

**Prepared for**  
**Florida Department of  
Economic Opportunity**

**April 2023 Quarterly IV&V  
Assessment Report**

**For period beginning January 1, 2023,  
and ending March 31, 2023**

**FINAL DOCUMENT**

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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.<sup>1</sup>

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.<sup>2</sup> This unprecedented volume created significant pressure on DEO, its employees, and especially its 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 recognized 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.<sup>3</sup> 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 Program. IV&V services provide independent third-party monitoring focused on identifying and assessing risks which may impact the success of the Program as well as providing recommendations, and/or considerations, on how to mitigate and/or prevent risks moving forward.

DEO has established the following IV&V guidelines with the intent of ensuring the IV&V team provides independent insights on potential risks within the Program. These guidelines are not intended to limit the IV&V team's independence or access to information and any reasonable request for additional information would be honored.

1. DEO will identify the specific Program and project meetings that IV&V can 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 provide DEO Program Leadership with guidance to consider for the mitigation of identified risks, but not provide direct recommendations. This allows IV&V to maintain its independence and objectively evaluate risk mitigation over time.
3. DEO will provide documentation and other Program/project artifacts, including solicitations, for IV&V review. Documentation and artifacts will generally be penultimate or final drafts to ensure IV&V focuses its oversight efforts on DEO-approved documents. IV&V may request additional documentation as needed.

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<sup>1</sup> [Vision and Mission](#), Florida Department of Economic Opportunity

<sup>2</sup> Improved Delivery of Reemployment Assistance Benefits – Final Report, ISF, February 18, 2021

<sup>3</sup> [Reemployment Assistance Modernization](#), Florida Department of Economic Opportunity

4. IV&V continues to attend Program change request review meetings and analysis discussions. Attendance at these meetings allows IV&V to identify observations and risks related to change requests prior to final DEO decisions.
5. New IV&V observations would not immediately be added to the risk register. Instead, such observations would be tracked separately and discussed with the 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 would raise risks directly on the risk register.
6. IV&V’s scope does not include any review of source code or technical artifacts of the CONNECT Reemployment Assistance Claims and Benefits Information System.

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 Program.

**Table 1. IV&V Risk Assessment Dimensions and Categories**

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

## 2.0 Risk and Issue Assessment Summary

This quarterly assessment covers the reporting period beginning January 1, 2023 and ending March 31, 2023. Figure 1 summarizes the level of risk across the seven assessment dimensions described in Table 1 from the previous section.

**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:

- Since the previous Quarterly Assessment Report, the risk rating of the following dimensions has changed as stated below:
  - Risk in the Strategy and Business Value dimension has been raised from Low to Medium risk due to a change in DEO's strategy of a phased claimant onboarding approach that is still being defined, the limited focus on a transition plan from the current Program to Continuous Modernization journey and the ongoing work on defining Program and project benefits.
  - Risk in the Governance dimension has been raised from Low to Medium risk due to ongoing definition of roles and responsibilities for various project tasks especially where there is overlap or coordination required between vendor stakeholders (for example, testing, managing requirements, etc.)
  - Risk in the Financials dimension was reduced from Medium to Low risk as DEO continues to mature their processes to manage Program and project finances.
  - Risk in the People dimension was reduced from Medium to Low risk since the Program continues to periodically evaluate resource usage and allocation.
- In this reporting period, improvements in several areas resulted in the closing or lowering of associated risks.
  - On February 12, 2023, the Reemployment Assistance Claims and Benefits Information System (System) was deployed to the cloud improving DEO's ability to provide a highly available and scalable solution that could accommodate unforeseeable surges in demand. This eliminated the previous risk of continued delays in the deployment of the System to the cloud. The DEO Operations team has reported improved performance speed of the System, in terms of better response times and reduced error rates, post deployment to cloud. No significant production issues have been observed since deployment.
  - On February 10, 2023, DEO executed a contract to address the Technology Tools projects with Strategic Communications as the primary vendor and Tata Consultancy Services as the sub-contractor, together known as the Technology Tools Vendor (TTV). The Technology Tools projects include developing a mobile responsive user interface solution (CX/UX), an integration platform (SOA/API), and

a business rule engine (BRE). Despite the completion of the procurements, the impact associated with procurement delays has led to realized effects such as deferral of project scope and benefits and compression of an already aggressive Program and project schedule. As a result, IV&V has closed the individual procurement related issues and consolidated them into a single procurement related issue. The latter is being monitored as an issue (See Section 4, Issue "Impact from procurement delays within the Program have been realized) and has been accepted by the DEO leadership.

- On March 27, 2023, DEO completed the procurement process for Identity and Access Management Services and the project has been kicked off. As a result, IV&V has closed one high priority IAM procurement related issue (see Section 4 for details).
- DEO continues to mature their financial management processes for the Program and add better clarity and visibility.
- DEO adjusted the scope for the Business Rules Engine project to only the creation of a Business Rules Catalog. Consequently, with the change in scope and timelines IV&V has closed the Rules Engine project delay related risk (See Section 3 for further details).
- DEO formalized the scope of the Archive and Purge project to only include a Request for Information (RFI) to understand what is available in the market for Archive & Purge tools and development of high-level requirements for managing the archival and purging of data. The actual execution of data archival and purging has been deferred to Continuous Modernization. This has led to closing of two related risks (See Section 3 for details).
- In this reporting period, the following risks and issues were identified.
  - The lack of the Technology Tools vendor's CX/UX schedule deliverable makes it challenging to define an integrated Program schedule that reflects project activities, workstream interdependencies, and solution readiness activities for CX/UX to be ready for deployment by June 30. This is being tracked as a High risk in the Delivery Assurance risk dimension.
  - The lack of a defined software development methodology (hybrid agile approach) for the CX/UX project and its compatibility to the rest of the Program is impacting the Delivery Assurance risk dimension.
  - DEO faced delays with onboarding of Technology Tools vendor (TTV) resources for at least a month after contract execution. Additionally, there are ongoing deliverable delays such as the CX/UX project schedule, test plan, and design deliverables. This issue impacts the Suppliers Management dimension.
  - There is growing concern around limited clarity on CX/UX testing accountability across the TTV vendor, the SSI, and DEO's Business and IT teams. See the Delivery Assurance risk dimension below.
  - DEO's use of production data in testing environments should be carefully managed to comply with Florida's 60GG-2 guidelines. See details in the Technology and Architecture dimension.

- The current Go/No-Go criteria leveraged by DEO is focused on deployment tasks and does not consider data-driven criteria or nontechnical deployment readiness criteria. See the Delivery Assurance risk dimension below.
- In this reporting period four projects were completed, including Cloud Application Performance Management, Software Development Lifecycle and DevOps, Master Data Management and Interoperability, and Reporting. There are currently six active projects in the Program including, Cloud Migration, CX/UX Mobile Responsive Software Transformation, SOA/API, Business Rules Engine, Identity Management and Access Control, and Archive and Purge.

