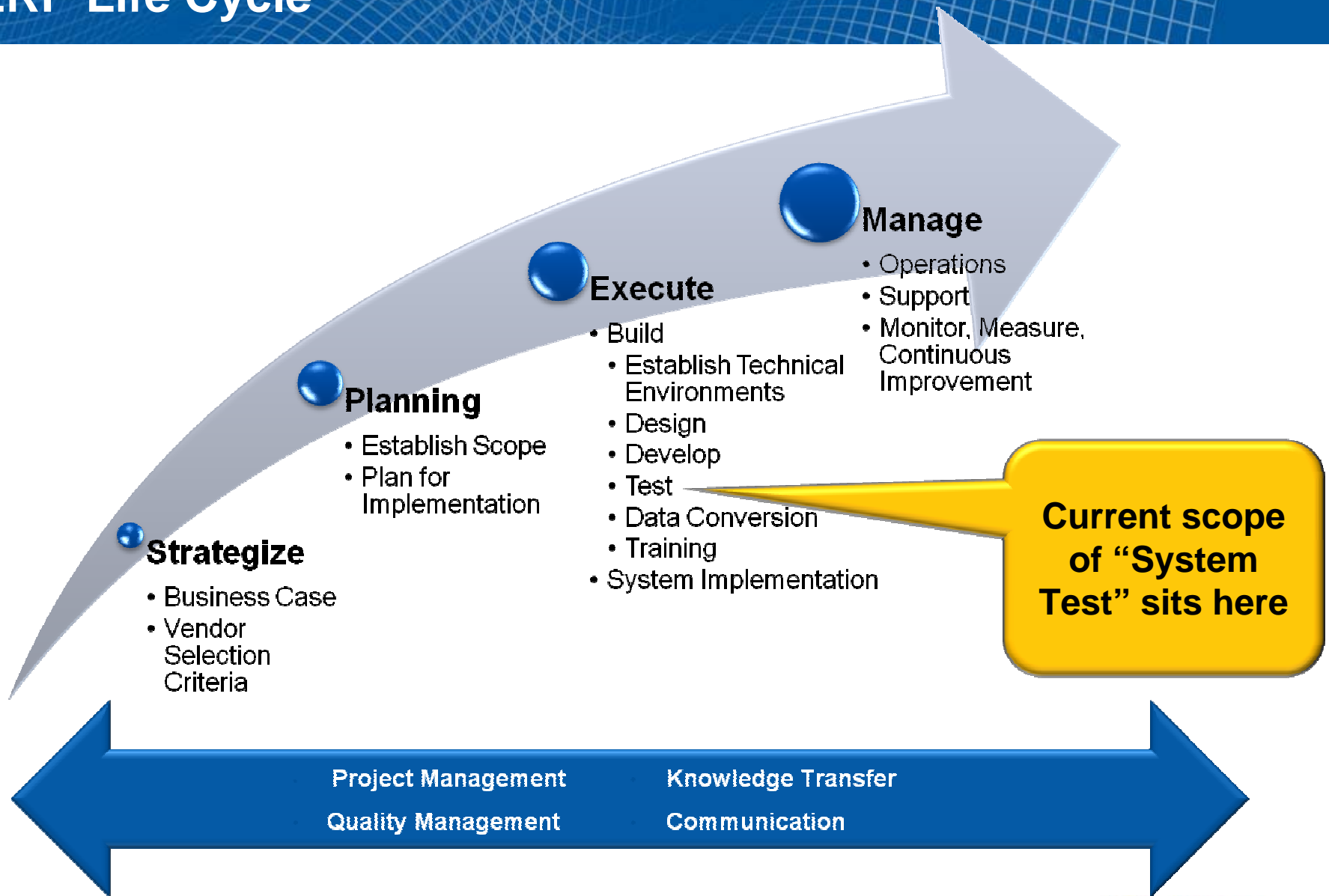
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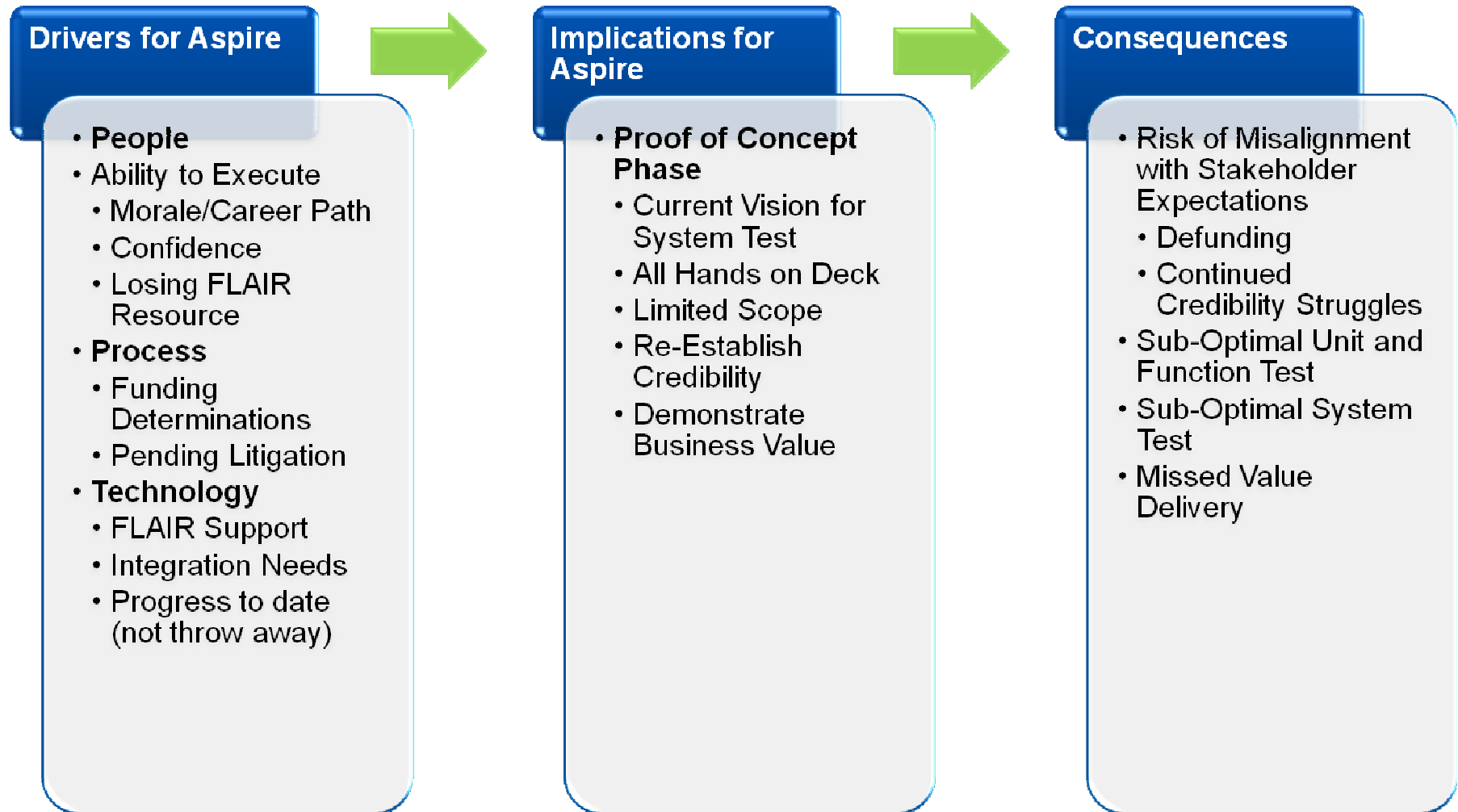
Gartner Research

■ ■ ■ ■ Findings and Observations

ERP Life Cycle



Current Focus



Key Findings

- 1. There is a lack of an executive governance process to provide discipline, executive guidance and decision making. Consequently:**
 - Software has been customized beyond normally accepted limits;
 - Process standardization has not been addressed;
 - Expectations of financial leaders throughout State departments and agencies are not consistent;
 - Project milestones have not been met, resulting in a lack of credibility in the success of the implementation project;
 - A command and control environment (statewide process standardization mandate) was never established for the Aspire project by an executive-level sponsor; this fact has greatly complicated the implementation and has led to requirements definition failures that have gone on to negatively impact subsequent phases of the implementation;
 - System success criteria have not been formally defined, vetted and approved by key stakeholders. No formal metrics for measuring business benefits have been established;
 - The key stakeholders at the senior level within agencies and departments do not appear to be engaged in the implementation, and the ability to operationalize Aspire lacks credibility across the State.

Key Findings (cont)

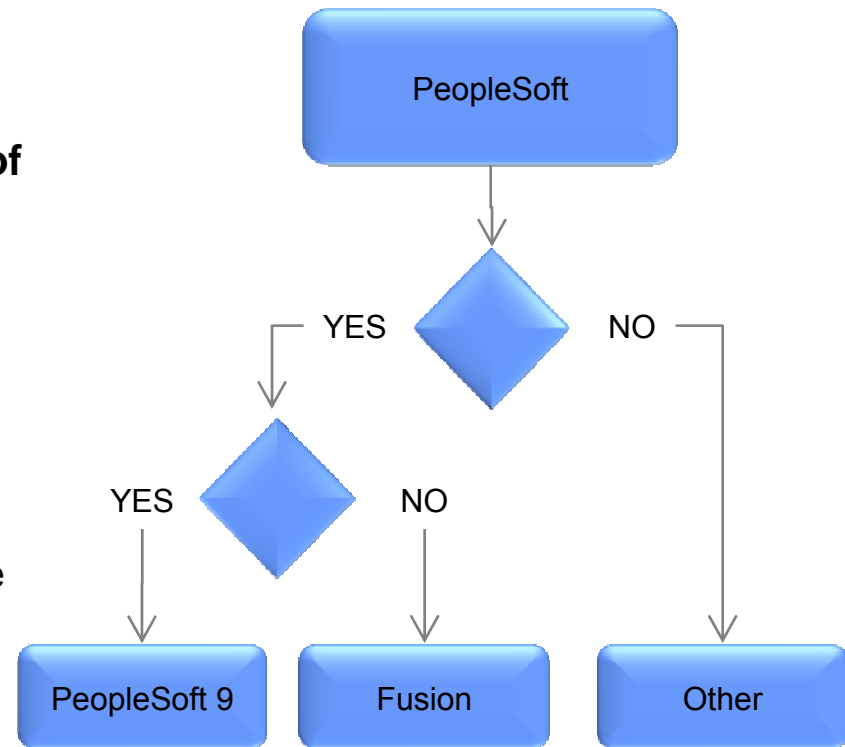
2. There is no statewide ERP vision and strategy.

- The scope of the Aspire project is limited to financial management within the State; consequently, complex interfaces and product modifications are required to enable end-to-end processing of financial transactions with the following current related systems:
 - MyFlorida Marketplace (SCM—Ariba)
 - PeopleFirst (HRMS—SAP)
 - Payroll (FLAIR)
 - Budgeting (LAS/PBS)
- High and increasing cost and effort levels are required to develop and maintain integration and different technologies, including:
 - Synchronization of different products
 - Different skillsets
 - Lack of process standardization
- Aspire is also dependent on funding of other State initiatives which, if not adequately funded, may negatively impact on necessary work being completed for Aspire (e.g., remediation work).

Key Findings (cont)

3. External environment changes may critically affect the long-term viability of the PeopleSoft application (for the State of Florida).

- A comprehensive statewide ERP and Enterprise Architecture strategy would better align the technical solution with business objectives and investment.
- Unclear and dated mapping of business requirements to the technical solution.
- Opportunity to follow best practices and reduce customization of the technical solution through BPR.
- The PeopleSoft upgrade path (Version 9 or Fusion) may be a better technical solution alternative, in light two primary concerns:
 - Aging of the current SW platform
 - Oracle's future product strategy



■ Key Decision Criteria:

- Leveraging previous investments (People, Process, Technology)
- Business requirements

Key Findings (cont)

4. **The Aspire project lacks key success components found in ERP system projects of similar scope, complexity and size.**
 - Oversight and governance
 - Thought leadership
 - Leverage an Implementation Partner's subject matter expertise
 - Proven implementation methodology
 - Established implementation experience with ERP system projects
 - The Aspire project does not have an experienced PeopleSoft system implementation manager
 - PeopleSoft technical and functional resources are in high demand within the State; a high risk exists that it will be difficult to retain key resources using existing position classifications

Key Findings (cont)

5. Current funding model is an inhibitor to progress.

- State legislature has requested the Aspire team to test the functional modifications in order to determine the value of the current software asset.
- Recently, the Aspire project management team has focused primarily on system test, which has resulted in decreased focus on other areas of the implementation, including communications; the messages being communicated have been negatively impacted by the implementation issues and failures during the course of the project.
- The existing project plan does not address phases following the system test phase; current project planning approach does not mandate that each prior implementation phase is completely finished prior to the next phase being started.
- Budget uncertainty exists and is dependent on the successful outcome of the system test phase.
- The current budget allocation continues to constrain and limit the ability for Project Aspire to adopt a best-practices approach.
 - The current budget only allows for a “keep on the lights” approach; continues the status quo
 - Limits the ability of the stakeholders address critical and necessary strategic changes
 - Delays course-correction activities, increasing risk and aging the technical solution

Key Findings (cont)

6. The Aspire project does not have an up-to-date, authoritative project plan and master schedule.

- The Aspire implementation team does not have an up-to-date, and relevant, application operational plan that stipulates the number or resources, roles and skillsets that will be necessary to maintain and enhance the application.
- Schedules and plans for interrelated projects and agency interfaces have not been integrated with the Aspire master schedule; therefore, it is difficult to coordinate the critical interdependencies.

Key Findings

Current Testing Cycle

7. The testing team has consistently failed to meet its internally set milestones. A very high degree of testing failures have occurred because the testing approach does not adhere to best-practice application testing; in fact, many serious deviations have been observed.

- A lack of completion of code development prior to initiating unit test for many ADMLs (application customizations); this is an extremely serious practice that severely undermines the unit test effort, and the coming system test effort. It is not possible to successfully test code, and all dependent/interfacing code, that is still under development.
- The current testing team has confirmed that it is not performing both positive and negative testing (tests are essentially a 'proof of concept' exercise rather than an attempt to 'break the system'). This practice greatly diminishes the value of the entire testing exercise and will in no way enable the Aspire team to understand if it is prepared for a true system test of the application.
- The testing team was able to forward only minimal basic testing documentation (such as a testing approach and test scripts) to the Gartner team prior to the unit testing phase. The testing team had indicated that past unit testing did not involve the use of scripts and was therefore ad hoc.
- A rushed testing timeline that has forced the testing team to address merely a portion of the developed code; the testing team is seriously considering postponing the upcoming system test phase due to the high level of uncertainty around the unit test phase.
- Poor measurement and reporting management—the testing team does not report testing results in a structured manner, causing senior management to receive conflicting messages that are extremely frequent.

General Observations

The State of Florida has not adhered to accepted industry best practices with respect to funding, planning and implementing Aspire.

Consequently, Gartner believes that there is a strong probability that the State will not succeed in replacing the current financial system (FLAIR) and transforming its business, to effectively process and analyze financial information in the future.

■ ■ ■ ■ Alternatives Analysis

Analysis Process Summary

- **Gartner developed a range of future alternatives for Project Aspire. The list of alternatives ranges from stopping all work and remaining on the current financial system (FLAIR), to wholesale restart of the project with several options in between:**
 - Stop Aspire (Remain on FLAIR)
 - Continue with Aspire—Status Quo (PeopleSoft Implementation without third-party SI)
 - Continue with Aspire—PM (PeopleSoft Implementation with a Modified Project Organization and Strong PD and PM)
 - Continue with Aspire—SI (Aspire implementation with a System Integrator)
 - Wholesale Restart (Conduct a Competitive Procurement for New Software and Service Provider)

Analysis Process Summary

- **Gartner applied the following methodology to select the Recommended Alternative:**
 - Gartner met with various stakeholders to define the alternatives as described in this section.
 - Gartner assessed the viability of PeopleSoft
- **Of the alternatives identified, Gartner assessed each alternative's risks and benefits and ability to fulfill project objectives and requirements.**
- **Gartner then compared each of the viable alternatives and rated each according to the following criteria:**
 - Business Gap—Inability to fulfill business functional requirements
 - Total cost of ownership
 - Time to implement
 - Risks
 - Organizational
 - Financial
 - Execution
 - Technical

Alternative Scenarios

Option A: Stop Aspire—Remain on FLAIR

Description						
<ul style="list-style-type: none"> Stop developing, testing and implementing PeopleSoft and continue to support financial operations using current system, FLAIR. 						
Benefits			Risks			
<ul style="list-style-type: none"> FY 07 operational appropriation applied to FLAIR maintenance and increased hardware platform. Cost avoidance The complexity of a statewide financial management implementation is avoided Full ownership and control of existing applications 			<ul style="list-style-type: none"> Uncertainty around business continuity capability and application enhancement strategy Diminishing number of resources capable of supporting and maintaining FLAIR Increased risks in meeting service levels Elevated ongoing costs Moderate technical risk given the aging legacy applications and the difficulty in finding knowledgeable support personnel. Technical risk will increase steadily over time. Low strategic alignment—legacy applications do not enable State to achieve its business capability goals, and provide minimal enablement for State business functions 			
Business Gap	TCO	Time	Org. Risk	Financial Risk	Execution Risk	Technical Risk

Alternative Scenarios

Option B: Continue with Aspire—Status Quo

Description						
<ul style="list-style-type: none"> Continue with PeopleSoft implementation without third-party SI State builds, maintains and manages technology, schedule, people and ongoing resources State directly sources and manages internally or externally 						
Benefits			Risks			
<ul style="list-style-type: none"> Some cost avoidance benefits exist Existing team structure and make-up will not be seriously compromised Full ownership and control Greater flexibility to proceed at a pace that is agreed to by State stakeholders Ability to develop system components as needed Can achieve greater flexibility for system customization and configuration 			<ul style="list-style-type: none"> No catalyst to change existing track record of success with the current team and approach High risk of project ineffectiveness/inefficiency—No implementation manager role exists. The Aspire project is not being managed by a seasoned implementation manager who has performed at least one implementation of this size and complexity. Minimal ability to improve suboptimal system design approach—customizing the system to satisfy non-standardized processes Minimal opportunity to effect State governance and ERP strategy improvements Substantial resources tied up maintaining undifferentiated services. Implementation detracts time and attention from day-to-day business of the State staff (i.e., DFS, IT) No protection if implementation project fails Very limited access to industry and process best practices Requires intensive project management and in-house deployment skills Significantly increased challenge in securing skills throughout project life cycle. Lengthy implementation and potentially costly alternative 			
Business Gap	TCO	Time	Org. Risk	Financial Risk	Execution Risk	Technical Risk

Alternative Scenarios

Option C: Continue with Aspire—PM

Description						
<ul style="list-style-type: none"> Continue with PeopleSoft implementation with modified project organization State builds, maintains and manages technology, schedule, people and ongoing resources State directly sources and manages internally or externally. State hires third party for key roles. 						
Benefits			Risks			
<ul style="list-style-type: none"> Access to a seasoned PeopleSoft implementation manager who will drive a best-practice implementation methodology, thereby decreasing wasted team efforts and driving down the Total Cost of Ownership (TCO) of the implementation Ability to manage integration with other enterprise-wide applications Full ownership and control Can develop system components as needed Can achieve greater flexibility for system customization and configuration Some cost benefits, assuming the implementation is effective and efficient Existing team structure and make-up will not be seriously compromised 			<ul style="list-style-type: none"> Minimal opportunity to effect State governance and ERP strategy improvements 'Minimal to Moderate' ability to improve suboptimal system design approach—customizing the system to satisfy non-standardized processes Limited ability to reverse trend towards customizing system to meet non-standardized functional needs over time A team of independent contractors, the State would not have one accountable entity with which to resolve any implementation issues <ul style="list-style-type: none"> Significantly increased challenge in securing skills throughout project life cycle. Ongoing need to recruit and retain skilled, dedicated resources Ties up substantial resources in maintaining undifferentiated services. Implementation detracts time and attention from day-to-day business of the State staff (i.e., DFS, IT) No protection if implementation project fails Competitive market for retaining and attracting right skills Increased risks in meeting service levels 			
Business Gap	TCO	Time	Org. Risk	Financial Risk	Execution Risk	Technical Risk

Alternative Scenarios

Option D: Continue with Aspire—SI

Description						
<ul style="list-style-type: none"> ■ Conduct procurement for SI services to evaluate PeopleSoft asset, deliver recommendation, bid on implementation of Aspire and optionally SCM and HRMS. ■ Aspire system implementation with SI based on updated comprehensive functional and technical requirements ■ SI on contract to assess product options, develop plan, manage schedule, people and resources 						
Benefits			Risks			
<ul style="list-style-type: none"> ■ Definitive assessment of PeopleSoft asset ■ Large opportunity to enhance State vision and implementation scope—opportunity to consider the program of State ERPs, and to leverage ERP best practices ■ Large catalyst to review State governance procedures ■ Independent evaluation of the State’s current Aspire direction and configuration utilizing a phased SI procurement ■ Marketplace commitment on remaining implementation via formal RFP/SOW ■ Opportunity to redesign business processes ■ One accountable entity with which to resolve any implementation issues; deeper skilled bench ■ Facilitated deployment and access to best-practice process and tools ■ More flexibility addressing the comprehensive functional and technical requirements due to strengths or focus of available products and solutions from software vendor and SI solutions 			<ul style="list-style-type: none"> ■ Need for sophisticated vendor management—Potential issues related to dependency on vendor (e.g., what if “relationship” with vendor needs to be terminated?) ■ Potentially difficult to execute with business changes since these are typically handled as separate projects or scope changes at consulting rates ■ Existing team structure and make-up will be negatively impacted ■ Higher risk for partial loss of control—lower flexibility due to SI accountability for project deliverables and milestones 			
Business Gap	TCO	Time	Org. Risk	Financial Risk	Execution Risk	Technical Risk

Alternative Scenarios

Option E: Wholesale Restart

Description						
<ul style="list-style-type: none"> Conduct a competitive procurement for new software and SI 						
Benefits			Risks			
<ul style="list-style-type: none"> Largest opportunity to enhance State vision and implementation scope—opportunity to consider the program of State ERPs, and to leverage ERP best practices <ul style="list-style-type: none"> Opportunity to redesign business processes Largest catalyst to review State governance procedures Increased flexibility addressing comprehensive requirements given the ability to review most recent software vendor functionality and SI proposals The State would have one accountable SI with which to resolve any implementation issues; deeper skilled bench <ul style="list-style-type: none"> Facilitated deployment and access to best-practice process and tools Deeper skilled bench Improved ability statewide to focus on its core competency and customer service Potential for improved service levels 			<ul style="list-style-type: none"> High political risk—large sunk cost for Aspire This alternative will be the most complex and the most expensive procurement High opportunity and high risk alternative—a strategic vision is necessary which will both increase overall costs, and likely increase the necessary investment of both time and funding Potential issues related to dependency on vendor (e.g., what if “relationship” with vendor needs to be terminated?) Potentially difficult to execute with business changes since these are typically handled as separate projects or scope changes at consulting rates Existing team structure will be negatively impacted Significant change management, training and re-tooling will be necessary 			
Business Gap	TCO	Time	Org. Risk	Financial Risk	Execution Risk	Technical Risk

Alternatives Evaluation Framework

- **Gartner used the following four major criteria (which are each comprised of several sub-categories which are outlined on subsequent slides) to qualitatively assess each alternative.**
- **All alternatives will be evaluated on Business Value, Schedule and Risk independent of one another.**
- **All alternatives will be comparatively evaluated against one another for Total Cost of Ownership.**

Business Value	Degree to which the solution is strategically aligned with the State's business strategy and how well it addresses key functional requirements
Total Cost of Ownership	Magnitude of cost for system design, implementation and oversight + ongoing maintenance and support
Timing	Measure of how quickly the proposed strategy can be implemented to provide full business value to the State (all modules implemented)
Risk	High-level assessment of the financial, technical, execution and organization management risks associated with implementing the proposed strategy

Alternatives Evaluation Framework

Evaluation Criteria Definitions

Evaluation Criteria	Definition
Business Value	A measure of the strategic and operational benefits of the implementation of the solution alternative.
<input type="checkbox"/> Strategic Alignment	How well does the alternative facilitate the State's business strategy and the business objectives of Aspire?
<input type="checkbox"/> Addresses Functional Requirements	How well does the alternative meet the State's business needs?
Total Cost of Ownership (TCO)	A measure of the total cost of ownership for the solution alternative. These costs include the price of software, hardware, implementation services, as well as personnel requirements to support the design, implementation and support of the alternative.
<input type="checkbox"/> System Design Cost	What is the cost of system design in comparison to other alternatives?
<input type="checkbox"/> Implementation and Oversight Cost	What is the cost for implementation and oversight services in comparison to other alternatives?
<input type="checkbox"/> Ongoing Maintenance and Support Cost	What are the ongoing maintenance and support costs in comparison to other alternatives?

Alternatives Evaluation Framework

Evaluation Criteria Definitions

Evaluation Criteria	Definition
Timing	A measure of how quickly the solution will be implemented in the State.
Risk	A measure of how well the solution alternative mitigates overall risk.
<input type="checkbox"/> Organizational Risk	Does the alternative carry any significant risk to people (i.e., availability, skillsets and organization commitment)?
<input type="checkbox"/> Financial Risk	Does the alternative carry any significant financial risk to the State (i.e., overall cost, contractual terms, support burden, etc.)?
<input type="checkbox"/> Technical Risk	Does the alternative carry any significant technical risk to the State and its agencies (i.e., non-standard components, protocols, programming languages; bandwidth concerns, etc.)?
<input type="checkbox"/> Execution Risk	Does the alternative carry any significant Execution risk to the State and its agencies (i.e., interface, data conversion, resource constraint, deployment risks that could impact operations)?

Prioritize Alternatives

Key Prioritization Criteria

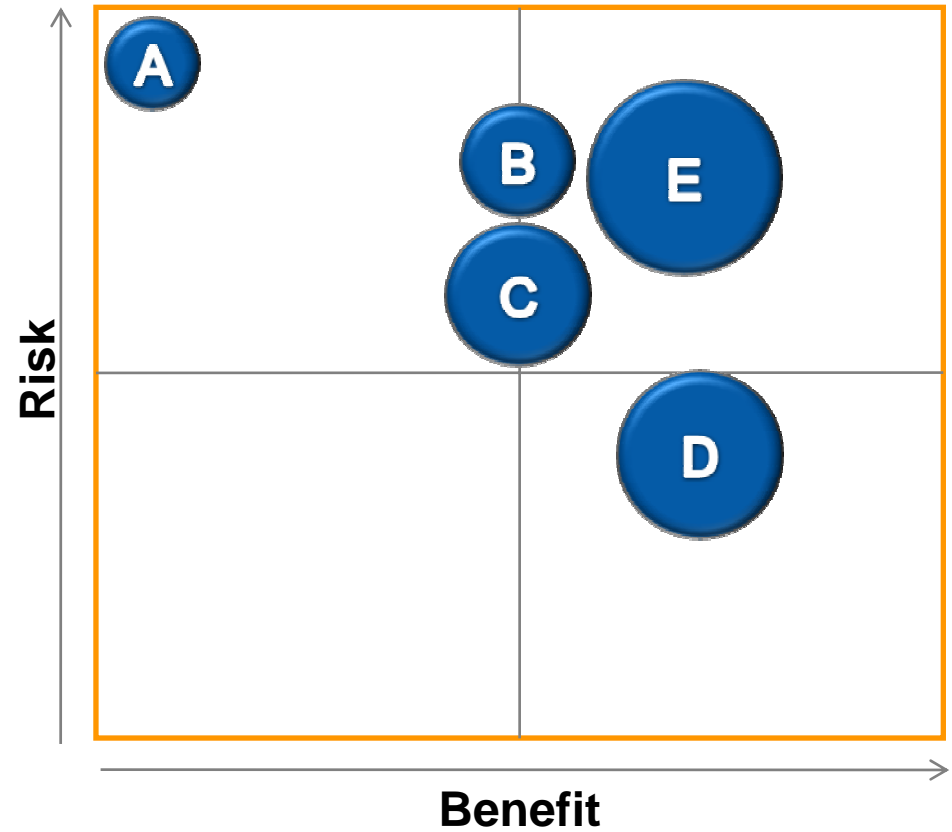
Option	Business Gap	TCO	Time	Org. Risk	Financial Risk	Exec. Risk	Tech. Risk
A	High	High	High	High	High	Medium	High
B	Medium	High	High	High	High	High	Medium
C	Medium	Medium	Medium	Medium	Medium	High	Medium
D	Low	Medium	Medium	Medium	Low	Medium	Low
E	Low	High	High	High	High	Medium	Low

High	Medium	Low

Alternatives

Spectrum of Options

- A** Stop ASPIRE
(Remain on FLAIR)
- B** Continue with ASPIRE –Status Quo
(PeopleSoft Implementation without 3rd party SI)
- C** Continue with ASPIRE - PM
(PeopleSoft Implementation with a Modified Project Organization and Strong PD & PM)
- D** Continue with ASPIRE - SI
(Aspire implementation with a System Integrator)
- E** Wholesale Restart
(Conduct a Competitive Procurement for New Software and Service Provider)



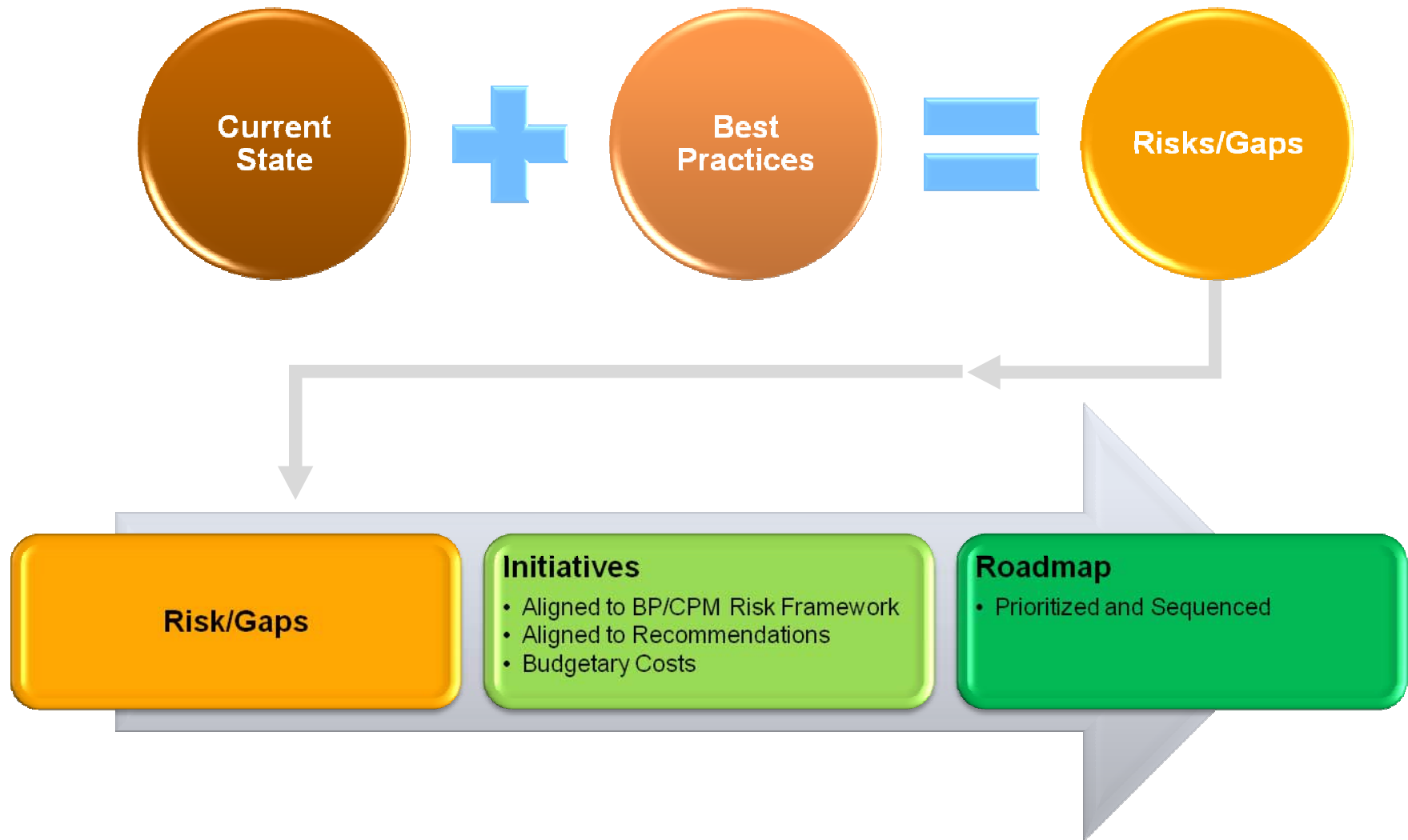
Note: Size = Estimated Relative Cost

■ ■ ■ ■ Recommendations

Recommendations

- **As a result of the data analysis and assessment of the current situation as it pertains to the State of Florida's Project Aspire, Gartner determined that the State has the following major objectives:**
 - To assess the value of their current software assets, including the ability to leverage these assets in the future, the level of rework required, etc.
 - To facilitate a favorable resolution of any disputes the State has with their previous SI vendor.
 - To develop, and secure contractually, a viable path for ERP implementation.
 - To develop a road map for meeting other future system (and integration) needs with HR, Procurement, etc.
 - All of this needs to be accomplished in an expedited manner in order to realize the benefits of ERP solution, mitigate risks in maintaining legacy solutions, and to minimize erosion in value of the software assets that the State currently has.
- **Gartner combined the results of the alternatives analysis, the understanding of these major objectives and the application of ERP best practices to formulate a set of strategic and tactical recommendations, recommended initiatives and an implementation road map.**

