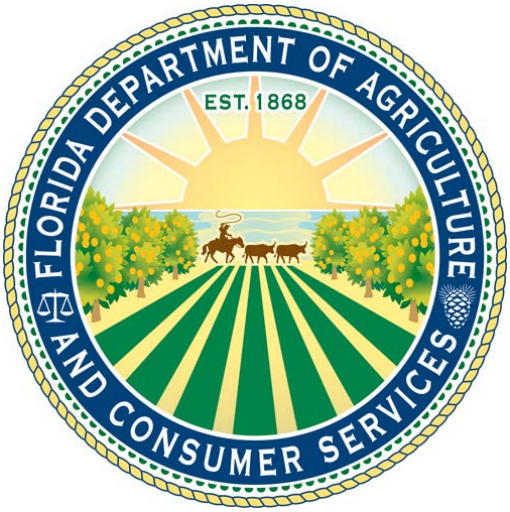

Regulatory Lifecycle Management System (RLMS) PROJECT MANAGEMENT PLAN

Florida Department of Agriculture and Consumer Services (FDACS)
Office of Agriculture Technology Services (OATS)

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Revision History

Date	Author	Version	Change Reference
03/28/2016	FDACS PPMO	200	Updates
5/26/2016	FDACS PPMO	200	Update TOC
7/18/16	FDACS PPMO	3	Multiple updates

1 Introduction

1.1 Project Management Plan

The Project Management Plan (PMP) describes the Objectives, Scope, Project Management Approach, Key Deliverables, Assumptions, Governance Structure and framework for Risk Management associated with the project. This document has been tailored for this project from "A Guide to the Project Management Body of Knowledge (PMBOK® Guide) – Fifth Edition" published by the Project Management Institute (PMI.)

All members of the FDACS RLMS Project (Project) – FDACS team members and vendors – involved with delivering the RLMS solution will use this document for guidance on project procedures.

While some pieces of the overall plan are incorporated into this PMP, others are stand-alone components. Stand-alone components include:

- Project Charter
- Implementation Plan
- Master Project Schedule
- On-boarding Plan
- Organizational Change Management Communication Plan
- Organizational Change Readiness Plan
- Workforce Training and Transition Plan
- Data Conversion Assessment and Migration Plan
- Interface Assessment and Implementation Plan

This document will be distributed to all FDACS RLMS Project staff, involved vendors, and any other personnel as required. It will be stored on the RLMS SharePoint site as defined by the Documents Management Plan. At a minimum, this document will be reviewed at the start of each new Release Cycle. Notifications of changes to this document will be circulated per the project management process.

1.2 Background

The department has evaluated the utilization of an RLMS to standardize regulation and licensing across all of the department's divisions and offices that directly manage regulatory programs. The regulatory application portfolio currently contains more than 60 applications, making standardization problematic. An implementation strategy has been developed to achieve the goals of enterprise regulatory management while minimizing risks and costs.

The initial implementation will involve two divisions where the RLMS will yield the greatest benefits. In the first year, the Division of Licensing implementation will subsume the Concealed Weapons Intake System, Licensing Reflections System, Imaging Business and Process Management, and Web-based Fast Track System into an enterprise solution. Subsequently, the implementation for the Division of Administration will supplement the Department Clerk, Revenue Online Collection, EGov, and Enterprise E – Commerce System components that directly support the Division of Licensing, as well as additional components of the Revenue Receipt Accounting System (REV). The Division of Licensing Call Center support will also be modernized as part of the implementation.

1.3 Business Need and Objectives

Vision

To implement an enterprise department regulatory lifecycle management system that empowers customers, supports efficient processes, and positions the department to be responsive to changing operational demands.

Goals

- Enhance the customer experience in all interactions with the department.
- Optimize protection of the public and agricultural industry through enhanced monitoring and compliance information and techniques.
- Enable an enterprise customer service operation.
- Leverage a modern enterprise solution to improve the ability to recognize and respond to opportunities and issues.

Objective

To create an improved and standardized enterprise regulatory system (with a revenue component) to replace the Division of Licensing's (DoL) current licensing/regulatory applications, and supplement the Division of Administration's (DoA) applications that directly support the DoL.

1.4 Scope Statement

1.4.1 Understanding of The Business Situation Facing FDACS

The divisions and offices within the department are responsible for a broad range of services and regulatory activities. Included in these services are:

- Systems that support administrative regulatory requirements for revenue, invoices, and fees;

- Environmental services regulatory requirements related to feed, seed, fertilizer, and pest control licensing, use and compliance; and,
- Consumer services regulatory requirements for licensing in more than a dozen different industries.

FDACS needs to streamline its regulatory processes across all of its divisions and offices with the implementation of a regulatory system with a revenue component in order to begin to see improvements in their customer service, higher levels of data and process standardization, and ability to recognize and respond to opportunities and issues.

The primary regulatory functions of the department are application, licensure, compliance, inspection, and enforcement. These regulatory functions and their supplementary key practices and procedures are listed in the exhibit below.

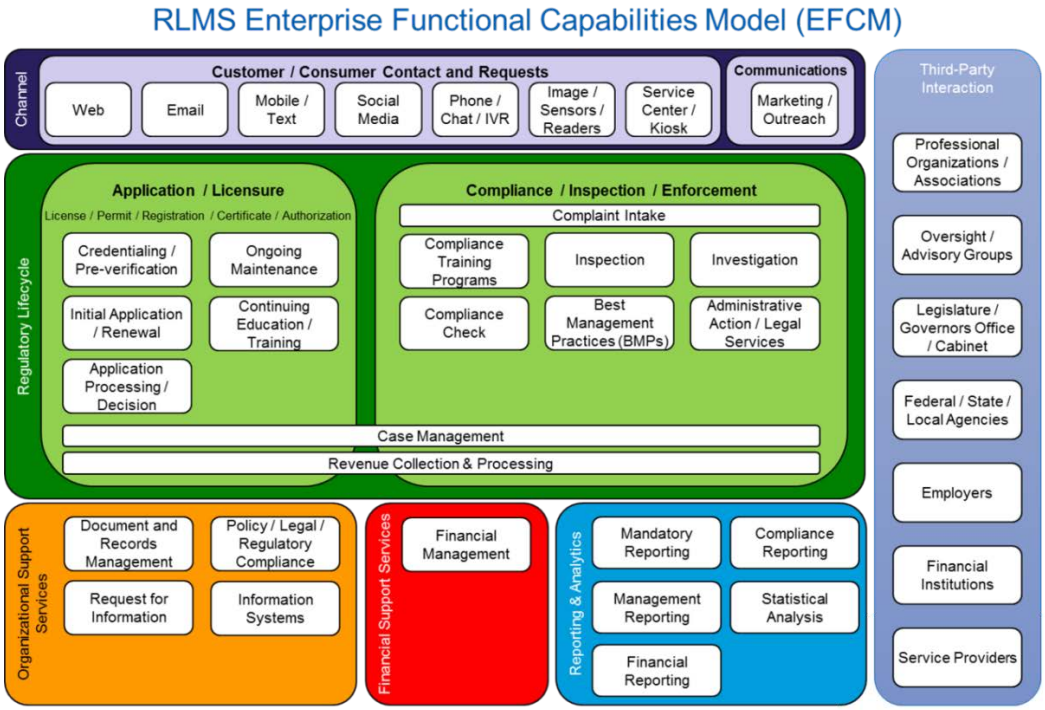


Exhibit 1: FDACS' Regulatory Lifecycle

Increased flexibility is crucial for the department, as they require the ability to make constant operational adjustments to react to changing political, domestic, international, commodity, weather, and emergency-related stimuli.

Utilizing various technologies, design methodologies, and interfaces, many current FDACS regulatory applications have their own specific configurations, sets of requirements, and software renewal dates. This lack of system uniformity also exists within other regulatory applications throughout the department,

where there are multiple databases unique to specific Divisions operating without centralized, enterprise oversight within the department. This creates a challenging situation for divisions to communicate consistent regulatory information with one another given the various independent database environments that maintain duplicated and redundant data. Standardized data and processes would help the department to not only overcome this communication challenge, but also better service its internal and external customers.

The proliferation of this redundant data and operational processes exposes the department's divisions and offices to higher operational risk, which in turn increases the department's administration and support costs, while decreasing its operational efficiency and effectiveness. Furthermore, as a result of the outdated and unsupported division-specific software and technology, the existing applications are inflexible and do not meet the changing demands of both internal and external stakeholders.

1.4.2 RLMS Implementation Approach

Breaking down the implementation into releases provides significant risk mitigation. The following implementation plan utilizes the "Crawl, Walk, Run" release approach. This approach starts by implementing Licensing and Administration to establish an enterprise foundation and then bringing on the remaining divisions in subsequent phases.

1.4.2.1 Release 1 (Crawl) / 15 Months

The focus during Release 1 (Crawl) is validation and refinement of the implementation tasks and deliverables. The effort will begin with the Division of Licensing transformation and move into sustainment 15 months after start up. The Division of Administration implementation is slated to begin six months after the start of the DoL implementation. With the schedule overlap and interdependencies between the two areas, the development schedules will be coordinated when finalizing the detailed implementation plan. Lessons learned from the first release will be used to plan delivery of a larger scale roll out to two or three divisions in Release 2 (Walk).

1.4.2.2 Release 2 (Walk) / 9 Months

The second release will implement RLMS functionality with a couple of "early adopters" that are representative of other divisions. The scheduled duration of Release 2 is nine months. In the Walk release, the focus will be on refining and optimizing the project schedule (e.g. Load balancing of government and contractor resources). This is done to validate the scalability of the implementation tasks from the first release. FDACS will work with the Systems Integrator (SI) to build team resources through a "train the trainer/facilitate the facilitator" approach.

1.4.2.3 Release 3 (Run) / 9 months

Refinements from the Walk release are then incorporated and used to implement the full-scale implementation for the remaining divisions in Release 3 (Run). Release 3 is scheduled to overlap Release

2, beginning six months into Release 2. This release will implement the remaining divisions and applications as well as interfaces.

1.4.3 Tentative Release schedule

While it has not been determined which divisions will be included in each release, the following table provides information concerning the divisions included in the enterprise RLMS solution:

DIVISION	SCHEDULE FOR RELEASE	RELEASE CONSIDERATIONS	APPLICATION NAMES
Licensing	Release 1	Early adopter because of architectural significance of business process.	▪ Concealed Weapon Intake System (CWIS) ▪ Concealed Weapon Renewal Express System (CWREX) ▪ Licensing Reflections System ▪ Imaging Business and Process Management (EDMS) ▪ Web-based Fast Track System
Administration	Release 1	Interfaces to the State of Florida financial system The new system will interface to the department's existing financial system until enough regulatory types/applications are implemented in the new system.	▪ Department Clerk ▪ Revenue Online Collection (ROC) ▪ Enterprise E-Commerce System (EGC) ▪ Revenue Receipts Accounting System (REV)
Agricultural Environmental Services	TBD	Early adopter because of existing enterprise perspective and organizational readiness.	▪ AES Laboratory Information Management System (AES-LIMS) ▪ Agricultural Environmental Services Suntrack System ▪ DOI Database ▪ Aircraft Registration Database ▪ Compliance DB30 Database ▪ EIS - AES Image Applications ▪ Electronic Fumigation Notice Submissions ▪ Pesticide Applicator Continuing Education Units ▪ Registration Tracking System

DIVISION	SCHEDULE FOR RELEASE	RELEASE CONSIDERATIONS	APPLICATION NAMES
Agricultural Law Enforcement	TBD	No special circumstances for early implementation.	▪ ACISS Case Management ▪ Bill of Lading Scanning System ▪ Commerce Transport Imaging System ▪ Tag Recognition System
Agriculture Water Policy	TBD	No special circumstances for early implementation.	▪ Best Management Practices Tracking System (BMPTS; voluntary participation)
Animal Industry	TBD	No special circumstances for early implementation.	▪ Animal Industry Florida Poultry Database ▪ Animal Industry Laboratory Information Management System ▪ Daily Activity Report ▪ Garbage Feeders Database ▪ Master Brand Record ▪ Master Cervidae Herd Plan/Permits ▪ Master Equine Extension
Aquaculture	TBD	Early adopter because of readiness for enterprise solution.	▪ Aquacore Information System ▪ Aquaculture Certification Program ▪ Aquaculture Lease Database ▪ Apalachicola Bay Oyster Harvesting License ▪ Shellfish Shippers Database

DIVISION	SCHEDULE FOR RELEASE	RELEASE CONSIDERATIONS	APPLICATION NAMES
Consumer Services	TBD	Extensive functionality and risk may push this back to later release.	▪ LIMS–Anti-freeze and Brake fluid ▪ Metrology (metered devices) ▪ DOCS–Business Opportunities Franchises ▪ DOCS–Continuing Education Provider ▪ DOCS–Do Not Call List ▪ DOCS–Game Promotion ▪ DOCS–Health Studios ▪ DOCS–Intrastate Movers ▪ DOCS–Mediation and Enforcement ▪ DOCS (and Access)–Meter Mechanics ▪ DOCS–Motor Vehicle Repair ▪ DOCS–Pawnshops ▪ DOCS–Petroleum (wholesale and retail) ▪ DOCS–Professional Surveyors and Mappers ▪ DOCS–Scales and Other Measuring Devices (inspection results; excluding petroleum; including wholesale and retail) ▪ DOCS–Sellers of Travel ▪ DOCS–Solicitation of Contributions ▪ DOCS–Telemarketing ▪ DOCS–Weights and Measure Permitting System (permitting) ▪ Fair Ride Database ▪ LP Gas
Florida Forest Service	TBD	No special circumstances for early implementation. Primary focus on interfacing to enterprise data model.	▪ Florida Fire Management Information System
Food Safety	TBD	Pushed back to later release because of existing custom solution project.	▪ Document Control and Training Tracking ▪ Food Inspection Management System (FIMS) ▪ Food Safety Laboratory Information Management (FSLIMS) ▪ Regulatory Information Management System (Dairy)

DIVISION	SCHEDULE FOR RELEASE	RELEASE CONSIDERATIONS	APPLICATION NAMES
Fruit and Vegetables	TBD	Part of earlier release in order to harvest lessons learned from previous ERP implementation.	▪ Mobile Inspection Program (Tomatoes)
		Remaining applications are implemented in later release. No special circumstances for early implementation.	▪ Brix Acid Unit System ▪ CitraNet ▪ EQIP ▪ FreshNet ▪ Fruit and Vegetable System–Processors, Growers, Haulers ▪ Fruit and Vegetable System–Citrus Dealers ▪ Fruit and Vegetables System–Growers, handlers, packers, shippers ▪ Fruit and Vegetables–Growers, handlers, packers, shippers (Accounts receivable) ▪ Fruit and Vegetables–Growers, handlers, packers, shippers (Fiscal) ▪ Fruit and Vegetables–Growers, handlers, packers, shippers (Inspection and personnel) ▪ Fruit and Vegetables–Growers, handlers, packers, shippers of fresh citrus (Statistics) ▪ Shell Stock, MicroMation (Peanuts) ▪
Marketing and Development	TBD	Manual low risk process with existing “to-be” documentation. Also public facing. Quick win.	▪ License and Bond System

DIVISION	SCHEDULE FOR RELEASE	RELEASE CONSIDERATIONS	APPLICATION NAMES
Plant Industry	TBD	Initially, Plant Industry would be pulled into the implementation to provide input on "master data" definition and to implement a high business value "emergency response" "inspection/enforcement" application needed by the enterprise.	▪ Pest Incidence Control System (DPI Emergency Program Management System only)
		Remaining Plant Industry applications may fall into later release. No special circumstances for early implementation.	▪ Citrus Budwood Registration system ▪ Citrus Germplasm Introduction Program system ▪ Plant Inspection Trust Revenue system ▪ Laboratory Identification Sample Tracking system

Exhibit 2: Release Schedule

1.5 Organizational Change Management

One of the most critical success factors for this project will be the ability of FDACS to change to an enterprise perspective from the current siloed application perspective. An Organizational Change Management (OCM) and Workforce Transition Strategy are provided in the RLMS OCM Plan and Workforce Transition Plan (WFT) documents located in RLMS SharePoint project library. The plans define the steps needed to ensure effective department stakeholder communication and transformation as well as the change in the way that FDACS staff will perform their business functions utilizing the new enterprise RLMS system.

1.6 Critical Success Factors

The FDACS Project Portfolio Management Office (PPMO) has articulated the following critical success factors vital to the success of the project, such that, in their absence the project will fail or generate critically deficient outcomes.

- Executive management will be engaged throughout the implementation. Executives will be kept abreast of the overall project scope, budget, milestones and key deliverables through monthly meetings. Key executives have created a vision for success, approved necessary resources, and will provide motivation to the project management team. Through the Governance Process Executive Management is readily available to make timely critical project decisions.

- The PPMO has established an enterprise Project Management Office over the life of the Project to ensure standardization of project management processes and visibility of project performance across project teams, external stakeholders, as well as project and department governance committees.
- FDACS has developed a procurement strategy and will conduct the RLMS project solicitations in a manner that maximizes opportunities to achieve system integration and flexibility as well as provide the best business value to the department.
- The PPMO has assembled and actively promotes a cohesive, collaborative, and harmonious team that is collectively focused on program goals and objectives.
- FDACS has developed and will implement an Organizational Change Management (OCM) and Workforce Transition (WFT) strategy and plan to ensure appropriate and timely stakeholder communications as well as a seamless organizational and workforce transition to the new RLMS.
- FDACS has established a governance structure that provides adequate oversight, management, and control to keep the Project on target without introducing unnecessary layers of administration.
- FDACS PPMO has established a strong and robust governance structure to manage requirements and system customizations to ensure project scope is maintained and stakeholder expectations and needs are met without costly impacts to schedule, quality, or budget.

2 Roles and Responsibilities

The FDACS PPMO, RLMS Project Managers and Project Workstream Leads are responsible for ensuring adherence to the RLMS PMP.

The table below depicts the roles and responsibilities required for the execution of the PMP. Roles and responsibilities of each subsidiary plan are identified in the respective plans. Any new staffing requirements resulting from the roles and responsibilities identified in each plan will be updated and approved based on the Deliverable Management process described in this document.

ROLE	RESPONSIBILITIES
Project Management Team	▪ Roles and Responsibilities Definition ▪ Governance and Decision Making ▪ Project Management Approach ▪ Scope Management Plan ▪ Schedule Management Plan ▪ Cost Management Plan ▪ Quality Management Plan ▪ Deliverables Management Plan ▪ Project Status Reporting ▪ Risk Management Plan ▪ Issue/Action Item Management Plan ▪ Procurement Management Plan ▪ Document and Records Management Plan
Process Team	▪ Business Requirements ▪ Future State Processes
People Team	▪ Communication ▪ Learning and knowledge ▪ Value realization ▪ Organizational Change Management ▪ Human Resources Plan ▪ Workforce Transition Plan ▪ Project Communications Plan ▪ Business Advisory Group ▪ Stakeholder Management Plan

ROLE	RESPONSIBILITIES
Technology Team	▪ Information o Data governance structure definition and implementation (e.g., role of Information Technology Lifecycle (ITLC)) o Data migration o Business Intelligence requirements definition o Information security (such as encryption) ▪ Integration o Integrated solution design o Configuration management o Test management o Cutover management ▪ Development o Development planning and governance o Development specifications o Development object coding and unit testing o Development quality assurance ▪ Infrastructure o Enterprise system technical architecture design o Enterprise system security authorization design o Enterprise system administration

Exhibit 3: PMP Execution Roles and Responsibilities

3 Project Team Governance

3.1 Governance and Decision-Making

This section articulates the project-governing framework and the roles and responsibilities of the key governing bodies. It describes the key stakeholder groups for the Project and defines the decision-making levels and appropriate escalation paths.

3.1.1 Governance and Escalation Model

Governance is the process and structure used to exercise overall control and set the direction for a program or project. While providing the necessary internal controls, it reassures internal and external stakeholders that the program and project resources are being allocated and expended in accordance with established organizational and regulatory guidelines. The governance structure links process, resources, business strategies and objectives.

Project governance includes the activities and associated roles and responsibilities required to provide leadership, strategic direction, control, and accountability. In contrast, project management is concerned with administration and delivery through planning, execution, monitoring and reporting. While the two areas are related, they are distinctly different functions.

Exhibit 4: RLMS Project and Organization and Governance Structure depicts the Governance structure for the RLMS Release 1 Project. This structure utilizes a multi-level approach, with the goal of pushing decision-making to the lowest level possible.

Level 4, the Governance structure, is headed by an IT Governance Team. This team is responsible for department-wide decisions and governance.

Level 3 consists of the Executive Sponsor, with support from a Business Advisory Group. The Sponsor is also supported by an independent verification and validation (IV&V) function to ensure there is visibility into the health of project processes and associated project operations.

Level 2 is based in the PPMO, with the PPMO Manager serving as the escalation point. The PPMO Manager and his team are the point of entry and communication with Information Technology and External Stakeholders.

Level 1 is at the Project Level and consists of the Project Managers as they interact with the workstream leads for the individual initiatives making up the RLMS Program to address issues, actions, risks, opportunities, and decisions that cannot be managed by the workstream project teams. For the purposes of the RLMS Release 1 Project, this level consists of the FDACS Project Manager and the vendor project manager.

Level 0 consists of the workstream leads for the Systems Integrator and FDACS, along with their respective project teams. This is the level at which risks, issues and opportunities are typically identified and often resolved prior to raising them to Project Management.

This governance structure will be enhanced as the Project Management Plan and associated processes are developed during Release 1 of the RLMS Project.

The governance structure for the RLMS Project consists of the following entities:

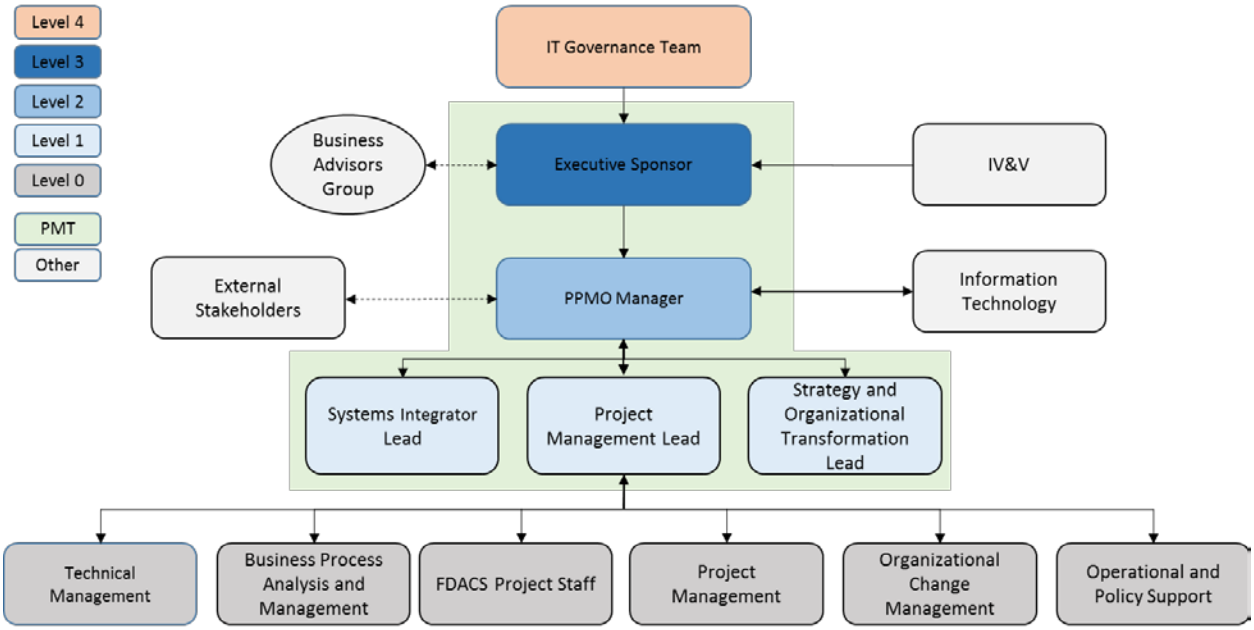


Exhibit 4: RLMS Project Governance Structure

As depicted above, the Project Management Team (PMT) consists of the FDACS Executive Sponsor, the PPMO Manager, the FDACS Project Management Lead, and the other Project Management Workstream Leads. This group serves as the primary team responsible for operation and execution of the Project, and for resolution of risks, issues, actions items, decisions, and other related project management processes with the intent of addressing items at the appropriate level.

3.1.2 Governance Structure Roles and Responsibilities

The table below describes the roles and responsibilities for each entity in the RLMS Project Governance Structure Exhibit 4 above.

ROLE	RESPONSIBILITY	ASSIGNED STAFF
IT Governance Team	▪ Provides executive oversight to the project ▪ Establishes and supports the project vision and strategic direction ▪ Resolves escalated issues ▪ Provides timely final decision on escalated items	▪ Chief of Staff ▪ Deputy Commissioners ▪ Office of Policy and Budget ▪ Legislative Affairs Director ▪ Inspector General
Executive Sponsor	▪ Serves as liaison to the department for Agency for State Technology (AST) ▪ Serves as liaison to the Legislature (as needed) ▪ Has programmatic decision-making authority ▪ Champions the project ▪ Has programmatic responsibility for successful development and implementation of the Project	▪ FDACS Chief Information Officer
PPMO Manager (Contract Manager)	▪ Has IT decision-making authority ▪ Coordinates/Identifies business resources ▪ Controls Project budget ▪ Provides business resources for project success ▪ Provides IT resources for project success ▪ Has responsibility for successful development and implementation of the Project ▪ Oversees the development and implementation of the Project ▪ Oversees the Project Management Office for the Project ▪ Liaises with department (e.g., Information Technology, Business) ▪ Liaises with Project Business Sponsor for business resources and day-to-day activities ▪ Liaises with the Legislature as needed	▪ FDACS PPMO Manager

ROLE	RESPONSIBILITY	ASSIGNED STAFF
IV&V Manager	▪ Monitors project management processes and provides feedback on any deficiencies noted ▪ Reviews and provides feedback on project deliverables ▪ Provides reports to and meets with the Legislature as needed ▪ Presents to Executive Management team on IV&V activities ▪ Verifies that the system is developed in accordance with validated requirements and design specifications ▪ Validates that the system performs its functions satisfactorily	▪ IV&V Vendor
FDACS Project Management Lead	▪ Responsible for day-to-day project oversight ▪ Provides overall guidance and direction to the Systems Integrator ▪ Coordinates with the PPMO Manager for resources ▪ Works with Systems Integrator Project Manager to ensure stakeholder needs are met ▪ Has daily decision-making authority ▪ Oversees and manages project plan ▪ Facilitates the Business Advisors Group ▪ Coordinates project resources, budgets and contract management ▪ Reviews and provides feedback on project deliverables ▪ Responsible for project management areas including scope, risk, quality and change control ▪ Coordinates project status communications	▪ FDACS Project Manager
Other Project Management Leads	▪ Responsible for day-to-day oversight of individual Teams ▪ Has daily decision-making authority ▪ Oversees and manages individual project plan ▪ Coordinates individual project resources, ▪ Reviews and provides feedback on project deliverables ▪ Responsible for project management areas including scope, risk, quality and change control ▪ Coordinates project status communications to FDACS	▪ Other Project Managers

ROLE	RESPONSIBILITY	ASSIGNED STAFF
Business Advisors Group	▪ Responsible for input on functional requirements ▪ Participates in project user group meetings and sessions ▪ Provides input on project activities ▪ Reviews and comments on project documents and deliverables ▪ Disseminates project information and updates to local internal/external stakeholders	▪ Bureau Chiefs – Licensing and Administration
Project Teams	▪ Identifies and communicates project risks, issues, action items, decisions ▪ Creates deliverables ▪ Participates in risk/issue response plans	▪ Team Resources and Leads
External Stakeholders	▪ Shares input with the Project Management Team on system and issues ▪ May be involved in Executive oversight ▪ Receives communication from the PMT ▪ Affected by the Project	▪ Constituents ▪ Legislature ▪ Agency for State Technology ▪ Florida Department of Law Enforcement
Information Technology	▪ Responsible for technical resources requested by PMT ▪ Impacted by the Project ▪ Receives communication from the PMT ▪ May be involved in risk response planning ▪ Sets technical and security requirements/standards	▪ Chief – Agriculture Management Information Systems

Exhibit 5: RLMS Project Governance – Roles and Responsibilities

3.1.3 Escalation Path

A well-defined escalation path is essential for effective program governance and project execution, as it defines a process for addressing risks, issues, scope changes, or programmatic conflicts that may arise during the course of the Project. This is controlled through risk, issue, decision and scope management.

Under Program Governance, Risk Management addresses risks (i.e., any potential events or unresolved actions that may impact the success of the program or project). The Risk Response consists of a plan or set of actions established to prevent a risk from occurring or to minimize the negative consequences of the risk.

As part of Issue Management, Program Governance will address issues (i.e., unresolved risks or incomplete actions impacting the program or project schedule, budget, or quality). For purposes of managing issues,

action refers to any activity to affect the outcome or reach a decision on how to execute any component of the program or project.

Under Program Governance, Scope Management monitors and manages change events which include the modification of agreed approach, schedule, or outcome of any program or project milestone, work package, or activity. As part of Scope Management, decisions are made as part of resolution or determination on approach.

The structure of the Escalation Path is part of risk, issue, decision and scope management and is arranged in levels that align with the Project Governance Structure for escalation and decision-making purposes, with Level 4 being the highest escalation or decision point for governance-related issues. The escalation path will flow along Levels 0 through 4 as described below if resolution is required to manage a conflict arising during the course of the program. The levels of escalation and associated timeframes for escalation are as follows:

- Level 0: Items addressed within the project team.
- Level 1: If the project team cannot resolve the conflict within two (2) working days, it should be escalated to the RLMS Project Managers (FDACS and vendors) to resolve the issue.
- Level 2: If the conflict still exists three (3) working days after being escalated to Level 1, the RLMS Project Managers (FDACS and vendors) should escalate to the PPMO Manager to determine an acceptable resolution.
- Level 3: If the conflict still exists five (5) working days after being escalated to Level 2, the PPMO manager(s) and/or vendor's Project Executive should escalate to the FDACS Executive Sponsor to resolve the issue in the next scheduled Status meeting – unless the circumstances require a quicker resolution.
- Level 4: If the conflict still exists five (5) working days after being escalated to Level 3, the FDACS Executive Sponsor will escalate to the IT Governance Team to resolve the issue in the next scheduled Governance Status meeting – unless the circumstances require a more timely resolution.

The need for escalation can arise in the form of a risk, issue, decision or scope change. The timeframes above are guidelines and may be adjusted by the PPMO team based on the impact and/or likelihood of the risk, issue or scope changes.

4 Project and Release Lifecycle

4.1 Project Life Cycle Overview

The following describes in detail each of the five project management processes – *Initiation, Planning, Execution, Monitoring & Controlling and Closing* – as they relate to the RLMS Project.

4.1.1 Initiation

The PPMO team has developed a project management structure and supporting processes that best fit the goals of the program and aligns with the Department's culture and practices.

The RLMS PMO and PPMO have developed the RLMS Project Charter which was approved by the RLMS Executive Project Sponsor. The Program Charter authorizes the project and provides a statement of the program's intended scope, goals, objectives, outcomes, and participants. It provides a preliminary delineation of roles and responsibilities, outlines the project objectives, identifies the main stakeholders, and defines the authority of the project manager.

4.1.2 Planning

The Project Management Plan (PMP) and supporting Management Plans add the detail necessary for day-to-day task execution and management efficiency. The RLMS PMP was completed by the RLMS PMO and PPMO with input and collaboration from key stakeholders. This team approach helps to ensure a further alignment to the program objectives and buy-in from management and stakeholders. The Program Management Plan will be reviewed with the selected DDI vendor at the inception of Phase I and will be updated as necessary.

The following summarizes the detailed activities of Program Planning which will assist in the effective management of the program:

- Project Management Plan & Supporting Management Plans (e.g., Communications Plan)
- Schedule and Resource Planning
- Scope Planning
- Stakeholder Analysis
- Program Governance

4.1.3 Program Execution

Using the approved PMP, the PPMO Team will begin execution and management of the program. The Project Execution process and the Project Monitoring and Control process work together iteratively and

perpetually until program closure. The execution process deals with implementing and managing the program based on the PMP.

Successful project management through execution is a function of a good plan that has been thoroughly developed and vetted and the time-tested experience of the team on similar projects. The experience and expert judgment of the team, combined with effective Program Governance, will help ensure the program stays on track and delivers value to the organization.

Effective communication is a key critical success factor for any project. Upward communications from the PPMO to key stakeholders and the governance organization are essential for providing up-to-date and accurate project status reports, providing accurate and best-judgment judgment risk and issue assessments, and actively managing expectations. Effective downward communications to the team are essential in building a teamwork culture, communicating expectations and supporting personnel development.

4.1.4 Monitoring and Control

Project Monitoring and Control includes managing, tracking and reporting all elements built into the PMP. This process ensures the appropriate consumption of resources (people, costs and materials) in accordance with the plan. The Project Monitoring and Control processes are performed throughout the program until the program is complete and ready to close. Elements of Monitoring and Control include:

- Schedule Management
- Variance Analysis
- Schedule Control
- Scope Change Control
- Cost Control
- Resource Management
- Risk Monitoring and Control
- Integrated Change Control
- Status Reporting

4.1.5 Closing

Program Closing includes bringing the program to an orderly conclusion, reviewing the key deliverables, gaining stakeholder agreement that planned objectives have been met, archiving program/project documentation and artifacts and conducting a review of the lessons learned (i.e., any useful information or experience gained through the course of the project that can be applied to a later phase or project activity).

Program Closing includes an overall assessment of program performance to evaluate the success of the program against original objectives and scope including approved change requests. This also includes an assessment of team member performance and the development observed during the project. Finally, since the Project involves change to the organization including business process, technology and people, this final assessment will identify any outstanding issues to ensure total organizational transition to the change.

4.2 Release Lifecycle Overview

The implementation timeline is structured around iterative project releases. Each release implements regulatory capabilities for a specified set of business areas (e.g., the first release will involve the Division of Licensing and the Division of Administration). Each release follows the same basic implementation lifecycle (Plan and Assess, Design, Develop, Test, Implement and Post-Implementation). Each of these release phases is broken down into domains which define the key activities and project team responsibilities.

There are five implementation phases performed for each release lifecycle:

- *Plan and Assess* – planning and preparation to ease design ramp-up
- *Design* – validate requirements, identify gaps, design processes, and solidify scope
- *Develop* – build/configure the designed solution
- *Test* – test the designed solution
- I*mplementation* – end-user education, user acceptance, and migration activities
- *Post-Implementation* – transition from project mode into a live, supported production operation

The tasks in these phases are assigned to five basic domains (project teams).

