

Prepared for
Florida Department of
Commerce

April 2024 Quarterly IV&V
Assessment Report

For period beginning January 1, 2024,
and ending March 31, 2024

Table of Contents

1.0	Introduction	2
2.0	Program Assessment	4
3.0	Risk Assessment Details.....	9
3.1	Strategy and Business Value	10
3.2	Governance	13
3.3	Delivery Assurance	15
3.4	Suppliers Management	19
3.5	Financials.....	20
3.6	People.....	20
3.7	Technology and Architecture.....	21
4.0	Issue Assessment Details	22
4.1	Strategy and Business Value	23
4.2	Governance	24
4.3	Delivery Assurance	25
4.4	Suppliers Management	30
4.5	Financials.....	30
4.6	People.....	30
4.7	Technology and Architecture.....	30

1.0 Introduction

The Florida Department of Commerce (FL Commerce) 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.

During the Covid-19 pandemic, FL Commerce 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. This unprecedented volume created significant pressure on FL Commerce, its employees, and especially its technology.

Over two years beginning in July 2021 and ending in June 2023, FL Commerce undertook the Reemployment Assistance Claims and Benefits Information System Modernization Program (RA Modernization), a significant effort to modernize the legacy system. RA Modernization successfully migrated FL Commerce's Reemployment Assistance Claims and Benefits Information System to the cloud to improve overall system performance, resiliency, and scalability; assessed business process improvement opportunities; assessed reemployment assistance's IT security posture and vulnerabilities; improved IT development processes and systems; and reviewed existing language in IT systems to identify plain language improvements.

Beginning July 2023, FL Commerce initiated the Year 1 of Continuous Modernization Program (Program) to continue to improve and modernize the legacy system using the assessments and lessons learned during the RA Modernization Program.

The Program is comprised of twelve projects including:

- Adjudication Workflow Management
- Appeals Workflow Management
- Chatbot
- Communications Plain Language
- Document Imaging System
- Incremental Customer Experience / User Experience (CX/UX)
- Independent Verification and Validation (IV&V)
- Product and Data Management (PDM) which was completed on March 25, 2024.
- Reporting
- Rules Catalog
- Strategic Planning Office (SPO)
- System Integrator (SI)

The purpose of this Quarterly IV&V Assessment Report is to outline the overall Program risk for the RA Continuous Modernization Program across a set of mutually agreed upon risk dimensions and categories.

IV&V Approach

Independent Verification and Validation (IV&V) services for the Program began on July 1, 2023. 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.

FL Commerce 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. FL Commerce 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 FL Commerce Program Leadership with guidance to consider for the mitigation of identified risks. This supports the Department in risk mitigation while allowing IV&V to maintain its independence and objectively evaluate risk mitigation over time. Additionally, the guidance may include enhanced advisory support in the form of Leading Practices Guidance for key risk areas to enhance the understanding of the risk, mitigation strategies, and how to apply them to the Program. The Leading Practice Guidance areas will be jointly agreed upon by FL Commerce and IV&V depending on the area of the biggest need.
3. FL Commerce 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 FL Commerce-approved documents. IV&V may request additional documentation as needed.
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 FL Commerce 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 FL Commerce 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 Reconnect 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	
Strategy and Business Value	Business Strategy Alignment	Benefits Realization
Governance	Executive Support Program Tracking Communication and Collaboration	Program Organization Risk and Issue Management
Delivery Assurance	Scope Management Quality Assurance Post Release Support	Software Development Lifecycle Mitigation and Release Strategy
Suppliers Management	Sourcing Strategy and Contracts Suppliers Knowledge Transfer	Supplier Performance
Financials	Financial Baseline Financial Tracking	Change Requests Estimation
People	Program Organization Staffing Training	Organizational Change Management
Technology and Architecture	Architecture and Design Architecture Quality	Architecture and Technical Governance Data Management

2.0 Program Assessment

This quarterly assessment covers the RA Continuous Modernization Program for the reporting period beginning January 1, 2024, and ending on March 31, 2024. Figure 1 summarizes the level of risk across the seven assessment dimensions described in Table 1 from the previous section.

Figure 1. RA Continuous 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.

Since the previous Quarterly Assessment Report (January 2024 Quarterly IV&V Assessment Report):

- The CX/UX project successfully deployed its January 2024 release. While 24 production defects have been identified since the January 2024 release, the project team continues to identify and resolve these defects in a timely manner which is shown by the fact that only 5 defects currently remain.
- On March 26, 2024, FL Commerce announced the RA Continuous Modernization Program would transition program management and system integration responsibilities to internal staff. As a result, the Strategic Planning Office (SPO) and System Integration (SI) vendor contracts will not be extended past their current end dates in April 2024. Careful management of the transition from vendors to internal staff is required to avoid impacting the ability to complete the current Program phase ending June 30, 2024 as planned. The SPO vendor provides program management, project management, a project management Center of Excellence (COE) and organizational change management support to the Program. The SI vendor provides system integration support to the Program in test management, IT architecture, IT security and business strategy development. Some responsibilities have been assigned to internal resources, but there has been limited transition planning or knowledge transfer conducted to date which could impact the Program as it concludes this phase.
- All projects have either entered into their Execution phase or have been closed out. This is significant progress for the Program, and it has forced project teams to focus on benefits realization, activity prioritization, and time management to ensure that the most value is created by the Program. Leadership is working with project teams to assess the scope of each project, prioritize the most important scope items, and remove lower-priority or obsolete scope items before the conclusion of this Program phase on June 30, 2024.
- Risk in the following dimensions has remained constant.
 - Risk in the **Governance** dimension remains high. Program and project management activities are transitioning from external vendors to internal teams as the Program nears its completion. This transition could impact the efficiency of program and project decision-making and oversight as the Program is driving toward the end of its current Program phase.