Process for Initiative Development



Environment for Success

- **Clear vision for the future-state financial environment**
- **Business transformation focus**
- **Disciplined governance process and business focus**
- **Standardization of business processes**
- **Expectation management**
- **Proven implementation approach**
- **Strong user focus**
- **Committed sponsorship**
- **Limit modifications to the software (customizations)**
- **Strong risk management**
- **Significant change management effort**

Recommendations

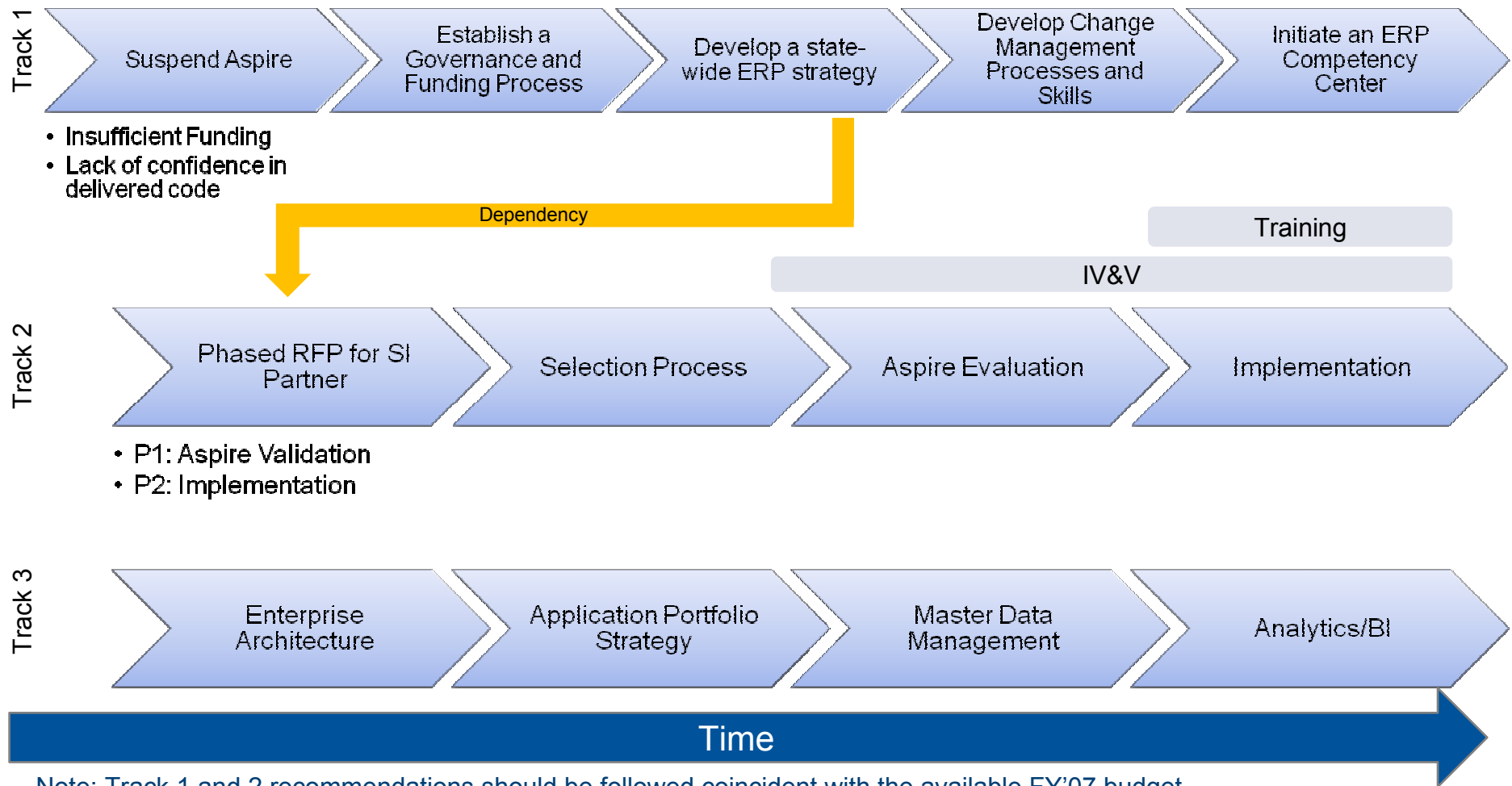
STRATEGIC

- Establish an effective executive governance process
- Develop a state-wide ERP strategy for the State of Florida encompassing the administrative functions and processes of the State
- Complete a comprehensive program management plan including implementation roles and responsibilities and master schedule
- Develop statewide plan for funding and approving on-going opportunities

TACTICAL

- Suspend current Aspire testing activities
- Adopt a process that confirms the technology direction for Aspire
 - Develop and facilitate RFP for System Integrator partner
 - Finalize the validation of the PeopleSoft product as it has been configured and developed for the State of Florida and confirm the support and upgrade plans of Oracle with respect to the PeopleSoft Financial Management modules
 - Complete implementation strategy and plan moving forward

Recommendations (cont)



Tactical Recommendations

Suspend Current Testing Effort

- **It is not prudent to continue testing the current application because the application has not been developed in an ideal manner. Minimal value exists in proving that a flawed approach is functioning properly.**
 - Oracle has, in a formal report, confirmed that the majority of customizations performed within the Aspire application are unnecessary at best; functionality can be achieved either through process change or configuration, rather than customization of the application.
 - There are ADMLs (application customizations) that Oracle has determined to be high risk and ill advised. Oracle has indicated that a high probability of failure exists with the current approach where a number of the interface customizations are concerned.
 - The unnecessary complexity of the application should be addressed rather than perfecting the flawed code. The current efforts of the Aspire team are moving the project down a path that is less than ideal.
- **The testing team's approach does not align to best practice, and no indication has been provided that the approach is being modified to correct its significant inherent flaws**
- **The short-term Gartner strategic recommendations must be completed prior to continuing tactical unit testing of the application in order for the State to correct the foundational issues that impede the successful implementation of a financial management application.**
 - Improved governance should be introduced to allow the State to standardize its processes and align them to best practice, thereby lowering the number of necessary customizations, and the complexity of the Aspire application.

Tactical Recommendations

Adopt A Process That Confirms The Technology Direction

- **Gartner believes that there is a risk to the State to maintain the status quo as far as the software asset is concerned and that, the longer the State waits to act, the greater the risk, due to the fact that the vendor, Oracle is continually evolving its software and that new releases and strategies are occurring constantly. Consequently, the following process is recommended:**
 - Develop and release a Request for Information and/or Qualifications that solicits System Integrator vendor interest.
 - Engage the finalist System Integrators in a due diligence process that includes evaluation (including, possibly, testing) and assessment of the existing software assets.
 - Require the System Integrators to deliver an assessment report regarding the software assets, including short- and long-term viability of the platform, quality of design, strengths and weaknesses of the customization to date, etc.
- Solicit proposals from the finalists for the new State system, giving the SIs the option of:
 - leveraging the existing software assets; or
 - Providing a new system; or,
 - A more custom development effort
 - As part of these proposals, request at least a high-level road map for meeting the State's HR and Procurement objectives as well.

■ ■ ■ ■ Implementation Road Map

Implementation Road Map

- **The State of Florida has a significant but worthwhile challenge ahead in implementing the initiatives described in this document. The initiatives are designed to transform the internal and external service capabilities of the State. The ERP system implementation initiatives have some inherent risks, which need to be addressed in developing the implementation road map.**
- **The road map that has been identified seeks to balance the risk while enhancing the overall system capabilities of Aspire in a timely manner, and is shown on the following slides.**

Implementation Road Map

Assumptions

- **The non-debt service funding levels through 2007–2008 will be less than 12 million USD; this level of funding will not enable the State to plan and complete the remaining Aspire implementation phases during this time period and achieve successful deployment of the application.**
- **Through governance, the State recognizes, and is willing to assess, the underlying complexity of a number of enterprise applications that interface with, or are impacted by, the Aspire implementation.**
- **Short-term initiatives will be fully completed prior to addressing the long-term initiatives, in order to ensure Aspire project success.**
 - Prior lack of success in successfully leveraging an SI vendor should in no way, limit the future success of a similar project approach.
- **The State will commit to addressing State-level governance issues, and will spend the short term addressing its overall program of ERP system applications, prior to moving forward in a meaningful way with the Aspire implementation.**
 - Past implementation failures had more to do with the lack of a statewide governance framework, an ERP system program strategy, and vendor management, than with the implementation approach itself.

Implementation Road Map

Implications

- **Gartner’s recommendations extend past the Aspire implementation and its team—they address the senior executive level and its business vision.**
- **Gartner has determined that the State faces fundamental barriers to Aspire success, and has developed tactical initiatives to overcome these barriers:**
 - Existing application portfolio complexity
 - Deficiencies of the current Aspire team
 - Lack of proper senior leadership business transformation vision
 - Existing governance structure
 - Lack of “command and control” environment (statewide process standardization mandate)

Implementation Road Map

Implications (cont)

- **The State's funding decision will have significant and negative impacts on the Aspire implementation:**
 - Any future Aspire implementation timeline will be greatly extended, assuming funding commitments are eventually secured.
 - The current Aspire team size and its skillsets, are highly likely to deteriorate significantly, given the uncertainty around Aspire.
 - Aspire software application risk will likely increase considerably due to the certain delay of any future deployment date.
 - By the time the Aspire direction and funding are re-established, it is likely that another 18–24 months will have passed; the proximity of the Fusion upgrade, changes in vendor direction, or revised State requirements, may necessitate either a large scale upgrade effort, or a renewed functionality gap analysis.
 - The State will only be able to make an effective decision on the appropriateness of Aspire software package once the short-term Gartner initiatives have been completed.

Recommendation Categories

Design and Implement Governance Framework

- Enhancing the State's ERP vision, strategy and policy, and the timelines of decision-making processes, in consideration of Aspire and related enterprise-wide needs and opportunities

Statewide ERP Strategy

- Effectively identifying, prioritizing and establishing goals, objectives and initiatives around the State's ERP system, future needs and requirements. Key activities include:
 - Evaluation of the State's current enterprise architecture and application environments
 - Evaluation of the State's current ERP governance structure and organizational structure to ensure that these best meet the State's business, operational and related technology needs
 - Prioritization of ERP application and infrastructure requirements based on business and operational needs
 - Development of Statewide ERP strategy that will enhance the business and operational value of the ERP environment and help ensure the State's ability to effectively use the ERP tools to support its business and operational needs

Program management

- Providing oversight and holistic approach of the State's portfolio of related or interdependent projects with the intent of limiting duplicate work efforts and leveraging decision making and skills across projects. This also aims to provide adequate funding mechanisms for those projects in the short term

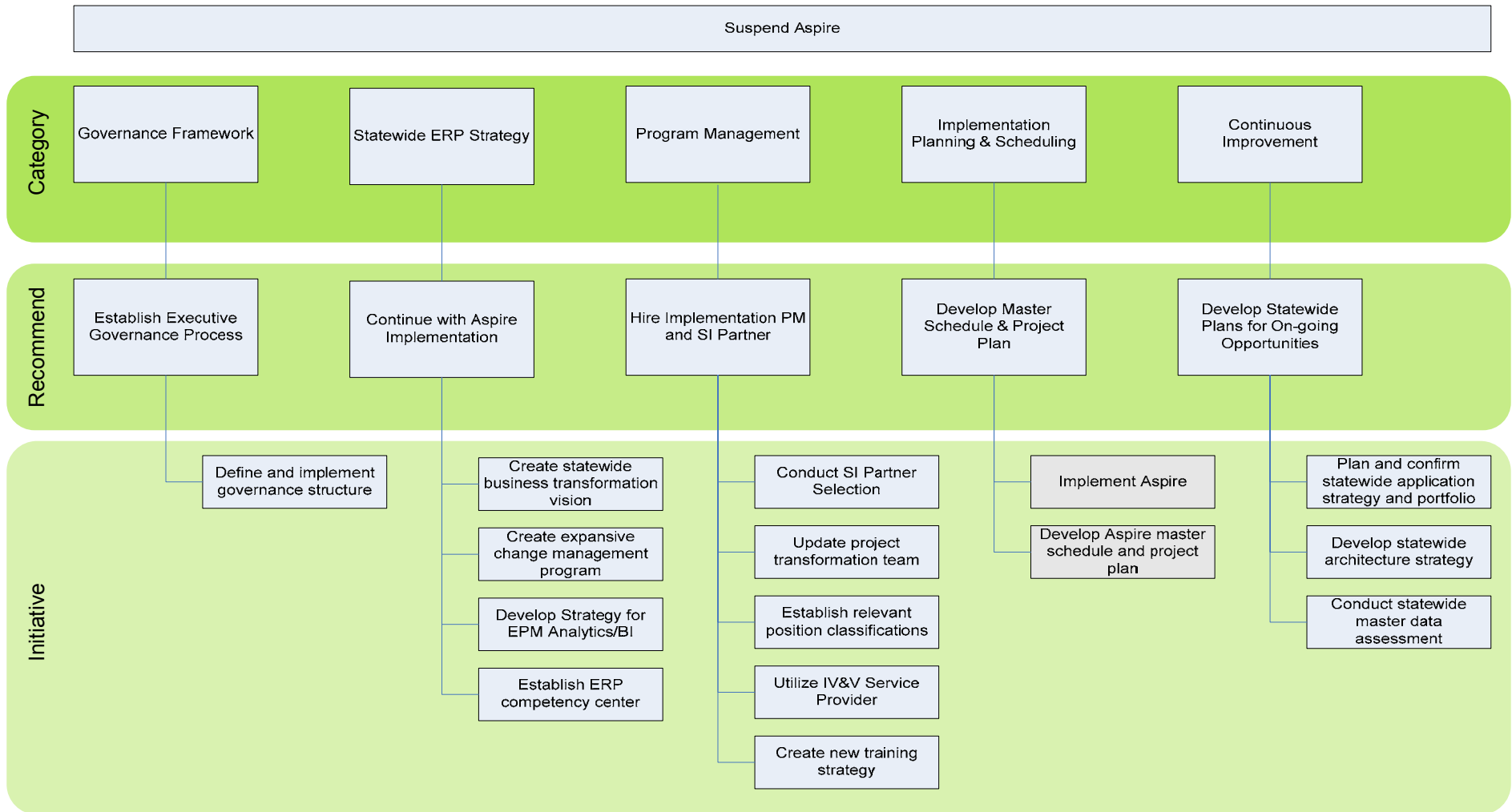
Implementation Planning and Scheduling

- Articulated tasks, schedules, planning assumptions, and estimated resources for implementing Aspire

Continuous Improvement

- Following completion of Aspire deployment, activities include monitoring and resolution of Aspire environment and issues, facilitating knowledge transfer among Aspire functional and technical staff; and other long term post-implementation support activities such as system enhancements and other related strategic activities supporting overall ERP vision

Road Map Model



Implementation Road Map



Project Aspire Road Map	Budget (x1000)		FY 2007				FY 2008				FY 2009				FY 2010			
	Low	High	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
GOVERNANCE FRAMEWORK																		
Define and implement governance structure	\$250	\$500	█	█														
ERP STRATEGY																		
Create statewide business transformation vision	\$250	\$500	█	█	█													
Create expansive change management program	\$250	\$500	█	█														
Develop strategy for EPM Analytics/BI	\$200	\$300					█	█	█									
Establish ERP Competency Center	\$200	\$400	█	█														
PROGRAM MANAGEMENT																		
Conduct SI Partner Selection	\$400	\$1,000		█		█	█											
Update project transformation team	\$150	\$300			█		█											
Establish relevant position classifications	\$250	\$750												█	█	█		
Utilize IV&V Service Provider	\$3,000	\$6,000		█	█	█	█	█	█	█	█	█	█	█	█	█		
Create new training strategy	\$150	\$300		█	█		█											
IMPLEMENTATION PLANNING & SCHEDULING																		
Implement Aspire	\$100,000	\$250,000				█	█	█	█	█	█	█	█	█	█	█	█	█
Develop Aspire master schedule and project plan					█	█	█											
CONTINUOUS IMPROVEMENT																		
Plan and confirm statewide application strategy and portfolio	\$350	\$750	█	█														
Develop statewide architecture strategy	\$250	\$500	█	█						█	█	█						
Conduct statewide master data assessment	\$250	\$500				█	█	█										
TOTAL (in thousands)	\$105,700	\$261,800																

█ Requirements/Procurement
 █ Execute Initiative
 ▼ Milestone

NOTE: Budget figures are for external, third-party resources except for the "Implement Aspire" initiative which is calculated with all project roles.

■ ■ ■ ■ Strategic Initiatives

- **Governance Framework**
- Statewide ERP Strategy
- Program Management
- Implementation Planning and Scheduling
- Continuous Improvement

Governance Framework

Define and Implement Governance Structure

Initiative Description, Scope and Key Objectives		
<ul style="list-style-type: none"> Prepare the Governance Structure needed for the transformation, enabling the State of Florida to provide clear guidance and decision making for the Aspire business transformation effort. Define effective funding mechanism and secure adequate funding to enable Aspire project success. 		
Sponsors/Execution Responsibility	Time Frame	Budget
<ul style="list-style-type: none"> Sponsor(s): Governor, State CFO Execution: Executive Committee, DFS, Other agency executives 	<ul style="list-style-type: none"> 8-10-week focused effort, starting in Q1 2007, followed by ongoing PMO execution 	Low \$250K to High \$500K
Key Activities		
<ul style="list-style-type: none"> Define Aspire executive sponsor committee charter, determine committee membership Define Aspire steering committee, determine committee membership Assign a project sponsor who will have accountability for the Aspire business transformation project. Define effective funding mechanism and schedule to enable Aspire project success Update Program Mgmt Office (PMO) and Portfolio Mgt processes (as they relate to the Aspire project) Define governance processes between all governance bodies Define expected benefits governance benefits Agree to accountability for ongoing capability/oversight and provide committed staffing 		
Key Milestones		
<ul style="list-style-type: none"> Accountability established for all governance roles Process for decision-making and escalation defined and communicated throughout the organization Appropriate funding level obtained for Aspire project Enhanced service delivery structure implemented Well-defined processes for capturing progress of Aspire initiatives, as well as for effectively escalating issues to appropriate governance bodies Governance process fully deployed and optimized 		
Dependencies and Critical Success Factors		
<ul style="list-style-type: none"> State approved Business Case to move forward with the transformation and approved Transformation End State Vision Commitment to statewide priorities Clear understanding of role and scope of work for both Internal and External Service Providers Ongoing statewide communications on progress of transition activities 		

■ ■ ■ ■ Strategic Initiatives

- Governance Framework
- **Statewide ERP Strategy**
- Program Management
- Implementation Planning and Scheduling
- Continuous Improvement

Statewide ERP Strategy

Create Statewide Business Transformation Vision

Initiative Description, Scope and Key Objectives

- Prepare an initial program charter that describes the future end state for people, process and technology in support of the financial services transformation journey.
- Intended to address new strategic directions and initiatives based on State's business priorities in the next three to five years. The process would be an inclusive and collaborative undertaking that includes several interviews and workshops with internal as well as external stakeholders. Strong executive leadership is anticipated with support from Administrative and IT staff. Business drivers, business requirements and management priorities would be discussed with the leadership team as well as with all business units/agencies across the State. The results of these discussions would provide the foundation for development of strategic directions and guiding principles for financial services and systems that support them.

Sponsors/Execution Responsibility

- Sponsors: State CFO
- Execution: Executive Committee, DFS, Other agency executives

Time Frame

- 12-15 week effort, starting in Q1 2007

Budget

Low \$250K to High \$500K

Key Activities

- Tactical and strategic recommendations based on the State's existing IT strategy, as well as relevant best practices would be reviewed and discussed with the stakeholders.
- Clearly define the transformation goals, objectives, scope, key assumptions, guiding principles and key dependencies for each of the following:
 - People component
 - End-to-end process component
 - Technology/solution component
- Review and reach consensus with all necessary stakeholders.

Key Milestones

- Completed program charter document
- Outputs are approved by stakeholders
- Benefits alignment within the State executive, agencies, and with software, and other external service providers (ESP)

Dependencies and Critical Success Factors

- State approved Business Case to move forward with the transformation

Statewide ERP Strategy

Create Expansive Change Management Program

Initiative Description, Scope and Key Objectives		
<ul style="list-style-type: none"> Develop a Change Management (CM) program that will encompass the entire transformation program. 		
Sponsors/Execution Responsibility	Time Frame	Budget
<ul style="list-style-type: none"> Sponsors: Executive Committee Execution: Project Director, Business Leadership SMEs 	<ul style="list-style-type: none"> 12-week focused effort, starting in Q1 2007 	<p>Low \$250K to High \$500K</p>
Key Activities		
<ul style="list-style-type: none"> Design Program and Communications Strategy <ul style="list-style-type: none"> Aligned with Transformation Program Charter Aligned with governance structures Aligned with Aspire team composition and roles Inclusive of customers, suppliers, internal stakeholders, project teams, key third-party partners Implement Communications Plan <ul style="list-style-type: none"> Define key messages, owner, audiences, methods, milestone timing of messages Define linkages to activities specific to applicable transformation projects (e.g., implementation project process/role changes) Ongoing Change Management <ul style="list-style-type: none"> Deliver communications as per plan throughout transformation 		
Key Milestones		
<ul style="list-style-type: none"> CM program is established and approved by the Executive committee 		
Dependencies and Critical Success Factors		
<ul style="list-style-type: none"> Create End State Transformation Vision Define and Implement Governance Structures Create Aspire Transformation Team 		

Statewide ERP Strategy

Develop Strategy for EPM Analytics/Business Intelligence (BI)

Initiative Description, Scope and Key Objectives

- This initiative will address the ability of the State to more effectively utilize information from various departmental and agency applications systems for operational management and decision making. The scope of this initiative is to provide the foundation for the development of a statewide business intelligence (BI) strategy. Specifically, the initiative will address the data requirements and standards for both current and future applications.
- Elevate Aspire business intelligence/management reporting to a strategic priority. Make enterprise performance management (EPM) a strategic asset, rather than a tactical tool. It is essential that a comprehensive review and standardization of data needs across the State is undertaken. These needs should be represented in business process requirements analysis documents to ensure that the State fully understands its data and reporting needs.
- The current scope of this initiative does not include implementation of data warehouse or reporting system since these requirements would be addressed potentially as part of the ERP system implementation and other statewide-related projects . This initiative would need to be evaluated closely within the context of the State's overall IT strategic initiatives to ensure that interim measures developed during this phase would provide foundational capabilities while not detracting from other State IT or DFS specific initiatives. The scope of this initiative includes addressing integration of FMS data across other related statewide systems, revisiting current data standards, data source and output requirements and ownership, understanding data warehousing principles and developing a plan that leverages applicable State infrastructure which are consistent with related initiatives and policies.

Sponsors/Execution Responsibility	Time Frame	Budget
<ul style="list-style-type: none"> ■ Sponsors: Executive Steering Committee ■ Execution: Aspire Steering Committee, Aspire Project Manager, EPM Lead 	<ul style="list-style-type: none"> ■ Planning 8-12 weeks, Q1 2008 ■ Implementation will depend on related projects and initiatives and will coincide with Aspire implementation 	<p>One-time Low 200K to High \$300K—for planning and data and reporting requirement definition efforts</p>

Statewide ERP Strategy

Develop Strategy for EPM Analytics/Business Intelligence (BI)

Initiative Description, Scope and Key Objectives

Key Activities

- Addressing integration of FMS data across other related statewide systems
- Revisiting current data standards, data source and output requirements and ownership
- Understanding data warehousing principles
- Developing a plan that leverages applicable State infrastructure
- Re-position EPM as a more strategic service and Integrate service descriptions and SLAs with Aspire service catalog
- Rationalize any staffing gaps with budget request. Structure EPM with qualified technical resources, effective training staff, and business relationship managers whose goal is to understand/communicate requirements
- Short-Term Actions
 - Make effective training a focus to allow end users to receive full benefit from valuable Aspire data.
 - Develop and leverage training program to provide users with the necessary technical skills to fully utilize Enterprise Performance Management (EPM) and create more EPM super-users.
 - ad hoc reports and other reporting utilities (Crystal, Excel, etc.) should be broadly leveraged across the State.
- Communicate new functionality and train effectively. Seek feedback and refine.

Key Milestones

- Clear understanding of State's short and long-term plans for BI systems and tools
- Detailed information requirements defined, including development of data dictionary; coordinated with statewide enterprise architecture strategy
- Detailed flow of information documented, including mapping of data and identification of sources, interfaces, and application interdependencies
- Framework for data standards, quality control developed and implemented for current applications and integrated into requirements for future applications
- BI strategy developed and communicated.

Dependencies and Critical Success Factors

- Clearly defined and comprehensive view of statewide needs that are coordinated with State IT and other department/agency initiatives
- Conformance to IT standards
- Clear understanding of the State's short and long-term plans for BI systems and tools
- Sufficient resource with project management and technical expertise, plus executive sponsorship
- Linked with the following initiatives:
 - Statewide enterprise architecture strategy
 - Aspire implementation
 - Statewide application strategy and portfolio
 - Statewide master data assessment
- Aspire user feedback on info access
- Level 1 helpdesk tickets regarding reporting
- User ability to use canned reports and EPM queries

Statewide ERP Strategy

Develop an ERP Competency Center Plan

Initiative Description, Scope and Key Objectives		
<ul style="list-style-type: none"> Define a formal and distinct Aspire ERP Competency Center (CC), within the State agency structure, complete with its own employees, service catalog, reporting structure, and efficient IT and governance processes. 		
Sponsors/Execution Responsibility	Time Frame	Budget
<ul style="list-style-type: none"> Sponsors: CFO, Executive Committee Execution: CC Director 	<ul style="list-style-type: none"> TBD by Service Catalog and SLAs Start Q1 2007 8-12 Weeks 	Low \$200K to High \$400K
Key Activities		
<ul style="list-style-type: none"> Hire/Assign CC Director; accountable for CC going forward; create formal CC organization; dependent on legislative action Create and communicate org chart Create and communicate role descriptions Create and communicate governance processes Assemble ERP CC Charter and gain approval Create CC Service Catalog and potential SLA descriptions and metrics Document/refine CC processes to support CC services; ensure alignment with governance processes Integrate with Aspire position classifications and transition team members into new classifications Create clear career paths aligned with new positions 		
Key Milestones		
<ul style="list-style-type: none"> Clear accountability to customer of desired services and metrics. Focused ERP process support efficiencies Lower ERP total cost of ownership (TCO); less reliance on external services Higher business process value delivered. Gain procurement economies of scale with key vendors 		
Dependencies and Critical Success Factors		
<ul style="list-style-type: none"> Ultimate success of CC is highly dependent on ability to create new and distinct Aspire position classifications. 		

■ ■ ■ ■ Strategic Initiatives

- Governance Framework
- Statewide ERP Strategy
- **Program Management**
- Implementation Planning and Scheduling
- Continuous Improvement

Program Management

Conduct Systems Integrator Partner Selection

Initiative Description, Scope and Key Objectives

- This pre-execution project provides selection and negotiation assistance by leveraging sourcing templates and SOWs focused on full life cycle implementation/support services and SI research. The objective is to help enter a “win/win” partnership with the highest cost element in most fewest implementations.

Sponsors/Execution Responsibility

- Sponsors: Executive Committee
- Execution: DFS, Other agency executives, State HR, Business SMEs

Time Frame

- 12-18 week effort—initiate procurement beginning Q2 2007

Budget

Low \$400K to High \$1MM (incl. contract negotiations)

Key Activities

- | | |
|--|---|
| <ul style="list-style-type: none"> ■ Planning <ul style="list-style-type: none"> – Agree to SI team involvement – Understand timing, deliverables, roles, scoring and decision framework – Leverage inputs from other pre-execution activities ■ Create and submit RFP for SI Selection ■ Manage SI Response Period <ul style="list-style-type: none"> – Address questions – Allow on-site due diligence | <ul style="list-style-type: none"> ■ Evaluate Responses <ul style="list-style-type: none"> – Evaluate and score proposals – Conduct and score presentations – Follow-up with each SI as needed – Determine if additional implementation partners are needed; engage and determine SOW scope – Make final selection ■ Negotiate with selected SI(s) and sign contract(s) ■ Update business case |
|--|---|

Key Milestones

- Executive committee approval of the recommended SI(s) needed to implement the selected fewest option through
- If applicable, software procurement completed for any additional tools identified
- Alignment of approach, cost and benefit expectations to reduce implementation risk
- Reduced price of SI contract from clearly defined SOW scope

Dependencies and Critical Success Factors

- Application Partner Selection
- Evaluation of solution completed

Program Management

Update Aspire Transformation Team

Initiative Description, Scope and Key Objectives		
<ul style="list-style-type: none"> Define and structure the roles and skills needed for the Aspire transformation team, as well as the timing dependencies for those roles. Determine the backfill strategy as a result of the transformation staffing requirements. 		
Sponsors/Execution Responsibility	Time Frame	Budget
<ul style="list-style-type: none"> Sponsors: State CFO Execution: DFS, Other agency executives, State HR, Business SMEs 	<ul style="list-style-type: none"> 8 to 12-week focused effort, starting Q3 2007, followed by staffing/backfill execution 	<p>Low \$150K to High \$300K</p>
Key Activities		
<ul style="list-style-type: none"> Define Transformation Team Structure <ul style="list-style-type: none"> Pre-Execution teams Implementation teams Simplify and Stabilize teams Other Transformation Initiative teams Determine backfill and re-integration strategy Determine necessary levels of external assistance, and prepare SI/contractor procurement vehicle(s) Assign Aspire personnel to leadership roles <ul style="list-style-type: none"> Pre-Execution teams Implementation teams Simplify and Stabilize teams Other Transformation Initiative teams Assign SME and dedicated implementation team roles Begin to execute backfill strategy Prepare workspace for teams 		
Key Milestones		
<ul style="list-style-type: none"> All Transformation roles are defined and filled and approved by State CFO 		
Dependencies and Critical Success Factors		
<ul style="list-style-type: none"> State approved business case to move forward with the transformation Create end-state transformation vision Implementation readiness planning and assessment completed 		

Program Management

Establish Relevant Aspire Position Classifications

Initiative Description, Scope and Key Objectives

- Review the 'future-state' Aspire team organization, and position classification data, that is included in this report. Create and institute accurate and meaningful new position classifications, in a timely manner, to ensure that the Aspire application is supported by qualified personnel who have a defined career. Staff the Aspire team adequately to fully leverage functionality.

Sponsors/Execution Responsibility	Time Frame	Budget
<ul style="list-style-type: none"> Sponsors: Executive Sponsor Committee, Project Director Execution: Project Director 	<ul style="list-style-type: none"> 16 weeks starting Q4 2009 	Low \$250K to High \$750K

Key Activities

- | | |
|---|---|
| <ul style="list-style-type: none"> Determine if gaps need to be filled and fill with contractors or new employees Review the team organization and position classification data that has been provided by the Aspire team. The team was asked to describe an ideal 'future state' for the Aspire team size and skillset. This information is captured on the remaining slides in this section | <ul style="list-style-type: none"> DFS classification unit; review/re-write specs and career path Taking into consideration the current team's input, and using it as a foundation, create accurate and meaningful new position classifications (rather than re-classifying existing positions). Make the Aspire positions competitive in the marketplace, from a salary perspective. Create a 'barrier to entry' for these positions so that only qualified people will be accepted, and those who do not qualify will clearly understand why they don't qualify. Solicit union input for any new position classifications. |
|---|---|

Key Milestones

- Aspire team capability to perform all of their critical functions within Aspire
- Aspire turnover and retention metrics
- Aspire job satisfaction

Dependencies and Critical Success Factors

- Dependent on formal creation of ERP CC and approval of charter
- Success is highly dependent on accurate and meaningful position classifications being defined and instituted.
- Salaries, especially technical team salaries, must be more competitive with the marketplace.

Program Management

Utilize IV&V Service Provider

Initiative Description, Scope and Key Objectives		
<ul style="list-style-type: none"> This initiative will employ an IV&V (Independent Verification and Validation) support vendor to provide third-party program oversight from an IT and industry standards perspective. This third-party, independent review and assessment of the project's work products and the overall system is intended to ensure compliance with system functional, performance, operational, legal and regulatory requirements. IV&V not only includes the review of project deliverables, but also the independent testing and validation of the system operation and performance against stated requirements of Aspire. 		
Sponsors/Execution Responsibility	Time Frame	Budget
<ul style="list-style-type: none"> Sponsors: Aspire Steering Committee Execution: Aspire Training Lead, Aspire project manager 	<ul style="list-style-type: none"> 36 months+ starting Q2 2007 	Low \$3MM to High \$6MM
Key Activities		
<ul style="list-style-type: none"> Definition of quality assurance and quality control processes Standards, best practices, tools and techniques to be applied Assignment of responsibilities Schedule of QA and QC activities Initial traceability matrices Initial QA checklists for key deliverables Model and best practices for calculating Test Confidence scores 		
Key Milestones		
<ul style="list-style-type: none"> Identification of significant project risks in key risk categories critical to Aspire implementation Recommendations to mitigate the most significant project risks Development and presentation of a risk scorecard and report detailing and summarizing the above 		
Dependencies and Critical Success Factors		
<ul style="list-style-type: none"> Project charter, Project plan and Project budget established Business benefits assessment User requirements and functional specifications confirmed and documented System configuration specifications completed Project team training and change management plans developed 		

Program Management

Create a New Training Strategy

Initiative Description, Scope and Key Objectives

- Position training as a strategic component of the ongoing Aspire implementation. Create a new training strategy, and make an appropriate commitment of training budget, and qualified resources. Assign a training owner within the Aspire team who will monitor, and be accountable for, the success of the initiative.