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

- **Technology and Architecture** – Risk in this dimension is low trending to medium.
  - DEO has documented how it intends to address the Cloud Security recommendations from the Security Architecture Review Roadmap.
  - DEO has made the determination that archiving and purging of data from the System will be performed in the Continuous Modernization phase. This approach eliminates the risk of not having data governance standards and processes defined for the Archive and Purge project. Additionally, it also eliminates the risk of a significant deployment to CONNECT's code base until the system can adhere to a strict code freeze.
  - DEO has made the determination to implement a Business Rule Engine, if there is need for one, in Continuous Modernization. For CX/UX Phase 1a, business rules will not be implemented in a Rule Engine tool potentially increasing the technical debt that DEO needs to address in the future. For example, business rules developed in the initial CX/UX solution may need to be refactored to use the rules engine tool in the future. DEO has accepted this risk given the team's focus on the critical, must-have functionality for CX/UX Phase 1a by June 30, 2023.
  - DEO currently leverages a copy of unmasked production data for testing purposes. Masking of test data could be a long-term initiative undertaken by DEO and is not feasible to implement by June 30 in the absence of necessary tools and resources. The DEO IT and Security Leadership team are determining the appropriate security controls and policies to ensure there are no data breaches. It is suggested that DEO ensure test environment access is limited and audited, in line with Florida's 60GG-2 guidelines.
- **Financials** – Risk in this dimension is low. DEO continues to mature their processes to manage Program and project finances. Monthly spend plan reconciliation meetings are occurring and addressing any open reconciliation items. DEO is working to determine how to account for deliverables in CX/UX contract that have multiple due dates across the various Program phases. Legislative budget requests for the first year of Continuous Modernization were submitted as part of the State of Florida's annual budgeting process.
- **People** – Risk in this dimension is low and key contributing factors include:
  - Heavier demands on DEO SMEs are expected in the current phase of the CX/UX project as multiple deliverables need to be reviewed and approved, design sessions are held, and UAT testing starts. DEO continues to evaluate resource usage on a weekly basis and continues to manage resources to prevent resource over-allocation.

- Recently, DEO experienced turnover in key leadership positions including the IT Program Manager for RA Modernization and with Project Managers for the CX/UX project. DEO has adjusted by reassigning existing resources and is looking to hire additional resources.

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

- **Strategy and Business Value** – In the last IV&V Quarterly Report, it was communicated that DEO was revising their Program Strategy to mitigate delivery risk introduced by earlier procurement delays. Since then, DEO has finalized its approach for reducing the Program scope to only include critical features and has broken down the Technology Tools projects (CX/UX, SOA/API, and BRE) into multiple phases. Phase 1a is the only Technology Tools phase that is to be delivered under the current Program by June 30, 2023. The remaining phases will span until 2025 via Continuous Modernization. With Phase 1a, DEO will focus on developing a front-end CX/UX portal for “only new claimants” that aims to improve usability and incorporate improved plain language. Subsequent phases will deliver improvements, extend the portal to additional user groups, and add functionality (e.g., for Claimants, Appeals, Employers and TPAs).

Due to growing risks around the June 30 deployment and to reduce the risk exposure introduced by deploying a brand new front-end, DEO has decided to adopt a Phased Claimant Onboarding approach. DEO will limit the rollout of Phase 1a to only be used for new claimants that have not applied in the past. With this strategy, the risk of a June 30 roll-out will be primarily constrained to a smaller population instead of the previously planned entire claimant population. The remaining claimant population will continue to use the existing System with the existing claimant-facing screens. Both systems will be maintained and run in parallel for the foreseeable future until all functionality is deployed in the new CX/UX portal (i.e., remaining claimants, employers and TPAs). DEO is also detailing a support plan (to provide high-touch support for new claimants using the new portal) and a fallback plan (to direct all users to the current System if necessary) in case of a negative roll-out of the new CX/UX portal. The details of this new approach, including technical feasibility and how it will be implemented and managed in production, are being worked out between DEO and its vendor stakeholders.

With the changes in DEO’s Program Strategy, as communicated in the December 2022 Monthly Report and change requests implemented in this quarter, the scope in certain projects was deferred to beyond June 30 to the Continuous Modernization phase. Some examples of this include, but are not limited to, implementation of business rules in a Rules Engine tool, archival and purging of data, implementation of security architecture review project recommendations, implementation of improved business processes into the CX/UX portal, deferral of identity and access management tool development for employers and TPAs, and Security Architecture Audit project.

While DEO’s primary focus has been on the critical path activities for June 30, there is also a need to start developing a transition plan for the Continuous Modernization phase in order to ensure there is continuous momentum to achieve the deferred scope and benefits. DEO will detail the project tasks, timeline, resources, funding, and the ongoing governance and management approach that will be leveraged to deliver the work beyond June 30.

The overall Program benefits realization plan is still being updated and re-evaluated by DEO leadership. This initiative has taken a back seat due to more high priority and critical Program tasks, but the team is hoping to complete this by end of April. Defining a clear



Program benefits realization plan will be critical to ensure the success of the Program in achieving intended benefits both during the Program (i.e., by June 30, 2023) and in Continuous Modernization (i.e., after June 30, 2023).

- **Governance** – IV&V continues to monitor the efficacy and application of the Program governance process towards effective decision making. Four Change Requests were approved in the past quarter to refine scope of various projects (Incremental CX/UX, Archive & Purge, Rules Engine, Identity and Access Management) and schedule of various projects (Archive & Purge, Master Data Management & Interoperability, Reporting, SDLC-DevOps, Cloud Application Performance Management and C2C Deployment Date).

Risk in this dimension has been raised to a Medium since the last quarter due to limited clarity around roles and responsibilities for various project activities and the necessary handshakes that have to occur between various stakeholder groups – DEO (Business and IT), SPO, SSI, TTV, etc. This lack of clarity is causing confusion around tasks such as developing and managing the project's requirements traceability matrix, integration and UAT testing, measuring and reporting on testing, refinement of to-be technical requirements, etc. This will be especially critical to ensure proper collaboration is undertaken for deliverables where there are overlaps and coordination required between stakeholder groups. To mitigate this risk, DEO is working on defining a clear RACI governance chart and ensuring continued discussions around clarifying roles.

Program Governance is yet to be adjusted and carried forward, as appropriate, for projects and tasks that extend into Continuous Modernization to ensure proper and effective management beyond June 30.

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 risks are realized.

- **Delivery Assurance** – This dimension remains at High risk due to the possibility that the CX/UX project will not be ready to deploy Phase 1a by June 30, 2023, as planned. Key factors contributing to this risk include:
  - Absence of an updated, integrated Program plan for Phase 1a that reflects the Technology Tools vendor's schedule and workstream interdependencies (for example, dependencies between CX/UX, Comms Plain Language, API Development, and SSI project activities).
  - Current CX/UX schedule does not allow sufficient time for deployment readiness activities (such as Outreach and Communications, IT and Business operations readiness, and end-user / staff training) and has no room for any additional delays.
  - Continued absence of a defined software development methodology that defines how all project participants (e.g., DEO, TTV vendor, Comms vendor, SPO, SSI) are going to collaborate to meet the deployment date. It is reported that the CX/UX project will adopt a hybrid agile approach, but it remains unclear how work will be orchestrated between stakeholder groups operating within the hybrid agile approach and outside of it.

DEO is actively working to develop an updated integrated Program schedule, a RACI matrix, and an understanding of how dependencies will be managed to mitigate this risk.

An additional risk factor in this dimension is the lack of an approved CX/UX test plan that addresses testing processes, timeline, roles and responsibilities, tools, metrics, and reports that will be created for CX/UX Phase 1a testing. This includes testing types such

as component, system, integration, user acceptance (UAT), performance, security, and 508 compliance. Continued lack of clarity and planning around testing could impact the quality of the solution delivered by June 30. DEO is actively working with its vendor partners to define testing plans. Another contributing factor to this is the lack of overall testing accountability within the Technology Tools vendor projects.

The Program does not leverage a data-driven Go/No-Go criteria that allows for objective analysis and decision making by DEO Program stakeholders on when a project is ready to go live. Current checklists focus on activities to be completed at the time of solution deployment rather than having objective metrics that lead up to the Go/No-Go decision. The lack of a data-driven Go/No-Go criteria was experienced during the System's deployment to Cloud where the decision was made to go-live without any specific clarity around test execution metrics. While this did not cause any challenges for the Cloud Migration deployment, there is a risk to making such decisions with limited testing metrics (such as percent of test completion, severity of defects found, etc.) and uncertainty around the completion of readiness tasks. The DEO and SPO Program team are working on a Standard Operating Procedure for defining a standard Go/No-Go criteria.

