



STATE OF MAINE IV&V REVIEW MARCH 12, 2020



IV&V REVIEW OBJECTIVES

As an IV&V consultant, our goal is to be an objective, independent, neutral third-party advisor. We make observations and recommendations collaboratively with the client, with project success as the outcome. It is a partnership model where IV&V provides tangible measurement and alternatives to the existing performance of the project as well as helps to identify issues which may not be visible.

To ensure the implementation project remains on-track and expected benefits are realized requires consistent and independent oversight. Therefore, our approach to IV&V not only focuses on the quality of deliverables and activities, but on the value of these activities and whether they contribute to successful system deployments.

SCOPE OF WORK – IV&V REVIEW

There will be Five Stage Gate Reviews performed during the project. We have estimated that each review will consist of the same set of activities (e.g., document review, onsite interviews, report preparation and delivery) and consume an equal amount of effort. The following is the estimated timeline for each Review:

- ✓ IV&V Review #1 - Planning Stage (January 2019)
- ✓ IV&V Review #2 - Architecture & Design Stage (April 2019)
- ✓ IV&V Review #3 - Configuration & Prototype Stage (August 2019)
- ✓ IV&V Review #4 - Testing Stage (November 2019)
- ✓ **IV&V Review #5 – Readiness Assessment (March 2020)**
- IV&V Review #6 - Deploy Stage Pre-Go-Live (TBD)

SCOPE OF WORK IV&V REVIEW



Areas of focus for this review

- Executive Sponsorship
- Project Management
- Functional Teams including Finance
- DOT
- Organizational Change Management
- Testing
- Security
- Integrations
- Reporting
- Data Migration

WHO WE MET WITH:

State of Maine				WORKDAY		
Jackson Smith	Breena Bissell	Tina Walter	Lisa McGrotty	Nicholas Lathrop	Sonja Chappell	Al Romulo
Nicole Drisko	Heather Perreault	Jeremy Davis	Sarah Keenan	Eunice Jung	Margaret Lundquist	Kim Barnwell
Phillip Platt	Betty Everatt	Kelly Mills	Brad Achorn	Marie Schneider	Bill Hansen	John Eckroth
Erica Cram	Jeremy Wilson	Billy Joe Ladd	Mohammed Kamal	Samarendar Chilukuri	Rose Nguyen	Carrie McPeek
Fred Brittain	Deb Phillips	Doug Cotnoir	Kurt Caswell	Greg Brentano	Alfredo Gozzi	Sid Ghai
Justin Watson	Karen Doyle	Balaji Mekala	Alex Bradstreet	Annie DeBruynkops	Accelare/Premier/Tilson	
Brian Guerrette	Soumia Tber	Beth Getchell			Brendan McLaughlin	Jesse Kampa
						Derrick Jackson

STATE OF MAINE – PROJECT SPONSORS

Project Risk Rating (R/Y/G) is RED

Observations:

- Workday consulting team should have been better advisors to the State and more forthcoming about potential project delay(s) based on previous experience.
- Team morale and stress levels are a concern due to the date being pushed.
- OCM – recent communication efforts have been poorly constructed, infrequent and lacked targeted messaging relaying specific benefits to keep people engaged.
- Manager Training – initial training for Managers was too high level and an additional course needs to be developed that is more detailed and tailored for operational tasks.
- PMO (Doug B.) and project manager (Susan B.) added to the project temporarily to perform an assessment and assist the team with the development of a new project plan for Go-Live.
- IT is in the process of identifying a resource for SOM Mainframe support needed beyond the 6/30/20 sunset date.

Key Concerns/Risks Identified:

- Expecting PMO to deliver a recommended revised workplan by the end of March.
- A July 1 Go-Live date is problematic because of multiple dependencies for start up related to new fiscal year activities.
- Production Support Model is currently being defined; people have been targeted to move to new positions, but process still not finalized and communicated.
- Have not yet received enough data to determine results of FLSA impacts in order to communicate pay variances to unions and employees.
- Process of extracting required data from Workday and imported into the State's new Data Warehouse still a WIP.
- HR Training – After training, HR Directors worried that they don't know enough to do their job. Need additional education with more detailed curriculum, process-based explanations and a sandbox environment to rehearse in.
- OCM Change Champions Network has had some turnover and, also appears they are not functioning as planned.