- Risk in the **Suppliers Management** dimension remains medium. Vendor support of the transition of vendor responsibilities to internal staff is required to avoid impacting the ability to complete this Program phase as planned.
- Risk in the **Technology and Architecture** dimension remains low. The Program has largely made major technological decisions throughout the Program which have reduced risk across its projects. An example of this was a recent decision related to data management that ensured that FL Commerce planned for masking sensitive data in their test environments in a timely manner.
- Risk in the following dimensions has increased.
 - Risk in the **People** dimension has increased to high. At the time of this report, program and project management activities are transitioning from external vendors to internal teams. While processes have been outlined, the decision to allocated specific FL Commerce resources to address programmatic responsibilities has not been addressed.
 - Risk in the **Financial** dimension has increased to high. Project level financials have not been observed for several months.
 - Risk in the **Delivery Assurance** dimension has increased to medium. There has been inconsistent formal documentation and planning activities for testing across several projects as well as a lack of well documented Go/No-Go decision criteria which could delay Go/No-Go decision making.
- Risk in the following dimension has decreased.
 - Risk in the **Strategy and Business Value** dimension has decreased to low. FL Commerce has made significant progress with updating and approving their project plans which has increased the clarity of project scope and timelines for the remainder of the Program year.

At present, there are two Low risk dimensions. If any risk associated with these dimensions is realized there would be minimal impact to Program success:

- **Technology and Architecture** – Risk in this dimension is at a low.
 - The Adjudication Workflow Management, Document Imaging and Chatbot projects have defined how technical integration with other RA systems (i.e., Reconnect and Genesys) will occur. The Program evaluated project requirements and timelines to fully understand impacts of these decisions.
 - FL Commerce leadership evaluated the impacts of a proposed upgrade of the Pega platform which would have impacted several inflight projects (i.e., Incremental CX/UX, Adjudications Workflow Management) and decided to defer the upgrade until after the projects are completed.
 - The Program team has determined its approach to the use of sensitive production data in lower test environments. Instead of masking sensitive production data, the team will create test data that does not include sensitive production data. This test data creation process is in progress and expected to be completed later this year.
- **Strategy and Business Value** – Risk in this dimension is at a low:
 - There has been significant work to assess the remaining scope of work that must be completed before the end of this Program phase on June 30, 2024. (i.e., the Incremental CX/UX project has identified ~60 fact finding questionnaire to complete).

The Program leadership has focused on this remaining scope and has committed to executing on this work over the next several months.

- Since the last reporting period, four projects have officially exited their planning phase and have entered their execution phase (i.e., Adjudication Workflow Management, Appeals Workflow Management, Document Imaging and Product and Data Management). At this time, all CM projects are currently in the execution phase.
- The Product and Data Management project finalized their project scope, charter and deliverables format. The Product and Data Management project closed on March 25, 2024 as the project team was able to confirm that the remaining work required for this new scope was completed.

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:

- **Suppliers Management** – Risk in this dimension is at a medium and the key contributing factors include:
 - The announcement that FL Commerce will transition vendor responsibilities to internal staff and not extend vendor contracts reduced the uncertainty on how the Program would address vendor responsibilities going forward. There has been limited transition planning or knowledge transfer conducted to date which could impact the Program as it concludes this current phase.
- **Delivery Assurance** – Risk in this dimension is at a medium and the key contributing factors include:
 - There has been inconsistent formal documentation and planning for testing across several projects, including Chatbot, Adjudication Workflow Management, and Document Imaging. Further, there is a lack of clarity on testing roles and responsibilities across multiple projects throughout the Continuous Modernization Program. However, the overall risk in this area has decreased over time as more detailed project plans have been shared and project teams are working to update test plans.
 - There is also a lack of well-documented and data-driven Go/No-Go decision criteria consistently communicated across the Program. While this lack of consistency could facilitate a poor Go Live decision making, the Program has made progress to update and refine their Go/No-Go process and share best practices across the Program.
 - Over the past quarter, FL Commerce refined their security testing responsibilities for critical high priority projects (i.e., CX/UX Implementation) and clarified plans to ensure critical internal and external applications impacted by the RA Modernization project are tested prior to deployment. As this project nears its end, the FL Commerce Program is looking to make this more consistent and universal across its Program.

There are three 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.

- **Financials** – Risk in this dimension is high and key contributing factors include:
 - The latest available spend plan for the Program is from November 2023, which is multiple months out of date. Furthermore, based on the November 2023 Continuous Modernization Spend Plan, the Program is not tracking planned (baselined) vs. actual expenditures for some projects (e.g., CX/XU, SSI, and Chatbot). Rule 60GG requires

monthly tracking of plan vs. actual expenditures for each project and these spend plans do not provide this level of information.

- With the change of program managers, regularly scheduled Program financial meetings which were used to reconcile the Continuous Modernization Spend Plan have not been occurring on a regular basis. Project tracking of financials has also been inconsistent with the departure of the previous Program Manager. This lack of oversight of project financials is critical as it introduces the risk that projects might exceed their budgets leading to cost overruns to deliver required functionality or benefits.
- **Governance** – Risk in this dimension is high and key contributing factors include:
 - With the transition of program and project management responsibility from vendor to internal resources there is the risk that governance of the Program could be negatively impacted. This could include limited program/project oversight, limited adherence to program processes and standards, and discontinuation of key governance meetings. These risks may impact the successful completion of projects currently managed by the SPO vendor (i.e., Incremental CX/UX, Adjudication Workflow Management, Appeals Workflow Management).
- **People** – Risk in this dimension is high and the key contributing factor is:
 - Vendor responsibilities for program management, project management and system integration are transitioning to internal resources. However, there is not a comprehensive transition plan in place that identifies specific internal resources to address specific vendor responsibilities, or a timeline to conduct this transition. The transition is further complicated by the limited time available to complete the transition given the expiration of vendor contracts and need to complete this Program phase by June 30, 2024. FL Commerce is in the process of identifying internal resources with the capability and capacity to address the vendor responsibilities.