Sponsors/Execution Responsibility	Time Frame	Budget
<ul style="list-style-type: none"> Sponsors: Aspire Steering Committee Execution: Aspire Training Lead, Aspire project manager 	<ul style="list-style-type: none"> 12-15 months starting Q2 2007 Develop, Deploy, Monitor, Improve—TBD 	Low \$150K to High \$300K

Key Activities

- | | |
|--|---|
| <ul style="list-style-type: none"> Define Learning Vision and Obtain Leadership Buy-In Link Aspire Training to State Objectives Perform Audience Analysis Develop Instructional Training Strategy Develop Training Plan | <ul style="list-style-type: none"> The timing of the remaining activities is dependent on the Training Plan Develop a Training Toolset Deployment Plan Deliver Training Set Expectations and Evaluation Metrics Develop and Deliver Certification Programs Evolve Training Methodology and Toolset Monitor Training Effectiveness Develop Training Materials Ensure Training Instance/Infrastructure Readiness |
|--|---|

Key Milestones

Dependencies and Critical Success Factors

- Critical Success Factors
 - Aspire user feedback
 - Level 1 helpdesk tickets
 - User competence testing and certification
- Success is highly dependent on the ability of the Aspire leadership team to elevate the training initiative to a strategic level, and to fund it appropriately.

■ ■ ■ ■ Strategic Initiatives

- Governance Framework
- Statewide ERP Strategy
- Program Management
- **Implementation Planning and Scheduling**
- Continuous Improvement

Implementation Planning and Scheduling

Develop Aspire Master Schedule and Project Plan

Initiative Description, Scope and Key Objectives		
<ul style="list-style-type: none"> Create a project plan that includes all best practice ERP project plan phases, includes resource commitments and has milestones and deliverables that those resources must produce/achieve. 		
Sponsors/Execution Responsibility	Time Frame	Budget
<ul style="list-style-type: none"> Sponsors: Aspire steering committee Execution: Aspire Project Director, Aspire Implementation manager, SI 	<ul style="list-style-type: none"> 4-week effort, starting in Q3 2007 or concurrent with ERP Strategy 	<p>Included in ERP Strategy Ongoing planning included in Aspire project implementation</p>
Key Activities		
<ul style="list-style-type: none"> Ongoing statewide communications on progress of transition and implementation activities 		
Key Milestones		
<ul style="list-style-type: none"> Project team/staff assigned to the project Commitment of expert resources and processes Project plan developed (budget, schedule and scope defined) 		
Dependencies and Critical Success Factors		
<ul style="list-style-type: none"> Strong executive sponsorship and leadership Sufficient resources with project management and knowledge of Aspire objectives Establishment of a cross-functional team consisting of representatives from various State agencies/departments Implementation readiness planning and assessment completed Clear articulation of service level requirements 		

■ ■ ■ ■ Strategic Initiatives

- Governance Framework
- Statewide ERP Strategy
- Program Management
- Implementation Planning and Scheduling
- **Continuous Improvement**

Continuous Improvement

Plan and Confirm Statewide Application Strategy and Portfolio

Initiative Description, Scope and Key Objectives		
<ul style="list-style-type: none"> Define a clear migration path from the current legacy environment to the selected future-state solution so that (a) the retirement/replacement plan is explicitly defined, including a high-level interface and data conversion plan; (b) the key requirements that will drive business and IT value are highlighted; and (c) a medium-level, end-to-end process flow is defined. This will result in solution scope confirmation and will provide key materials for requirements and selection activities. 		
Sponsors/Execution Responsibility	Time Frame	Budget
<ul style="list-style-type: none"> Sponsors: State CFO Execution: Executive Committee, DFS, Other agency executives, Application Portfolio Managers, Business SMEs 	<ul style="list-style-type: none"> 12 to 15-week effort, starting Q1 2007 	<ul style="list-style-type: none"> Low \$350K to High \$750K
Key Activities		
<p>Define retirement/replacement plan</p> <ul style="list-style-type: none"> Map detailed application inventory to solution component Determine disposition of each application in current portfolio (e.g., retire, replace, contain, enhance) Based on disposition, prepare target application portfolio, prepare interface and data conversion plan documents Utilizing the outputs above, prepare summary document showing legacy migration to future-state solution Develop business case for each solution component 	<p>Highlight Key Requirements</p> <ul style="list-style-type: none"> Run facilitated workshops to provide more detailed linkage to key requirements that will help enable benefits Document outputs from above into a key requirements document mapped to the End-to-End process and the future-state solution component. (week 8) Update business case and Road Map as needed <p>Define End-to-End Process</p> <ul style="list-style-type: none"> Decompose End-to-End Processes to ensure alignment with key requirements, benefits and future solution components Refine key requirements and future-state application scope as needed 	
Key Milestones		
<ul style="list-style-type: none"> Sponsor approval of confirmed scope document Actionable target-state application portfolio and migration plan 		
Dependencies and Critical Success Factors		
<ul style="list-style-type: none"> Create End State Transformation Vision Completion of current-state application portfolio 		

Continuous Improvement

Develop Statewide Architecture Strategy

Initiative Description, Scope and Key Objectives

- Defines a business-driven, Enterprise Architecture (EA) Strategy that provides a framework for balancing business demand for solution support with Total Cost of Ownership (TCO). EA plans, when successfully executed, generates outcomes that have impacts to an organization's entire IT infrastructure planning. It defines shared infrastructure services (rather than applications), and evaluates application or business-driven projects that guides an organization to whether proceed with or halt a project. In other words, the architecture standards that emerge from this effort will be the basis for making technology decisions across the State. This will ensure a consistent, efficient and well-functioning IT infrastructure environment.
- Key EA objectives include improved integration between systems, direction and guidance for future investments, and improved alignment of enterprise systems with the State's business.
- The scope of the project would be to: 1) Define State's business and information architecture; 2) Define the architecture principles that guide the development of all aspects of the IT infrastructure; 3) Formally define the tactical and strategic deployment of technology in each infrastructure domain (e.g., networks, operating systems, etc.), and identify goals for containment and retirement of specific technologies; 4) Develop documented technology standards for all aspects of technology deployment based on the strategic direction outlined for each infrastructure domain.
- EA Strategy is re-usable in the software and SI selection activities

Sponsors/Execution Responsibility

- Sponsors: CIO and CFO
- Execution: IT, State EA SME, EA Team

Time Frame

- 8-10 week effort, starting immediately, Q1 2007

Budget

Low \$250K High \$500K

Key Activities

- Determine and document baseline EA components in current state including existing standards and known migration, replacement, retirement, emerging directions
- Determine anticipated and key EA requirements from each transformation initiative
- Identify impacts to the Aspire application
- Create EA guiding principles for "To Be" state
- Document EA Strategy
- Communicate EA Strategy to those accountable for each transformation initiative
- Update and publish EA Strategy for Transformation team access

Key Milestones

- Current-State Baseline
- Future-State Vision/Requirements
- Gap Assessment
- Road Map
- EA Strategy approved by State sponsor, IT Leadership, IT Core Team
- TCO managed effectively across Transformation

Dependencies and Critical Success Factors

- Create End State Transformation Vision
- Confirm Solution Scope and Application Strategy

Continuous Improvement

Conduct Statewide Master Data Assessment

Initiative Description, Scope and Key Objectives

- Provide an assessment of the master data across all business processes. In addition, to provide a strategy to understand the master data sources and definitions.

Sponsors/Execution Responsibility	Time Frame	Budget
<ul style="list-style-type: none"> ■ Sponsors: CFO, CIO ■ Execution: IT, Application SMEs, Business SMEs 	<ul style="list-style-type: none"> ■ 7-10 week effort, starting Q4 2007 	<p>Low \$250K High \$500K</p>

Key Activities

- Assess Current State Master Data to understand current condition of data and applications and processes around the data
- Recommend approach for enterprise data quality and integration
- Estimate of what is involved to create Master Data Management (MDM) solution (scope, costs, effort, project plan, etc.)
- Road Map for building Master Reference Data Strategy

Key Milestones

- MDM Assessment and approach approved by the CFO and CIO

Dependencies and Critical Success Factors

- Confirm Solution Scope and Application Strategy
- Develop EA Strategy

■ ■ ■ ■ Tactical Initiatives

■ Implementation Planning and Scheduling

Implementation Planning and Scheduling

Suspend Aspire

Initiative Description, Scope and Key Objectives

- The initiative to discontinue all current efforts related to Aspire, particularly system testing, is based on the following:
 - The lack of clear governance and strategy for Aspire has led to restricted/constrained management of budget and project scope which will continue to limit the project's chances for success.
 - Lack of effective governance has resulted in some sub-optimal design decisions.
 - Questionable quality of the delivered Aspire program code—consistent testing failure results are believed to be caused by a poorly configured and designed system. Performing low quality testing efforts on a system with inappropriate customizations is adding no value.

Sponsors/Execution Responsibility	Time Frame	Budget
<ul style="list-style-type: none"> ■ CFO ■ DFS/Aspire Project 	<ul style="list-style-type: none"> ■ Immediate 	

Key Implications

- Continued use of FLAIR—This current main operational business system limits the State's ability to efficiently manage and report on various business operations in the most effective manner. It increases the State's risk because of the system's age, loss of manufacturer support, and/or loss of key staff to maintain or use FLAIR.
- Much of FLAIR's infrastructure is considered to be obsolete from a business perspective. Additionally, the aging and retirement of the core workforce who are knowledgeable about the systems and business processes /requirements compounds overall infrastructure issues..
- Failure to modernize and replace this infrastructure will result in a continuation of the sub-optimal processes and limitations that exist today for managing the State's enterprise. This has caused the State limited ability to perform effective management analysis and reporting at all levels, including the Legislature, in an accurate and timely fashion.

Key Milestones

- Immediate suspension

Dependencies and Critical Success Factors

- In order to reinstate the Aspire program, the State will need to optimize for success by implementing the following:
 - Governance
 - ERP Strategy

■ ■ ■ ■ Attachments

- Risk Assessment
- Assessment Details from Gartner CPM (Critical Program Management) Framework

Risk Assessment Analysis Process

- **Gartner assessed the relevant risk sub-categories based on the findings from the data gathering tasks. The assessment process included:**
 - Use the Gartner Critical Program Management (CPM) risk assessment model
 - Review of documentation and conducting interviews and dialogues with key project sponsors and team members
 - Research of best practices, trends, etc. as required in Gartner’s databases
 - Consultation with Gartner experts (consultants and research analysts) on specific key issues
 - Rating risks on a green/yellow/red rating scale
 - Identifying highest priority risks
 - Developing recommendations to mitigate highest priority risks

- The Gartner risk assessment reflects the project’s areas of risk as of April 2007.
- Gartner summarized risks of the four major evaluation categories followed by additional detailed slides to provide increasing levels of explanation for each sub category..

Evaluation Category	Risk
1. Strategy	High
2. Planning	Medium
3. Execute	Low
4. Manage	N/A

Risk Assessment Analysis Process

Evaluation Category	Risk	Evaluation Category	Risk
1. Strategy		3.4 User Involvement	LOW
1.1 Project Prioritization	N/A	3.5 External Contacts	TBD
1.2 Benefit Specification	N/A	3.6 Public Relations (PR) Management	TBD
1.3 Business Measurement	N/A	3.7 Value Management	HIGH
1.4 Estimation Quality	N/A	3.8 Operational Cost Planning / Management	MEDIUM
1.5 Scope Management	N/A	3.9 Organizational Change Management	HIGH
1.6 Project / Program Strategy	N/A	3.10 System Specification / Design	HIGH
2. Planning		3.11 Customization / Development	MEDIUM
2.1 Program Management	N/A	3.12 Unit Testing	HIGH
2.2 Project Planning	HIGH	3.13 Functional / System Testing	HIGH
2.3 Budget Risk	HIGH	3.14 Integration Testing	MEDIUM
2.4 Risk Management Process	HIGH	3.15 Performance Testing	MEDIUM
2.5 Supplier Management	HIGH	3.16 User Testing	HIGH
2.6 Contract Administration	N/A	3.17 Data Conversion Execution	MEDIUM
2.7 Overall Testing	HIGH	3.18 Conversion Execution (Data Center)	N/A
2.8 Data Conversion Planning and Resources	MEDIUM	3.19 Rollout / Deployment (End Users)	N/A
2.9 System Rollout	HIGH	3.20 Vendor Operational Support	N/A
2.10 Contingency Planning	LOW	3.21 User Training	HIGH
2.11 Operations Management	HIGH	4. Manage	
2.12 Communication Planning	MEDIUM	4.1 Project End-Phase – Project Governance / Maint	HIGH
2.13 Security Planning	MEDIUM	4.2 IT Operations Support	HIGH
3. Execute		4.3 Operations Resources	HIGH
3.1 Resource Management	HIGH	4.4 Operational Scope Management	HIGH
3.2 Budget Management	HIGH	4.5 Business Value Management	HIGH
3.3 Time Management	HIGH		

Risk Assessment Analysis Process

■ Opportunities exist for:

- Establishing implementation milestone dates based on project needs (rather than external factors).
- Focusing on certain implementation areas outside of system test; soft areas such as change management, training, support and organizational readiness should be planned.
- Clearly delineated Implementation (e.g., development, unit test, system test).
- Greater number of training resources who understand State processes.
- Greater number of knowledgeable functional and technical support resources.
- Higher degree of agency/user certainty of project credibility/competency.
- Continued agency participation during, and after, the Aspire implementation.
- Establishing an ERP competency center for better understanding and planning within the implementation team; dedicated resources and position classification.

■ Additional Risks:

- System test approach is not conventional in that portions of the testing approach are ad hoc, and only positive testing is being performed. No negative tests are being done to 'break the system'. Positive testing is essentially a 'proof of concept' exercise, rather than a true system test.
- System test planning and execution time frames are forcing non-testing teams to become involved.
- Lack of recent and accurate documentation in the key implementation areas.

Planning

Project Planning

Assessment Criteria	Findings/Observations
<ul style="list-style-type: none"> ■ The project manager has appropriate planning-related experience for a project of this magnitude. ■ There a comprehensive integrated project plan in place. ■ All areas of the project are divided up into manageable sections (e.g., modules, tasks of no more than 40 hours, etc.). ■ The structure of the project organization (parts and hierarchy) is in keeping with the characteristics of the project (size, importance, etc.). ■ Project standards been established and communicated. ■ There is sufficient clarity about the responsibilities of the various parts of the project organization. ■ Project policies and procedures have been established (e.g., time reporting, expense reporting, deliverable handoffs, etc.). ■ The required project facilities have been established. ■ A project document library/knowledge management process has been established. ■ The project manager is accountable for maintaining an up-to-date project plan. 	<ul style="list-style-type: none"> ■ Immediately following Bearing Point's departure from the project, DFS established a new project organization composed of State staff (i.e., Accounting and Auditing, DIS, FSU Contractors, OPS and Treasury) and external consultants. ■ A good project Web site has been established and regularly updated which serves as a project document library. ■ There is no clear vehicle established for disseminating most recent project status/communication to Departments, Advocates and Stakeholders. ■ Previous external consultants/third-party contractors involved in the earlier parts of the implementation were directly hired by the State. ■ Due to the project's renewed mandate in December 2006, a new project plan was developed which primarily focused on the completion of system testing. ■ Business requirements have been frozen since late 2006; no change requests are currently being processed. ■ The existing project plan does not address phases following the System Test phase. ■ Required key positions and staffing levels within the current project organization have been created and filled. ■ There is a lack of documented system architecture plan that will provide as a guide to systems development activities, implementation planning and business value realization.
Recommended Actions	Score
<ul style="list-style-type: none"> ■ Establish a process that will be agreed to by key stakeholders for prioritization and development of a comprehensive project plan that goes beyond System Testing. ■ Develop and maintain a comprehensive plan that is clearly communicated to stakeholders. It is essential that stakeholders understand their roles and in what steps and phasing the system will be developed and deployed in order to continuously build and maintain project commitment. ■ Finalize the remaining elements of the system architecture, database "interface concept and management" and strategy for the "phased deployment" of functionality to end-users. Items that need to be finalized include integration system components, application server technology, integrated development environment and tool set, interfaces, workflow, etc. 	<p>HIGH</p>

Planning Budget Risk

Assessment Criteria	Findings/Observations	
<ul style="list-style-type: none"> ■ The project manager's budget-related experience is appropriate for a project of this magnitude. ■ There is an up-to-date budget/financial component in the project plan. ■ Criteria for scope changes exist and business is involved in the scope changes. ■ Development costs and schedule have been vetted to key stakeholders and validated. ■ The project manager has adequate powers to make budgetary decisions in order to manage the project. ■ There is a regular review process in place to evaluate the financial performance of the project and the project manager is involved/responsible for this process. ■ There is a project feedback mechanism to recognize and log financial/budget-related issues and the Project Manager is involved/responsible for this process. ■ Funds have been secured for the entire project/program or contingency planning is in place in the event that there is a chance of it being reduced. ■ There is a process for confirming accomplishment of a task. ■ Understanding of whether external providers share any financial risk for late delivery. 	<ul style="list-style-type: none"> ■ The Aspire budget is dependent upon successful completion of the system test phase that is due to begin in mid-June of 2007. ■ Budget uncertainty exists and is dependent on the successful outcome of the system test phase; if the system test phase is considered to be a failure, it is possible that additional funding could be halted. ■ The project's scope is defined, however, there is a need to refine and validate the requirements and its linkage to policies and procedures among the Departments. This is particularly important since certain business process tasks and responsibilities will change. ■ There is a lack of clarity and documentation for the data and systems interfaces between Aspire and other systems (e.g., FLAIR, PeopleFirst, MyFloridaMarket Place, etc.). 	
Recommended Actions		Score
<ul style="list-style-type: none"> ■ Implement an updated, and effective, budget process that does not embrace quarterly funding gates. ■ The process and criteria for scope changes needs to be developed, and vetted with key stakeholders. ■ Refine the requirements documentation and its linkage to policies and procedures and should be agreed to by agreed to by all stakeholders. ■ Finalize data interface specifications including responsibilities between Aspire and other systems. Ensure that "functionality" moved from the legacy systems to Aspire is included in all specifications and system documentation. ■ Develop criteria and a management process for scope changes that result from impacts to/between other related systems. 		HIGH

Planning Risk Management Process

Assessment Criteria	Findings/Observations	
<ul style="list-style-type: none"> ■ The project manager's risk-management-related experience is adequate for a project of this magnitude. ■ There is a comprehensive risk management process in place. ■ There is a team focused on external risks within the project. ■ There is a process to collect and examine information potentially relevant to the project. ■ There are scenario planning activities to identify actions in the case of an unplanned event. ■ There is an escalation mechanism to cope with increasing risk severity. ■ There is a specific person with the explicit responsibility of monitoring and managing risk. 	<ul style="list-style-type: none"> ■ A risk management process exists within the Aspire project methodology. ■ The project leadership team is focused on both internal project risks as well as external project risks. ■ Risk information is collected and reviewed by the project management team. ■ Current high-level risk is centered around the testing process. ■ Aspire implementation risks, that are not system test-related, may be understood by Aspire project managers, but team resources are not available to address them at this time. 	
Recommended Actions		Score
<ul style="list-style-type: none"> ■ Update the project risk management plan to account for risk severity and risk mitigation escalation (trigger points, participants in risk mitigation effort and contact process). ■ The scope of the risk management process should include all phases of the application development life cycle; it should not stop at system test. 		HIGH

Planning Service Provider Management

Assessment Criteria	Findings/Observations
<ul style="list-style-type: none"> ■ There is a formal sourcing strategy for identifying the best service providers. ■ There is a procurement strategy that aligns to the project plan. ■ There is an appropriate contract in place for each service provider. ■ Appropriate levels of background checks/reference checks on key service providers prior to contract signing were conducted. ■ There are opt-out mechanisms, which enable the vendor to carry out non-planned for work separately to the contract. ■ The organization has obtained required on-site or on-call support from the vendor(s). 	<ul style="list-style-type: none"> ■ There is a lack of defined procurement strategy which should tie into the project's overall development plan and schedule, phased deployment plan, the post production support, knowledge transfer and training required, as well as all the associated SLAs for each. ■ There is no definition of how the project will be managed, the metrics that will be used to grade success, the specific role and responsibilities of the vendor(s) during each phase of the project and the deliverables (required format and content—review cycle and approval process) associated with each deliverable during each phase.
Recommended Actions	Score
<ul style="list-style-type: none"> ■ Develop a comprehensive vendor evaluation criteria and compare to industry procurement best practices for projects of similar scope and complexity. ■ The State needs to be aggressive in its due diligence with regard to vendor evaluation and selection. ■ Utilize deliverable-based agreements that mandate specific tasks and deliverables with vendors and contractors; measure progress against deliverables. 	<p>HIGH</p>

Planning

Overall Testing (page 1)

Assessment Criteria	Findings/Observations	
<ul style="list-style-type: none"> ■ Overall testing responsibilities have been assigned to appropriate parties/teams. They are all sufficiently skilled and experienced. ■ All agency processes will be included in the system test phase. 	<ul style="list-style-type: none"> ■ Overall testing is being lead by Jeff Haisley, who ran an ERP practice for Arthur Andersen, and ran a segment of PeopleSoft's delivery practice. Jeff has been responsible for testing 15 implementations during his career. ■ Team comprised of 6 individuals: <ul style="list-style-type: none"> – Manager Jennifer Grant (State employee) – Tom Johnson—ensuring Mercury quality center is being utilized properly – Kevin Chae—overseeing/writing test scripts – Gopal Krishna—focused primarily on the testing data – Rene Lopez—mercury expert; will advise on how to structure the team, perform the scripts, etc. – Manny Munoz—Unit test manager; 9-10 people in his team ■ Test planning is currently ongoing; currently 37 people are developing 'story boards' from a fairly wide range of the agencies. 80% of the agencies are represented, including: <ul style="list-style-type: none"> – AR/Billing—6 individuals – R2R—8 individuals – AM—4 individuals, P2P—8 individuals – Contracts/Grants—8 individuals – 5 people in DFS are looking at enterprise wide storyboard scenarios. – 57 people will be involved in system test execution; and none will be running the test scripts that they developed ■ Everyone that is on the core project team will be running system test within their own modules. ■ The expectation is that a number of people will be brought in from the agencies to run test scripts. <ul style="list-style-type: none"> – It is unclear, however, how many of these individuals will actually participate. – The risk exists that the individuals will not be able to navigate the PeopleSoft application. – The testing team is not planning on writing the scripts to the level of detail necessary to have a non-user understand the scripts. ■ During system test, the team will be testing across 11 agencies out of the 34. The other 23 agencies will be tested during a later phase. <ul style="list-style-type: none"> – Outstanding unique business processes that will not be covered during the initial system test phase are 2-4% of all business processes. 	
Recommended Actions		Score
<ul style="list-style-type: none"> ■ Overleaf 		HIGH

Planning

Overall Testing (page 2)

Assessment Criteria	Findings/Observations	
<ul style="list-style-type: none"> ■ Testing accounts for all types of testing (unit, functional, integration, system/performance, user acceptance) in a logical sequence. ■ Sufficient time is provided for testing. ■ Sufficient time (and resources) are provided to correct errors found during testing. ■ Test experts are available to the various test teams. ■ Processes and plans are in place to tie together the different types of testing and testing for different modules, applications, business units, etc. There are distinct borders between the different types of tests. ■ There is a "post-mortem" process for test phase to determine lessons learned, improve processes, etc. 	<ul style="list-style-type: none"> ■ The testing sequence is logical in that unit testing is occurring before system testing, for example; however, there is a blurring of when one phase ends and when the subsequent phase begins. ■ Testing types (e.g., unit testing) are not being conducted in a structured manner with the appropriate amount of resources and time to complete. ■ Test planning progress is moving at a slower than expected pace; average test resources are not logging more than a few hours of time into the Aspire application. <ul style="list-style-type: none"> – Certain team members have indicated that they are not confident that the test will be completed successfully. ■ Test team leadership and staff have acknowledged that they have set a frantic pace for completion of system test planning. ■ The project team has acknowledged the need for unit, functional, integration, system/performance, user acceptance testing <ul style="list-style-type: none"> – Currently, only unit and functional testing is being planned and executed; – The project team has labeled the upcoming test phase as 'system test'; true end-to-end positive and negative testing will not be performed; – Performance testing has been identified as a large risk by the project team, and by independent assessments from Oracle yet no performance testing will occur during 'system test.' ■ Testing for unit, functional, integration, system/performance, user acceptance testing is planned. ■ Test team leadership and staff have acknowledged that they have set a frantic pace for completion of system test planning. ■ During system test, the team will be testing across 11 agencies out of the 34. The other 23 agencies will be tested during a later phase. <ul style="list-style-type: none"> – Outstanding unique business processes that will not be covered during the initial system test phase are 2-4% of all business processes. ■ The system test approach lacks certain key guidelines and processes that are typically incorporated into system test plans. <ul style="list-style-type: none"> – All interfaces and development tasks will not be complete prior to the system test start date – Test scripts are not being developed in a highly detailed and granular level – Integration testing with agencies and external applications is not being included in the testing scope ■ Recently updated test strategy documentation is not available to the testing team. 	
Recommended Actions		Score
<ul style="list-style-type: none"> ■ Overleaf 	HIGH	

Planning

Overall Testing (page 3)

Assessment Criteria	Findings/Observations
<ul style="list-style-type: none"> ■ Appropriate testing tools and processes are in place for overall testing. 	<ul style="list-style-type: none"> ■ Testing Tools: <ul style="list-style-type: none"> – Mercury Quality Center—utilized for planning (requirements), test lab (run the test), defect management, and the script repository (define script set, order of progression, regression requirements). – MS-Access Database—used to link the original 1,325 requirements of the project to business process designs. – The link between business process designs and the requirements is linked in the detailed tracking tool. – Quest’sStat—Check-in and checkout; controlling the objects from a development perspective, and the migration path.
Recommended Actions	Score
<ul style="list-style-type: none"> ■ Halt ‘system test’ planning; stop focusing on the end of system test as the project management scope for the Aspire implementation project. ■ Focus attention on unit testing activities; provide additional time for true completion of proper unit testing activities. ■ Procure a system integrator to partner with the project team to: <ul style="list-style-type: none"> – properly plan a true system test – provide resources who are fully motivated and are spending their time logged in the system ■ Develop a system test preparation plan for the agencies, and provide them with adequate time to prepare for the true system test. 	<p style="text-align: center;">HIGH</p>

Planning

Data Conversion Planning and Resources

Assessment Criteria	Findings/Observations
<ul style="list-style-type: none"> ■ There is a single person responsible for data conversion planning with sufficient skills and experience. ■ Data conversion planning started early enough in the project. ■ Conversion planning took into account enterprise wide data. ■ The data conversion plan includes appropriate conversion tests. ■ There are sufficient technical resources assigned for data conversion. ■ There are sufficient business resources assigned for data conversion. ■ There is enough time/availability committed by the data conversion resources. ■ There is contingency time, resources and budget for the implementation/migration. ■ The data conversion resources (including the "single person responsible for conversion") are sufficiently experienced. 	<ul style="list-style-type: none"> ■ No individual person is responsible for data conversion planning (March 2007). ■ Data conversion execution is an acknowledged implementation task within the Aspire project team. ■ A conversion team has not been determined; every team member in Christina Smith's group will have to be involved. ■ The testing team has indicated that conversion testing and execution should be performed after the system test phase has been completed successfully and the implementation enters the UAT phase. ■ Agencies have not participated in data conversion planning or execution activities at this time (March 2007). ■ Conversion Tools: <ul style="list-style-type: none"> – Application Engine—native tools to the PeopleSoft environment – SQR – Component Interfaces – PeopleTools ■ Conversion Roll-back <ul style="list-style-type: none"> – Conversion remediation will depend on whether or not the table is triggering processes; if it is not triggering processes, remediation could be a matter of refreshing the table. – If it is triggering further processes, a roll back will be performed and the conversion team will refresh the entire environment.
Recommended Actions	Score
<ul style="list-style-type: none"> ■ Stop focusing on the end of 'system test' as the project management scope for the Aspire implementation project. ■ Partner with a system integrator to properly plan for all aspects (both project and agency) of the data conversion process. ■ Communicate to agencies their specific responsibilities, and finalize with them a feasible timeline; augment resources where necessary to mitigate the risk of timeline delays. 	<p>MEDIUM</p>

Planning

System Rollout Planning (page 1)

Assessment Criteria	Findings/Observations
<ul style="list-style-type: none"> ■ There is a project manager or another senior manager individually responsible for planning the implementation/ migration (note: other can be involved, but is a single person is responsible). That person has the required skills and experience. ■ There is a reasonable, structured implementation/migration process and all key tasks are accounted for. ■ Explicit success criteria have been identified and documented. ■ The migration plan explicitly addresses retiring the legacy systems. ■ Sufficient time was allocated for the implementation/migration tasks. ■ Sufficient technical resources are available for the conversion/implementation. ■ There are sufficient business resources available for the conversion/implementation. ■ There are sufficient support resources available for the conversion/implementation and the corresponding temporary "spike" in support requirements. ■ There are contingency time, resources and budget for the implementation/migration. 	<ul style="list-style-type: none"> ■ Due to lack of a comprehensive implementation plan, there are no clear plans for system migration and decommissioning of legacy systems. ■ The current Aspire project management team is only focused on the end of 'system test', and has indicated that they will shift focus to these other areas once system test has been completed. ■ The current Aspire implementation project team has a large deployment resource gap. ■ The training team has four resources who are not currently dedicated to deployment activities. ■ The project team functional resources do not understand the functionality of the system to the extent that the project leadership expects them to; <ul style="list-style-type: none"> — Certain functional team members have been involved with the project for multiple years and are not yet PeopleSoft experts. — It is likely that these resources will not be able to lead the planning and execution of training and application deployment activities. ■ No roll-out plans have been communicated to agency representatives.
Recommended Actions	Score
<ul style="list-style-type: none"> ■ Stop focusing on the end of 'system test' as the project management scope for the Aspire implementation project. ■ Recognize that the current implementation team is not staffed with the appropriate number of people, with the necessary skillsets, to deploy the Aspire application properly—without system flaws, using an appropriate timeline, and to fully trained users. ■ Partner with a system integrator to properly plan for all aspects (both project and agency) of the deployment process. ■ Communicate to agencies their specific responsibilities, and finalize with them a feasible timeline; augment resources where necessary to mitigate the risk of timeline delays. 	<p>HIGH</p>

Planning

System Rollout Planning (page 2)

Assessment Criteria	Findings/Observations	
<ul style="list-style-type: none"> ■ Deployment plan has been finalized and communicated; agencies understand their role in the deployment and have communicated feedback. 	<ul style="list-style-type: none"> ■ Deployment Waves—no deployment plan has been finalized, or communicated, and current resources are not focused on any phase past the system test phase. ■ Aspire team members have indicated that the following deployment approach should be considered: <ul style="list-style-type: none"> – Proposed team teaching approach (2 instructors per class): <ul style="list-style-type: none"> ▪ No more than 20 students per class for optimum learning environment ▪ Average number of training days per person is 4 ▪ 30 teaching days per wave (including travel time) ▪ 3 months between waves ▪ Maximum of 1800 users per wave ▪ 6 waves (July, November, March, July, November, March) ▪ Constraints: <ul style="list-style-type: none"> • Agency remediation being completed in order to go-live • Acquiring skilled trainers • Need 24-30 trainers 	
Recommended Actions		Score
<ul style="list-style-type: none"> ■ Overleaf 		HIGH

Planning

System Rollout Planning (page 3)

Assessment Criteria	Findings/Observations	
<ul style="list-style-type: none"> ■ Deployment plan has been finalized and communicated; agencies understand their role in the deployment and have communicated feedback. 	<ul style="list-style-type: none"> ■ Deployment Order: <ul style="list-style-type: none"> – Department of Financial Services—project sponsor – Department of Juvenile Justice—no remediation necessary – Fish and Wildlife Conservation Commission—no remediation necessary – Agencies with dependencies—the following agencies need to go-live in the same wave (they have a total of 1,200 users between the 5 agencies) <ul style="list-style-type: none"> – Department of Revenue – Agency for Workforce Innovation – Department of Education – Department of Management Services – Department of Business and Professional Regulations – Last agencies – Department of Health—large amount of remediation/1,800+ users – Department of Transportation—large amount of remediation – Department of Children and Families—large amount of remediation ■ The other agencies can be broken into the various waves to accommodate no more than 1,800 users. 	
Recommended Actions		Score
<ul style="list-style-type: none"> ■ Finalize deployment plan once known constraints, such as SI procurement and funding, have been confirmed. ■ Staff the project team accordingly to ensure that all aspects of deployment are planned and executable. 		HIGH

Planning

Contingency Planning

Assessment Criteria	Findings/Observations	
<ul style="list-style-type: none"> ■ There is a fall-back plan in case of system failure. ■ There are plans for stand-by of key support resources. ■ There is a catalogued potential live system failures and identified action points to mitigate them. ■ There is a process to assess whether a contingency condition has been met and acted upon. ■ There are trained key project resources in the procedures to be used in the case of system failure. 	<ul style="list-style-type: none"> ■ This has not been addressed due to the project's focus on System Testing. 	
Recommended Actions	Score	
<ul style="list-style-type: none"> ■ Plan for contingency as Aspire project direction is assessed and finalized. <ul style="list-style-type: none"> – Contingency planning should be a consideration during funding discussions. – Contingency planning should be considered as implementation schedule is built. 	LOW	

