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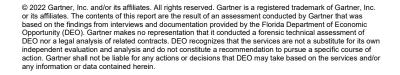
Florida Department of Economic Opportunity

July 2022 Quarterly IV&V Assessment Report

For period beginning April 1, 2022, and ending June 30, 2022

Gartner

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1.0 Introduction

The Florida Department of Economic Opportunity (DEO) works in collaboration with public and private partners to advance Florida's economy for every Floridian by championing the state's economic development vision and implementing initiatives to help citizens, communities, businesses, and visitors thrive.[1]

During the pandemic, DEO received a record number of Reemployment Assistance claims. Initial claims increased over 100-fold from less than 5,000 claims per week in March 2020 to over 500,000 claims per week in April 2020.[2] This unprecedented volume created significant pressure on DEO, its employees, and technology.

To address the volume in the short term, DEO made substantial investments to manage and stabilize its legacy technology. In parallel, DEO initiated a two-year program that recognizes the compelling need and opportunity to continue its pre-COVID modernization effort via the Reemployment Assistance Claims and Benefits Information System Modernization Program (or "Program"). The Program is focused on building a flexible, scalable, secure, and user-friendly system that strengthens program integrity and accelerates Reemployment Assistance services across the State of Florida leading to enhanced citizen outcomes. [3]Additionally, this Program sets the foundation for continuous ongoing modernization for further improvements beyond the conclusion of the initial two-year effort.

The purpose of these Quarterly IV&V Assessment Reports is to outline the overall Program risk across a set of mutually agreed upon risk dimensions and categories.

IV&V Approach

Independent Verification and Validation (IV&V) services began on July 30, 2021, as part of the Reemployment Assistance Claims and Benefits Information System Modernization Program. IV&V services provide independent third-party monitoring focused on identifying and assessing risks which may impact the success of a program, and providing recommendations, or considerations, on how to mitigate and/or prevent risks moving forward.

DEO has established the following IV&V guidelines:

1. DEO will identify specific Program and project meetings to attend. The IV&V vendor will be an observer in meetings and not an active participant. Questions are reserved for clarification purposes.

2. The IV&V vendor will capture considerations to mitigate identified risks. This information will be provided to the DEO Program Leadership.

3. DEO will provide documentation and artifacts, including solicitations, it deems relevant for IV&V review. Documentation and artifacts will generally be penultimate or final drafts.

4. IV&V is not involved in project or Program change request reviews or analysis prior to DEO decisions. Only approved change requests are shared with the IV&V team. As a result, IV&V would identify observations or risks related to change requests after a DEO decision is made.

5. New IV&V observations should not typically be immediately added to and tracked using the risk register. Instead, such observations should be tracked separately and discussed with the

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[1] Vision and Mission, Florida Department of Economic Opportunity
[2] Improved Delivery of Reemployment Assistance Benefits – Final Report, ISF, February 18, 2021
[3] Reemployment Assistance Modernization, Florida Department of Economic Opportunity

DEO Program Leadership to gain greater clarity. Observations may be elevated to risks and conversely risks may be de-escalated to observations. In rare occasions, when a risk is urgent, i.e., the impact could be critical to the program or the likelihood is imminent, IV&V could raise risks directly into the risk register

6. The ISF Report recommended 15 baseline projects comprising the Reemployment Assistance Claims and Benefits Information System Modernization Program known as "program framework" which served as the baseline for enhancement and modernization and thereby the program boundaries for the IV&V. Change Request CR0001 (approved on January 24, 2022), which is associated with changes needed to re-baseline the Program Schedule, separated out the Business Process Optimization project from the CX/UX project, creating a 16th project (not including procurements listed as projects in the ISF report).

7. Any current state analysis or review of the foundational source code of the CONNECT Reemployment Assistance Claims and Benefits Information System is out of scope for the IV&V engagement.

The IV&V approach is evidence-based and leverages a comprehensive risk assessment framework for risk reviews organized across key dimensions and categories. Table 1 outlines the risk dimensions and categories used to assess the Reemployment Assistance Claims and Benefits Information System Modernization Program.