In this reporting period, improvements in Program performance or other changes in Program circumstances resulted in closing the following risks and issues. Please see Sections 3 and 4 for additional details on these items.

Table 2. Risks / Issues closed in this Reporting Period

Risk Dimension	Risk / Issue	Current Risk / Issue Rating	Risk / Issue Name
Governance	Risk	Closed	Governance structures (e.g., roles and responsibilities) defined for CX/UX project activities is not being implemented effectively
Delivery Assurance	Issue	Closed	Plan for Security Testing for the CX/UX Project is unclear
	Issue	Closed	Lack of a defined SDLC approach for CX/UX
	Issue	Closed	Incremental claimant rollout approach (i.e., soft launch) has not been defined
	Issue	Closed	Delays in performance requirements deliverable
	Risk	Closed	Go/No-Go decision criteria and checklists have not yet been tailored to the CX/UX project
	Risk	Closed	Product and Data Management project approach is not aligned to best practices

	Risk	Closed	Test plan for CX/UX January 2024 deployment not defined
--	------	---------------	---




In this reporting period, the following risks and issues were identified. Please see Sections 3 and 4 for details on how the Program is working with relevant stakeholders to address these items.

Table 3. Risks / Issues opened in this Reporting Period

Risk Dimension	Risk / Issue	Current Risk / Issue Rating	Risk / Issue Name
Governance	Issue	Low	Key Program Management activities are not being conducted
Suppliers Management	Risk	Medium	Uncertainty around program and project management leadership capabilities
Delivery Assurance	Risk	High	Limited management of the CM Program financials
	Risk	High	SI contract has not been realigned to new scope of work
	Risk	Low	Gaps observed in ChatBot test planning and reporting

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.
- **Date Identified** – specifies the initial date the risk was identified.
- **Previous Risk Rating** – shows how the risk was rated in the last quarterly report. The “Previous Risk Rating” for a risk opened in this reporting period will be “N/A”.
- **Current Risk Rating** – shows how the risk 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 FL Commerce 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 FL Commerce to consider regarding addressing or mitigating the risk.
- **Actions Taken by FL Commerce** – summarizes key actions taken by FL Commerce regarding the risk, including actions contributing to the risk closure.

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 FL Commerce
Informal Benefits Realization Approach	Program	10/26/2021	Medium	Medium	<ul style="list-style-type: none"> A formalized benefits realization strategy and plan with clear metrics and progress towards a target benefits tracking approach is not yet in place for the Program and its individual projects. The Program did not review benefits with the Workgroup since January 2024, possibly due to the departure of the previous SPO Program Manager. 	<ul style="list-style-type: none"> Lack of a benefits realization strategy makes it challenging to determine if an individual project, or the Program as a whole, has achieved expected benefits. Without agreed upon key performance indicators (KPIs), stakeholders may disagree on the degree of which 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. 	<p>Building upon the current Benefits Realization tracker, FL Commerce should consider the following items to track the benefits realization progress:</p> <ul style="list-style-type: none"> Finalize the set of target benefits, specific measures, and a process for reporting on progress to key stakeholders. The Program should consider changes to manage benefits realization more effectively, including rationalizing benefit measures, establishing roles to manage the process, and tracking benefits attainment. 	<ul style="list-style-type: none"> SPO and the Workgroup have identified the benefits and related measures for the new projects, including Adjudication Workflow Management, Appeals Workflow Management, and Document Imaging as of January 25, 2024. As of the end of this reporting period, the benefit tracker includes drafted benefits for all the Continuous Modernization projects.

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by FL Commerce
Lack of approved Rule 60GG Initiation and Planning deliverables	Program	10/30/2023	Medium	Medium	<p>Four out of twelve projects had unapproved Rule 60GG Initiation and Planning deliverables until the end of February 2024, which is nearly eight months into the Continuous Modernization Program.</p> <p>In February 2024, this risk was high because IV&V observed project execution risks associated with two projects' unapproved Rule 60GG deliverables, including the SI project's Project Management Plan and the Document Imaging's project schedule and test plan. These documents have been approved at the end of this reporting period and the risk level has been reduced to medium.</p> <p>IV&V observed that this is happening due to various reasons:</p> <ul style="list-style-type: none"> • Project Managers working on Rule 60GG deliverables for projects that are well into the execution phase. • Cumbersome and long deliverable review cycles that take 20+ days to be approved. • Change in project direction or lack of scope finalization. 	<p>Lack of finalization of the required initiation and planning activities could impact:</p> <ul style="list-style-type: none"> • Time available to complete project execution activities (e.g. solution development). • Alignment between project participants on milestones and tasks required to deliver a project, resulting in delays and key tasks not addressed. • Alignment between project participants on how key project processes will be delivered (e.g., communications, schedule management, quality management, resource management), impacting the effectiveness of the project team. • Clarity on testing approach, impacting quality of solution that is deployed. 	<ul style="list-style-type: none"> • SPO should establish timelines to review and approve all outstanding Rule 60GG deliverables. 	<ul style="list-style-type: none"> • At the end of this reporting period, ten out of twelve projects have completed the Initiation and Planning phases and are in the Execution phase. The only projects in the Planning phase are SI and Reporting. • SPO has been updating the Rule 60GG deliverables tracker regularly and adding target completion dates.