Planning Operations Management

Assessment Criteria	Findings/Observations	
<ul style="list-style-type: none"> ■ There is an experienced Operations Manager (OM). ■ The OM is accountable for receiving the system and ensuring its success. ■ The OM has sufficient knowledge and experience available in the project to employ and control the technical aspects of the infrastructure and system development environment. ■ The OM has sufficient knowledge and experience available in the project to work according to the customary methods and techniques used for system development in the project. ■ There is a regular project review process in place. The OM participates in this process. ■ There is a project feedback mechanism to recognize and log issues. There is someone responsible for addressing/triaging these issues. ■ A change control process been developed and the OM is involved in this process. 	<ul style="list-style-type: none"> ■ The current independent oversight process has not appeared to effectively identify key project risks to stakeholders external to the Aspire project team. ■ Current project governance does not include an active Aspire steering committee of informed stakeholders; external groups do not have clarity on Aspire implementation status and issues. 	
Recommended Actions	Score	
<ul style="list-style-type: none"> ■ Third-party oversight should be addressed immediately to ensure that effective oversight is being provided to all necessary State stakeholders. ■ Aspire implementation governance should be enhanced in order to reduce project risk. 	HIGH	

Planning

Communication Planning

Assessment Criteria	Findings/Observations	
<ul style="list-style-type: none"> ■ A communication management plan has been developed and implemented. ■ There is a defined communication strategy. ■ There is a responsible person assigned and accountable for effective communication planning and management within the project. ■ There are processes in place to communicate formal/informal information to the internal/external resources. This is well understood by the project resources. ■ There are customer and/or service provider communication processes in place. ■ Initiatives have been implemented to communicate to customers and suppliers regarding the proposed changes and their impact. ■ Escalation plans have been created for critical customers in the case of a system failure upon go-live. ■ There are escalation plans with critical service providers in the case of a system failure upon go-live. 	<ul style="list-style-type: none"> ■ Communication planning has been on ongoing focus of the implementation team. ■ Communication planning and execution has been negatively impacted by the departure of the BearingPoint team. ■ The message that has been communicated has been negatively impacted by the implementation issues and failures during the course of the project. ■ Recently, the Aspire project management team has chosen to focus primarily on system test, which has resulted in decreased focus on other areas of the implementation, including communication. 	
Recommended Actions	Score	
<ul style="list-style-type: none"> ■ Upon securing full funding commitments by the State, and developing a realistic implementation plan with the appropriate number of skilled resources, make communication planning and execution a key focus of the project team. ■ Formally communicate and acknowledge all past major project failures. ■ Communicate project successes and establish that a foundation exists that can be leveraged. ■ Once a complete master schedule has been developed, communicate new implementation plan to all agencies and their users. Ensure that all stakeholders understand their roles and responsibilities as part of the communication plan. 	MEDIUM-LOW	

Planning

Security Planning

Assessment Criteria	Findings/Observations	
<ul style="list-style-type: none"> ■ Specific roles have been defined with associated functional and data access requirements. ■ Business processes and business functions have been documented and associated/tied with specific roles. ■ System capabilities for functional and data-level security have been assessed and verified to meet the above requirements. ■ Applicable regulatory requirements (e.g., HIPAA, SOX, etc.) have been identified. ■ They have been validated that the vendors and applications meet the above regulatory requirements. ■ Security planning have been explicitly performed as part of the overall project planning process. ■ There are sufficient project resources involved in the planning process with appropriate security knowledge and experience (from both an organizational and application perspective). 	<ul style="list-style-type: none"> ■ During the last system test phase, test scripts did not address security and/or controls. Security scripts had been defined within the project plan, however, none had been created prior to Cycle I testing. ■ Current system test planning will not include security within its scope. 	
Recommended Actions	Score	
<ul style="list-style-type: none"> ■ Assign an accountable owner to the area of security who has the appropriate PeopleSoft experience and is dedicated to the task. ■ Partner with an SI to review current security configuration and to assess security status. ■ Develop a security strategy and identify all existing gaps. ■ Address gaps and create a robust security testing plan. 	MEDIUM	

Execute Resource Management

Assessment Criteria	Findings/Observations	
<ul style="list-style-type: none"> ■ Resources received significant training on the project. ■ Funding has been allocated to train resources on the project. ■ There is evidence that most resources had prior experience of such a project. ■ The project team has obtained commitment from management in the form of additional resource and support when necessary. ■ The project has a way of changing resources during the course of the project. ■ The Project consistently checks resource competency and has the ability to veto resources prior to joining the project. ■ Management holds regular meetings to check on progress of the system. ■ The performance feedback is built into the project at appropriate intervals. ■ The project team is dedicated to this effort. 	<ul style="list-style-type: none"> ■ The December 2006 BearingPoint departure reduced the size of the Aspire implementation team; many individuals with functional and technical knowledge were no longer available to the Aspire project. ■ The Aspire project management team hired contractors to fill vacant project positions during early 2007. ■ The existing, albeit smaller, Aspire project team is fully dedicated to the implementation. ■ The current project system test focus is predominantly system test and the project managers have pulled resources from other areas (e.g., change management, training) to backfill vacant functional positions. ■ Aspire project managers are closely monitoring resource deployments and adjustments are being made based on the level of progress. ■ Project managers are considering the need for an external, third-party, implementation team to augment the team past the system test phase because of existing deficiencies in skillsets. The Aspire implementation team lacks a number of dedicated resources with: <ul style="list-style-type: none"> – Functional PeopleSoft knowledge – State business process knowledge – PeopleSoft technical knowledge ■ The ongoing level of agency advocates, and other SMEs, participation is not fully understood. 	
Recommended Actions		Score
<ul style="list-style-type: none"> ■ Develop contingency plan for staff turnover within the project team and Advocates; SI procurement must be a critical component of resource management planning. ■ Ensure that knowledge transfer is ongoing during the entire project as well as during the development process and that it extends into the post-implementation phase. Develop SLAs that the vendor(s) will have to meet to ensure success in this key area. ■ Define a project succession plan for critical roles on the project. ■ After systems development, ensure the State's internal business and IT staff can operate and maintain the system. 		HIGH

Execute

Budget Management

Assessment Criteria	Findings/Observations	
<ul style="list-style-type: none"> ■ There is a budget review process in place. ■ There a financial/budget-related issue management process in place. ■ Exceptions (add on work, out of scope work) to contracts are monitored and managed via the same project management plan. ■ Specific criteria are used to determine if something needs to be de-scoped, or changed in the project plan. ■ Budget v. Actuals report is available and used by the PM to manage the budget. ■ There are concrete processes in place to ensure that costs are managed. 	<ul style="list-style-type: none"> ■ Aspire implementation funding is wholly dependent on the success of the system test phase, which is due to begin in June of 2007. ■ There is a lack of detailed project budget linked to the Project Plan and Schedule. ■ If the system test phase is not considered to be successful, funding for the Aspire implementation project will be in question. 	
Recommended Actions	Score	
<ul style="list-style-type: none"> ■ Establish State commitment to funding a realistic project plan that includes the participation of an SI. ■ Develop a detailed project budget that is linked to the Project Plan and Schedule needs to be developed and vetted to key stakeholders. As stated previously, this activity can not be completed until the remaining elements of the top-level systems architecture have been finalized, a development plan established and a phased deployment approach articulated. 	HIGH	

Execute Time Management

Assessment Criteria	Findings/Observations	
<ul style="list-style-type: none"> ■ Milestones have been identified and tied to the activities. ■ External dependencies been identified/considered. ■ Reserve/contingency time has been identified and incorporated into the project. ■ Activity start and finish dates and durations are realistic (i.e., weekends, holidays and vacations are accounted for). ■ Performance measures have been defined to measure the magnitude of schedule variations and determine whether corrective action is necessary. ■ Schedule updates are identified and communicated as a result of schedule monitoring. ■ Corrective actions have been identified and executed to address schedule variances. ■ Causes of schedule variance (root cause of corrective action) are identified and documented. 	<ul style="list-style-type: none"> ■ The key Aspire implementation milestone dates are system test-related. June 16th, 2007 is the system test start date milestone. October 2007 is the system test end date milestone. ■ The system test planning and execution phase timelines are well understood by the Aspire project team and the project sponsors. ■ Reserve/contingency time has not been identified; the funding question is driving the system test timeline. ■ The system test timeline is necessitating the use of almost all project resources; it is not certain that the system test planning phase is realistic given the impact on project resources, and the ongoing development effort. ■ A timeline for post system test project milestones has not been confirmed, and is not a focus for the project team at this time. ■ The Aspire project has a well known history of not meeting its identified, and communicated, project milestone dates. 	
Recommended Actions	Score	
<ul style="list-style-type: none"> ■ Develop and fund a realistic implementation timeline that includes well-managed SI participation. ■ Make time management a key focus of the implementation project management team. 	HIGH	

Execute

User Involvement

Assessment Criteria	Findings/Observations
<ul style="list-style-type: none"> ■ The business sponsor has remained involved. ■ A communication program with the users has been started. ■ A communication process has been initiated with management. ■ A forum has been implemented involving feedback to gather information from the user base. ■ Key personnel (change champions) from each affected area have been identified. ■ Senior management have made themselves available to the user base to explain the changes and why they are needed. ■ Users (and user group representatives) involved in the project are sufficiently aware of the project objectives. ■ The project receives proper support from the management of the (future) users and from the organization's senior management. ■ The participating users have the authority to take decisions for the group of users they represent. ■ Compliance with the project control measures are taken to enable the new processes to be accepted by the users. 	<ul style="list-style-type: none"> ■ The business sponsors are currently engaged. ■ The project team is not communicating with the end users at this time, and does not feel that it is appropriate at this point. The users are unaware of project timeline details. ■ Agencies have assigned advocates to the Aspire project; the advocates are authorized to make functional decisions on behalf of the agencies. ■ Agencies have signed a letter of empowerment stating that their advocates can speak on behalf of the agencies. ■ Project personnel have indicated that they are not certain of the agency endorsement of the advocate decisions. Aspire project team members have made no recent effort to obtain agency leadership confirmation of the planned application functionality. ■ Participating agencies will be mandated to use the Aspire processes. Cutover from legacy applications will be immediate; agencies will not use two financial applications simultaneously.
Recommended Actions	Score
<ul style="list-style-type: none"> ■ Upon securing full funding commitments by the State, and developing a realistic implementation plan with the appropriate number of skilled resources, make user involvement a key focus of the project. ■ Formally communicate all past major project failures, and the new implementation plan, to agencies and their users. ■ Communicate project successes and establish that a foundation exists that can be leveraged. ■ Develop multiple user community groups and leverage those groups to create interactive discussion-based communication, in addition to the typical one-way communication channels. 	<p>LOW</p>

Execute

External Contacts

Assessment Criteria	Findings/Observations	
<ul style="list-style-type: none"> ■ An external stakeholder impact analysis has been undertaken. ■ A service provider impact analysis has been undertaken. ■ External stakeholder communication processes have been implemented. ■ Service provider communication processes have been implemented. ■ Initiatives have been implemented to communicate to external stakeholders regarding the proposed changes and their impact. ■ Initiatives to communicate to service providers regarding the proposed changes and their impact have been implemented. ■ There are escalation plans with critical Stakeholders in the case of a system failure upon go-live. ■ There are escalation plans with critical service providers in the case of a system failure upon go-live. 	<ul style="list-style-type: none"> ■ External stakeholder impact analysis was performed but is dated ■ Communicated processes are in place; however, missed project commitments have made communication less effective ■ Lack of master schedule and focus on events other than system test has limited external contacts understanding of project status and future direction ■ No go-live escalation planning <ul style="list-style-type: none"> – Escalation planning has lapsed; project feasibility rests on successful completion of system test 'proof of concept' activities. 	
Recommended Actions	Score	
<ul style="list-style-type: none"> ■ Create a master schedule once project direction is determined. ■ Develop escalation plans and update communication processes with supporting project documents to better inform external stakeholders of project status and future milestones. 	MEDIUM	

Execute

Public Relations (PR) Management

Assessment Criteria	Findings/Observations
<ul style="list-style-type: none"> ■ There is a single person responsible for all PR issues and have the required seniority and experience. ■ The project has consulted with a public relations organization on possible risk mitigation in the light of a serious setback. ■ There is ongoing PR involvement in the project. ■ A PR policy has been drafted for the entire project/project team. ■ The project communication strategy/plan explicitly addresses PR communications. 	<ul style="list-style-type: none"> ■ PR efforts are ongoing; however, missed project commitments have made public relations efforts ineffective ■ No external public relations organization has been leveraged ■ Current system test effort is being used as a 'proof of concept' to bolster public relations and to secure ongoing Aspire funding from the State.
Recommended Actions	Score
<ul style="list-style-type: none"> ■ Develop a PR strategy, and staff the effort accordingly, once the project direction has been finalized. ■ Communicate new goals and milestone dates ■ Meet commitments in order to bolster public relations around the Aspire project. 	<p style="text-align: center;">MEDIUM</p>

Execute Value Management

Assessment Criteria	Findings/Observations	
<ul style="list-style-type: none"> ■ The project is still focused on the full scope of original specifications at the outset of the project. ■ There has been a de-scoping exercise, certain criteria were used to make the de-scoping decision. ■ There are processes in place to ensure the solution design maintains alignment with the business case. How that alignment is measured has also been defined. ■ There is involvement from the business in making scoping/de-scoping decision(s). ■ At the end of each life cycle phase, key deliverables and project performance are reviewed to determine if the project should continue into its next phase, and to detect and correct errors cost effectively. 	<ul style="list-style-type: none"> ■ The current value management plan is centered on the success or failure of the system test phase. If system test is not deemed to be successful, funding for the remaining phases will not be guaranteed. ■ The project is not focused on the full scope of original specifications at the outset of the project. ■ Value management activities are currently centered on the completion of 'system test'; system test completion is the current 'go or no go' jumping off point. <ul style="list-style-type: none"> – The testing phase is essentially a 'proof of concept' that the system meets business requirements and is a feasible solution. – The 'system test' phase is an attempt to secure funding and to demonstrate that PeopleSoft is a viable solution, in its current configuration, for the State of Florida. 	
Recommended Actions	Score	
<ul style="list-style-type: none"> ■ The value management process must run independently of the external drivers that are currently driving the Aspire project. ■ The implementation dates must be driven by implementation best practice, and risk must be mitigated using a feasible and fully staffed project plan. 	HIGH	

Execute

Operational Cost Planning/Management

Assessment Criteria	Findings/Observations
<ul style="list-style-type: none"> ■ An estimate has been reached regarding ongoing maintenance for the system. ■ There is a provision for license and maintenance costs. ■ There is a provision for vendor on-call support. ■ There is a provision for further development post go-live. ■ There is a provision for in-house IT support/Help Desk. ■ There is a provision for user and system training. ■ Maintenance and support costs have been factored into the business case. 	<ul style="list-style-type: none"> ■ Operational cost planning and management are not a current focus of the Aspire implementation team. ■ No provisions have been made for: <ul style="list-style-type: none"> – license and maintenance costs – Vendor on-call support or internal support – Post go-live application enhancement and related tasks ■ 200K of vendor training budget exists and remains unused. ■ Lack of updated documentation on system architecture that provides a detailed development plan and the articulation of a phased deployment approach to provide ability to comprehensively cost the project.
Recommended Actions	Score
<ul style="list-style-type: none"> ■ Document how array of current system components that will remain as part of the new system will be integrated into overall architecture. ■ Define and document the operational budget requirements for the new system. ■ Ensure that vendor's responsibilities for ongoing operational support and maintenance including Service-Level Agreements and Performance Metrics/Measures for such items as bug fixes, system modifications, enhancements are documented. ■ Integrate vendor's change management system and process into State's overall change management process to ensure a smooth operational and support concept for the future system. 	<p>MEDIUM</p>

Execute

Organizational Change Management (page 1)

Assessment Criteria	Findings/Observations	
<ul style="list-style-type: none"> ■ There is a committed change management executive lead. ■ The change management executive lead has sufficient knowledge and experience available in the project to guide the change processes. ■ There is an effective change management process in place. ■ There is a process in place to review and record change requests. ■ The change management team and project team fully understand the change methodology. ■ The communication program is defined early and the process is initiated with management. ■ There are key personnel (change champions) identified from each affected area. ■ Senior management made themselves available to the user base to explain the changes and why they are needed. ■ There are user groups or user committees in place to inform the user base of the required changes early. ■ Communication process about and within the project has been established to provide those involved with a proper idea of the nature of the project and what the realistic expectations are. ■ The management is convinced of the necessity of the change. ■ Resistance to the project's implementation from the organization has been anticipated. ■ The State is prepared for organization's cultural readiness for a project of this magnitude and nature. 	<ul style="list-style-type: none"> ■ A change management manager and team exist, but are not fully committed to the change management function at this time. <ul style="list-style-type: none"> – Organizational change management is not currently a high priority for the project; it is a secondary function. – The entire organizational change management team is currently helping to develop the system test scripts and supporting application software development. ■ BERT is the change management tool currently being used; it is being used for testing purposes. ■ If system test is successful, it is unknown if the current change management team will revert back to its intended function. ■ The post system test timeline has not been finalized; the change management team is not certain of how much time will be provided to them to initiate training planning and training material development. ■ A system acceptance workgroup that is comprised of seven agencies is currently reviewing the system functionality as it compares to the business requirements. ■ The agencies were selected based on their size and business process complexity. 	
Recommended Actions	Score	
<ul style="list-style-type: none"> ■ Overleaf 	HIGH	

Execute

Organizational Change Management (page 2)

Assessment Criteria	Findings/Observations	
	<ul style="list-style-type: none"> ■ The agencies within the State have acknowledged that the existing accounting system needs to be replaced. The large majority of agencies embrace the replacement of the legacy applications, but there are a small number of agencies that would prefer using the legacy applications. <p><i>Agency Preparedness:</i></p> <ul style="list-style-type: none"> ■ The Dept of Financial Services is the most prepared agency, primarily because it is the sponsoring agency. ■ Of the 34 agencies, 6 agencies could be considered champion agencies. ■ There are fewer than 5 agencies that could be considered very resistant to the deployment of the Aspire application. <ul style="list-style-type: none"> – Certain agencies do not believe that the application will be rolled out successfully and do not want to expend their resources on system implementation efforts. ■ The remaining 23-25 agencies have been participating in the Aspire implementation; they attend meetings, provide feedback, etc. <p><i>Negative external impacts:</i></p> <ul style="list-style-type: none"> ■ PeopleFirst implementation—there were large deployment problems during the implementation of the PeopleFirst application; insurance was dropped, certain individuals were not paid correctly, etc. ■ There was a lack of robust training. ■ Aspire is facing an uphill battle in terms of agency perception, from this perspective. 	
Recommended Actions		Score
<ul style="list-style-type: none"> ■ Recognize that the current implementation team is not staffed with the appropriate number of people, with the necessary skillsets, to effectively execute change management for the Aspire application—without system flaws, using an appropriate timeline, and to fully trained users. ■ Partner with a SI to properly plan for all aspects (both project and agency) of the change management process. ■ Upon securing full funding commitments by the State, and developing a realistic implementation plan with the appropriate number of skilled resources, make change management a key focus of the project. ■ Proactively communicate to agencies the impacts that they will encounter, and the change management plan for addressing these impacts. 		HIGH

Execute

System Specification/Design (page 1)

Assessment Criteria	Findings/Observations	
<ul style="list-style-type: none"> ■ User requirements have been clearly defined and documented. ■ Functional specifications have been clearly defined and documented. ■ Technical specifications have been clearly defined and documented. ■ Detailed designs have been clearly defined and documented. 	<ul style="list-style-type: none"> ■ User requirements have been defined and documented. ■ The following assessments were made by the Aspire team, using a scale of 1—5 (5 being 'very defined/documented' and 1 being 'not defined'). ■ The user requirements were assessed at a 3.5 to 4. ■ The functional specifications were assessed at a 3: <ul style="list-style-type: none"> – The manner in which the specifications were captured was not standardized. – In some cases, the project team members did not follow the specified format. – Many functional specifications did not have gap statements. – Too many technical specifications were included. – The functional specs have technical instructions. ■ The technical specifications were assessed at a 4. They are typically very complete and are written in a standard manner. ■ A problem that exists is that the functional and technical specifications are out of synch. A significant number of the scripts are out of synch; although no figures were provided, the estimate is above 20%. ■ The team has dealt with it fairly well, up until recently. ■ Recently, there have been issues because the functional resource will indicate that an aspect of the application functionality does not work properly, and the technical resource will indicate that the functionality meets the technical specifications, and is therefore functioning properly. 	
Recommended Actions		Score
<ul style="list-style-type: none"> ■ Address design gaps using an updated master schedule (project plan) and staffing plan 		HIGH

Execute

System Specification/Design (page 2)

Assessment Criteria	Findings/Observations	
<ul style="list-style-type: none"> ■ Business analysts are closely involved with the development team in the development process. 	<ul style="list-style-type: none"> ■ System test business analyst/team overview: <ul style="list-style-type: none"> – Treasury—three team members testing the functionality. <ul style="list-style-type: none"> ▪ One resource is a State expert ▪ Two staff augmentation consultants have been with the project for multiple years – AR/Billing—the team includes one State SME, and one consultant. – General Ledger/Commitment Control— the team has seven people <ul style="list-style-type: none"> ▪ Four full time State business analysts, all with 12+ years of experience ▪ Three consultants, two of which have been with the project for multiple years – Asset Management—the team has two people, one of which is a senior-level consultant with 10+ years of experience. The other person is a State SME with 20+ years in State government. – Purchasing/AP—the team has six people <ul style="list-style-type: none"> ▪ Two consultants have been with the project since its inception ▪ A third resource is performing a dual role ▪ There are three full timer State team members with 20+ years of experience – Contracts, Projects and Grants—the team has two dedicated resources. 	
Recommended Actions		Score
		HIGH

Execute

System Specification/Design (page 3)

Assessment Criteria	Findings/Observations
<ul style="list-style-type: none"> ■ The design has received sign-off from all geographies and business units affected. ■ All potentially impacted people were involved. ■ A gap analysis was performed to reconcile system capabilities with the business requirements. ■ There was a process initiated to resolve the differences between system capabilities and business requirements. ■ Integration with other systems (and processes) have been properly planned and accounted for. 	<ul style="list-style-type: none"> ■ No formal sign-off on system requirements has been performed. ■ The Aspire leadership formally signed off on the business process designs, but there was a lot of rumbling at the agency level because they felt that they were not consulted enough. <ul style="list-style-type: none"> – Aspire revisited the application requirements with the agencies. This was done twice. It was stated that there is no way of gauging the agency level of comfort with the application. ■ Agency participation was constrained to the level of the advocates and their involvement. <ul style="list-style-type: none"> – It was placed on the advocates' shoulders to commit for the agency, but it is unknown to what extent the advocates communicated functionality to agency leadership. – Project personnel have indicated that they have a suspicion that a portion of the agencies did not delve into the requirements and critique them. – None of the users were involved. The advocate position was intended to be a super-user position. None of the users have tried the system. – Aspire team members have indicated that a resurgence of advocate commitment is now apparent because the Aspire team now has work for them to perform; this was not the case before. ■ Integration testing will be performed in the later stages of the current system test, or after the system test phase.
Recommended Actions	Score
	HIGH

Execute

Customization/Development

Assessment Criteria	Findings/Observations	
<ul style="list-style-type: none"> ■ An analysis was done to demonstrate the business need for a customization. ■ For custom functionality, there was an analysis carried out to check if this functionality might have implications for the future functionality of the system. ■ The custom functionality can be reversed out or modified easily if this becomes necessary. ■ There is a plan to phase out custom functionality in the future for standard functionality. ■ The custom functionality is documented fully. ■ Access to resources needed to modify custom functionality are easily available. 	<ul style="list-style-type: none"> ■ Custom functionality has been developed. ■ Application development has altered the P2P logic fairly extensively. <ul style="list-style-type: none"> – Aspire team members have indicated that the functionality can be upgraded, but that performance could be an issue. – Real time application messaging will occur between Ariba and PeopleSoft, which will require network bandwidth. – Contingency—The only contingency would be to batch the data instead of performing real time messaging. Then batch confirmations would be returned the next day. ■ Software vendor, Oracle PeopleSoft was asked to conduct a technical and functional assessment of key modifications, interfaces and configurations performed on the software. In progress. ■ While resources are widely available for Aspire software, it is very likely that the project will have difficulty accessing resources for legacy systems in the medium to long-term future. 	
Recommended Actions		Score
<ul style="list-style-type: none"> ■ Develop and finalize the remaining elements of a Make vs. Use What's Available matrix for all components of the system architecture. ■ Finalize the system/component interface requirements, complexity and development approach for all elements of Aspire. ■ Document the design and performance specifications for interfaces that remains to be developed. 		MEDIUM

Execute Unit Testing

Assessment Criteria	Findings/Observations	
<ul style="list-style-type: none"> ■ Unit testing responsibility has been assigned to a person/team. ■ Unit testing was planned early in the project. ■ There is a separation of duties for people who design/define and implement the tests. ■ There is a process and resources for actioning unit test failures. ■ A comprehensive set of test cases and expected results have been built to ensure unit test success. 	<ul style="list-style-type: none"> ■ Unit testing has been assigned to Manny Munoz. ■ Unit testing is now being performed on all remaining development that is not complete at this time. Unit testing is also being performed on all identified defects that have been corrected. <ul style="list-style-type: none"> – Planning for unit testing occurred early on during the project; it did not succeed given that large gaps were discovered in the application functionality during the previous system test phase. – Large functionality gaps do not typically surface during system test because functional designs are typically frozen, or are managed using a change control process, during earlier phases in the project ■ The developers are performing unit testing on their own development. Functional testers are then reviewing the functionality. <ul style="list-style-type: none"> – Unit testing scripts are not being utilized; no evidence of scripts has been noted, and this has been confirmed by individuals that understand the current unit test execution process. – A technical spec is written, and the developer then unit tests this. The developer then asks the functional resource to review the work. – The functional testing phase is essentially the functional person going back into this and reviewing it. He doesn't feel that it is formalized. ■ There is a very rigorous tracking of who is doing what, how things are being migrated. But no test scripts. ■ A process is in place to action unit test failures. 	
Recommended Actions		Score
<ul style="list-style-type: none"> ■ Formalize and standardize unit testing methodology and approach with the unit testing team. ■ Complete unit testing activities of all development prior to commencing the next phase of the application development life cycle. ■ Utilize detailed unit test scripts that can reviewed by a third party, such as agency representatives or an independent oversight committee. 		HIGH-MEDIUM

Execute

Functional/System Testing

Assessment Criteria	Findings/Observations	
<ul style="list-style-type: none"> ■ Responsibility for functional testing has been assigned to a person/team. ■ Functional testing was planned early in the project. ■ There are plans to perform functional testing dry runs. ■ There is a process for correcting functional test failures. ■ Test cases and expected results have been built to ensure functional test success. ■ Business analysts and system/functional architects (or equivalents) developed the test cases. 	<ul style="list-style-type: none"> ■ The Application Software Group, lead by Christina Smith, has been assigned to address application functionality testing ■ There is a process in place for escalation and remediation of issues during functional testing cycles. ■ There appears to be consensus among involved parties that areas within the current functional testing scope have been addressed, however, there is a trend of increasing failure rate due to required external system interface dependencies not yet completely defined. ■ Profile of functional testing results as of 3/28: <ul style="list-style-type: none"> – Total ADML processes in testing—77 (50% are Interfaces; 30% are enhancements; 20% are conversion, configuration- and workflow-related) – 30 of the 77 ADMLs had a due date of 3/28 of which only 10% have been completed (and 4% are close to completion). ■ The team has identified the following critical risks: <ul style="list-style-type: none"> – Meeting Legislative requirements – System’s ability to accommodate potential fiscal year reporting parameters 	
Recommended Actions		Score
<ul style="list-style-type: none"> ■ Finalize remaining system design documentation and vet with key stakeholders. 		HIGH-MEDIUM

Execute Integration Testing

Assessment Criteria	Findings/Observations	
<ul style="list-style-type: none"> ■ Responsibility for integration testing has been assigned to a person/team. ■ Integration testing was planned early in the project. ■ There are plans to conduct integration testing dry runs. ■ There is a process for actioning integration test failures. ■ Test cases and expected results were built to ensure integration test success. ■ Users are involved in integration testing. 	<ul style="list-style-type: none"> ■ Jeff Haisley, and his team, have responsibility for integration testing. ■ Integration risks: <ul style="list-style-type: none"> – Component interfaces—these types of interfaces validate every field; the interfaces use logic that understands the keying sequence on the Aspire screens. <ul style="list-style-type: none"> ▪ None of the interfaces are built using pure SQL which operates on the database level. ▪ Every interface is a component interface. Several interfaces that use component interfaces that are running longer than 27 hours. ▪ The effects of component interfaces were not understood, or measured, during the requirements definition phase. – Component interfaces will be evaluated during system test and the possibility exists that multiple interfaces will have to be re-written. It is possible that the updated interfaces will insert incorrect data in the application tables if not written correctly. ■ Integration testing is not the primary consideration of the system test phase; the goal of system test is to validate the delivered functionality of Aspire. <ul style="list-style-type: none"> ■ No integration test runs have been performed. ■ No agency personnel, or Aspire users, have been involved in integration testing. 	
Recommended Actions		Score
<ul style="list-style-type: none"> ■ Define the overall systems interfaces in detail and their associated testing requirements (functionality and performance). ■ Develop the project's integration test strategy. ■ Define the roles and responsibilities of the vendor in integration testing and document associated SLAs. 		MEDIUM-HIGH

Execute Performance Testing

Assessment Criteria	Findings/Observations	
<ul style="list-style-type: none"> ■ Responsibility for performance testing has been assigned to a person/team. ■ Performance testing was planned early in the project. ■ There are plans to conduct performance testing dry runs. ■ There is a process for actioning performance test failures. ■ Test cases and expected results were built to ensure performance test success. ■ Users are involved in performance testing. 	<ul style="list-style-type: none"> ■ Aspire performance risks: <ul style="list-style-type: none"> – Key interfaces will likely not be completed within a 24 hour window. – Agency data configuration—The system test team is concerned with the posting/adjustment of budgets within the Aspire application. <ul style="list-style-type: none"> ▪ A high degree of flexibility in application configuration has been accorded to the agencies. ▪ Certain agencies have set up their accounting trees up to five levels deep, which will place a large amount of strain on the application. – Agency Performance Expectations—The agencies expect sub-second screen refresh rates. <ul style="list-style-type: none"> ▪ The agencies will be fortunate to receive 10 second refresh rates in certain cases. ▪ There was no command and control structure during the requirements gathering phase; no one could communicate to the agencies the impact of their decisions, nor could the agencies be forced to adopt certain configuration restrictions. ■ Refresh rates are more of an inconvenience than a critical issue; the agencies will have to wait during budget checks for approximately five minutes. <ul style="list-style-type: none"> – Refresh Rate Mitigation—design a new tree, make it less complex. Low impact long-term. 	
Recommended Actions		Score
<ul style="list-style-type: none"> ■ Define the overall system performance testing strategy. ■ Define the roles and responsibilities for the development and execution of the performance test plan, as well as the success metrics that will be used to evaluate system performance during each phase of the deployment (Pilot, Phase I, Phase II...,) and associated SLAs the vendor(s) will have to meet. In addition, the State needs to define the issues resolution process that will be used to address issues that may surface as a result of system performance testing and post-implementation assessment activities. 		MEDIUM

Execute User Testing

Assessment Criteria	Findings/Observations
<ul style="list-style-type: none"> ■ There is a formal process of training and engaging business users to participate in the validation effort. ■ Prototyping has been implemented, so that users can validate the process interactively. ■ There is a process for resolving user concerns. ■ User groups or user committees have been established to inform the user base of the required changes early. 	<ul style="list-style-type: none"> ■ User testing is currently not a primary focus of the Aspire implementation project team. ■ User testing will be planned in more detail upon successful completion of the system test phase.
Recommended Actions	Score
<ul style="list-style-type: none"> ■ Recognize that it is not best practice to have no relevant implementation plan or precise resourcing plan to execute user acceptance testing during the course of an implementation. ■ Develop, communicate, and staff a user acceptance testing phase once decisions have been made on the following: <ul style="list-style-type: none"> – Funding, implementation timeline, team structure ■ Finalize the user testing team and make it accountable for the success of the user acceptance testing phase. ■ Communicate user acceptance plan to agencies and advise them of their responsibilities. 	<p>HIGH</p>

Execute

Data Conversion Execution

Assessment Criteria	Findings/Observations
<ul style="list-style-type: none"> ■ Appropriate conversion tools and technologies are being used. ■ The conversion process is completely automated (e.g., areas that can be automated, are automated). ■ Conversion tests are being systematically executed and verified. ■ There is a process to roll-back the conversion if there are problems. ■ The conversion for enterprise wide data is being well coordinated. 	<ul style="list-style-type: none"> ■ Planning efforts for data conversion is limited due to focus on System Test. ■ There appears to be no focused resource to ensure all elements of this upcoming activity are well defined and the required processes are in place. ■ There is no clear definition of the roles that project members and vendor(s) will play in data conversion planning, conversion routine development, execution and validation, as well as the timelines for when data will be provided to the vendor for conversion, and when and how converted data will be validated.
Recommended Actions	Score
<ul style="list-style-type: none"> ■ Define the roles, responsibilities and process in the project's data conversion activities including associated SLAs. Include the process the State will use to provide the parties with "mock conversion data," the process that will be used to validate converted data is accurate and complete, the process and time frame required to convert "production data" during the pilot, and phased deployment process, as well as how the State will approach any data synchronization issues during the phased deployment process and the vendor(s)'s role in that process and rectification of any data consistency issues. ■ Assign a specific project team resource to spearhead the conversion planning and execution process. 	<p>MEDIUM</p>

