

Florida Department of Financial Services Planning, Accounting, and Ledger Management Project

Independent Verification & Validation Stage Gate Assessment Report Ready to Start Build Stage Gate

November 1, 2023

Contract: 80101507-21-STC

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Executive Summary

The Florida PALM Independent Verification and Validation (IV&V) Team presents this Stage Gate Assessment Report, containing information on the Ready to Start Build Stage Gate planned in the Florida PALM Project.

There is an extensive process for discussion and review of the Functional Designs. The stages include a pre-discussion on the design, several Design Sessions with the applicable Florida PALM Project Team and the Software and System Integration (SSI) Vendor, an initial Project Team review, a Project Team Manager review, an Architect review, and finally, a review by the Project Director for each of the Functional Designs. The Florida PALM IV&V Team has been actively observing the pre-design and Design Sessions for each of the Segment I and Segment II Functional Designs. The Design Sessions are well attended by the key parties involved and allow for active discussion and resolution of design considerations.

Additionally, key design decisions are logged and reviewed with the Florida PALM Project Director, the Division of Accounting and Auditing (A&A), the Office of Information Technology (OIT), and the Division Treasury as part of the Design Disposition Process. The Florida PALM IV&V Team also reviewed the Functional Designs and found them to be well-written, complete, and of high quality.

Based on the process used to create and review the Functional Designs, the quality of the Functional Designs that the Florida PALM IV&V Team has reviewed, and our independent assessment of the Stage Gate criteria, the Florida PALM IV&V Team recommends approval of the Stage Gate and continuing to move forward as planned in the Project.

Assumptions and Constraints

Table 1 below describes any assumptions or constraints associated with the Florida PALM IV&V Team’s assessment of the Ready to Build Stage Gate.

Table 1 - Assumptions and Constraints

Type	Description	Applicable Stage Gate Criteria
Assumption	Any Design Specifications canceled or removed from Segments I or Segment II are excluded from the Stage Gate criteria.	01, 02
Assumption	The remaining Functional Design Specifications for Segment II will be of similar high quality as what the Florida PALM IV&V Team reviewed in Segment I.	02
Constraint	Data on completed Design Specifications is from the Design Work Unit Tracker as of 10/25/2023.	01, 02

Stage Gate Criteria Assessment

Table 2 below provides the criteria for the Stage Gate being assessed along with the Florida PALM IV&V Team’s assessment of the ability to meet the criteria and any recommendations to mitigate variances prior to the end of the Stage Gate. Criteria are cited from FP004-Florida PALM SSI, Amendment # 9, Attachment 1, Statement of Work (SOW), Section 1.5, Table 3.

Table 2 - Stage Gate Criteria

ID	Stage Gate Criteria	IV&V Assessment Rating ¹	Rationale/Recommendations
01	#1 - Design Segment I has been completed	Met	<p>Rationale: All Segment I Designs have been approved and D636 – Completion of Solution Design (Requirements) Segment I has also been accepted. The Florida PALM IV&V Team was actively involved in observing the Design Sessions associated with each of the Functional Designs, as well as participating in Design Disposition Reviews where key design options were discussed with the Project Director, A&A, OIT, and Treasury. Finally, the Florida PALM IV&V Team reviewed the Segment I Functional Designs and found them to be complete, well-written, and of high quality.</p> <p>Recommendations: None</p>
02	#2 - Design Segment II is at least 50% complete	Met	<p>Rationale: As of 10/25/2023, there are 73 Functional Designs that are part of Segment II of which 50 have been completed (68%), and therefore the criteria have been met. The Florida PALM IV&V Team was actively involved in observing the Design Sessions associated with each of the Functional Designs, as well as participating in design disposition reviews where key design options were discussed with the Project Director, A&A, OIT, and Treasury.</p> <p>Recommendations: None</p>

Recommendation

Based on verification of the number of approved Functional Designs in Segment II and the Florida PALM IV&V Team’s previous review that the completed Segment I Design Specifications are well written and of high quality, the Florida PALM IV&V Team recommends moving forward with the Ready to Start Build Stage Gate. As all criteria have been met, the Florida PALM IV&V Team is not recommending any mitigation activities.

