

Prepared for
**Florida Department of
Economic Opportunity**

**April 2022 Quarterly IV&V
Assessment Report**

**For period beginning January 1, 2022,
and ending March 31, 2022**

DRAFT DOCUMENT

Table of Contents

1.0 Introduction 2

2.0 Risk Assessment Summary 4

3.0 Risk Assessment Details..... 7

 3.1 Strategy and Business Value9

 3.2 Governance 10

 3.3 Delivery Assurance 11

 3.4 Suppliers Management 14

 3.5 Financials..... 16

 3.6 People..... 17

 3.7 Technology and Architecture..... 18

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

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	<ul style="list-style-type: none"> • Business Strategy Alignment 	<ul style="list-style-type: none"> • Benefits Realization
Governance	<ul style="list-style-type: none"> • Executive Support • Program Tracking • Communication and Collaboration 	<ul style="list-style-type: none"> • Program Organization • Risk and Issue Management
Delivery Assurance	<ul style="list-style-type: none"> • Scope Management • Quality Assurance • Post Release Support 	<ul style="list-style-type: none"> • Software Development Lifecycle • Mitigation and Release Strategy
Suppliers Management	<ul style="list-style-type: none"> • Sourcing Strategy and Contracts • Suppliers Knowledge Transfer 	<ul style="list-style-type: none"> • Supplier Performance
Financials	<ul style="list-style-type: none"> • Financial Baseline • Financial Tracking 	<ul style="list-style-type: none"> • Change Requests Estimation
People	<ul style="list-style-type: none"> • Program Organization Staffing • Training 	<ul style="list-style-type: none"> • Organizational Change Management
Technology and Architecture	<ul style="list-style-type: none"> • Architecture and Design • Architecture Quality 	<ul style="list-style-type: none"> • Architecture and Technical Governance • Data Management

2.0 Risk Assessment Summary

This quarterly assessment covers the reporting period beginning January 1, 2022, and ending March 31, 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



- 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 Governance risk level decreased from Medium risk to Low risk due to processes and standards that have been put in place for the Program; IV&V continues to monitor use and effectiveness of these governance processes.
- The Financial risk level increased from Low risk to Medium risk due to the lack of communication to Project Managers, who would be accountable for project-level budget management, regarding processes to manage encumbered project funds.
- The Delivery Assurance risk level increased from Low risk to Medium risk due to delayed or missing Program-wide schedule, resource capacity planning, and testing strategy.
- The Suppliers Management risk level increased from Low risk to High risk due to four delayed procurements.
- Remaining dimensions have the same risk rating as the previous Quarterly Assessment Report.

At present, there are three low risk dimensions where no major risks were identified:

- **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 there is an increase in architectural staffing capacity with the SSI onboarding in April 2022.
- **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.

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:

- **Delivery Assurance** – With the onboarding of the Strategic Planning Office (SPO) vendor, DEO has instituted core project management practices, including project documentation creation in line with 60GG standards. Processes to create and maintain technical documentation have been defined but are not yet implemented. Testing strategy is being formalized but is not yet in place for projects that are well underway. There is not yet a detailed program schedule or resource capacity plan; both of which DEO deems dependent on the implementation of the ServiceNow tool. Work is being done to define the Rules Engine Scope.
- **Financials** – IV&V has raised concerns with project-level budget management. Project Managers with project-level budget management accountability have not yet been advised or trained on tracking project spend. This, coupled with the fact that several projects are actively redefining project scope, leads to difficulty projecting overall program financials and increased possibility of risk realization. DEO is 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:

- **People** – The Program initially and continuously experiences resourcing challenges. At present there are still a significant number of roles unfilled for qualified full-time employees, staff augmentation, or a combination. Information Technology industry disruptions are a key driver of these 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 more difficult to recruit qualified individuals into open roles. DEO defined a remote working policy that is aimed to broaden the talent pool that DEO could leverage to fill open positions.
 - Limited staff availability has impacted the Program, including delayed execution of Program mobilization activities. Certain projects have been delayed as a result of staff unavailability.
 - The onboarding of the Strategic Planning Office (SPO) vendor and their project management staff resources in December 2021, while unable to reduce overall risk on their own, has had a positive impact increasing project management capacity and discipline of the Program.
 - Project Manager turnover in the last quarter has caused a delay in projects (for example, Master Data Management and Interoperability and SOA and API Layer). It is not yet clear if these delays will impact the overall project timelines.
 - Resourcing to perform delivery work on projects and technology implementation remains a significant risk factor. DEO plans 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.

Considering the aggressive, but achievable, 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 after fully staffing the Program.