Execute

User Training

Assessment Criteria	Findings/Observations
<ul style="list-style-type: none"> ■ The training program has been set up early in the project. ■ Users have a facility to “test run” functionality in the system prior to go-live. ■ Procedural manuals have been created to give a step-by-step guide to staff. ■ A process to verify that users have adequate training in the new system—i.e., tests, questionnaires is in place. ■ A verification process to ensure that users follow the expected process upon go-live has been developed. ■ The training is focused on the “process,” instead of the software. ■ If it emerges that there is a lack of knowledge of a given field in the project, the project management responds adequately with education, training and the deployment of workers with specific knowledge, etc. 	<ul style="list-style-type: none"> ■ Training planning occurred earlier in the implementation but has not been revisited in a dedicated manner recently. ■ The testing team has indicated that a testing instance will be available after system test has been completed. ■ Development of procedural manuals and other testing materials have not been initiated as of March 2007. ■ A test will be provided at the end of each training class to verify the effectiveness of the training; agencies will be required to have an 80% pass rate. <ul style="list-style-type: none"> – Remedy—any training-related issues will be tracked using this tool. ■ Aspire team training—200K of PeopleSoft credit is available to provide ongoing training for the team. ■ Testing focus—testing will focus on both process and software; role-based training will be provided <ul style="list-style-type: none"> – If the role mapping is not performed appropriately, the team will be training people on functionality that they will not actually be doing. ■ Ongoing training—the testing team plans on developing computer-based training (CBT) courses. Ongoing training will be provided from time to time to address agency needs after the Aspire deployment has been completed. ■ Training resources have been asked to perform other tasks; the testing manager requires confirmation that they will be returned to the testing team upon completion of their other activities. ■ Training resource risk: <ul style="list-style-type: none"> – Knowledgeable and available resources—The past training contractor was VBA, a sub contractor of BearingPoint. The Aspire team members do not feel that the functional State staff, and agency SMEs, will be able to plan and execute training. <ul style="list-style-type: none"> ▪ The original training approach was that the State team was going to be working with BearingPoint, and BearingPoint would be the lead trainer ▪ The BearingPoint team would gradually transition training responsibility to the State team.
Recommended Actions	Score
<ul style="list-style-type: none"> ■ Review what other States and comparable organizations have developed in the way of training materials, plans and workshops, and leverage those lessons learned to the maximum extent possible in the development of the project’s training plans. ■ Recognize that the current implementation team is not staffed with the appropriate number of people, with the necessary skillsets, to effectively execute training for the Aspire application. ■ Partner with a SI to properly plan for all aspects (both project and agency) of the user training process ■ Upon securing full funding commitments by the State, and developing a realistic implementation plan with the appropriate number of skilled resources, make training a key focus of the project. ■ Proactively communicate the training plan to agencies. 	<p>HIGH</p>

Manage System Governance and Maintenance

Assessment Criteria	Findings/Observations
<ul style="list-style-type: none"> ■ A management resource has been identified to manage support issues post-go live. ■ The functional and technical documentation for the system are adequate (up-to-date and sufficiently accessible) for continued use. ■ The system/package is maintainable (e.g., with regard to structuring, application of standards, availability of test data, etc.). ■ There are no obstacles to using the system/package or to making modifications to it (such as restrictions imposed by the vendor, necessity of hiring system/package specialists, etc.). ■ There are concrete plans in place to ensure that ongoing costs are managed. ■ There is a formal process for finalizing the project budget, and handing off to operations. ■ There is a formal process for releasing project internal resources. ■ There is a formal process for closing vendor contracts. ■ There is a formal process for communicating to customers. ■ There is a project closeout process that rates performance of all parties. 	<ul style="list-style-type: none"> ■ Aspire application support is not currently a key focus of the Aspire project team (March 2007). ■ Gartner has been contracted to provide a recommendation for governing and maintaining the Aspire application.
Recommended Actions	Score
<ul style="list-style-type: none"> ■ Develop a system governance and application maintenance plan that address common support issues, including ERP competency center and position classifications <ul style="list-style-type: none"> – Recognize that it is not best practice to have no relevant system governance and maintenance plan, and that the State does not have an appropriate team in place to maintain the Aspire application. – Recognize that the system implementation phase has different goals from the system maintenance (enhancement) phase. ■ Understand the necessary funding levels for the support of the application and approve funding for the maintenance (enhancement) phase. 	<p>HIGH</p>

Manage Operational Support

Assessment Criteria	Findings/Observations	
<ul style="list-style-type: none"> ■ The support team has been identified once the system goes live. ■ Support covers helpdesk. ■ Support covers operations. ■ Support covers incident management and training. ■ Support covers change requests, and additional development. ■ Support resources have been provided early in the project. ■ A work stream has been incorporated to develop and test the support process. ■ A handover plan is in place. Are all parties involved are aware of it. ■ SLAs have been implemented for the support staff. 	<ul style="list-style-type: none"> ■ Aspire operational support is not currently a key focus of the Aspire project team (March 2007). ■ Gartner has been contracted to provide a recommendation for supporting and maintaining the Aspire application. 	
Recommended Actions	Score	
<ul style="list-style-type: none"> ■ Recognize that it is not best practice to have no relevant system maintenance plan, and that the State does not have an appropriate team in place to provide support for the Aspire application. ■ Recognize that the system implementation phase has different goals from the system maintenance (enhancement) phase. ■ Develop a system governance and application maintenance plan that address common support issues, including ERP competency center, SLAs, and position classifications. ■ Understand the necessary funding levels for the support of the application and approve funding for the maintenance (enhancement) phase. 	<p>HIGH</p>	

Manage Operations Resources

Assessment Criteria	Findings/Observations
<ul style="list-style-type: none"> ■ The resources are experienced in projects of this complexity and type. ■ Resources received significant training on the project. ■ Resources are experienced in the industry. ■ Resource dedication are clearly and appropriately defined. ■ Staff required for the project are available at all levels. ■ Staffing levels for the various parts of the project organization are in line with the characteristics of the project. ■ The degree of staff turnover is reasonably low in all the fields concerned. ■ All those involved in the project are sufficiently aware of the project objectives. ■ Formal and/or informal training exist to enhance the competencies of the project team/project resources. 	<ul style="list-style-type: none"> ■ Aspire project team members have indicated that an adequate number of qualified operational resources are not currently available to the Aspire team. ■ PeopleSoft technical and functional resources are in high demand within the State of Florida; it could be difficult to retain key resources using existing position classifications. ■ The Aspire project management team has not discussed the concept of, or planned for, an ERP competency center.
Recommended Actions	Score
<ul style="list-style-type: none"> ■ Recognize that it is not best practice to have no relevant system operational plan. ■ Address the fact that the State does not have an appropriate team (size and skill mix) in place to operate the Aspire application. ■ Develop a system operational plan, complete with necessary budget, that includes the appropriate number of support resources (internal and contracted). ■ Budget for the training of support resources. 	<p>HIGH</p>

Manage Operational Scope Management

Assessment Criteria	Findings/Observations	
<ul style="list-style-type: none"> ■ The scope of the project is clearly defined. ■ There is a process in place to ensure that the original scope is maintained unless there are objective reasons for amending it. ■ The scope and deliverables of the project have been communicated to the management team. ■ The management team understands the impact of changing specifications through the project. ■ There is an effective mechanism to implement new changes on the project. ■ There is effective sponsorship for the solution based on its scope. 	<ul style="list-style-type: none"> ■ No focus on operational scope management currently exists; current management focus stops at system test. ■ No governance structure or process has been identified that will allow the State to effectively: <ul style="list-style-type: none"> – Ensure that the original scope is maintained unless there are objective reasons for amending it. – Communicate the scope and deliverables of the to the management team. – Allow the management team to understand the impact of changing specifications – Implement new changes on the project. – Sponsor the solution based on its (updated) scope. 	
Recommended Actions		Score
<ul style="list-style-type: none"> ■ The process and criteria for scope changes needs to be developed, vetted with key stakeholders. 		HIGH

Manage Business Value Management

Assessment Criteria	Findings/Observations
<ul style="list-style-type: none"> ■ There are processes in place to measure business value of the solution post-go live. ■ Metrics are clearly defined. ■ There is a formal schedule of when the business value will be measured. ■ There are processes in place to respond if the value is not achieved. ■ There is a communication mechanism to ensure proper visibility. ■ At the end of each life cycle phase, key deliverables and project performance are reviewed to determine if the project should continue into its next phase, and to detect and correct errors cost effectively. 	<ul style="list-style-type: none"> ■ System success criteria have not been formally defined, vetted and approved by key stakeholders. No formal metrics for measuring business benefits have been established. For example: <ul style="list-style-type: none"> – Reduce the time it takes by X% – Reduce insufficient funds transactions by Y% – Reduce phone calls by taxpayers by Z%
Recommended Actions	Score
<ul style="list-style-type: none"> ■ Define approach to system post implementation performance validation and management. Items which need to be addressed include: <ul style="list-style-type: none"> – Identification of Critical Business Process Success Factors – Identification of Critical System Operational Success Factors – The process to be used to measure and validate whether the system has met the above success factors – The arbitration and issues resolution process to be used in the event of a disagreement between the vendor(s) and the State. – Any penalties or “payment hold backs.” 	<p>HIGH</p>

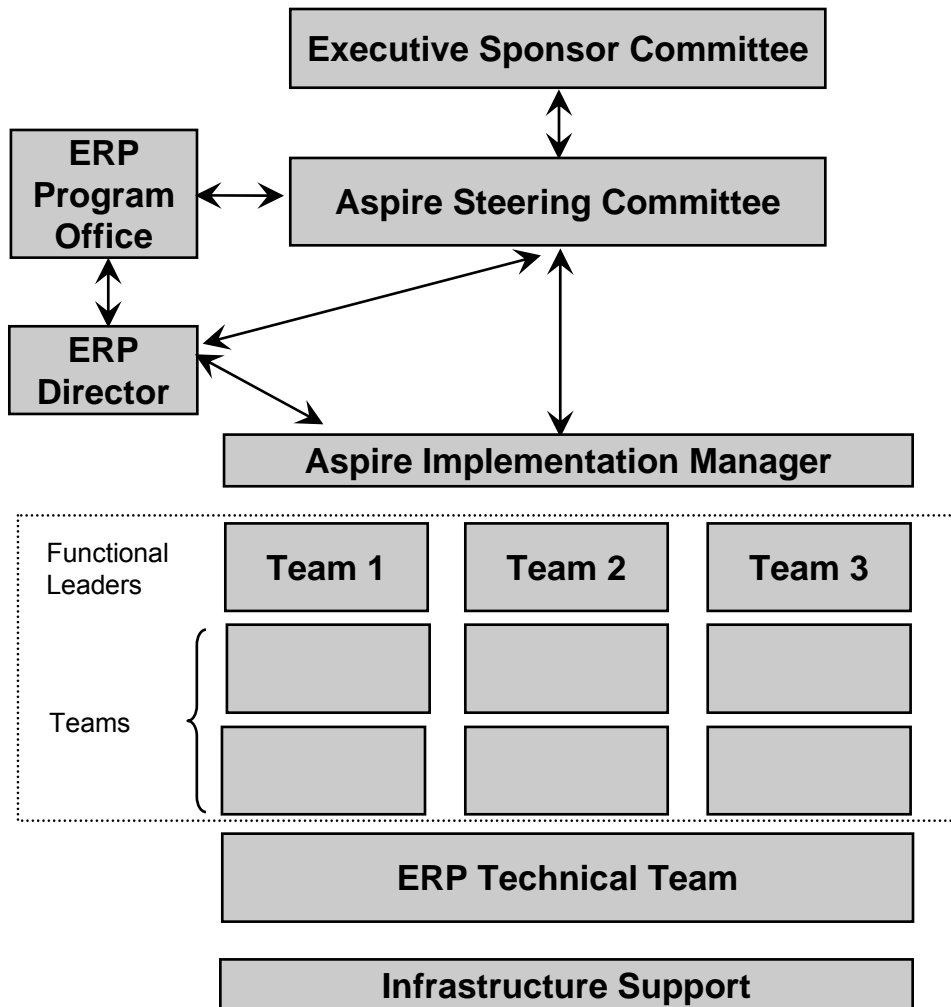
■ ■ ■ ■ Appendices

- **A: ERP Governance Structure and Processes**
- B: ERP Competency Center
- C: Training Strategy
- D: SI Selection

Appendices—Overview

- **The appendices A through D provide some sample documentation from Gartner Research and other Gartner Consulting case studies. This documentation is included to enable the State of Florida to formulate its thinking around the key topics of:**
 - ERP Governance;
 - ERP Competency Center;
 - ERP Training and learning strategies;
 - ERP SI Selection.

Generic PMO/ERP Governance Structure



- Executive sponsorship is critical (high-level executive sponsorship plus steering committee).
- Process owners must be identified and be accountable.
- Program office approach is advised (in addition to project management).
- The steering committee and process owners have leadership for managing significant changes in project scope, schedule, or resources, with support and analysis provided by the ERP program office.
- ERP Program Office role will change based on ERP Design strategy.

Governance Structure

Details	Description
Role	<p>Executive Sponsor</p> <p>The Project Sponsor is accountable for providing strategic direction and for delivering the benefits to the organization. This is an active role and includes ensuring that the project always makes sound business sense, involving all entities that benefit from the project's outcomes (via the use of an Executive Steering Committee), approving key deliverables and making decisions or recommendations at critical points in the project's life.</p> <p>The Project Sponsor is a senior management role. The individual must be able to articulate the benefits that the project will provide.</p>
Responsibility	To ensure the successful completion of the project on time, within budget, to the specified quality standard and in line with the defined business benefits.
Tasks	<ol style="list-style-type: none"> 1. Provide overall strategic guidance and direction to the project. 2. Promote associated project/s' benefits to the organization 3. Assist in the resolution of issues as required 4. By delegated authority of the Steering Committee, assist and advise the Project Manager on strategic issues that arise outside the formal business of the Steering Committee. 5. Review and sign-off relevant project documentation as required
Receive direction from	Stakeholders
Give direction to	Provide comments/recommendations to the Aspire Steering Committee
Appointed	CFO

Governance Structure (cont)

Details	Description
Role	<p>Aspire Steering Committee</p> <p>A Steering Committee is required for projects that span a number of functional boundaries and/or where the benefits are directed to more than one business segment or function.</p> <p>Steering Committees provide a forum for taking strategic, cross-functional decisions, removing obstacles to project success and for resolving issues.</p>
Responsibility	To provide overall direction and management of the project, holding full accountability for the success of the project on time, within budget, to the specified quality standard and in line with the business benefits defined within the Project Plan.
Tasks	<ol style="list-style-type: none"> 1. Agree and control the scope, budget and schedule of the project 2. Provide overall guidance and direction to the project 3. Promote associated project/s' benefits to the organization 4. Ensure the Project scope aligns with the requirements of the stakeholder groups 5. Monitor the project's progress and ensure the interests of QR are best met 6. Assist in the resolution of matters outside the Project Manager's authority 7. Authorize the start of each stage, recommend termination (if required) and perform both interim deliverable and final sign-off of the project 8. Review and sign-off relevant project documentation. 9. Facilitate allocation of resources as required 10. Provide reports on project progress to senior management as required
Receive direction from	Stakeholders
Give direction to	Project Manager, Project Director
Appointed	List names...

Governance Structure (cont)

Details	Description
Role	Aspire Steering Committee Chairperson The role of chairperson is to facilitate the effective management of the Executive Sponsorship Committee to ensure its collective responsibilities are met.
Responsibility	To ensure the successful completion of the project on time, within budget, to the specified quality standard and in line with the business benefits defined within the Project Plan.
Tasks	<ol style="list-style-type: none"> 1. As per Steering Committee role 2. Chair Steering Committee meetings 3. Introduce, monitor and control meeting protocols 4. Keep Steering Committee members focused on the key aspects of the project, related business outcomes and the role of the Steering Committee 5. Be able to describe the Steering Committee aims and project scope and progress throughout the life of the Steering Committee/project 6. Arbitrate in situations where there is a difference of opinion between members of the Steering Comm. 7. Act as final arbiter on important changes that significantly affect the business and/or technical interest. 8. Review and sign-off relevant project documentation on behalf of the Steering Committee 9. Brief Senior Management on all Project matters.
Receive direction from	Executive Sponsor Committee
Give direction to	Steering Committee members, Project Director, Project Manager
Appointed	Steering Committee Chairperson The role of chairperson is to facilitate the effective management of the Steering Committee to ensure its collective responsibilities are met.

Governance Structure (cont)

Details	Description
Role	<p>Project Director</p> <p>The Project Director provides the day-to-day guidance to the project manager on the process and approach to be applied in undertaking the project.</p> <p>The Project Director addresses all political and external influences, allowing the implementation manager to focus on the day to day project management activities.</p>
Responsibility	<p>To ensure the successful completion of the project on time, within budget, to the specified quality standard and in line with the business benefits defined within the Project Plan.</p>
Tasks	<p>Provide guidance to the project implementation manager in keeping with the wishes and directions of the project steering committee.</p>
Receive direction from	<p>Steering Committee/Chairperson, Project Sponsor</p>
Give direction to	<p>Project Implementation Manager</p>
Appointed	<p>...</p>

Governance Structure (cont)

Details	Description
Role	<p>Project Implementation Manager</p> <p>The Project Implementation Manager is accountable to the Project Steering Committee for the day-to-day management of the project, involving the project team across all necessary functions.</p>
Responsibility	<p>To ensure the successful completion of the project and deliverables on time, within budget, to the specified quality standard and in line with the objectives defined within this Project Plan.</p>
Tasks	<ol style="list-style-type: none"> 1. Develop and maintain the project plan 2. Define responsibilities, set objectives for, and motivate project team members 3. Manage and monitor project progress and resource usage and initiate corrective action where necessary 4. Manage risks including the development of any mitigation strategies and/or contingency plans 5. Take responsibility for change control and any required configuration management 6. Prepare full and accurate reports for the Steering Committee and other relevant stakeholders. 7. Facilitate the preparation of all relevant project documentation including the project closure report 8. Take responsibility for project administration 9. Prepare any follow-on action recommendations required 10. Manage in accordance with relevant legislation, policy and QR governance.
Receive direction from	<p>Project Steering Committee, Project Director</p>
Give direction to	<p>Project Team</p>
Appointed	<p>Insert ...</p>

Governance Structure (cont)

Details	Description
Role	Project Team—Team Member The members of the project team are accountable to the Project Manager for the day-to-day management of identified project phase tasks within their functional area.
Responsibility	To ensure the successful completion of the tasks and activities allocated to them on time, within budget, to the specified quality standard and in line with the objectives defined within the Master Project and Phase Project Plans.
Tasks	<ol style="list-style-type: none"> 1. Facilitate the preparation of all relevant project documentation 2. Report on progress and any deviations from the planned schedule to the project manager 3. Undertake reporting/logging inline with the project methodology 4. Support the project manager to ensure deliverables are in line with the project objectives and in line with the customer's quality requirements.
Receive direction from	Project Manager
Give direction to	N/A
Appointed	Project Team—Team Member The members of the project team are accountable to the Project Manager for the day-to-day management of identified project phase tasks within their functional area.

Governance Structure (cont)

Details	Description
Role	<p>Project Team—Business Representative</p> <p>The Business group representative is accountable to the Project Manager for the day-to-day management of identified project phase tasks within their functional area.</p>
Responsibility	<p>To ensure the successful completion of the respective project phase tasks on time, within budget, to the specified quality standard and in line with the objectives defined within the Master Project and Phase Project Plans.</p>
Tasks	<ol style="list-style-type: none"> 1. As per Project Team—Team Member role 2. To support the business objectives and needs throughout the course of the project 3. Provide a business face to the project team throughout the phases of the project. 4. To report to their agency stakeholder and communicate/confirm approval and denial of all outstanding project issues that impact the agency.
Receive direction from	Project Manager
Give direction to	N/A
Appointed	<p>Project Team—Business Representative</p> <p>The Business group representative is accountable to the Project Manager for the day-to-day management of identified project phase tasks within their functional area.</p>

■ ■ ■ ■ Appendices

- A: ERP Governance Structure and Processes
- **B: ERP Competency Center**
- C: Training Strategy
- D: SI Selection

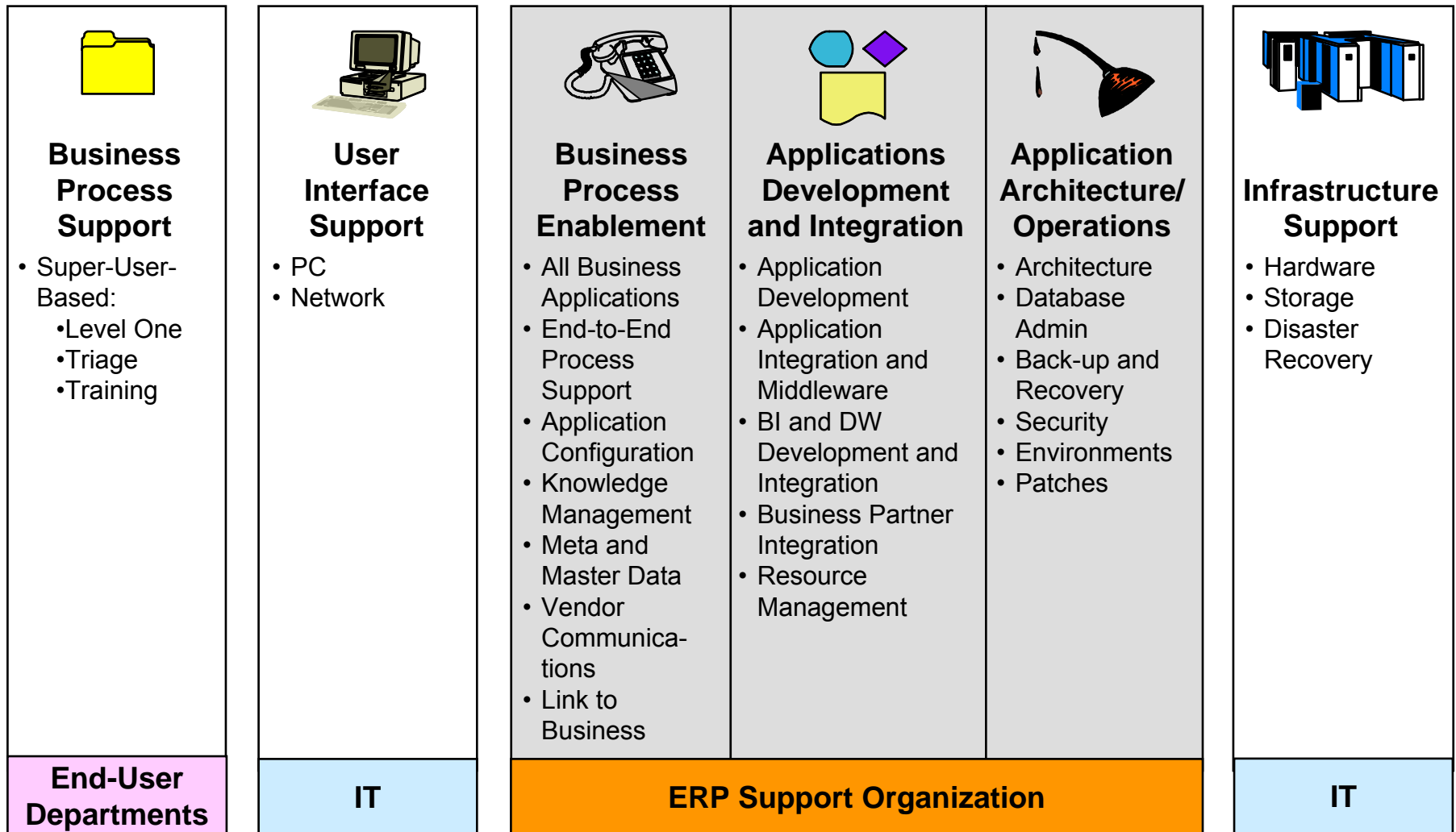
Proven Practices and Key Success Factors

- **Application Support Center (ASC) reports to IT with a dotted line to the business.**
 - Based on the data in Gartner's database, over 60% of ASCs report to IT while just over 5% report to the user community. The remainder of the sample set reports to a combination of IT and the users.
 - The ASC is a key component within the overall IT organization and plays a critical role in delivering IT services to the institution. Its integration within IT is critical. Using an IT reporting model contributes to make this integration a reality.
- **Successful organizations have a senior executive sponsor recognized by the business.**
- **Centralized (one ASC) or decentralized (multiple ASCs) model becomes irrelevant without the appropriate enterprise governance in place. Both models have been successful and have failed.**
 - Governance should have some form of representation from all organization. However, this does not mean that all user groups have a say, or are involved in, day-to-day operations and decisions.
 - It is all about roles, responsibilities, decision making process, enforcement, etc.
 - One centralized ASC enables easier and potentially better staff interaction and knowledge transfer. In large, international organizations, particularly those where the ASC staff is tied to individual entities, it makes sense to create a virtual organization.

Proven Practices and Key Success Factors (cont)

- **Do not retain unnecessary skills and capabilities outside of the ASC, especially within the business units.**
 - This will only increase the overall ERP TCO, defeat the overall purpose of an ASC, and create confusion within the entire organization.
- **Successful organizations have made their ASC a fun, career-rewarding place to work, highly praised throughout the business community.**
- **Large, complex, multi-division organizations start with a “proof of concept”:**
 - Start small, with the end in mind, and with a scalable approach.
 - Especially if the deployment of an ASC could be impacted by other enterprise-wide initiatives such as an ERP harmonization/consolidation program.
 - Don’t create an “Ivory Tower”
- **Set up formal, measurable Service-Level Agreements (SLAs).**
 - Manage the relationship between the ASC and the institution as a customer/supplier business model.
- **Implement a clear, fair and well-understood funding/charge back model.**

Typical Scope of an ERP Support Organization



Transition to an ERP Competency Center (CC) as a Best-Practices Support Organization

IT Process Optimization

- Support procedures
- SLA management and monitoring
- Application and systems management
- Configuration management
- Release management
- Portfolio management
- Resource (Supply) management
- Vendor management and influence

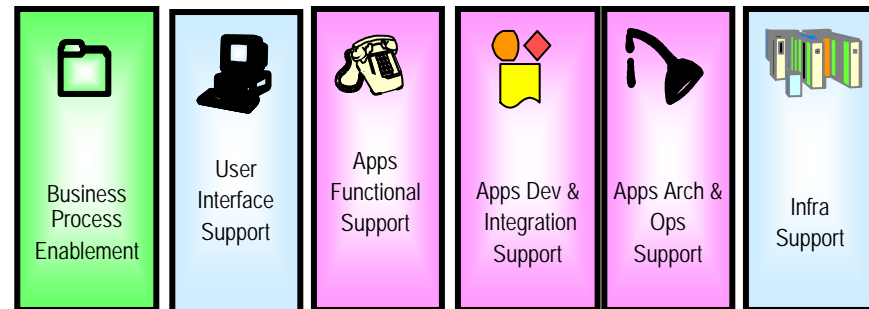
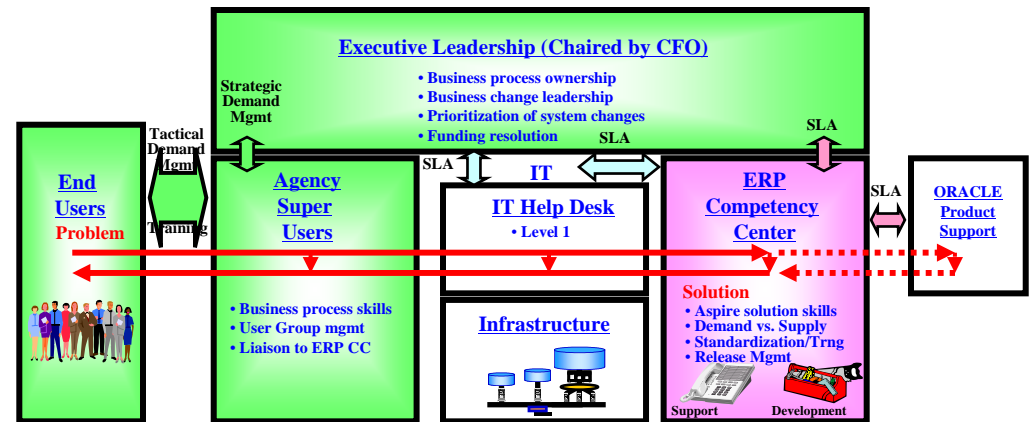
Business Process Optimization

- Demand management and prioritization
- Solution standardization
- Information management
- Integration and workflow
- Best-practice knowledge management

ERP Environment Optimization

- Infrastructure optimization
- Architecture standards and rationalization
- Master data management
- Instance strategy
- Upgrade management
- Security management
- Disaster Recovery/Business Continuity Planning

ERP Competency Center (CC)



How an ERP Support Organization Serves Users

■ Business Management Ownership

- Middle and senior management who own the business processes and are responsible for improving revenue, cost and regulatory performance against targeted outcomes.
 - Process improvement, some of which could have implications on how the CC supported solution is configured or enhanced
 - Ensuring that proposed changes are coordinated across all impacted departments
 - Employee development
 - Merger, acquisition and partnering
 - Organization change management
 - Prioritization and funding of investments, some of which could have IT components and implications

■ Business Super-Users

- Typically, these personnel work for middle management and are either assigned directly to the ERP implementation at the outset or are brought in to fulfill key testing or training roles.
- Usually these personnel go back to the business after the implementation and act as the coordinator of post-production enhancement requests and internal user group forums for their geography or business process area(s).

■ End Users

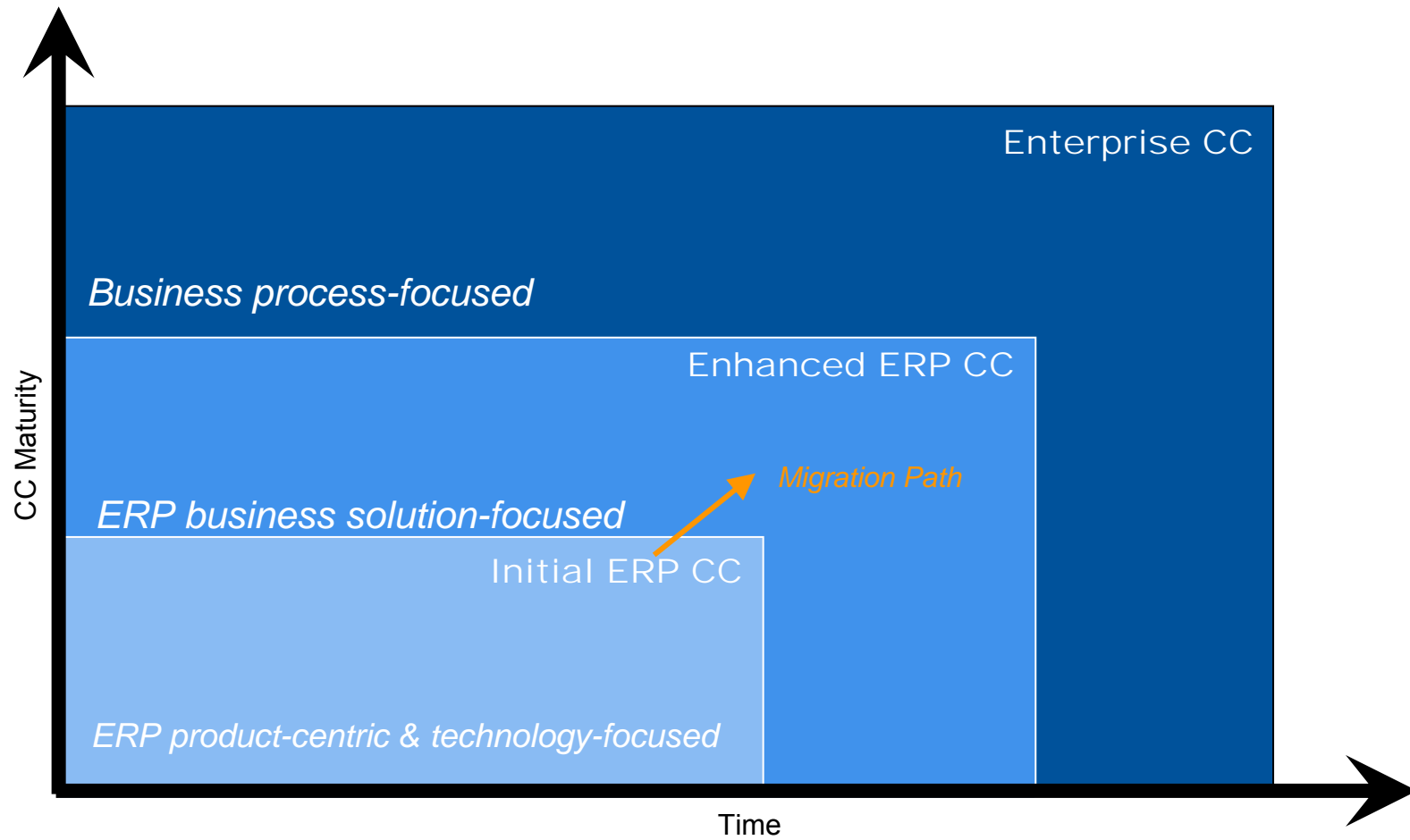
- May be part of the project team, but are typically involved with some focused testing and training prior to site go-live.
- Usually the source (along with Super-Users) of enhancement and bug/fix requests—some of which are resolved by the Super-Users; some of which are formalized into problem tickets and sent through the problem resolution process.