Risk in the Business Rule Engine (BRE) project was reduced due to a modification in project scope introduced in Change Request #16. This modification focuses the project scope on development of a business rule catalog for the Reemployment Assistance Claims and Benefits Information System and on standing up the CX/UX rule engine that will not be utilized by Phase 1a. The remaining project scope around migrating the business rules into the Rules Engine tool and a potential procurement of another out-of-the box business rules engine has been deprioritized to Continuous Modernization.

- **Suppliers Management** – This dimension remains at High risk and is impacted by:
  - Realized delays in the Technology Tools projects (i.e., CX/UX, SOA/API, and Business Rule Engine) including delays in procurement, vendor onboarding, and submission of initial vendor deliverables. These delays have impacted the time available to complete CX/UX development. To mitigate delivery risk, DEO has introduced a phased delivery approach for CX/UX (e.g., Phase 1a, Phase 1b, Phase 1c, Phase 2, Phase 3). However, the Phase 1a June 30, 2023, deployment timeline is aggressive and needs to be carefully managed to achieve success.
  - DEO is working with the SSI vendor to secure test management and additional testing resources to support testing within the CX/UX project and ensure the role of overall testing accountability. The related contract amendment has been underway for about two months and is expected to be executed in April.
  - Onboarding of TTV vendor resources was delayed in this reporting period. If additional onboarding delays are encountered the ability to deliver on the CX/UX milestones as planned might be impacted. DEO is working with the TTV vendor to understand when they expect to onboard additional resources and to expedite this process as much as possible.
  - Lack of an integrated Program plan that allows DEO to effectively manage all vendors (e.g., CX/UX, Comms Plain Language, Public Relations, SSI) and their deliverable milestones responsible for delivering the CX/UX solution.

The planned date for the IAM procurement was January, 2023, however, the procurement was finalized on March 27, 2023. This delay did not impact DEO's ability to complete the IAM project by June 30, 2023.

### 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 Table 2 below 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 the risk is reopened.
- **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.

The Program is comprised of sixteen projects (not including procurements listed as projects in the ISF report), six of which are “Active and in Progress”, nine have been “Closed,” and one project has been “Deferred to Continuous Modernization”. 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, 2023**

Project Category	Project Name	Project Status
Infrastructure	Cloud Migration (CONNECT to Cloud)	In Progress
	Cloud Application Performance Management	Closed
Software	Software Development Lifecycle (SDLC)	Closed
	.NET and ORM Upgrade	Closed
	SOA and API Layer	In Progress
	Rules Engine	In Progress
	CX/UX Mobile Responsive Software Transformation	In Progress
	Business Process Optimization	Closed
	RA Help Center	Closed
Data and Analytics	Data Warehouse	Closed
	Reporting	Closed
	Archive and Purge	In Progress
	Master Data Management and Interoperability	Closed
Security	Security Architecture Review Services	Closed
	Identity Management & Access Control	In Progress
	Security Architecture Audit Services	Deferred to Continuous Modernization

### 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
<b>Plan for Continuous Modernization is undefined</b>	Program	2/2/23	N/A	Medium	As a result of the change in Program direction and de-scoping of various projects, some of the originally intended benefits as laid out in the ISF report have been shifted to the Continuous Modernization phase i.e., beyond June 30, 2023. However, there is no clear plan defined on how, when and by whom these various de-scoped project activities will be conducted after June 30.	<ul style="list-style-type: none"> <li>No clear plan for Continuous Modernization could lead to further de-prioritization of those activities and missed benefits.</li> </ul>	<ul style="list-style-type: none"> <li>DEO could look to define a clearer plan for Continuous Modernization with a roadmap that articulates how de-scoped and new ongoing modernization objectives will be achieved in future.</li> <li>Detailing out a plan for ongoing management and governance of Continuous Modernization would be important.</li> </ul>	<ul style="list-style-type: none"> <li>Currently DEO's primary focus is completing the Reemployment Assistance Claims and Benefits Information System Modernization Program and DEO plans to address the Continuous Modernization phase closer to the end of the Program.</li> <li>Definition of the Continuous Modernization Roadmap to be developed by the TTV vendor including defining when deferred requirements and benefits from the Program will be addressed.</li> </ul>

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by DEO
<b>Informal Benefits Realization Approach</b>	<b>Program</b>	10/26/2021	<b>Medium</b>	<b>Medium</b>	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"> <li>Challenges determining if an individual project, or the Program as a whole, achieved expected benefits, including those target benefits identified in the ISF report.</li> <li>Without agreed upon key performance indicators (KPIs), stakeholders may have different views on the degree benefits were realized or not.</li> <li>Decreased ability to identify opportunities to make in-flight adjustments to projects-based benefits realization monitoring.</li> <li>Projects may be closed prematurely in cases where target benefits were not sufficiently achieved.</li> </ul>	<ul style="list-style-type: none"> <li>Develop a benefits realization strategy and management process, including:                             <ul style="list-style-type: none"> <li>Defined set of target benefits for the Program.</li> <li>A benefits realization plan that details specific measures and monitoring processes.</li> <li>A process for reporting on progress towards target benefits to key stakeholders.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>DEO has been working on defining the project level benefits. The updates are being reviewed by IV&amp;V.</li> <li>DEO is working to finalize the Program level benefits.</li> </ul>

### 3.2 Governance

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by DEO
<b>Governance structures (e.g., roles and responsibilities) defined for Project activities is not being implemented effectively</b>	Program	1/31/23	N/A	High	It has been observed that there is lack of clarity around roles and responsibilities and the necessary handshakes that have to occur between various stakeholder groups in a project - DEO (Business and IT), SPO, SSI, etc. Governance structures have been defined but not being implemented. Significant overlap of roles and responsibilities also exist.	<ul style="list-style-type: none"> <li>Lack of clarity is causing confusion around tasks such as RTM, integration and UAT testing, measuring, and reporting on testing, to-be technical requirements, etc. As a result, some of these tasks are not performed or done without sufficient level of quality.</li> </ul>	<ul style="list-style-type: none"> <li>DEO could define a clear RACI of various project activities and handoffs that occur between parties. Additionally, the accountability of ensuring the governance is being applied and not falling through the cracks in pressure situations could also be defined with clear establishment of tracking mechanisms. This will be crucial for the current critical C2C project but also for the upcoming Technology Tools vendor project.</li> </ul>	<ul style="list-style-type: none"> <li>DEO is currently in the process of developing a RACI matrix that will identify roles and responsibilities of the Program stakeholders.</li> <li>DEO Workgroup members are attending all CX/UX related meetings to ensure collaboration and faster decision making.</li> </ul>
<b>Governance regarding the procurement related decisions, and decision-making process, are unclear</b>	Program	5/18/2022	Medium	Closed	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 tooling decisions necessary for the Program. 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.	<ul style="list-style-type: none"> <li>Inadequately defined governance in this case could cause selection of the incorrect tool or tool procurement delays and that impact project schedules / quality.</li> </ul>	<ul style="list-style-type: none"> <li>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.</li> <li>A formalized evaluation criteria could be established that looks at different factors such as technical and business alignment, implementation effort, cost and time to implement. Formalizing such a criterion would help ensure procurement decisions are made consistently and comprehensively.</li> </ul>	<ul style="list-style-type: none"> <li>DEO has developed a process to identify the appropriate reviewers and approvers for vendor evaluations.</li> <li>Since all procurements pertaining to the Program have been completed, this risk is now closed.</li> </ul>