- **Suppliers Management** – Four major procurements that are critical to the Reemployment Assistance Claims and Benefits Information System Modernization Program are significantly delayed, which may impact the overall program schedule.
 - The Security Architecture Review (SAR) Vendor and the System and Software Integrator (SSI) Vendor were both anticipated to be onboarded in January.
 - The SSI is onboarding in the beginning of April.
 - The Security Architecture Review vendor has not been contracted or onboarded as of the end of March.
 - Two other procurements (the Rules Engine and SOA and API layer tools) are dependent on the SSI vendor onboarding; and both have been delayed by more than two months because of the SSI vendor delay.
 - In the past quarter, these delays have been escalated to Program issues due to the impact on dependent project and potentially overall Program timelines.
 - The impact of these procurement delays to individual projects will be further analyzed once the SSI and SAR vendors are onboarded.

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 16 projects (not including procurements listed as projects in the ISF report), nine of which are “Active and in Progress”. 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 March 31, 2022

Project Category	Project Name	Project Status
Infrastructure	Cloud Migration (CONNECT to Cloud)	In Progress
	Cloud Application Performance Management	Not Started
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
	Archival and Purge	In Progress
	Master Data Management and Interoperability	On Hold pending new PM onboarding & assigned
Security	Security Architecture Review Services	On hold pending procurement of vendor
	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.	<ul style="list-style-type: none"> 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. 	<ul style="list-style-type: none"> Develop a benefits realization strategy and management process, including: <ul style="list-style-type: none"> 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. 	<ul style="list-style-type: none"> DEO is working on developing a benefits realization strategy, including project level benefits definition. Several internal DEO meetings have been conducted to review these project benefits. Once approved, DEO will send benefits documents to IV&V to review the Program's mitigation actions for this risk.
Dependency on Decisions Made for Enterprise-wide IAM (Identify and Access Management) Initiative	Identity Management and Access Control	10/27/2021	Low	Low	Interviews with DEO stakeholders highlighted there is an ongoing discussion on IAM fraud detection technology across the enterprise, beyond the Program.	<ul style="list-style-type: none"> While this conversation is still in early stages, any 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. 	<ul style="list-style-type: none"> DEO could define the strategy for enterprise IAM to track alignment with the current initiative. Ensure DEO leadership and Architecture teams are closely involved in the enterprise wide IAM decisions. 	<ul style="list-style-type: none"> DEO initiated several identity management and access control initiatives ahead of the scheduled start date of the IAM project. An enterprise solution has been selected but not yet implemented. The second phase of the IAM project was kicked off, with a focus on employee roles. DEO continues to contemplate an enterprise-wide identity management and access control initiative; due to the unique nature and needs of each programmatic area within DEO, these enterprise-wide efforts are not considered a risk to the Reemployment Assistance Claims and Benefits Information System Modernization Program. DEO to continue to monitor the risk.

3.2 Governance

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by DEO
Program Governance Structure	Program	9/21/2021	Medium	Low	There isn't 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.	<ul style="list-style-type: none"> 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. 	<ul style="list-style-type: none"> 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. 	<ul style="list-style-type: none"> DEO and the SPO have defined governance structures at various levels including program and executive level governance and change control protocols. Considering these standards have been stood up, IV&V reduced the risk rating from Medium to Low and continues to monitor the efficacy and application of these standards towards effective program and project decision making.

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](#))."

3.3 Delivery Assurance

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by DEO
Missing Program-Wide Resource Capacity Plan	Program	3/28/2022	N/A	Medium	Detailed resource capacity plan for the program is not yet formalized.	<ul style="list-style-type: none"> 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. 	<ul style="list-style-type: none"> DEO could look to develop a detailed resource capacity plan (different from a capacity management tool, such as ServiceNow). 	<ul style="list-style-type: none"> SPO expects to be able to track resources via the ServiceNow tool by end of April.
Business and Technical documentation	Program	9/21/2021	Low	Low	Interviews with DEO stakeholders highlighted obsolete technical design and business process documentation.	<ul style="list-style-type: none"> 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. 	<ul style="list-style-type: none"> DEO could institute new policies and procedures to create a baseline of updated business and technical documentation and a discipline for maintaining system artifacts. 	<ul style="list-style-type: none"> 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 until mid-April, and IV&V will continue to monitor.