- *Project Management* – address return on sponsor investment for the project
- *People* – facilitate effective and efficient transition to the new business model
- *Process* – address business requirements and benefits
- *Information* – facilitate data strategy, data governance, and migration strategy
- *Technology* – facilitate information quality and integrity, integrate task and solution dependencies across domains and project phases, and deliver objects that address specifications and coding quality standards and management of appropriate application architecture and technical infrastructure

4.2.1 Plan and Assess

The Plan and Assess Phase will consist of learning new information and developing a common understanding of FDACS dynamic business environment. Additionally, it is anticipated that scope refinement and consequent recalibration will be required once the process tasks are concluded in the Plan and Assess Phase. This will allow for more informed and effective planning of the work effort required to execute the Develop Phase. Any material change affecting scope, critical milestones, and/or resources will be assessed, documented, and agreed upon using the Change Control Process and will be incorporated into the relevant phase-based detailed plans once agreed by both the vendor and FDACS.

The objective of the Plan and Assess Phase is to provide detailed initial project planning and preparation for the implementation of the RLMS project. It is during this phase that detailed release planning and scoping is conducted, strategies are defined, and resources are on-boarded. The detailed project schedule will define and clarify vendor and FDACS activities, dependencies, responsibilities, estimated effort.

The table below lists examples of activities and responsibilities for the Plan and Assess Phase. At the beginning of each release, the RLMS PMO team (FDACS and vendors) will determine the specific milestones, deliverables and activities needed – and update the Master Project Schedule accordingly.

CATEGORY	ACTIVITIES	DELIVERABLES
Project Management	▪ Finalize Project Milestone Plan for upcoming release ▪ Confirm baseline scope from the Statement of Work (SOW) for design ▪ Finalize extended project team roles and responsibilities ▪ Define project management procedures ▪ Resource and operationalize governance for project management procedures ▪ Confirm Project Tools Strategy ▪ Finalize detailed plan for Design Phase ▪ Assemble the Project Charter ▪ Conduct Project Kickoff ▪ Define structures to communicate, manage and escalate issues ▪ Risk, mitigation, containment and contingency planning	▪ High-Level Project Milestone Schedule ▪ Scope Baseline Document ▪ Project Team Organization Structure ▪ Project Management Procedures ▪ Project Management Governance Structure ▪ Tools Strategy ▪ Design Phase Project Plan ▪ Project Charter ▪ Project Kickoff Presentation ▪ Issue Log ▪ Risk Log

CATEGORY	ACTIVITIES	DELIVERABLES
People	▪ Determine Project Team Training Plan ▪ Confirm Organizational Change Strategy ▪ Confirm Communication Strategy ▪ Confirm End-User Education Strategy including technology requirements ▪ Conduct Initial Stakeholder Assessment to confirm Project objectives	▪ Project Team Training Plan ▪ Organizational Change Strategy ▪ Communication Strategy ▪ End-User Education Strategy ▪ Stakeholder Assessment (Initial)
Process	▪ Collect and review existing project-related materials	▪ Project Input Documentation
Information	▪ Confirm Data Security and Privacy Plan ▪ Confirm Reporting Strategy ▪ Confirm Data Migration Strategy	▪ Data Security and Privacy Plan ▪ Reporting Strategy ▪ Data Migration Strategy
Technology	▪ Confirm Project Documentation Standards and Templates ▪ Confirm Development Standards and Procedures ▪ Confirm Configuration Strategy ▪ Confirm Testing Strategy ▪ Confirm Technical Infrastructure Strategy ▪ Define Legacy System Change Strategy ▪ Install Enterprise System Sandbox System ▪ Conduct Plan and Assess Phase Gate Review	▪ Project Documentation Standards and Templates ▪ Development Standards and Procedures ▪ Configuration Strategy ▪ Testing Strategy ▪ System Landscape Strategy ▪ Legacy System Change Strategy ▪ Sandbox System ▪ Project Preparation Gate Review Package

Exhibit 6: Plan and Assess Phase Activities and Deliverables

4.2.2 Design

The objective of the Design Phase is to create a detailed description of FDACS' business requirements, to define the technical requirements to enable those business functions within the RLMS, and to develop and begin implementing an approach to manage the impacts to the organization. This phase also covers the creation of the system technical design, definition of required development work, and the establishment of a system that is ready for configuration and application development.

The table below includes examples of activities and responsibilities for the Design Phase. At the beginning of each release, the PPMO team (FDACS and vendors) will determine the specific milestones, deliverables and activities needed – and update the Master Project Schedule accordingly.

CATEGORY	ACTIVITIES	DELIVERABLES
Project Management	▪ Finalize scope for realization ▪ Manage and escalate issues ▪ Define Risks, Mitigations, Containment or Contingency Plans as each Issue is identified ▪ Finalize detailed Project Plan for Implementation	▪ Finalized Scope document ▪ Issue Log ▪ Risk Log ▪ Develop Phase Project Plan
People	▪ Conduct Stakeholder Analysis ▪ Create Communication Plan ▪ Define Organizational Design ▪ Develop Value Realization Action Plan ▪ Define Knowledge Transfer Monitoring Plan ▪ Determine user roles ▪ Determine jobs ▪ Conduct end-user education needs assessment	▪ Stakeholder Analysis ▪ Communication Plan ▪ Organizational Change Management Plan and Risk/Impact Assessment ▪ Value Realization Action Plan ▪ Knowledge Transfer Monitoring Plan ▪ User Roles Definition ▪ Job Definition Documents ▪ End-User Education Needs Assessment
Process	▪ Create Business Process Master List ▪ Prepare design workshop materials ▪ Conduct design workshops and gather requirements ▪ Develop enterprise system organizational structures ▪ Design automated and manual controls ▪ Identify functionality gaps ▪ Define processes ▪ Initialize custom development object definitions	▪ Business Process Hierarchy (BPH) ▪ Design Workshop Presentation Materials ▪ Requirements Traceability Matrix ▪ Configuration Rationale Specification for Enterprise System Organizational Structures ▪ Business Controls Document ▪ Prioritized Gap Analysis ▪ Process Definition Documents ▪ Custom Development Definition Documents (Initial)
Information	▪ Document master data requirements	▪ Master Data Requirements

CATEGORY	ACTIVITIES	DELIVERABLES
Technology	▪ Conduct enterprise system hierarchy workshops ▪ Document general settings requirements (number ranges, etc.) ▪ Oversee project tools installation and training of project team users ▪ Install development environment(s) ▪ Perform gap analysis ▪ Define disaster recovery and high availability requirements	▪ Hierarchy Workshop Presentation Materials ▪ Configuration Rationale; Specification for General Settings, such as Number Ranges ▪ Installed Tools Ready for Trained Users ▪ Development System ▪ Gap Analysis ▪ Technical Design Document ▪ Design Gate Review Package

Exhibit 7: Design Phase Activities and Deliverables

4.2.3 Develop

The objectives of the Develop Phase are to build/configure the system, conduct data migrations, and start preparing the organization for the impact of the changes. Building is comprised of configuring the system and creating development objects to address the specifications documented in the Design Phase. In parallel, data conversion cycles are practiced with incremental target increases in volume and accuracy.

At the beginning of each release, the RLMS PMO team (FDACS and vendors) will determine the specific milestones, deliverables and activities needed – and update the Master Project Schedule accordingly. The specific plans for most of the key Develop Phase activities are driven from the strategies that are agreed upon in the Design Phase.

The table below lists examples of activities and responsibilities for the Develop Phase.

CATEGORY	ACTIVITIES	DELIVERABLES
Project Management	▪ Define short-term production support strategy ▪ Manage and escalate issues ▪ Define risks, mitigations, containment or contingency plans as issues are identified ▪ Finalize detailed project plans for final Preparation Phase	▪ Short-Term Production Support Strategy ▪ Issue Log ▪ Risk Log ▪ Final Preparation Phase Project Plan

CATEGORY	ACTIVITIES	DELIVERABLES
People	▪ Consolidate user roles ▪ Develop end-user education content ▪ Define post go-live, ongoing education strategy ▪ Update Company Policies and Procedures and create a gap analysis ▪ Transfer knowledge	▪ User Role Matrix ▪ End-User Education Content ▪ Ongoing Education Strategy ▪ Updated Company Policies and Procedures ▪ Executed Knowledge Transfer Plan
Process	▪ Finalize detailed custom development definitions ▪ Confirm baseline configuration ▪ Confirm final configuration ▪ Cleanse and prepare legacy data ▪ Unit test custom development functionality ▪ Create functional unit test plans ▪ Document business process procedures ▪ Conduct functional unit tests ▪ Design automated and manual controls ▪ Create user acceptance test plans	▪ Detailed Custom Development Definitions (Final) ▪ Configuration Rationale Specification for Baseline Configuration Scope ▪ Configuration Rationale Specification for Final Configuration Scope ▪ Clean Data ▪ Functionally Tested Custom Development Objects ▪ Functional Unit Test Plan ▪ Business Process Procedures ▪ Tested Development System ▪ Control Requirements Form ▪ User Acceptance Test Plan
Information	▪ Create Data Migration Plans including data cleansing and data validation oversight ▪ Execute dry run data migration including data cleansing and data validation oversight	▪ Initial Data Migration Plan ▪ Data Migration Plan

CATEGORY	ACTIVITIES	DELIVERABLES
Technology	▪ Create custom development Technical Specifications ▪ Develop and technically unit test custom development objects ▪ Define Authorization Management Procedures and define organizational values and restrictions ▪ Create Integration Test Plan ▪ Integration test scripting ▪ Install quality assurance environment(s) ▪ Create Performance Test Plan ▪ Conduct Test Readiness Gate Review ▪ Install training-related systems including learning management system, training sandbox and document repository ▪ Create batch jobs ▪ Create Batch Schedule Master ▪ Compile the Cutover Plan ▪ Conduct systems integration test ▪ Install mock cutover environments ▪ Deploy site infrastructure ▪ Conduct Development Phase gate review	▪ Custom Development Technical Specifications ▪ Custom Development Code ▪ Authorization Management Procedure ▪ Integration Test Plan ▪ Integration Test Scripts ▪ Quality Assurance System ▪ Performance Test Plan ▪ Test Readiness Gate Review Package ▪ Training-Related Systems ▪ Batch Job Form ▪ Batch Schedule ▪ Cutover Manual Including Cutover Plan ▪ Tested Quality Assurance System ▪ Production System ▪ Site Infrastructure Deployment ▪ Develop Phase Gate Review Package

Exhibit 8: Develop Phase Activities and Deliverables

4.2.4 Test

The objective of the Test Phase is to evaluate the system's technical and functional compliance with specified requirements. The SI will be responsible for developing and executing a Test Management Plan appropriate for the solution and testing the system according to the approved Test Management Plan.

Testing comprises the following general types:

- Unit – Self-contained, component-level functional testing of configuration and development
- Integration – Process oriented testing of end-to-end business functions
- User Acceptance – Process-oriented testing of end-to-end business functions performed by client end users
- User Experience – Non-technical testing designed to assess the system's usability for client end-users
- System – Technical production system readiness testing
- Security – Security access testing, including negative testing

- Regression – testing to uncover new defects that may be generated due to changes or updates to the system

The testing will include the evaluation of the system and system data to ensure the availability and quality of required functionality and information and to detect any system defects.

The following defines the severity level categorization for testing defects.

SEVERITY LEVEL	DESCRIPTION	EXAMPLE
1	System Failure. No further processing is possible	Complete lack of system availability, results, functionality, performance, or usability
2	Unable to proceed with selected functionality or dependents	System unavailable, key component unavailable, or functionality incorrect and workarounds are not available
3	Restricted functional capability; however, processing can continue	Non-critical component unavailable or functionally incorrect and workaround is available
4	Minor cosmetic change	Usability errors where screen or report errors do not materially affect quality and correctness of function, intended use, or results

Exhibit 9: Defect Severity Levels

Once defects are remediated and re-tested, the test is considered complete when no Severity 1 or 2 defects remain and a disposition plan is in place for Severity 3 and 4 defects.

4.2.5 Implementation

The objective of the Implementation Phase is to prepare systems, processes, and people for the rollout and subsequent operationalization of the new system. The implementation will include the activities supporting the Go/No-Go decision around system Go-Live as well as operational readiness preparation such as training and internal and external communications. The overall purpose of implementation is to successfully move the system to production while ensuring that the department and its stakeholders receive the maximum benefits from the RLMS Project.

Implementation has been broken into two basic sub-phases: the steps needed to prepare for implementation and the steps needed to perform the implementation (often referred to as Go-Live).

4.2.5.1 Implementation - Preparation

The objective of Preparation is to verify readiness for production (Go-Live), including user acceptance, end-user training, site preparation, system project management, and cutover activities. Preparation serves as a last opportunity to address crucial open issues before Go-Live is reached.

The table below lists examples of activities and responsibilities needed to prepare for implementation. At the beginning of each release, the PPMO team (FDACS and vendors) will determine the specific milestones, deliverables and activities needed – and update the Master Project Schedule accordingly.

CATEGORY	ACTIVITIES	DELIVERABLES
Project Management	▪ Manage and escalate issues ▪ Define Risks, Mitigations, Containment or Contingency Plans ▪ Define help desk procedures ▪ Create detailed plan for Go-Live and Post-Implementation Phase	▪ Issue Log ▪ Risk Log ▪ Action Items Log ▪ Implementation Checklist for Go-Live ▪ Help Desk Procedures ▪ Go-Live and Post-Implementation Phase Project Plan
People	▪ Update Value Realization Action Plan ▪ Deliver End-User Education ▪ Conduct End-User Education Assessments ▪ Define Business Continuity Plan ▪ Define Go-Live Criteria ▪ Obtain approval for cutover	▪ Updated Value Realization Action Plan ▪ End-User Training Assessments ▪ Business Continuity Plan ▪ Go-Live Checklist ▪ Approved Go-Live Checklist
Process	▪ Perform data reconciliations and obtain signoffs ▪ Conduct user acceptance testing	▪ Data Validation Signoff ▪ User Acceptance Signoff
Information	▪ Execute and refine data migration plan including data cleansing and data validation oversight	▪ Finalized Data Migration Plan ▪ Finalized Go-Live Playbook, documenting a detailed step-by-step process to complete production implementation and the party responsible for each step

CATEGORY	ACTIVITIES	DELIVERABLES
Technology	▪ Conduct performance test ▪ Tune Enterprise System System(s) ▪ Conduct Systems Management tests ▪ Execute and refine the Cutover Plan ▪ Assess archiving needs ▪ Build live production System ▪ Rehabilitate or retire Legacy Systems	▪ Performance Tested Systems ▪ Tuned Enterprise System System(s) ▪ Technical System Test Results ▪ Final Frozen Cutover Manual and Cutover Plan ▪ Archiving Needs Assessment ▪ Production System ▪ Modified Legacy Systems

Exhibit 10: Implementation - Preparation Activities and Deliverables

4.2.5.2 Implementation - Go-Live

After all the necessary implementation preparation steps have been completed (e.g., user training, data cleansing, etc.), implementation Go-Live tasks are used to transition the user community from the legacy applications to the new enterprise solution. Go-Live is the process of moving from a pre-production environment to a live-production environment, and the beginning of transition of the production application to the support organization.

The table below lists examples of activities and responsibilities for Implementation Go-Live. At the beginning of each release, the RLMS PMO team (FDACS and vendors) will determine the specific milestones, deliverables and activities needed – and update the Master Project Schedule accordingly.

CATEGORY	ACTIVITIES	DELIVERABLES
Project Management	▪ Provide short-term production support ▪ Manage and escalate issues ▪ Define Risks, Mitigations, Containment or Contingency Plans ▪ Stabilize the Go-Live and verify live business process results ▪ Document Project signoff and closure	▪ Executed Center of Excellence Knowledge Transfer Checklist ▪ Issue Log ▪ Risk Log ▪ Stabilized System ▪ Project Closeout Report
People	▪ Develop and track Value Realization Measures ▪ Evaluate effectiveness of End-User Education ▪ Create ongoing education plan from ongoing education strategy	▪ Value Realization Analysis ▪ End-User Education Effectiveness Report ▪ Ongoing Training Plan
Process	▪ Execute the Go-Live Playbook	▪ Go-Live Playbook Status Report

CATEGORY	ACTIVITIES	DELIVERABLES
Information	▪ Document implementation progress, problems, corrective actions, etc.	▪ Post-Implementation Status Report documenting the success of the implementation activities
Technology	▪ Cutover to Production System ▪ Perform a controls and security post implementation assessment ▪ Create Upgrade / Enhancement Strategy	▪ Executed Cutover Plan ▪ Controls and Security Post Implementation Assessment ▪ Upgrade / Enhancement Strategy

Exhibit 11: Implementation - Go-Live Activities and Deliverables

The Systems Integrator will provide production support assistance during Go-Live and sustainment to help facilitate an effective and orderly transition for ongoing production support to the long-term support organization.

The table below lists Systems Integrator activities that will occur in addition to the activities and responsibilities managed under Project Management, People, Process, Information, and Technology during the Implementation Phase.

CATEGORY	ACTIVITIES
Systems Integration	▪ Provide heightened production support assistance during the Go-Live support for one month after Go-Live ▪ Participate in preparing daily reports on incidents and resolution progress on high-priority issues ▪ Transfer incremental knowledge related to the RLMS Project to the support organization ▪ Act as issue support group for FDACS Support Desk with respect to implementation issues and problems ▪ Provide a period of post-implementation support

Exhibit 12: Systems Integrator Activities

4.2.6 Post-Implementation

Post-Implementation efforts are necessary to ensure that gains are maintained and adoption is confirmed. Ongoing performance of actions in keeping with the direction agreed to at the end of each event is necessary to form a foundation for future improvements. The Post-Implementation initiative will involve the routine completion of simple audit checklists based on a systematic review of actions completed and a regular walk-throughs of the processes completed every other month to confirm adherence to the guidelines and goals that govern the project. Activities may include:

- Maintain audit calendar
- Conduct audits
- Prescribe corrective actions

As the system is implemented, the organization will see opportunities for optimizing the implementation of the new system. To take advantage of these process improvements the RLMS PMO will develop a plan to implement the following:

- Creating formal documentation
- Training of staff on revised process
- Revising procedures and creating
- Communicating results and benefits to employees in the affected area
- Engaging the Finance function to calculate benefits
- Monitoring gains on local Key Performance Indicators (KPIs)
- Developing audit criteria for future use

4.2.7 Overall Project Activities

Supplementary to the defined release phases and activities, there are additional, overall tasks. These tasks have shared vendor and FDACS responsibility and continue throughout the lifecycle of the project. At the beginning of each release, the RLMS PMO team (FDACS and vendors) will determine the specific milestones, deliverables and activities needed – and update the Master Project Schedule accordingly. Examples are described in the exhibit below.

CATEGORY	ACTIVITIES
Project Management	▪ Overall execution of project ▪ Perform Project Tracking and Reporting ▪ Secure and Manage Project resources including extended project resources, stakeholders, impacted and third parties ▪ Oversee contractual responsibilities ▪ Administer Project Change Control Procedures ▪ Govern Project Standards and Procedures
Process	▪ Oversee business analysis activities
People	▪ Maintain both internal and external Project communications ▪ Monitor end-user learning and adoption
Technology	▪ Manage technology and information strategy, analysis, and quality
Information	▪ Monitor and ensure data security, quality, integrity, and availability

Exhibit 13: Overall Project Activities

5 Scope Management Plan

The Scope Change Management Plan describes how the project scope changes are defined, documented, verified, managed, and controlled. During the planning process, requirements will be captured; the scope defined by identifying and describing the work needed to produce the system and ensure sufficient detail is included so that:

- All known project work has been identified;
- Appropriate management controls can be applied; and, no
- A Work Breakdown Structure (WBS) is developed.

Scope Management (Change Control) helps to validate requested changes to the project scope are justified, measured, and approved. The Scope Change Management Plan identifies the process used to manage and control the project's scope such that:

- Processes needed to manage and control project scope are defined; and,
- The Project Team understands its role.

RLMS Project Scope changes require a formal change request, and all formal change requests must be tracked (see exhibit below) using the RLMS Project Scope Log. Once a change request is identified, it is entered into the Scope Change Log in the RLMS project library. Change requests are reviewed as part of the RLMS weekly status report meeting. Minor changes (i.e., changes having no negative impact on cost, critical path, or final quality of solution) can be approved by the PPMO Manager, while major changes must be referred to the Executive Sponsor and/or the IT Governance Team. The Project Scope Log can be found on the RLMS SharePoint site at RLMS SharePoint Site.

SCOPE CHANGES

CR ID	DATE SUBMITTED	CHANGE DESCRIPTION	COST IMPACT	SCHEDULE IMPACT	STATUS	ASSIGNED TO	PRIORITY	LINKAGE

Exhibit 14: Scope Change Tracking – FDACS SharePoint Site

Legend:

- CR ID (Change Request ID) – a unique sequence number assigned to each Change Item
- Date Submitted – date the change request was submitted to the PM team
- Change Description – a narrative of the nature of the request and intended results

- Cost Impact – a description of all potential and realized impacts of the requested change, including but not limited to schedule impact, cost, resources, contract terms and conditions, and so forth
- Schedule Impact – an assessment of the effect of the change on the schedule
- Status – an indicator of the stage at which the change request is being handled through the process
- Assigned To – the person responsible for guiding the change through approval process
- Priority – an assessment of the importance or urgency of the change request
- Linkage (Linkage to Other Logs) – traceability references to related items in the Issue, Action, and Decision Logs
    - Risk Log Number – Number assigned in Risk Log
    - Action Log Number – Number assigned in Action Log
    - Issue Log Number - Number assigned in Issue Log
    - Decision Log Number – Number assigned in Decision Log
    - Lessons Learned Log Number – Number assigned in Lessons Learned Log

5.1 Project Change Control Process

FDACS PPMO maintains a Change Request Log on the RLMS SharePoint containing all submitted change requests, whether proposed by the vendor or requested by FDACS.

Exhibit 15 below graphically depicts the RLMS Project Change Control Process.

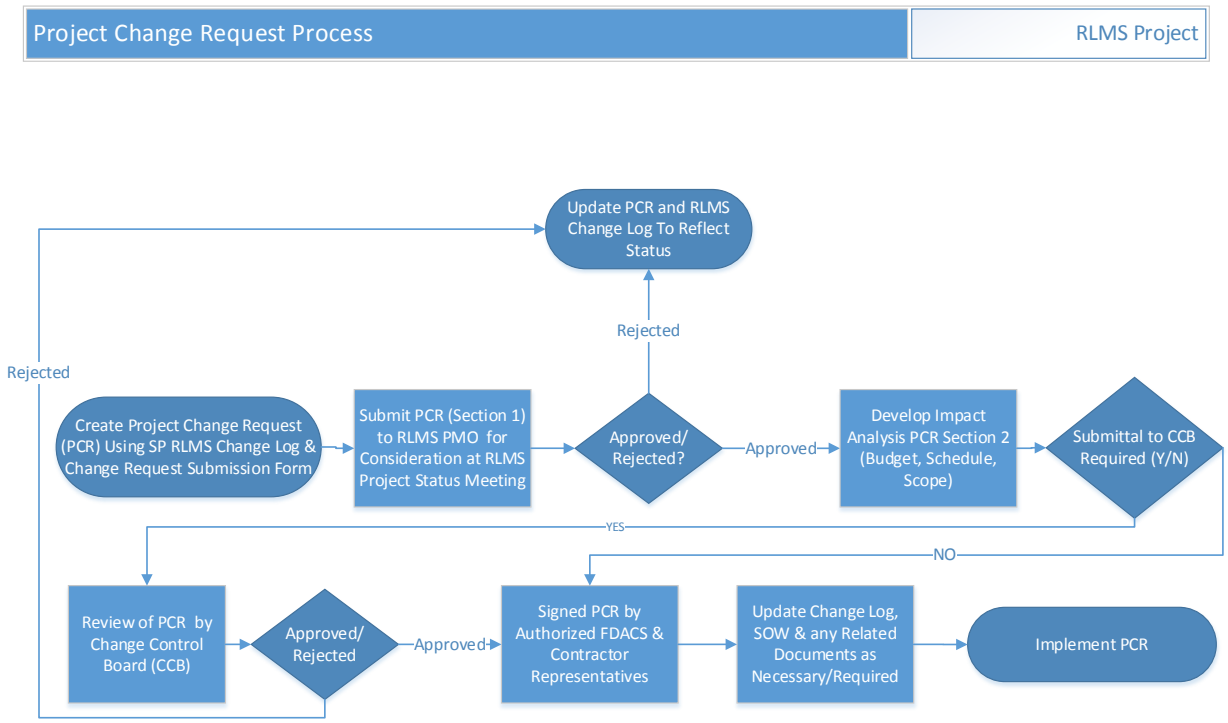


Exhibit 15: Project Change Request Process

As depicted above, the process described below will be followed if a change to the Project statement of work (SOW) is required:

- A Project Change Request (PCR) form will be the vehicle for requesting and communicating a change request.
- The PCR form must be completed with the appropriate level of detail so impacted parties can make informed decisions.
- The designated Project Manager of the requesting party will review the proposed change and determine whether to submit and present the request at the RLMS Project Status Meeting.
- The RLMS PMO will review the submitted request and either reject the request or approve for submittal to the Change Control Board (CCB).
- The Change Control Board will review the proposed change and agree to implement it or reject it.

- A PCR must be signed by authorized representatives from both parties to authorize the proposed change.
- A PCR must be signed by authorized representatives from both parties to authorize implementation of any agreed changes to the SOW and the agreement. Until a change is agreed to in writing, both parties will continue to act in accordance with the latest agreed version of the SOW.
- The SI will invoice RLMS for any such charges per the terms of the SOW and the agreement.
- A PCR that has been signed by authorized representatives from both parties constitutes a change authorization for purposes of the SOW and the agreement.
- The Change Control Board is made of the following:
    - FDACS Executive Sponsor
    - FDACS PPMO Manager
    - Impacted Business Owner
    - FDACS Project Manager

The next three exhibits provide the template for the Change Request form the party requesting a PCR must complete and submit in order to initiate the Project Change Control Process.

Exhibit 16: Change Request – Section 1

Section 1 – Change Request Initial Submission	
Instructions to Requestor: Please fill out items 2 through 17 in Section 1 and submit to the Risks, Assumptions, Issues and Dependencies (RAID) Coordinator. Items noted with an asterisk are required. Subsequent sections are completed as the Change Request is processed. [Text in grey provides instructions or examples. Please delete or replace with Arial 9 Black text before submission.]	
1 Change Request #	**2 Change Request Title***
[Assigned by the RAID Coordinator upon validation]	[A short descriptive title of the Change Request]
3 Requestor*	**4 Submission Date***
[The person requesting the change]	MM/DD/YY
5 Request Type*	**6 Magnitude of Change**
[Planning Document, Schedule, or Functionality]	[Small, Medium, Large]
7 Process Owner	**8 Impacted Business Processes**
[Owner of the process primarily impacted by the change, required for Functionality changes]	[e.g., Establishment, added functionality]
9 Defect Identifier	**10 Additional Identifier**
[If known, from Defect Management process]	[If applicable]
11 Priority	**12 Requested Implementation Date**

[Low, Medium, High, Emergency - indicates how quickly the request must be addressed]	[date by which the change must be implemented, MM/DD/YY]
13 Description of Requested Change*	
(Narrative description of the Requested Change)	
14 Rationale for Change*	
(Narrative description of the Requested Change)	
15 Impact if Change not implemented	
(Narrative description of impact of not implementing the change)	
16 Workaround (if applicable)	
(Narrative description of workaround, if known)	
17 Deliverables or Artifacts Impacted	
[Initial assessment, e.g., Schedule, Project Mgt. Plan, procedures, training materials, etc.]	
18 Validation Date	**19 Validated By**
[indicates form validated – MM/DD/YY]	[RAID Coordinator]

Exhibit 17: Change Request – Section 2

Section 2 – Impact Analysis	
To be completed by the RAID Coordinator with input from potentially impacted stakeholders. This section addresses the impact of the requested change on scope, schedule, budget, quality, and risk. Required for changes impacting system functionality or significant changes to the project schedule.	
Dependencies	
Summary of the related deliverables, tasks, or activities that would need to be changed or completed.	
20 Impact Analysis Authorized Date	**21 Impact Analysis Priority**
[Indicates Project Director authorization to proceed with Impact Analysis, MM/DD/YY]	[Low, Medium, High, Critical - indicates how quickly the analysis must be addressed]
22 Scope Impact	
[Narrative description of impact to Scope]	
23 Schedule Impact	
[Narrative description of impact to Schedule]	
24 Financial Impact ($)	
[Narrative description of impact to budget. Related total impact to the project financials (in dollars). This field includes a number and can be zero, positive, or negative.]	
25 Size Impact	
Related total impact in terms of size determined by the specifics of the change. For example, if this change is related to reports, size impact refers to change in the number of reports.	
26 Impact Summary	

Summary of impact that the change will have on the team or entire project (including all financial, schedule, effort, and size impacts).				
27 Impacted Artifacts				
[Detailed list of all impacted artifacts, including requirements, functional specifications, technical specifications, test scripts, procedures, training materials, etc. Attach separate list if needed]				
28 Implementation Task List	**29 Position(s)**	**30 Cost/Hour**	**31 Level of Effort (Hrs)**	**32 Cost ($)**
[Detailed list of all tasks required to implement the change, at the artifact level, e.g. revise functional specification, review and approve functional specification, re-execute test script, etc. Attach separate list in Excel or project format, as required].				
Task 1	Resource 1			Estimate 1
Task 2	Resource 2			Estimate 2
		Totals	**0**	**0**
33 Impact Analysis Completed	**34 Proposed Change Request Lead**			
MM/DD/YY	[Individual to oversee implementation]			

Exhibit 18: Change Request – Section 3

Section 3 - Authorization		
This section documents the disposition of the Change Request.		
35 Disposition	**36 Disposition Date**	**37 Disposition By**
[Authorized, Rejected, Deferred, Withdrawn]	MM/DD/YY	[PPMO Manager, Executive Sponsor]
38 Disposition Comments		
[Narrative explanation of disposition]		
39 Revised Priority (if Authorized)		**40 Requested Change Implementation Date**
[Critical, High, Medium, Low– indicates how quickly the change the change is to be implemented]		MM/DD/YY
41 Authorized Change Request Lead		**42 Implementation Plan Approved Date**
[Individual to oversee implementation]		MM/DD/YY
43 Actual Implementation Date		**44 Change Verification Date**
MM/DD/YY		MM/DD/YY
45 Change Request Closed Date		
MM/DD/YY		
46 FDACS Authorized Representative Signature		
47 Contractor Authorized Representative Signature		

6 Schedule Management Plan

This section defines the policies, procedures, and documentation for planning, developing, managing, executing and controlling the timely completion of the project.

The Schedule Management Plan describes the RLMS Project's process for preparation and maintenance of the comprehensive overarching enterprise or Master Project Schedule, incorporating any subordinate or lower-level schedules as required, including activities performed by the RLMS Project personnel team and vendors. The plan identifies processes to monitor actual project progress against the baseline Master Project Schedule and how to track the schedule against any formal changes to the plan.

The RLMS Master Project Schedule (RMPS) integrates all tasks and their required attributes from each project team (department and vendors). Each project workstream will appoint a schedule coordinator

whose schedule management responsibility is to work directly with the PMO (PMO Schedule Manager) to facilitate the bidirectional communications and any collaboration required for maintaining the RMPS and keeping the project completion on time.

The following section outlines the high-level critical tasks of the Project's schedule management approach and the key metrics that will be used to measure the Project's schedule performance.

The exhibit below lists the Schedule Management Processes as defined in PMBOK®.

Exhibit 19: Schedule Management Processes

6.1 Key Activities

The following table lists the activities required as part of Schedule Management Plan. In order to achieve the results expected from this plan, the project team must implement each of these activities into their regular (daily, weekly, monthly, etc.) processes. Each process will be evaluated at regular intervals for compliance.

RECURRING SCHEDULE ACTIVITIES	FREQUENCY	ROLE RESPONSIBLE
Schedule updates for project status meetings	Weekly	▪ Schedule Coordinators and/or Workstream Leads
Task status reporting	Weekly	▪ Schedule Coordinators and/or Workstream Leads
Project Schedule updates	Weekly	▪ Schedule Coordinator /PMO
Generate schedule related reports for input to project status report	Weekly	▪ Schedule Coordinator /PMO
Rolling wave schedule planning	Quarterly	▪ PPMO Manager ▪ Project Manager ▪ Schedule Coordinator ▪ PMO Workstream Leads
Schedule updates for IT Governance Team meetings	Monthly (3rd week of each month)	▪ PPMO Manger ▪ Project Manager ▪ IT Governance Team

RECURRING SCHEDULE ACTIVITIES	FREQUENCY	ROLE RESPONSIBLE
Evaluate the effectiveness of the Schedule Management Plan	Ongoing	▪ Schedule Management Plan Owner

Exhibit 20: Key Activity List

6.2 Plan Performance Metrics

As a result of the activities above, it is expected that the project team will perform at certain measurable levels. The following table includes the expected levels for measurable criteria related to the Schedule Management Plan. These levels will be evaluated at regular intervals for compliance.

CRITERIA DESCRIPTION	MEASUREMENT
Task status reports submitted on time	95% compliance
Quarterly rolling wave planning sessions occurring	95% compliance
Percentage of resources over allocated	< 5%
Percentage of Schedule Duration Slippage	< 1%
Number of 900-level tasks delayed	Track over time
Number of 300-level tasks delayed	Track over time
Number of 100-level tasks delayed	Track over time
Quarterly rolling wave impact on the project development end date	< 45 Calendar Days
Schedule Performance Index (SPI)	< 0.9 or > 1.1
Schedule Variance	> 0
Estimate to Complete (ETC)	Track over time
Estimate at Completion (EAC)	Within 2% of Budget
Milestone/Deliverable Critical Path Schedule Variance	

CRITERIA DESCRIPTION	MEASUREMENT
Overall Task Completion Variance	
Number of Late Tasks (start and complete)	
Late Task Aging	
Variance at Completion	> 0

Exhibit 21: Plan Metrics

6.3 Roles and Responsibilities

The RLMS Project uses Microsoft Project version 2010 or higher to provide the integrated RLMS Master Project Schedule (RMPS) as its primary schedule-planning tool. The roles and responsibilities of the key players are addressed in the table below.