Detailed Stage Gate Criteria Assessment

1 - Design Segment I have been completed:

Table 3 shows the status of the Segment I Functional Designs as of 10/25/2023.

¹ Likely to Meet, At Risk of Not Being Met, or Unlikely to Meet will be based on the risk priority matrix identified in Appendix B.

Table 3 - Segment I Design Status

Segment I Design Specification Status								
Segment	Not Started	Pre-Draft Discussion	Draft in Progress	Draft in Review	Pending Approval	Final Approval	Complete	Cancelled ²
Segment I	0	0	0	0	0	0	52	18

All the Functional Design Specifications that were associated with Segment I have been completed or identified as cancelled. Additionally, D636 Complete of Solution Design (Requirements) Segment I has been accepted. Finally, the Florida PALM IV&V Team reviewed the D636 and the individual Functional Designs and found them in general to be well written, complete and did not include any unnecessary customizations.

Quality of Functional Designs:

The Florida PALM IV&V Team has been actively observing the discussions and reviews of the Functional Designs. The process for discussing, creating, and reviewing Functional Designs is thorough and includes:

- Pre-discussion on design specification topics and high-level concepts
- Several Design Sessions with the applicable Florida PALM Project Team and SSI Vendor
- Meetings with Enterprise Partners to discuss specific interface Design Specifications when required
- Multiple stages of Functional Design review, including initial Project Team review, a Project Team Manager review, Architect review, and Project Director review

Additionally, key design options that cannot be resolved at the Team level are managed and tracked through the Design Disposition Log. The key design options are then reviewed with the Project Director, A&A, OIT, and Treasury, as needed. The Florida PALM IV&V Team is actively involved in observing the pre-design, Design Sessions, and the Design Deposition Meetings. The Florida PALM IV&V Team noted that the Design Sessions allow for a thorough discussion of the design considerations, are well attended, and provide a forum to vet various viewpoints across the various business and technical areas.

Finally, the Florida PALM IV&V Team reviewed D636 Completion of Solution Design (Requirements) Segment I and all the individual Functional Designs associated with Segment I and found them to be well-written, complete, and did not include any unnecessary customizations.

Recommendation:

The Florida PALM IV&V Team review shows that the criteria have been met. Since the criteria have been met, IV&V recommendations to mitigate variances are not required.

2 - Design Segment II is at least 50% complete:

Table 4 below shows the status of the Segment II Functional Designs as of 10/25/2023.

² Cancelled status reflects that the functional design specification was removed from the Segment but not that it was removed from the overall project scope.

Table 4 - Segment II Design Status

Segment II Design Specification Status								
Segment	Not Started	Pre-Draft Discussion	Draft in Progress	Draft in Review	Pending Approval	Final Approval	Complete	Cancelled ³
Segment II	0	0	0	1	13	9	50	15

50 of the 73 Functional Designs have been completed. This excludes the 15 Functional Designs that have been cancelled or deferred to other Segments. Therefore, 68% of the Segment II Functional Designs have been completed, which exceeds the 50% threshold for the criteria.

Quality of Functional Designs:

Like Segment I Design, the Florida PALM IV&V Team has been actively observing the discussions and review of the Functional Designs. The process for discussing, creating, and reviewing Functional Designs is thorough and includes:

- Pre-discussion on design specification topics and high-level concepts
- Several Design Sessions with the applicable Florida PALM Project Team and SSI Vendor
- Meetings with Enterprise Partners to discuss specific interface Design Specifications when required
- Multiple stages of Functional Design review, including initial Project Team review, a Project Team Manager review, Architect review, and Project Director review

Additionally, key design options that cannot be resolved at the Team level are managed and tracked through the Design Disposition Log. The design options are then reviewed with the Project Director, A&A, OIT, and Treasury. The Florida PALM IV&V Team actively observed the pre-design, Design Sessions, and the Design Deposition Meetings. The Florida PALM IV&V Team noted that the Design Sessions allow for a thorough discussion of the design considerations, are well attended, and provide a forum to vet various viewpoints across the various business and technical areas.