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	N/A	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.	<ul style="list-style-type: none"> 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. 	<ul style="list-style-type: none"> DEO could look to formalize its testing strategy and related processes for all active projects including .NET and ORM Upgrade. 	<ul style="list-style-type: none"> The project team reported that while they have a good understanding of the testing requirements, this has not been documented into a formal plan. Testing plan and reports are expected to be published for .NET and ORM Upgrade from April onwards. In the meanwhile, SPO has begun program-wide testing discussions with project managers and other stakeholders, to formalize testing artifacts across the program.
The scope of the Rules Engine Project is being defined while the project is in progress	Rules Engine	2/28/2022	N/A	Low	The scope of the Rules Engine Project is not well defined. The scope is being defined while project work begins.	<ul style="list-style-type: none"> It is difficult to hold the project team accountable and/ or declare success without a well-defined scope. 	<ul style="list-style-type: none"> 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. 	<ul style="list-style-type: none"> Per the project activities mentioned in the ISF Report, DEO is actively defining the scope of the Rules Engine project while being active. However, this makes it challenging to track project progress without a well-defined scope. SPO shared that the Rules Engine project targets to complete rules scope definition by end of March. IV&V waiting to receive this analysis to review the project scope.
Missing Program-Wide detailed schedule	Program	3/15/2022	N/A	Low	Detailed schedule for the program is not yet formalized, despite being well into the program for the last several months. IV&V, DEO, and SPO had discussed that this should be done in the middle of March at the latest.	<ul style="list-style-type: none"> It is difficult to hold project teams accountable and/ or monitor schedule variance, resource constraints, and interdependencies without a well-defined program schedule. 	<ul style="list-style-type: none"> DEO could look to develop a detailed project schedule with milestones, deliverables, timelines, etc. 	<ul style="list-style-type: none"> Program wide detailed schedule is reported to be soon completed. The Program team is awaiting information on few individual project schedules. Once completed, this will be shared with IV&V for review and ongoing analysis

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by DEO
Project charters and plans with detailed schedules	Program	9/21/2021	Low	Closed	Project charters that clearly articulate the scope, detailed activities and/or associated timelines, are not fully developed. There is a lack of evidence around coordination and dependency management that is needed between projects and the overall program.	<ul style="list-style-type: none"> Lack of a detailed program plan and schedule doesn't allow for accurate scope or schedule tracking. It may result in an incomplete picture of completed work. Additionally, limited dependency management could cause project delays and inhibit projects from achieving their intended benefits. 	<ul style="list-style-type: none"> Develop detailed project charters with scope, objectives, benefits, milestones, deliverables, timelines, etc. along with a coordinated overall program view of projects and their dependencies. 	<ul style="list-style-type: none"> The project teams have begun to formally create project artifacts in line with 60GG guidelines and requirements. These project artifacts are being shared with IV&V for the active projects. Hence, this risk has been closed.
Missing Reporting Schedule	Reports	3/8/2022	N/A	Closed	Detailed schedule for the Reports project is not yet formalized, despite being well into the project for the last several months.	<ul style="list-style-type: none"> It is difficult to hold the project team accountable and/ or monitor schedule variance without a well-defined project schedule. 	<ul style="list-style-type: none"> DEO could look to develop a detailed project schedule with milestones, deliverables, timelines, etc. 	<ul style="list-style-type: none"> A detailed project schedule for the Reports project was added to the shared drive, effectively closing 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	N/A	High	DEO anticipates a delay in contract execution for the Systems Integrator vendor. This will impact dependent projects.	<ul style="list-style-type: none"> 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). 	<ul style="list-style-type: none"> IV&V to understand the amount of contingency built in the Program schedule to further analyze the impact on the program and project's critical paths. If delays impact schedule changes, the project schedules would need to be updated. 	<ul style="list-style-type: none"> Despite procurement delays, vendor evaluations have been completed and an SSI vendor has been recently selected. Vendor onboarding began in early April, with the SSI Project Kickoff scheduled for April 14th. However, SSI procurement have caused delays in dependent projects such as Rules Engine and SOA and API Layer. As a result, this risk was escalated to a program issue.
Delay in contract execution for the Security Architecture Review vendor	Security Architecture Review	1/18/2022	N/A	Medium	DEO anticipates a delay in contract execution for Security Architecture Review Vendor.	<ul style="list-style-type: none"> Delays in contract execution can impede the Security Architecture Review project's schedule and thereby its progress. 	<ul style="list-style-type: none"> DEO could look to speed up vendor onboarding by collecting / documenting preparatory and transition documents. DEO could analyze to see if there was any contingency to the contract execution date. If not, the PM could look to update the project schedule that aligns with the project delays. 	<ul style="list-style-type: none"> Vendor evaluations for the Security Architecture review vendor have been underway at DEO. However, subsequent delays of more than three months in procuring this vendor has led to escalation of this risk to a program issue.
Rules Engine Procurement Delay	Rules Engine	2/8/2022	N/A	Medium	The Rules Engine kick off deck highlights a procurement of a Rules Engine product by 2/28. DEO will rely on the SSI to assist with developing requirements for this procurement; the SSI will be onboarded after 2/28, thus causing a delay in the Rules Engine vendor procurement.	<ul style="list-style-type: none"> Delays in the Rules Engine procurement will impact the project schedule and may impact any dependent projects. 	<ul style="list-style-type: none"> DEO could look to speed up vendor onboarding by collecting / documenting preparatory and transition documents. DEO could analyze to see if there was any contingency to the contract execution date. If not, the PM could look to update the project schedule that aligns with the project delays. 	<ul style="list-style-type: none"> This procurement delay is a result of the SSI delay and was raised as a program issue. DEO anticipates adding this procurement deliverable as a high priority for the SSI vendor, anticipated to onboard in April.