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by FL Commerce
Lack of a plan for CX/UX beyond the January 2024 release	CX/UX	11/13/2023	High	Closed	<ul style="list-style-type: none"> If the CX/UX project does not plan beyond the January 2024 release, there is a risk that forward momentum on the CX/UX project will stall delaying the delivery of CX/UX functionality to RA stakeholders (e.g., claimants, employers and third-party administrators) and FL Commerce staff. The CX/UX project is planning to deliver a January 2024 release that focuses on Initial Claims, DUA claims and Fact-Finding questionnaires. To support a strong focus on the January 2024 release and due to limited staff availability to support planning, FL Commerce is not actively planning on what functionality will be delivered by the CX/UX project after January 2024. 	<p>If the CX/UX project does not plan beyond the January 2024 release, the risks are:</p> <ul style="list-style-type: none"> The project timeline will be extended as project planning will begin after the January 2024 release. Project delays might be introduced due to lack of clarity on what design and development activities are required after the January 2024 release. Project resources and funding might not be deployed optimally to meet the objectives of the CX/UX project until project planning is complete. Project forward momentum might stall if project team members are assigned to other responsibilities during the planning phase. 	<ul style="list-style-type: none"> FL Commerce should identify the long-term technical solution for the CX/UX project. This will reduce the risk of rework if another technical solution is identified at a future date. FL Commerce should identify resources that don't have responsibilities for the delivery of the CX/UX January 2024 release to drive the planning for the post-January 2024 releases. FL Commerce should break down planning for post-January 2024 releases into three-month Project Increments (PI), which would identify the set of priorities for the CX\UX releases for a three-month period. 	<ul style="list-style-type: none"> This risk was closed in February 2024, given this risk has been accepted by the Program. FL Commerce has decided to focus staff on the successful deployment of the January 2024 CX/UX release and then focus on planning future CX/UX activities. Since the January 2024 release, CX/UX vendor has been conducting maintenance and operations (M&O) work, adding the remaining fact-finding questionnaires, and adding the PIN and security questions to the claim intake form.

3.2 Governance

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by FL Commerce
Project Management standards and best practices are not consistently being followed for CX/UX	CX/UX	9/1/2023	High	Low	PM best practices and standards defined for the Program are not consistently followed in the CX/UX project. Some of IV&V's related observations are: <ul style="list-style-type: none"> • Critical gaps in CX/UX status reporting to communicate January release status against the planned items. • The Program RAID log in ServiceNow has not tracked all the CX/UX January release risks. • Limited use of agile metrics to track burndown, velocity, and test execution. • Deviation from Rule 60GG, which requires Earned Value management by tracking planned vs. actual metrics. 	<ul style="list-style-type: none"> • Inconsistent application of PM best practices and standards makes it challenging to effectively monitor the January release for CX/UX and ensure the project is on track to meet planned milestones and mitigate any potential delays. 	<ul style="list-style-type: none"> • The weekly status report should include information on post-production defects and progress in addressing them, as well as work on additional features. Regular, detailed reports will provide the team with visibility, help resolve blockers quickly, and improve planning and execution. • Standup meetings should be more structured with updates from both front-end and backend teams to discuss the project as a whole. Follow-ups on key items from previous meetings, as well as discussions on risks and issues, should be included to ensure team support, address blockers, and mitigate potential schedule risks. 	<ul style="list-style-type: none"> • This risk has been lowered to a Low risk level as the project management practices have progressed. • The CX/UX team has provided updates in weekly status reports, including metrics such as the number of user stories completed, number in build, number of defects found. • The CX/UX team has facilitated more information sharing in standups (three times a week) and weekly governance meetings. • The CX/UX team and the CX/UX vendor are conducting daily meetings to ensure work is on track. • The CX/UX team has been using the vendor Agile development tool to track sprint work.

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by FL Commerce
<p>Governance structures (e.g., roles and responsibilities) defined for Project activities is not being implemented effectively</p>	<p>Program</p>	<p>1/31/2023</p>	<p>Medium</p>	<p>Closed</p>	<ul style="list-style-type: none"> There is a lack of clarity around roles and responsibilities and the necessary interaction that must occur between various stakeholder groups in a project, such as FL Commerce (Business and IT), SPO, and SI. Governance structures have been defined but not consistently implemented. There is also a significant overlap of roles and responsibilities. 	<ul style="list-style-type: none"> Lack of clarity is causing confusion around tasks such as requirements management including requirements traceability, testing including integration and UAT testing, and project reporting. As a result, some of these tasks are not performed or done without a sufficient level of quality. 	<ul style="list-style-type: none"> FL Commerce should finalize the RACI and the Release Process Flow roles and responsibilities documents, which should then be implemented throughout the Program to guide various handoffs among parties. Additionally, the accountability of ensuring the governance is being applied should also be defined with clear establishment of tracking mechanisms. 	<ul style="list-style-type: none"> This risk has been closed as of March 2024. Roles and responsibilities within the CX/UX project for Phase 2 and Phase 3 are clearer and all parties appear to know their tasks and their roles on the project, including SPO, the CX/UX vendor, FL Commerce IT, and RA Business. FL Commerce held a meeting in January to discuss roles and responsibilities and confirm the process, especially in relation to using existing cross-functional Agile teams.