Finally, the Florida PALM IV&V Team has reviewed several of the Segment II Functional Designs that have been approved in Segment II and, like Segment I, have found them to be well-written and complete. The Florida PALM IV&V Team will review all the Segment II Functional Designs as part of reviewing the D637 Completion of Solution Design (Requirements) – Segment II deliverable.

Recommendation:

The Florida PALM IV&V Team review shows that the criteria have been met. Since the criteria have been met, no IV&V recommendations to mitigate variances are required.

³ Cancelled status reflects that the functional design specification was removed from the Segment but not that it was removed from the overall project scope.

Appendix A – Documents Reviewed

Table 5 below shows documents and deliverables reviewed by the Florida PALM IV&V Team in performing their assessment of the Stage Gate.

Table 5 – Documents Reviewed

Document Name	Date	Version
Design Work Unit Tracker	10/25/2023	Working
D636 – Completion of Solution Design (Requirements) Segment I	8/29/2023	Version 1.0

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Appendix B – Risk Priority Matrix

The Florida PALM IV&V Analysts will use the following table to assign a Risk probability rating for each Stage Gate criteria.

Table 6 – Risk Priority Matrix

Risk Probability Rating	Probability of Occurrence	Probability Description
1	Improbable	Risk has between a 1%-19% likelihood of occurring.
2	Unlikely	Risk has between a 20%-39% likelihood of occurring.
3	Possible	Risk has between a 40%-59% likelihood of occurring.
4	Likely	Risk has between a 60%-79% likelihood of occurring.
5	Probable	Risk has between an 80%-99% likelihood of occurring.

The Risk Impact Criteria the Florida PALM IV&V Analysts will use to assign a Risk impact rating to each identified Stage Gate criteria are described in the table below.

Table 7 – Risk Impact Matrix

Risk Impact Rating	Magnitude of Impact	Impact Description
1	Negligible	Risk will have an impact so small that it can be ignored when studying the larger effect.
2	Minor	Risk will have a small impact on the Project that should not be ignored when studying the larger effect.
3	Moderate	Risk will have a noticeable impact on the Project.
4	Significant	Risk will have a large impact on the Project
5	Critical	Risk will have a large impact and may jeopardize the success of the Project.

The table below outlines the Risk Priority Ratings for each Stage Gate criteria based on a combination of impact and probability of occurrence.

Probability of Occurrence	Magnitude of Impact					
	Negligible 1	Minor 2	Moderate 3	Significant 4	Critical 5	
Probable 5	Likely to Meet	At Risk	Unlikely to Meet			
Likely 4			Unlikely to Meet			
Possible 3		At Risk		Unlikely to Meet		
Unlikely 2		Likely to Meet			At Risk	
Improbable 1		Likely to Meet				At Risk

Figure 1– Risk Matrix

Table 8 below defines the levels of the Risk Priority Ratings.

Table 8 – Risk Definitions

Rating	Definition
Unlikely to Meet	The possibility of substantial impact to product quality manageability cost or schedule. Major disruption is likely, and the consequences would be unacceptable. A different approach is required. Mitigation strategies should be evaluated and acted upon immediately.
At Risk	The possibility of moderate impact to product quality manageability cost or schedule. Some disruption is likely, and a different approach may be required. Mitigation strategies should be evaluated and implemented as soon as feasible.
Likely to Meet	The possibility of a slight impact to product quality manageability cost or schedule. Minimal disruption is likely, and some oversight is needed to ensure that it remains low. Mitigation strategies should be evaluated and considered for implementation when possible.

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