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by DEO
API Procurement Delay	SOA/API Layer	3/1/2022	N/A	Medium	The SOA API layer kick off deck highlights a procurement of an API layer (ESB) product by 3/14. DEO will rely on the SSI to assist with developing the requirements for this procurement; the SSI will be onboarded after 3/14 thus causing a delay in the SOA API vendor procurement.	<ul style="list-style-type: none"> Delays in the SOA API procurement will impact the project schedule and may impact any dependent projects. 	<ul style="list-style-type: none"> DEO could look to speed up vendor onboarding by collecting / documenting preparatory and transition documents. DEO could analyze to see if there was any contingency to the contract execution date. If not, the PM could look to update the project schedule that aligns with the project delays. 	<ul style="list-style-type: none"> This procurement delay is a result of the SSI delay and was raised as a program issue. DEO anticipates elevating this procurement deliverable as a high priority for the SSI vendor, anticipated to onboard in April.
Oracle 19C Upgrade	Cloud Migration	10/26/2021	Low	Closed	Interviews with DEO stakeholders highlighted that the CONNECT to Cloud project is dependent on the Oracle 19C Upgrade before migrating applications to the cloud.	<ul style="list-style-type: none"> Any delays in an upstream initiative could impact the project schedule or delivery of the Cloud Migration project. 	<ul style="list-style-type: none"> The project plan could include the dependency constraint on the Oracle 19C Upgrade. DEO could ensure close collaboration between project managers and leads for each of the initiatives to monitor the execution and any delays. 	<ul style="list-style-type: none"> DEO shared that the upgrade to Oracle 19c is complete, effectively 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	N/A	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.	<ul style="list-style-type: none"> Delays in communication impacts the cohesive understanding of the Program's financial management plan and could cause confusion and re-work. 	<ul style="list-style-type: none"> DEO could look to develop a detailed project budget training plan. 	<ul style="list-style-type: none"> 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 and has scheduled a meeting to roll it out. Once rolled out, the process will be shared with IV&V for review.

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	High	DEO has faced high staff turnover and continues to face challenges in hiring, onboarding, and retaining new resources both on IT and Business side.	<ul style="list-style-type: none"> 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. 	<ul style="list-style-type: none"> 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.) 	<ul style="list-style-type: none"> DEO will use vendors to fill staffing gaps. The SPO was onboarded in December, which has increased the number of Project Managers. Staffing gaps also remain regarding technical delivery of the project. For example, DevOps engineer for the SDLC DevOps project. Despite delays, a System and Software Integrator vendor will be onboarded in April 2022. DEO is expecting the System Integrator to help fill delivery resource gaps. DEO defined a remote working policy that is aimed to broaden the talent pool that DEO could leverage to fill open positions. DEO produces charts and other quantifiable evidence to show staffing progress at the Program level. Staffing progress at the project level is not yet available. Project Manager turnover has caused a delay in a few projects (for example, MDM and Interoperability and SOA and API Layer). It is not yet clear if the delays will impact the overall project timelines.

3.7 Technology and Architecture

Risk Name	Applicability	Date Identified	Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by DEO
Communication Around CONNECT Target State	Program	10/27/2021	Low	Closed	Interviews with DEO stakeholders highlighted a lack of clarity around CONNECT target state architecture and roadmap.	<ul style="list-style-type: none"> Lack of a clear roadmap could lead to uncertainty around how the CONNECT landscape would react to the addition of various components introduced during the Program. 	<ul style="list-style-type: none"> DEO could define a target state for the CONNECT application landscape and conduct ongoing Architectural Review Board meetings to ensure any system changes are in line with the overall target state vision for CONNECT. 	<ul style="list-style-type: none"> DEO shared Change Advisory Board, Architecture Team and Benefit Systems Cloud Roadmap, which have been reviewed by IV&V. Risk was closed based on the evidence provided.