STATE OF MAINE – PROJECT MANAGEMENT

Project Risk Rating (R/Y/G) is RED

Observations:

- Testing – Additional E2E scenarios must be created and tested, UAT was rushed and limited and should include more “high traffic” cycles. Parallel payroll testing revealed unexpected configuration changes and excessive data validation issues which stem from bad legacy data.
- Overall, testing revealed several instances where the State is paying people differently and work has been initiated to quantify the impact to the affective employee population.
- Addressing OCM issues by accepting Accelare’s offer to the team by having them create draft Communications
- Tenant Management – Multiple tenants were utilized to accommodate overlapping priorities and phases in the project. There needs to be improved process for management of these tenants. Changes were occurring in multiple tenants and no tracking mechanism for configurations.

Key Concerns/Risks Identified:

- Re-planning efforts are awaiting the onboarding of new PM resource. Process to determine a new Go-Live date and an appropriate workplan could take several weeks.
- The collective team has built up a strong level of cohesion and momentum over the past several months. Any significant actions taken by the new PMO and/or PM resources will likely have an adverse impact on the team’s productivity and morale.
- Some SOM Functional Leads have not taken ownership in Knowledge Transfer activities from their consultants and may have knowledge gaps when they are asked to operate the system independently.
- Workday consultants have been targeted for other projects and could be at risk of leaving starting May 2020.
- A Transition Plan must be put in place from the Project to the Shared Services/Post-Production Support Model which includes personnel, Help Desk Procedures, Ticketing System and related tools.
- There is not a Finance lead identified who is participating in knowledge transfer activities and included in the planned Shared Services organization.

STATE OF MAINE – DATA MIGRATION

Project Risk Rating (R/Y/G) is Yellow

Observations:

- Additional Workday resource was added to the team and has improved overall performance of the group.
- The Tenant Build Process has undergone significant improvements with enhanced communications, a validation checklist, and a build tracker put in place for visibility to resources availability and schedules.
- Overall, the Build Process has gone well, Simulation and the P1/P2 environments were completed on schedule.
- Currently, there are 7 tenants in the SOM environment including the Gold Tenant. Process is underway to define final design and functionality that will be migrated from the other tenants into the Gold instance.
- If there needs to be a third Parallel Payroll Test (P3), a new tenant should be built since the October 2019 data housed in the P1/P2 environment has gotten stale.

Key Concerns/Risks Identified:

- Data Validation remains a challenge due to corresponding changes to existing conversion programs.
- Build Schedule remains aggressive and made complex by continuing changes to configuration and business processes.
- Team is expecting to continue to encounter data errors that haven't been seen before with future tenant builds.

STATE OF MAINE – TESTING

Project Risk Rating (R/Y/G) is RED

Observations:

- Defined Exit and Entry Criteria was not met for the Payroll Simulation and P1/P2 Parallel Testing Cycles.
- P2 was never successfully concluded.
- 220 open tickets and ticket count would have been higher if testing had been completed. Daily issue review meetings and reinstating X-functional meetings to assist with the remediation efforts.
- Workday involvement in testing has diminished and this has revealed knowledge gaps in the State team which has slowed down the troubleshooting process. Reinstating more active involvement would help improve this.
- A more robust E2E and UAT testing cycles and additional Regression Testing activities would greatly benefit the project.
- Planning for a 3rd Payroll Parallel test is in the beginning stages.

Key Concerns/Risks Identified:

- Lack of Workday Testing Leadership – Tara left the project leaving Marie who is more of a PM than Test Lead. They have not delivered adequate tools (e.g., dashboards, metric reports) to assist Maine with this workstream and are not leveraging tools from other projects which has made the testing efforts more challenging.
- Multiple tenants are in use with multiple purposes for each making it hard to test. Currently, a small number of Maine personnel possess complete knowledge and familiarity of all the tenants which has created a risk for the Maine team.

STATE OF MAINE – TIME TRACKING/ABSENCE MGMT.

Project Risk Rating (R/Y/G) is RED

Observations:

- Time Clocks have been installed, some personnel badges were reissued due to incompatibility with clocks, (Correctional facilities)
- Time clocks were not used in the P1/P2 Payroll Parallel Testing cycles except for 111 employees.
- Testing revealed some unknown business practices in the Time Tracking Process. For example, SOM supervisors have been making manual adjustments to employee's timesheets (e.g., 7-minute rounding). These adjustments are not reflected in Workday and required remediation efforts.
- Work continues reviewing/standardizing prior decisions for the roughly 150 different Work Schedules and determining how they will map into Workday. Once complete, these schedules must be thoroughly retested until the corresponding pay results meet the State's acceptance criteria.
- The Workday Absence module and functionality working well. DOT absence information is still in need of testing.