Table 1.   IV&V Risk Assessment Dimensions and Categories

Risk Assessment Dimension	Risk Assessment Categories	
Strategy and Business Value	• Business Strategy Alignment	• Benefits Realization
Governance	• Executive Support • Program Tracking • Communication and Collaboration	• Program Organization • Risk and Issue Management
Delivery Assurance	• Scope Management • Quality Assurance • Post Release Support	• Software Development Lifecycle • Mitigation and Release Strategy
Suppliers Management	• Sourcing Strategy and Contracts • Suppliers Knowledge Transfer	• Supplier Performance
Financials	• Financial Baseline • Financial Tracking	• Change Requests Estimation
People	• Program Organization Staffing • Training	• Organizational Change Management
Technology and Architecture	• Architecture and Design • Architecture Quality	• Architecture and Technical Governance • Data Management

2.0 Risk Assessment Summary

This quarterly assessment covers the reporting period beginning April 1, 2022 and ending June 30, 2022. Figure 1 summarizes the level of risk determined across the seven assessment dimensions described in Table 1.

Figure 1.   Reemployment Modernization Program Risk Heat Map

Strategy and Business Value	Governance	Delivery Assurance	Suppliers Management	Financials	People	Technology and Architecture

- 🟩 Low risk, minimal impact to program or project success if realized.
- 🟨 Medium risk, material impact to program or project success if realized and will require significant attention but may or may not impact the critical path, budget, or scope.
- 🟥 High risk, significant material impact expected to the critical path, budget, or scope if realized.

Key changes since prior quarterly report:

- The Delivery Assurance risk level increased from Medium risk to High risk because there are several projects impacted by delayed procurements, particularly the four-month SSI procurement delay. These projects are likely not able to execute as originally planned and will need to reevaluate their project schedules.

- The People risk level decreased from High to Medium risk due to mitigation steps, like remote work options, that have increased hiring levels. Additionally, there is more formal tracking of capacity plans for projects via ServiceNow. Despite the lower risk level, considering the Program timeframe and continued market conditions, managing people-related risks will continue to require special attention and monitoring.

- Remaining dimensions have the same risk rating as the previous Quarterly Assessment Report.

- Since the prior quarterly report, improvements in several areas resulted in the closing or lowering of associated risks. Requirements management has matured as Program leadership instituted a consistent process across all projects. Several program management processes have also improved, including resource management, program governance, and, in general, better consistency and communication across the Program. Refer to the risk register to review closed or lowered risks in these areas.

At present, there are three low risk dimensions with minimal impact to Program success if realized:

- **Strategy and Business Value** – A Program Strategy based on the February 2021 ISF Assessment Roadmap is in place. Benefits realization metrics are being defined by individual project managers to track progress and business value achieved by each project.

- **Technology and Architecture –** DEO has created a target architecture for the Reemployment Assistance Claims and Benefits Information System. The currently defined architecture is expected to evolve as the SSI continues to increase DEO's architectural staffing capacity.

- **Governance –** DEO and the SPO have defined governance structures at various levels including program and executive level governance and change control protocols. IV&V

continues to monitor the efficacy and application of these standards towards effective program and project decision making.

Note there is one high risk within the Governance dimension pertaining to the decision-making process around tooling procurements. This risk initially focused on a decision to delay tool recommendations in favor of more due diligence by the SSI vendor. The decision was made without a full understanding of impacts, particularly to project schedules. It remains open because the project schedules are still being replanned given preliminary tool recommendations. However, the impacts of this risk are aligned with Delivery Assurance (design and execution of projects to meet their objectives) and Supplier Management (the impact delays in procurement have on the Program). IV&V will continue to monitor all tooling decision-related risks, however Governance overall is Low risk.

There are two medium risk dimensions, where material impact to the Program is possible if risks are realized, but would not necessarily disrupt the overall implementation plan:

- **People –** DEO reports that all known resource staff needs are filled, however, the Program is likely to continue to experience significant resource challenges due to continued turnover and new significant resource needs that will be identified once procurement decisions have been made for the Rules Engine, SOA and API, Master Data Management, and CX/UX projects. DEO has taken impactful steps to respond to this risk; for example, DEO defined a remote working policy that is aimed at broadening the talent pool that DEO can leverage to fill open positions Information.

  Technology industry disruptions are a key driver of ongoing staffing challenges, namely higher turnover with existing DEO and Project Management staff, the accompanying loss of DEO experience and institutional knowledge, and increased labor market competitiveness, making it difficult to recruit qualified individuals into open roles.

  o Limited staff availability has impacted the Program, including delayed execution of Program mobilization activities. Certain projects were delayed because of staff unavailability.

  o The Strategic Planning Office (SPO) vendor has increased the number of project management staff resources over the past quarter. While unable to reduce overall risk, this has had a positive impact increasing project management capacity and discipline of the Program.

  o Resourcing to perform delivery work on projects and technology implementation remains a risk factor. DEO plans to continue to address this through project procurements and staff augmentation contracts. DEO has reported that:

    ▪ The Department continues to seek specialized IT talent through staff augmentation efforts and through procurements that require vendors to supply necessary talent. While the Department has seen some success from diverse talent acquisition methods, it continues to compete with global demand for these specialized skill sets.