3.3 Delivery Assurance

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by FL Commerce
SI contract has not been realigned to new scope of work	SI	1/5/2024	N/A	Medium	<ul style="list-style-type: none"> The SI vendor's role and responsibilities on the project remain undefined. Amendment 5 is in progress, but the delay in completing and approving the amendment has led to confusion with the SI vendor and across the Program. SI was planning to participate in the CX/UX testing, but based on IV&V's observations, they did not perform any testing. Other CM projects remain unsure what, if any, role SI will have in their work or testing. 	<ul style="list-style-type: none"> If SI's role remains undefined, the CM Program will lose more opportunities to use the vendor's expertise for oversight of testing and integration activities. 	<ul style="list-style-type: none"> FL Commerce should work with the SI vendor to determine an appropriate role for the CM Program to be documented and approved in Amendment 5. This should happen as soon as possible to ensure SI's expertise is used as envisioned when they were brought into the Program. 	<ul style="list-style-type: none"> At the end of this reporting period, this risk is trending down as the SI contract (C3272) is scheduled to end on April 3, 2024. Internal resources are expected to coordinate outstanding SI responsibilities. FL Commerce has continued the discussion with SI to finalize Amendment 5 to C3272, which was drafted in early February, but went through multiple rounds of reviews between both parties.
Lack of Requirements Traceability between approved CX/UX project requirements and Pega user stories	CX/UX	10/30/2023	Medium	Medium	<ul style="list-style-type: none"> The CX/UX vendor is developing user stories to support a deployment of initial claims and DUA claims by the January 2024 CX/UX release. However, there is limited traceability between the existing approved CX/UX requirements, and the user stories being developed. 	<p>If traceability is not established between approved CXUX requirements and user stories being developed by CX/UX vendor there is a risk that:</p> <ul style="list-style-type: none"> Required functionality might not be available. Required technical requirements, such as infrastructure requirements, might not be addressed impacting ability to support and extend the solution. Required compliance requirements, including Section 508 accessibility and security requirements, might not be addressed impacting Departmental compliance with regulatory requirements. 	<ul style="list-style-type: none"> The CX/UX team should execute the Workgroup decision regarding the disposition of the original requirements. The CX/UX team should review approved CX/UX requirements applicable to the January 2024 CX/UX release and establish traceability between these requirements and CX/UX vendor's user stories to ensure they are addressed in the release. 	<ul style="list-style-type: none"> The CX/UX team presented an executive briefing sheet associated with the disposition of the original requirements to the Workgroup for a decision on March 28, 2024.

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by FL Commerce
Gaps observed in ChatBot test planning and reporting	ChatBot	2/5/2024	N/A	Low	<p>IV&V observed a need for more formal planning and reporting of the ChatBot testing activities. The ChatBot project team has been informally reporting testing progress at weekly meetings. UAT is the only test type that has documented test results in the Test Execution documents. Gaps in testing management that may impact product quality include:</p> <ul style="list-style-type: none"> The smoke, functional, usability (including ADA compliance) and cross-browser testing, planned in the test plan (updated 2/22/2024) needs to be planned and reported in the project schedule, weekly status reports, and test results documentation. The tracking of defects in the UAT Test Execution documents lacks an audit trail for each defect (at a minimum, including an opened date and a resolved date). 	<ul style="list-style-type: none"> If gaps in ChatBot testing are not addressed, the testing activities may not catch quality issues impacting user experience in production. 	<ul style="list-style-type: none"> The ChatBot team should continue to document and report test results and defects found from each test type with a basic audit trail (defects open date and resolved date). Plans and progress should be reflected in the project schedule, weekly status reports, and other testing results documents. The ChatBot team should leverage the UAT entry and exit criteria to determine when the system is ready to enter and finish UAT for the self-service and agent escalation phases of the ChatBot solution. 	<ul style="list-style-type: none"> This risk has been lowered from High to Low given the progress made in reporting test results and defect resolution. The ChatBot team started to manage planned dates in the ServiceNow schedule and the actual dates of each test type in an Excel timeline in March. The ChatBot team has conducted and tracked test types including UAT (English, Spanish, Creole), smoke, functional, cross-browser/environment, usability, ADA 508 compliance, and ADA JAWS testing. The ChatBot team has updated the test plan to include the recommended UAT entry/exit criteria, details of each test type, and reporting plans.