Key Concerns/Risks Identified:

- There remains a complete lack of understanding of all the time tracking rules in place and how they are being applied at the Maine work locations. Depending on the degree of change required to meet Workday and project standards, Employee Relations may need to get involved and an OCM effort undertaken to communicate potential changes to the affected workforce(s).
- Resources – J. Wilson is relying heavily on his BA and they remain the only SOM resources and key SME's for this workstream. Losing one or both would create a significant knowledge gap on the team.
- Once all time rules have been defined and coded into the clocks and Workday, these all must be thoroughly tested to ensure they meet the State's acceptance criteria and the affected employees sufficiently trained before Go-Live.

STATE OF MAINE – BENEFITS ADMINISTRATION

Project Risk Rating (R/Y/G) is Yellow

Observations:

- E2E testing completed but could have benefited from more thorough testing scenarios. Additional Leave Absence Codes and specific integration points between modules (e.g., retro payments, temporary assignments) should be tested.
- Workday has developed a Touch Point Diagram showing how each module works together. Disseminating this to the project team would be beneficial in understanding the integration points within the system.

Key Concerns/Risks Identified:

- Due to the significant amount of unplanned testing defects, coupled with the necessary completion of many concurrent activities required for Go Live, the team was given multiple top priorities and was constantly “running in the red”. Learnings from this experience must be taken into consideration during re-planning and enough time must be included in the plan to avoid this from reoccurring.

STATE OF MAINE – PAYROLL

Project Risk Rating (R/Y/G) is RED

Observations:

- Configuration is solid, Integration with LCD solution needs more testing.
- Testing:
 - Not enough time allowed to finish Simulation, P1 or P2.
 - Entry/Exit Criteria was not met.
 - Approximately 150 JIRA tickets - taking lots of time to resolve, being passed around workstreams, they require in-depth analysis across the functional areas to properly determine root cause.
 - E2E Integration Testing was not truly E2E and should be repeated with more robust scenarios.
- Continuing to encounter errors with legacy employee data and a review of the data conversion logic vs. actual business processes should be conducted.

Key Concerns/Risks Identified:

- Foundational Decisions need to be made:
 - FLSA – still need to define what Earnings Codes are affected and quantify impact.
 - Sup. Org Structure – needs to be finalized.
 - Time Tracking Schedules – determine what to convert into Workday.
- Teams rushing to close JIRA tickets may be doing so without thoroughly remediating the issue.
- Overall data cleanliness in the legacy systems – quality seems to be an ongoing issue.
- Payroll production batch processing schedule still a WIP and needs to be fully defined before Go-Live.

STATE OF MAINE – RECRUITING

Project Risk Rating (R/Y/G) is Green

Observations:

- Overall Recruiting is in good shape.
- Assessing and not promising changes – bucketing items for post Go-Live.
- Great overall team, morale is strong, Workday consultants are responsive, available and adequately staffed for the workload.

Key Concerns/Risks Identified:

- Scope Creep remains a concern, but only minor changes have been made to the Design since it was frozen.

STATE OF MAINE – FINANCE

Project Risk Rating (R/Y/G) is RED

Observations:

- The LCD/PAJV solution has been developed by Workday for the State. It is a one of a kind, custom solution designed to meet the State's financial requirements and involves data imports from several source systems (e.g., BFMS, TAMS, MFASIS).
- The LCD solution is still undergoing testing with both positive and negative testing scenarios.
- Approximately 70 people (financial analysts) will be using this application on a regular basis and a Quick Reference Guide is being developed to support their training efforts.

Key Concerns/Risks Identified:

- There has not been any formal training conducted for the impacted user group. Curriculum should be developed and conducted to ensure that proper knowledge transfer takes place before Go Live.
- There is no documented contingency plan if this solution fails after Go Live and one should be created and distributed to the users to ensure that the required accounting activity can still occur.
- A formal review and sign-off should be conducted and required from the State's Financial Organization. This will ensure that the solution meets requirements and is understood and accepted.
- Testing of the PAJV accounts and balances has partially occurred and a reconciliation of the full transaction volume should occur to ensure that the solution fully meets expectations.
- Similarly, full testing of all the reporting functionality which is still under development should be completed and defects remediated before Payroll Parallel Testing.
- Supporting this process and system will be a critical task of the Shared Services organization and educated staff who perform these roles will be important to keep in place.