ROLE	RESPONSIBILITY
FDACS Schedule Coordinator	▪ This role is assigned by the FDACS PPMO Manager and will be the responsibility of the RLMS PMO. ▪ Coordinates the consolidation of workstream activities into the RMPS ▪ Coordinates with the Workstream Schedule Coordinators on tasks, resources, and dates as needed ▪ Manages and oversees resource assignments and allocations ▪ Escalates issues with incomplete schedule activities ▪ Manages the baseline schedule ▪ Monitors schedule against schedule evaluation metrics ▪ Reviews updates from workstream activities in the Master Project ▪ Schedules and updates the Master Project Schedule weekly ▪ Coordinates resolution of problems and schedule conflicts across sections ▪ Generates bi-weekly reports: Critical Path, Late Tasks, Detail Summary Status Report, and Resource Allocation

ROLE	RESPONSIBILITY
Workstream Schedule Coordinators	▪ These roles are assigned by the Project Managers and will be the responsibility of the workstream leads unless otherwise designated. ▪ Determines the status of assigned activities for their section(s) and provides updates on a weekly basis ▪ Tracks their assigned activities to completion ▪ Works with other Schedule Coordinators to identify and negotiates inter-project dependencies ▪ Analyzes impacts of schedule and resource changes, documents any risks ▪ Manages and/or completes tasks as assigned in the project schedules
Project Manager	▪ Allocates resources ▪ Ensures that RLMS team members comply with the schedule management processes
Workstream Leads	▪ Ensures team members comply with the schedule management processes
IT Governance Team	▪ Reviews schedule status and major schedule risks and issues on a monthly basis ▪ Ensures major schedule issues are resolved and major schedule risks are mitigated in a timely fashion ▪ Reviews and approve any material changes to project schedule
Project and Portfolio Management Office (PPMO)	▪ Conducts schedule reviews to ensure the Schedule Management Plan is being followed ▪ Provides mentoring and technical support to the RLMS Project Manager ▪ Develops quarterly rolling wave reports

Exhibit 22: Schedule Management Roles and Responsibilities

6.4 Schedule Management

Project Schedule Management for RLMS involves identifying the workstream activities to be included in the RLMS Project. The products and services to be provided by workstream leads are:

- Developing activity schedules;
- Assigning resources for these projects;
- Integrating the schedules into the RMPS; and
- Executing and managing these workstreams according to the Schedule Management Plan.

This plan identifies the approach and guidelines for defining work breakdown structures, activities, and resource requirements that are common among all RLMS workstreams. By sharing the same approach and, tools, the ability to coordinate and exchange information between workstreams is greatly improved.

The sub-sections below review the key scheduling components and how they are being implemented on the RLMS Project. They establish a framework for how RLMS Schedule Coordinators will interact with each other and the RLMS Schedule Coordinator/RLMS PMO to ensure schedules are developed and maintained as consistently as possible.

The schedule management approach is based on the PMBOK® project planning framework. The following exhibit provides an overview of the Schedule Management Planning processes.

Exhibit 23: Schedule Management Planning Framework

6.4.1 Work Breakdown Structure

Project schedule development begins with the definition of the products and services, or "deliverables" that make up the project. This is accomplished through a Work Breakdown Structure (WBS). The WBS is a hierarchical view of the products and services (including Project Management and oversight work) that are included in the Project. The WBS allows for the accumulation and summarization of schedule data necessary to track project progress.

6.4.2 Activities

Activities are the fundamental work elements of a project. They describe what is being done to complete work and are found at the lowest level of the WBS. They are the smallest subdivision of work that directly concerns a project manager.

The primary resource assigned to perform the activity is responsible for managing and tracking the progress, while the Workstream Lead is responsible for managing and tracking the progress of the overall activity.

The WBS work products are decomposed into work packages consisting of activities of no more than 80 hours of effort that can be more easily tracked and reported within the schedule status and reporting processes.

The Master Project Schedule was developed and will be maintained using the following standards:

- Project activities' durations/effort will be by hours not days.
- An activity will be the responsibility of one primary resource.
- Activities within the six-month rolling wave planning window must be no more than 80 hours' duration. Activities outside of the six-month rolling wave planning window may exceed 80 hours, but it is recommended that more detailed activities be included in the schedule when they are known, even if this is outside of the six-month planning window.
- Activities must be defined with clear, objective completion criteria.
- Major work efforts (a development phase) will include a final task to review the phase exit criteria.

Exceptions to the standards must be approved and have a justifiable reason for non-compliance that still maintains the ability to monitor progress of activities without making the process burdensome to those reporting status. Currently, only two types of activities are acceptable exceptions to the 80-hour duration rule within RMPS. Those exceptions are:

- Activities that are being tracked at sufficient detail in an external database that can provide progress status as input to the status reporting process; and,
- Activities that are level-of-effort tasks that do not have a definitive work product produced (e.g., technical support, deliverable reviews or ongoing maintenance type work efforts).

When adding an activity to a project schedule, the Schedule Coordinator must provide the RMPS Coordinator/RLMS PMO with the following data for each activity in the Project Schedule.

- Activity Description
- Activity Start Date (or predecessor activity)
- Activity Finish Date (or duration)
- Actual Start
- Actual Finish
- Comments
- Critical Path
- Successor/Predecessor Activities
- Activity Workstream Lead
- Resources Required (minimum by role)
- Effort Required
- Task Priority

Level-of-Effort (LOE) activities refer to ongoing activities that are performed continuously throughout the life of the Project and typically do not have definite start and finish dates or durations associated with them. The LOE activities are support tasks that do not directly tie to project deliverables but still require the efforts of project resources. Examples of this type of activity are logging time on timesheets or checking/sending e-mail. While LOE activities are important and must be carried out on a daily or weekly basis, these activities provide no value for tracking in the RMPS.

There are additional activities in support of the vendors' development efforts. These are similar to LOE activities in that the FDACS resources assigned to them are not responsible for creating work products or

deliverables (deliverables are the vendor's responsibility). However, they differ from typical LOE activities in that they have start and finish dates, and are tied to the vendor's schedule. The RMPS must include such support activities, and link them to the vendor's schedule, so FDACS staff participation can be planned and coordinated with the vendor. Vendor's activities must be included in the schedule, and the vendor need to work with the PPMO to ensure that they are.

LOE activities will not typically be placed in the RMPS. Where LOE tasks constitute a significant part of a resource's work, the resource's available hours can be reduced. LOE activities are to be managed through the staffing process defined in the Staffing Plan.

6.4.3 Activity Description/Activity Naming Convention

The RMPS is available to many different stakeholders inside and outside of the project. All potential recipients of schedule information must be able to understand the descriptions of the activities and milestones; therefore, descriptions must be as clear as possible. In general, deliverable-related tasks must be actionoriented.

Each task identified must clearly identify the team assigned to the task, or its association with a particular project or deliverable. Example: a task for the Project Management Team (PMT) status meeting will be given the full name "PMT Status Meeting" and not shortened to "Status Meeting". A task for a maintenance project must include the maintenance project identifier number in the task name, for example "312345 – Conduct Unit Test for Batch Program." A task associated with a specific unique deliverable might be named "B212 Business Blueprint – Conduct Technical Review Session 2."

6.4.4 Activity Start Date (or predecessor activity)

Each task must have the activity start date identified. Activity Start Date is the date the activity is expected to begin or, alternatively, activities whose completion will allow the initiation of this activity.

6.4.5 Activity Finish Date (or duration)

Each task must have the activity finish date identified. The Activity Finish Date is the date when the activity is expected to be completed. It is driven by the duration of the activity starting with the Activity Start Date. Tasks must all be driven by predecessors and lags. All tasks must be linked to a predecessor task to drive the task dates. The use of predecessors and lags are required so a true critical path can be defined and impacts of movement of task dates based on actual completion of tasks can be evaluated.

Actual Start, Actual Finish, and Estimate to Complete information will be maintained as part of the project schedule in order to support the department's project performance Quarterly Reports to the Legislature.

6.4.6 Successor Activities

Where appropriate, each task must include successor/predecessors. A successor activity is any activity that is dependent on the start of or completion of another activity.

6.4.7 Activity Workstream Lead

The manager responsible for completion of each activity will be identified in the "PMO: Task Owner" field of that activity in the schedule. The responsible Workstream Lead for an activity must be someone who is in a position to exercise a reasonable amount of authority to see that the work is completed.

6.4.8 Resources Required

Resources include the personnel and equipment needed to perform work on an activity. Labor (people) resources can be explicitly identified (e.g., John Smith), or roles can be defined (e.g., Systems Analyst). Roles may be temporarily assigned during initial, high-level or rolling wave planning stages of a project to see how certain resources affect the schedule. During the rolling wave sessions, the roles will be replaced with explicitly defined resources (e.g., Systems Analyst becomes John Smith). Named resources (people) must be assigned to all tasks within the 6-month rolling wave planning window.

The RMPS contains a pool of resources shared across the RLMS Project portfolio. Accordingly, project resources may be shared across the various RLMS Project workstreams. The RMPS Coordinator/RLMS PMO will include and track all project resources in the RMPS Master Resource Pool. An estimated percentage of effort will be included with the resource to define the level of participation in the activity.

Workstream Leads for Systems Integration, Strategy and Organizational Transformation, and RLMS Project Management must use the resource names as listed in the RMPS when planning, managing, updating, and reporting their workstream activities. This prevents resource duplication when workstream and project release activities are added to and/or updated in the RLMS Master Project Schedule.

Resources will not be assigned to summary-level tasks or to milestones.

6.4.9 Effort Required

Effort must be included. The effort required is the estimated units of work in hours needed to perform and complete the activity. The RLMS Master Project Schedule will utilize hours for tracking effort.

6.4.10 Activity Sequencing

Once the activities to develop a deliverable have been defined, the next step is to identify and document the sequence in which work will be performed. Identifying direct relationships between tasks provides

greater understanding of the project tasks and the schedule. By identifying the logical relationships between activities in scheduling, the sequence and dependencies of tasks can be identified.

All work performed on the RLMS Project will flow into or feed other work yet to be performed on the project. This is called a predecessor/successor relationship. Each activity must have at least one predecessor and one successor defining its sequencing. These activity dependencies must be defined at the lowest activity detailed, rather than at a summary level.

Relationships within the RMPS are not limited to the activities of a single WBS element. The Workstream Lead developing the schedule for a deliverable must be aware of relationships with other activities in other WBS elements or workstreams.

The following types of logical relationships show that activities can be linked to one another in several different ways:

- Finish to Start (FS) Relationship – A relationship in which the start of a successor activity depends on the completion of its predecessor activity.
- Finish to Finish (FF) Relationship – A relationship in which the finish of a successor activity depends on the finish of its predecessor activity.
- Start to Start (SS) Relationship – A relationship between activities in which the start of a successor activity depends on the start of its predecessor.
- Start to Finish (SF) Relationship – A relationship between activities in which the finish of a predecessor activity depends on the start of its successor.

Finish to Start is the most common relationship between activities and is the default. It is the relationship that will be used for the RLMS Project.

Constraint Dates – Constraint dates are used to control activity start or finish dates. Constraint types include start on, start on or before, start on or after, finish on, finish on or before, finish on or after, as late as possible, mandatory start, and mandatory finish. Each type will result in a different calculation of date and float. Constraints can be useful for establishing targets, or for ensuring that activities appear on a specific date (like scheduled meetings), but they must be used with caution because they can cause violations of logical relationships. If no constraint and constraint date are defined, the activity will be scheduled to begin as soon as possible. RLMS Project constraints will be determined by the PPMO.

6.4.11 Milestones

A milestone is an activity with no duration (zero days) and no resources. Milestones represent the completion of significant work packages/efforts, the start or end of a project phase, deliverables, or some other key event. For the RMPS, milestones are used for two main purposes: 1) to designate key progress markers, events or deliverables that can be used to monitor and measure project progress and provide management review points and 2) to establish dependencies between the RLMS workstreams.

- Monitor and measure project progress. By comparing the baseline completion dates for milestones with the actual completion dates, it can be determined whether the Project overall is on schedule. This comparison can also help identify the portions of the overall Project that are ahead or behind schedule and then determine what kind of corrective actions will be taken to keep the project on schedule. These corrective actions will be managed through the Issue/Action Item Management (Section 15). The schedule contains a field (PMO: Major Milestone) that is used to monitor the major milestones that have been deemed critical to the RLMS project by RLMS leadership. Note that a project may also have its own internal milestones, used by the Project Manager to monitor progress of work within that project. These internal milestones may or may not be used to report project progress or schedule variances at coordination team meetings.
- Establish dependencies between RLMS workstreams. RLMS workstream schedules are initially developed at a high level and, for the most part, are independent from other RMPS workstreams. One of the essential RMPS planning activities is identifying where one workstream will impact another. These impacts typically occur when a product or output from one workstream is needed by, or provides input to, an activity in another workstream. To document such a dependency, the delivering workstream defines a milestone marking the completion of its work product. The receiving workstream defines a milestone for accepting the work product. In the RMPS, these milestones are linked "finish to start" to document the dependency. The most frequent use of such milestones in the RMPS is to document interaction between the vendor's workstream and the FDACS' efforts. A milestone defined in the RLMS schedule reflects the receipt of deliverables from the vendor. The completion of the milestone initiates a series of FDACS review and approval activities.

6.4.12 Resource Planning

When defining an activity, the physical resources, resource quantities , and the scheduling of resources required to accomplish the work must be determined. Consideration must also be given to availability and the number of hours per day a resource can devote to project tasks. The processes to manage project-staffing levels are defined in the Staffing Plan.

The goal of resource planning is to ensure the appropriate resources are available to do the work required on critical activities, to determine if a resource is over-allocated during a particular time period, and to provide decision support to Executive Management. Resources that will be estimated include the key members of each Project Team.

As individual workstream schedules and resource requirements are consolidated in the RMPS, the RMPS Schedule Coordinator/RLMS PMO, the RLMS Project Manager/RLMS Process Manager, and the Systems Support Process Manager will work with the responsible managers and Schedule Coordinators to identify those resources that are over-allocated, the source(s) of the over-allocation, and possible courses of action to reduce the over-allocation and level resource requirements to achieve a realistic workload.

If there is no obvious resolution to a situation where a resource is over- or under- allocated, the Workstream Lead owning the task will reference the processes included in the Staffing Plan and work with the Project Manager to resolve the issue.

6.4.13 Resource Leveling

Resource Over-Allocation occurs when activities/tasks are competing for the same resource at the same time. There are several means which can be used together or independently to eliminate and/or reduce the over-allocation of a resource. Resource reallocation from non-critical to critical activities is a common way to bring the schedule back, or as close as possible, to its originally intended overall duration. Other methods to reduce duration of critical activities will also be considered, such as the utilization of extended hours, weekends, multiple shifts, or the use of different technologies. Incorporation of the latter method will increase productivity and have a compounded improvement of the activity's duration.

The steps to resolve over-allocation are:

- Reallocate a resource's time on a task from periods of over-allocation to periods of under-allocation.
- Switch or replace the over-allocated resource with an available resource.
- Assign additional resources to the activity.
- If additional resources are not available, reschedule the activity to a time when the resource is available.
- If additional resources are not available, increase the resource's workweek.
- If additional resources are not available, increase the resource's workday.

Additional resource allocation management activities are detailed in the Staffing Plan.

6.4.14 Duration Estimation

It is expected that the duration of all new work on the Project will utilize the guidelines, appropriate estimating tools and techniques available for the Project as described in the sections below. The duration of an activity will be determined by the Workstream Lead responsible for that activity. The method of determining the duration can vary depending on the nature of the activity. In determining an activity's duration, Workstream Leads will take into consideration the following:

- Task finish date relative to the project's key milestones
- Task constraints
- Task assumptions
- Resource requirements
- Resource capabilities
- Identified risks

Standards for Duration Estimation:

- Duration estimation will be based on the quantity of work in hours required to complete the task, the amount of available resource(s) with the skills to complete the task, the standard calendar used for all RLMS workstreams and individual resource calendars. The standard calendar defines the length of the work day and non-work days such as weekends and holidays. Individual resource calendars define

individual schedules if they vary from the overall project calendar (e.g., individual vacations, four 10-hour versus five 8-hour workdays per week).

- Detailed activities will be between one and two weeks, based on the industry-accepted rule that the work contained in an activity will be scoped so that the activity's duration will be less than two times the update (or status reporting) cycle.
- High-level activities can include durations longer than two weeks (outside of the six-month planning window), but these tasks require more detailed definition when more information is available.

6.4.15 Task Prioritization

The schedule contains functionality to track individual task priorities. This functionality will prevent low-priority tasks from moving the start or finish dates of a higher-priority task. The priority of a task will be determined by the RLMS Schedule Coordinator/RLMS PMO in conjunction with the Workstream Lead responsible for that task. Task priority is based on the following:

- 100 – Tasks that do not impact any other teams or the critical path
- 300 – Any task that impacts another team or project
- 900 – All critical path tasks as calculated by the schedule management software having zero total slack

All summary-level tasks will be set to a priority value '1'.

The RMPS management process is listed below:

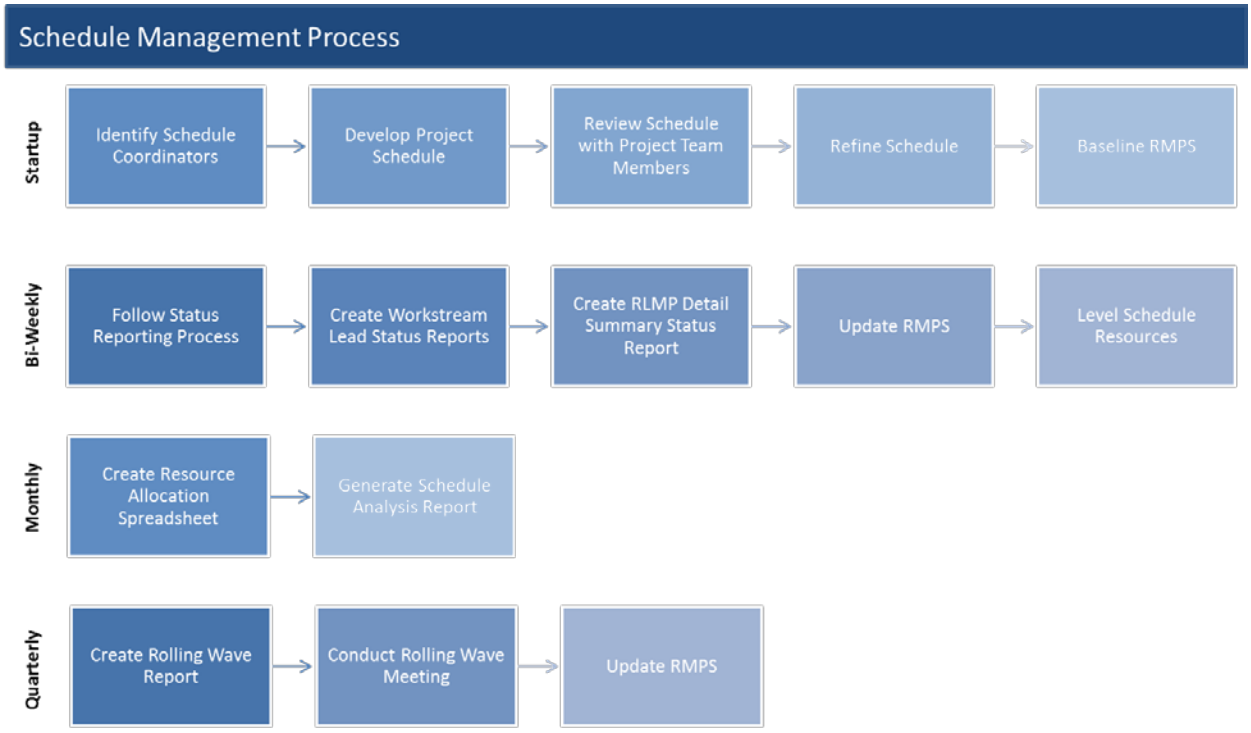


Exhibit 24: Schedule Management Process

The RMPS Management associated responsibilities are described below:

TASK	RESPONSIBILITY
Identify Schedule Coordinators	▪ The FDACS Project Manager/Vendor Project Manager selects a Schedule Coordinator for each team responsible for maintaining a portion of the RLMS Master Project Schedule. ▪ The schedule coordinator can be the Project Manager, Workstream Lead, or another Project Manager. o Schedule Coordinators: ➢ Manage the tasks assigned to their groups ➢ Manage the scheduled tasks assigned to team members ➢ Mitigate risks associated with their groups

TASK	RESPONSIBILITY
Develop Project Schedule	▪ The FDACS Schedule Coordinator/FDACS Project Manager works with each Schedule Coordinator to detail out a schedule to manage their work. This includes: o Developing deliverables and review tasks, o Consolidating plans where applicable, and o Detailing a WBS for each section to identify tasks.
Review Schedule with Project Team Members	▪ Then Schedule Coordinators for each group review the schedules (tasks) with each team member to: o Reviewing tasks, timelines, deliverables, and resources, and o Obtaining agreement from teams on assigned tasks and resources.
Refine Schedule	▪ Schedule Coordinators make updates to their proposed schedule based on team member feedback. ▪ Schedules can be updated based on priority, critical path, status, resources, and estimated dates prior to baseline.
Baseline RMPS	▪ FDACS Schedule Coordinator/FDACS Project Manager baselines the schedule once a final draft has been approved by the Schedule Coordinators and review team.
Follow Status Reporting Process	▪ Refer to the process defined in the Status Reporting Plan to receive updates on all current schedule tasks.
Create Workstream Lead Status Reports	▪ The FDACS Schedule Coordinator/FDACS Project Manager develops status reports for each Workstream Lead based on the tasks in the Project Schedule. ▪ The Schedule Coordinators updates the status report tasks as the schedule tasks change.
Create RLMS Detail Status Report	▪ FDACS Schedule Coordinator/FDACS Project Manager is responsible for the bi-weekly Detail Status Report, which is the output of the Status Reporting Process. It includes all updates from Schedule Coordinators to be included in the schedule.

TASK	RESPONSIBILITY
Update Master Project Schedule	▪ The FDACS Schedule Coordinator/FDACS Project Manager integrates the workstream activities into the RLMS Master Project Schedule (RMPS). ▪ Questions and conflicts with the status report will be managed by the FDACS Schedule Coordinator/FDACS Project Manager. o Analyze schedule variances; o Monitor schedule; o Escalate delinquent schedules (both dates and schedules that have not been updated); o Capture plan performance metrics bi-weekly. ▪ The FDACS Schedule Coordinator/FDACS Project Manager statuses the RMPS by rescheduling any tasks that have not started or have not finished prior to the status date up to the current status date once the status reporting updates have been incorporated. ▪ The FDACS Schedule Coordinator/FDACS Project Manager baselines new tasks that are incorporated with the bi-weekly status report updates into the RMPS.
Level Schedule Resources	▪ The FDACS Schedule Coordinator/FDACS Project Manager reviews the resource allocation in the schedule and where possible, levels resources across their tasks. ▪ The FDACS Schedule Coordinator/FDACS Project Manager works with Schedule Coordinators to resolve over-allocations that cannot be leveled without additional information.
Create Resource Allocation Spreadsheet	▪ The FDACS Schedule Coordinator/FDACS Project Manager creates a report from the Master Project Schedule to reflect resource allocation for the following six months. ▪ Refer to the Staffing Plan for additional details of the staffing process.
Generate Schedule Analysis Report	▪ RMPS is analyzed weekly as part of the status reporting process; on a monthly basis as part of the schedule analysis and quality assurance and IV&V process.
Create Rolling Wave Report	▪ The FDACS Schedule Coordinator/FDACS Project Manager creates a report similar to the status report for each Schedule Coordinator to review their assigned tasks for the following six months.

TASK	RESPONSIBILITY
Conduct Rolling Wave Meeting	▪ The FDACS Schedule Coordinator/FDACS Project Manager conducts the rolling wave meetings. ▪ Schedule Coordinators review their rolling wave report individually and with their team. ▪ Update requests are documented in the rolling wave report, submitted with a change request if necessary, and reviewed with the FDACS Schedule Coordinator/FDACS Project Manager to resolve any issues.
Update Master Project Schedule	▪ The FDACS Schedule Coordinator/FDACS Project Manager updates the Master Project Schedule based on the requests made in the rolling wave report and meeting or via the approved change request.

Exhibit 25: Schedule Management Process Description

6.5 Schedule Baselining

A schedule baseline is a version of the schedule that is the standard against which future schedule performance will be measured. This comparison identifies areas of schedule slippage requiring corrective action to ensure the project remains on track.

Because the schedule baseline is used throughout the Project for measuring actual performance against planned tasks, the RLMS Project Team reviews all aspects of the schedule before the baseline is finalized. Activities, their dependencies, and their resource requirements are reviewed to ensure milestones and other dates are realistic and achievable, and resources are not over-allocated. The schedule's critical activities – those that define the longest continuous path through the Project, and determine its finish date – were carefully examined to confirm there is no negative float (indicating that the Project is behind schedule or that constraint dates are not satisfied).

The following types of baselines will be used on the RLMS Project:

- Original
- Original Baseline with Current Changes
- Revisions

6.5.1 Original

This original baseline must not be changed and will always represent the Project Schedule as it was first envisioned. In order to protect the original baseline data, the schedule baseline must be taken twice: once in the standard baseline fields, and again in Baseline 2.

6.5.2 Original Baseline with Current Changes

As new activities are added to the RMPS in rolling wave planning, they receive start and finish dates based on the logical relationships of the activity. In order to identify deviations from these dates at a later time, the new activities must also be added to the baseline. Their initial schedule data becomes the baseline against which their progress is measured.

The FDACS Schedule Coordinator/FDACS Project Manager is authorized to maintain the original baseline schedule with current changes as necessary in order to capture new activities.

6.5.3 Revisions

A revised schedule baseline, or re-baseline, may be established to capture a significant change. A significant change can be defined as a major change that affects the project scope or a major shift in the schedule (for example, changing a large piece of functionality). In essence, the original schedule baseline may no longer provide a realistic means to compare future schedule performance, so a new baseline is established. Revising or re-baselining the RMPS must follow the RLMS Change Control process.

Note: If the need for re-baselining does occur, the FDACS Schedule Coordinator/FDACS Project Manager will save two baselines within the Microsoft Project scheduling tool in order to establish the new baseline. The RLMS Master Project Schedule will be maintained, updated, and stored on the RLMS SharePoint site per the Document Management Plan and notes documenting any changes made to tasks within the Project Schedule will be maintained within the Schedule.

6.5.4 Schedule Modifications

Changes not requiring change control are to be requested (documented) in the RLMS Detail Status Report. These changes will be reviewed by the FDACS Schedule Coordinator/FDACS Project Manager and approved weekly by the RLMS Project Manager/RLMS Process Manager (see the RLMS PPMO Decision Log). Once the change request has been analyzed and approved, FDACS Schedule Coordinator/FDACS Project Manager, updates the RMPS with the changes during the weekly status updating cycle.

For a new effort to be incorporated into the RMPS, the Workstream Lead with overall responsibility for that effort's schedule development will brief interested parties. For major work efforts, this will generally be the leader of the workstream. For schedules that affect resources across sections, the responsible Workstream Lead will brief the FDACS Schedule Coordinator/FDACS Project Manager at weekly meetings or call a separate meeting to brief the FDACS Schedule Coordinator/FDACS Project Manager.

At the schedule briefing, the responsible Workstream Lead must be prepared to discuss:

- the need for the deliverable(s) (WBS element(s))
- the organizational resources required for the work

- the development process of the schedule
- the activities within the schedule
- the logical relationships between the activities
- the durations of the activities
- the integration of the schedule with other RLMS workstreams
- risk areas

Once the team members have been briefed on the schedule and all questions regarding the schedule have been addressed and approved, the FDACS Schedule Coordinator/FDACS Project Manager will add it to the RMPS. Once the new schedule is incorporated into the RMPS, FDACS Schedule Coordinator/FDACS Project Manager incorporates it into the RMPS intermediate baseline as well.

For subsequent changes to schedules incorporated into the RMPS (for example, to implement a corrective action), the following rules apply:

- Priority 100 – Dates can be moved at the discretion of the Workstream Lead.
- Priority 300 – Dates can be moved up to 10 business days from the baseline estimates without a change control request at the discretion of the Workstream Lead. If a 300-level task is moved more than 10 business days from the baseline estimates, a change request approved by the RLMS Project Manager/RLMS Process Manager is required.
- Priority 900 – Dates cannot be moved without a change request approved by FDACS.

6.6 Updating the RMPS

Two processes for updating the RMPS have been identified:

- Rolling Wave Planning
- Weekly Schedule Updating

6.6.1 Rolling Wave Planning

It is not feasible to create accurate and detailed projections and estimates through the end of the multi-year RLMS Project as work plans and schedules become unrealistic due to the ever-increasing uncertainty of the future. To avoid investing resources and time in creating plans with unrealistic detail, the concept of “rolling wave” planning was employed in developing the schedule. As is the standard in rolling wave planning, a top-down approach was used to assign WBS responsibility, budget, and duration to key organizational entities initially; however, the detail will not be created until the work is within a 6-month time frame. Work efforts with a duration of six months or less will be planned in their entirety, not using the rolling wave method.

The FDACS Schedule Coordinator/FDACS Project Manager will manage rolling wave planning by scheduling the planning sessions and working with Schedule Coordinators individually, or in groups, as necessary, to define their projects' changes to current or new tasks, activities, and resources. The rolling wave approach will coordinate, document, and communicate inter-project resource and activity dependencies. The exhibit below depicts how the rolling wave approach moves the detailed planning horizon into the future.

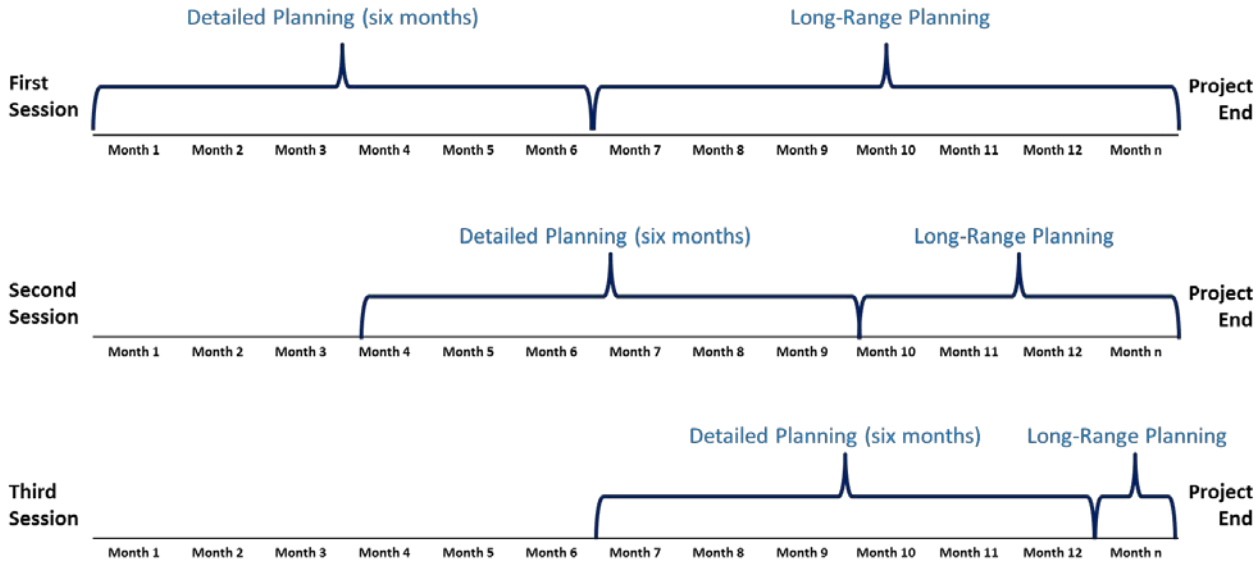


Exhibit 26: Rolling Wave Planning Iterations

Activities scheduled to begin in the upcoming six months are planned in complete detail (near-term planning), while activities scheduled to start beyond the horizon are planned with less precision (long-range, high-level planning). Each rolling wave begins with the planning of the workstream activities in near-term and long-range activities. The workstream activities are then consolidated and optimized for the RLMS Project overall. The results of this optimization are captured in the RMPS, baselines are updated, and the Project activities continue with their near-term plans. When the next planning date is reached, planning for the next iteration begins. Actual progress, change to project scope and/or budget, and status of project risks are all factored into that round of detailed and long-range planning.

Rolling wave planning is used to further define activities, schedules, inter-project dependencies and resource requirements for the RLMS workstreams. Each workstream produces artifacts reflecting its new high-level and detailed planning. For the RLMS Project as a whole, the primary schedule planning artifact from the rolling wave planning process is the revised RMPS.

The expected outputs of a rolling wave planning session include:

- Updated Project Schedule, to include all near-term activities (with durations and dependencies)
- Responsible Workstream Lead for each activity
- Resources (named individuals replacing the roles identified in high-level plans) allocated to the activities
- Milestones that will be used to report progress over the near term
- Updated task priorities
- Documentation of inter-project dependencies
- Documentation of external project dependencies
- RMPS baseline updated to include new activities (after initial baseline)

The minimum outputs are required for planning of activities beyond the planning horizon (high-level planning) include:

- Summary activities
- Kinds of resources (or roles) anticipated, and approximate quantities (may not have specific team members assigned)
- Anticipated external dependencies and dependencies between the workstream
- RMPS baseline updated to include new activities

6.6.2 Weekly Schedule Updates

On a weekly basis, Workstream Leads and/or Schedule Coordinators review all activities assigned to their supported teams and provide updated information to the FDACS Schedule Coordinator/FDACS Project Manager for each scheduled activity. The updates take the form of determining actual start dates, actual finish dates, and the remaining number of days for activities in progress. The weekly schedule update process is defined in the Status Reporting Plan.

6.6.3 Schedule Update QA and Best Practice Check

Upon completion of the weekly status updates, and at any other point in which major updates are made to the schedule, the FDACS Schedule Coordinator/FDACS Project Manager will engage another PMO resource (e.g., IV&V) to conduct a basic QA check of the schedule. The schedule must be evaluated on a periodic basis to ensure the project schedule meets expected standards. Examples of checklist items include:

- Status date is set on project schedule after each status reporting update cycle.

- All tasks have a baseline established.
- Tasks must not have a negative total slack.
- Task and Milestone descriptions are complete enough to describe the work being scheduled.

Schedule analysis will be performed on the RMPS on a monthly basis. Updates to RMPS will be made to RMPS based on results provided in the schedule analysis report.