### 3.3 Delivery Assurance

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by DEO
6/30 deployment of CX/UX Phase 1a is at risk	Program, CX/UX	3/20/23	N/A	High	<p><b>Phase 1a of 6/30 is at a risk based on:</b></p> <ul style="list-style-type: none"> <li>Absence of an updated, integrated project plan for Phase 1a that reflects workstream interdependencies (e.g., dependencies between CX/UX, SSI and Comms activities). Currently, only a siloed view of the projects and tasks is available.</li> <li>Gaps in deployment readiness planning from an IT and Business Operations standpoint, from a communication and training standpoint.</li> <li>Zero runway in the schedule for any schedule deviations or additional delays.</li> <li>Continued absence of a defined agile development methodology that defines how all project participants (e.g., DEO, TTV vendor, Comms vendor, SPO, SSI) are going to collaborate to meet the deployment date.</li> <li>Significant delays in Technology Tools vendor procurement, vendor onboarding and ongoing vendor deliverable delays (e.g., vendor project schedule).</li> </ul>	<ul style="list-style-type: none"> <li>If enough time is not allowed in the schedule for comprehensive deployment readiness activities, then CX/UX Phase 1a will not be ready to be released and product quality, training, operations, and/or user support may be adversely impacted.</li> </ul>	<ul style="list-style-type: none"> <li>DEO Leadership should ensure sufficient time is planned for design, development, testing and deployment readiness activities, even if those activities extend beyond the targeted June 30, 2023 go-live date.</li> <li>DEO should consider an Initial Operating Capability (IOC), or soft launch, and plan an extended validation period prior to production deployment. This period can be utilized for additional testing, training, user guide development, operational readiness / support readiness activities, and citizen/community education and outreach.</li> <li>DEO Leadership should require an integrated project plan and closely monitor the feasibility of the critical path and adjust the program scope, schedule, and/or other elements in order to achieve desired benefits in a reasonable timeframe</li> </ul>	<ul style="list-style-type: none"> <li>Technology tools vendor is working through their piece of the CX/UX schedule and DEO and other vendor partners are working to develop an integrated CX/UX Phase 1a project plan.</li> <li>DEO and vendor partners are working to define how to manage dependencies between CX/UX and Comms Plain Language, API Development, and SSI vendor testing.</li> <li>DEO is evaluating potential deployment options for CX/UX Phase 1a that would target specific groups of claimants.</li> <li>DEO is working with SSI vendor to secure additional resources to support CX/UX testing.</li> </ul>



Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by DEO
Dependency between CX/UX and Comms Project needs to be managed	CX/UX, Comms	2/23/23	N/A	High	<p>There are 3 elements of the CX/UX Comms project that is tracked under this risk.</p> <ol style="list-style-type: none"> <li>1. Mapping of the plain language screens to the CX/UX solution and how that will be incorporated. This dependency has not been clearly defined yet. The TTV is trying to accomplish this task but there is no traceability on the approach or timeline.</li> <li>2. Applying legacy functionality to the new CX/UX system. This is being performed in an ad hoc manner during the wireframes session but lack of traceability continues to exist.</li> <li>3. Translations of the plain language for the CX/UX screens. This decision is pending to be included as part of Phase1a but the federal law requires the systems to apply translated language before go-live.</li> </ol> <p>If dependencies between the CX/UX and Comms project are not identified and properly managed there is the risk that the planned releases will not include updated plain language.</p>	<ul style="list-style-type: none"> <li>• Limited alignment between Comms and CX/UX activities could lead to rework or delay the go-live date.</li> <li>• Without inclusion of plain language, Claimants' ability to use and adopt the CXUX solution might be impacted.</li> <li>• DEO will need to incorporate plain language into future releases potentially impacting costs or timelines.</li> </ul>	<ul style="list-style-type: none"> <li>• The CX/UX and Comms projects should identify elements in the CX/UX solution (e.g. screens, help content, FAQs, correspondence) that require plain language updates and the timeline by when they are required. Once these elements are identified the CX/UX and Comms projects should manage project activity to meet these delivery timelines.</li> </ul>	<ul style="list-style-type: none"> <li>• DEO is evaluating how to best manage dependencies between the CX/UX project and its sub-component task of Comms Plain Language.</li> <li>• The latter is expected to improve and simplify the content in current System front-facing screens to ease the end-users' experience.</li> <li>• A proposed approach of sending batches of Comms Plain Language content has been shared with the TTV vendor for feedback.</li> </ul>

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by DEO
Lack of a defined SDLC approach for the projects	CX/UX, Comms, and SOA/API	2/2/23	N/A	High	DEO intends to leverage a "hybrid" agile and waterfall approach for the three technology tools projects. However, this process (including activities, responsibilities, etc.) is not yet defined.	<ul style="list-style-type: none"> <li>Poorly defined and managed agile implementations could cause confusion with project activities and tasks - responsibility, order, etc. This could lead to re-work, poor quality and missed deadlines within the Reemployment Assistance Claims and Benefits Information System Modernization Program.</li> </ul>	<ul style="list-style-type: none"> <li>DEO could define and communicate the SDLC process to be leveraged for the 3 projects. This would also be dependent on the approach proposed by the Technology Tools vendor in their contract.</li> </ul>	<ul style="list-style-type: none"> <li>DEO has decided to use a "hybrid agile" approach, however, the end-to-end software development methodology has not been documented. This leaves this risk at High.</li> <li>The TTV vendor is planning to bring on a technical writer to help draft deliverables in parallel with the development work.</li> </ul>
Plan for Security Testing within the Program is unclear	Program	2/2/23	N/A	High	There is limited evidence of a defined Security Testing Plan within the Program with clearly defined responsibilities, tasks, and timing.	<ul style="list-style-type: none"> <li>Lack of security testing could pose serious risks to DEO's system against vulnerabilities and security threats.</li> <li>A lack of clarity regarding the responsibilities, task, and timing of security testing could cause confusion across the Program team, particularly with multiple parties involved.</li> </ul>	<ul style="list-style-type: none"> <li>DEO could define clear security testing responsibility and a clear plan that ensures (at a minimum) critical front-facing applications impacted by an RA Modernization project, are security tested prior to deployment.</li> <li>DEO could involve its Security team to identify scenarios where Security testing would be relevant versus not.</li> </ul>	<ul style="list-style-type: none"> <li>DEO held discussions to define security testing milestones for CX/UX but CX/UX security testing plans have not been finalized or documented.</li> <li>DEO is currently drafting a contract amendment for the SSI vendor that will allow them to bring in additional testing resources.</li> </ul>
Current Go/No-Go criteria for RA Modernization projects lacks the use of testing metrics to ensure data-driven decision making	Program	1/31/23	N/A	Medium	There is no evidence of using objective testing metrics-based Go/No-Go criteria or utilized for DEO projects. The deployment checklist shared by DEO ensures completion of 18 items focused on deployment activities and not Go/No-Go criteria.	<ul style="list-style-type: none"> <li>Lack of well documented and data-driven Go/No-Go decision criteria could either delay Go Live unnecessarily or facilitate a poor Go Live decision that introduces additional risk to the Program.</li> </ul>	<ul style="list-style-type: none"> <li>Program team could consider adding the following best practice elements that are currently missing from the checklist: 1) Expand on which types of training should PMs be considering in their projects such as End-user training, Service support training, DEO staff training, etc. 2) Ensure training and support documentation has been updated. 3) Completion of SSI's Go/No-Go Readiness Assessment and their integration deliverables. 4) No Sev 1 or Sev 2 defects in all types of testing including, but not limited to, Data</li> </ul>	<ul style="list-style-type: none"> <li>SPO is drafting a Go / No-Go Standard Operating Procedure (SOP) to provide guidance to RA Modernization projects.</li> <li>DEO's contract amendment with SSI is expected to add testing metrics and reports that will help determine if the solution has been sufficiently tested based on a pre-determined criterion.</li> <li>DEO developed a C2C deployment checklist. However, it was missing elements from the prescribed Deployment Checklist template (e.g., (7) Completion of training, and (13) Updating documentation) and was not ready in time to support the Go/No-Go decision. As a result, for C2C the Go-live decision was made without the use of any complete traceability documentation that highlighted the level of testing conducted. Fortunately, there have</li> </ul>