■ IT Help Desk and Infrastructure Support

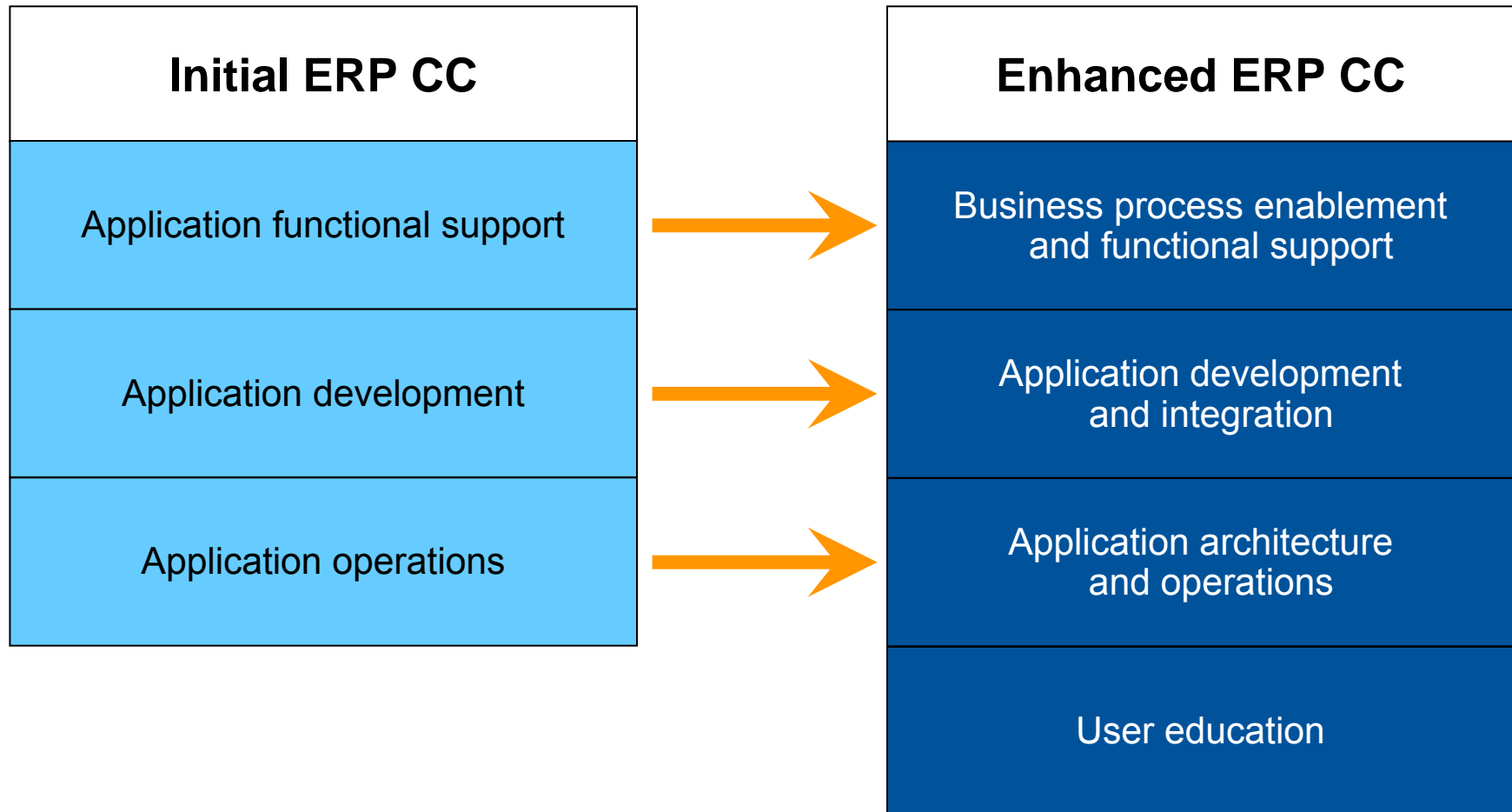
- Existing IT support and management personnel supporting applications and infrastructure that are independent of the solutions supported by the CC (e.g., MS Office, engineering or plant applications, etc.)
- Typically provides platform and related infrastructure services that are used by CC solution end users. May need to synchronize, integrate, or upgrade their platforms/architecture to support the CC solution.

Competency Center Evolution Path

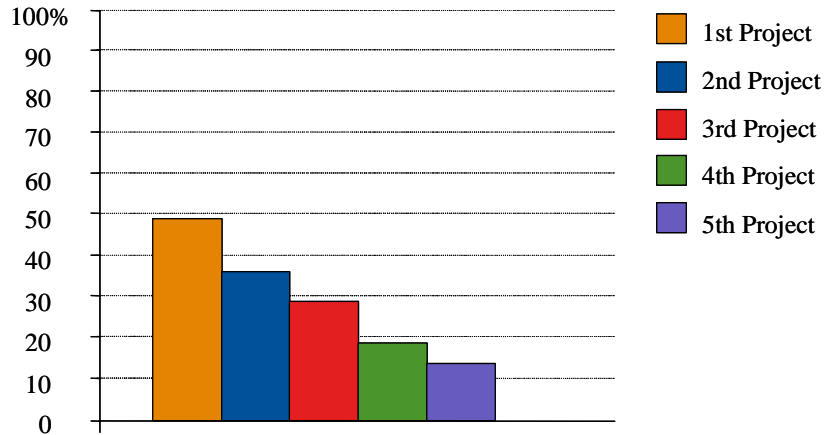
- The State of Florida should evolve from its current product and technology focus to one that provides business solutions in support of agency business processes.



Competency Center Evolution Path



The Value of an ERP Competency Center



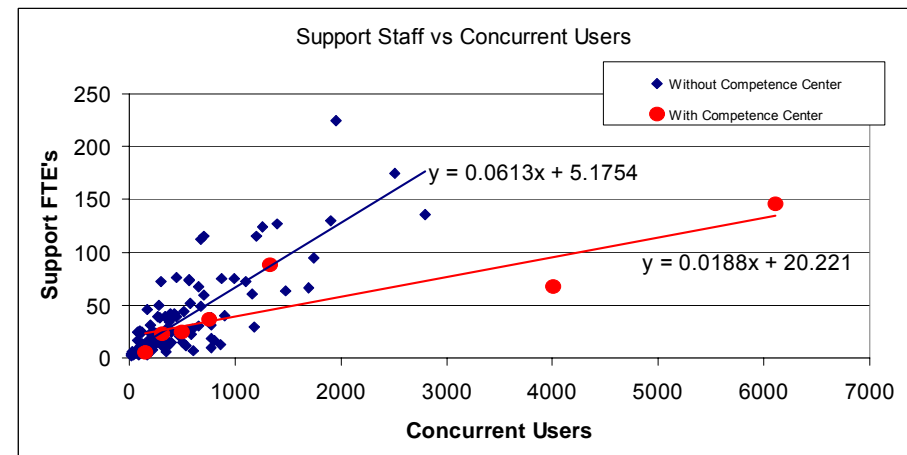
Source: Gartner Research 2002

- Companies with ERP CCs have shown dramatic decreases in external consulting costs as a % of overall project costs.
- Those without ERP CCs continue to run in the 40-50% range.
- A project could be an upgrade, an implementation of a new module, a need to create a new instance to handle an acquired business, etc.

- Companies with ERP CCs have the ability to support many more concurrent users per support full-time equivalent (FTE)
- This difference is even more significant as the number of users grows.

Without ERP CC
 500 users—36 FTEs
 1000 users—66 FTEs
 2000 users—128 FTEs
 3000 users—189 FTEs

With ERP CC
 500 users—30 FTEs
 1000 users—39 FTEs
 2000 users—58 FTEs
 3000 users—77 FTEs



Source: Gartner Research 2002

ERP Competency Center Critical Success Factors

Focus on People and Process

- **ERP Competency Center Critical Success Factors**
- **A strong team with the right skillset**
 - Balance between business process knowledge, technical knowledge and business interaction
 - Must understand and speak with the agencies in their own language
- **People retention**
- **Human capital development plan**
- **Clear governance**
- **Strong process orientation**
- **Market the vision and mission of the ERP CC**
- **Ability to demonstrate credibility and deliver value**
 - A service mentality
 - Gain stakeholder trust and support

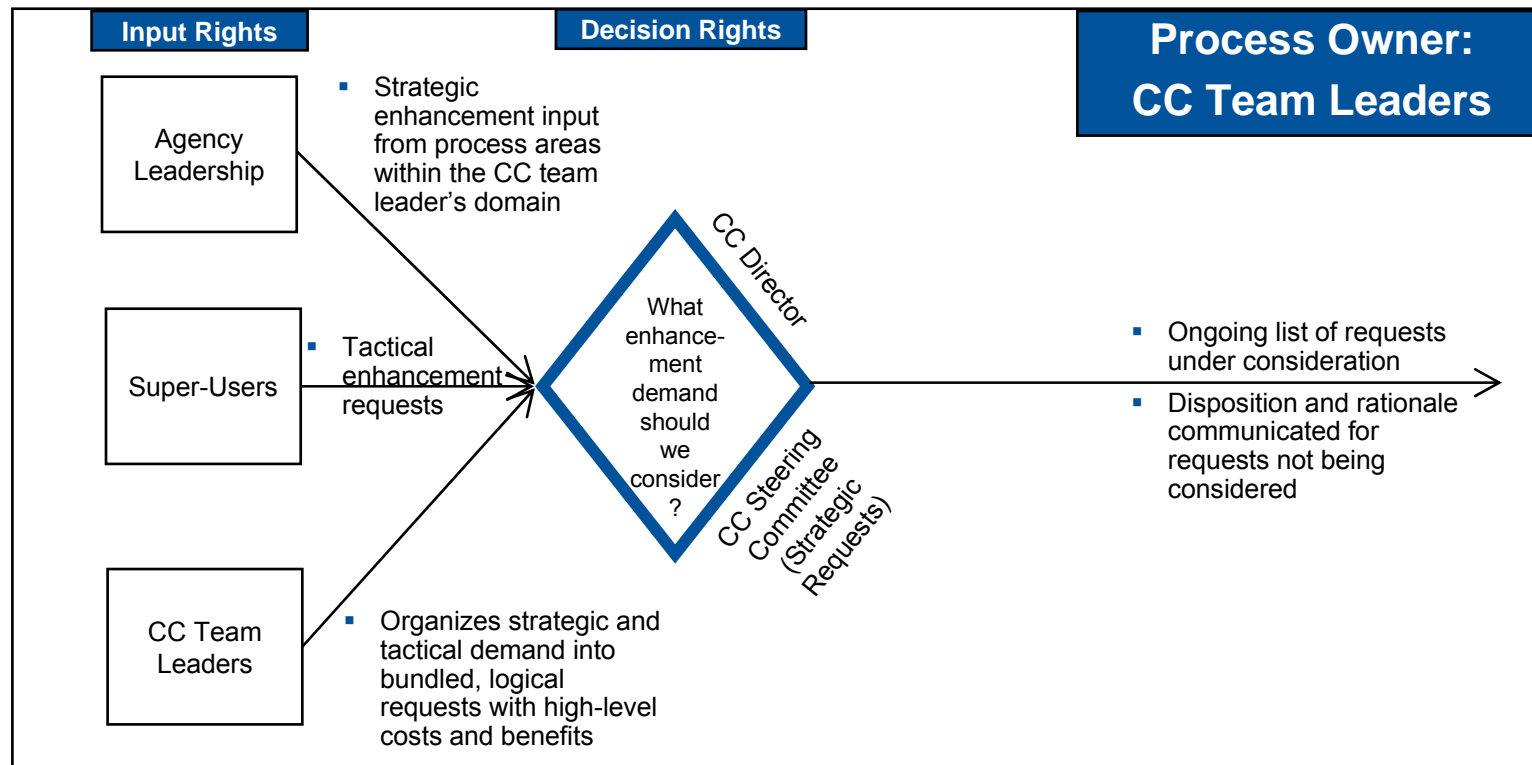
Building Governance Between the ERP CC and Key Stakeholders

ERP CC Governance Process	Input Rights	Decision Rights	Governance Process Owner
Demand Management—determining which tactical and strategic enhancements to consider.	<ul style="list-style-type: none"> ■ Agency Leadership ■ Super-Users ■ CC Team Leaders 	<ul style="list-style-type: none"> ■ CC Steering Comm. ■ CC Director 	<ul style="list-style-type: none"> ■ CC Team Leaders
Prioritization—determining the priorities of the demand under consideration.	<ul style="list-style-type: none"> ■ Agency Leadership ■ Super-Users ■ CC Team Leaders 	<ul style="list-style-type: none"> ■ CC Steering Comm. ■ CC Director 	<ul style="list-style-type: none"> ■ CC Director
Supply Management—determining how to hire, retain and allocate CC resources to meet prioritized demand.	<ul style="list-style-type: none"> ■ CC Director ■ CC Team Leaders ■ DFS 	<ul style="list-style-type: none"> ■ CC Director ■ CC Team Leaders 	<ul style="list-style-type: none"> ■ CC Team Leaders
Service Level Monitoring and Measurement—determining services, SLAs and monitoring/measurement processes.	<ul style="list-style-type: none"> ■ Agency Leadership ■ Super-Users ■ CC Team Leaders ■ IT 	<ul style="list-style-type: none"> ■ CC Steering Comm. ■ CC Director 	<ul style="list-style-type: none"> ■ CC PMO
Portfolio Management—determining the risk and value of application and project inventories and investments to drive funding decisions.	<ul style="list-style-type: none"> ■ Super-Users ■ CC Team Leaders 	<ul style="list-style-type: none"> ■ Agency Leadership ■ CC Director 	<ul style="list-style-type: none"> ■ CC PMO
Funding—determining how to allocate ongoing and investment dollars within budget constraints.	<ul style="list-style-type: none"> ■ Agency Leadership ■ CC Team Leaders 	<ul style="list-style-type: none"> ■ CC Steering Comm. ■ CC Director 	<ul style="list-style-type: none"> ■ CC PMO
Vendor Management—determining how and when to engage product and service vendors in the best interests of the State.	<ul style="list-style-type: none"> ■ CC Director ■ CC Team Leaders ■ Super-Users 	<ul style="list-style-type: none"> ■ CC Director ■ CC Team Leaders 	<ul style="list-style-type: none"> ■ CC Director
Knowledge Management—capturing and making accessible key internal and external knowledge objects regarding the ERP solution and its optimal use and evolution.	<ul style="list-style-type: none"> ■ Super-Users ■ CC Team Leaders ■ CC Director 	<ul style="list-style-type: none"> ■ Super-Users ■ CC Team Leaders 	<ul style="list-style-type: none"> ■ CC Team Leaders
Release Management—determining how and when to release solution enhancements to benefit the State	<ul style="list-style-type: none"> ■ Super-Users ■ CC Team Leaders ■ CC Director ■ Oracle ■ IT 	<ul style="list-style-type: none"> ■ CC Team Leaders ■ CC Director 	<ul style="list-style-type: none"> ■ CC Director
Communications Management—determining how and when to communicate status, plans and events regarding the ERP solution to manage expectations and enable optimal usage.	<ul style="list-style-type: none"> ■ CC Director ■ CC Team Leaders 	<ul style="list-style-type: none"> ■ CC PMO ■ CC Director 	<ul style="list-style-type: none"> ■ CC PMO

Aspire Assessment—Detailed Recommendation

Building Governance Between the ERP CC and Key Stakeholders

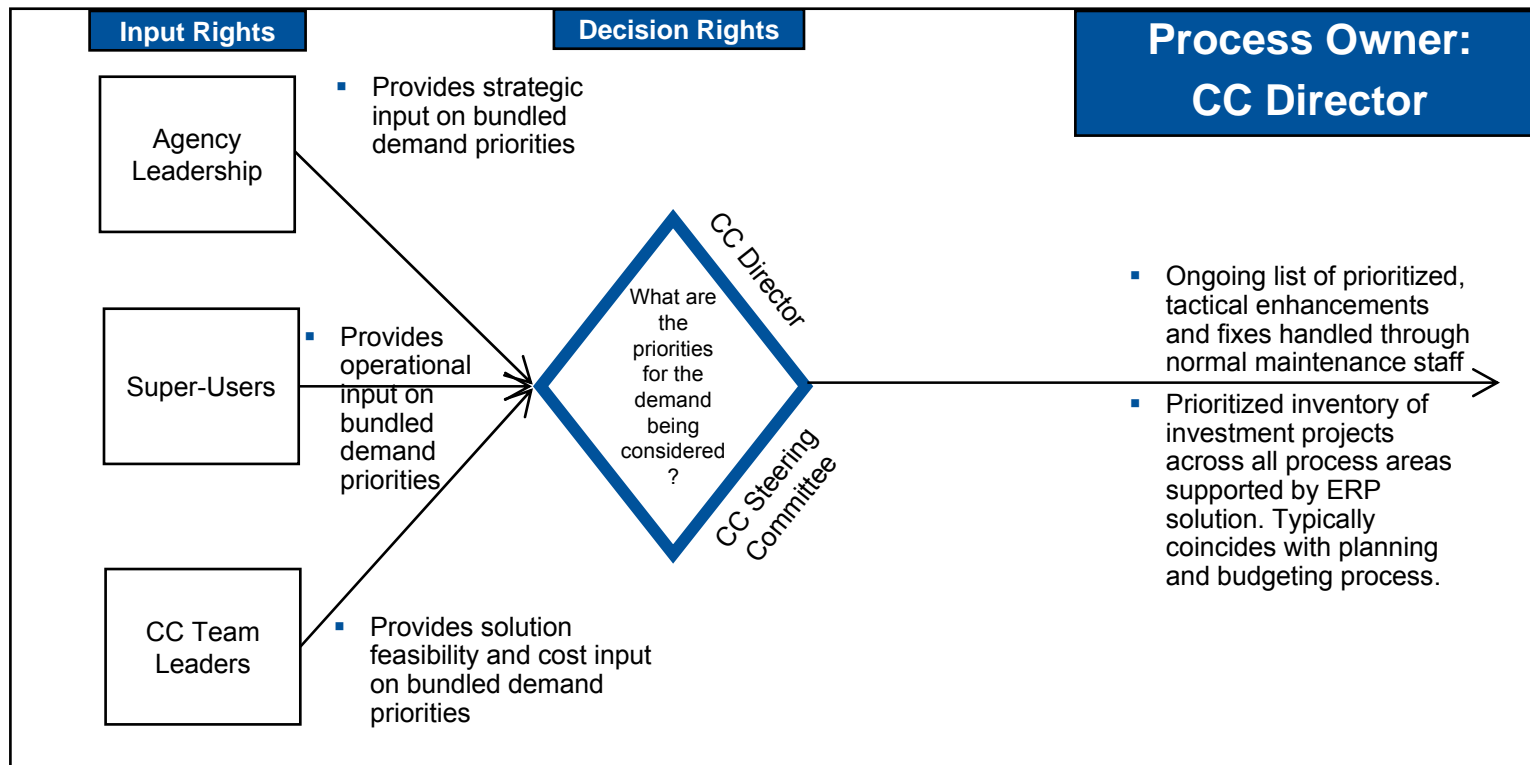
■ Implement Demand Management governance process



Aspire Assessment—Detailed Recommendation (cont)

Building Governance Between the ERP CC and Key Stakeholders

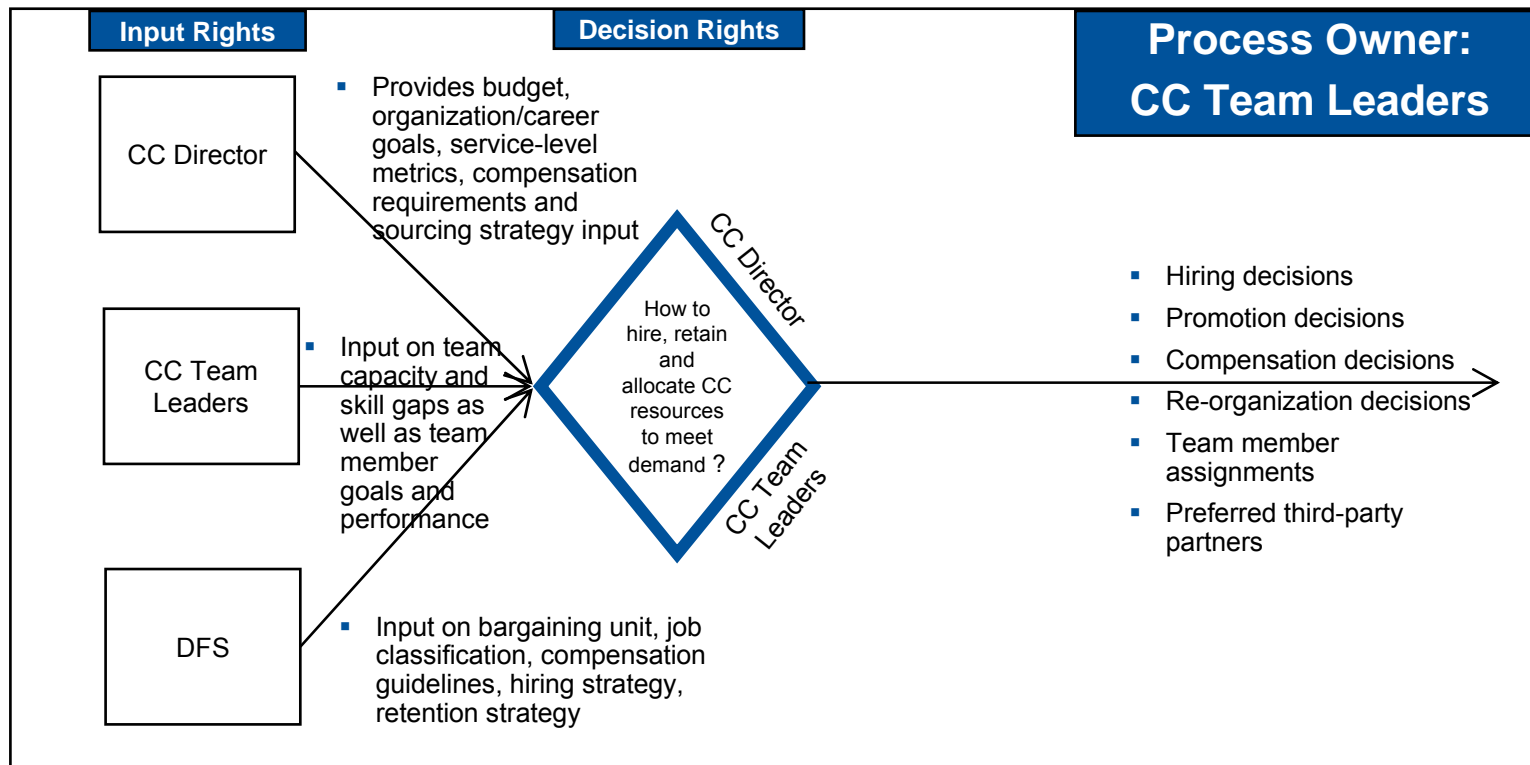
■ Implement Prioritization governance process



Aspire Assessment—Detailed Recommendation (cont)

Building Governance Between the ERP CC and Key Stakeholders

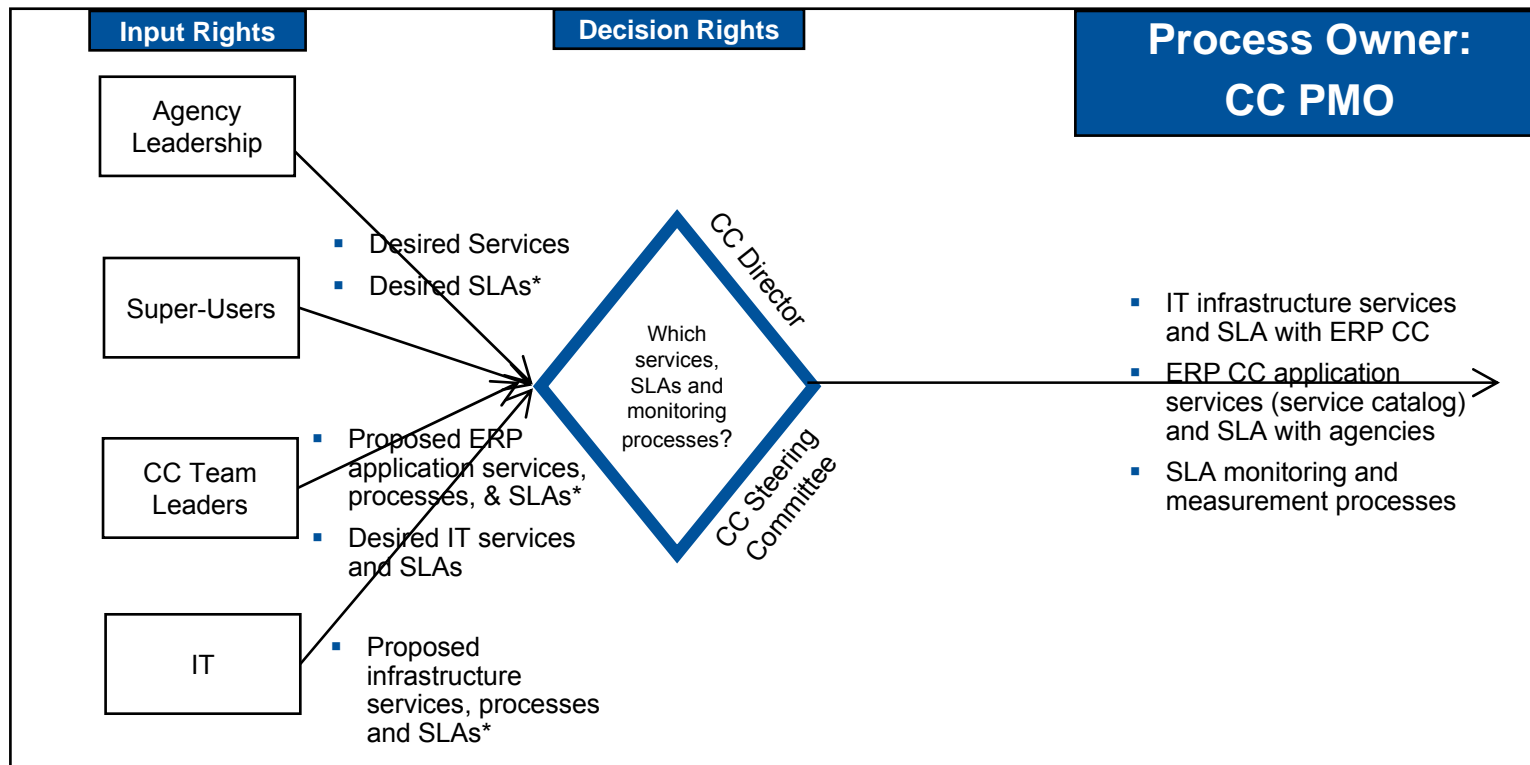
■ Implement Supply Management governance process



Aspire Assessment—Detailed Recommendation (cont)

Building Governance Between the ERP CC and Key Stakeholders

■ Implement Service Level Monitoring and Metrics governance process

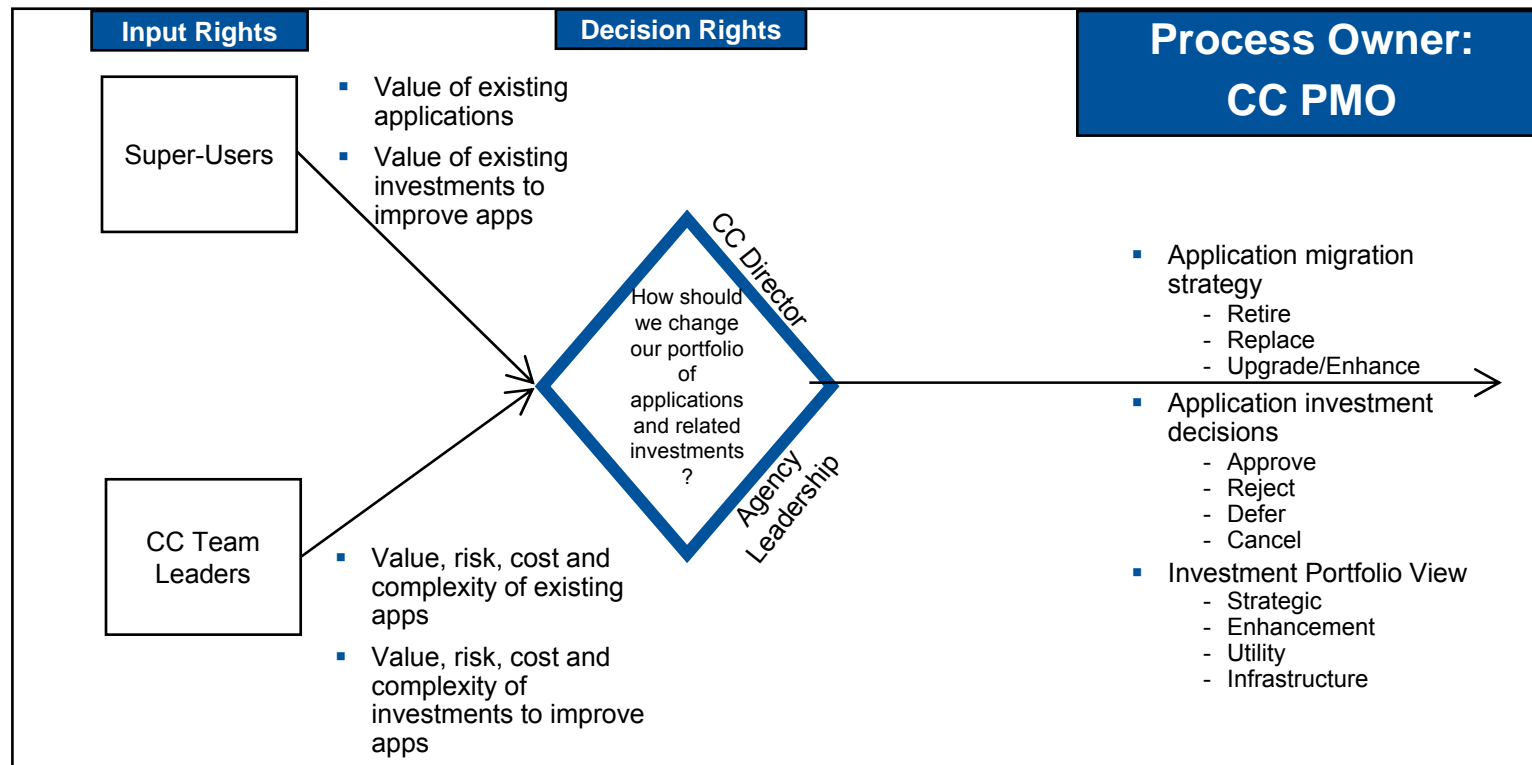


* SLA = Service-Level Agreement

Aspire Assessment—Detailed Recommendation (cont)

Building Governance Between the ERP CC and Key Stakeholders

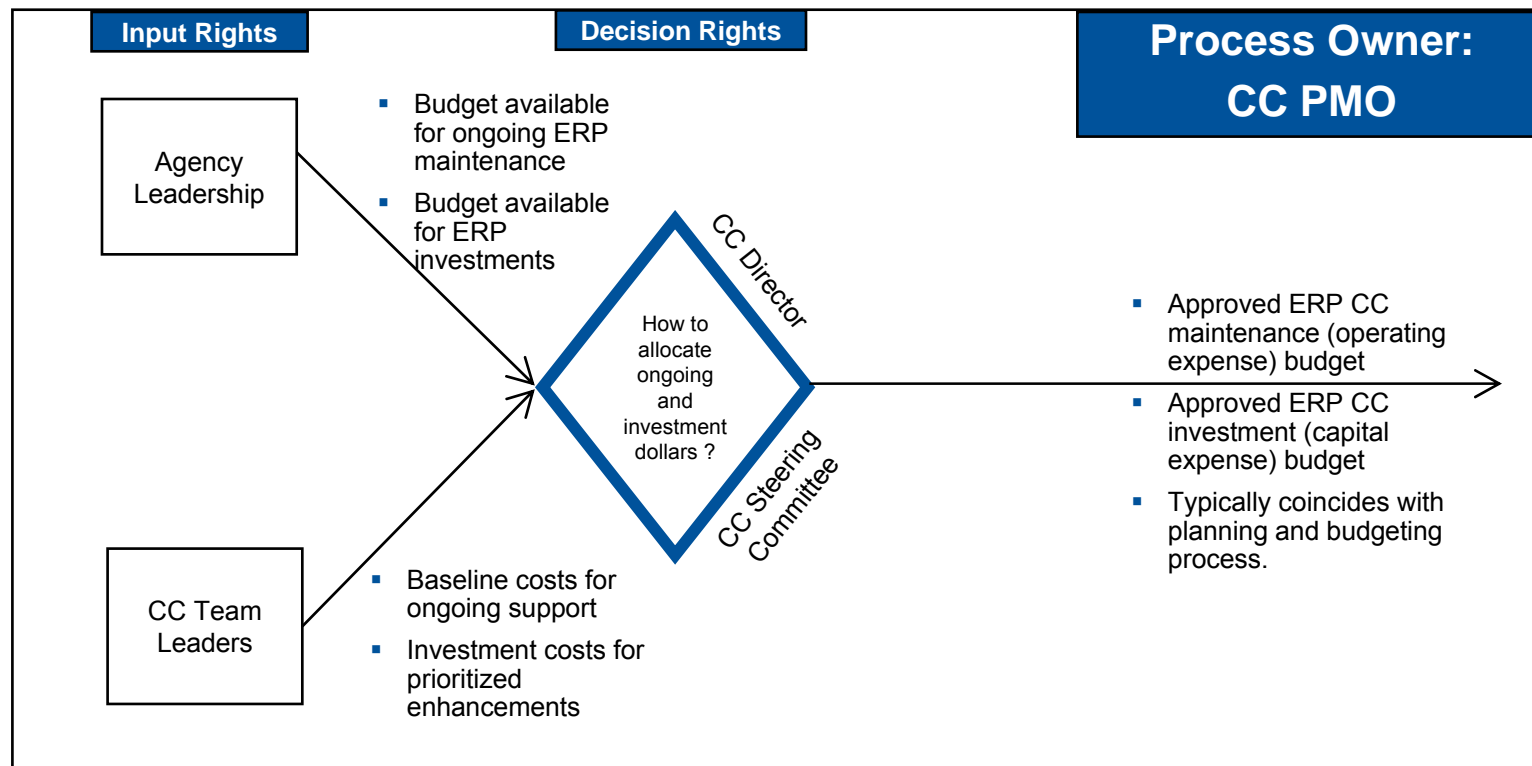
■ Implement Portfolio Management governance process