6.7 Schedule Performance Reporting

Using information from the RMPS, the FDACS Schedule Coordinator/FDACS Project Manager provides weekly schedule progress reports to individual Schedule Coordinators, managers, and directors, responsible for project activities. Below is the list of reports:

- Critical Path Report – Identifies the status of each task on the critical path
- Section Coordinator Status Report – Identifies scheduled tasks for the next 20 business days by section
- Delayed Task Report – Lists delayed tasks and identifies if the task is on the critical path
- Resource Utilization Report – Identifies the resource utilization within the project schedule and highlights those resources that are under or over allocated
- Earned Value Report – Shows the results of earned value analysis at a project level for input to the project status reports
- Task Status Received Report – Captures the metrics regarding the on-time task status updates from the Schedule Coordinators

These reports are the basis for schedule progress and performance discussions in the following regularly scheduled meetings:

- Individual Teams
- Weekly Status Meetings
- Monthly IT Governance Team Meeting
- Monthly IV&V Assessment Reports
- Quarterly Oversight Meetings

For weekly status meetings, the vendor(s) will also provide schedule management reports, as defined in the Project Status Reporting section. These provide the basis for overall schedule performance reviews in these meetings. Additionally, the PPMO Manager will be responsible for reporting updates for the IT Governance meetings.

6.8 Schedule Analysis

RLMS employs the Critical Path Method (CPM) to predict project duration by analyzing which sequence of activities has the least amount of scheduling flexibility (the least amount of float). This analysis will review the schedule to see if or how the critical path is changed and to see if a change to one activity has impacted (either positively or negatively) a dependent activity or resource.

The Project uses the following schedule control metrics:

- Schedule Performance Index (SPI) – Defined by the PMBOK® Guide as "a measure of schedule efficiency expressed as the ratio of earned value to planned value."
- Planned Value (PV): Planned Value is the planned spend for the planned work. It is the authorized budget assigned to the work to be accomplished for an activity or work breakdown structure component.
- Earned Value (EV): Earned Value is the value of work performed expressed in terms of the approved budget assigned to that work for an activity or work breakdown structure component.
- Schedule Variance (SV) is the measure of schedule performance of the project. It is the difference of Earned Value and the Planned Value (i.e., SV = EV – PV).

The SPI value compares Earned Value with Planned Value as shown in the following table.

SPI > 1	SPI = 1	SPI < 1
Ahead of Schedule	On Schedule	Behind Schedule
EV > PV	EV = PV	EV < PV

Exhibit 27: Schedule Performance Index

The exhibit below describes schedule control and variance thresholds:

PERFORMANCE MEASURE	CONTROL THRESHOLD	WEEKLY VARIANCE THRESHOLD
Schedule Performance Index (SPI)	Below 0.9 or above 1.1	Greater than 0.1
Schedule Variance (SV)	Positive value is ahead of schedule Negative value is behind schedule	0 or greater

Exhibit 28: Project Schedule Thresholds

6.8.1 Critical Path Analysis

The critical path, as calculated by MS Project Professional 2013, is the longest continuous path of activities with zero or negative float through a project. The duration of the activities on the critical path

controls the duration of the entire project. A delay to any of these activities will delay the finish date of the entire project.

The FDACS Schedule Coordinator/FDACS Project Manager is responsible for monitoring the critical path and reporting critical path status to the RLMS Project Manager/RLMS Process Manager and the System Support Process Manager after each weekly status update, and when analysis of change requests indicates that the critical path is impacted or in danger of being impacted.

6.8.2 Schedule Variance

Schedule baselines are used both for analyzing project progress at a summary level, and for analyzing schedule variance for individual activities. The status of RMPS management milestones is analyzed and reviewed weekly with the RLMS Project Manager/PPMO Manager.

Variances between baseline and actual start/finish dates for individual activities in RMPS activities are monitored by the PMT, the activities' responsible Workstream Lead and Schedule Coordinator.

Standard schedule variance analysis will be conducted against the Baseline fields in RLMS Project Schedule.

6.8.3 Cross-Schedule Impacts

Because detailed schedules for RLMS are integrated across all schedules, only the RMPS provides a view of cross-schedule impacts. After the weekly schedule update, the FDACS Schedule Coordinator/FDACS Project Manager analyzes the RMPS to identify cross-schedule and resource impacts and communicates them to the RLMS Schedule Coordinators.

7 Cost Management Plan

The purpose of cost management is to ensure FDACS will complete the RLMS Project within budget. This Cost Management Plan identifies the processes and procedures used to manage costs throughout the Project's life cycle. The plan covers the cost management approach, expenditure tracking, variance analysis, oversight of costs, and reconciliation between the State budget, accounting, and project management cost processes.

Additionally, the plan covers who is responsible for tracking expenditures, how variances will be addressed, and the cost tracking and reconciliation between the State and project management cost processes. This plan also describes the cost management tool used.

7.1 Cost Management Planning

The cost management planning activity begins early in the project planning process and sets the framework for each of the cost management processes so performance of the processes will be efficient, coordinated and available for reporting.

The Cost Management Plan covers the two primary areas of cost management: Budget and Accounting, and Project Cost Management. Budget and Accounting encompasses the tracking of budget, expenditures, salary and benefits, and overhead costs in accordance with the normal State of Florida budget process. Project Cost Management is the project-management level of tracking costs against work performed in accordance with the standards and practices derived from the Project Management Institute's Project Management Body of Knowledge (PMBOK®). The exhibit below shows the differences in terminologies used in the Cost Management Plan when discussing the two different areas.

BUDGET & ACCOUNTING	PROJECT COST MANAGEMENT
State Budget Planning	Cost Planning
Expenditure Reports and Metrics	Cost Tracking, Reporting and Metrics
Changes to the Budget	Cost Control and Changes
Budget Reconciliation	Cost Closeout

Exhibit 29: Cost Management Areas

As part of the Project Management Plan, a subordinate Cost Management Plan has been developed to outline the processes used to plan and manage costs for the RLMS Project.

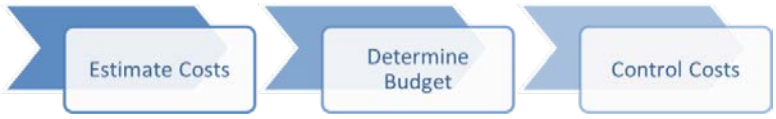


Exhibit 30: Cost Management Activities

Cost Management consists of the cost estimation, budget determination, and cost control measures employed to execute cost responsibility for the Project. As shown in the exhibit above, the primary cost activities for this project include:

- Estimate Costs: The process of developing an approximation of the monetary resources needed to complete project activities.
- Determine Budget: The process of aggregating the estimated costs of individual activities or work packages to establish an authorized cost baseline.
- Control Costs: The process of monitoring the status of the project to update the project budget and managing changes to the cost baseline.

7.2 Roles and Responsibilities

The table below describes the cost management roles and associated responsibilities.

ROLE	RESPONSIBILITY
Executive Office of the Governor	▪ Provides instructions to state agencies for developing their budget requests ▪ Develops state budget recommendation based on Legislative Budget Requests (LBRs) submitted by the department ▪ Submits state budget recommendation at least 30 days prior to the beginning of the legislative session ▪ Reviews and approves state budget
Florida State Legislature	▪ Provides instructions to state agencies for developing their budget requests ▪ Appropriations committees review presentations during Interim Legislative Committee meetings prior to legislative session ▪ Develops, reviews and approves overall state budget
Agency for State Technology (AST)	▪ Reports to the Executive Office of the Governor, the President of the Senate, and the Speaker of the House of Representatives at least quarterly when the project exceeds acceptable variance ranges
Department of Financial Services	▪ Processes invoices for payment ▪ Audits invoices and contract management effectiveness
Contract Manager	▪ Develops and routes budget and contract amendments related to the Fiscal Agent or other contractors
IT Governance Team	▪ Provides input and direction on Project budget and cost planning ▪ Reviews and approves budget/cost changes

ROLE	RESPONSIBILITY
Executive Sponsor	▪ Reviews and approves budget/cost changes ▪ Ensures that the PPMO Team follows the Project Risks, Issues, Actions, and Decisions procedures described for cost management ▪ Facilitates change requests ▪ Facilitates impact assessments of change requests
FDACS Project Manager	▪ Reviews and approves budget/cost changes to any contract funded with project funds ▪ Ensures that the PPMO Team follows the Project Risks, Issues, Actions, and Decisions procedures described for cost management ▪ Facilitates change requests ▪ Facilitates impact assessments of change requests ▪ Ensures cost changes align with appropriate FFP (Firm Fixed Price) rates ▪ Plans, reviews, approves, and monitors Project budget
PPMO Manager	▪ Estimates cost ▪ Allocates costs to project activities ▪ Determines Project budget ▪ Approves the staffing budget ▪ Manages cost tracking, budget reporting, and budget changes ▪ Monitors and controls Project costs ▪ Evaluates cost performance against cost baseline and manages cost baseline changes throughout the Project ▪ Closes out Project budget at the conclusion of the RLMS Project
Change Control Board	▪ Deliberates on escalated scope issues and makes recommendations to the FDACS Project Management Lead ▪ Reviews and recommends approval of changes requested consistent with escalation criteria
Project Risks, Issues, Actions Items and Decisions Team ▪ FDACS Project Manager ▪ PPMO Manager (Contract Manager) ▪ Vendor Teams' Project Managers	▪ Follows the processes and procedures described for cost management ▪ Reviews the WBS regularly and ensures that no cost changes have occurred without following the change control process
Procurement Manager	▪ Approves activities and changes based on Project budget and vendor contract guidelines ▪ Reports approved invoice amounts for each deliverable ▪ Closes out Project contract at the conclusion of the RLMS Project

Exhibit 31: Project Cost Management Roles and Responsibilities

7.3 Budget and Accounting Approach

The Project budget was determined by consideration of the necessary cost expenditures and acceptable spending parameters. The final budget determination is subject to the executive sponsorship approval based on a rigorous cost-benefit analysis.

The budget incorporates the cost estimates activities and establishes a cost performance baseline that will be used to evaluate project costs throughout the RLMS Project. Costs included in the Project are only those associated with project costs and will be tied to the financial system through the code or chart of accounts that are assigned to the Project at the work package level or to cost control accounts in the WBS. Once established, the budget will be used as a plan for allocating costs to project activities.

The following sections summarize the project's budget and accounting approach, and describe the high-level processes and interaction of participants.

- Step 1 – Expenditure Reports and Metrics
- Step 2 – Changes to the Budget
- Step 3 – Budget Reconciliation

7.3.1 Expenditure Reports and Metrics

The RLMS Project Management Team will continuously track project costs throughout the Project by monitoring and controlling project spending based on the RLMS project budget. Expenditure reports and cost management metrics will be used to review spending and evaluate project expenditures against project cost baselines.

7.3.2 Project Spending Plan

The Project Spending Plan, as part of the overall Operational Work Plan (Project Management Plan), is a legislative requirement mandated in Senate Bill 2500-A, which states the purpose of the plan is to describe how the department will resolve any deficiencies identified in the comprehensive baseline assessment of all deliverables completed for the RLMS Project.

The Project Spending Plan contains an accounting for the planned and actual expenditures for the planning, procurement, design and development, implementation and post-implementation phases of the RLMS Project. The workbook contains a worksheet for each state fiscal year of these phases. Each year is broken down by twelve months with the planned and actual amounts for each payment and the variance accounted for at the end of the fiscal year. Only the payment amounts that apply to a fiscal year are represented.

7.3.3 Comprehensive Quarterly Report

The Project's Comprehensive Monthly Report contains a Monthly Budget Analysis that tracks budget expenditures to actual expenditures for department staff and each of the project contractors. The budget amounts cover current year appropriations as well as out-year projections.

Two key metrics included in the Monthly Budget Analysis are:

- Actual-to-Planned Expenditure Ratio – This measure is the percentage of actual expenditures to the amount budgeted (planned) for the time period. The PMO is required to provide a justification for any actual expenditure amount over/under the planned expenditure amount.
- Estimate at Completion (EAC) – This measure provides the forecasted value of the project or workstream upon its completion. EAC is used as a forecasting tool to provide an early indication as to the total cost the project may take to complete.

The FDACS PPMO Manager/Contract Manager is responsible for providing budget and expenditure updates, which include revised budget and actual costs, to the Director of Policy and Budget on a quarterly basis.

7.3.4 Quarterly Project Report

At the end of each calendar quarter, the FDACS Project PPMO Manager/Contract Manager prepares a summary report that provides a high-level description of the progress of the FDACS procurement project. The purpose of the report is to keep executive staff informed of the state of the Project over the life-time of the procurement and implementation. Distribution is internal to the department executives and legislative staff.

The Quarterly Project Report provides executives associated with the Project a snap-shot in time of the project status and progress being made to achieve the goals of the Project.

7.3.5 Changes to the Budget

The budget change control process will follow the established project change request process described in the Scope Change Management Plan. Project budget needs are adjusted primarily due to changes in the project schedule. These changes are tracked to the state funding cycle. Approvals for project budget/cost changes must be approved by the Executive Project Sponsor and /or the Executive Steering Committee.

If there is a major change in total project cost or in how the estimated costs will be incurred over the life of the Project, the Project budget is revised. If the revision coincides with a contract amendment, the contract amendment is forwarded to the IT Governance Team for their review and approval, as in most cases, budget revisions impact FFP (Firm Fixed Price).

7.4 Cost Management Activities

Effective cost management requires project resources (i.e., both State and contractor) to assist in establishing and managing the total cost of ownership of the Project. This includes measuring actual spending against the planned budget for the following items:

- Department project team staff and all of their associated costs
- Contractor contracts
- External resources/contractors
- Training costs
- Software and hardware

7.4.1 Project Spending Plan

The primary tool for tracking and managing costs and budget information is a Microsoft Excel based workbook – the Project Spending Plan – that comprises the following worksheets:

- Project Spending Plan by SFY (2014-2019) – There are separate worksheets for each SFY. Each worksheet lists State, Operations, and vendor budget and actual costs on a month-to-month basis. Vendor budget and actual cost line items are broken down by deliverable.
- Total Project Summary – This worksheet provides a quarterly summary of the total project budget versus actual costs for State, Operations, and vendor.
- Monthly Budget Analysis – This worksheet calculates and compiles information contained in the Project Spending Plan into the format used for the Comprehensive Monthly Report – Monthly Budget Analysis section. Information in this worksheet is calculated automatically.

The following sections summarize the Project's cost management approach, and describe the high-level processes and interaction of participants:

- Cost Planning
- Resource Planning
- Cost Estimating
- Cost Tracking
- Cost Reporting and Metrics
- Cost Control and Changes
- Cost Closeout

7.4.2 Cost Planning

A "bottom-up" approach is used for preparing a detailed cost estimate of each cost component involved with each project activity. These cost components include:

Internal

- State project management/project team resources
- Recruiting and hiring for additional staffing
- Office space and facilities
- Hardware
- Licensing
- Software as Service (SAS) fees (e.g., system maintenance and upgrades)

External

- Contractor contract costs

Costs estimates are prepared using the best information available at the time of estimation. The basis for the estimate will be fully documented so that if better information becomes available at a later time in the Project, the cost estimate can be adjusted.

7.4.3 Resource Planning

Upon determining project needs, the project team finalizes the resource and staffing requirements necessary for the successful completion of the project. The FDACS PPMO Manager and PMO Project Manager complete the internal and external Work Breakdown Structure (WBS), respectively. The WBS for external project costs is deliverable-based.

7.4.4 Cost Estimating

The Cost Estimating process establishes a cost estimate for the project resources (human and material) necessary for each project schedule activity. The cost estimation activity includes all the estimated costs of the Project for the entire project life cycle, and cost estimates will be refined over the course of the Project to reflect additional information as it becomes available.

Based on the labor costs and planned duration of each WBS element, each contractor develops a total estimate for their scope of services. These total estimates are reviewed by the FDACS PPMO Manager and validated against the overall project budget.

Cost estimates from contractors are subject to the competitive bid process. Adjustments to the estimates may be requested from the vendors during the contract negotiation process as necessary to comply with the project budget or adjust to changes in scope.

7.4.4.1 Establishing the Cost Baseline

Once all estimates and allocations have been reviewed and approved by the FDACS PPMO Manager, the project budget is baselined. Beginning with the preliminary cost estimates, contractors develop updated cost estimates as necessary to perform their work as schedule revisions are made. For fixed price contracts, contract amendments are required to change the contracted amount for vendor services.

The project budget baseline may only be changed with authorization by the Executive Project Sponsor. Scope changes that result in a need to update the project budget baseline necessitate a contract amendment, which must be reviewed and approved by the Executive Project Sponsor and/or the Executive Steering Committee.

7.4.5 Cost Tracking

Cost are both fixed rate (staff augmentation) and fixed price (deliverable-based) and are measured by progress made toward the completion of each deliverable described in their respective statements of work. This information is monitored by each vendor within their respective spend plans.

Contractor costs are recorded in invoices provided to the State. Contractors are required to submit completed invoices to the department's Contract Manager no later than fifteen days after acceptance of the deliverable. They include:

- Documentation detailing deliverables completed and/or services rendered/covered by the invoice;
- Time period in which the deliverables were completed and/or services rendered;
- Other supporting documentation as requested by the department to support the charges.

Invoice information is consolidated and tracked by the department in the RLMS Spend Plan.

7.4.6 Cost Reporting and Metrics

Cost management metrics are included in the Weekly Status Report. All cost variances outside of the thresholds identified in this Cost Management Plan are identified along with any planned corrective actions. Change requests triggered by project cost overruns are identified and tracked in the Monthly Status Report.

Project Control Metrics

The Project uses the following cost control metrics:

- Schedule Performance Index (SPI) – Defined by the PMBOK® Guide as "a measure of schedule efficiency expressed as the ratio of earned value to planned value";
- Cost Performance Index (CPI) – Defined by the PMBOK® Guide as "a measure of the cost efficiency of budgeted resources, expressed as a ratio of earned value to actual cost";
- Actual Cost (AC) – The total cost actually incurred in completing work performed for an activity or work breakdown structure component;
- Cost Variance (CV) – the measure of project cost performance (CV = EV - AC).

Both controls are elements of Earned Value Management (EVM).

If the Project reaches a control threshold for either SPI or CPI, or if SPI or CPI reaches a variance threshold between weekly reporting periods, the FDACS PPMO reports to the Executive Sponsor the reason for the exception and provides a corrective action plan to bring the performance measures back to acceptable levels.

The CPI value compares Earned Value with Actual Cost as shown in the following table.

CPI > 1	CPI = 1	CPI < 1
Under Budget	On Budget	Over Budget
EV > AC	EV = AC	EV < AC

Exhibit 32: Cost Performance Index

The exhibit below describes the SPI, CPI, and CV control and variance thresholds.

Performance Measure	Control Threshold	Weekly Variance Threshold
Schedule Performance Index (SPI)	Below 0.9 or above 1.1	Greater than 0.1
Cost Performance Index (CPI)	Below 0.9 or above 1.1	Greater than 0.1
Cost Variance (CV)	Positive value is under budget Negative value is over budget	0 or greater

Exhibit 33: Project Control Thresholds

Cost Variance Corrective Action Plan

The cost variance corrective action plan details the actions necessary to bring the project back within budget and the means by which the effectiveness of the actions in the plan will be measured. If the corrective actions to be taken result in a change, the Project's overall change control process must be followed.

The FDACS PPMO Manager will present the Executive Project Sponsor with options for corrective actions. Once the Executive Sponsor selects a timely corrective action option, the FDACS PPMO Manager presents the Executive Project Sponsor with the chosen cost variance corrective action plan (often, recorded performance measurements that exceed the control and/or variance thresholds are anticipated by the project team and will resolve themselves in the next reporting cycle without requiring corrective action). Upon acceptance, the cost variance corrective action becomes a part of the project schedule, which is updated to reflect the corrective actions.

7.4.7 Cost Control and Changes

The cost change control process will follow the established project change request process described in the Scope Change Management Plan. Approvals for project budget/cost changes must be approved by the Executive Project Sponsor. A summarization of the change control process is described in Section 7.3.5 – Changes to the Budget.

7.4.8 Cost Closeout

At the end of the Project, the cost historical information is compiled by the PPMO Manager and submitted for review to the FDACS Project Manager as part of the Project Closeout Report. This information includes a final summary of the actual hours and costs expended against the baseline for the Project in its entirety.

Lessons learned related to costs and cost estimation are compiled by the PPMO Manager and submitted for review to the FDACS Project Manager as part of the Lessons Learned Report. Cost management lessons learned will be used in the development of subsequent project fiscal year cost baselines.

At the conclusion of Project DDI activities, the contract is "closed out", and the remaining DDI budget amounts are carried over into the Operational APD, which must be reviewed and approved by the IT Governance Team.

8 Quality Management Plan

The quality and process performance objectives for this Project are to deliver value to the department and the State of Florida by completing the project on time, on budget, within scope and with a high-quality solution as follows:

OBJECTIVE	DESCRIPTION
On Time	Project outcomes are delivered to FDACS on the dates agreed in the schedule and contracts
On Budget	Overall project costs will not exceed the agreed budget in the contracts
Within Scope	Agreed-upon requirements are delivered
High Quality	Solutions delivered will meet the agreed-upon requirements and will have the necessary quality to provide value to FDACS

Exhibit 34: Project Quality and Performance Objectives

The Quality Management Plan identifies the specific processes, procedures, standards, and tools to monitor the quality of work delivered and to communicate these concepts across the RLMS Project Team. It outlines quality activities promoting adherence to the standards and processes defined for RLMS so the Project meets its objectives and expectations throughout its life cycle. This plan also describes the responsibilities and authority for accomplishing quality activities and identifies the required coordination of quality management with other areas of the Project.

8.1 Performance Metrics

This section identifies the performance metrics that will be used to measure and manage the Project's performance and process improvement approach.

The RLMS Project uses performance measures to examine the progress team members are making toward the completion of their work and to assess how efficiently and effectively the work effort meets the project objectives. Project quality, risks and the overall status of the project are continuously assessed. This section identifies the metrics that will be used to measure and manage the Project's performance. It also details the process and tools to collect the necessary base measures, how to calculate the metrics, analyze the results (including quantitative analysis) and report performance results.

Collection and analysis of performance measures is applied to individual project's management, development and maintenance processes including: Plan, Define, Design, Develop, Test, Implement and Post-Implementation. It also applies to workstreams within the Project that do not create development products, but set architectural and business directions used by development activities in designing

solutions. Because the Project has multiple development or major enhancement efforts, the measurement process must be performed for each separate effort or release.

The PPMO Manager and individual project managers will capture and report performance metric information for management purposes. The selected performance data will be reported in the Key Metrics section of status reports.

The RLMS Project Team will review the performance metrics reported and assess their usefulness for project management activities. Over time, FDACS may determine to stop reporting certain metrics, refine others, and make requests for additional metrics. The Executive Sponsor and the PPMO Manager will review targets for the metrics reported and make recommendations on targets that have not yet been set within this document and / or adjustments to target values. The Project Manager(s) will work with FDACS to determine if requested metrics can be reliably captured and reported before implementation.

8.2 Roles and Responsibilities

The various roles involved in the performance management process for the RLMS Project are briefly described below. Further details on the responsibilities are elaborated in the subsequent sections.

ROLE	RESPONSIBILITY
Project Manager(s)	▪ The Project Manager is responsible for identifying, referring, and providing recommended information/data regarding performance metrics.
Workstream Leads	▪ The Workstream Leads are responsible for the planning, analysis, development, implementation, execution, and maintenance of process quality activities as required.
Schedule Coordinator(s)	▪ Establish and socialize schedule management standards and best-practices; Recommend exceptions to standards on a case-by-case basis ▪ Coordinate the continuous, recurring process that represents the appropriate rigor for schedule management based on the phase or stage of the Project o Collect team schedules from vendor teams to incorporate in the Master Project Schedule. o Collect progress updates from all the project workstreams o Incorporate the updates and changes into the Master Project Schedule o Facilitate analysis of progress updates and changes o Provide the schedule and related analysis to the whole project team and identified stakeholders o Facilitate time management discussions to resolve any schedule conflicts and issues ▪ Maintain the schedule management process documentation in the Schedule Management Plan as needed ▪ Maintain the Project Work Breakdown Structure chart

ROLE	RESPONSIBILITY
Budget Coordinator	▪ The planning, analysis, development, implementation, execution, and maintenance of cost activities as required.

Exhibit 35: Performance Management Roles and Responsibilities

8.3 Project Metrics

The following table lists the "library" of measures collected, analyzed and reported by the RLMS PMO. These metrics are used together with target and tolerance ranges as a management tool. Metrics will be reported as appropriate for the phase and type of work underway. Target and range values for the listed metrics are either based on industry data (e.g., defect containment model information) or the basic characteristic of the measurement (e.g., SPI being on schedule is a value 1 so a target near this value is set).

METRIC / MODEL NAME	GOAL	QUESTION	DESCRIPTION	FORMULA	ANALYSIS LEVEL, FREQUENCY	TARGET VALUES	ANALYSIS REPORTING
Average Risk Exposure	All	Are risks and issues managed appropriately?	Risk Exposure is a relative weight of a risk, based on the probability the risk will be realized and the impact of the risk if it is realized. Average Risk Exposure measures the average level of Risk Exposure for all of the Project's active risks. Determines the Project's effectiveness at mitigating risks.	Total Risk Exposure (summed products of probability and impact for all risks) / Number of Active Risks	Project Level; Weekly	< 3 (that is, average risk exposure is "Low," based on 3-point scales – High=3; Medium=2; and Low=1 – for both probability and impact.)	Project Status Report and/or Meeting

METRIC / MODEL NAME	GOAL	QUESTION	DESCRIPTION	FORMULA	ANALYSIS LEVEL, FREQUENCY	TARGET VALUES	ANALYSIS REPORTING
Contractual Deliverable Timeliness	On Time	Are deliverables completed on time?	The Contractual Deliverable Timeliness measure indicates whether the Project is able to complete and submit deliverables by the projected due date.	Number of Deliverables Submitted on Time / Total Number of Deliverables	Project Level; Monthly	.9 to 1, with 1 as target (all deliverables on time)	Project Status Report and/or Meeting
Schedule Performance Index	On Time	Are we meeting our schedule?	Schedule Performance Index (SPI) measures whether the Project is earning value at the scheduled rate. This metric can be used to assist managers in determining if a Project will be completed on time, assuming that the current trends continue.	Budgeted Cost of the Work Performed (BCWP) / Budgeted Cost of the Work Scheduled (BCWS)	Team and Project Levels; Weekly Monthly	Between .84 and 1.09 with 1 as the primary target. Above 1 is better than below.	Project Status Report and/or Meeting

METRIC / MODEL NAME	GOAL	QUESTION	DESCRIPTION	FORMULA	ANALYSIS LEVEL, FREQUENCY	TARGET VALUES	ANALYSIS REPORTING
Cost Performance Index	On Budget	Are actual costs on task with forecasted costs?	The Cost Performance Index (CPI) gives a measure of efficiency. It shows how efficiently the Project is actually spending budget dollars compared to how efficiently Project Management planned to spend them.	It is calculated by dividing Earned Value by the Actual Cost.	Team and Project Levels; Weekly Monthly	Between .84 and 1.09 with 1 as the primary target. Above 1 is better than below.	Project Status Report and/or Meeting
Contractual Deliverable Acceptance	High Quality	Are we meeting the department quality requirements?	Measures the percentage of submitted deliverables that the department has fully accepted.	Number of Deliverables (Fully Accepted, Conditionally Accepted, Rejected, Pending) by the Dept. / Number of Deliverables Submitted to the Dept. to date * 100%	Project Level Weekly; Program Level Weekly; Monthly	100% Accepted - Fully or Conditional	Project Status Report, Program Status Report and/or Meeting

METRIC / MODEL NAME	GOAL	QUESTION	DESCRIPTION	FORMULA	ANALYSIS LEVEL, FREQUENCY	TARGET VALUES	ANALYSIS REPORTING
Contractual Deliverables Average Days Late	On Time	Are deliverables completed on time?	This metric is used to determine the timeliness of contractual deliverable submissions to the department. This metric also may indicate if the project is meeting their planned schedule.	Contractual Deliverable Timeliness: Average Days Late = Sum of number of days late for all contractual deliverables that were late or are outstanding / number of contractual deliverables late or outstanding	Project Level; Weekly	< 1	Project Status Report and/or Meeting
Schedule Variance	On Time	Are we meeting our schedule?	Schedule Variance (SV) determines whether the project team is on, ahead, or behind schedule by calculating whether the team has completed (BCWP) more or less work than scheduled (BCWS) for a given period.	Budgeted Cost of the Work Performed (BCWP) - Budgeted Cost of the Work Scheduled (BCWS)	Project Level; Weekly Monthly	Within 10% of schedule	Project Status Report and/or Meeting

METRIC / MODEL NAME	GOAL	QUESTION	DESCRIPTION	FORMULA	ANALYSIS LEVEL, FREQUENCY	TARGET VALUES	ANALYSIS REPORTING
Cost Variance	On Budget	Are actual costs on task with forecasted costs?	Cost Variance (CV) is the measure of cost performance on the Project. It is equal to earned value (EV) minus actual costs (AC). Any negative CV is often non-recoverable to the project.	CV = EV – AC	Project Level; Weekly Monthly	Within 10% of schedule	Project Status Report and/or Meeting

Exhibit 36: Performance Metrics Library

8.4 Base Measure Data Sources and Tools

Performance data are captured and reported through a variety of tools. The RLMS Project uses the following tools to capture or report base measure data:

Data Source/Tool	Frequency	Submitted By	Base Measures	Metric / Model Categories
Master Project Schedule (MS Project)	▪ Weekly	▪ Vendor Workstream Leads ▪ PMO Schedule Manager	▪ Planned Start and Finish Dates (baselined) ▪ Actual Start and Finish Dates ▪ %Complete ▪ Remaining Duration ▪ %Work Complete ▪ Remaining Work ▪ BCWP ▪ BCWS	▪ Schedule Performance Index ▪ Schedule Variance ▪ Schedule Variance %
Deliverable Log	▪ Updated as Deliverables are Created, Submitted, Accepted / Not Accepted	▪ PMO Deliverable Manager ▪ Contract Manager ▪ Vendor Contract Management	▪ Deliverable Name ▪ Date Created ▪ Date Due ▪ Date Submitted ▪ Date Accepted ▪ Current Acceptance Status (Fully Accepted, Conditionally Accepted, Pending, Rejected)	▪ Contractual Deliverable Timeliness ▪ Contractual Deliverable Acceptance ▪ Contractual Deliverable Average Days Late

Data Source/Tool	Frequency	Submitted By	Base Measures	Metric / Model Categories
SharePoint RAIDL Log	▪ Updated as identified	▪ PMO Team ▪ RLMS Project Team	▪ Number of Active Risks ▪ Number of Realized Risks ▪ Risk Impact ▪ Risk Probability ▪ Risk Exposure ▪ Total Risk Exposure ▪ Number of Issues ▪ Issue Status ▪ Priority ▪ Date Identified ▪ Date Resolved ▪ Mean time to resolve issues ▪ Mean time of open issues ▪ Longest current open issue ▪ Lessons Learned	▪ Average Risk Exposure ▪ Issue Closure
Budget Spreadsheets	▪ Monthly & Quarterly	▪ FDACS Contract Manager	▪ Cost Variance ▪ CPI ▪ Estimate at Completion ▪ Estimate to Complete ▪ Variance at Completion	▪ N/A

Exhibit 37: Base Measure Data Sources and Tools

8.5 Data Integrity and Validation

The data submitted to support the Performance Measurement process must be of high integrity. The quality of the analysis and the ability for decision makers to trust the analysis is dependent on the quality of the data. It is important that the data collected, analyzed, reported, and submitted be accurate. The analysis of the data on the project level can only be beneficial if the data are “clean.”

The Project PMO Team will review the information being submitted to verify there is no missing data. The PMO Project Manager will review data submitted according to the following guidelines:

- No missing data
- Accurate data
- Use of correct units of measure
- Includes correct categories and types of data
- Consistently applies definitions of requested data

8.6 Analysis and Corrective Action Plans

Corrective actions are used to identify how the project will remedy a problem in the performance of a project process. Corrective actions are required for key project processes associated to project metrics with organizational baseline limits. The following rules are used to determine if the process is not performing within acceptable tolerances and requires further analysis.

The first rule applies to all metrics.

- Beyond Limits – The current metric result is outside expected variance (from baselines, specifications or thresholds), going by whichever set of limits is most strict.

The following rule applies only to time-based data (such as SPI), not to event-based data (such as peer reviews).

- Trending in One Direction – The metric result has been trending in one direction for at least five times in a row for weekly items (with lower tolerance employed for longer reporting periods).

If any metric results break of the applicable rules, they are analyzed to determine the root cause and, where appropriate, documented in the project's Bi-Weekly Status Report.

The Project PMO will analyze and determine root causes for those metrics with results Beyond Limits or those with results trending in One Direction. The RLMS Project PM Team will discuss and develop an action plan to address those root causes and report that plan to the PPMO Manager and during the weekly status meeting. Any identified corrective actions will be logged and tracked to completion. Possible corrective actions include:

- Schedule, Budget, or Work Plan rework – Reassess estimates and approximations, prioritize, rework sequences, and add experienced personnel or additional resources.
- Process Change or Review – The creation or modification of the process, or retraining process users to address results.
- Renegotiate service delivery targets or service level agreements – Reassess service targets if they are not realistic given project budget, schedule, or other external constraints.

The Project PPMO will complete a Change Request for those corrective actions that will affect project scope, budget, or schedule.

9 Deliverables Management Plan

The Deliverables Management Plan outlines the procedures for managing the planning, development, submission, review and acceptance of project deliverables, work products and artifacts, hereto referred to as deliverables. These procedures provide a comprehensive picture of the way in which deliverables will be planned for, developed, delivered and tracked from inception through acceptance.

The RLMS Project contracts and statements of work identify the deliverables to be completed. The way in which each deliverable is to be developed will vary depending on the type of deliverable to be completed. Deliverables will be developed using the tools and techniques appropriate to their form. This will include the use of Microsoft Office software (for written or other hard-copy deliverables), COTS, framework or custom software (for application software deliverables), or other tools. Each deliverable will be created using a standard template including agreed-upon acceptance criteria that is approved during the Deliverable Expectations process.

9.1 Roles and Responsibilities

The table below describes the deliverable submission and review roles and responsibilities for implementing the Deliverables Management Plan.