    ▪ High demand in this industry has led to the inability to maintain or increase staffing levels due to more lucrative or flexible employment opportunities, or an opportunity to work with newer technology.

    ▪ High demand in this industry has also resulted in IT staffing agencies sending a similarly skilled individual to report to work, after the Department has extended an offer to another individual.

As projects continue to move into execution and schedules overlap more than previously anticipated, access to DEO staff will be increasingly important and any conflicts in availability will need to be actively managed. Considering the aggressive two-year program implementation timeframe, continued uncertainty in the labor market, and uncertainty regarding potential further Information Technology industry disruptions, managing people-related risks will require special attention and monitoring by DEO for the foreseeable future, even with a fully staffed Program.

- **Financials –** IV&V has raised concerns with project-level budget management. The process to manage Program and project finances continues to be revised within DEO. DEO has agreed to provide additional insight into month-over-month changes made to the spend plan moving forward, as the process for, and governance around, making changes is currently unclear. Project Managers with project-level budget management accountability have been trained on tracking project spend and the practice is being implemented. However, since several projects are actively redefining project scope and schedules, there is difficulty projecting overall program financials. DEO reports taking initial steps towards mitigating this risk.

There are two high risk dimensions, where significant material impact to the Program's critical path schedule, budget, and/or scope would be expected if these risks are realized:

- **Delivery Assurance** – This dimension has been raised as a High risk due to several delayed procurements, cascading from the four-month SSI procurement delay. Impacted projects are likely not able to execute as originally planned and will need to reevaluate their project schedules and scope. These delays should not impact the ability of the program to successfully meet its objectives, however, the timeline may need to be extended, or the scope of the program may need to narrow focus to only critical program objectives within the original timeline with secondary objectives being addressed over time through continuous modernization. In addition, while improvements have been made in requirements, testing, and technical documentation standards, they are still not fully implemented across projects. Progress has been made with the ServiceNow tool, which is now being effectively used to improve resource management and capacity analysis, task-level project interdependencies, and other program management activities.

- **Suppliers Management –** The SSI delay has impacted four subsequent procurements, which are now behind schedule.

  o The Rules Engine tool was originally anticipated to be procured in February 2022, and the SOA and API tool was originally anticipated to be procured in March 2022. These procurements are now being actively decided, as requirements have recently been sufficiently defined by DEO for the SSI to craft a recommendation. The delayed procurements could have a downstream impact on other dependent projects, particularly the CX/UX project, which notes the API layer as a prerequisite. These delays have been escalated to Program issues.

  o The SSI is also tasked with making recommendations for the procurement of the Master Data Management (MDM) and CX/UX tools. These tools are not officially late, as schedules have not been finalized for either project to indicate when the tool was expected to be implemented. However, the SSI had anticipated making recommendations for both tools in May and was not able to, due in part to delayed requirements which are now being finalized.

3.0 Risk Assessment Details

This section describes the specific risks behind the risk ratings provided in the previous section. The risks are organized into sub-sections, one for each of the risk dimensions. The following information is provided for each risk:

- **Risk Name –** each risk has been named to facilitate easy reference.

- **Applicability –** indicates which projects within the Program the risk applies to, or if the risk is Program-wide. See below Table 2 for more information on the projects that comprise the Reemployment Assistance Claims and Benefits Information System Modernization Program.

- **Date Identified –** specifies the initial date the risk was identified.

- **Previous Risk Rating –** shows how the risk was rated as of the previous quarterly report.

- **Current Risk Rating –** shows how the risk has been rated currently. See Figure 1 for risk rating definitions.

  - Where DEO has demonstrated it sufficiently mitigated a risk, the risk is marked "closed". Closed risks will only be listed in the quarter they were closed and will not appear in future quarterly reports unless it was necessary to reopen the risk.

- **Risk Description –** provides a brief, summary-level description of the risk.

- **Potential Impacts –** describes the potential impacts to the Program or project if the risk is realized. This content focuses on the most significant potential impacts.

- **Considerations –** provides options for DEO to consider regarding addressing or mitigating the risk.

- **Actions Taken by DEO –** summarizes key actions taken by DEO regarding the risk.