Aspire Assessment—Detailed Recommendation (cont)

Building Governance Between the ERP CC and Key Stakeholders

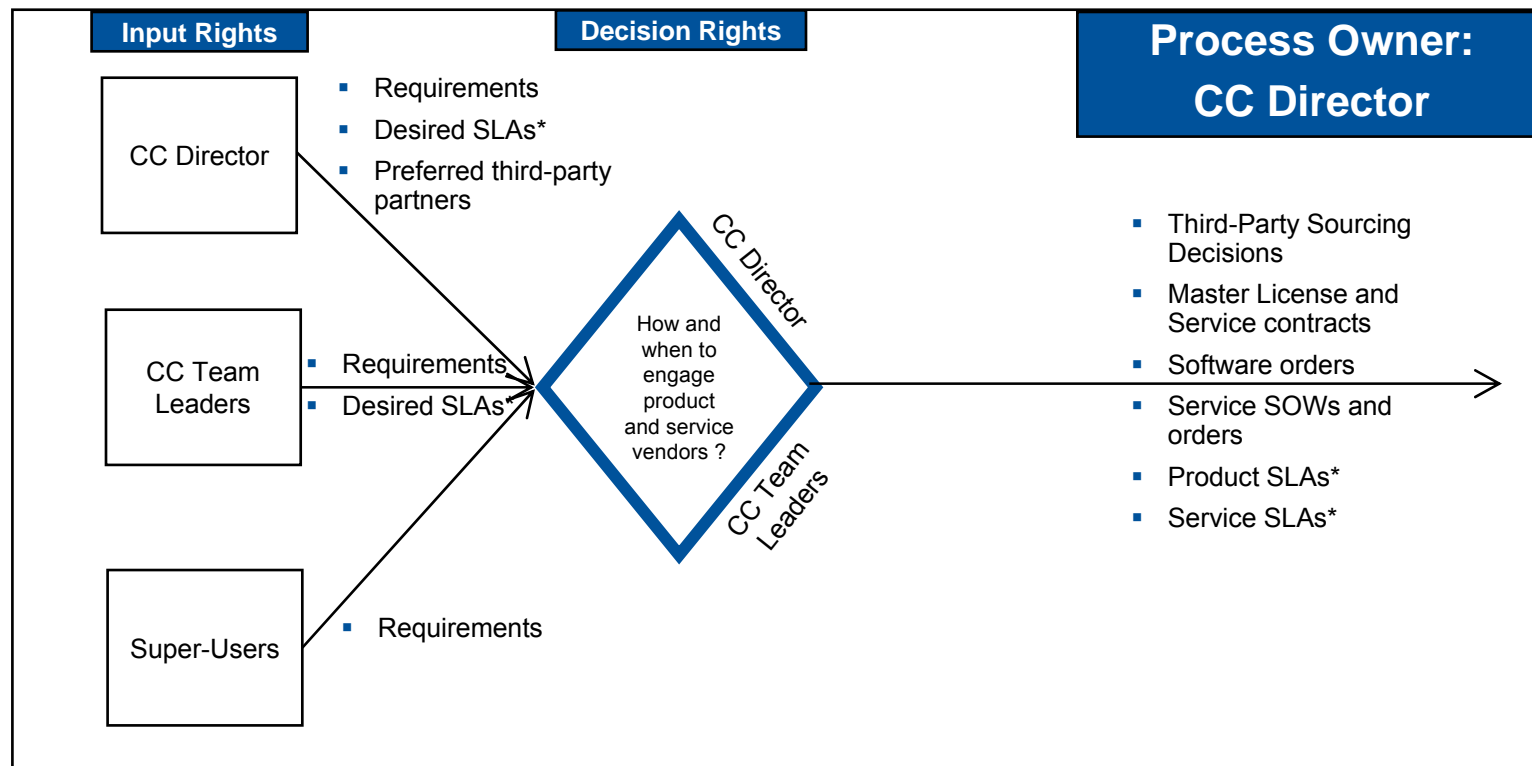
■ Implement Funding governance process



Aspire Assessment—Detailed Recommendation (cont)

Building Governance Between the ERP CC and Key Stakeholders

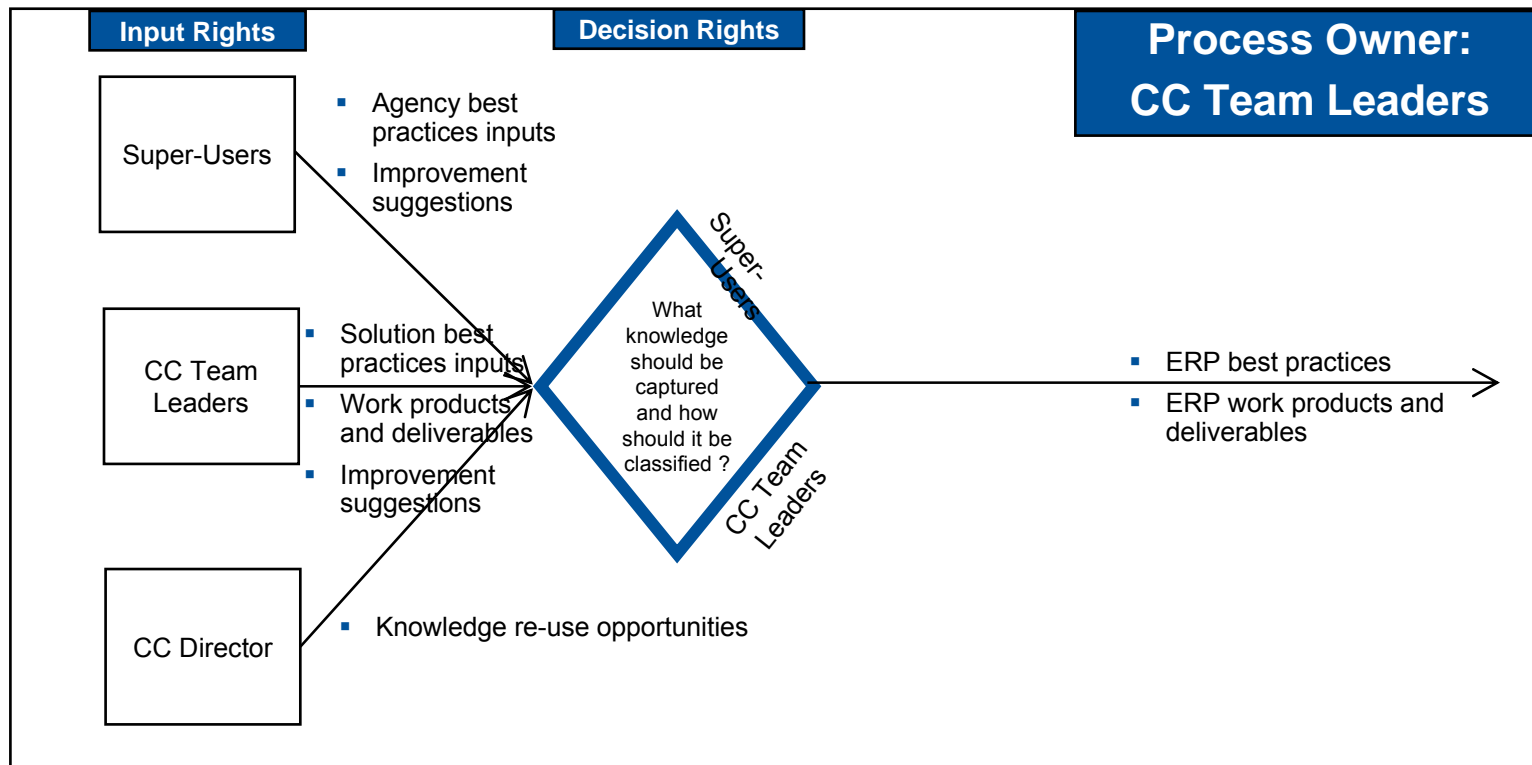
■ Implement Vendor Management governance process



Aspire Assessment—Detailed Recommendation (cont)

Building Governance Between the ERP CC and Key Stakeholders

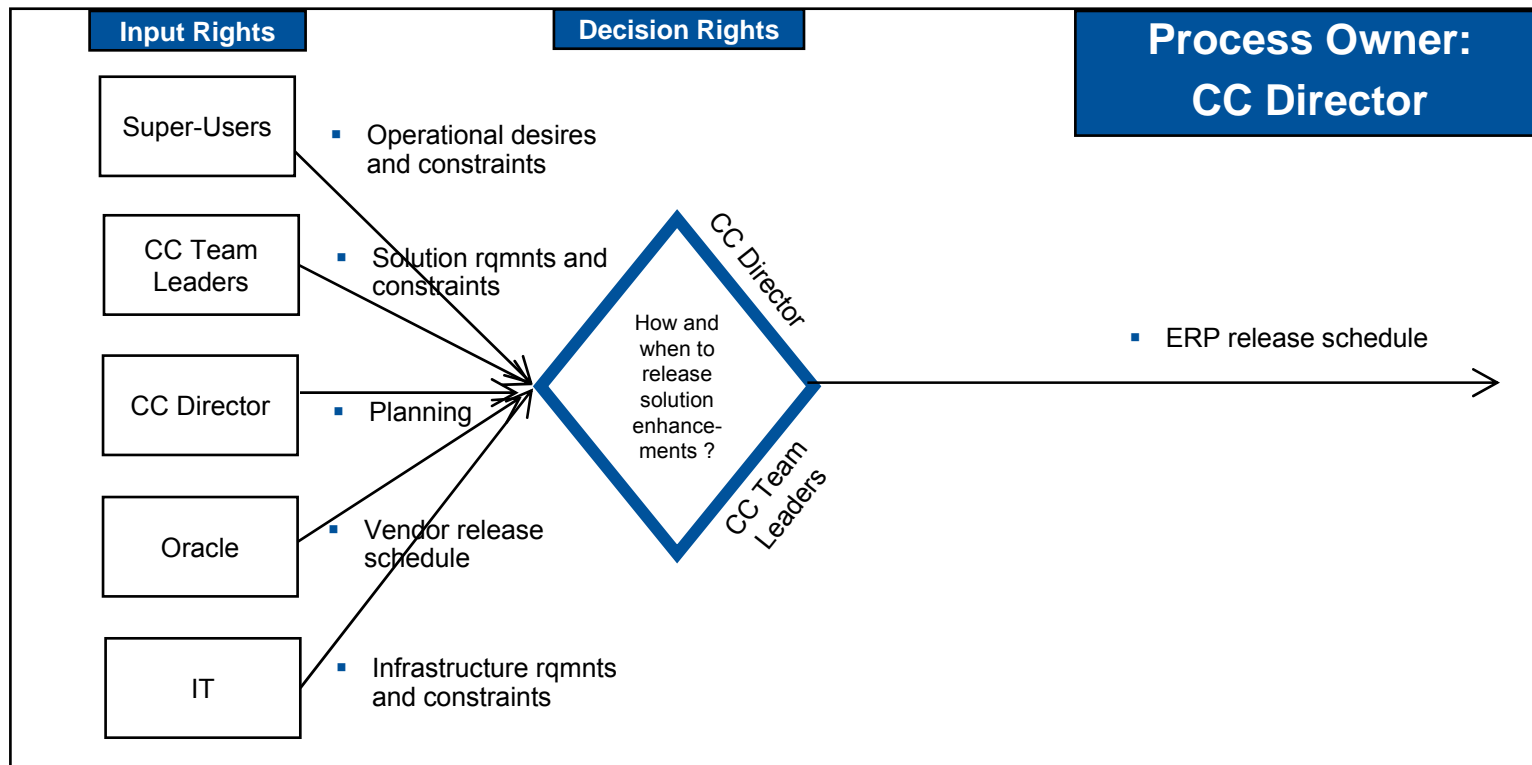
- Implement Knowledge Management governance process



Aspire Assessment—Detailed Recommendation (cont)

Building Governance Between the ERP CC and Key Stakeholders

■ Implement Release Management governance process

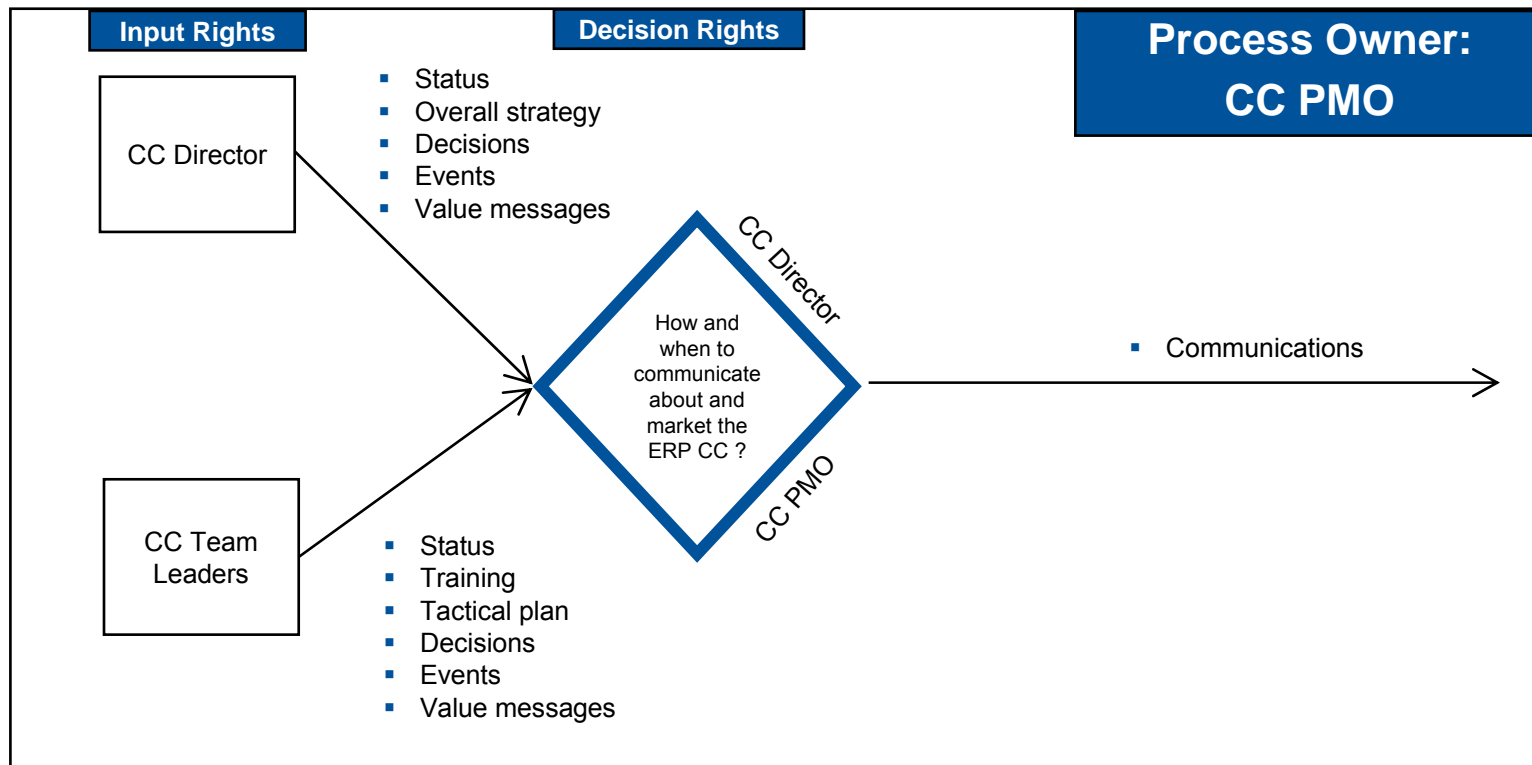


* SLA = Service-Level Agreement

Aspire Assessment—Detailed Recommendation (cont)

Building Governance Between the ERP CC and Key Stakeholders

- Implement Communications Management governance process



Aspire Assessment—Detailed Recommendation

Leading the ERP Competency Center

■ **Selecting the ideal ERP CC Director**

- Strong interpersonal skills for communication and presentation
- A track record of managing across organizational structures
- Experience in managing diverse skillsets
- The ability to overcome barriers and handle internal politics
- Proven leadership ability
- Strong planning skills

Aspire Assessment—Detailed Recommendation

The ERP CC needs to leverage a key business stakeholder—the Super-User

■ Super-User Responsibilities

- Act as first point of contact for end-users within respective agency departments
- Act as experts and departmental trainer in relation to agency (master) data, business ways of working and departmental use of Aspire solution
- Communicate with users on “best practices” for use of Aspire solution
- Raise functional incident reports as “authorized caller” and serve as contact person for related follow-up, particularly in relation to emergencies (“Severity 1” problems)
- Specify user requirements for application changes, as well as participate in design, testing and implementation of such changes
- Raise, evaluate and participate in the implementation of proposals on organizational and process changes
- Act, when required and requested, as member of the local governance board in representation of the corresponding agency/department and perform other duties as locally agreed

■ ■ ■ ■ Appendix C

- A: ERP Governance Structure and Processes
- B: ERP Competency Center
- **C: Training Strategy**
- D: SI Selection

Create a New Training Strategy

■ General Industry Observations and Key Success Factors

- Training budgets are typically grossly underestimated. They usually contain some form of “train the trainer” effort; this type of training can fail if poor trainers are selected.
- Poorly trained users prevent the acceptance of ERP within the user community, and limit the realization of full benefits.
- Many organizations perform only one round of training and overlook the need for ongoing training.
- Organizations often overlook the formal software vendor IT workforce training needs associated with ERP implementations.
- After an ERP implementation, almost all organizations state that, during future implementations, they would: increase employee participation earlier in the implementation process; make greater investments in end-user training programs; and, focus more on change management.
- Ongoing communication has enhanced training and change management initiatives through such mechanisms as: project Web sites; newsletters and “road shows” regarding the project's direction; changes; progress; accomplishments; and, benefits

Create a New Training Strategy (cont)

■ Key Success Factors

- Aspire training must be a strategic focus that will enable all end users; focus on high-quality, and relevant, end-user training.
- Education and training programs must embrace multiple methods and delivery vehicles to meet the needs of the user community:
 - One-on-one training
 - Classroom training
 - Computer-based training
 - Learning management systems (LMS)

Create a New Training Strategy (cont)

■ Key Success Factors (cont)

- Training should become a strategic, and fully staffed, component of the Aspire deployment program.
- Re-assess the entire training effort; create a new training strategy, leveraging any/all existing training material where appropriate.
- Assign a training owner within the project team who will be fully dedicated and accountable for:
 - Coordinating all training stakeholders
 - Gathering all existing key training gaps
 - Developing a training strategy
 - Managing the delivery of Aspire training
 - Developing a communication strategy that educates and informs users, and keeps them up to date on the most recent training and best-practice developments.
 - Monitoring and measuring the success of the training program
- Leverage increasingly sophisticated training tools and processes over the long term in order to evolve the future Aspire training program.

Create a New Training Strategy (cont)

■ Key Success Factors (cont)

- Identify super-users who have a good understanding of both the State's business processes, and the Aspire application, along with the required skills to effectively deliver training.
 - An effective super-user community can act as a Level 1 source of assistance, especially in the areas of training.
 - Super-users can have positive impacts by keeping help desk costs down; can prevent training calls from ever entering the problem ticket process.
- Once the Aspire application is live, redeploy focused refresher training to all Aspire users on an ongoing basis.
- Training should be evaluated through user feedback to determine its effectiveness, courses can be improved.

Create a New Training Strategy (cont)

■ Define Learning Vision and Obtain Leadership Buy-In

- Training has not been a strategic focus for the Aspire leadership team, and adequate staffing has not been dedicated, given the current focus on system test. The Aspire leadership team should define a training vision and high-level goals, and identify qualified personnel to execute the vision.
 - State leadership should understand the value of defining a learning vision, and should ‘buy-in’ to the concept publicly.
 - A critical aspect of implementing a learning vision is establishing a plan for staff development.
 - The training team leaders should be empowered to liaise with central and line agencies, IT professionals, and should have the visibility and/or influence to lobby for training budget, communicating needs, and identifying opportunities for continuous improvement.
 - Career development—training must become a strategic investment in order to incent State employees

Create a New Training Strategy (cont)

■ Consider State Objectives when Planning Training Strategy

- Increased State effectiveness—recognize State requests for effective, efficient training so as to enable the agencies to perform their mission critical functions successfully; staff and fund training appropriately.
- Increase service delivery to State stakeholders—training should be the foundation for Aspire users to perform critical state functionality as effectively and efficiently as possible.
- Robust training can address the following in a positive manner:
 - poor service delivery
 - low State end user morale
 - the increased costs stemming from data reconciliation that results from improper data entry; employees cannot learn "on the fly" when utilizing a complex application while performing time sensitive responsibilities.
- Career development—training must become a strategic investment in order to incent State employees

Create a New Training Strategy (cont)

■ Perform Updated Audience Analysis

- Conduct audience analysis/skills assessment.
 - In order to effectively bridge the user knowledge gap that will likely be materialize after the deployment of the Aspire application, the current skill level of the audience must be assessed.
 - Understand the types of users, grouped by business function and level of Aspire involvement, in order to determine the breakdown of processes and functions per user group.
- Recognize the magnitude of business process change stemming from the Aspire effort, in order to understand high-level training requirements.
- Understanding the training audience is a cornerstone of successful training delivery.

Create a New Training Strategy (cont)

■ Develop Instructional Training Strategy

- Assess results of audience analysis—Understand application skill gaps across the different categories of end users to identify how many users require basic training, advanced training, etc. Assessing these results also drives the content and format of the training materials.
- Determine breakdown of groups—This is done by grouping like categories of users by skill and job functions. Certain groups can be trained collectively, while others will require specialized training sessions. The duration of the training sessions will vary.
- Determine instructional methodology for end users—Will be based on results of the audience analysis. For complex, detailed, or high-risk functions involving a great deal of worker judgment, consider instructor led training. Determine the appropriate duration necessary for each class.
- Determine instructional methodology for Aspire staff—Aspire maintenance and support staff, as well as functional resources, should receive a mix of technical and functional training. System administrators and development staff should attend formal Oracle/PeopleSoft training classes.
- Determine methods for post training student assessment—Evaluate user proficiency on Aspire functionality, and user sensitivity around testing.
- Determine training schedule—The results of the audience analysis will determine the level of work effort required to effectively bridge the knowledge gap.
- Develop preliminary cost and resource estimates—This task involves presenting the expected costs and necessary resources to develop and deliver the end-user training and performance support program.

Create a New Training Strategy (cont)

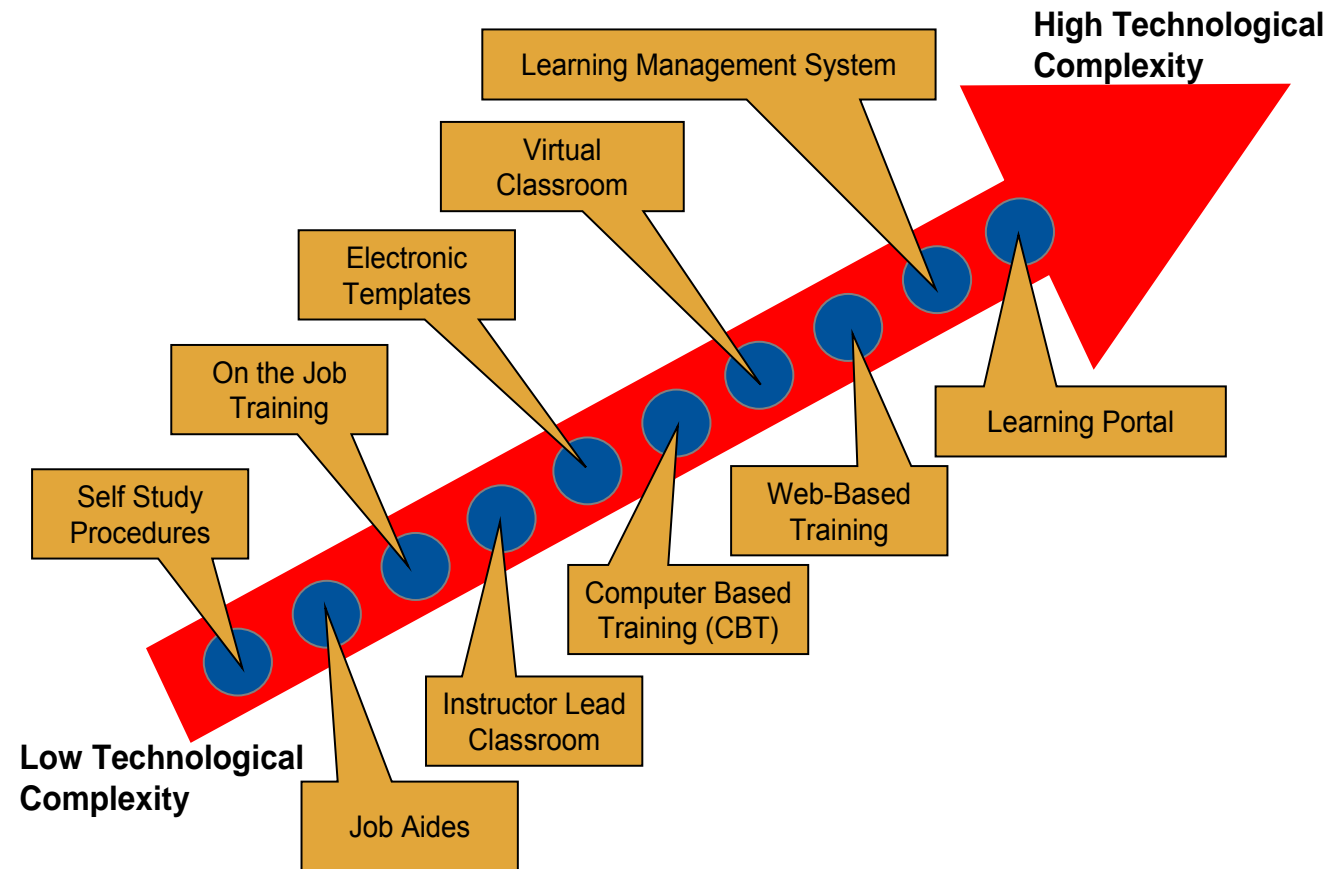
■ Develop Training Plan

- Determine Role Mapping—The Aspire solution is a role-based system. Users will be most effective if they are familiar with their revised job functions, the expected challenges they will face in their new roles, and how to use the application to support their new roles. Map end users to their appropriate system roles.
- Design Curriculum—Design training to center around ‘end-to-end’ processes. Highlight overall process visibility regardless of whether or not the users will be directly performing the entire process. Design the curriculum to provide each end user group with the series of specific courses it needs to develop the Aspire skills relevant to their roles.
 - Include actual-state functionality, and real business processes, in the training design. The training must be relevant to Aspire users, and must reflect their actual, day-to-day, job responsibilities.
- Design Training Delivery Method—Delivery methods can vary in terms of technological complexity. They can range from self study to the more complex training delivery methods such as formal learning management systems.
 - The Aspire team should educate itself on the benefits that all types of training deployment tools, and should consider their strengths, potential impact on current training gaps, as well as their complexity, and cost.
 - A range of training deployment tools is listed on the next slide.

Create a New Training Strategy (cont)

■ Develop a Training Toolset Deployment Plan

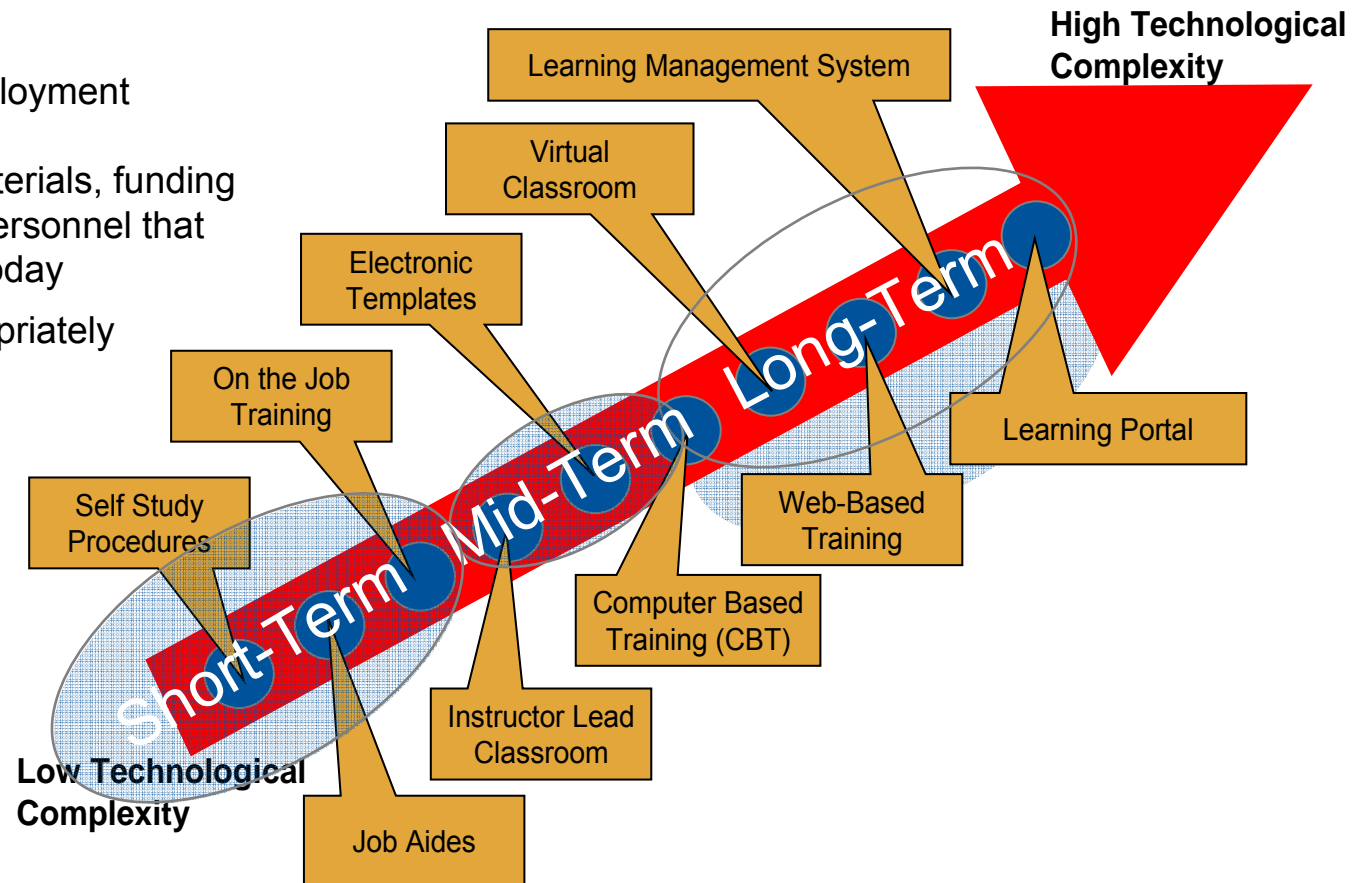
- Determine future-state training delivery goals
- Assess current training processes and technology
- Determine training delivery capability gaps
- Develop a road map that will enable the Aspire team to provide future state training goals
- Build a business case around training investments that are necessary to evolve the training organization



Create a New Training Strategy (cont)

■ Develop a Training Toolset Deployment Plan

- Create a realistic deployment timeline, given the training materials, funding levels, and training personnel that Aspire has in place today
- Fund the effort appropriately
- Collaborate with all stakeholders
- Staff the deployment project with qualified training and technology personnel



Create a New Training Strategy (cont)

■ Develop Training Materials

— Develop Instructional Materials

- Upon completing the design phase, training materials should be developed
- Training modules are developed in detail according to the training designs, which break out modules by business process functions. Coordination is required with the Aspire application team to insert screenshots of the application in the instructional materials.
- To the extent that business processes change, end users learn in training what the new processes are, and how their jobs fit into those new processes. The training team should pilot the training courses to a small group of end users during the pilot phase.
- The team should capture training feedback and incorporate it into the training prior to delivering the full implementation training.

— Develop Job Aids

- Create Quick Reference Guides for each major job function.
- Design and develop Quick Reference Guides when developing training materials and manuals to support end users who have completed the system training.

Create a New Training Strategy (cont)

■ Ensure Training Instance/Infrastructure Readiness

— Technical Environment Readiness

- A critical success factor for training is to create a dedicated training instance that is as realistic as possible, and is continually maintained.
- To ensure that end-user training goals are met, it is important that the training system contain realistic data.
- The training environment and training database should be built prior to the commencement of train-the-trainer classes.