ROLE	RESPONSIBILITY
Workstream Lead	▪ Creates and submits the Deliverable Expectations Document ▪ Updates deliverable if comments are returned as a result of the review process ▪ Creates meeting minutes from Deliverable Expectations meeting(s) ▪ Develops the Deliverable Expectations Document (DED) based on the discussions in the Deliverable Expectations meeting(s) ▪ Submits plan for logical break up of large deliverables in the DED (if needed) ▪ Develops Deliverable ▪ Submits deliverable for review and acceptance ▪ Submits deliverable sections for acceptance per the agreed-upon plan, if the deliverable has been identified as a large deliverable ▪ Conducts walkthrough (if requested by Deliverable Lead) ▪ Publishes walkthrough minutes ▪ Works with Deliverable Lead to resolve issues ▪ Incorporates review changes to the deliverables ▪ Submits revised deliverable for acceptance ▪ Participates in presentation to IT Governance Team (if requested)

ROLE	RESPONSIBILITY
FDACS RLMS Project Manager	▪ Records deliverables in the Deliverables Log ▪ Updates the Deliverables Log on a continual basis to accurately track deliverables and makes the Deliverables Log readily available to FDACS ▪ Performs preliminary review of deliverables to ensure they meet contract requirements and basic quality standards ▪ Facilitates the review process ▪ Distributes deliverable feedback forms as necessary ▪ Provides written deliverable comments from reviewers as received to the Deliverable Developer ▪ Sends comments and a deliverable recommendation to the PPMO Manager ▪ Stores final deliverable and comment review sheets and other related documentation in the RLMS Project document repository ▪ Selects Deliverable Review Team with the PPMO Manager and review team assigned roles ▪ Identifies Deliverable stakeholders ▪ Facilitates Deliverable Expectations meeting ▪ Reviews and approves the Deliverable Expectations and Deliverable Acceptance Criteria documents ▪ Identifies large deliverables which may need to be broken up into manageable sections ▪ Distributes deliverable to Deliverable Review Team (and Deliverable Review Workstream Leads for larger deliverables) ▪ Manages the Deliverable Review and Acceptance Process with the Deliverable Review Team ▪ Synthesizes deliverable review comments to ensure consistency, completeness, quality and accuracy of comments ▪ Acts as Point of Contact (POC) for the Deliverable Owner/Developer ▪ Facilitates communication among Deliverable stakeholders ▪ Participates in comment resolution process ▪ Escalates irresolvable issues to the PPMO Manager ▪ Manages presentation of deliverable to the IT Governance Team (if required) ▪ Requests deliverable walk-through from Deliverable Owner/Developer ▪ Makes a formal recommendation to the PPMO Manager on acceptance or rejection of the deliverable ▪ Facilitates the payment and invoicing for approved deliverable with the PPMO Manager and Contract Management

ROLE	RESPONSIBILITY
Deliverable Review Team (or Sub-Teams for larger deliverables)	▪ Participates in Deliverable Expectations Meeting(s) ▪ Participates in deliverable development as a source of information for the Developer. Review Team members are not permitted to perform any formal development. If they do, they must not review any of their own work ▪ Reviews deliverable according to assigned role ▪ Identifies and records revision comments in required format and within the established review period ▪ Participates in comment resolution ▪ Reviews updates after the Developer has made changes to the draft deliverable ensuring the final deliverable is a quality product meeting the requirements defined in the Deliverable Expectations Document
Deliverable Review Sub-Team Lead	This role exists for deliverables of large size. The larger deliverable is split into smaller portions and a Review Sub-Team is created for each portion. The Deliverable Review Sub-Team Lead reports to the Deliverable Lead, but manages the sub-team with the following responsibilities: ▪ Serves as part of a Deliverable Review Team ▪ Selects a Sub-Team of Reviewers with the Deliverable Lead with approval from the FDACS Project Manager ▪ Assists in the review team responsibilities ▪ Distributes Deliverable to Deliverable Review Sub-Team Members ▪ Manages the review and acceptance process within the Deliverable Review Sub-Team ▪ Consolidates Comments for the Deliverable Review Sub-Team ▪ Participates in comment resolution ▪ Manages communications between the Review Sub-Team, the Deliverable Review Team, and the Deliverable Lead ▪ Escalates unresolved issues to the Deliverable Lead

ROLE	RESPONSIBILITY
PPMO Manager (Contracts Manager)	▪ Reviews comments and recommendations for the deliverables from the Deliverable Lead ▪ Coordinates with Executive Sponsor on formal acceptance of deliverable when needed ▪ Uses appropriate escalation processes as needed for deliverable content issues ▪ Has final signoff authority on all deliverables ▪ Accepts or rejects deliverables and communicates the disposition to the FDACS Project Manager and Deliverable Developer ▪ Notifies appropriate parties of acceptance/rejection of deliverable ▪ Submits status reports in accordance with RLMS Project Status and Schedule Management processes ▪ Prepares Deliverable Review and Acceptance documentation for submission of payment invoice ▪ Coordinates with the department Contract Management Office and Department of Financial Services to facilitate the payment of the Vendor invoice in compliance with Florida State Statutes

Exhibit 38: Deliverable Management Roles and Responsibilities

9.2 Deliverable Review Team Selection

The Deliverable Review Team consists of individuals assigned to specific reviewer roles. Role assignment guidelines are provided in the Deliverable Review Team Assignment Definitions exhibit below. The Deliverable Lead may be assigned to one of these roles. The PPMO Manager will have the authority to adjust these guidelines based on the size, type and complexity of the deliverable.

Once the members of the Deliverable Review Team have been approved, the Deliverable Lead reviews responsibilities for the planned activities for the Deliverable planning, development, review and acceptance activities with each member. This will include a discussion of the role and responsibilities for each member. The following table describes the roles and responsibilities of the Deliverable Review Team.

ROLE	RESPONSIBILITY
Technical Expert	▪ The individual in this role must have specific knowledge of the technical requirements of the deliverable and be qualified to review the deliverable for correctness, completeness, and appropriate level of detail.

Deliverable Expectations Reviewer	▪ The individual in this role must be qualified to determine if the deliverable meets its contractual requirements, including the expectations, acceptance criteria, and scope set forth by the Deliverable Stakeholders. This individual will work with the other reviewers to ensure the details of the requirements are correct.
Subject Matter Experts	▪ The individuals in this role must be qualified to review the deliverable based on their subject matter expertise in the business area to which the deliverable pertains.
Administrative Reviewer	▪ The individual in this role must be qualified to review the deliverable for spelling, grammar, and compliance with the RLMS Project Document Management Plan (if applicable).

Exhibit 39: Deliverable Review Team Assignment Definitions

9.3 Deliverable Review and Acceptance Process

This section provides an overview of the deliverable submission and review process to include a definition for each of the deliverable review and acceptance sub-processes illustrated in the exhibit below and described in further detail in the following sub-sections of this document. The term deliverable includes a variety of project work product types (e.g., software resolution, any QA results, and reports, etc.).

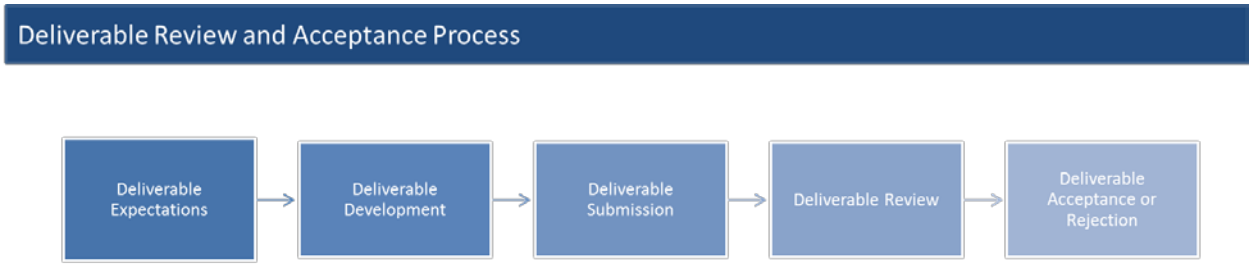


Exhibit 40: Deliverable Review and Acceptance Process

The Deliverable Review and Acceptance process is made up of five major sub-processes or phases as shown above.

9.3.1 The Deliverable Expectations Process

The Deliverable Expectations Process defines the following:

- Tasks, responsible actors and outputs for establishing the contractual acceptance, format and content expectations for project deliverables;

- Tasks, responsible actors and outputs for the submission, receipt, and the review and comment feedback of draft deliverables and the resolution of review feedback for acceptance of a final deliverable draft;
- Tasks, responsible actors and outputs for the approval and invoice payment of a final deliverable.

The Deliverable Expectations process includes the steps involved in the documentation of expectations and acceptance criteria for a deliverable prior to its development. The process includes holding expectations meetings, documenting expectations and acceptance criteria, and resolving any issues between the Deliverable Review Team and the Deliverable Developer prior to beginning development. The output of the process is an approved Deliverable Expectations Document (DED). The diagram below outlines the deliverable expectations development and approval process.

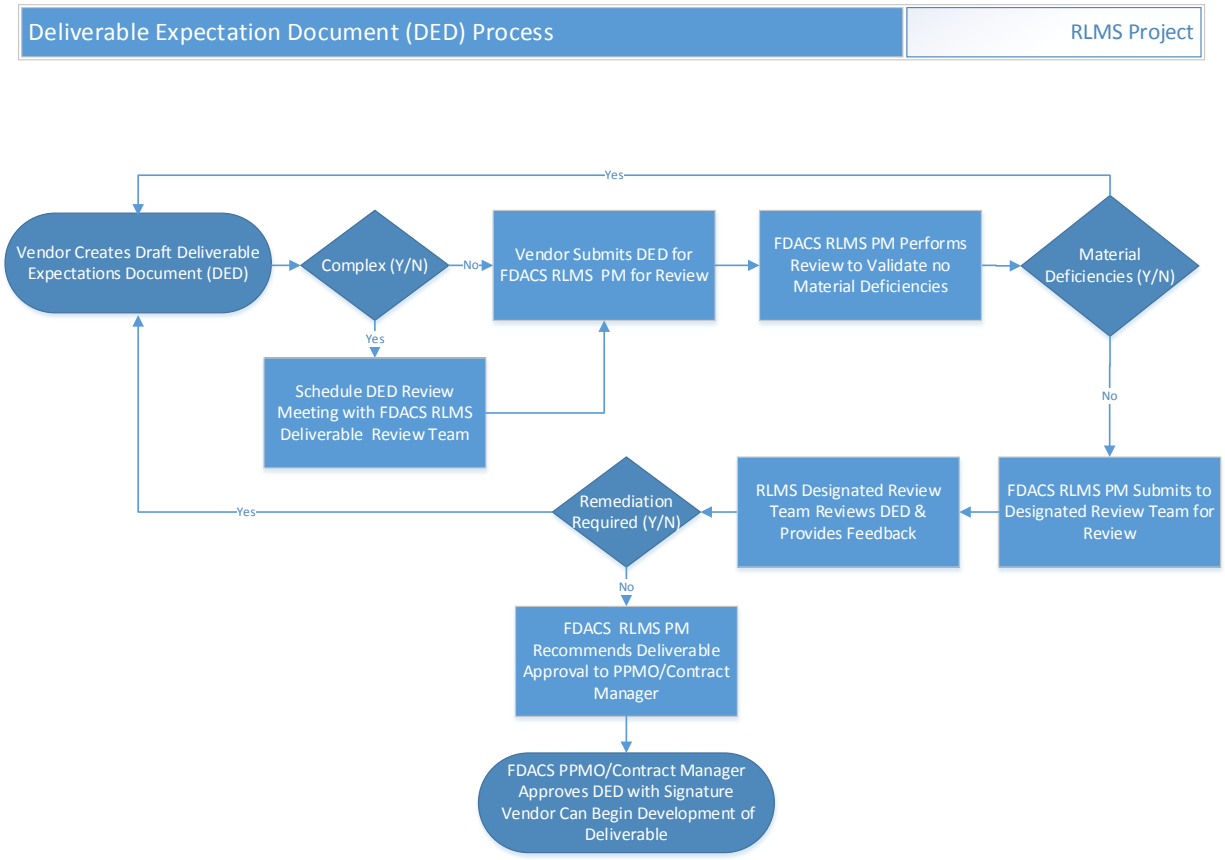


Exhibit 41: Deliverable Expectations Document (DED) Process

9.3.1.1 Creating the Deliverable Expectations Document (DED)

The FDACS RLMS Project Manager will schedule one or more expectations meetings with the Vendor Project Manager, Workstream Lead, key RLMS Project personnel and the Deliverable Review Team members as part of the DED development process. The expectations meeting(s) are intended to formally establish expectations for the development of the deliverable. Expectations will focus on identifying and agreeing upon the "who", "what", "why", "where", "when", and "how" for the development of the deliverable, and must include the acceptance criteria for the deliverable under development. It is important the Deliverable Lead schedule the expectations meetings to allow sufficient time to define, draft, approve and baseline the Deliverable Expectations Document in advance of the date development is scheduled to begin on the deliverable. If a due date has not been set for a deliverable (either contractually or in the RLMS Project master project schedule) a date will be established during the DED development process and agreed to Deliverable Stakeholders.

The FDACS RLMS Project Manager will work with the Vendor Project Manager and the Workstream Lead to schedule the Deliverable Expectations meetings. The FDACS Project Manager is responsible for ensuring key stakeholders are invited to the expectations meeting and remain involved throughout the deliverable development process. All Deliverable Developers and Deliverable Review Team members must be adequately prepared for the Expectations meeting(s) by completing the following:

- Review any background information distributed by the FDACS RLMS Project Manager;
- In the case of vendor deliverables, study the procurement document giving special attention to the deliverable expectations, acceptance criteria, and the vendor proposal; discuss expectations with the vendor and key staff knowledgeable of issues inhibiting mutual understanding of the expectations of the deliverable;
- Review of the Draft DED, developed by the Deliverable Developer, informed by preliminary meetings in the identification of the deliverable based on the final version of the vendor's contract and any subsequent amendments or modifications.

9.3.1.2 The Deliverable Expectations Document

The Deliverable Expectations Document (DED) is used to define deliverable requirements and the developer's approach to meeting the deliverable requirements through the development of the deliverable.

In addition, the Deliverable Acceptance Criteria is recorded in the DED and includes all applicable acceptance criteria for each of the deliverable expectations. Each of the requirements defined must have corresponding criteria defining how that expectation will be measured. Since these acceptance criteria

will be the definition of what is required for a deliverable to be considered complete and approved, it is critical to remove as much subjectivity and ambiguity as possible. The acceptance criteria must be clearly defined, quantifiable and measurable. Recorded in the document are the specifics of how the criteria will be measured, and any comments pertinent to further clarifying the criteria or assessment.

Following the Expectations meeting(s), the FDACS RLMS Project Manager will:

- Review and approve remediation required;
- Distribute the remediation required to the Deliverable Lead and Vendor Project Manager;
- Coordinate any updates to the Deliverable Expectations Document;
- Schedule follow-up expectations meetings if applicable (resolve issues/action items, finalize deliverable expectations and acceptance criteria).

Once agreement is reached on the expectations and acceptance criteria, the Deliverable Developer updates the draft based on the outcomes of the Deliverable Expectations meeting(s) and submits the DED to the FDACS Project Manager who then distributes it to the Deliverable Lead for approval. The Deliverable Lead reviews and approves the document, or escalates specific concerns as project issues if agreement as to the acceptability of the document cannot be reached. Once finalized and approved, the Deliverable Lead sends it to all stakeholders who attended the expectations meeting to ensure understanding of the document by key deliverable stakeholders. Additionally, the expectations meeting minutes and the deliverable expectations and acceptance criteria document are entered into the RLMS Project document repository by the FDACS Project Manager.

All Vendors with contracted RLMS project deliverables are required to use the FDACS RLMS DED template. The DED Template can be found on the RLMS Home Page.

The table below outlines the Deliverable Expectations Document process.

TASK	DESCRIPTION	ROLES
Develop Draft DED and Meeting Materials	▪ The Workstream Lead develops the initial draft of the DED, the meeting agenda and any supporting materials for the Deliverable Expectations meeting ▪ The Vendor Project Manager sends the FDACS RLMS Project Manager the draft DED for distribution to the key Deliverable Stakeholders	FDACS RLMS Project Manager, Vendor Project Manager, Workstream Lead, Key Deliverable Stakeholders

TASK	DESCRIPTION	ROLES
Schedule Deliverable Expectations Meeting	▪ The FDACS RLMS Project Manager schedules the Deliverable Expectations meeting to include all Deliverable Stakeholders (including deliverable developers) ▪ Distribute vendor solicitation document and proposal (if applicable) and related information about the deliverable for review prior to the meeting	FDACS RLMS Project Manager
Prepare for Deliverable Expectations Meeting	▪ Review information distributed by the Deliverable Lead ▪ Review vendor solicitation document and proposal requirements (if applicable) ▪ Identify deliverable expectations and prepare to review them with team ▪ Identify acceptance criteria and prepare to review them with team ▪ Review draft DED and any supporting materials	FDACS RLMS Project Manager, Key Deliverable Stakeholders
Conduct Deliverable Expectations Meeting	▪ The FDACS RLMS Project Manager will schedule the meeting and distribute meeting artifacts ▪ If necessary, the Deliverable Lead will guide participants in establishing the deliverable due date ▪ This meeting will include the Vendor Project Manager, Workstream Lead, and representatives of the Deliverable Review Team (at the Vendor Project Manager's discretion) ▪ Make initial determination of whether a Deliverable walk-through will be required ▪ Schedule and facilitate internal follow up meetings for clarification and consensus of acceptance criteria	FDACS RLMS Project Manager

TASK	DESCRIPTION	ROLES
Document Remediation Required	▪ FDACS RLMS Project Manager will document any remediation required and insert comments and/or edits into the DED through use of the collaboration tools on the RLMS SharePoint site	RLMS FDACS Project Manager
Submit Final Draft DED for Approval	▪ The Vendor Project Manager and Workstream Lead document the deliverable expectations and acceptance criteria in the agreed-upon format and submits the document to the FDACS RLMS Project Manager for review and approval based on the planned date for submission documented in the RLMS Project Master Project Schedule ▪ Deliverable submission is based upon the planned submission date documented in the RLMS Project Master Project Schedule	Vendor Project Manager, Workstream Leads, FDACS RLMS Project Manager
Distribute DED for Review and Approval	▪ Vendor PM posts the DED submission to the RLMS Project PMO SharePoint site as record of the DED submission ▪ FDACS RLMS Project Manager distributes the draft DED to the PPMO Manager for Review and Approval	Vendor Project Manager, FDACS RLMS Project Manager, PPMO Manager
Approve DED	▪ Sign off of DED and post to SharePoint	Deliverable Lead

Exhibit 42: Deliverable Expectations Process Description

9.3.1.3 DED for Large Deliverables

Many deliverables are too large for one individual to read in their entirety within the review period. If it is determined at the Deliverable Expectations meeting that this is the case, the Deliverable Developer must identify section breaks or component parts in order to logically divide a review between several individuals or in the case of very large deliverables, review sub-teams. Deliverable expectations and acceptance criteria will be created, documented and agreed upon to define the logical section breaks or component parts. During development, the Developer will ensure the deliverable is created to support the division of the document to meet the agreed-upon expectations. Upon delivery, the Deliverable Lead will coordinate review effort by assigning the logical smaller sections or component parts to appropriate

reviewers or review sub-teams based on expertise in the subject matter. Any deliverables of this nature will require a deliverable walkthrough upon delivery.

If it is determined at the Deliverable Expectations meeting that a deliverable is likely to be so large or complex that a single review period is impractical, steps will be taken at the meeting to establish a phased delivery plan.

The Deliverable Stakeholders shall review the requirements and expectations established for the deliverable and organize them into logical, manageable sections for submission at established intervals prior to the final deliverable due date. Each section shall include a detailed scope statement in a completed and approved DED that informs reviewers of which requirements and acceptance criteria are addressed in that section. In addition to individual reviews of each section, the Deliverable Lead will manage a review of the deliverable as a whole, prior to the final deliverable due date. This process will ensure there will be no gaps when the Deliverable Developer combines the parts into a contiguous deliverable.

The phased delivery plan for the large deliverable may include a process for informal reviews or development reviews of the sections prior to the formal submission of the consolidated deliverable. The goal of an informal review process is to facilitate collaborative development and to ensure expectations are met for detailed deliverable content between the Deliverable Lead and the Deliverable Developer before the formal and final review of the deliverable. The same guidelines and processes defined for the formal review of a deliverable will be employed for the informal review of a deliverable. Variations to the formal review guidelines contained within this document may be examined and considered for an informal review where appropriate to enable a more streamlined and accurate approach to the informal and collaborative development of the deliverable. An informal review of a deliverable will be conducted with the understanding that approval of the deliverable can only be accomplished after the formal review of the deliverable has been completed.

The informal review process will be documented in the DED. Based on the deliverable development approach defined in the DED, supporting procedures will be developed and distributed to the Deliverable Development and Review Teams to ensure a standardized process for the development and documentation of the deliverable across all Project Stakeholders.

9.4 Deliverable Development

The key to the Deliverable Review Process performing at a high level is the involvement of the Deliverable Review Team in the Deliverable Development process. One of the criteria for the selection of the Deliverable Review Team is the opportunity for the individuals to be involved in the development of the deliverable. A Reviewer is not permitted to perform any actual development but is expected to interact with the Developer by providing input, expertise, decision making, and ongoing review of the deliverable. Following this involvement, the Review Team will be prepared with sufficient background on the deliverable to perform an educated, timely, and thorough review of the deliverable.

During the Deliverable Development process, decisions may be agreed upon by the RLMS PMO Manager and the Vendor Project Manager that impact the DED. When this occurs, the Vendor Project Manager is responsible for making the updates to the baselined version of the DED and submitting the revised document to the FDACS RLMS Project Manager. The FDACS RLMS Project Manager is responsible for managing the FDACS review and approval process for the updated DED.

9.4.1 Deliverable Format and Content

All deliverables, word processing documents, spreadsheets, presentations, charts, databases or other project artifacts will be provided in a format approved by and currently supported by the FDACS RLMS Project Team. These formats include:

- Microsoft Office 2013 or higher (Word, Excel, Visio)
- Microsoft Visio Professional 2013 or higher
- Microsoft Project 2013 or higher

The content and format of the deliverables will be documented in the Deliverable Expectations Document (DED) in accordance with relevant industry standards “best practices” and, where appropriate, must follow the FDACS PPMO Document Management templates and Standards.

The PPMO Manager or FDACS RLMS Project Manager may reject a deliverable (draft or final) as materially deficient that is missing agreed-upon content or has significant spelling, grammatical, punctuation, format and/or pagination errors. If the deliverable is rejected on this latter basis, all grammatical, spelling, punctuation, format and/or pagination errors will be corrected, and another quality control review will be conducted before the deliverable is resubmitted. The FDACS RLMS Project review team deliverable review cycle will begin based on the re-submission date and not on the original submission date.

9.4.2 Initial Quality Review

Upon submission to the RLMS PMO, all deliverables will undergo an initial quality review for completeness and for compliance with the project document management standards and the deliverable management processes. The Initial Quality Review will examine the following items:

- Compliance with the DED;
- Compliance with project FDACS PPMO Document Management standards and use of approved project templates (where applicable);
- Deliverable review is in sync with review cycle (e.g., Submission, Draft, Final, etc.);
- All sections in the document appear to contain agreed-upon content;
- Formatting complies with contract requirements and appears reasonable;

- The deliverable review schedule is consistent with/matches the review schedule documented in the DED;
- Spell and grammar quality assurance has been performed by the vendor;
- Quality checklist accompanies the deliverable document.

If the submitted deliverable is found to be materially deficient, it will be returned to the vendor for corrective action prior to entering the formal review process. If the submitted deliverables passes the initial quality review, the deliverables are then distributed to the RLMS Project deliverable review team for deliverable review, comment, feedback and/or approval. If the submitted deliverables do not pass the initial quality review, the FDACS Project manager will work with the Review Team, the Vendor Project Manager and the Workstream Lead to document and communicate the remediation requirements of the deliverable submission.

9.4.3 Deliverable Submission

Each deliverable will be submitted in accordance with the approved PMP and Project Schedule for review and acceptance by the FDACS Project Manager and Deliverable Review Team.

When submitting deliverables to FDACS, the deliverable developers will ensure submissions are communicated at a minimum to the following individuals:

- The Executive Sponsor
- The FDACS PPMO Manager
- The FDACS Project Manager /RLMS PMO
- The RLMS Project Deliverable Lead/RLMS PMO
- IV&V

For RLMS Project deliverables, the complete list of responsible parties receiving the submission emails can be found in the deliverable's corresponding Deliverable Expectations Document.

For deliverables consisting of multiple components, files, documents, etc., the number and type of products to be submitted must be identified in the DED. Additionally, the deliverable will be considered submitted – and the review cycle will start – only when all components have been submitted.

Drafts of deliverables may be submitted for FDAC's preliminary review. Depending upon the complexity of the deliverable, the Workstream Lead submitting the deliverable may conduct a walk-through of the draft content upon submission to assist the review process. A Deliverable Walk-through will be done only at FDACS' discretion and must be agreed upon in the DED.

The final deliverable review is intended to be a confirmation that any minor corrections required as a result of the preceding draft reviews have been made and a cursory review or "spot check" of the overall deliverable. As such, in order to manage expectations and expedite the final deliverable review and approval process, the final deliverable will not differ materially from the preceding draft deliverable submitted for FDAC's review.

As part of this submission, the deliverable owner will submit an email referencing the completed Deliverable Transmittal Form (listed in the exhibit below) upon submission. These documents serve to provide a brief summary of the deliverable, identify its content, its owner, and to initiate feedback from the reviewers within the agreed-upon review period. The deliverable owner and the reviewers will use the RLMS SharePoint Project Library for all collaboration related to the storage and review of all document deliverables.

DELIVERABLE DXX	
DELIVERABLE	**ACCEPTANCE CRITERIA**
▪ Name of Deliverable	▪ Reference the Deliverable Expectation Document Name of Deliverable, v100, Date

The undersigned acknowledge and accept delivery of the work completed for this deliverable on behalf of the Florida Department of Agriculture and Consumer Services. The signatures attest to our agreement that this deliverable has been completed. No further work is required on this deliverable.

FDACS PPMO Manager:

Name Date

Vendor Project Manager:

Name Date

Exhibit 43: Sample Deliverable Transmittal Form Sample

9.4.4 Deliverable Acceptance or Rejection

All RLMS Project deliverables will be submitted to the FDACS RLMS Project Manager and undergo an initial quality review. This process serves to verify the deliverable has been developed and submitted in the required format identified in the approved DED using industry standards for quality control. The purpose of the initial quality review is to facilitate an efficient and effective review by the Deliverable

Lead and Review Team(s). If upon inspection the deliverable is found to materially deficient by the FDACS RLMS Project Manager, the deliverable will be returned to the vendor project manager for correction prior to entering the into the agreed-upon review cycle.

9.5 FDACS Deliverable Review Process

All RLMS Project deliverables must be reviewed to confirm that the acceptance criteria has been met as outlined in the DED. The Deliverable Review process is initiated when the Vendor Project Manager submits a deliverable for acceptance. The deliverable must be 100% complete and in final format prior to submission. In the case of a phased deliverable, each of the sections will be managed as an individual deliverable. Once the review of each of the sections is complete, a final review will be conducted over the deliverable as a whole to ensure there are no gaps between the sections.

Once the deliverable has been submitted, the RLMS Project Deliverable Review Team will review the deliverable within the agreed-upon number of business days (see Section 9.5.3, Deliverable Review Period Guidelines). Unless otherwise specified, if notification of deliverable acceptance or rejection has not been provided to the Deliverable Developer in the required review period, a project issue will be created and the issue escalation process described in this document will be followed. If FDACS requests changes, the suggested changes will be submitted in accordance with the Deliverable Review Process outlined in the Deliverable Review Process exhibit and based on the Deliverable Review Comments section of this document. All requested changes will be coordinated by the Deliverable Lead.

The Workstream Lead will update the deliverable with the agreed-upon and accepted changes within the agreed-upon number of business days for that deliverable. The deliverable document revision history will be updated with a summary of the modifications made to the deliverable and the version number incremented based on the RLMS Project Document Management Process. Changes requested by the Deliverable Review Team that are not recommended by the Deliverable Developer will be marked as “rejected” with a detailed explanation from the Deliverable Developer.

The Workstream Lead will resubmit the updated Deliverable for final review and approval of the deliverable with the updated modifications based on the comment review feedback. Upon receipt of modifications, the Deliverable Review Team will review the deliverable to confirm the modifications within the contracted number of business days. If the Deliverable Review Team finds comments which were rejected by the Developer, and the Review Team does not agree with the Workstream Lead’s explanation for the rejection, this comment will enter the escalation process and will be decided by the appropriate governance body depending on the impact and nature of the disagreement.

The following exhibit is the diagram of the RLMS Deliverable Review Process.

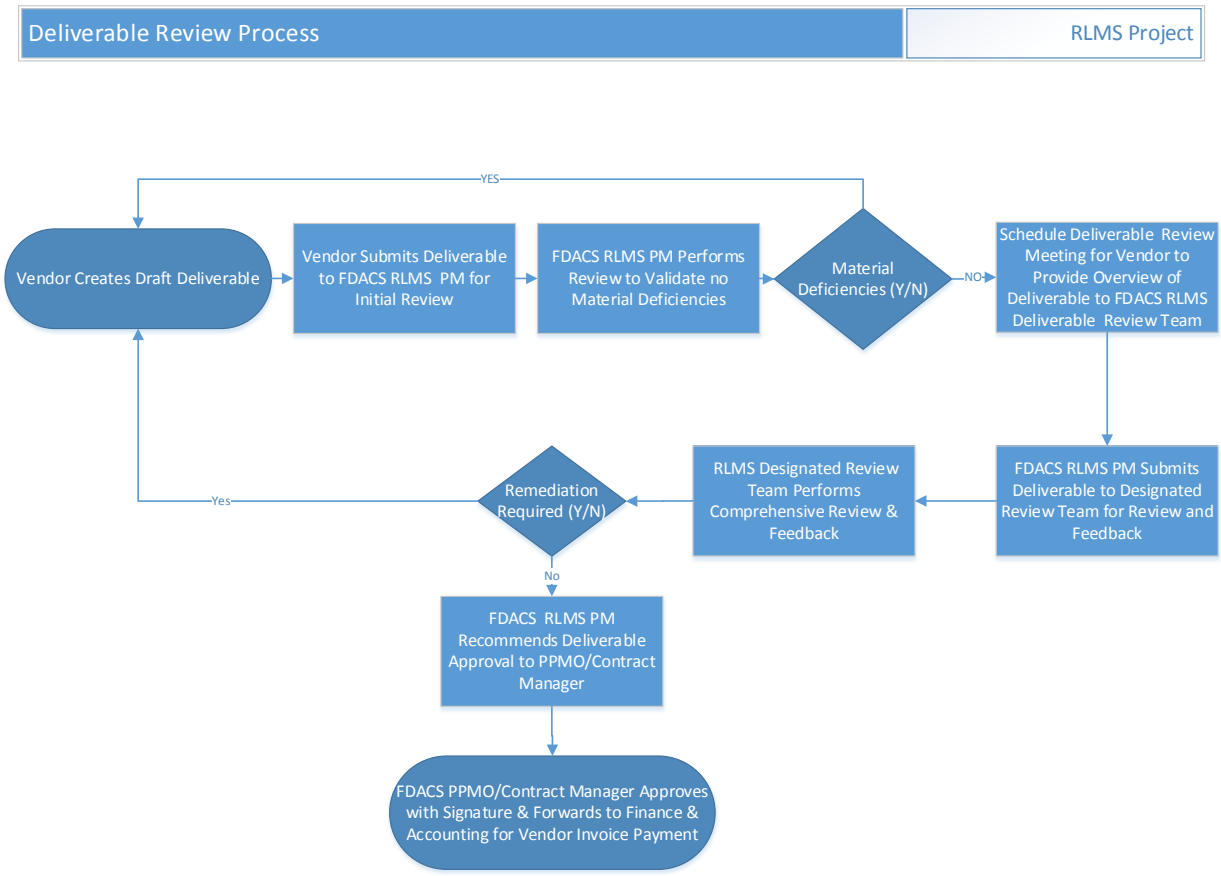


Exhibit 44: Deliverable Review Process

The table below provides a detailed description of the Deliverable Review Process shown in the previous exhibit.

TASK	DESCRIPTION	RESPONSIBLE ACTOR(S)
Vendor Creates Deliverable	▪ Vendor creates draft deliverable.	▪ Vendor Workstream Lead or Project Manager
Vendor Submits Deliverable	▪ Vendor Project Manager submits the deliverable to the FDACS Project Manager for Initial Review.	▪ Vendor Project Manager

FDACS Project Manager (PM) Performs Review to Validate no Material Deficiencies	▪ The FDACS PM performs the initial quality review of the deliverable to validate there are no material deficiencies present. If material deficiencies are found, the deliverable is returned to the vendor for remediation.	▪ FDACS Project Manager
FDACS RLMS PM Schedules Overview of Deliverable by Vendor for FDACS Review Team	▪ The FDACS PM schedules an overview of the deliverable by the vendor for the FDACS Review Team. These sessions are to allow the FDACS Review Team to ask questions and receive any clarification or additional information needed prior to initiating the review of the deliverable.	▪ FDACS Project Manager ▪ Review Team ▪ Workstream Lead ▪ Vendor Project Manager
Deliverable Review Team performs review and provides feedback / comments via Online Collaboration or Comment Spreadsheet (where Online not feasible)	▪ Deliverable Review Team members review the deliverable in accordance with their assigned role. ▪ Deliverable Team will enter comments into deliverable using online collaboration tool or Deliverable Comments Review Sheet (where Online not feasible).	▪ FDACS Project Manager ▪ Review Team
Vendor Conducts Remediation (if required)	▪ Deliverable Review Team comment / feedback is reviewed and all comments given a disposition. ▪ The deliverable is modified to reflect the review team's consolidated comments. ▪ Deliverable revision history and version number are updated. ▪ Questions/Issues/clarification regarding the comments are discussed with the Deliverable Lead and resolved. ▪ Return updated deliverable, updated comment spreadsheet (when utilized) and Deliverable Transmittal Form to FDACS Project Manager. ▪ Whenever possible, the deliverable will be returned with track changes turned on. This	▪ Vendor Project Manager ▪ Workstream Lead ▪ FDACS Project Manager

	will help clarify what changes were made and speed up the final review process.	
Complete FDACS Project Manager Review	▪ Once the Review Team activities and any necessary vendor remediation have been completed, the FDACS Project Manager will review the deliverable and provide any necessary comments or feedback using the online collaboration tool or comment spreadsheet.	▪ FDACS Project Manager
Remediate Issues (if required)	▪ FDACS Project Manager comments/feedback is reviewed and all comments given a disposition. ▪ The deliverable is modified to reflect the FDACS Project Manager's comments. ▪ Deliverable revision history and version number are updated. ▪ Questions/Issues/clarification regarding the comments are discussed with the Deliverable Lead and resolved.	▪ FDACS Project Manager ▪ Workstream Lead
Start the Approval Process	▪ Once the Deliverable Review Process has been completed, the Deliverable will be submitted for Approval to the PPMO/Contract Manager.	▪ FDACS Project Manager

Exhibit 45: Deliverable Review Process Description

9.5.1 Review Cycle Objective

The RLMS Project Plan Deliverable Review and Acceptance Process will utilize the shortest review cycle possible that ensures a quality deliverable outcome. This ensures deliverables are reviewed and accepted without unnecessary delay. This concept requires commitment from the Deliverable Review Team as well as a robust quality commitment from the vendor to conduct a thorough and informed review of the deliverable at the time of submission. Subsequent reviews will be focused on ensuring comments documented in the previous reviews were addressed to the team's satisfaction. The success of this review concept also depends on deliverables being 100% complete prior to submission.