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by FL Commerce
Go/No-Go decision criteria and checklists have not yet been tailored to the CX/UX project	CX/UX	9/19/2023	High	Closed	<ul style="list-style-type: none"> The Center of Excellence (COE) distributed Go/No-Go criteria including checklist in August 2023, but the CX/UX project team's update to reflect the project-specific needs, is still not complete at the end of this reporting period. The Go/No-Go meeting on January 5, 2024 discussed the Go/No-Go checklist. Gaps observed include unclear target dates for ongoing tests, misuse of the "Date Completed" column for anticipated completions, and lack of detailed notes on each checklist item to ensure timely completion. 	<ul style="list-style-type: none"> Not having a set of clearly defined and agreed upon entry and exit criteria for each phase before deployment, such as system testing, integration testing, UAT, Go/No-Go and Release, means that proper procedures might not be followed before entering each phase and creates the risk that an incomplete solution may be released into production, or it may still have significant quality issues. Also, without a single source of truth for the criteria that everyone has agreed to follow, each party may have a distinct set of entry and exit criteria that they may be following on their own, resulting in misaligned expectations and additional delays. 	<ul style="list-style-type: none"> FL Commerce should report weekly on the progress of meeting readiness criteria for the January 2024 CX/UX release. The customized checklists should be socialized with all project team members to ensure awareness, alignment, and adherence to the criteria. To best leverage the Go/No-Go checklist, it is recommended to set clear target dates for ongoing testing activities, use the "Date Completed" column for actual completion dates, and add detailed notes for each checklist item to track progress and resolve potential issues. 	<ul style="list-style-type: none"> This risk has been closed because the CX/UX project team leveraged the Go/No-Go checklist in the final Go/No-Go decision meeting, which led to the decision of the planned January 11 go-live date. The CX/UX project team held a meeting on January 5, 2024, to discuss items on the Go/No-Go checklist.
Product and Data Management project approach is not aligned to best practices	Product and Data Management	10/18/2023	High	Closed	<ul style="list-style-type: none"> Until the project charter was approved on February 26, 2024, the PDM project was in Initiation phase, and there was no alignment on the objectives, the scope boundaries, and approach to delivering the project. Key gaps in approach include the lack of alignment on the desired deliverable format, slow progress in building consensus, and no approved Rule 60GG deliverables to align project stakeholders. Inconsistent documentation of meetings, RAID items, and status reports limited progress. 	<ul style="list-style-type: none"> Not following the best practice approach may result in unnecessary time spent, lack of adoption of work products, and, hurting the momentum and buy-in for subsequent data governance initiatives. 	<ul style="list-style-type: none"> The PDM project team should finalize a project charter and baselined the project schedule. These should include measurable activities and desired results before the conclusion of the project in June 2024. 	<ul style="list-style-type: none"> This risk has been closed because the PDM project charter was approved on February 26, 2024, which contains a finalized project scope and approach. The Workgroup approved the updated scope and detailed deliverable format in January 2024 (ServiceNow Decision 1468). The PDM project coordinated discussions among IT, Business, and WSER teams to align on the deliverable format that is reproducible and compliant with FLDS regulations for the Data Dictionary and Data Catalog.

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by FL Commerce
Test plan for CX/UX January 2024 deployment not defined	CX/UX	11/13/2023	High	Closed	<ul style="list-style-type: none"> There is no comprehensive test plan for the January 2024 CX/UX release. It is unclear what types of testing will be conducted to support the release (e.g., performance, integration, Section 508 compliance). The SI has created test plans for integration testing and UAT but they were not approved until January 2024. FL Commerce begun UAT and integration testing in December 2023. It is unclear how FL Commerce and SI testing efforts will be coordinated. Although UAT started in the week of December 4, 2023, by the FL Commerce team, there has been no reporting testing progress and results. 	<p>Lack of a testing plan:</p> <ul style="list-style-type: none"> Leads to confusion around responsibilities for various types of testing. Creates the risk that defects are not identified prior to deployment to production impacting quality of the solution. Creates the risk of delays as issues with the solution may not be caught and addressed in a timely manner. 	<ul style="list-style-type: none"> A test plan for the CX/UX January release should detail out all in-scope testing, which may include integration, UAT, Section 508 accessibility, cross browser, performance, scalability, and security. FL Commerce and SI should clarify testing roles and responsibilities in a documented test plan. CX/UX and SI should ensure that responsible parties write test cases for each testing type prior to the start of each test and follow the defined test plan. 	<ul style="list-style-type: none"> This risk has been closed as of January 2024 as UAT and integration test plans by SI were approved by the Workgroup. SI finalized the test plans, but they were not used for the January release.
Ability to conduct Performance testing for the CX/UX January 2024 release	SI	12/12/2023	High	Closed	<ul style="list-style-type: none"> Performance testing details have not been defined or approved. It's unclear what specific components of CX/UX will be tested, how overall performance of the system will be tested, and by whom. It is unclear how the SI's deliverable on performance requirements will be used to conduct more detailed performance testing in time for the January 2024 CX/UX release. It is unclear what SI's role is in performance testing. As of December 2023, there is no performance testing planned for the front-end before deployment of the solution into production, although there is performance testing planned for the back-end. The CX/UX vendor plans to use their Predictive Diagnostic Cloud (PDC) software after the go-live date to monitor performance. 	<ul style="list-style-type: none"> If specific test plans including roles and responsibilities are not defined and approved, adequate performance testing may not be performed in advance of go live to validate performance of the system is adequate. If performance testing only includes a subset of system components, the results may not provide assurance that all system components have adequate performance. 	<ul style="list-style-type: none"> Since full performance testing is not planned of the go-live date, FL Commerce should document this decision and an associated mitigation plan to ensure that expectations are clearly communicated to stakeholders. CX/UX should request regular delivery of the PDC performance reports from the vendor. Once SI's deliverable on performance requirements is finalized and approved, the CX/UX vendor and FL Commerce should work together to ensure that metrics being used to evaluate performance in PDC align with the requirements established in the SI deliverable. 	<ul style="list-style-type: none"> This risk has been closed as it was accepted by FL Commerce. FL Commerce decided not to conduct any performance testing of the CX/UX front-end solution for the January 2024 release. Instead, performance was monitored using the PDC software post go-live. The CX/UX team completed the performance testing for the backend on December 22, 2024.

3.4 Suppliers Management

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by FL Commerce
Uncertainty around program and project management leadership capabilities	Program	3/8/2024	N/A	Medium	<ul style="list-style-type: none"> The SPO contract is due to expire in April 2024. The SPO contract provides the following support to CM: a Senior Project Manager responsible to oversee the CM Program, a team of up to 25 Project Managers, a project management center of excellence, and the delivery of program and project management services. On 3/26, FL Commerce announced that CM vendor contracts including the SPO contract will not be renewed. Internal resources are expected to address Program and Project management responsibilities going forward. There is not a clear plan to conduct knowledge transfer and transition from SPO vendor to internal resources. 	Without a defined approach to deliver CM Program and Project Management services, the potential impacts include: <ul style="list-style-type: none"> The Program and projects might not meet their objectives due to lack of project management capacity and capabilities. Good program / project management practices might not be followed increasing delivery risk. Key program / project processes (e.g., project planning, communication, risk and issue escalation) might not be managed effectively impacting FL Commerce ability to manage the CM Program. The CM Program could be out of compliance with Rule 60GG requirements. 	<ul style="list-style-type: none"> FL Commerce should establish a timeline to evaluate options to address Program and Project Management services for CM going forward including: <ul style="list-style-type: none"> Evaluate internal EPMO capabilities and capacity. Evaluate benefits and risks of leveraging an external vendor. The timeline should consider the potential need to conduct a procurement and/or conduct knowledge transfer activities from the current SPO vendor. 	<ul style="list-style-type: none"> FL Commerce identified a resource to address Program Management responsibilities.