STATE OF MAINE – HCM/COMPENSATION

Project Risk Rating (R/Y/G) is Yellow

Observations:

- Testing continues and problem areas for HCM are data discrepancies with Workday tables.
- Identified and onboarded Agency SME's are having a positive impact on the team's progress by helping test and validate data and providing them with hands-on experience working in the system during the E2E testing activities.

Key Concerns/Risks Identified:

- Data cleansing work is ongoing. Examples include Compensation Plans, eligibility rules, allowances, no look back/special pays, and exceptions to employment contracts.
- One item that has surfaced across the team is the need for more cross-functional knowledge and Workday system experience. This will be critical for the members of the Shared Services Organization to have as they move forward without their Workday counterparts.
- Recent events and project pace has strained the nerves and decorum of the team dynamics. Going forward, management focus on this along with some positive team building activities should improve the situation.
- Supervisory Org. Structure – Work is behind and continuing, this is a critical path item and must be completed successfully prior to subsequent E2E testing.

STATE OF MAINE – SECURITY

Project Risk Rating (R/Y/G) is Green

Observations:

- Security roles defined and configured/98% complete.
- Awaiting the announcement of the Post-Production Support Model so proper roles and security profiles can be assigned.

Key Concerns/Risks Identified:

- Detailed testing of the security profiles has been done indirectly via UAT. A more formal, thorough testing cycle should be performed on the production security profiles before Regression Testing.
- Final security assignments are awaiting the completion of the Sup. Org. model which must be done and in place before Regression Testing.

STATE OF MAINE – REPORTING

Project Risk Rating (R/Y/G) is Green

Observations:

- All the planned reports have been completed with 80-100 in total.
- PAJV still under development and contains complex payroll reporting requirements. This work is hard to estimate because it is a one-of-a-kind solution but is achievable.
- There may be additional reporting requirements, and there is a process in place to determine if they can be accommodated before Go Live.

Key Concerns/Risks Identified:

- Payroll Information Access - There is a security concern about exposing employee payroll information (via reports) to State resources who don't require that level of access. Discussions are ongoing to determine a viable solution.
- Workday Access for Reporting – currently there is no plan to give access to Workday for some agencies (e.g., Judicial) and this creates a requirement for them to use another channel to get their reports. Discussions are ongoing to determine a viable solution.
- Team Resourcing – there has been some turnover in State resources on this team and left the Workday resource with the most complete knowledge in this area. This must be addressed and rectified before Go Live and/or the Workday resource leaves the project.
- An overall Ad Hoc reporting strategy needs to be developed and implemented.

STATE OF MAINE – INTEGRATIONS

Project Risk Rating (R/Y/G) is RED

Observations:

- 49 Integration files have been developed and sent to vendors during End to End. The focus was on file format (not data) and all the vendor's acknowledged they were correct.
- During the Payroll Parallel Tests (P1/P2) – integration files were sent to each of the vendors and all came back with data validated issues that needed to be remedied.
- A vendor sign-off process and acceptance criteria is in place but have not been done at this time.
- Development is complete for all know Integrations, but there remains work to do for the LCD/PAJV interface and one for the Active Directory (pending decision)
- Configurations and data need to be almost perfect due to down stream impacts and testing of these interfaces should only occur after the data validation issues have been remediated.

Key Concerns/Risks Identified:

- US Bank is the financial institution that the State uses for ACH payroll transactions. There are many US Bank personnel involved in the process and Interface testing, validation, and sign-off needs to be carefully coordinated and controlled.
- It's taking a lot of time to reconcile the data anomalies encountered in the Interface files and enough time must be included in the re-planning efforts to ensure they are all remediated before Go Live.
- It would be helpful if the Integrations team could get a copy of the source for the Gold Tenant once it is built and populated. This would allow the team to run mock files and verify the data before it is sent to the vendors for reconciliation and sign-off.