9.5.2 Deliverable Review Comments

Each Deliverable Review Team member will clearly understand the role they have been assigned in the deliverable review process prior to providing comments. Reviewers will be expected to apply their business, technical, or subject matter expertise to identify and suggest constructive solutions to any problems found with the deliverable's content related to their role and within the specified timeframe. Reviewers will be expected to provide their comments to the Workstream Lead using track changes in the draft deliverable via RLMS SharePoint and meet collaboratively to review comments prior to resubmitting

to vendor. For Microsoft Word documents where collaboration is available, reviews will use online tracking. Other deliverables (e.g., Microsoft Excel spreadsheets do not have tracking capabilities – and Deliverable Comment Spreadsheets may be used). Guidelines based on the size of the document and review team are detailed in Exhibit 47: Sample Deliverable Review Guidelines below. Comments must be actionable and specific, not just statements or questions. Comments must reference the appropriate sections of the Deliverable to the greatest extent possible. If there is a global comment that applies to different sections across the deliverable document, the appropriate references will be included across the document in order for all necessary changes to be made and tracked as opposed to documenting a single global comment.

When the Deliverable Review Team has completed their review, the FDACS RLMS Project Manager is responsible for clarifying discrepancies in comment feedback across the deliverable review team. If necessary, the FDACS RLMS Project Manager will conduct a comment review meeting during which the team will discuss their findings. The vendor may be asked to have resources available to answer questions in a "green room" scenario to assist with expediting this process. Where inline comments and track changes are used to provide deliverable review feedback, the FDACS RLMS Project Manager is responsible to ensure that the updated deliverable is legible, content insertions are clear and organized, and comments are actionable. Where the comment review spreadsheet is used to provide deliverable review feedback, the FDACS RLMS Project Manager will consolidate all comments into one spreadsheet, removing duplicates and clarifying vague language. The RLMS FDACS Project Manager will also post the comment spreadsheet in a location where the Deliverable Review Team can view the contents prior to submission. If additional comments are received after the initial submission to the FDACS RLMS Project Manager, the Deliverable Review Team Lead will submit a revised complete set of comments to the Deliverable Lead to avoid any confusion.

The Deliverable Comment Spreadsheet and or Updated Deliverable Document(s) are then provided to the Deliverable Developer. If at any time during the Deliverable Review Process the Deliverable Lead requires clarification in order to provide a more actionable comment, then the Deliverable Lead will contact the Deliverable Developer for clarification. If a Deliverable Review Team member requires clarification she or he will notify the Deliverable Lead who in turn will coordinate with the Deliverable Developer for the information. If the Deliverable Lead or a Deliverable Review Team member encounters a critical issue while reviewing a deliverable, that issue must be raised immediately to the PMO and the PPMO RLMS Manager and not held for a deliverable review comment.

The FDACS RLMS Project Manager will schedule a meeting with the Vendor Project Manager and Workstream Lead on or about the date on which the comments are expected to be returned to the Workstream Lead. The FDACS RLMS Project Manager, the Deliverable Review Team, the Vendor Project Manager and the Workstream Lead will review the comments at that time to seek clarification and/or resolution to the deliverable review comments.

For larger deliverables where the comment volume is expected to be high, it is very important to build time into the deliverable review process for deliverable sub-team and review team to perform comment QA and consolidation. The approach to both developing and reviewing a large deliverable will be defined

and agreed upon during the Expectations and Acceptance Criteria process and documented in the DED to include examining and modifying the Deliverable Review Comment spreadsheet/template to accommodate the format and vocabulary of the particular deliverable.

9.5.3 Deliverable Review Period Guidelines

The standard deliverable review period is a guideline and will be evaluated for each deliverable based on type, size, and complexity. In the absence of a contractual obligation, a reasonable review period for a deliverable must be agreed upon by the FDACS RLMS Project Manager, the PPMO Manager (where applicable) and the Vendor Project Manager prior to beginning the review process. When developing the schedule, the vendor has leeway to determine the length of its internal review as long as it does not impact the deliverable due date.

The table below summarizes the standard deliverable review period.

Deliverable Submission Process	Task Duration
Conduct FDACS Review	2 days per every 50 pages
Remediate Issues from FDACS Review	5 days
FDACS Review of Vendor Remediation	1 day per 50 pages
Final Delivery and Signoff	1 day

Exhibit 46: Deliverable Review and Approval Timeline

The exhibit below outlines recommended deliverable review guidelines.

Deliverable Type	Size	Deliverable Review Form
MS Word	1-150 pages	SharePoint Collaboration
	150-500 pages	SharePoint Collaboration
	500+	SharePoint Collaboration
Others (MS Project, MS Visio, MS Excel, etc.)	All	SharePoint Collaboration

Exhibit 47: Sample Deliverable Review Guidelines

9.5.4 Deliverable Issue Resolution

Throughout this process, the FDACS Project Manager will work with the Workstream Lead, the Vendor Project Manager and the Deliverable Stakeholders to resolve issues as they arise. For example, after the compliance acceptance, if at any time during the deliverable review process, the Deliverable Review Team determines the deliverable does not meet minimum expectations to a level where the deliverable must be rejected, they will communicate their objections to the Deliverable Lead. If the FDACS RLMS Project Manager and Vendor Project Manager are unable to come to an agreement, an issue must be created and escalated in accordance with the PMP Issue/Action Item management process to the PPMO Manager, who may resolve the issue or solicit executive input. For details, refer to Section 15 Issue/Action Item Management in this document. The FDACS Project Manager is responsible to ensure that the resolution to an issue is communicated to all Deliverable Stakeholders.

Note: If it is determined a deliverable does not meet expectations and is rejected, the review cycle will end immediately. The FDACS RLMS Project Manager will perform a high-level review of the deliverable to find any other fatal flaws then begin the issue process. Part of the issue resolution process will be to determine how to move forward with the deliverable and the effects on the project schedule.

9.6 Deliverable Acceptance Process

The Deliverable Acceptance Process outlines the steps taken to officially accept a deliverable, and if applicable, approve it for payment. Once the deliverable review process is complete, the Deliverable Lead will provide his or her accept/reject recommendation to the PPMO Manager.

The FDACS RLMS Project Manager notifies the PPMO Manager of acceptance or rejection of the Deliverable. If the FDACS RLMS Project Manager recommends acceptance, the PPMO/Contract Manager approves with signature and forwards the final deliverable with an updated DED indicating department approval to Contract Management for invoice payment. If the FDACS RLMS Project Manager does not recommend approval, meetings are conducted with the PPMO Manager, FDACS Project Manager, the Vendor Project Manager, and where necessary, the Executive Sponsor to remediate any discrepancies. Once the identified discrepancies are corrected and the final deliverable is approved, the PPMO Manager forwards the final deliverable with an updated DED indicating department approval for invoice payment. This ends the Deliverable Acceptance process.

The following exhibit is a high-level diagram of the Deliverable Acceptance Process.

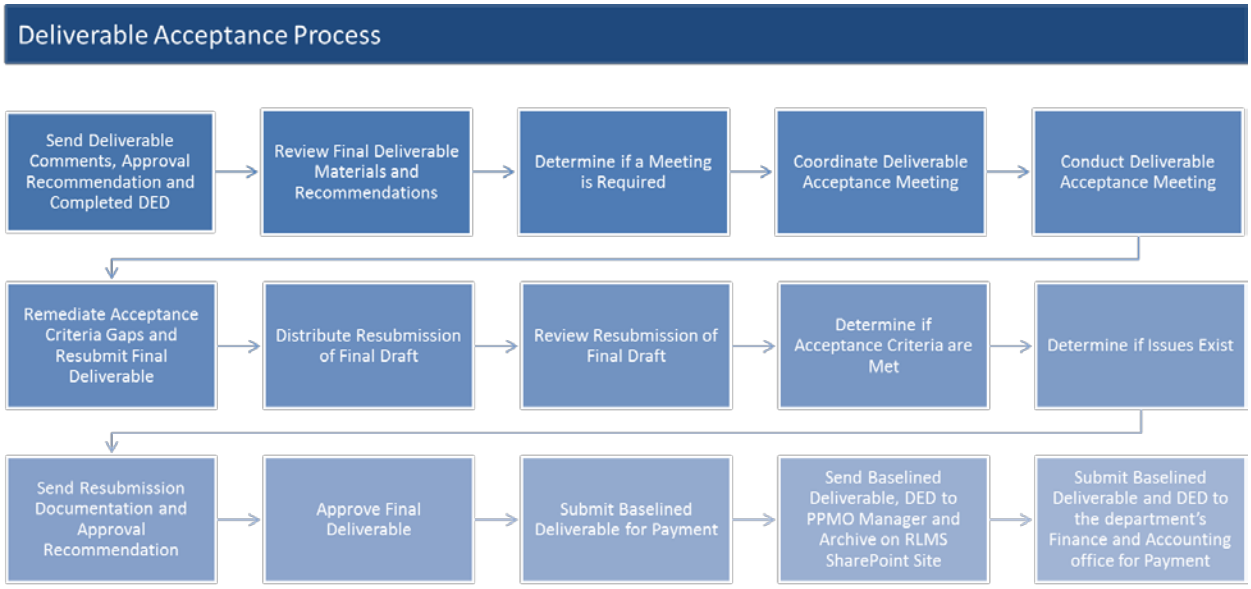


Exhibit 48: Deliverable Acceptance Process

The table below provides detail about the tasks associated with the Deliverable Acceptance Process.

TASK	DESCRIPTION	RESPONSIBLE ACTOR(S)
Send Deliverable Comments, Approval Recommendation and Completed DED	▪ The FDACS Project Manager sends the completed Deliverable Review Feedback Form, a completed DED and recommendations for approval to the PPMO Manager.	▪ FDACS Project Manager
Review Final Deliverable Materials and Recommendations	▪ The PPMO Manager reviews the materials and makes an approval determination.	▪ PPMO Manager

TASK	DESCRIPTION	RESPONSIBLE ACTOR(S)
Determine if a Meeting is Required	▪ The PPMO Manager determines if there are any outstanding or unresolved action items or criteria for approval and if so, requires a Deliverable Acceptance Meeting be scheduled. ▪ If Yes, advance to "Coordinate Deliverable Acceptance Meeting". ▪ If No, advance to "Approve Final Deliverable".	▪ PPMO Manager
Coordinate Deliverable Acceptance Meeting	▪ The FDACS Project Manager schedules the Deliverable Acceptance Meeting with the PPMO Manager and Vendor Project Manager and any other relevant project stakeholders required to address and resolve outstanding action items.	▪ FDACS Project Manager ▪ PPMO Manager ▪ Vendor Project Manager
Conduct Deliverable Acceptance Meeting	▪ The FDACS Project Manager facilitates the Deliverable Acceptance Meeting to ensure all outstanding action items are addressed.	▪ FDACS Project Manager ▪ PPMO Manager ▪ Vendor Project Manager
Remediate Acceptance Criteria Gaps and Resubmit Final Deliverable	▪ The Workstream Lead updates the Final Deliverable Draft based on the outstanding acceptance criteria and resubmits an updated version of the Final Deliverable.	▪ Workstream Lead
Distribute Resubmission of Final Draft	▪ The FDACS Project Manager PPMO Manager ▪ Vendor Project Manager redistributes the updated final Deliverable to the designated Deliverable Review Team members.	▪ FDACS Project Manager ▪ PPMO Manager ▪ Vendor Project Manager

TASK	DESCRIPTION	RESPONSIBLE ACTOR(S)
Review Resubmission of Final Draft	▪ The FDACS Project Manager works with the Review Team to facilitate the review the Final Deliverable to ensure that the outstanding acceptance criteria have been addressed.	▪ FDACS Project Manager ▪ Deliverable Review Team
Determine if Acceptance Criteria are Met	▪ If Yes, the FDACS Project Manager documents the resolution of the outstanding acceptance criteria and gives recommendation to approve the final deliverable. If No, the FDACS Project Manager works with the Vendor Project Manager to remediate acceptance criteria.	▪ FDACS Project Manager
Determine if Issues Exist	▪ If Yes, and there are issues that prevent the acceptance of the Final Deliverable, go to the Issue/Action Item Management Process to resolve the outstanding issues.	▪ FDACS Project Manager
Send Resubmission Documentation and Approval Recommendation	▪ The FDACS Project Manager sends the updated Deliverable Review Feedback Form, Final Deliverable and DED for approval to the FDACS PPMO Manager.	▪ FDACS Project Manager
Approve Final Deliverable	▪ The FDACS PPMO Manager approves the Final Deliverable and signs the DED indicating the Acceptance criteria have been met and the Deliverable has been approved. ▪ The FDACS PPMO Manager sends an email notification to the Deliverable Stakeholders informing them of the approval.	▪ FDACS PPMO Manager

TASK	DESCRIPTION	RESPONSIBLE ACTOR(S)
Submit Baselined Deliverable for Payment	▪ The Deliverable Developer baselines the approved Final Deliverable based on the Document Management Process and submits the Baselined Deliverable to the FDACS Project Manager.	▪ Vendor Project Manager
Send Baselined Deliverable, DED to PPMO Manager and Archive on RLMS SharePoint Site	▪ The FDACS Project Manager conducts a quality review check to make sure the Baselined Deliverable complies with the Project Document Management standards. ▪ If Yes, the FDACS Project Manager sends the Baselined Deliverable and updated and completed DED to the PPMO Manager. ▪ The FDACS Project Manager archives the Baselined Deliverable on the Project SharePoint Electronic Repository.	▪ Vendor Project Manager
Submit Baselined Deliverable and DED to the department's Finance and Accounting office for Payment	▪ The FDACS PPMO Manager submits the Baselined Deliverable, the signed DED and the Invoice for Payment to the department's Finance and Accounting office.	▪ FDACS PPMO Manager

Exhibit 49: Deliverable Acceptance Process Description

For larger deliverables, the additional signoff and control forms may be required to track approval of iterative and incremental reviews of smaller components of the deliverable across the Deliverable Review Teams and Sub-Teams. If the Deliverable Reviewers are satisfied the vendor deliverable has met all contractual obligations, the FDACS PPMO Manager finishes the acceptance process by notifying the Deliverable Developer of deliverable acceptance and beginning the invoicing process.

Should the FDACS PPMO Manager have questions regarding the recommendation and supporting documentation provided to substantiate the acceptance of the deliverable, a contract review meeting will be held to address any outstanding concerns. The FDACS PPMO Manager is responsible for notifying the

Vendor Project Manager and the FDACS Project Manager of the concern. The FDACS Project Manager is responsible for coordinating the Contract Review Meeting with the FDACS PPMO Manager, the Vendor Project Manager, the Workstream Lead and the Executive Sponsor as appropriate. The FDACS PPMO Manager and FDACS Project Manager are responsible for working with the Vendor Project Manager and the Workstream Lead to resolve any concerns as well as provide the necessary documentation to demonstrate contractual compliance for acceptance and payment of the deliverable.

9.6.1 Tracking Changes and/or Updates to Approved Deliverables

For those deliverables requiring scheduled updates as part of their standard lifecycle as well as for those deliverables requiring changes based on upstream or downstream modifications to other integrated deliverables in the schedule, it is necessary to track interim changes as they occur in between the scheduled updates to the approved deliverables. How interim changes are tracked will be defined and agreed upon prior to the approval and baselining of a deliverable. Once a deliverable has been approved and baselined, the deliverable is submitted to the FDACS Project Manager, posted and stored in the RLMS Project SharePoint site. The requirements for subsequent updates and changes to approved and baselined project deliverables as well as the party responsible for the updates and changes should be defined the DED.

10 Human Resource Management

The Human Resource Management Plan defines how the FDACS PPMO will plan, develop, and manage the resources staffed to support the Project. The Human Resource Management Plan is further detailed in the On-boarding Process (160217-DACS02-D3G-RLMS-On-boarding-v100, a separate management plan).

The RLMS Human Resource (HR) Management Plan describes the staffing processes and procedures to be followed during the Project to plan for and control project staffing for the remaining effort of the RLMS Project including procurement, planning, design, development, implementation and ongoing operations and maintenance.

Each section below provides managers with key information to make informed staffing decisions.

The HR Management Plan (as part of the PMP) is reviewed and updated prior to the beginning of each release as scheduled in the Master Project Schedule during the execution of this project.

10.1 Roles and Responsibilities

The table below describes the resource management roles and associated responsibilities.

ROLE	RESPONSIBILITIES
FDACS PPMO Manager	▪ Manages the staffing process as defined in this document ▪ Defines and request staffing budget ▪ Directs the Project Managers to perform the individual tasks necessary to manage the project staff successfully ▪ Reviews and approves/rejects staffing requests
Project Managers (Department and Vendors)	▪ Identifies resource needs ▪ Identifies resource training needs ▪ Obtains resources ▪ Allocates and releases resources ▪ Complies with laws and department HR policies
IT Governance Team	▪ Ensures major staffing issues are resolved and major staffing risks are mitigated in a timely fashion
FDACS Project Manager	▪ On-boards FDACS and vendor staff ▪ On-boards/trains project staff ▪ De-commits FDACS and vendor staff ▪ Provides project communications for project staff (department and vendor) ▪ Assists in identifying project resource needs ▪ Conducts workshops to assist Workstream Leads in assigning resource allocation for schedule tasks, as needed ▪ Provides mentoring and technical support to the Vendor Schedule Coordinators

	▪ Reviews Vendor Staffing Reports against resource assignments in Master Project Schedule ▪ Analyzes resource allocations and identify assignment over-allocations

Exhibit 50: Human Resource Management Roles and Responsibilities

10.2 Human Resource Management Process

The Human Resource Management process provides the direction to coordinate and manage the personnel assigned to perform the work for the Project. Managing Project staff entails Project and Program leadership providing human resources with direction, guidance, and support while the team performs their work with a clear goal of meeting the Project's objectives. Following a defined human resources management strategy provides more effective communications, improved staff performance, increased quality levels in work products, and increased control of schedule and budget performance. This section addresses the components of the Human Resource Management Lifecycle as depicted in exhibit 51 below including:

- Determining how the team allocates human resources to the project;
- Defining the procedures for on-boarding and de-committing human resources; ,
- Providing support for handling resource-related issues, such as team development.

Exhibit 51: Human Resource Management Lifecycle

10.2.1 Plan Human Resources

Planning for human resources is performed during the project initiation phase by the department, the RLMS PMO and Vendor Project Managers using the WBS, the Staffing Report (i.e., personnel roster) and the resource requirements as defined during the finalize schedule development process (see Schedule Management Plan for more details). Also taken into consideration during planning for human resources are the roles and skill sets needed to complete work packages.

Each vendor on the Project will provide initial project schedules to perform their respective scope of work that will be incorporated into the Master Project Schedule. In addition, the vendors and department will provide a Staffing Report that will include personnel assigned to the Project that will serve as the roster for onboarding and roll-off of Project personnel throughout the life of the Project.

The Schedule Management Plan defines the process for creating and updating the Master Project Schedule for the RLMS Project. To create the schedule, the Project Management Team started by creating a detailed Work Breakdown Structure (WBS). The staffing reports use the WBS and schedule as a foundation to determine the types and parameters of resources needed to complete the Project. Resource requirements were determined from an analysis of project activities and the assumptions made when estimating activity definitions, duration, and cost. The resource requirements include department staff, consulting services, vendors, and any other personnel.

Each task contained in the Master Project Schedule (MPS) must have resources assigned. Each task can have multiple resources assigned, depending on the requirements needed to complete the task. Task resource needs are defined by the workstreams through the rolling wave process (see Section 6 Schedule Management Plan for details) and recorded in the Master Project Schedule. Additionally, as new tasks are identified, they require resource assignments before being recorded into the MPS.

10.2.2 Acquire Human Resources

It is the responsibility of the department and vendors to acquire the appropriate staff to perform the scope of services outlined in the contract(s) to meet the project objectives. The vendors are responsible for hiring and training staff for the project to meet the contractual obligations for all staff to complete the work outlined in their contract scope of services.

The RLMS PMO and the Project Managers will work together to identify and acquire an appropriate mix of human resources for the project using the Human Resources Management process; organizational charts; resource availability, experience, and skill level; and job descriptions.

Human resource acquisition will occur throughout the project's lifecycle, with human resources on-boarding at various times. A core team will start at the beginning of the project while others will be brought on just prior to the start of specific work. Additionally, new resources may be brought in to replace existing human resources. Vendor Project Managers must provide resumes and obtain approval for human resource changes with both the RLMS PMO and the department.

The Staffing Reports submitted monthly to the FDACS Project Manager will contain project resources including staff role, and planned start and roll-off dates. Additional details and a sample Staffing Report can be found in the Schedule Management Plan. The Staffing Report will be maintained on the Project SharePoint site.

Due to the nature of long projects, not all resources will be known, named individuals at the start of the project. A rolling wave process (described in Section 6 Schedule Management Plan) will be used to identify named resources within the six- (6) month period for team or role placeholders that are provided in the Master Project Schedule. The initial Staffing Report may include roles without named individuals for downstream phases of the Project. Monitoring of the Staffing Report will be conducted on a monthly basis to identify any resource issues or risks raised as a result of variances in the staffing actuals versus forecast for staff.

Each week, the respective Schedule Coordinators will be providing their status updates to their team's tasks (current and future tasks). The status updates include any resource assignment or utilization changes to be reflected in the Master Project Schedule. The Master Project Schedule will be the single repository for all project tasks and assignments containing planned (forecast) and actual information for tasks and resource assignments.

10.2.3 Manage Human Resources

The transition of team members from one role to another, into operational and maintenance activities, or out of the Project, may take place throughout the duration of the Project. Team members will work closely with experienced staff and vendor staff to gain as much practical knowledge as possible. The RLMS Project Team must manage transition activities to ensure the proper transfer of responsibility and knowledge.

The appropriate department or vendor project manager is responsible for ensuring any pending work from a departing resource is transferred to a remaining staff member to ensure timely transition and completion of the work. If appropriate, the receiving staff may request additional training to support the new responsibilities. An appropriate transition period must be developed for the departing resource.

The Project Schedule Coordinator will be notified of upcoming departures or arrivals of new resources through the Staffing Report identifying resources (at least by roles) for the Project. Each new resource will be on-boarded and oriented to the Project by the RLMS PPMO as described in the on-boarding documentation located in the Project SharePoint site. This documentation includes the on-boarding for Vendor Key Named Staff.

11 Communications Management

The Communication Plan outlines recommended communications to support the RLMS Project. Communication (including stakeholder feedback) is important to Project success and, as such, requires careful planning and delivery to ensure selected stakeholders and stakeholder groups receive appropriate information. In addition, communication is important for demonstrating executive support and commitment, building overall buy-in and commitment for the Project, and ensuring that stakeholders know what is expected of them at key points during the implementation. For the RLMS Project, an Organizational Change Management and Workforce Transition Plan were developed as a separate document – a communication plan is part of that document. The subsections that follow focus on the project-level communications management. Broader stakeholder communications management is covered separately in the larger, more comprehensive Organizational Change Management Communication Plan.

This section documents the formal communication process developed for the RLMS PMO. This Communication plan defines:

- What needs to be communicated on the Project;
- Who is responsible for communicating with what audience;
- When the communication needs to take place;
- How information will be communicated.

The communication process was developed to ensure project stakeholders and team members are informed about the status of project initiatives at all times. However, the existence of a defined process does not ensure effective communications. The project team's execution of the communication processes is the driver for the successful communication.

This plan provides a framework for information exchange within and outside the Project. The plan focuses on formal communication elements, though other channels exist on informal levels. The plan does not limit but rather enhances communication practices. Open, ongoing communication between stakeholders and team members is vital to the success of the Project.

This communication plan is a key tool for promoting and enhancing organizational transformations toward new business processes. The plan will be updated as necessary throughout the Project to reflect new or evolving communication needs (e.g., changes to project team members, scheduled meetings, or communication tools). Changes to this plan will be coordinated by the FDACS RLMS Project Manager and approved by the FDACS PPMO Manager.

11.1 Scope

This project communication plan is for internal stakeholders. The scope of this plan includes identifying the stakeholder requirements for each communication type, the frequency of communication, the medium of communication, and the team member or members responsible for the communication.

The target audience for this plan includes:

- Project Participants
- Project Internal Stakeholders
- RLMS Project Team Members

All other vendor and departmental staff are excluded. The communications strategies and procedures for external stakeholder communications are outside of the scope of this document and are addressed in the Organizational Change Management Communication Plan.

11.2 Roles And Responsibilities

Communication is an ongoing project activity directed toward internal department stakeholder groups and the FDACS and vendor project teams. The project resources will work closely with stakeholder groups to ensure that communication needs are met and are adjusted according to feedback received. Roles and responsibilities for project communications are listed in the table below.

Exhibit 52: Project Communication Roles and Responsibilities

ROLE	RESPONSIBILITIES
FDACS Executive Sponsor	▪ Provides input and guidance about stakeholder communications to the PPMO Manager ▪ Champions the Project within the department ▪ Serve ass official interface and communications point with IV&V
FDACS PPMO Manager	▪ Provides communications input and guidance to the Project Manager
FDACS RLMS Project Manager	▪ Member of the project team, providing input and guidance to the team about Project stakeholder communication needs and strategies ▪ Provides official communication to Workstream Leads for dissemination to the stakeholders ▪ Provides written status report to weekly status meeting attendees ▪ Delivers verbal report during weekly status meetings
FDACS Project Team	▪ Provides input to the Project Manager about project stakeholder communication needs and strategies ▪ Delivers verbal report during weekly status meetings
Vendor Project Team	▪ Members of the project team, providing input and guidance to the team about stakeholder communications needs, strategies, and events ▪ Coordinate the collection and dissemination of project information to stakeholder audiences ▪ Deliver verbal report during weekly status meetings ▪ Create Bi-weekly status report

11.3 Required Communications

In addition to weekly status and as-needed team meetings, the RLMS Project Team will also capture key project information necessary to efficiently and effectively update internal and external project stakeholders on relevant project details. Regular Status Reporting is a required communication method for delivering project information.

12 Project Status Reporting

This section focuses on internal Project Status Reporting, the source for all other reports completed by the RLMS PMO and the FDACS PPMO.

Status Reporting serves as the focal point for project communications and as the integration point for the Project Management disciplines and processes described throughout the PMP. The RLMS Project uses a formal process for status reporting to communicate individual and team project status vertically through the project hierarchy. The Status Reporting process has been developed to give Executive Management, Project Management, and the Workstreams a view of the progress and status of the RLMS Project planning, procurement, design, development, and implementation efforts.

12.1 Project Status Reports

The status report utilized over the course of the RLMS Project lifecycle to monitor and report the health of the Project is the Bi-Weekly Status Report.

The RLMS Project's primary recurring status management output is the Bi-Weekly Status Report. The Bi-Weekly Project Status Report template includes the standard report sections for the project, which represent key discipline areas of project management. The information reported under each section is presented at task-level detail, or at the milestone- or deliverable-level, depending on the criticality of the activity at a given point of the project lifecycle. The Bi-Weekly Status Report template can be found in the Project SharePoint site.

12.2 Roles and Responsibilities

The Status Reporting Process involves many individuals across the RLMS Project. The roles and responsibilities of the key individuals in the Bi-Weekly Status Reporting process are described below.

ROLE	RESPONSIBILITIES
▪ Project PPMO Analyst	▪ Manages Bi-Weekly Status Reporting Process ▪ Responsible for development of RLMS Project Bi-Weekly Status Report ▪ Monitors and provides oversight of all activities involved in the preparation, distribution, and review of the Bi-Weekly Status Report ▪ Coordinates the consolidation of section/vendor status reports ▪ Escalates issues with incomplete vendor status report

ROLE	RESPONSIBILITIES
▪ Vendor Project Manager	▪ Conducts final review of Bi-Weekly Status Report ▪ Ensures the staff complies with the status reporting processes ▪ Ensures major issues are resolved and major risks are mitigated in a timely fashion ▪ Provides Risks and Issues, Action Items, Change Requests and Lessons Learned to the Bi-Weekly Status Report
▪ FDACS Project Manager	▪ Coordinates the consolidation of schedule section/vendor status reports ▪ Integrates schedule updates from vendor status reports into the Bi-Weekly Status Report, and update the Bi-Weekly Status Report ▪ Tracks plan performance metrics ▪ Analyzes impacts of schedule and resource changes, document any risks ▪ Analyzes any exceptions submitted with task updates
▪ FDACS Budget Liaisons	▪ Provides the financial and budget information to the Project PMO for inclusion in the Bi-Weekly Status Report
▪ Executive Sponsor ▪ PPMO Manager	▪ Reviews status, major risks, and issues ▪ Assists with the resolution of major issues and the mitigation of major risks
▪ IT Governance Team	▪ Reviews status, major risks, and issues on a monthly basis ▪ Provides input for decisions, risk and issues, major risks

Exhibit 53: Status Reporting Process Roles and Responsibilities

12.3 Status Reporting Matrix

The exhibit below details the section components for the Bi-Weekly Status Report. The template to be used to for the Bi-Weekly Status Report can be found at the following link: RLMS Status Report

STATUS REPORT SECTION	SOURCES / CONTRIBUTORS
Project Status	▪ Project PMO Team
Project Summary	▪ Project PMO Team
Schedule Major Milestones/Activities ▪ Completed ▪ Late ▪ In-Progress or Future Milestones/ Activities	▪ Project PMO Team ▪ Vendor Teams ▪ RLMS Project Team (Section Status Report Coordinators)

STATUS REPORT SECTION	SOURCES / CONTRIBUTORS
Risks (Risk Rating of 15+ or Increasing)	▪ Project PMO Team ▪ Vendor Teams ▪ RLMS Project Team (Section Status Report Coordinators)
Project Issues	▪ PPMO Team ▪ Vendor Teams ▪ RLMS Project Team
Action Items (High and Medium only)	▪ PPMO Team ▪ Vendor Teams ▪ RLMS Project Team
Key Decisions or Questions	▪ PPMO Team ▪ Vendor Teams ▪ RLMS Project Team
Scope Changes	▪ PPMO Team ▪ Vendor Teams ▪ RLMS Project Team
Lessons Learned	▪ PPMO Team ▪ Vendor Teams ▪ RLMS Project Team
Additional Observations and Comments	▪ PPMO Team ▪ Vendor Teams ▪ RLMS Project Team

Exhibit 54: Weekly Status Reporting Matrix

13 Organizational Change Management Plan

Organizational Change Management (OCM) is a comprehensive set of practical and proven strategies, tools, and tactics designed to mitigate the business and human risks associated with major organizational changes. It is the process of aligning people with changes in strategy, business processes, and technology to help an organization achieve goals associated with a particular change initiative. Effective OCM is associated with an improved probability of project success, increased management buy-in, and higher end-user acceptance than if OCM were not applied.

A comprehensive Organizational Change Management Plan and Workforce Transition Plan are being developed as separate documents. Please refer to this deliverable on the RLMS Project SharePoint site for more information.

14 Risk Management Plan

The section describes the approach that RLMS Project will utilize to identify, analyze, and manage risks.

Risk management will be an ongoing process conducted throughout the life of the project. The process begins with identifying, assessing, and developing response plans for significant risks. It continues with regular risk monitoring, ongoing identification of new risks, and timely implementation of mitigation plans.

This Risk Management process addresses identified risks requiring visibility at the highest levels of the project and will be managed by the combined Project Management teams of FDACS and its contractors.

The project team will use a straightforward method that includes the following tasks: identifying and categorizing project risks (Identify); assessing and prioritizing the risks (Analyze) so they are manageable; developing a response strategy and assigning responsibility (Plan); tracking the risks by reviewing them at key project milestones (Track); implementing the defined response strategies as required (Control); and, most importantly, communicating the risks and strategies on an ongoing basis throughout the life of the Project. Risk management processes address internal risks (those under the control or influence of the project team, such as quality of deliverables, cost, schedule, or technical risks) as well as external risks (those outside the control of the project team, such as governmental legislation or weather).

14.1 Roles and Responsibilities

The roles and responsibilities relating to Risk Management are presented as follows in the exhibit below.

ROLE NAME	RESPONSIBILITIES
Risk Originator (anyone)	Identifies risk
Risk Coordinator (contractor PM)	Validates and registers risk in Risk Log, closes risk
Risk Management Team (FDACS and contractor Project Management teams or designees)	Performs risk analysis, approves risk response plans, monitors risk and approves closure of risk
Risk Owner (TBD by Risk Management Team)	Formulates and executes risk response plan

Exhibit 55: Risk Management Roles and Responsibilities

The exhibit below is a graphical representation of the risk management workflow. The exhibit depicts the various processes that a risk will proceed through during risk management as well as the identification of the individual or team responsible for the process step.