3.5 Financials

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by FL Commerce
Limited Management of the CM Program financials	Program	3/22/2024	N/A	High	<ul style="list-style-type: none"> If the CM Program does not adequately manage Program financials, there is a risk of cost overruns or projects not being completed due to lack of funds. The most recent spend plan available is from November 2023 and is now almost five months out of date. The November 2023 RA CM Spend Plan shows that planned vs. actual expenditures aren't being tracked for some projects, which is a requirement under Rule 60GG. Financials in ServiceNow aren't being updated with planned vs. actual costs for certain projects, including CX/UX, Adjudication Workflow Management, and Document Imaging. Program meetings to reconcile the RA CM Spend plan and project tracking of financials have been discontinued since the previous Program Manager left. Change Request CR#19, approved on February 22, 2024, doesn't document specific dollar changes to the CX/UX project budget, but rather provides a general statement about reduced costs. 	<ul style="list-style-type: none"> Projects might exceed their budgets leading to cost overruns to deliver required functionality or benefits. Some projects might not complete all planned activities, leading to incomplete functionality being delivered or potential quality issues. Projects delivered on Time and Material (T&M) basis, including CX/UX, Adjudication Workflow Management, and RA Help Center, might exceed their budgets. There could be inefficient allocation of funds to projects or activities that provide less benefits to FL Commerce and its stakeholders. The Program might be out of compliance with Rule 60GG requirements. 	<ul style="list-style-type: none"> FL Commerce should update the Spend Plan to reflect current Program and Project finances. FL Commerce should update its financial management processes to begin tracking planned vs. actual project expenditures monthly in compliance with Rule 60GG requirements. FL Commerce should ensure that Change Requests accurately document changes to Program and Project budgets. FL Commerce should provide project managers visibility to project budgets to ensure that project activities are aligned with the budget. This is especially important for T&M projects. FL Commerce should reinstate processes to align Spend Plan with project level tracking of budgets. 	<ul style="list-style-type: none"> In March 2024, FL Commerce shared that more recent spend plan and Operational Work Plans (OWPs) will be made available soon, once the teams have caught up with RA Modernization monthly reports.

3.6 People




There are currently no open risks in this dimension.

3.7 Technology and Architecture

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by FL Commerce
Immature test data management processes	Program	2/2/2023	Medium	Medium	<ul style="list-style-type: none"> FL Commerce's current test data management processes use a copy of production data in testing environments. However, this data is not masked. Using unmasked test data is a security risk, especially when multiple vendor groups would be involved in various testing phases in this Program. 	<ul style="list-style-type: none"> Using unmasked production data in testing environments increases the risk of unauthorized access of the data. This risk is partially mitigated by the controls in place to limit access to testing environments. 	<ul style="list-style-type: none"> FL Commerce needs to find a balance between the quality and security of test data instead of using unmasked production data for all types of testing. FL Commerce could explore the use and generation of synthetic (or dummy) data for testing especially when external vendor's testing activities have limited security controls in place. FL Commerce could also involve the Security team to better understand Florida's 60-GG cybersecurity standards that inhibit the use of production data in lower environments and to validate access controls to testing environments. 	<ul style="list-style-type: none"> The team has shifted its strategy from masking sensitive production data to creating test data without sensitive information, with completion expected by August 2024, as discussed in the RAID meeting on March 14, 2024.

4.0 Issue Assessment Details

This section describes risks that have been realized within the Continuous 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.
- **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 in the last quarterly report. The “Previous Issue Rating” for a risk opened in this reporting period will be “N/A”.
- **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.
 - When an issue has been sufficiently addressed or resolved, the issue is marked “closed.” Closed issues will only be listed in the quarter they were closed and will not appear in future quarterly reports unless the issue is reopened.
- **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 FL Commerce to consider regarding addressing the issue.
- **Actions Taken by FL Commerce** – summarizes key actions taken by FL Commerce to address the issue, including actions contributing to the issue closure.

4.1 Strategy and Business Value

Issue Name	Applicability	Date Identified	Previous Issue Rating	Current Issue Rating	Issue Description	Impacts	Considerations	Actions Taken by FL Commerce
Plan for Continuous Modernization – Year 2 is undefined	Program	2/2/2023	Medium	High	<ul style="list-style-type: none"> The current program phase, CM Program – Year 1, is scheduled to conclude by June 2024. The next program phase, CM Program - Year 2, is expected to start in July 2024. However, project activities for the next phase are still not defined and there are no clearly documented plans that describe what the Program is going to execute on after completion of the current Program phase in June 2024. This issue has been increased to High from the previous quarter because the timeline for closing CM – Year 1 is drawing closer while there continues to be ambiguity. 	<ul style="list-style-type: none"> Lack of clear plan for the next phase of Continuous Modernization can impede the timely start of project execution activities after June 2024. Project teams might not be clear on priorities when this phase starts resulting in inefficient use of CM project resources. An extended planning phase could impact the time available for projects to execute on project activities. It might be difficult to comply with Rule 60GG requirements if projects are both planning for a project and executing on a project at the same time. 	<ul style="list-style-type: none"> FL Commerce should start discussions and planning for the CM Program – Year 2 phase: <ul style="list-style-type: none"> Identify the projects will be delivered as part of CM Program – Year 2. Document the associated objectives, scope, budget, timelines, and resource requirements for CM Program – Year 2 projects. Start process of creating Rule 60GG Initiation and Planning deliverables for CM Program – Year 2 projects. Establish timelines to complete these deliverables. 	<ul style="list-style-type: none"> FL Commerce has indicated that planning meetings have begun to have discussions on activities for the CM Program – Year 2.