As indicated above, where risks are not Program-wide, the specific set of projects a risk applies to is indicated. DEO has identified the set of projects that comprise the Program. While some projects began earlier (such as Data Warehousing and Identity and Access Management for claimants), the Reemployment Assistance Claims and Benefits Information System Modernization Program mainly began in the summer of 2021. Over the last three months, DEO has focused on procuring imperative vendors, moving projects to the execution phase, and facilitating more in-depth project management via the ServiceNow tool. DEO adopted the February 2021 ISF Report and its Roadmap as the baseline strategy for the Reemployment Assistance Claims and Benefits Information System Modernization Program. Various Change Requests have been approved to realign original set of ISF projects (e.g., BPO as a separate project, which was originally part of the CX/UX project) and revise individual project schedules to reflect date changes brought about for various reasons as they differed from the ISF Report. Additional Change Requests are anticipated due to the delay in various vendor procurements.

The Reemployment Assistance Claims and Benefits Information System Modernization Program is comprised of sixteen projects (not including procurements listed as projects in the ISF report), ten of which are "Active and in Progress" with two additional projects scheduled to kick off in early July. DEO deems a project active when a Project Manager is assigned, and project teams have started to meet on a regular basis and are producing project-related deliverables. Table 2 below summarizes at a high-level the current state of projects and their status per DEO.

Table 2.   Reemployment Assistance Claims and Benefits Information System Modernization Projects and Status as of June 30, 2022

Project Category	Project Name	Project Status
Infrastructure	Cloud Migration (CONNECT to Cloud)	In Progress
	Cloud Application Performance Management	Scheduled to Kick Off in July
Software	Software Development Lifecycle (SDLC)	In Progress
	.NET and ORM Upgrade	In Progress
	SOA and API Layer	In Progress
	Rules Engine	In Progress
	CX/UX Mobile Responsive Software Transformation	Not Started
	Business Process Optimization	In Progress
	RA Help Center	Closed
Data and Analytics	Data Warehouse	Closed
	Reporting	In Progress
	Archive and Purge	Scheduled to Kick Off in July
	Master Data Management and Interoperability	In Progress
Security	Security Architecture Review Services	In progress
	Identity Management & Access Control	In Progress
	Security Architecture Audit Services	Not Started

3.1 Strategy and Business Value

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by DEO

Informal Benefits Realization Approach	Program	10/26/2021	Medium	Medium	A formalized benefits realization strategy and plan with clear metrics and progress towards a target benefits tracking approach is not yet in place.	• Challenges determining if an individual project, or the Program as a whole, achieved expected benefits, including those target benefits identified in the ISF report.
						• Without agreed upon key performance indicators (KPIs), stakeholders may have different views on the degree benefits were realized or not.
						• Decreased ability to identify opportunities to make in-flight adjustments to projects-based benefits realization monitoring.
						• Projects may be closed prematurely in cases where target benefits were not sufficiently achieved.
							• Develop a benefits realization strategy and management process, including:
							  • Defined set of target benefits for the Program.
							  • A benefits realization plan that details specific measures and monitoring processes.
							  • A process for reporting on progress towards target benefits to key stakeholders.
								• DEO is working on developing a benefits realization strategy including project level benefits definition.
								• Several projects including Business Process Optimization, CX/UX Mobile Responsive Software Transformation and Cloud Migration have developed benefits realization plans. DEO is reviewing these and plans to review the remaining projects' plans soon.

Dependency on Decisions Made for Enterprise-wide IAM (Identify and Access Management) Initiative	Identity Management and Access Control	10/27/2021	Low	Closed	There is an ongoing discussion on IAM fraud detection technology across the enterprise, beyond the Program.	• The future direction at the enterprise level could impact the IAM project for the Program. • The risk of a technology issue is minimal. However, there could be potential changes in processes, policies, and governance that could cause rework.	• Ensure RA Program and Enterprise architecture teams are closely aligned in determining requirements for the IAM tool.	• DEO has determined that the Reemployment Assistance Claims and Benefits Information System Modernization Program will complete the procurement of the enterprise wide IAM tool including the services to install and configure the tool. Requirements for the enterprise beyond the Program will be taken into consideration as the procurement is completed. With this change of scope, there are no dependencies between the Program and the enterprise wide IAM initiatives, so IV&V is closing this risk.