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by DEO
							Migration testing, UAT, Security testing and Performance testing. 5) Completion of test cases with a clear measurement of test coverage metric to understand which areas have been tested and which areas have been left un-tested due to various reasons 6) Validate that all types of testing (functional and non-functional such as Performance, Security, Disaster Recovery, etc. wherever applicable) are completed and ensure it meets the exit criteria of each phase. 7) Ensure test results are documented and uploaded in the appropriate tool. 8) Document and communicate any known issues	been no deployment issues with the C2C go-live.
<b>Business and Technical documentation</b>	<b>Program</b>	9/21/2021	<b>Low</b>	<b>Low</b>	Interviews with DEO stakeholders highlighted obsolete technical design and business process documentation.	<ul style="list-style-type: none"> <li>• Obsolete documentation can lead to a high degree of technical debt.</li> <li>• Additionally, lack of up-to-date business and technical knowledge transfer between vendors and Program resources.</li> </ul>	<ul style="list-style-type: none"> <li>• DEO could institute new policies and procedures to create a baseline of updated business and technical documentation and a discipline for maintaining System artifacts.</li> </ul>	<ul style="list-style-type: none"> <li>• DEO has instituted a process to ensure technical specifications for future releases are documented and kept up to date. Sample technical specifications have been shared with IV&amp;V and are deemed to be satisfactory.</li> <li>• This risk did impact the SSI vendor in delivering their To-be Requirements deliverable on time. However, that is now being addressed by gathering the original business use case versions.</li> <li>• IV&amp;V will continue to monitor this risk with the onboarding of the TTV vendor.</li> </ul>

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by DEO
<b>Potential CX/UX requirements missing from Technology Tools contract</b>	<b>CX/UX</b>	2/23/2023	<b>N/A</b>	<b>Closed</b>	DEO has identified 539 requirements that could potentially be required to address the CX/UX project but were not included in the contract with the Technology Tools vendor. Some of these requirements address important functional requirements (e.g., claimant update contact information, employer file appeals), technical requirements (e.g., cloud computing standards, audit capabilities) and security requirements (e.g., Florida Cybersecurity).	<ul style="list-style-type: none"> <li>If required CX/UX requirements were not included in the Technology Tools contract, then the CX/UX project might deliver a solution that does not meet stakeholder needs, there is the potential for delivery timelines to be extended or additional funding could be required to address requirements.</li> </ul>	<ul style="list-style-type: none"> <li>DEO could expedite the review of the missing requirements to fully understand impact on the CX/UX project. Work with Technology Tools vendor to understand if any of these requirements will impact the project budget or timeline.</li> <li>DEO could prioritize requirements that will provide most benefit to stakeholders and defer other requirements.</li> </ul>	<ul style="list-style-type: none"> <li>DEO developed a crosswalk between the CX/UX Contract and CX/UX RTM that indicated that requirements were not missing from the contract. This risk is closed.</li> </ul>
<b>Scope for Archive &amp; Purge project is not clearly defined</b>	<b>Archive &amp; Purge</b>	1/5/23	<b>N/A</b>	<b>Closed</b>	Mixed messages have been received regarding the scope of the Archive and Purge project for RA Modernization. DEO mentioned the scope would include definition of archival and purging criteria and requirements. However, we've also heard that only the tool specific requirements that are needed for the tool procurement will be defined by June 30 and definition of the archival and purging criteria and requirements will not be defined until after June 30th, 2023. The recent update in Archive & Purge scope has raised questions in the value achieved by this project.	<ul style="list-style-type: none"> <li>Lack of defined scope will jeopardize the successful delivery of the Archive &amp; Purge project by the Program end date of June 30, 2023.</li> </ul>	<ul style="list-style-type: none"> <li>DEO could clearly define what's in and out of scope from the project to avoid any confusion.</li> </ul>	<ul style="list-style-type: none"> <li>DEO provided updated planning documents, project schedule, and executed a change request clarifying the Archive and Purge scope to only include a tooling Request for Information and development of high-level data archival and purging requirements. The remainder of the scope has been deferred to Continuous Modernization.</li> <li>The risk has been mitigated and is now closed.</li> </ul>

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by DEO
<b>Rules Engine Project Delay</b>	<b>Rules Engine</b>	8/31/2022	<b>High</b>	<b>Closed</b>	The Rules engine project continues to be delayed because of no firm identification and finalization of business rules to be migrated. This could take considerable effort that could potentially push the project schedule out further.	<ul style="list-style-type: none"> <li>With continuous delays, there is a high likelihood of the project pushing past June 2023, potential scope reduction, sub-standard delivery, or that the benefits outlined for Rules Engine by the ISF report may not be adequately delivered. Such delays could also impact dependent projects such as CX/UX.</li> </ul>	<ul style="list-style-type: none"> <li>DEO could define formal criteria to refine the selection of business rules to be moved into the new tool.</li> <li>Additionally, they could group rules by priority of implementation to stagger development and testing efforts. The prioritization effort should conform to the benefits outlined in the ISF report.</li> </ul>	<ul style="list-style-type: none"> <li>Upon the approval of change request 16, the scope for the Rules Engine project has been changed to include the inventory catalog of the current System's business rules and standing up the CX/UX business rule engine tool.</li> <li>The implementation of the CX/UX business rules engine tool to include any existing business rules has been deferred to Continuous Modernization.</li> <li>Given the change in project scope, the risk is now closed.</li> </ul>
<b>Program-wide clarity on a viable schedule to achieve Program objectives</b>	<b>Program</b>	7/29/2022	<b>Medium</b>	<b>Closed</b>	It is currently unclear what the impact of schedule delays is; it is unclear if all Program objectives will be achieved in the dedicated timeframe and, if not, which objectives will be prioritized.	<ul style="list-style-type: none"> <li>Without clearly understanding the impact of schedule delays, it is difficult to evaluate the Program's ability to meet stated objectives in the allotted timeframe.</li> </ul>	<ul style="list-style-type: none"> <li>DEO could increase clarity on managing non-approved / baselined schedules.</li> </ul>	<ul style="list-style-type: none"> <li>As of the end of this quarter, a confirmed schedule has still yet to be determined. This risk is now closing and will be as a consolidated issue named "Schedule for CX/UX project is undefined".</li> </ul>

In addition to the above-mentioned risks, there are few issues observed in this dimension. See Section 4. Issue Assessment Details.

### **3.4 Suppliers Management**

There are currently no active risks, however, there are few issues observed in this dimension. See Section 4. Issue Assessment Details.

### 3.5 Financials

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by DEO
Clarity on financial health of the Program	Program	7/27/2022	Medium	Low	It is currently difficult to identify and project spend impact when schedules change. The Program lacks transparency regarding month-over-month changes to the Program-wide spend plan. DEO reports that Executive leadership is interested in increased transparency.	<ul style="list-style-type: none"> <li>Until there is a solid understanding of Program-wide and project-specific financial planning, it is difficult to report if the Program has strong financial health, which can lead to over or under spending.</li> <li>There may be a disconnect between cost impact at a project level, which comes from the Project Managers and through the SPO and the insights from the CFO for financial planning decisions, which can lead to inappropriate allocation of funds.</li> </ul>	<ul style="list-style-type: none"> <li>DEO could look to increase transparency and tracking month-over-month and increase the clarity of direction to Project Managers for tracking changes to spend plans as schedules change.</li> </ul>	<ul style="list-style-type: none"> <li>DEO has extended their monthly spend reconciliation meeting through the remainder of the Program.</li> <li>DEO has delivered the January spend plan with its new master spend plan.</li> <li>IV&amp;V continues to monitor the spend plans and DEO's financial management processes and due to added clarity has lowered this risk to a Low rating.</li> </ul>