— Facility Infrastructure Readiness

- The training should be delivered in a classroom setting that would need to support fifteen users and two instructors.
- Each end user would need a PC to be “hands-on” with the application.
- Ensure that solutions function properly and reflect ‘real-life’ situations for all Web-based and advanced training solutions. Confirm that data is appropriate.

Create a New Training Strategy (cont)

■ Deliver Training

- Training tools should be fully leveraged to support the full spectrum of training delivery. Content should be delivered at the optimal times, for the appropriate duration, using the most relevant tools.
- Instructor Led Training
 - The training should be delivered in a classroom setting where each end user will have his or her own PC so they are “hands-on” with the application.
 - The training should be designed to encourage interaction.
 - The size of the group should be no larger than 10-15 students and two instructors/facilitators. One facilitator should lead the discussion in the front of the room, and the other observes from the back of the room to determine which participants are lagging and provide appropriate one-on-one coaching.

Create a New Training Strategy (cont)

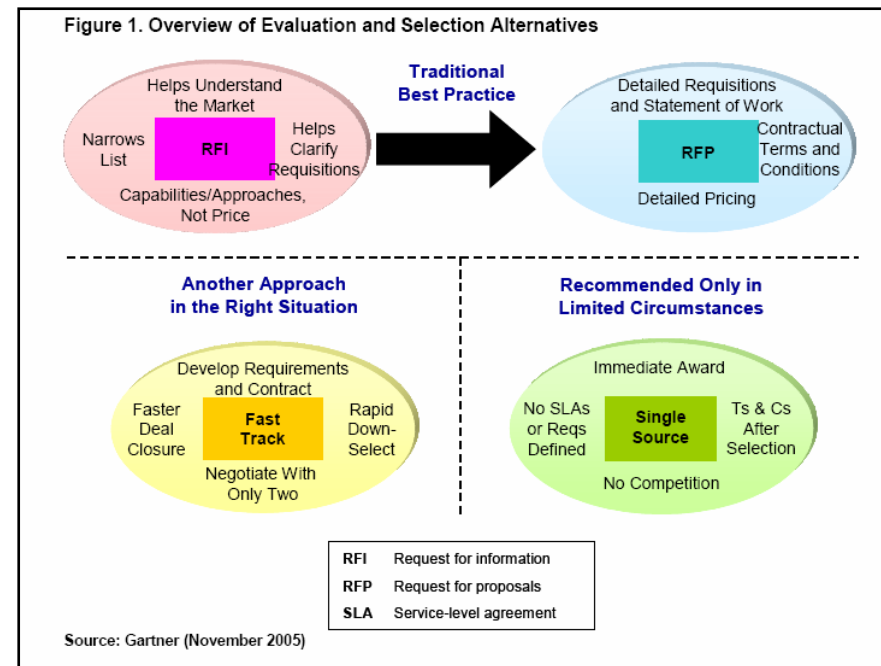
- **Set Expectations and Evaluation Metrics**—A successful process includes setting realistic goals and expectations, as well as marketing the opportunities and communicating the results to management, Aspire staff, and end users. Feedback through interviews and surveys can help enterprises determine the success of various aspects of the training/skill development program.
- **Develop and Deliver Certification Programs**—The increased demand for expertise in new technologies, especially those related to the Internet (e.g., Java, HTML programming), has emphasized the need for certification (programs from vendors (product specific), industry or third party, and government). Certification acts as a strategic tool in ensuring proper completion of training.
- **Evolve Training Methodology and Toolset**—Once the initial training strategy enters the execution phase, planning for the evolution of the training delivery methodology should begin in earnest. Determine a future-state training environment and create a road map to achieve it, and approve necessary funding
- **Evaluate Performance**—Each training module should include self-paced activities that participants are required to complete on their own in order to successfully complete the Aspire training course. These activities will tie directly to the learning objectives delivered in the training modules.
- **Monitor Training Effectiveness**—Utilize user competence testing, helpdesk ticket volumes, and trainee feedback to continually evaluate training effectiveness.

■ ■ ■ ■ Appendix D

- A: ERP Governance Structure and Processes
- B: ERP Competency Center
- C: Training Strategy
- **D: SI Selection**

SI Selection

- The Aspire team will be faced with the following possible SI selection alternatives during procurement planning:
 - Request for Information (RFI)
 - Traditional Request for Proposal (RFP)
 - Fast Track
 - Single Package

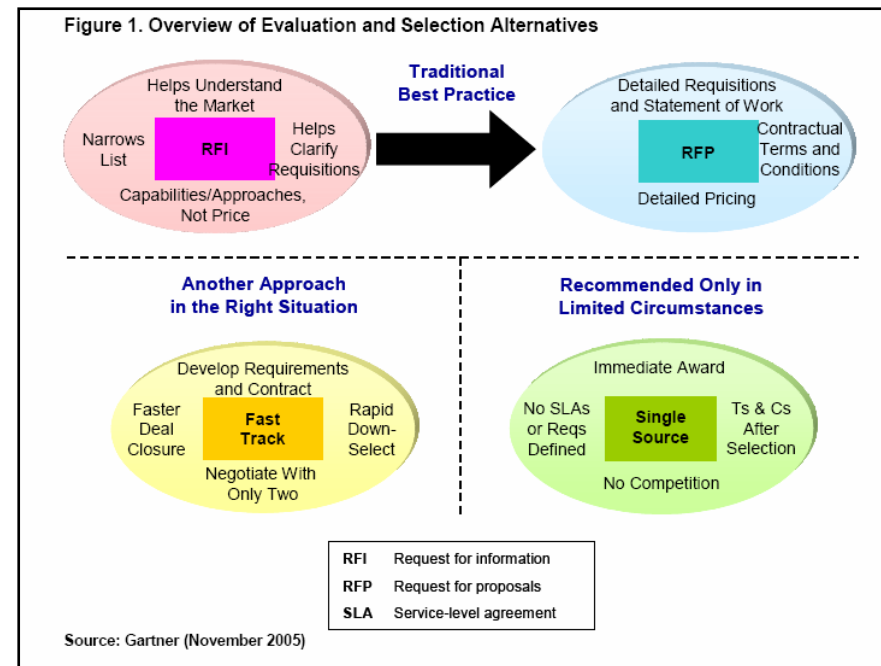


SI Selection

Comparison of Alternative Go-to-Market Approaches

■ Request for Information (RFI)

- The first approach is to release an RFI for prospective packages and SIs to respond to your high-level requirements.
 - This approach can help identify vendors that appear to meet an enterprise's general requirements. It generally is used to determine the vendors to which to send a formal RFP.
 - The RFI contains a brief description of the enterprise's needs, but is general and usually is not used to obtain pricing.
- This is a useful option that clients can consider for short listing a combination of SI vendors for a subsequent, restricted RFP process.

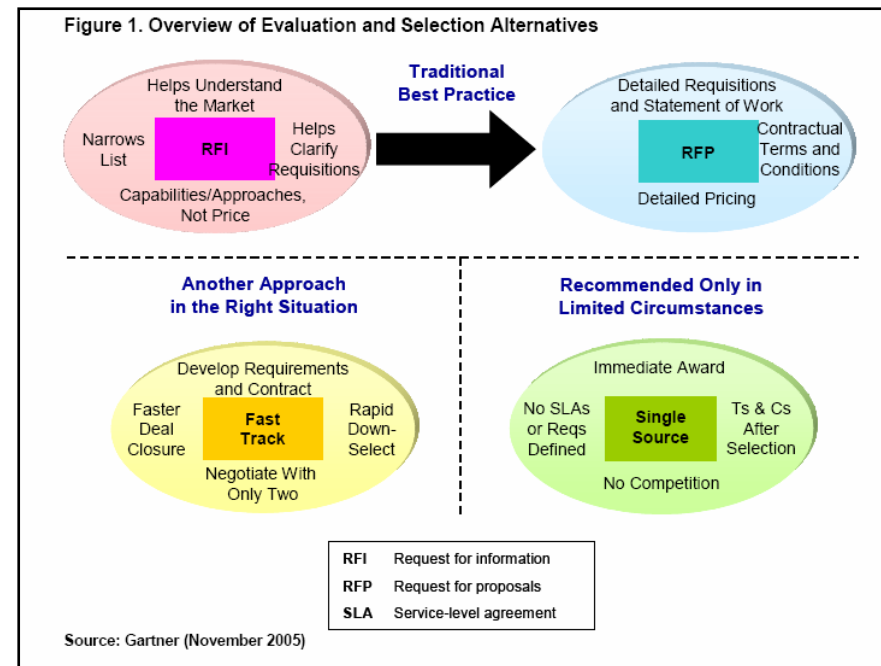


SI Selection

Comparison of Alternative Go-to-Market Approaches (cont)

■ Traditional Request for Proposal (RFP)

- The second alternative is to develop an RFP that contains a detailed SOW of the enterprise's needs.
 - It should contain all legal and operational constraints. It also should demand that responses be in a set format that, if not followed, will disqualify the vendor's response.
 - An RFP approach generally leads to more-competitive deals.
 - Although it is an industry-proven approach, it needs to be well-resourced and managed, and the RFP needs to be well-structured and reflect business strategy and business requirements.
 - The RFP process can be long and costly, if not managed well, or if the business requirements aren't well-specified.
 - Clients can lose negotiation leverage if this process takes too long and they are forced to negotiate with a single SI for the sake of expediency.

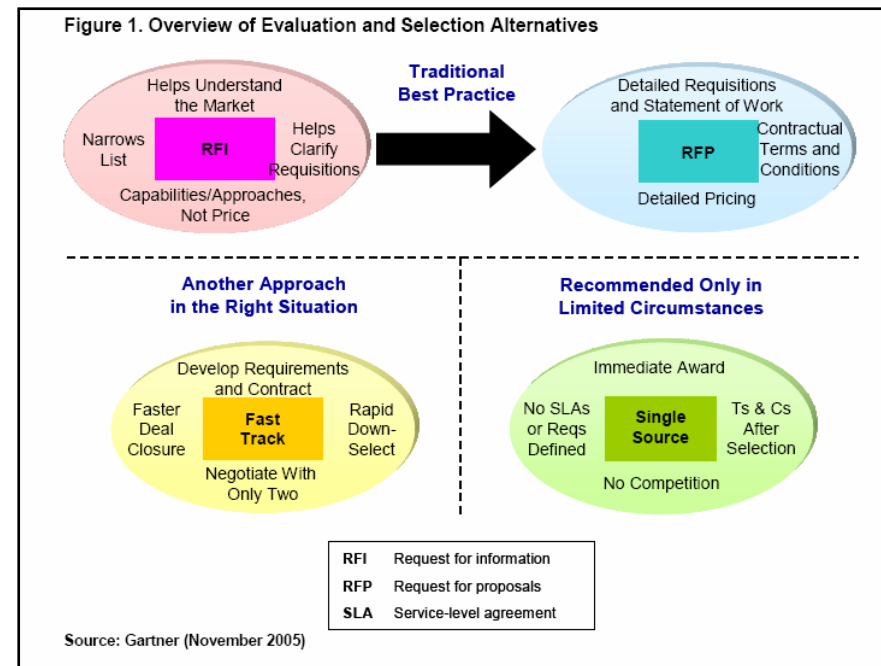


SI Selection

Comparison of Alternative Go-to-Market Approaches (cont)

■ Fast Track

- A reasonably recent approach is a "fast track," which involves doing a market scan of available options and then pre-selecting two to three vendor teams to compete for the services and development of an SOW.
 - This has proved to shorten the evaluation time frame, but it requires senior leadership involvement, a well-defined strategy, and cost and service baselines.
 - It is most applicable in "mature" markets, where the service providers are well-known. This approach is less applicable in "developing" markets, where package functionality and service provider capability is changing relatively quickly.
 - Where clients are bound by government tendering conditions, this option is not directly available to the client; you should consider a combined RFI/restricted RFP.



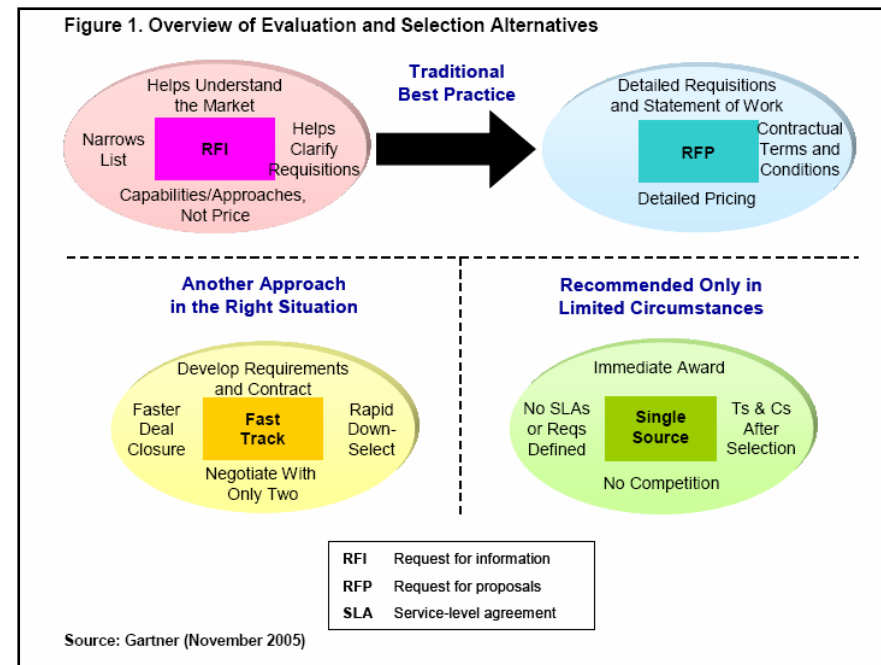
SI Selection

Comparison of Alternative Go-to-Market Approaches (cont)

■ Single Package

— In the final approach, enterprises may want to award a deal to a single SI without any competition.

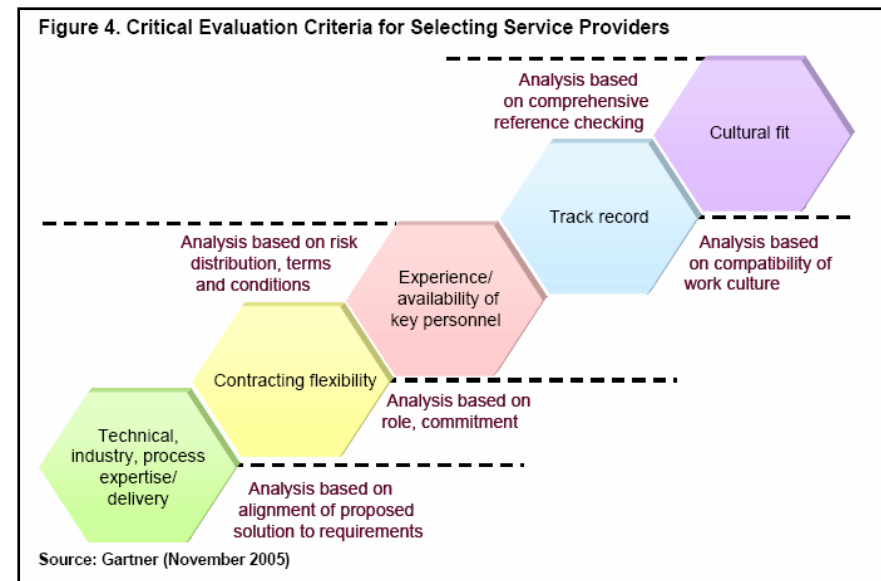
- Often, enterprises believe this will shorten the time to complete a deal. Although it does so, it often leads to dissatisfaction.
- This approach has an improved chance of success when the following are true:
 - This approach might be justified if an enterprise is adding on business with an established vendor.
 - It is also worth considering when you have had a long-term relationship with the vendors and developed a trusted advisor relationship with them.
 - It is also applicable when there are few package vendors, particularly when implementing new technology solutions.
- However, in most cases, it does not provide a competitive deal.
- Gartner does not generally recommend that clients adopt this approach when there are many eligible vendors.
- The main consideration for Aspire is that the State will not be able to negotiate optimum pricing and contractual conditions for the SI services.



SI Selection

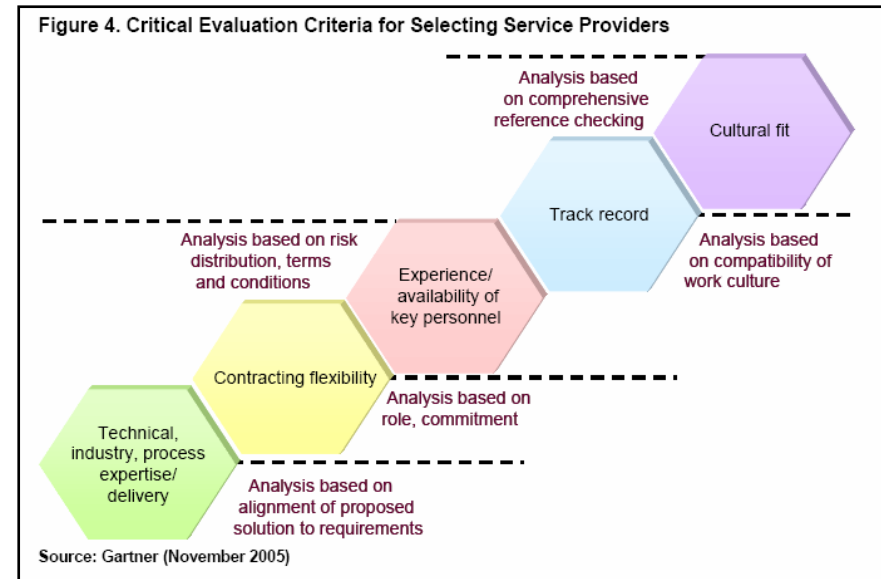
What Are the Key Evaluation Criteria for SIs?

- **What are the key evaluation criteria for SIs?**
 - The following schematics highlight the key elements to be considered when evaluating overall systems integration service providers, once you are satisfied with their vision and viability:
 - Technical, industry, process expertise
 - Contracting flexibility
 - Experience/availability of key personnel
 - Track record
 - Cultural fit



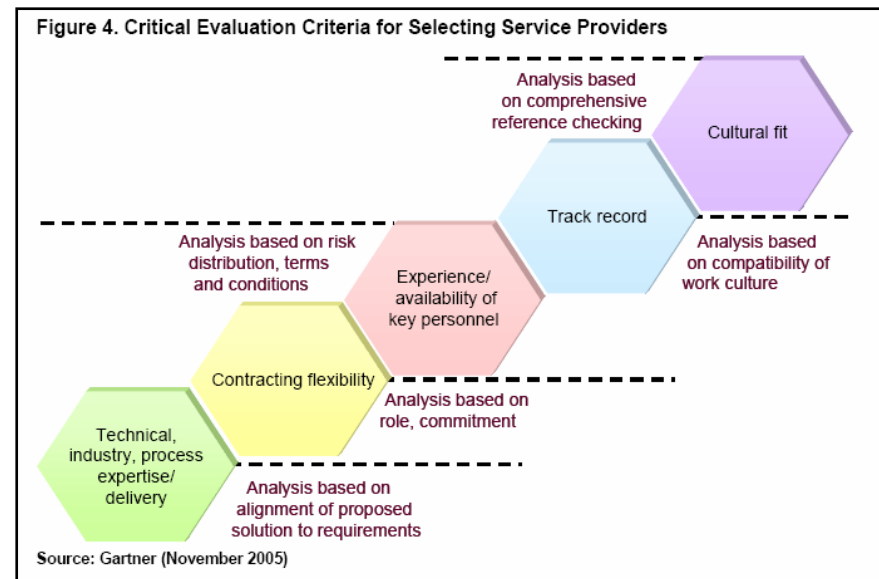
SI Selection

- **The five primary evaluation categories that must be considered when enterprises evaluate service providers are:**
 - What is the ESP's process, technical experience and industry experience? How does that align with your internal expertise and the engagement requirements? This also includes key considerations on implementation methodologies encompassing change management, quality management and program/project management.
 - Did you check client references? Do not assume that they will all be good references. Reference checking is the keystone in determining a vendor's capability to deliver. If possible, also check with non-reference sites to obtain a balanced perspective on whether the service provider has learned from less-successful projects.
 - A critical issue to ask references about is how the ESP worked with them; references are generally honest and open about both their good and bad experiences, even if they are satisfied in the end with the project delivered by an ESP.
 - Leverage both the positive and negative feedback in determining how you might work more effectively with the service provider eventually selected.



SI Selection (cont)

- **Is the ESP willing to be flexible regarding the type of contract that is appropriate for the specific engagement and associated pricing arrangements?**
 - Is the vendor willing to use a well-defined SOW, and contractual clauses, that share risks equitably?
 - Is the provider willing to have a staged implementation plan, with "no-fault let-out" clauses at the end of each key stage?
- **What employees will the service provider dedicate to the effort, and how willing is it to commit those individuals?**
 - Issues such as key personnel and right to review are important.
 - What is its experience with the enterprise application required, as well as the key elements of the SI's program and quality management processes, including change management?
- **How well-aligned culturally are the two organizations?**
 - This last point is particularly important in highly strategic or long-term relationships.
 - Gartner recommends the use of an evaluation framework to cover all of the elements in the above schematic and to include a range of detailed questions.



SI Selection

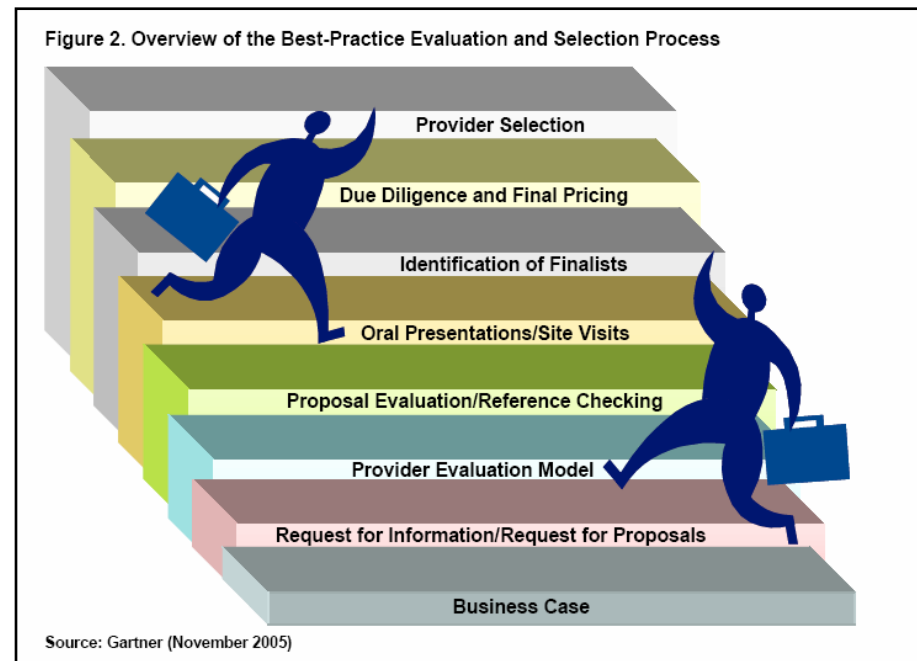
How Can I Speed Up the Selection of the Package and SI?

- **Some organizations front end the RFP with an RFI, while others adopt a fast-track approach. The following generic approaches are recommended to clients to avoid some of the risks faced in this situation and speed up the overall process:**
 - Announce your intention to go to market early enough to allow package and SIs sufficient time to start teaming, with adequate detail to enable them to do some preliminary solution design work.
 - This will result in the vendors adopting their own "natural selection" process of what they think are the more likely combinations to win your business, and this should reduce the number of potential candidate organizations bidding for your work.
 - Be wary of announcing things too early, because this may be counterproductive if you experience internal delays.
 - If you front end your RFP with an RFI, then allow only the solution providers that responded effectively to the RFI to be short listed for the RFP process. Incorporate some of your key high-level criteria in your RFI to filter out solution providers that aren't likely to meet your detailed business needs.

SI Selection (cont)

How Can I Speed Up the Selection of the Package and SI?

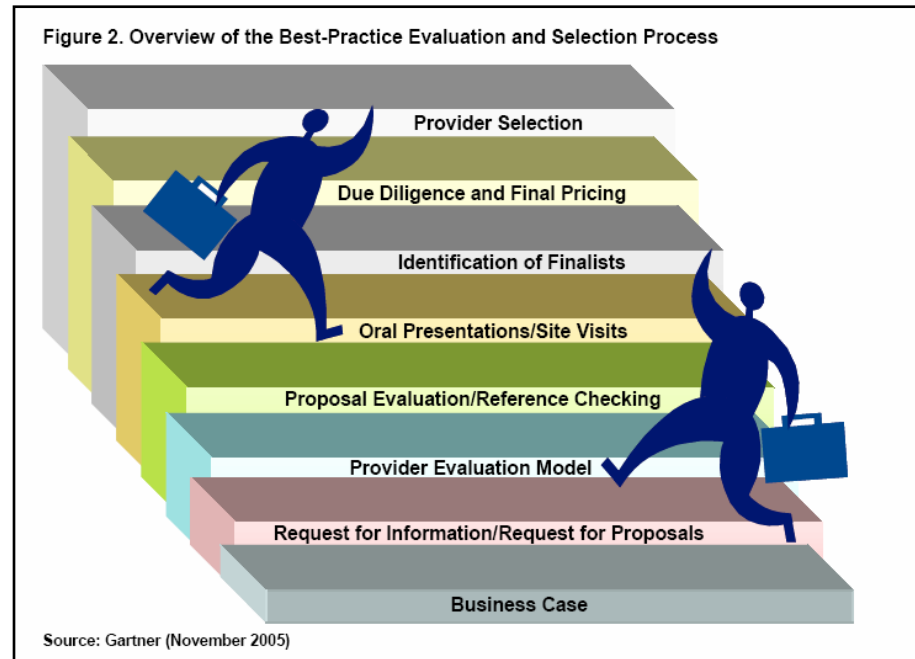
- **Use a hierarchical evaluation framework that not only allows for easy comparison; but also enables you to more quickly evaluate key parts of the proposals to filter out candidates earlier, rather than later, in the evaluation process.**
- **Aside from the use of the obvious list of key mandatory requirements, high-level elements such as cultural compatibility (as reflected in industry track record and availability of industry templates for your vertical) are useful mechanisms.**
 - Vision and viability of the vendors concerned is another.
 - For large projects, also consider using minimum annual revenue and a reasonable (but not unlimited) professional indemnity value clause to encourage smaller solution providers to subcontract to a large prime contractor.
 - In some areas include requirements for a minimum local presence.



SI Selection (cont)

How Can I Speed Up the Selection of the Package and SI?

- **Consider staging your tender process—for example, release the whole RFP and ask bidders to respond to some key areas first, then perform a high-level evaluation of these elements to reduce the list to a manageable number (about two to four) and have them respond in detail to the remaining portion of the RFP.**
 - This will reduce costs and time for you and the vendors.
 - Allow for a best-and-final offer (BAFO) process between the final two vendors, as necessary.



SI Selection

ERP Service Providers

- Leverage the more detailed information on specific service providers contained in Gartner's Magic Quadrant analysis, Vendor Ratings, MarketScope analyses, focus reports and market overview reports on Gartner.com or through Gartner's analyst enquiry service.**

Figure 1. ERP Service Provider Magic Quadrant for North America, 2006

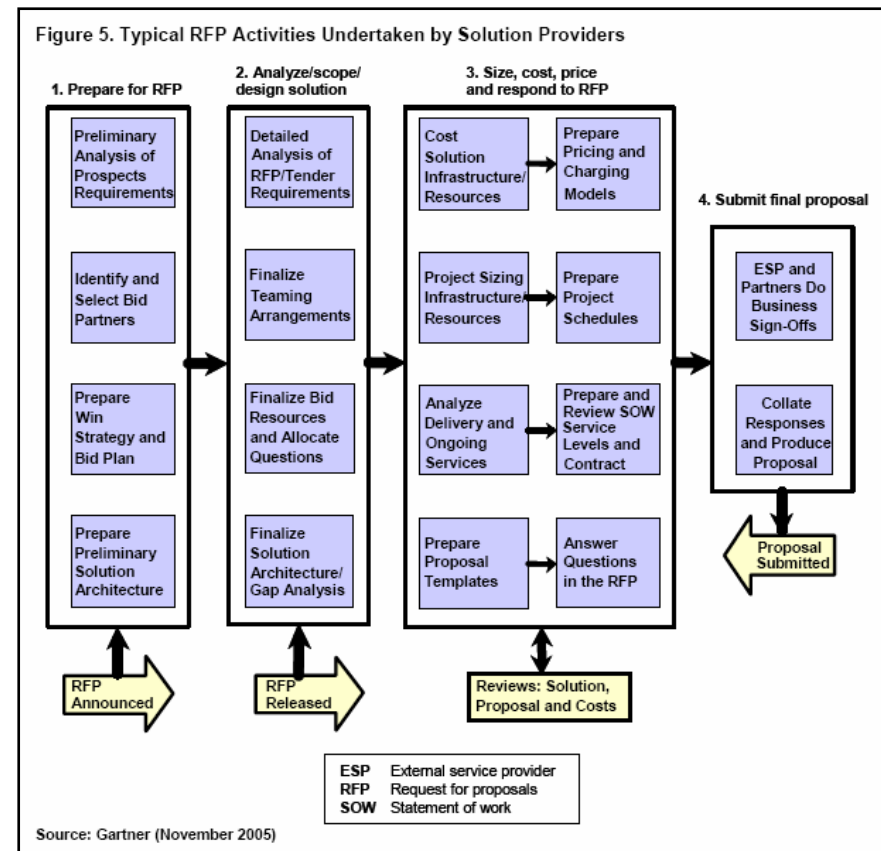


Source: Gartner (May 2006)

SI Selection

Give the Vendors an Adequate Amount of Time to Answer Your RFP

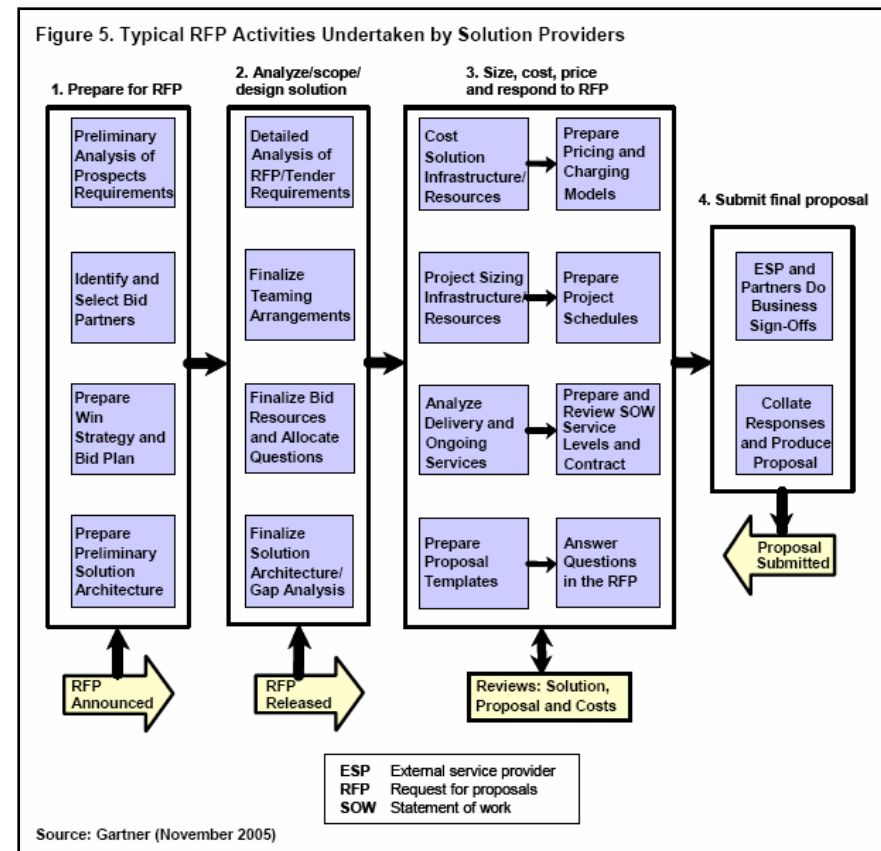
- **Mature package vendors and service providers typically go through a four-stage process when responding to a prospective clients:**
 - 1. Qualify the business and organize teaming arrangements.
 - 2. Analyze, scope and design a solution meeting your requirements.
 - 3. Size, cost, price and describe their solution in a proposal and do technical signoffs.
 - 4. Review, refine, approve and submit proposal, including commercial signoffs.
- **The following schematic (see Figure 5) describes a high-level overview of the kinds of activities typically undertaken for major systems integration deals.**



SI Selection (cont)

Give the Vendors an Adequate Amount of Time to Answer Your RFP

- If you are seeking a technically and commercially sound proposal from prospective service providers, then you need to give them adequate time to work out an optimum solution, as well as conduct internal technical reviews and refinements and ensure that the commercial elements are viable.
- The win for you is that you should get a better-quality proposal, more commercially sound and better costed, with fewer risks for all parties.



SI Selection

- **Create RFP and Scoring Model**
- **Develop Order of Magnitude Cost Estimate**
- **Confirm vendors to include in the selection**
- **Update Requirements**
- **Revise RFP**
- **Revise Scoring Model**
- **Issue RFP**
- **Conduct Pre-Proposal Conference**
- **Evaluate Proposals**
- **Check References**
- **Selection Consensus Workshop and Final Decision**
- **Participate in ERP Software Contract Negotiations**



■ ■ ■ ■ **Contact Information**

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