STATE OF MAINE – OCM OBSERVATIONS

Project Risk Rating (R/Y/G) is RED

Observations:

- Team has recently revamped its communication approach; communications reset took place mid-February, Accelare has been engaged to assist in developing a cadence for communications and assist in communication content.
- A plan is in place on how communication will be disseminated:
 - Employees 1st type of communication – Change network send to manager; manager send to employees.
 - Manager 2nd type of communication – send directly to manager, send monthly and accelerate as go-live gets closer
 - Commissioner level communications for high level – such as date change
- 6 HR Directors were added to the Change Network, it was identified they were missed and should be part of the team.
- Feedback received in December raised a concern that communication being sent was not relevant and seemed to be same as in past.
- HR training occurring now, on track to be completed by 1st of April.
- Curriculum development in process to handle the deeper dive into training for Managers.
- No sandbox environment exists for people to have access to the system after completing training.
- SOM Consulting resources have been attending training but are unable to contribute and answer questions around SOM functionality.

STATE OF MAINE – OCM CONCERNS

Project Risk Rating (R/Y/G) is RED

Key Concerns/Risks Identified:

- There needs to be more engagement and closer collaboration between the OCM Manager and the Business Owner to ensure that future communications are clear, content rich, appropriate for their target audience and timely.
- Usage of the HR or other Directors Meetings and All Hands HR meetings to effectively communicate critical project information would be beneficial going forward. These are also good channels for feedback from training and communication activities.
- HR Training Effectiveness – HR has stated concerns about this, and project team should address and revamp the content as required.
- There needs to be clarity in communications for the use of mobile devices and how they interact with Workday going forward.

STATE OF MAINE – DOT

Project Risk Rating (R/Y/G) is RED

Observations:

- DOT consists of approx. 1900 employees in two categories: 1701 – Crew and 1700 – Exception. All are on the same biweekly pay cycle. All employees will be paid from Workday via two pay input integrations. DOT continues to make changes to their legacy system to accommodate these files.
- DOT HR will be using Workday to record all employee HR transactions and life events. Testing of these events is ongoing, and the team is still working through data issues and related problems.
- Employee Payroll Accuracy Results of P1 – 46%, P2 – 54%
- Analyzing data has been time consuming – bad data, and configuration changes was still occurring throughout testing.
- DOT has access to the Workday system via Web Services/API and relies on accurate payroll data to support its Federal Billing process to receive funding for projects and activities. This is a critical function and testing is still in progress.
- Interfaces are complex and testing is ongoing for both inbound and outbound.

Key Concerns/Risks Identified:

- DOT Project Management – the complexity and criticality of the DOT work processes requires a dedicated PM to oversee and manage the end to end project efforts and workplan. Wendy Christian is in this role and the team needs to ensure she is the right resource for this job. Additional DOT executive oversight and engagement may likely be required to ensure the necessary attention and focus is put on this effort.
- No E2E testing has been completed by DOT. The DOT Team has developed some additional scenarios and plans are underway to do more of this “off cycle testing”.
- Workday testing must be reconciled against ongoing development of DOT legacy systems. The latter should be frozen to ensure testing accuracy.
- Communications – DOT employees must be informed of paycheck changes as well as all related project activities and dates.
- Data Warehouse – DOT relies heavily on data from the data warehouse for critical applications and must have the new Enterprise DW be available and populated with Workday data at Go Live, if not a contingency plan needs to be put in place.

STATE OF MAINE – OVERALL SUMMARY

Project Risk Rating (R/Y/G) is RED

The State's decision to delay the Go Live date later into 2020 has put more time in the plan to test the system, cleanse the legacy data and prepare the organization for post-go live supporting responsibilities.

The following items should be addressed:

- Plan and successfully execute additional testing activities – E2E, Parallel Payroll, UAT and Regression. Adhere to exit and entry criteria.
- Review and enhance Project Communications.
- Review and enhance overall End User Training (not limited to HR Staff and Managers)
- Develop a more comprehensive data validation plan and ensure enough time is devoted to remediating the issues.
- Successfully complete testing of Integrations and ensure vendors have reviewed and signed off on data contents (after Parallel Testing)
- Institute a formal process for Tenant Management and streamline/consolidate environments as appropriate.
- Ensure that a dedicated, qualified PM is in place to properly manage the overall DOT implementation efforts.
- Compile a detailed project plan using input from each of the teams and collaboratively develop an achievable a critical path to Go Live.
- Complete the process of establishing the post Go-live support organization/shared services and communicate to affected employees and stakeholders.



QUESTIONS