### 3.6 People

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by DEO
Resource Requirements for outstanding procurement related projects is unknown	Program	8/26/2022	Medium	Low	<ul style="list-style-type: none"> <li>It is unclear if the resource requirements for outstanding procurement related projects have been fully defined. Resource planning is awaiting tooling decisions and procurements to gather a better view.</li> </ul>	<ul style="list-style-type: none"> <li>Without adequate resource requirement planning, and with only 10 months remaining, it is difficult to know the true schedules of these impacted projects, thus potentially putting pressure on the 6/30/23 Program end date.</li> </ul>	<ul style="list-style-type: none"> <li>DEO could, on a per project basis, define the resource requirements proactively to reduce risk of delay.</li> </ul>	<ul style="list-style-type: none"> <li>DEO has made considerable effort to define resource plans for all projects and continues to manage this in their weekly resource allocation meetings.</li> <li>Given this, risk has been reduced to Low and will likely close once all vendors have been onboarded.</li> </ul>
Testing / SME Resource Constraints	Program	9/15/2022	Low	Low	<ul style="list-style-type: none"> <li>Business SME resources, that are needed for testing activities across the Reemployment Assistance Claims and Benefits Information System Modernization Program, could be pulled in other directions such as ongoing operations and other DEO project work.</li> <li>As such, there could be testing resource constraints when required for the Program.</li> <li>As the Program proceeds testing resource contention could increase due to an increase in testing and SME support activities.</li> </ul>	<ul style="list-style-type: none"> <li>Lack of sufficient testing resources could cause teams to compete for talent, causing delays and possible poorly tested components pushed into production.</li> </ul>	<ul style="list-style-type: none"> <li>DEO could look to expand its approach to managing SME capacity by looking at it holistically.</li> <li>Project teams could come up with more formal SME resource requirements that would include skills required, number of testers needed, dates and effort needed from testers.</li> <li>Using this information and similar estimates from other non-Program activities, the team could better manage the SME capacity.</li> <li>Doing this analysis could highlight if there is a shortage of business SMEs and that could be addressed early.</li> </ul>	<ul style="list-style-type: none"> <li>DEO has resolved all current resource issues and continues their weekly resource capacity analysis meeting.</li> <li>IV&amp;V is leaving this risk open until at least mid-May when SME resource expectations will likely rise with the increase in discovery and gap analysis sessions and with the increase in SME-related user acceptance testing.</li> </ul>






### 3.7 Technology and Architecture

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by DEO
Immature test data management processes	Program	2/2/23	N/A	Medium	<ul style="list-style-type: none"> <li>The current test data management processes followed by DEO include the use of a copy of production data in testing environments.</li> </ul>	<ul style="list-style-type: none"> <li>Use of unmasked test data is a security risk, especially for this Program where a number of vendor stakeholder groups would be involved in various testing types.</li> </ul>	<ul style="list-style-type: none"> <li>There is a need for DEO to establish a balance between test data quality and security vs. the current use of unmasked production data for all types of testing. DEO could explore the use and generation of synthetic (or dummy) data for testing especially when non-FTEs are conducting the testing with limited security controls in place. DEO could also involve the Security team to better understand Florida's 60GG Cybersecurity standards that inhibit the use of production data in lower environments and to validate access controls to testing environments.</li> </ul>	<ul style="list-style-type: none"> <li>DEO has and continues discussions regarding the use of production data during testing. It was determined that complete mitigation of the risk by adopting data masking would not be feasible given the Phase 1a timeline.</li> <li>DEO will determine an approach to reduce the likelihood and potential impact of this risk by adopting and documenting security policies and procedures, prior to testing.</li> </ul>

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by DEO
<b>Impact of Limited Data Governance Maturity</b>	<b>Archive &amp; Purge; Master Data Management</b>	10/24/2022	<b>Low</b>	<b>Closed - Risk Accepted by DEO</b>	<ul style="list-style-type: none"> <li>DEO's Data Governance standards and policy are not fully defined. While this should be an agency-wide initiative it is unclear how limited Data Governance maturity would impact data related projects within the Program such as Archive &amp; Purge and MDM that need data driven decision making.</li> </ul>	<ul style="list-style-type: none"> <li>Lack of defined Data Governance standards and decision rights framework within DEO, could lead to missed project benefits around purging and archival of data, and improper creation of data catalog and data dictionary.</li> </ul>	<ul style="list-style-type: none"> <li>While Data Governance should be led at the agency level, DEO could leverage the Program to push the implementation of Data Governance. In the meanwhile, DEO could ensure that data stewards (that have the necessary data-related SME) are at a minimum identified for the in-scope applications for the Program's data related projects.</li> </ul>	<ul style="list-style-type: none"> <li>DEO has made the decision to define detailed criteria for archiving and purging of data in Continuous Modernization. And it was also decided that data governance standards would also be defined in Continuous Modernization. This risk is now closed.</li> </ul>

## 4.0 Issue Assessment Details

This newly introduced section describes risks that have been realized within the Reemployment Assistance Claims and Benefits Information System Modernization Program and are now being managed as an issue. The following information is provided for each issue:

- **Issue Name** – each issue has been named to facilitate easy reference.
- **Applicability** – indicates which projects within the Program the issue applies to, or if the issue 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.
- **Assessment Dimension** – indicates the IV&V assessment dimension from the framework mentioned in Table 1 that the issue applies to.
- **Date Identified** – specifies the date the risk was initially identified before it escalated to an issue.
- **Previous Issue Rating** – shows how the issue was rated as of the previous quarterly report.
- **Current Issue Rating** – shows how the issue has been rated currently.
  -  Low issue, minimal impact to Program or project success.
  -  Medium issue, material impact to Program or project success and will require significant attention but may or may not impact the critical path, budget, or scope.
  -  High issue, significant material impact expected to the critical path, budget, or scope.
  - Where DEO has demonstrated it sufficiently addressed or resolved an issue, the issue is marked “closed”. Closed issues will continue to remain in IV&V’s quarterly reports to give the full picture of any issue-related impacts that continue to linger in other areas of the Program.
- **Issue Description** – provides a brief, summary-level description of the issue.
- **Impacts** – describes the impacts to the Program or project because of the issue and the risk being realized. This content focuses on the most significant impacts.
- **Considerations** – provides options for DEO to consider regarding addressing the issue.
- **Actions Taken by DEO** – summarizes key actions taken by DEO to address the issue.

Issue Name	Applicability	Assessment Dimension	Date Identified	Previous Issue Rating	Current Issue Rating	Issue Description	Impacts	Considerations	Actions Taken by DEO
Impact from procurement delays within the Program have been realized	Program	Suppliers Management	2/24/23	N/A	High	<p>There have been multiple delays related to this Program's procurements that IV&amp;V was tracking. This was namely around delays in SSI procurement, Rules Engine tool procurement, SOA/API tool procurement, and CX/UX procurement.</p> <p>It should be noted that while each of these procurements have now been completed and actioned, the delays have led to realized impacts that will stay open for the rest of the Program. Examples of impacts are deferral of project scope and benefits, and compression of project schedules.</p>	<ul style="list-style-type: none"> <li>Realized impacts include deferral of project scope and benefits and compression of project schedules.</li> </ul>	<ul style="list-style-type: none"> <li>Since the issues have been realized and the resulting impacts are here to stay, there is less for DEO to change in the current Program. However, for future procurements DEO could look to define more realistic procurement timelines that factor in the longer buying cycles, adding more clarity and reasonability to the vendor ask to gather more responses and reduce negotiation timelines, ensure joint decision making in the evaluation team and potentially adopting agile contracting approaches for agile/DevOps work.</li> <li>DEO could also look to address the impacts and see if they can be minimized by various actions such as prioritizing the remainder of the work to be done, ensuring the vendor focuses on the most critical components of the projects and having clear lines of communication and collaboration between all parties.</li> </ul>	<ul style="list-style-type: none"> <li>Impacts have been realized and the issue has been accepted by DEO. IV&amp;V will continue to monitor any further impacts until the end of the Program.</li> </ul>