3.2 Governance

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by DEO
Governance regarding the procurement related decisions, and decision-making process, are unclear	**Program**	5/18/2022	N/A	**High**	The governance regarding the selection of tools is not fully formalized. This risk is two-fold: the decision-making process and evaluation criteria to make decisions on the recommendations given by the SSI is loosely defined. Additionally, the governance process around when and how those recommendations will be delivered to DEO may have included decisions made without a full understanding of the impact.	• Inadequately defined governance in this case could cause selection of the incorrect tool or tool procurement delays and that impact project schedules / quality.	• Tooling decision-making governance could be formally structured with clear roles and responsibilities, RACIs and a clear decision-making process to encourage timely and effective decision making. Full impact of decisions should be understood and documented.	• DEO assembled a decision-making team comprised of management, technical, architecture, and business resources to review analysis supplied by the SSI, however there was confusion around the decision making and tracking processes. • DEO and the SSI vendor worked closely to understand what requirements would need to be in place to make a tooling recommendation and identified any gaps in the requirements. • SPO reports that tooling recommendations have been made for the SOA / API layer and Rules Engine projects with work underway regarding the CX/UX tool procurement.
Program Governance Structure	**Program**	9/21/2021	Low	Closed	There was not a formal program governance structure in place that clearly defines the roles and responsibilities for DEO-business, DEO-IT, and vendor stakeholders with a clear RACI model[1] for various program decisions.	• Inadequate governance, caused by poor engagement from business and IT stakeholders and unclear decision rights, is one of the leading causes for numerous large and complex government projects to fail.	• Program governance could be formally structured with clear roles and responsibilities, RACIs and regular touch points with senior business and IT DEO stakeholders to encourage timely information sharing and decision making.	• DEO and the SPO have defined governance structures at various levels including program and executive level governance and change control protocols. • DEO has defined roles and noted them throughout the Program Management Plan, SOPs, and other documentation. • Considering these standards have been stood up, IV&V closed the risk and continues to monitor the efficacy and application of these standards towards effective program and project decision making.

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[1] "A RACI model is a responsibility assignment tool that describes how the roles of those involved in the project or program participate in the completion of tasks or deliverables. RACI stands for "responsible, accountable, consulted and informed," which are different roles that stakeholders could have (see Tool: RACI Matrix for TMS Implementation)."

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by DEO
Delays in Change Request CR0006	**Program**	6/17/2022	**N/A**	**Closed**	The amount of change included as part of Change Request CR0006 is significant and growing, the review and discussion has been repeatedly delayed from the original date of May 4 (now scheduled for June 22nd).	• Until the Change Request is approved, the schedules are not up-to-date. This makes it impossible to tell if the project is on schedule. Impact of changes to the projects is unknown and the overall impact is considerable (5 of 19 project).	• The PM could look to update the project schedule that aligns with the project delays and analyze the impact of these delays.	• DEO limited the scope of CR0006 to the SDLC and Security Architecture projects and it was approved. • The remainder of the required changes for MDM, Rules Engine, and SOA/API layer projects will be included within CR0008, which is currently in progress.

3.3 Delivery Assurance

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by DEO
Business and Technical documentation	**Program**	9/21/2021	Low	**Medium**	Interviews with DEO stakeholders highlighted obsolete technical design and business process documentation.	• Obsolete documentation can lead to a high degree of technical debt. • Additionally, lack of up-to-date documentation could impact business and technical knowledge transfer between vendors and program resources.	• DEO could institute new policies and procedures to create a baseline of updated business and technical documentation and a discipline for maintaining system artifacts.	• DEO has shared that they have added a mandatory step for business and technical documentation and are working on formalizing the process. • The implementation of this formalized process has been delayed since an original internal deadline of April. • The DEO team has been trained on how to update the new technical documentation template and is phasing in completing the required technical documentation. • DEO has shared that the SSI and BPO vendors will work together on addressing the business aspect of this risk by developing to-be processes and requirements.
Missing Program-Wide Testing Strategy	**Program**	4/14/2022	N/A	**Medium**	Detailed testing strategy for the program is not yet formalized despite several projects being well under way.	• Lack of defined testing strategy for the project could lead to inconsistent understanding of testing practices that projects should follow at a minimum scope of various testing types and thus could impact the program's quality and overall timeline.	• DEO could look to develop a detailed testing plan.	• A new resource was hired mid-April to assist with the effort of documenting a Program-wide testing strategy. • DEO is actively working on a SOP for testing and finalization is expected by the end of July. Once finalized, the SOP is expected to be used on remaining projects. • Testing for in-flight projects will proceed without the SOP under management supervision.