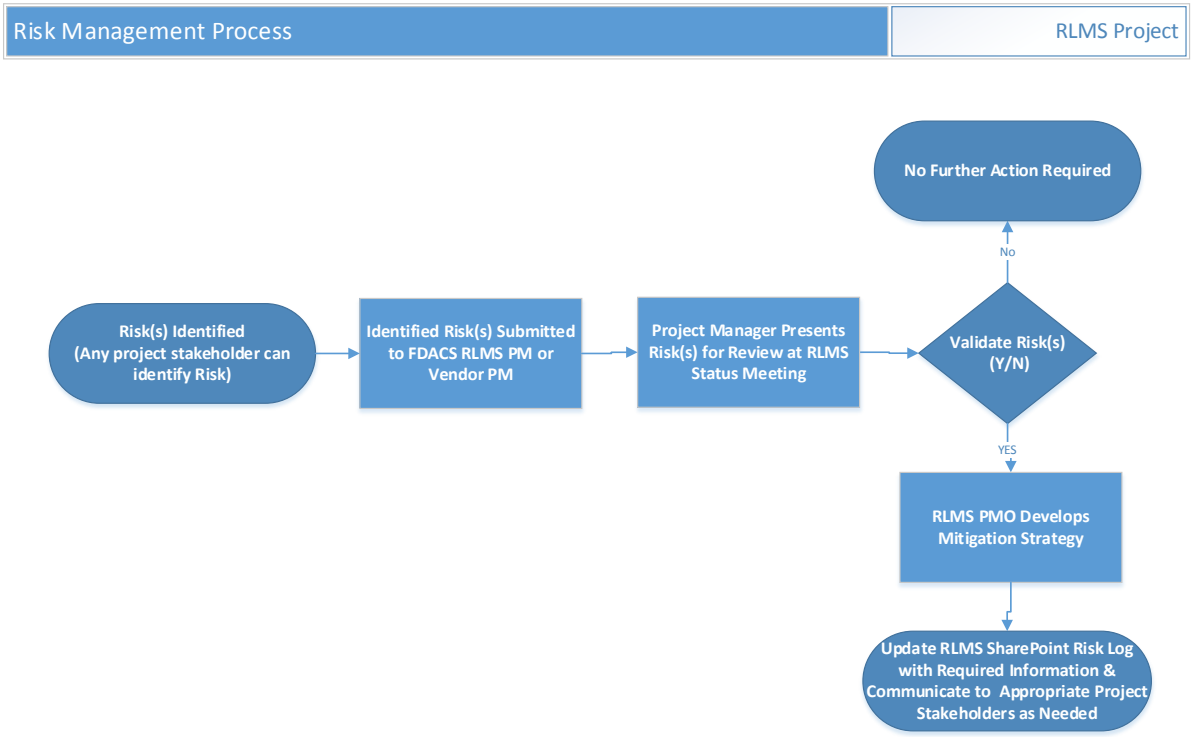


Exhibit 56: Risk Management Process

As depicted above, an identified risk is first validated by the Risk Coordinator to make sure the information is complete and that the risk is not a duplicate. Once verified, the risk information is logged into the Risk Log and given a unique identifier. The Risk Management Team (RMT) conducts the risk qualitative analysis to determine the risk probability and impact.

Next, the risk Tolerance ranking is determined based on probability and impact. An appropriate level of response planning will be defined by the RMT and the assigned Risk Owner will develop the risk response plan.

Approved response plans will be put into execution and monitored to completion. Risks will eventually be closed, either because they have passed their triggering event and no longer pose a threat to the project or because the risk has occurred causing the risk contingency plan to be triggered, resulting in the activation of the risk also known as an issue.

The project risk management will consist of the key activities listed in the table below:

ACTIVITY	APPROACH	PURPOSE
Identify	Determine whether potential event or condition may impact at least one project objective	Categorize potential events and conditions that may impact the Project as risks so that they may be managed appropriately
Analyze	Determine the consequence of risks listed and calculate the risk tolerance	Transforms the risk data into decision making information
Plan/Mitigate	Determine desired risk strategies and actions, and assign responsibility	Translates the risk information into strategies and mitigation actions
Track	Review and re-examine risks when project situation changes or key milestones are achieved	Monitors risk indicators and mitigation actions
Control	Implement planned actions when risk indicators manifest; determine mitigation effectiveness for continuous improvement	Corrects and ensures implementation of mitigation actions as required
Communicate	Discuss and review project risks and plans in project status, or other scheduled meetings, when the project situation changes or key milestones are achieved	Enables sharing of critical information throughout the Project

Exhibit 57: Risk Management Activities

14.2 Risk Identification

The risk identification process involves determining which risks might affect the Project and documenting their characteristics. The following sections detail the approach that will be used for risk identification. It includes:

- Techniques for Risk Identification
- Categorizing Risks
- Capturing Identified Risks

14.3 Techniques for Risk Identification

There are a number of techniques that can be used to identify project risks. Risk identification is the process by which the perception of a potential problem is translated into recorded information

containing sufficient detail to enable effective assessment of the risk and to support subsequent management decisions.

Risks can be identified at every level of the organization. All team members may recognize risks in the course of their daily work and must bring potential risks to the attention of their Workstream Leads or managers as they identify them. Risks may also gain visibility in project reviews with managers or executives, at meetings held with co-workers, or during interactions with stakeholders.

The techniques used to identify risks using the approaches defined above include:

- Information Gathering – Both structured and unstructured approaches will be used to gather project risks.
  - Structured – The FDACS SharePoint Risk Log will be reviewed during the weekly status meetings to assess project risks. Members will consider risks identified. On a monthly basis, the risk assessment questionnaire (Appendix A) will be reviewed to ascertain whether any existing risks need to be revised or new risks identified as a result of changes in the Project or related events.
  - Unstructured – Project risks will be solicited during project meetings, interviews, and workgroups. Identified risks will be brought to the attention of the RMT for consideration.
- Documentation Reviews – Individual RMT members will gather project specific information from other relevant documents to help identify risks such as project plans and deliverables and other internal and external risk assessments.
- Assumption Analysis – Risks will be identified as the RMT members assess the validity of assumptions made in project deliverables and other project documentation, from an accuracy, consistency, or completeness perspective.

14.3.1 Categorizing Risks

Project risks will be grouped into categories, assigned ownership and analyzed for implementation of common mitigation approaches across the project risks, as appropriate. If a risk spans multiple categories, it will be categorized based on the area of primary impact.

14.3.2 Capturing Identified Risks

Project risks will be captured as a collaborative effort between FDACS and its contractor's teams using the FDACS SharePoint Risk Log. The SharePoint log will be maintained by the assigned Risk Coordinator. Once the risk is entered into the Log, a unique identifier (Risk item #) will be assigned. The Risk Coordinator will be responsible for maintaining the Risk Log.

The Exhibit below is an example of FDACS' Risk Tracking SharePoint Site. The site can be accessed using this link: Risks.

Exhibit 58: Risk Tracking – FDACS SharePoint Site

Legend:

- Risk ID – A unique identifier for the Risk (R-NNN)
- Title – A short description of the Risk
- Risk Response Activities – The actions being taken to address or prevent the risk
- Originator – The person who identified the risk
- Risk Rating - A quantitative assessment of the risk probability/impact. Derived from the Risk Rating table below
- Probability – The likelihood that the risk will occur (High, Medium, Low)
- Impact – The effect of the risk on the project, if realized (High, Medium, Low)
- Status – (New, Open, Closed)
- Owner – The person assigned to develop the risk response and oversee the actions taken to mitigate the risk
- Priority – High, Medium, Low
- Date Identified – The date the Risk was raised

- Date Closed – The date the Risk was closed resolved or closed for tracking purposes
- Comments – A free form text field to capture any narrative comments about the Risk
- Linkage to Other Logs – traceability references to related items in the Issue, Action Item, and Decision Logs
  - Issue Log Number – Number assigned in Risk Log
  - Action Item Log Number – Number assigned in Action Item Log
  - Decision Log Number – Number assigned in Decision Log

14.4 Risk Analysis

Once project risks and opportunities have been identified, analysis will be performed to determine relative priorities and to develop a prioritized risk list for planning the appropriate level of response to the risks.

A qualitative analysis will be performed on each risk. After an initial prioritization, a decision will be made by FDACS and contractor teams on whether or not the risk warrants more detailed analysis using quantitative techniques to further assess the probability and potential impact of the risk event on the project objectives.

A probability value is determined using the likelihood of occurrence, based on analysis by the PMT. The following exhibit describes the Risk Probability Values.

PM	LIKELIHOOD OF OCCURRING
1- Low	Unlikely
3- Medium	Likely
5- High	Very Likely

Exhibit 59: Risk Probability Values

An impact value is determined using the guidelines below, based on analysis by the PMT. The table below provides an overview of the Risk Impact Values.

IMPACT	DIMENSIONS TO CONSIDER			
	COST	SCHEDULE	SCOPE	QUALITY
1- Low	Little (<10%) to no impact on Project cost	No or little impact to project schedule	Minor clarification to existing scope	Project quality is not jeopardized
3- Medium	Impact to project costs is less than 20%	Schedule impact is possible	Scope change is noticeable, but not deemed significant	Impact to project quality possible

5- High	Impact to project costs is greater than 20%	Schedule and deliverable due dates will be impacted	Scope change is deemed significant	Impact to project quality very likely

Exhibit 60: Risk Impact Values

A Risk Rating is determined by multiplying the probability score by the impact score. The table below provides the products of this exercise for each probability/impact combination.

RISK SCORE		PROBABILITY		
		1- LOW	3- MEDIUM	5- HIGH
IMPACT	1- Low	1	3	5
	3- Medium	3	9	15
	5- High	5	15	25

Exhibit 61: Risk Rating Scores (Probability x Impact)

15 Issue/Action Item Management

An Issue is defined as a project-related problem that is currently occurring or is about to occur. An issue needs to be addressed and resolved as soon as possible to avoid negative project impacts. Action Items are defined as independent tasks which require follow up, but are not part of deliverables, risk, issues, or decisions, and are not in the project schedule. Typically, action items are recorded when there is an activity which has a due date greater than a week out, or will require coordination between multiple individuals.

Disciplined management of Issues and Action Items enables a project team to effectively resolve the issues and complete action items in a timely manner and keep a project on track. A formal Issue/Action Item Management process provides the mechanism throughout the lifecycle of the project to bring issues and action items to resolution. Within the context of the RLMS Project, Issues and Action Items will be categorized as follows:

- Issue - An ISSUE is an existing constraint that is negatively impacting project timeliness, quality, resources, or budget at some point in the future. Issues that require attention from another level or area within the project governance structure will be subject to the formal issue escalation process.
- Action item - An ACTION ITEM is a proactive task identified by the project team to address a known problem or situation. Actions may also come from a risk or issue item. Incomplete or overdue action items may create issues.

The Issue/Action item high-level workflow depicted below shows the various stages of the Issue/Action Item Management Process.

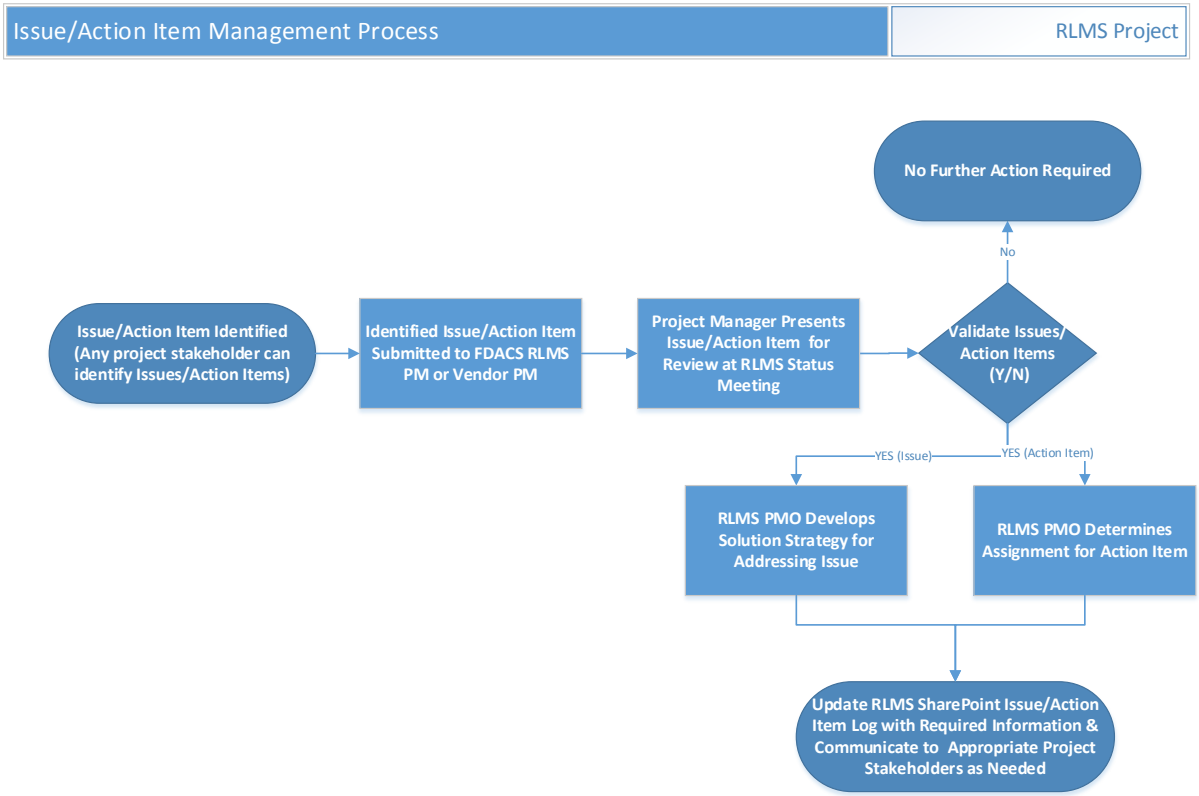


Exhibit 62: Issue/Action Item Management Process

15.1 Plan Issue/Action Item Management

The following table describes the project team's roles and responsibilities for the issues and action items process.

TEAM ROLE	ISSUE AND ACTION ITEM RESPONSIBILITIES
PPMO Manager	▪ The PPMO Manager has overall responsibility for oversight of all of the project areas including the management of issues and action items. ▪ Make decisions to resolve issues or escalate to the Executive Sponsor

TEAM ROLE	ISSUE AND ACTION ITEM RESPONSIBILITIES
RLMS Project Manager Vendor Project Manager	The Project Manager's responsibilities include: ▪ Ownership of Issue/Action Item Tracking Logs in SharePoint ▪ Monitoring and management of open issues and action items ▪ Chairing Issue/Action Item Coordination Meetings updating status as required ▪ Including issues and action item status within the Project Status Report ▪ Reviewing issues and action items to prevent duplication
Issue / Action Item Originator	Anyone can originate an issue or action item. Responsibilities include: ▪ Identifying an issue requiring resolution ▪ Logging action items identified during the course of the project ▪ Defining the Issue/Action item further as required ▪ Reviewing and approving action plan/resolution to ensure issue as originally defined will be resolved
Issue / Action Item Assignee	The Assignee's responsibilities include: ▪ Participating in discussions with the Issue or Action Item Originator to fully understand the issue or action item ▪ Researching and drafting the Action plan/resolution ▪ Driving the Issue/Action items to resolution and closure

Exhibit 63: Issue/Action Roles and Responsibilities

15.2 Issue Escalation Process

In the event an issue or issues remain unresolved at a certain level of project governance responsibility, an escalation process is to be used. The four issue escalation levels are shown in the following table:

LEVEL	FDACS ROLE	CONTRACTOR ROLE
1	Project Manager	Project Manager
2	PPMO Manager	Project Manager
3	Executive Sponsor	Client Lead
4	IT Governance Team	Account Executive

Exhibit 64: Issue Escalation Levels

Project issues unable to be resolved within an knowor deemed to potentially cause project delay will need to be escalated to the next level in the governance structure. Exhausting all options for resolution at the current level can also be considered a reason to escalate. FDACS and contractor's responsible staff will agree to escalate the given issue or issues at each level prior to escalation. Escalated issues must be documented in the Issue Log, indicated as "Escalated" under the "Status" column, and assigned to the appropriate owner under the "Assigned To" column.

15.3 Issue Log

The project team will utilize an Issue Log in FDACS SharePoint to document and track issues. In all cases, the focus will be on speedy resolution of issues in order to maintain the project schedule and quality of deliverables. The Issue Log sample below will be part of the project management tools in SharePoint and will serve as a template for identifying and managing issues for this project. The Issues Log can be accessed via the Project SharePoint site.

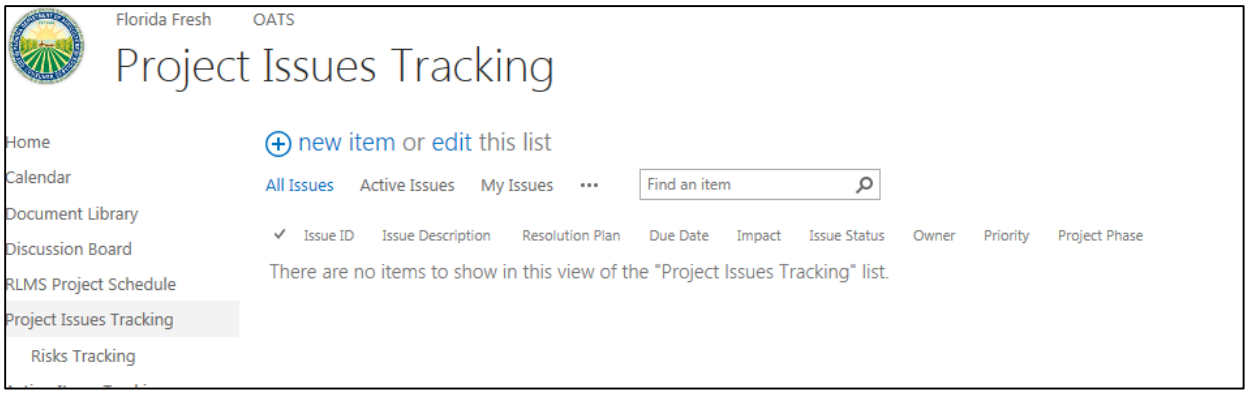


Exhibit 65: Issue Log – FDACS SharePoint Site

Legend:

- Issue ID – Unique identifier for the Issue (I-NNN)
- Issue Description – What is the issue
- Resolution Plan – How do you intend to resolve this issue
- Due Date – Projected date for a resolution
- Impact – How is this issue affecting the project
- Issue Status – New, Open or Closed
- Owner – Who manages this issue
- Priority – High, Medium, Low
- Project Phase – What phase of the project is affected by the issue
- Date Identified – Date issue was entered into the register
- Date Closed – Date issue was resolved

- Linkage to Other Logs – traceability references to related items in the Issue, Action, and Decision Logs.
  - Risk Log Number – Number assigned in Risk Log
  - Action Log Number – Number assigned in Action Log
  - Decision Log Number – Number assigned in Decision Log
  - Change Log # - Number assigned in Change Log

15.4 Action Log

An action log will be utilized to document and track action items. The Action Log sample below will be part of the project log and will serve as a template for identifying and managing action items for this project. The Link for the RLMS' Action Item Log is as follows: Action Items.

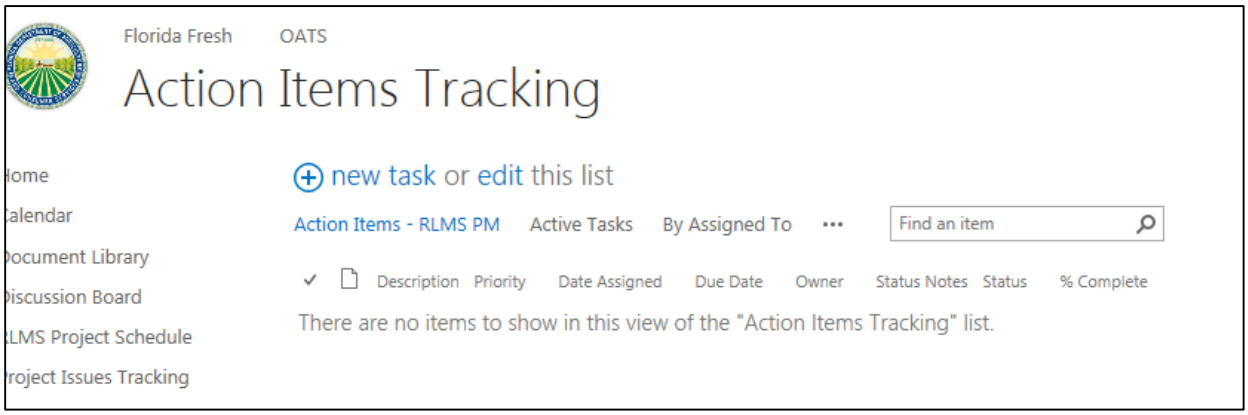


Exhibit 66: Action Item Log – FDACS SharePoint Site

Legend:

- Action Item ID – Action Item number
- Description – What is the action item
- Priority – High, Medium, Low
- Date Assigned– Date Action Item issue was assigned
- Due Date – Action Item due date
- Owner – Who is responsible for this Action Item
- Status – Open or closed
- Status Notes – Explanation of the current status
- % Complete

- Date Closed
- Linkage to Other Logs – traceability references to related items in the Issue, Action, and Decision Logs.
  - Risk Log Number – Number assigned in Risk Log
  - Issue Log Number – Number assigned in Action or Issue Log
  - Decision Log Number – Number assigned in Decision Log

15.5 Identify Issue/Action Items

Issue submission provides the first step in the Issue/Action process and starts with the Issue Originator who identifies a project issue. The FDACS Project Manager or Vendor Project Manager will review the issue in the tracking log to make sure it has not already been reported and possibly resolved.

The Originator must describe the issue and include any other information that could be helpful to whoever is assigned the issue to resolve. An issue may be identified in any number of ways:

- A problem for which there is no apparent answer
- A current situation or event that cannot be answered immediately but requires some research and analysis to provide insight into actions that need to be taken
- An inability of two project entities or functional groups to come to an agreement on a particular item or process
- The need for information external to the project inhibits or stops the development of the project solution until resolved

The Issue Originator will provide the pertinent information about the issue in an e-mail to the FDACS Project Manager or Vendor Project Manager. The information will include but not be limited to:

- Detailed description of the issue
- Assessment of the potential impact to the Project if the issue is not resolved
- Resolution due date
- Information identifying the Originator of the issue

15.6 Plan Issue/Action Item Responses

Once the Issue/Action item has been documented, the Issue/Action Item Team (IAT/PMT) will review the IA and assign responsibility for developing and implementing an Action plan/resolution to an IA owner.

The IA owner will analyze the Issue/Action item and develop an Issue/Action Item Action plan/resolution that describes the activities that need to be completed in order to address the Issue/Action item.

15.7 Monitoring And Controlling Issues/Action Items

Monitoring and Controlling involves implementing the Issue/Action Item Action plan/resolution, tracking progress, identifying new Issue/Action items, and evaluating the Issue/Action item management process throughout the project lifecycle.

From time to time, issues need to be resolved by escalating them to a more senior level. Criteria for escalating issues include:

- An issue or action item's resolution is more than 7 calendar days past due;
- An issue has reached an impasse and cannot be resolved within the current level;
- An agreement cannot be reached on the severity of an issue;
- An issue or action item is not making adequate progress toward resolution or completion.

If an issue is considered to be significant, but an impact analysis reveals that the resolution would be costly to the Project in terms of resource drain or potential impact to other components of the Project, then the issue must be escalated to determine the next steps. The IAT may agree that a given issue must be addressed at a higher level of management. In that case, it would immediately be escalated to the appropriate level.

The levels of escalation will correspond to the following:

- Level 0 – Workstream Project Teams: At this level, items are addressed within the project teams and do not require escalation.
- Level 1 – Project Managers: All issues impacting project scope, schedule, and budget begin at the Project Managers' level. An issue at this level indicates that it is being managed by the Project Management Team members who comprise the Issue/Action Item Coordination Team.
- Level 2 – PPMO Manager: The PPMO Manager will determine the resolution of issues that affect FDACS policies and procedures, or issues that cannot be resolved at lower levels of the organization. Upon initial review of the issue, the PPMO Manager will determine whether the issue will be escalated to the Contract Management Team or can be appropriately handled at this level. Issues that cannot be resolved by the PPMO Manager will be referred to Executive Sponsor for disposition.
- Level 3 – Executive Sponsor – Receives input form the PPMO Manager and other PMT members to reach a resolution to unresolved Issues/Actions. If a resolution cannot be reached at this level, the Executive Sponsor escalates the issue to the IT Governance Team.

- **Level 4 – IT Governance Team** – The IT Governance is responsible for disposition of issues that could not be resolved at lower levels. If this group cannot reach consensus on disposition, the issue can be resolved solely at the discretion of the Commissioner.

16 Decision Management

Throughout the Project, the need for decisions will arise. The project team will identify decisions needed to move the work of the project team forward using the project decision log in SharePoint. A Decision Item is a formal decision or need for a decision that must be communicated to sponsors and stakeholders.

The RLMS project team will utilize formal criteria to determine when it is necessary to log an item as a decision and act on it accordingly. The list below includes but is not limited to the formal criteria for the circumstances upon which a decision should be logged. For example, decisions that modify either scope, schedule, quality, or cost utilize the following metrics\criteria:

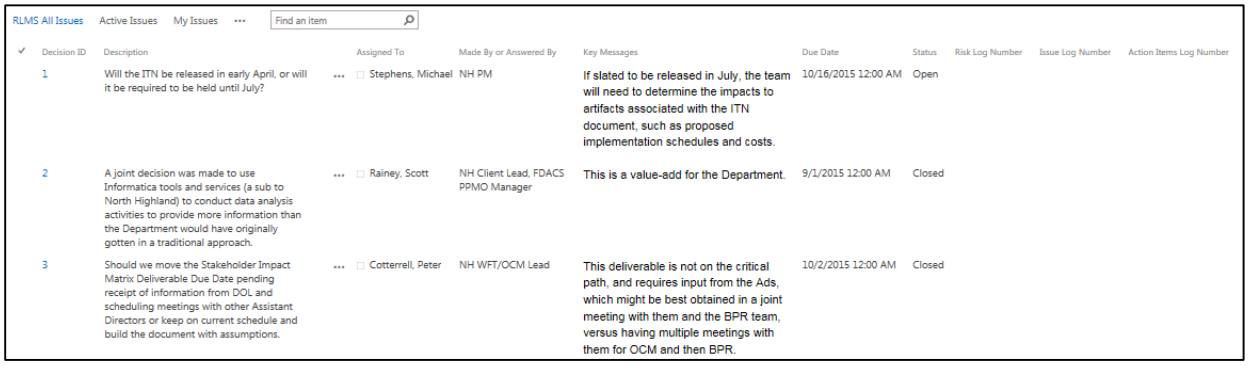
- Scope – Changes that modify the project scope as documented in the approved Project Management Plan;
- Schedule – Changes to major deliverable due dates, key milestone dates or critical path dates;
- Quality – Changes to the standards, functionality, and performance as outlined in the system; requirements or agreed-upon availability, results, acceptable number of faults, and usability of the system;
- Cost – Variances of greater than +/- 10% of project budget within spending plan categories.

In accordance with the process previously described, the RLMS project team will identify and document decisions, will communicate to the FDACS PPMO significant decisions needed, and will elevate decisions to the Executive Sponsor if needed. The project team will also document in the decision that affect the Project made by the IT Governance Team.

The Decision Log may also contain questions that require answers from FDACS or stakeholders.

16.1 Decision Log

A Decision Log will be used to capture the decisions made and more importantly to track decision items that the project team is waiting to be made. The exhibit below provides an example of a Decision Log located on FDACS SharePoint site. The link for the RLMS' Decision Log is Decisions.



RLMS All Issues | Active Issues | My Issues | ... | Find an item

Decision ID	Description	Assigned To	Made By or Answered By	Key Messages	Due Date	Status	Risk Log Number	Issue Log Number	Action Items Log Number
1	Will the ITN be released in early April, or will it be required to be held until July?	Stephens, Michael	NH PM	If slated to be released in July, the team will need to determine the impacts to artifacts associated with the ITN document, such as proposed implementation schedules and costs.	10/16/2015 12:00 AM	Open			
2	A joint decision was made to use Informatica tools and services (a sub to North Highland) to conduct data analysis activities to provide more information than the Department would have originally gotten in a traditional approach.	Rainey, Scott	NH Client Lead, FDACS PPMO Manager	This is a value-add for the Department.	9/1/2015 12:00 AM	Closed			
3	Should we move the Stakeholder Impact Matrix Deliverable Due Date pending receipt of information from DOL and scheduling meetings with other Assistant Directors or keep on current schedule and build the document with assumptions.	Cotterrell, Peter	NH WFT/OCM Lead	This deliverable is not on the critical path, and requires input from the Ads, which might be best obtained in a joint meeting with them and the BPR team, versus having multiple meetings with them for OCM and then BPR.	10/2/2015 12:00 AM	Closed			

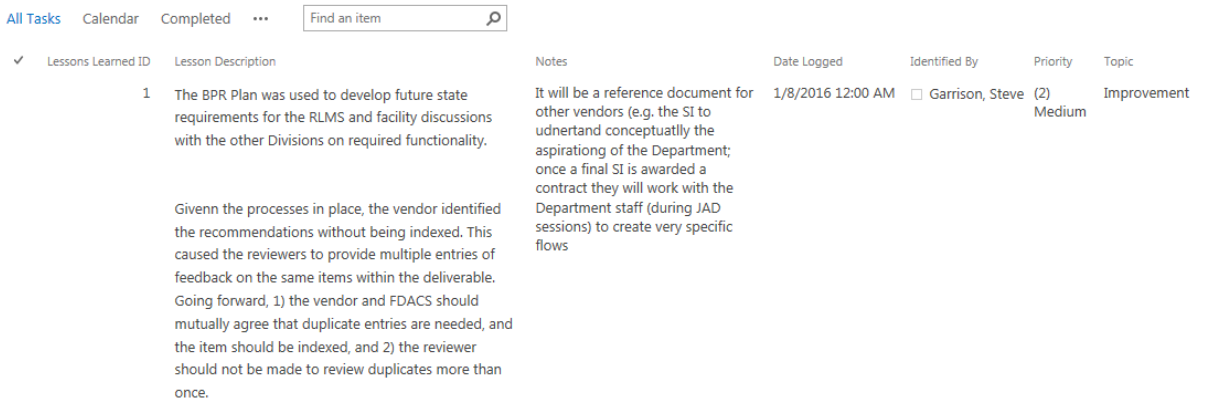
Exhibit 67: Decision Log – FDACS SharePoint Site

Legend:

- Decision ID – Decision or question Item number, D-nnn or (nnn is the unique item sequence number)
- Decision Description – What is the decision (or question) item
- Made or Answered By - Who needs to make the decision or answer the question
- Key Messages – Decisions made or Questions Addresses
- Due Date – Decision Item due date
- Status – New, Open, Pending, or Closed
- Reviewed by PPMO – Monthly, Quarterly, Yearly
- Linkage to Other Logs – traceability references to related items in the Issue, Action, and Decision Logs
  - Risk Log Number – Number assigned in Risk Log
  - Issue Log Number – Number assigned in Issue Log
  - Action Items Log Number – Number assigned in Action Log

17 Lessons Learned

In addition to managing Risk, Issue, Action Items and Decisions, the PPMO will also conduct Lesson Learned sessions at the completion of each key deliverable. Project Management Institute (PMI) Project Management Body of Knowledge (PMBOK®) defines Lessons Learned as the learning gained from the process of performing the Project. The purpose of documenting Lessons Learned is to share and use knowledge derived from experience to promote the recurrence of desirable outcomes and preclude the recurrence of undesirable outcomes. The link to the RLMS' Lessons Learned Log is at Lessons Learned.



All Tasks Calendar Completed ••• Find an item

Lessons Learned ID	Lesson Description	Notes	Date Logged	Identified By	Priority	Topic
1	The BPR Plan was used to develop future state requirements for the RLMS and facility discussions with the other Divisions on required functionality. Givenn the processes in place, the vendor identified the recommendations without being indexed. This caused the reviewers to provide multiple entries of feedback on the same items within the deliverable. Going forward, 1) the vendor and FDACS should mutually agree that duplicate entries are needed, and the item should be indexed, and 2) the reviewer should not be made to review duplicates more than once.	It will be a reference document for other vendors (e.g. the SI to udnertand conceptuatlly the aspirationg of the Department; once a final SI is awarded a contract they will work with the Department staff (during JAD sessions) to create very specific flows	1/8/2016 12:00 AM	Garrison, Steve	(2) Medium	Improvement

Exhibit 68: Lessons Learned Log – FDACS SharePoint Site

- Lessons Learned ID – Lesson Learned Item number (nnn is the unique item sequence number)
- Lesson Description – What is the lesson learned
- Notes – Details of the lessons – or the changes that will be made
- Date Logged – Date Lesson Learned is entered into the system
- Identified By – Name of Person who entered Lesson Learned into the system
- Topic – Improvement or Strength

18 Procurement Management Plan

The Procurement Management Plan outlines the RLMS Project's approach to procurement management. The RLMS project will adhere to the established procurement, policies, processes and procedures as defined by the FDACS Bureau of General Services (Purchasing). The FDACS policies and procedures for the procurement of contractual services (chapter 4, section 4-9) can be found on the FDACS intranet site at the following link: Procurement of Contractual Services.

The following exhibit shows at a high-level the Procurement Management Processes FDACS will utilize for the RLMS project.

Exhibit 69: Procurement Management Processes

- Plan Procurement: The process of documenting project purchasing decisions, specifying the approach, and identifying potential Contractors
- Conduct Procurements: The process of obtaining seller responses, selecting a contractor, and awarding a contract
- Administer Procurements: The process of managing procurement relationships, monitoring contract performance, and making changes and corrections as needed
- Close Procurements: The process of completing each project procurement

18.1 Procurement Activities

This section defines how procurement activities will be managed from the initial development of the solicitation(s) through contract closure. The high-level procurement activities for the RLMS project include:

- Determining Procurement Method
- Defining roles and responsibilities
- Developing Procurement Schedule
- Execute Procurement
- Procurement Closing Activities

18.1.1 Method of Procurement

The first step in the solicitation process is determining the contractual partnerships required by the Department to implement an enterprise Regulatory Lifecycle Management Systems (RLMS), determining the appropriate procurement method and preparing a price or cost analysis, as appropriate.