Issue Name	Applicability	Assessment Dimension	Date Identified	Previous Issue Rating	Current Issue Rating	Issue Description	Impacts	Considerations	Actions Taken by DEO
Undefined accountability for Test Management and Test Governance within this Program	Program	Delivery Assurance	1/26/23	N/A	High	It has been observed that there is no defined accountability for Testing conducted within the Reemployment Assistance Claims and Benefits Information System Modernization Program, despite testing being conducted by the DEO test team and vendor teams and a testing standard operating procedure being drafted by SPO.	<ul style="list-style-type: none"> <li>Lack of defined testing accountability leads to ad hoc implementation of testing practices as previously defined by DEO and within the testing standard operating procedure.</li> <li>Testing decisions around appropriate level of testing coverage, the types of testing to be in scope, definition and recording of test cases/results/defects are also made in a siloed or ad hoc fashion.</li> <li>Such confusion could lead to delayed deployments or poor-quality code being deployed.</li> </ul>	<ul style="list-style-type: none"> <li>DEO could define a Test Manager role within the Program who will govern and oversee all testing conducted by DEO test team and vendors.</li> </ul>	<ul style="list-style-type: none"> <li>DEO is currently drafting and executing a contract amendment for SSI vendor to bring on a test manager to organize, plan and manage all testing efforts. Amendment will also add more testing resources to the project.</li> <li>Gaps in testing were observed in previous projects such as C2C Deployment (e.g., lack of reporting on testing metrics, lack of test coverage, lack of an up-to-date Requirement Traceability Matrix) due to no overall testing accountability.</li> </ul>
Schedule for CX/UX project is undefined	CX/UX	Delivery Assurance	11/3/2022	Previously Managed as a High Risk	High	The scope and timeline for the CX/UX project is not defined yet. The ISF report estimated the project to run for 12 months, but current Program timelines only have 8 months remaining.	<ul style="list-style-type: none"> <li>Lack of defined scope and the corresponding timeline will jeopardize the successful delivery of the CX/UX project by the Program end date of June'23. Completion of CX/UX project is critical to the success of the Program and DEO's strategic objectives as it is the most impactful to the end users.</li> </ul>	<ul style="list-style-type: none"> <li>The CX/UX project is aimed at stream-lining the benefits claim process for Florida residents and to support them in their times of need. DEO should actively prioritize to define the scope of the project and the associated timeline, to set them up for success. Given the short-time, DEO could look to prioritize certain aspects to define a Minimum viable product for CX/UX that can be achieved by June 2023 and develop a roadmap for future modernizations efforts.</li> </ul>	<ul style="list-style-type: none"> <li>DEO and its vendor partners are working to create an integrated schedule that spans all aspects of the CX/UX project.</li> <li>Currently, the TTV schedule is not fully vetted out and dependencies with other workstreams (such as API development, Comms Plain language, and SSI vendor testing).</li> <li>This issue originally covered the ambiguity around CX/UX project scope which has been scoped out to be New Claimant functionality by June 30, along with future phases. Details around impact to which CX/UX screens and number of APIs are being worked out with the TTV vendor.</li> </ul>

Issue Name	Applicability	Assessment Dimension	Date Identified	Previous Issue Rating	Current Issue Rating	Issue Description	Impacts	Considerations	Actions Taken by DEO
<b>Delays in onboarding the Technology Tools vendor could impact the CX/UX Phase 1a timeline</b>	<b>CX/UX, Comms</b>	<b>Suppliers Management</b>	3/1/23	N/A	<b>Medium</b>	If the Technology Tools vendor onboarding process takes longer than expected, then the timeline for Phase 1a could be impacted including potentially the deployment date of 6/30.	<ul style="list-style-type: none"> <li>Time to conduct CX/UX Phase 1a design, build, and test could be reduced potentially impacting quality of the solution.</li> <li>CX/UX Phase 1a deployment date could be delayed past 6/30.</li> </ul>	<ul style="list-style-type: none"> <li>DEO could request that the Technology Tools vendor provide a schedule that indicates when different members of the Technology Tools vendor team will be onboarded and phase out the onboarding based on urgency of the deliverables.</li> </ul>	<ul style="list-style-type: none"> <li>DEO has been having tri-weekly touchpoint meetings regarding onboarding and resolving any issues that come up.</li> <li>Initial onboarding of TTV vendor resources has been completed for the design phase.</li> <li>Given lack of clarity on how many additional vendor resources need to be onboarded this issue remains open and continues to be monitored.</li> </ul>
<b>C2C Go-Live Delay</b>	<b>C2C</b>	<b>Delivery Assurance</b>	11/30/2022	<b>Medium</b>	<b>Low</b>	CONNECT to Cloud deployment has been delayed due to challenges with TOP tenant server deployment, licensing delays, and database performance issues.	<ul style="list-style-type: none"> <li>Delays in cloud deployment could impact or delay MDM, SSI, and CX/UX. Rushing cloud deployment could result in inferior deployment and result in negative public interactions.</li> </ul>	<ul style="list-style-type: none"> <li>DEO could evaluate resource allocation to ensure that additional time required for C2C project does not overburden resources. DEO could also assess the impact of the C2C delay on interdependent projects.</li> </ul>	<ul style="list-style-type: none"> <li>DEO successfully deployed the System to the cloud on 2/12/23 and no major production issues have been observed.</li> <li>DEO has verbally confirmed all requirements for the C2C deployment have been met. Final documentation is being compiled before closing this issue.</li> </ul>

Issue Name	Applicability	Assessment Dimension	Date Identified	Previous Issue Rating	Current Issue Rating	Issue Description	Impacts	Considerations	Actions Taken by DEO
<b>Delay in contract execution for the Systems Integrator</b>	<b>Program</b>	<b>Suppliers Management</b>	1/19/2022	<b>High</b>	<b>Closed</b>	Given contract execution for the Systems Integrator vendor was delayed by 4 months, this risk has been escalated to an issue. This issue has evolved to multiple other risks and issues that are being tracked separately.	<ul style="list-style-type: none"> <li>Delays in the SSI procurement have impacted and continues to impact dependent projects such as Rules Engine, SOA and API Layer, MDM, and CX/UX as well as those that have a dependency on these projects.</li> <li>The Program has needed to extend timelines or adjust scope to meet objectives.</li> <li>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 further change to meet critical Program objectives within the original timeline and secondary objectives being addressed over time via a continuous improvement approach.</li> </ul>	<ul style="list-style-type: none"> <li>DEO could continue to analyze and manage the impact of delays due to onboarding the SSI vendor on the Program and dependent projects.</li> </ul>	<ul style="list-style-type: none"> <li>All procurements have been completed.</li> <li>However, due to realized delays, this issue was consolidated under the issue "Impact from procurement delays within the Program have been realized" for monitoring and tracking.</li> </ul>