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by DEO
Testing strategy for .NET and ORM Upgrade not fully formalized	**.NET and ORM Upgrade**	2/21/2022	**Low**	**Low**	Testing strategy for the .NET and ORM Upgrade project has not been fully formalized even though different parts of the project have been highlighted as done or in progress.	• Lack of defined testing strategy for the project could lead to inconsistent understanding of testing requirements, scope of various testing types and thus could impact the project timeline.	• DEO could look to formalize its testing strategy and related processes for all active projects including .NET and ORM Upgrade.	• The project team reported that while they have a good understanding of the testing requirements, this has not yet been documented into a formal plan. • DEO has conducted program-wide testing discussions with project managers and other stakeholders, to formalize testing artifacts across the program. • Testing documentation for .NET was recently completed and provided to IV&V for review while the ORM testing documentation remains in-progress.
The scope of the Rules Engine Project is being defined while the project is in progress	**Rules Engine**	2/28/2022	**Low**	**Low**	The scope of the Rules Engine Project is not well defined. The scope is being defined while project work begins.	• It is difficult to hold the project team accountable and/ or declare success without a well-defined scope.	• The project team could work with the Program Leadership to define the scope of the project. This does not mean that the scope can and should not change, but rather that the project team is able to hold themselves and others accountable to strategic scoping decisions.	• Per the project activities mentioned in the ISF Report, DEO is actively defining the scope of the Rules Engine project, though the project is active. • Defining scope while the project is in progress makes it challenging to track project progress. • A decision was made that the project will not require all rules be loaded into the Rules Engine. • DEO is actively evaluating the individual rules within the rule sub-sets that were identified as being in-scope, IV&V has not yet seen documentation of the in-scope rules.
Testing strategy for C2C not fully formalized	**C2C**	5/16/2022	**N/A**	**Low**	A mid-May status meeting highlighted that the scope for DevOps UAT testing within the C2C project was undefined and the team was not sure about what needed to be tested, environment readiness, etc.	• Lack of defined testing strategy for the project could lead to inconsistent understanding of testing requirements, testing objectives and potentially impact the testing tasks' / dependent tasks' timeline.	• C2C could look to define the overall testing scope for this project and subsequently document this in a test plan / strategy artifact for the project and in the overall project schedule in ServiceNow.	• The PM completed a test plan for the C2C and Genesys project and is working on test plans for all other components. • However, the current version of the C2C and Genesys test plans are missing crucial elements including defined entry/exit criteria, definition of what is to be included in test results, key metrics, and roles and responsibility of test case development and defect triaging.

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by DEO
SDLC project delays	**SDLC**	6/9/2022	N/A	Low	Per the SDLC project schedule in ServiceNow, certain activities are delayed and the project may not meet its initial proposed close-out date of June 30th.	• This delay could impact dependent projects and the budget of the SDLC project.	• The PM could look to update the project schedule that aligns with the project delays and analyze the impact of these delays.	• The SDLC projects scope was adjusted to include the integration of ServiceNow and DevOps. • The project was also delayed due to difficulty hiring a DevOps engineer. This resource has now been hired and onboarded. • The project's scope change and a two-month extension to project schedule has been included in a recently approved Change Request and IV&V will continue to monitor as project management plans are developed.
Missing Program-Wide Resource Capacity Plan	**Program**	3/28/2022	Medium	Closed	Detailed resource capacity plan for the program is not yet formalized.	• As the program progresses it will be imperative to plan the use of shared resources. Not doing so could impact the overall program schedule. • By comingling the development of the resource plan with the development of the resource management tool, DEO could be missing a key piece to understanding the impact of project timeline and scope changes on resources. • While DEO plans to leverage ServiceNow for resource tracking and capacity analysis, the tool is not expected to serve as a Resource Capacity Planning tool.	• DEO could look to develop a detailed resource capacity plan (different from a capacity management tool, such as ServiceNow).	• DEO has begun tracking Resource Capacity and Staff Planning via ServiceNow to identify overutilized resources. ServiceNow can only track resources with an active directory account, therefore DEO has begun tracking open roles and capacity demands via a spreadsheet. • Weekly resource capacity review meetings to discuss overutilized resources have been established. A reporting feature shows overutilized resources, in conjunction with manual review. • Project Managers have been instructed to talk about upcoming resource needs with their teams on a weekly basis. • Due to these mitigation efforts, IV&V is closing this risk.
Missing Program-Wide detailed schedule	**Program**	3/15/2022	Low	Closed	Detailed schedule for the program is not yet formalized, despite having been well into the program for the last several months.	• It is difficult to hold project teams accountable and/ or monitor schedule variance, resource constraints, and interdependencies without a well-defined program schedule.	• DEO could look to develop a detailed project schedule with milestones, deliverables, timelines, etc.	• In lieu of a single integrated Program-wide detailed schedule, multiple project-specific schedules have been developed and inputted into the ServiceNow tool. • IV&V has been provided access to the project-specific schedules on ServiceNow & continues to monitor, therefore this risk has been closed.