It is anticipated that Department may utilize a combination of procurement methods/contracts during the course of the RLMS Project including but not limited to the following:

- Staff Augmentation (State Term Contract)
- IT Management Consulting (State Term Contract)
- Invitation to Negotiate
- Other Personal Services
- Purchase Order
- Request for Quote

18.1.2 Roles and Responsibilities

The roles and responsibilities of key groups and individuals who may be involved during the procurement are addressed in the Roles and Responsibilities exhibit below:

ROLE	RESPONSIBILITIES
IT Governance Team	▪ Provide recommendations on Project procurement guidelines for procurement planning activities
Executive Sponsor	▪ Provide recommendations on Project procurement guidelines for procurement planning activities ▪ Review vendor responses ▪ Provide recommendations on vendor selection ▪ Approve procurements
FDACS RLMS Project Manager	▪ Plan, review, approve, and monitor Project procurement approach and process ▪ Approve procurements
PPMO Manager	▪ Document Project purchasing decisions ▪ Initiate solicitation ▪ Develop solicitation ▪ Define procurement approach ▪ Identify potential vendors ▪ Obtain vendor responses ▪ Manage procurement relationships ▪ Monitor contract performance and make adjustments and changes as needed ▪ Closeout procurement process for each Project procurement
Procurement Director	▪ Review final solicitation documents for posting to Contractor Bid System ▪ Post solicitation, all meetings, agenda, addendum and decisions to Contractor Bid System ▪ Support development of written responses to Contractor questions ▪ Support contractor conference ▪ Develop addendum

	▪ Develop criteria for evaluation team ▪ Develop memo for appointment of evaluation team ▪ Support evaluation phase of the procurement ▪ Develop criteria for negotiation team ▪ Develop memo for appointment of negotiation team ▪ Support negotiation phase of the procurement ▪ Prepare contract routing package for submittal to Procurement/Contract lead ▪ Receive all communications from contractors ▪ Act as conduit between General Counsel, Leadership and Program Office for all procurement activities ▪ Develop contract management activities and processes ▪ Oversee Project procurements and the associated contracts ▪ Closeout Project contract at the conclusion of the RLMS Project
Procurement Attorney	▪ Conduct legal review on solicitation and all related documents during procurement process ▪ Conduct legal review on contract and all contract related activities
Procurement Approval Team	▪ Conduct review and approval of solicitation; final decision makers for release of the solicitation
Business Advisors Group	▪ Provide input and feedback on procurement requirements ▪ Review vendor responses ▪ Provide recommendations on vendor selection
Information Technology	▪ Provide input and feedback on procurement requirements for technical and security requirements/standards ▪ Review vendor responses ▪ Provide recommendations on vendor selection

Exhibit 70: Project Procurement Management Roles and Responsibilities

These roles are to be reviewed and agreed upon prior or the beginning of each procurement phase.

18.1.3 Procurement Schedule

The schedule for any procurements required for the RLMS Project will be defined and managed in the Mater Project Schedule. The Master Project Schedule is a separate project artifact managed by the FDACS PPMO. This schedule contains all activities related to the RLMS Project and its procurements. The Master Project Schedule is updated weekly and can be found on RLMS SharePoint the project repository at RLMS SharePoint.

18.1.4 Procurement Execution

The Procurement Director along with the PPMO Manager will be responsible for managing and executing the procurement activities and logistics.

18.1.5 Procurement Closure

Following final contract award and signatures between both the Department and the selected contractor, the procurement portion of the project will close. The PPMO/Contract Manager and RLMS PMO will upload all procurement documentation to the RLMS project repository.

RLMS procurements will be closed through the designated and authorized Procurement Director by means of formal written notice that the contract and all of its requisite requirements have been completed and the related terms have been met. Requirements for formal procurement closure are typically outlined in the terms and conditions of the contract included in the procurement management plan.

The procurement closure process consists of administrative activities such as updating records to reflect final results, finalizing open claims, archiving project information for future use. Procurement closure applies to each contract applicable to the RLMS Project and each of its phases.

Included with the closing of a procurement is the final update to organizational process assets included but not limited to the following:

- Procurement File – A full set cataloged contracted documentation, including the closed contract, will be added with final project files;
- Deliverable Acceptance – Project Management, typically through the authorized procurement administrator, will provide the vendor with formal written notice that deliverables have been accepted or rejected. The acceptance criteria and methods to address non-conforming deliverables are typically defined in the associated contract;
- Lessons Learned Documentation – Lessons Learned, project experiences, and recommended project improvements are documented for the project file to incorporate for the improvement of future procurements.

19 Stakeholder Management

Project stakeholder management is intended to identify individuals or groups that could impact or be impacted by the project and to develop appropriate strategies for effectively interacting with them. Stakeholder management focuses on communication with stakeholders to understand their communication needs and expectations, addressing issues as they occur, and fostering appropriate stakeholder awareness of project decisions and activities.

A comprehensive stakeholder analysis and management plan is included in the OCM Plan, developed as a Pre-DDI deliverable. Please refer to this deliverable on the RLMS Project SharePoint site for more information.

20 Document Management

This document describes the document management practices for this Project. Document management includes Document Creation, Document Revision, Delivery Approach, and Version Control. A standard process will be used for all project-related documents and applies to the creation and management of documentation including minutes, notes, deliverables, and other outputs for this phase of the Project.

20.1 Document Creation And Delivery Approach Objectives

This approach is designed to ensure:

- Defined objectives are met;
- Expectations of the major stakeholders of the project are fulfilled;
- Approved principles, measures, standards, and methods are applied uniformly;
- Consistency and continuity is maintained for all project artifacts;
- Ensure documents are stored in a consistent manner through the use of categories and sub-categories.

20.2 Purpose Of Document Management Plan

The purpose of the Document Management Plan is to define the process for how documents developed throughout the project will be managed and submitted to FDACS for approval.

This document identifies the steps in the document creation and update processes, from the initial creation of a document through approval by FDACS (if applicable), including any revisions or updates necessary throughout the document's useful life.

20.3 Scope of Document Creation and Delivery Approach

This document covers project documentation-related activities including:

- Document Management Process
- Roles and Responsibilities
- Version Control

20.4 Document Management Strategy

Vendors and FDACS will work together to ensure quality in the documents submitted to FDACS for review and approval. To support this goal, several tactical actions are planned or have already been performed:

- The project will use Microsoft SharePoint. SharePoint helps to organize large, complex information sources and to manage documents with multiple authors and approvers. SharePoint provides for version tracking, check-in and check-out to ensure that only one person works on a document at a time, controlled document access based on user roles, and automated routing of documents to reviewers. For the RLMS project, the project team will use the collaboration feature of the FDACS RLMS SharePoint site to conduct review by multiple concurrent users. For other document types that do not allow collaboration, check-in/check-out will be used.
- The approach and the document naming standards defined in this plan will be adhered to for documents that will be submitted to FDACS.
- Backup and retention of documents will be managed by established SharePoint procedures. In addition, the contractor project team will make weekly backups to local repositories as appropriate.
- As relevant project documentation, including hard copy documents (i.e., charts, graphs, and other supporting documents) are gathered, to the extent practicable and as determined appropriate, documents will be scanned and stored in SharePoint following standards and processes defined in this plan.

20.5 Delivery Document Lifecycle Management

Management of deliverable documents is accomplished by a set of processes that apply to all stages in the lifecycle of a document. The document lifecycle includes five steps of activity representing distinct stages of creation, review, and modification through which a document may pass during its lifecycle. The steps in the document lifecycle are defined below:

- Step 1: Deliverable Expectations Document Creation – Contractor creates a document outlining the contents and acceptance criteria for the Deliverable and contractor's Project Manager submits it to the FDACS Project Manager for approval.

- **Step 2: New Document Creation** – Contractor creates and Contractor's Project Manager submits deliverables to FDACS for review (the document process, as outlined below, includes a quality assurance review).
- **Step 3:** FDACS conducts an initial review and provides comments to Contractor's Project Manager.
- **Step 4**: Contractor's document owner updates the deliverable per FDACS' comments and contractor's Project Manager re-submits deliverables to FDACS.
- **Step 5**: Contractor's document owner completes final updates and contractor's Project Manager re-submits the document to FDACS for approval. FDACS confirms that edits were made to address the comments provided.

If a document does not pass FDACS' initial review, FDACS will document and provide specific actionable changes that are required for approval. Contractor will update the document and resubmit to FDACS for approval.

20.5.1 Document Review Time Standards

The Deliverables Review process and time standards have been defined in the project schedule, as follows:

- Each deliverable will be submitted to the FDACS Project Manager via the FDACS SharePoint site, with a notification e-mail containing a link to the document and a summary of the review timelines for the deliverable.
- Once the deliverable has been submitted, FDACS will have five (5) business days[1] to review each deliverable submitted and will provide recommended changes using comments and change tracking available through the collaboration features of SharePoint. For documents that are not in a format that allows collaboration or Track Changes, the contractor will provide the comments spreadsheet. Based on the size and complexity of the deliverable, the Program Management Team may decide to increase the number of days for review.
- The Document Owner will make the revisions and shall, within five (5) business days per deliverable, re-submit the updated final version to the FDACS Project Manager. The turnaround time for changes or revisions may be extended on an exception basis by agreement between the contractor and FDACS Project Manager. Changes requested by FDACS that are not recommended by the contractor will be left unaccepted in the document with explanation from Contractor.
- Upon receipt of modifications, FDACS will review the deliverable to confirm the modifications. Changes not recommended by the Contractor can be accepted in the deliverable by FDACS.

[1] For smaller deliverables that are not milestone deliverables (such as Deliverable Expectations Documents), this can be less than 5 days, based on the agreed-upon project schedule.

- The standard deliverable review period can be modified on an exception basis. Exceptions must be approved by FDACS and Vendor Project Managers. Once the document has been accepted, the contractor will update the document version history and number. The version marked final will uploaded to the FDACS SharePoint RLMS project document site.
- Any conflict arising from the deliverable review and acceptance procedures will be addressed via the Project Governance Model.

20.5.2 Document Naming Standards

All artifacts will use a standard naming convention to provide consistency in the way all project related artifacts are named. The file naming conventions used on this project include:

- RLMS-R1-DeliverableName-MMDDYY-v000 (Example: RLMS-R1-Project Management Plan-011516-v001-where
  - RLMS: Project acronym for Regulatory Lifecycle Management System Acronym
  - R1:Release 1
  - Deliverable Name – Replace this value with the deliverable name and always use hyphens instead of spaces. Additional text or details to the name of the file (No initials, change details, etc.) will not be added. The Revision History table included in each document template will be used to include the details of what was changed in each version.
  - MMDDYY: month, day, year of the last change
  - V### is the version tracking (See below)

20.5.3 Document Repository And Version Control

The Document Repository is established in FDACS Microsoft SharePoint and will contain all current and previous versions of deliverable and work product documents. The project team will use Microsoft's SharePoint software as the collaboration tool. This tool provides version control and many additional features that may be implemented to maximize project communications. During the first two weeks of the Project, the vendors and Project Management Team will agree on categories and sub-categories. See the table below from the Pre-DDI Phase as an example.

The table below lists examples of SharePoint Categories used for Pre-DDI.

CATEGORY (DROPDOWN)	SUBCATEGORIES (USER-DEFINED)[2]	COMMENT
NH Pre-DDI Business Process	Acceptance Forms	▪ Use only one metatag for Category

[2] Per a discussion with the FDACS PRE-DDI Project Manager, subcategories are added by the user as the document is uploaded/indexed. The North Highland team will be instructed to limit the subcategories to the list defined here to ensure that documents can be located by type within each workstream.

CATEGORY (DROPDOWN)	SUBCATEGORIES (USER-DEFINED)[2]	COMMENT
NH Pre-DDI Procurement NH Pre-DDI Program and Project Management NH Pre-DDI Organizational Change NH Pre-DDI Workforce Transition NH Pre-DDI System/Data Strategy NH Pre-DDI Use Case and Requirements NH Pre-DDI Schedule IV-B	Accepted DEDs Background Draft Deliverable Final Deliverable Meetings Schedule Status Templates-Forms Working Documents	▪ Use only one metatag for Subcategory ▪ Do not identify a division ▪ Draft Deliverable only include draft deliverables – draft DED and other documents get tagged with Working Documents ▪ Do not put deliverables in Final Document until we have a signed approval – and then add the v100 identifier.

Exhibit 71: Pre-DDI SharePoint Categories for NH Documents

20.5.4 Version Control

The project will standardize version control for all project artifacts. This will provide consistent document version control. The following steps will be followed for each project artifact:

- Each new document will start at version 001;
- Increment the version number on each submissions to FDACS by 001 until FDACS has approved the document;
- Use 100 for the first approved version;
- If revisions are made, increment by 01 until another approval, which would be 200. Continue this pattern as necessary.

21 Acronyms and Definitions

A list of acronyms and terms referenced throughout the document can be found in the table below:

ACRONYM / TERM	DEFINITION
Action Items	Action items are independent tasks which require follow up, but are not part of deliverables, risk, issues, or decisions, and are not in the project schedule. Typically, action items are recorded when there is an activity which has a due date greater than a week out, or will require coordination between multiple individuals.
Applicant	A person, individual, corporation, LLC, or partnership applying for a license or permit from FDACS.
Application	Submission of specified information and fees (if required), as a request for approval to conduct a regulated activity. License application is a general term that also applies to permits, certification, registrations, education and educational providers. Not all license applications lead to approval as they may not ultimately be approved by the regulating authority.
AST	Agency for State Technology
Authorized User	Any person(s) who has permission to use department and/or various functions pertaining to their specific job requirements.
Business Day	Days onwhich the department conducts routine business. This is typically Monday through Friday from 8 a.m. to 5 p.m. local time, excluding evenings, weekends and department observed holidays.
Contract	The written, signed agreement resulting from, and inclusion of, this ITN, any subsequent amendments thereto and the proposer's proposal.
Contract Amendment	Any written alteration in the specifications, delivery point, rate of delivery, Contract period, price, quantity, or other Contract provisions of any existing Contract, whether accomplished by unilateral action in accordance with a Contract provision, or by mutual action of the parties to the Contract; it shall include bilateral actions, such as administrative changes, notices of termination, and notices of the exercise of a Contract option.
Contract Manager	The person who shall be responsible for enforcing performance of the contract terms and conditions and serve as a liaison with the contractor as required by Section 287.057(15), F.S.
Contractor	A firm that the state contracts with to provide services defined in the ITN.

ACRONYM / TERM	DEFINITION
COTS	Commercial-Off-The-Shelf, a term for software or hardware, generally technology or computer products, that are ready-made and available for sale, lease, or license to the general public
Customer	External users utilizing the FDACS system to add, change, delete, or inquire. A customer can be a licensee, an applicant, a member of the general public, or other users of the system.
Days	Calendar days unless specified as otherwise
DDI	Design, Development and Implementation
DED	Deliverable Expectations Document
Defect	A failure of a configuration, modification, and/or customization of the software to operate in accordance with the Acceptance Criteria or ITN functional or technical requirements or a failure of the Software to operate in accordance with the Software program documentation.
Deliverable	Any document deliverable, software deliverable or service that the contractor is required to provide the state under the Contract.
Department	The Florida Department of Agriculture and Consumer Services (FDACS, or department).
Disaster Recovery Plan	A plan to ensure continued business processing through adequate alternative facilities, equipment, back-up files, documentation and procedures in the event that the primary processing site is lost to the contractor.
DMS	Department of Management Services
DoA	Division of Administration
Documentation	Refers to various types of document that will have to be prepared by the contractor and provided to the department in a form and format specified by the state. Types of documentation include, but are not limited to, pre and post meeting documentation, system documentation, technical documentation, training documents etc.
DoL	Division of Licensing
External User	Synonymous with customer - a licensee, an application, a member of the general public or other users of the system.
F.A.C.	Florida Administrative Code
F.S.	Florida Statutes
FDACS	Florida Department of Agriculture and Consumer Services
Fees	Costs or payments related to licensing (e.g. application fees, license/permit fees, renewal fees, education fees, and processing fees).
FFP	Firm Fixed Price

ACRONYM / TERM	DEFINITION
Final Acceptance	The point in the lifecycle at which the System Implementation is complete for all phases of the system and the department agrees that the production system has performed for a pre-defined period (Software Production Verification) according to all Acceptance Criteria and System Requirements in the production environment.
Fiscal Year	FDACS operates on a fiscal year from July 1 through June 30.
Geographic Information System (GIS)	An information management system capable of modeling business processes, scientific or industry methods, and natural/human phenomena across a landscape.
Historical Information	Prior details about an event, item, or activity
Identified Risks	Identified risks –the project team considers information on identified risks when producing estimates of activity durations, since risks can have a significant influence on duration. The project team considers the extent to which the effect of risks is included in the baseline duration estimate for each activity, including
Information System(s)	A combination of computing and telecommunications hardware and software that is used in: (a) the capture, storage, manipulation, movement, control, display, interchange and/or transmission of information, i.e., structured data (which may include digitized audio and video) and documents as well as non-digitalized audio and video; and/or (b) the processing and/or calculating of information and non-digitalized audio and video for the purposes of enabling and/or facilitating a business process or related transaction.
Information Technology (IT)	Any equipment, or interconnected system(s) or subsystem(s) or equipment, that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information by the department. IT includes computers, ancillary equipment, software, firmware, and similar procedures, services (including support services), and related resources.
Inspections	An inspection will be conducted by a FDACS agent after a new application has been reviewed by the department. The agent will bring a copy of the rules and regulations. They will also verify that the establishment meets the qualifications of the type of permit applied for, and in some cases determine the required license fee. Renewal inspections are done prior to the expiration of a license, and routine inspections can be done periodically during the license term.
Interface Testing	Test that verifies the integration of the components. Progressively larger groups should be tested until the software works as a system. These test results should be available to the department if requested.

ACRONYM / TERM	DEFINITION
Internal User	Users of the licensing system who work for the department participating in the licensing project. These users generally process, review or manage information provided by license applicants or other non-state people who use the system (external users).
Invoice	Contractor's itemized document stating prices and quantities of goods and/or services delivered and sent to the buyer for verification and payment.
ITN	Invitation to Negotiate, the department's ITN #XXXXXXXX
IV&V	Independent Verification and Validation
IVR	Interactive Voice Response
JAD	Joint Application Design
Lessons Learned	Lessons Learned are any useful information or experience gained through the course of the project that can be applied to a later phase or project activity. Currently, only lessons learned which have a significant impact on the track are captured.
License	The department issues several licenses to qualified applicants. The license must be prominently posted in a conspicuous location in your licensed establishment.
License Application	Submission of specified information and fees (if required), as a request for approval to conduct a regulated activity. License application is a general term that also applies to permits, certifications and registrations as well as licenses. Not all license applications lead to the approval and granting of a license, permit, certification or registration as they may not ultimately be approved by the regulating authority.
LOE	Level of Effort activities are support tasks that do not directly tie to project deliverables but still require the efforts of project resource. These ongoing activities do not add time to the project. Examples of these activities include but are not limited to sending email and updating timesheets.
Mandatory Requirements	Requirements that the Respondent must meet in order to be eligible for contract award.
Materially Deficient	Significant deficiency or combination of deficiencies in the deliverable that does not meet minimal acceptable standards as defined in the Deliverable Expectation Document (DED).
Milestone	The measuring point used to review and approve progress, to authorize continuation of work, and, depending on the terms of the Contract, to pay for work completed.
Mobile Device	A computing platform that not meant to be stationary. Examples include but are not limited to laptops, tablets, iPhones, iPads and Android devices.

ACRONYM / TERM	DEFINITION
MPS	Master Project Schedule
OCM	Organizational Change Management
Online	Interaction between a user operating a cathode ray tube (CRT), personal computer, or point of service (POS) device to send and receive information on a video display via a telecommunications network to a central processing unit (CPU).
Owner	The individual who is the final authority and decision maker in determining how data and resources are used in FDACS' business and what level of access will be granted to them.
PCR	Project Change Request
Performance Testing	Tests a completely integrated system to verify it meets requirements. This test should validate that the system is working as expected, that it doesn't destroy or partially corrupt its operating environment, and that it doesn't cause other processes to become inoperable. The goal of the capacity testing is to identify the right amount of resources required to meet the service demands now and in the future. These results shall be communicated to the department.
Permit	Permits are generally issued to individuals or business. The individual holder of the permit is responsible for renewal of a permit prior to the expiration of that permit and the permit is the sole property of such individual holder. There is no grace period for an expiring permit.
PMBOK®	A Guide to the Project Management Body of Knowledge; A library of project management skills, tools and standards used by the Project Management Institute to measure and certify Project Management Professionals.
PMI	Project Management Institute
PMO	Project Management Office
PMP	Project Management Plan
Policy and Procedures	The manual to provide guidance for internal regulations and procedures for department employees.
PPMO	Project and Portfolio Management Office
Project	The RLMS Project
Project Management Institute (PMI)	A body that certifies Project Management Professionals.
Purchasing Director	FDACS Procurement lead resource
Resource Capabilities	The duration of most activities will be influenced by the capabilities of the human and material resources assigned to them.

ACRONYM / TERM	DEFINITION
Resource Requirements	A description of the types of resources needed and in what quantities for each element at the lowest level of the WBS. Resource requirements for higher-levels within the WBS can be calculated based on the lower-level values. If additional resources are added, projects can experience communication overload, which reduces productivity and causes production to improve proportionally less than the increase in resource.
RLMS	Regulatory Lifecycle Management System
RMPS	RLMS Master Project Schedule
Schedule IV-B	Schedule IV-B is a manually prepared schedule submitted annually to support Florida Legislative Budget Requests (LBR) for Information Technology Projects in the State of Florida.
SDLC	System Development Life Cycle
SI	Systems Integrator
SLA	Service Level Agreement
SOW	Statement of Work
Stakeholders	Anyone affected in any way by the project being conducted, or the outcome of the project.
State	State of Florida
Status	The state of a department record [license/permit/education] at a particular time to be defined by business rules.
System Documentation	Documents that contain the technical description of the configuration, components and operation of the RLMS.
System Implementation	The period in the project management lifecycle where the system is moved from a test environment to the live production environment and the system starts to be used for real business transactions.
System Requirement	A defined business function that is a required component of the new system, specified in the ITN and Appendix 6 Functional and Technical Requirements, as well as any detailed requirements established during the Business Process Reengineering and System Design phase of this project.
System Testing	Test that verify the functionality of a specific section of code, at the function level. As documented above this is the Contractors responsibility and shall ensure that the building blocks of the software work independently from each other and should increase quality of overall development.
Task Assumptions	A set of expectations about project tasks
Task Constraints	Factors that limit or constrict how, when, or if a task is performed.
TBD	To be determined

ACRONYM / TERM	DEFINITION
Transaction	Any activity carried out, performed, managed or conducted by a user of the system.
UAT	User Acceptance Test
UI	User Interface
User	Anyone who employs the services provided by the system. The user can be an individual visitor to the FDACS website, an applicant or licensee, a licensing department staff member, or recipient of specific content from the system. See also Authorized User.
User Acceptance Test (UAT)	Testing performed by department/state and acts as a final verification of the required business functionality and proper functioning of the system. It emulates real-world usage conditions.
Virtual Private Network (VPN)	VPN extends a private network across a public network, such as the Internet. It enables a computer or wireless enabled device to send and receive data across shared or public networks as if it were directly connected to the private network, while benefiting from the functionality, security and management policies of the private network.
Work Breakdown Structure (WBS)	A graphical representation of the hierarchy of project deliverables and their associated tasks. As opposed to a project Schedule that is calendar-based, a WBS is deliverable-based, and written in business terms.
Workflow	Sequence of tasks. A workflow describes the order of a set of tasks performed to complete a given procedure within an organization.

22 References

The table below documents key documents referenced in this PMP or used as source documents.

DOCUMENT	SHAREPOINT LINK
Schedule IV-B	http://floridafresh/OATS/PPMO/RLMS/Complete%20Document%20Library/01_Schedule-IV-B-No-Redline.docx
Business Process Reengineering Plan	http://floridafresh/OATS/PPMO/RLMS/Complete%20Document%20Library/151203-DACS02-D1A-BPRP-v200.docx
Updated Implementation Plan	http://floridafresh/OATS/PPMO/RLMS/Complete%20Document%20Library/160314-DACS02-D2A-Updated-Implementation-Plan-v100.docx
Draft ITN Procurement Document	Awaiting final version after FDACS legal review and remediation by vendor.
Evaluation Criteria and Tools	See Category NH Pre-DDI Procurement And Sub Category – Final Deliverable 160209-DACS02-D2C-Evaluator-Instruction-v100 160209-DACS02-D2C-Comparative-Cost-Analysis-v100 160209-DACS02-D2C-Negotiation-Instructions-v100 160209-DACS02-D2C-Negotiation-Strategy-v100 160209-DACS02-D2C-Evaluation-Manual-v100
Procurement Plan (Schedule)	http://floridafresh/OATS/PPMO/RLMS/Complete%20Document%20Library/151030-DACS02-D2D-Procurement-Plan-Schedule-v100.mpp
Project Charter	http://floridafresh/OATS/PPMO/RLMS/Complete%20Document%20Library/160126-DACS02-D3B-Charter-v100.docx http://floridafresh/OATS/PPMO/RLMS/Complete%20Document%20Library/160126-DACS02-D3A-Charter-v100.docx
RLMS Project Management Plan	http://floridafresh/OATS/PPMO/RLMS/Complete%20Document%20Library/160204-DACS02-D3B-Project%20Management%20Plan-v200.docx
Detailed Project Schedule	http://floridafresh/OATS/PPMO/RLMS/Complete%20Document%20Library/160211-DACS02-D3B-Project-Plan-v100.mpp
Project On-Boarding Process	http://floridafresh/OATS/PPMO/RLMS/Complete%20Document%20Library/160217-DACS02-D3G-RLMS-On-boarding-v100.docx
OCM Assessment, Plan & Stakeholder Analysis	http://floridafresh/OATS/PPMO/RLMS/Complete%20Document%20Library/160112-DACS02-D4ABC-Stakeholder-Analysis-OCM-AP-v100.docx
OCM Communication and Change Readiness Plan	http://floridafresh/OATS/PPMO/RLMS/Complete%20Document%20Library/160224-DACS02-D4DE-Comm-Change-Plans-v100.docx

DOCUMENT	SHAREPOINT LINK
Workforce Transition Analysis	http://floridafresh/OATS/PPMO/RLMS/Complete%20Document%20Library/151210-DACS02-D5A-Workforce-Transition-Analysis-v100.docx
Workforce Training & Transition Plan	http://floridafresh/OATS/PPMO/RLMS/Complete%20Document%20Library/160317-DACS02-D5BC-Workforce-Training-and-Transition-Plan-v100.docx
Skill-Gap Recommendations Document	http://floridafresh/OATS/PPMO/RLMS/Complete%20Document%20Library/160217-DACS02-D5D-Role-Based-Skill-Assessment-Gap-Analysis-v100.docx
Application/Data Portfolio Assessment and MDM Plan	http://floridafresh/OATS/PPMO/RLMS/Complete%20Document%20Library/151103-DACS02-D6A-B-App-Data-Assmt-Mstr-Data-Mgt-Pln-Deliverable-v100.docx
Data Conversion Assessment and Migration Plan	http://floridafresh/OATS/PPMO/RLMS/Complete%20Document%20Library/160211-DACS02-D6CD-Data-Conversion-Migration-Plan-v100.docx
Interface Assessment and Implementation Plan	Awaiting final submission by vendor
Data Migration Assessment Environment Operational	http://floridafresh/OATS/PPMO/RLMS/Complete%20Document%20Library/160211-DACS02-D6CD-Data-Conversion-Migration-Plan-v100.docx
Enterprise Use Cases and Supporting Materials	http://floridafresh/OATS/PPMO/RLMS/Complete%20Document%20Library/160226-DACS02-D7A-Use-Cases-v100.docx
Enterprise Regulatory Business Requirements and Functional Needs Document	http://floridafresh/OATS/PPMO/RLMS/Complete%20Document%20Library/160119-DACS02-D7B-Requirements-v100.xlsm

23 Appendices

23.1 Appendix A – Risk Identification Questionnaire

This Risk Identification Questionnaire contains standard questions that will be used to identify risks in a variety of project areas. The questions are designed to stimulate risk analysis within the RMT. However, the items on the questionnaire are not the project risk items themselves, but rather a tool to help identify and capture the unique FDACS RLMS project risks.

The questionnaire shown here is based on common risks from engagements similar in size and scope to RLMS. The list has been further enhanced based on reviewing similar questionnaires and checklists from the Software Engineering Institute's (SEI) technical report on "Taxonomy-based Risk Identification", the Software Productivity Consortium's Risk Questionnaire and the Unified Project Management Methodology (UPMM™).

CATEGORY: Political/Legislative/Legal
☐ Is the project defined from legislative mandate?
☐ What will be the impact of legislative changes/new regulations?
☐ What will be the impact of new Revenue Program/Policy initiatives?
☐ What will be the impact of legal actions, if any, on the project?
☐ What is the impact of non-delivery of project objectives for the citizens of the State?
☐ What is the liability to the State for non-delivery of function?
☐ What is the potential exposure to news/media coverage for failure to deliver?
CATEGORY: FDACS Leadership
☐ Is FDACS senior management committed to the project objectives?
☐ Will there be any impact on the project from any changes in the FDACS executive staff or leadership?
☐ Will the FDACS leadership be consistent in making decisions in a timely manner?
☐ Will there be clearly defined accountability for all decisions taken by the FDACS leadership?
☐ Is the organization's current structure adequate to support this project?
☐ Have all managers for the project been designated?
☐ Has management authority and responsibility been clearly established and accepted?
☐ Do all managers communicate timely and effectively both up and down the organizational structure?
☐ Do those responsible for decisions consistently make good, rational choices?
☐ Have conflicting organizational objectives been identified and resolved?
☐ Do personnel cooperate effectively across functional and organizational boundaries?

☐ Are all personnel oriented toward quality procedures?
CATEGORY: Technical Integration
What risks do the lack of coordination and awareness between projects as to scope, progress, issues, and interdependencies, pose to the project?
☐ What is the impact due to the lack of coordination with existing systems that impact the FDACS Project?
CATEGORY: Project Management
Will the project management successfully implement and follow the Project Communication Plan?
Will the project management follow agreed-upon issue-resolution procedures?
Will project risks be identified, assessed, monitored, and mitigated in a timely fashion?
Are schedules and work plan milestones being periodically monitored?
What are the measures to be implemented to control the quality of project deliverables?
Is there clear accountability for project deliverables?
Will there be an appropriate balance between project management “doing” versus “overhead” activities associated with being part of the project (e.g., reporting)?
Is there a clear definition or agreement as to what is in or out of scope/changing requirements causing scope change and project delays?
What are the impacts of slow or inadequate decision making by key project staff and subject matter experts?
Is resource management adequate to the needs of the project?
Are the project objectives clear and feasible?
Are the budget estimates stable, reasonable, and precedented?
Are the schedule estimates stable, reasonable, and precedented?
Is existing cost and schedule monitoring sufficient and appropriate to the needs of the project?
Are all support requirements specified and understood?
Are all evolution requirements specified and understood?
Is sufficient budget available for unanticipated updates?
Is sufficient time scheduled for unanticipated updates?
Is the available process documentation adequate for the needs of the project?
Is the available product documentation adequate for the needs of the project?
Is the available development tool documentation adequate for the needs of the project?
Are contingency plans and reserves adequate to cover all likely situations?
Is the amount of anticipated reuse of components reasonable and adequate for the project's needs?
Is current productivity adequate to meet the budget and schedule?

Is the likelihood of exceeding the project's budget acceptable?
Is the likely schedule slippage acceptable?
Is the existing identification of components sufficient and appropriate for the project's needs?
Is the existing configuration control of components sufficient and appropriate for the project's needs?
Is the auditing of components sufficient and appropriate for the project's needs?
Is the existing status accounting sufficient and appropriate for the project's needs?
Are the existing risk management practices sufficient and appropriate for the project's needs?
Are the existing verification and validation techniques sufficient and appropriate for the project's needs?
Do the methods adequately support all aspects of the development project?
Do the methods adequately support the application domain?
CATEGORY: Resources
Are key personnel needs identified?
Is there a contingency plan for resource variances?
Are all project team members trained?
Are project team skill requirements clearly defined?
Are project team assignments based on resource skill requirements?
Does the project team possess the skills necessary to complete the project?
Does the project team understand their roles and responsibilities?
Is there sufficient manpower to complete the project?
Has adequate technical and professional training been made available to the project team?
Does the project team possess the skills to complete the project?
Are the project engineers, technical staff, and infrastructure support staff qualified?
Will key project staff leave before the project is complete?
Is the development team at a central location?
Are there inappropriate identification, scheduling, and prioritization of resources across competing processes (JAD & Testing resources).
Is project funding based on work-level estimates?
Is project funding secured?
Is project funding sufficient?
Are expected benefits verifiable?
Is there a contingency plan for budget overruns?
What could make the project go over-budget?

Is there a detailed Project Plan at the task level?
Have estimates been provided at the task level?
Has the project critical path been identified?
Is there a contingency plan for schedule variances?
Is actual progress regularly compared to the project schedule?
What would keep the project from completing on time?
CATEGORY: People
Is the project schedule realistic and achievable?
Is there sufficient time for FDACS staff to perform project-related activities, as well as, current job responsibilities?
Will knowledge or skills gaps be identified in reasonable timeframe?
Do project personnel have sufficient relevant experience to perform their duties?
Have all critical personnel previously performed in their current position?
Do all project personnel have sufficient experience in the organization?
Do all of the involved managers understand the project well enough to make informed decisions?
Is current FDACS training sufficient and appropriate for the needs of the project staff?
CATEGORY: Technology
What impact does the failure of key technology systems have on the project?
Are the business functional requirements stable and defined?
Have the technology limitations been understood by FDACS management?
Has the application architecture been understood by FDACS management?
Are all business and technical requirements verified and validated?
Does FDACS management have a complete understanding of the key hardware and software to be used on the RLMS Project?
Are the project team members knowledgeable on the proposed technology environment?
Are all interfaces identified?
Has a Project Work Plan been developed for the entire system development lifecycle?
Have critical project milestones and checkpoints been defined?
Has the appropriate system development lifecycle been selected?
Will business functional requirement (scope) changes affect the project outcome?
Is the organization ready to support the new application?
Do process policies, standards, procedures, and guidelines exist and if not when are they scheduled to be created?
Are back-up/restart procedures clearly defined and tested?

Do existing and planned prototypes provide a realistic interpretation of the system?
Are all requirements justified (does each one address a specific direct or indirect business or mission need)?
Are the requirement specifications unambiguous?
Are all requirements compatible with each other?
Are the requirement specifications testable?
Are the functional requirements complete and feasible?
Are the safety requirements clear and reasonable?
Are the reliability requirements clear and reasonable?
Is every requirement specific (can they be verified by a test procedure)?
Do the defined tests provide adequate coverage?
Has every requirement been validated (matches user's needs and expectations)?
Can the requirements be allocated into stages?
Are the requirements changing?
Are there any items “to be defined” (TBDs) in the specifications?
Are there requirements that are technically not feasible?
Are there any algorithms or rules that will not meet user requirements?
Will there be sufficient hardware to integration test?
Are the requirements reasonable to implement (not unusually demanding)?
Are all new support requirements identified?
Are all applicable standards included?
Are all cited standards applicable?
Does the architecture provide a modular structure for the product?
Are all defined interfaces necessary and appropriate?
Are all defined components necessary and appropriate?
CATEGORY: Stakeholder Impact
Does the project align with the Department’s overall business strategy?
Are the expected outcomes clearly defined?
Have all project stakeholders been defined?
Have all the relevant project stakeholders been consulted and updated on the progress?
Have metrics been established to verify completion of each phase?
Has the impact of late system or functional delivery been analyzed?
Has the impact of cost overruns been analyzed?

What will be the impact on the community due to the failure of this project?