Issue Name	Applicability	Assessment Dimension	Date Identified	Previous Issue Rating	Current Issue Rating	Issue Description	Impacts	Considerations	Actions Taken by DEO
<b>Rules Engine Procurement Delay</b>	<b>Rules Engine</b>	<b>Suppliers Management</b>	2/8/2022	<b>High</b>	<b>Closed</b>	The Rules Engine kick off deck highlights a procurement of a Rules Engine product by 2/28. The issue was originally raised as a risk 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 now been onboarded, but rules engine procurement continues to prolong due to delays in procurement deliverables and in finalization of business rules in scope.	<ul style="list-style-type: none"> <li>Delays in the Rules Engine procurement have impacted the project schedule (i.e., a shift in project end date from July 2022 to June 2023) and could impact any dependent projects.</li> </ul>	<ul style="list-style-type: none"> <li>DEO could continue to manage the impact of delays in procuring Rules Engine on the Program and component projects.</li> <li>DEO could look to speed up the procurement process by faster decisions and by ensuring quality in deliverables that support procurements.</li> </ul>	<ul style="list-style-type: none"> <li>All procurements have been completed.</li> <li>However, due to realized delays, this issue was consolidated under the issue "Impact from procurement delays within the Program have been realized" for monitoring and tracking.</li> </ul>
<b>API Procurement Delay</b>	<b>SOA and API Layer</b>	<b>Suppliers Management</b>	3/1/2022	<b>High</b>	<b>Closed</b>	The SOA and API layer kick off deck highlights a procurement of an API layer product by 3/14. The issue was originally raised as a risk 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 now been onboarded, but the SOA and API procurement continues to prolong due to delays in procurement deliverables.	<ul style="list-style-type: none"> <li>Delays in the API layer Enterprise Service Bus (ESB) product procurement have impacted the project schedule (i.e., a shift in project end date from July 2022 to June 2023) and could impact any dependent projects.</li> <li>The scope of the SOA/API project is expected to change to fit within the June 2023 timeframe. A formal change request approving the decision is expected next quarter.</li> </ul>	<ul style="list-style-type: none"> <li>DEO could continue to manage the impact of delays in procuring API layer ESB product on the Program and component projects.</li> <li>DEO could look to speed up the procurement process by faster decisions and by ensuring quality in deliverables that support procurements.</li> </ul>	<ul style="list-style-type: none"> <li>It was confirmed by DEO that the SOA / API solution is part of the executed combined Technology Tool contract. Given this, the procurement has been completed.</li> <li>However, due to realized delays, this issue was consolidated under the issue "Impact from procurement delays within the Program have been realized" for monitoring and tracking.</li> </ul>



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<b>IAM Procurement and Project delays</b>	<b>Identity Mgmt. &amp; Access Control</b>	<b>Suppliers Management</b>	8/30/2022	<b>Medium</b>	<b>Closed</b>	The project continues to face procurement delays and could impact the IAM project schedule end date of 6/30/23, considering no contingency remaining in the schedule.	<ul style="list-style-type: none"> <li>There is a high likelihood of the procurement delay to have a cascading impact on the remaining procurement activities and the overall project end date of 6/30/23.</li> <li>It could also cause potential scope reduction or lead to unfulfilled project requirements. The vendor could be incentivized to take shortcuts that result in substandard work.</li> </ul>	<ul style="list-style-type: none"> <li>DEO could look to speed up the SOW reviews and identify parallel activity that can be done in other non-dependent project tasks.</li> <li>Additionally, the project could review any contingent time in the remainder of the schedule to adjust for the delays.</li> </ul>	<ul style="list-style-type: none"> <li>The IAM procurement is completed and the IAM vendor has been successfully onboarded. Given this, the issue is now resolved.</li> </ul>
<b>CX/UX Procurement Delay</b>	<b>CX/UX</b>	<b>Delivery Assurance</b>	9/2/2022	<b>Medium</b>	<b>Closed</b>	The CX/UX tool procurement has been delayed from its initially scheduled date in May 2022. The tooling procurement task continues to be pushed out despite subsequent date updates. The project awaits the completion of SSI's deliverables around architectural standards and tooling recommendation reports that are critical to the CX/UX procurement.	<ul style="list-style-type: none"> <li>CX/UX is a critical piece of the Reemployment Assistance Claims and Benefits Information System Modernization Program. The ongoing procurement delays continue to put pressure on project timelines, quality, and scope.</li> <li>A true impact analysis on the project scope and schedule cannot be completed at the time of writing the report since the CX/UX project schedule is still under DEO review.</li> </ul>	<ul style="list-style-type: none"> <li>DEO could look to speed up the SOW reviews and identify parallel activity that can be done in other non-dependent project tasks.</li> <li>Additionally, the project could review any contingent time in the remainder of the schedule to adjust for the delays.</li> </ul>	<ul style="list-style-type: none"> <li>DEO successfully procured a Technology Tools Vendor that will be supporting the CX/UX, SOA / API, and Business Rules Engine projects. Given the procurement is complete, this issue has been resolved.</li> <li>However, due to realized delays, this issue was consolidated under the issue "Impact from procurement delays within the Program have been realized" for monitoring and tracking.</li> </ul>

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Reporting project delayed	Reporting	Delivery Assurance	2/8/23	N/A	Closed	The Reporting project has been delayed and is not expected to be completed by January 31, 2023, as per the previously communicated end date.	<ul style="list-style-type: none"> <li>This delay could impact the resourcing of the Reporting project and the project success criteria.</li> </ul>	<ul style="list-style-type: none"> <li>The revised project schedule could be posted in ServiceNow once the change request is approved.</li> </ul>	<ul style="list-style-type: none"> <li>DEO has successfully deployed all reports in scope into production and closed out the project. This issue is now resolved.</li> </ul>
SDLC project delays	SDLC	Delivery Assurance	6/9/2022	Closed	Closed	Per the SDLC project schedule in ServiceNow, certain activities are delayed, and the project will not meet its initial proposed close-out date of June 30th. This issue was re-opened as the project didn't meet the updated end date of August 31.	<ul style="list-style-type: none"> <li>This delay has impacted the end date for the SDLC project.</li> </ul>	<ul style="list-style-type: none"> <li>The PM could continue to closely monitor the project schedule and activities in a way that ensure delivery of project objectives within the new approved end date.</li> <li>Additionally, the PM could continue to manage the impact of these delays.</li> </ul>	<ul style="list-style-type: none"> <li>Issue was re-opened when the SDLC passed its scheduled completion date.</li> <li>All SDLC data migration issues were resolved, and the project was closed out on 3/31/23 as part of change request 16. This issue has now been resolved and closed.</li> </ul>
MDM Procurement and Project Delays	MDM	Suppliers Management	8/30/2022	Closed	Closed	Per the project schedule in ServiceNow, the SOW for the MDM tool had to be completed by 8/23 but has been delayed. The current schedule has an end date of 6/30/23, however, it is unclear how these procurement delays could be accommodated with no impact to the project end date.	<ul style="list-style-type: none"> <li>There is a high likelihood of the procurement delay to have a cascading impact on the remaining procurement activities and the overall project end date.</li> <li>The project could see potential scope reduction or sub-standard delivery to still the meet the allotted timeframe.</li> </ul>	<ul style="list-style-type: none"> <li>DEO could look to speed up the SOW reviews and identify parallel activity that can be done in other non-dependent project tasks.</li> <li>Additionally, the project could review any contingent time in the remainder of the schedule to adjust for the delays.</li> </ul>	<ul style="list-style-type: none"> <li>No update. This is a carryover issue from previous reports.</li> </ul>

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Ongoing SSI deliverable delays	SSI	Delivery Assurance	9/30/2022	Closed	Closed	The SSI project is facing ongoing delays in its project with incomplete and rejected deliverables by DEO, due to quality issues, such as Deliverable 10 Architectural Standards and Deliverable 16 Tooling Recommendations report. The SSI vendor is developing a new approach that could have downstream impacts on the SSI project.	<ul style="list-style-type: none"> <li>The deliverable delays thus far have prolonged the SSI project schedule and even with the new deliverable methodology and schedule the project end date could push beyond June 30, 2023.</li> <li>SSI delays could impact other dependent projects that await its procurement and architecture related deliverables.</li> <li>Delayed development of architectural standards and to-be architecture state, could cause potential rework or procurement of incompatible tools.</li> </ul>	<ul style="list-style-type: none"> <li>DEO and SSI vendor could look to work collaboratively to finalize the new approach.</li> <li>Significant effort should be made to understand project dependencies.</li> <li>Procurement processes could have to be revisited and redefined considering the revised approach and timelines.</li> </ul>	<ul style="list-style-type: none"> <li>No update. This is a carryover issue from previous reports.</li> </ul>