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by DEO
Requirements are not consistently being defined at the appropriate level of quality	**Program**	5/10/2022	**N/A**	**Closed**	Requirements Traceability Matrix (RTMs) were expected to be completed by May 2nd. Projects that are well within the execution phase have RTMs at different stages of definition and those that are available are not defined with a consistent level of quality and detail that is sufficient for the project.	• Missing or insufficient requirements could lead to lack of well-defined scope and poor project quality deliverables.	• DEO could work to define and communicate expectations for RTMs to all Projects and ensure best practice is being followed. Additionally ensuring Business and Technical authorities that could sign off on the quality of these RTMs.	• DEO Leadership worked with several projects to review what the requirements should look like. Although not all requirements have been completed, a consistent process is being followed across all projects and so this risk has been closed.
Confusion around the scope and business stakeholders for MDM continues	**MDM**	5/17/2022	**N/A**	**Closed**	Week over week, project status meetings highlight that there continues to be confusion around scope among key stakeholders for this project.	• The lack of clarity around scope and key stakeholder groups could impact the MDM project's execution in terms of waste of resources, schedule delays and failure to meet project objectives.	• The project team could work with the Work Group to clarify the scope and the necessary stakeholder representatives for the MDM project. This does not mean that the scope can and should not change, but rather that the project team is able to hold themselves and others accountable to strategic scoping decisions.	• The Project Manager met with IV&V and confirmed that the MDM scope is stable, and all stakeholders understand the scope. IV&V has subsequently closed this risk.

3.4 Suppliers Management

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by DEO
Delay in contract execution for the Systems Integrator	**Program**	1/19/2022	**High**	**High**	Given contract execution for the Systems Integrator vendor was delayed by 4 months. The Program might need to extend timelines or adjust scope to meet objectives.	• Delays in the SSI procurement will impact the start of dependent projects such as Rules Engine, SOA and API Layer and indirectly on the BPO project as well as those that have a dependency on these projects (per the ISF report). • These delays should not impact the ability of the Program to successfully meet its objectives, however, the timeline may need to be extended, or the scope of the program may narrow focus to only primary program objectives within the original timeline with secondary objectives being addressed over time through a continuous improvement approach.	• DEO could continue to analyze the impact of delays due to onboarding the SSI vendor on the program and dependent projects.	• System and Software Integration project kicked off in April 2022. • The SSI vendor has performed various tasks to shed light on impacts to critical paths including workshops for technical requirements and preliminary recommendations for future procurements.
Rules Engine Procurement Delay	**Rules Engine**	2/8/2022	**Medium**	**Medium**	The Rules Engine kick off deck highlights a procurement of a Rules Engine product by 2/28. The risk was originally raised to show a delay in the procurement timeline based on the delayed onboarding of the SSI, who is making the tooling recommendations. The SSI has onboarded, but a delay in requirements gathering has caused further delay to this procurement.	• Delays in the Rules Engine procurement will impact the project schedule and may impact any dependent projects.	• DEO could continue to analyze the impact of delays in procuring Rules Engine on the Program and component projects. Given delays, there is the likely need for project schedules to be adjusted.	• SSI vendor has been onboarded and is supporting the development of requirements for the business Rule Engine. • DEO expects to finalize business Rule Engine requirements and initiate procurement in the July / August timeframe.

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by DEO
API Procurement Delay	SOA and API Layer	3/1/2022	Medium	Medium	The SOA and API layer kick off deck highlights a procurement of an API layer product by 3/14. The risk was originally raised to show a delay in the procurement timeline based on the delayed onboarding of the SSI, who is making the tooling recommendations. The SSI has onboarded, but a delay in requirements gathering has caused further delay to this procurement.	• Delays in the API layer Enterprise Service Bus (ESB) product procurement will impact the project schedule and may impact any dependent projects.	• DEO could continue to analyze the impact of delays in procuring API layer ESB product on the program and component projects. Given delays there is the likely need for project schedules to be adjusted.	• SSI vendor has been onboarded and is supporting the development of requirements for the API layer Enterprise Service Bus (ESB) product. • DEO expects to finalize requirements and initiate procurement in the July/ August timeframe. • The project team began developing recommendations for the Work Group regarding the number of interfaces that will be included in the project scope, which will help define the procurement scope.
Tooling recommendations based on preliminary requirements	SSI, SOA and API Layer & Rules Engine	5/3/2022	N/A	Low	Tooling recommendations for Rules Engine and SOA and API product are based on the preliminary requirements defined in the Statement of Work that may or may not fully reflect all of DEO's requirements (business and technical) for these tools.	• This could lead to procurement of a tool that is not the best fit to address DEO's needs.	• Validation of requirements for the Rules Engine and SOA/ API should be detailed enough to support procurement of these tools.	• DEO decided that procurement recommendations for Rules Engine and SOA and API will be delayed until SOW requirements have been validated. • DEO is working to review tooling requirements and proceed with procurement recommendations in the July/ August 2022 timeframe.
Delay in contract execution for the Security Architecture Review vendor	Security Architecture Review	1/18/2022	Medium	Closed	DEO anticipates a delay in contract execution for Security Architecture Review Vendor.	• Delays in contract execution can impede the Security Architecture Review project's schedule and thereby its progress.	• Delays in contract execution can impede the Security Architecture Review project's schedule and thereby its progress.	• Contract with vendor for the Security and Architecture Review project was executed. • Schedule has been approved and the Security and Architecture Review project is currently executing against project tasks, thus closing this risk.

3.5 Financials

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by DEO
Project-based budget tracking has not been communicated to Project Managers	**Program**	3/24/22	**Medium**	**Medium**	Detailed communication and training regarding how project managers should track project spend has not been provided, despite several projects being well into the execution phase.	• Delays in communication impacts the cohesive understanding of the Program's financial management plan and could cause confusion and re-work.	• DEO could look to develop a detailed project budget training plan.	• In January, DEO reported that encumbered funds would be designated to and managed by Project Managers, while the overall program budget will be managed by the CFO. • DEO Program Leadership has worked to identify a process for Project Managers to follow. The ServiceNow Lead and Finance Team hosted a project spend planning meeting and provided instructions to the Project Managers about how to input spend into ServiceNow, focusing on resources and contracted deliverables. IV&V will continue to monitor this risk as the process is implemented.
Reporting Project may run out of contract hours for project	**Reporting**	4/19/2022	**N/A**	**Closed**	Project Manager raised that it is unclear if there will be money available for this vendor for project work.	• Budget issues could impact the scope or timeline of the Reporting project or future projects.	• DEO could understand the impact of the additional project hours needed and discuss with leadership if there is a need for tapping contingency / buffer program spend.	• DEO examined the budgeted resources within the RA Modernization Program and has worked with the Project Manager to identify, on a resource-by-resource basis, which resources will be funded via the Program and which will be paid outside of the modernization efforts.

3.6 People

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by DEO
Program Resources	**Program**	9/21/2021	**High**	**Medium**	• DEO has faced high staff turnover and continues to face challenges in hiring, onboarding, and retaining new resources both on IT and Business side. • While some projects continue to be impacted by resource shortages, the majority of projects are not currently delayed due to staffing issues.	• Delays in having adequate and skilled resources will impede Program/project progress. • In other cases, it can cause team members to be overworked and lead to turnover.	• To promote staff retention and effectively manage a remote workforce, DEO could develop employee engagement policies and create opportunities for project team members to connect and communicate regularly. • Clarifying project tasks and timelines can help add structure to project delivery. • Per best practices, it would be beneficial to scale up project-level resource forecasts at the Program-level and compare it with other competing initiatives. This will help identify resource dependencies and define an effective resource sharing and capacity plan. • DEO could look to develop alternate resource plans (for example, outsourcing, staff augmentation strategies with third parties, or insourcing from other parts of DEO by running significant efforts already underway in parallel.)	• Recruitment and retention of staff continue to be a priority for the Program. • DEO produces charts and other quantifiable evidence to show staffing progress at the Program level. • DEO defined a remote working policy that is aimed to broaden the talent pool that the Program could leverage to fill open positions. • Strategic Planning Office (SPO) vendor has increased the number of project management staff resources over the past quarter. • New resources have been onboarded included a DevOps engineer and a technical writer for the SDLC project.

3.7 Technology and Architecture

No open risks are identified as of the July 2022 Quarterly Report.