4.2 Governance

Issue Name	Applicability	Date Identified	Previous Issue Rating	Current Issue Rating	Issue Description	Impacts	Considerations	Actions Taken by FL Commerce
Key Program Management activities are not being conducted	Program	2/1/2024	N/A	Medium	<ul style="list-style-type: none"> The CM Program Manager left the Program on 1/26, but no transition activities were completed with a replacement. As a result, several Program Management activities did not occur for a few weeks, including the weekly RAID meetings and the Program Manager meetings. A replacement was onboarded for the Program Manager role a few weeks later, but the delay in onboarding resulted in continued delays in addressing gaps in program-level monitoring and coordination. 	<ul style="list-style-type: none"> While individual CM projects continue to operate, the Program Manager provides essential oversight and coordination of all activities within the Program. Potential impacts include lack of project coordination, miscommunications, lack of alignment on schedule and resources, overlapping and unmitigated risks and issues, and an absence of overall direction and leadership. If the Program Manager is not escalating key decisions to the Workgroup there is a risk of project delays or projects moving forward without appropriate input from FL Commerce Leadership. 	<ul style="list-style-type: none"> FL Commerce should support the new Program Manager to ensure a speedy onboarding and understanding of responsibilities related to Program oversight and coordination. The new Program Manager should ensure key meetings that have not been held for a few weeks since departure of the previous Program Manager are reinstated to ensure continued alignment among project teams. 	<ul style="list-style-type: none"> FL Commerce assigned a new Program Manager two weeks after the departure of the previous Program Manager. FL Commerce has identified an internal resource to address Program responsibilities with the conclusion of the SPO contract.

4.3 Delivery Assurance

Issue Name	Applicability	Date Identified	Previous Issue Rating	Current Issue Rating	Issue Description	Impacts	Considerations	Actions Taken by FL Commerce
Project Schedule for CX/UX is not up to date	CX/UX	11/3/2022	High	Medium	<ul style="list-style-type: none"> After the release of CX/UX Phase 1 scope in January 2024, the new project schedule for Phases 2 and 3 included only high-level milestones and lacked detailed tasks and owners even though development work had already begun. This issue has now been reduced to Medium, however, as a more detailed schedule has been shared with more granularity provided including dependencies and key milestones. The issue remains because the project team has still not finalized the project schedule and releases for Phase 2 and 3 have not been defined. Additionally, a Go/No-Go decision meeting is missing. 	<ul style="list-style-type: none"> Not having the project schedule finalized, approved, and shared with the full team at the start of the project limits its utility as a tool to align on roles and responsibilities for each task, and regularly monitor progress against the plan. This makes it difficult to mitigate any schedule-related risks that may arise further along the project. If the releases of the remaining Fact-Finding Questionnaires (FFQs) are not planned for in the project schedule, it will be difficult to evaluate progress against the plan, potentially leading to missed deadlines. 	<ul style="list-style-type: none"> The project schedule should be finalized with planned releases of FFQs included. A task should be added for Go/No-Go decision meeting prior to each release to ensure readiness for the release into production and alignment among all stakeholders. 	<ul style="list-style-type: none"> Detailed tasks were added to the project schedule for Phase 2 and Phase 3.

Issue Name	Applicability	Date Identified	Previous Issue Rating	Current Issue Rating	Issue Description	Impacts	Considerations	Actions Taken by FL Commerce
Undefined accountability for Test Management and Test Governance	Program	1/26/2023	Medium	Medium	<ul style="list-style-type: none"> The applicability of this issue has been updated from CX/UX to Program. Testing accountability and governance has been unclear on several projects in the CM Program. Additionally, testing work has been inconsistent across the projects, with different tools used and different reporting mechanisms. Overarching governance and test management is missing at a program level. The role of SI in supporting testing activities on CM projects has remained undefined, as contract Amendment 5 is still not finalized. 	<ul style="list-style-type: none"> Ongoing uncertainty around the exact scope of work for the SI limits the accountability on the SI vendor and can create confusion on what their responsibilities are. This can lead to missed tasks or duplicative work. Lack of governance and clear responsibilities across all testing activities can result in missed deadlines and quality issues. Lack of clear testing accountability could lead to testing that does not identify defects which could impact solution quality in production. 	<ul style="list-style-type: none"> FL Commerce and SI should work together to finalize SI's role and responsibilities as soon as possible, as any additional delays in this area can cause downstream impacts. The finalized scope of their work in the testing support should be formalized and documented through a contract amendment. A program-wide Test Governance framework should be developed by the Test Manager, providing a set of policies, processes, and procedures that govern how testing activities are planned, executed, and monitored. This should help ensure that testing is conducted consistently and effectively across the different projects and meets quality standards set by FL Commerce. 	<ul style="list-style-type: none"> Most of the CM projects have consistently used the standard COE template to document their test plans as part of the Rule 60GG requirements.

Issue Name	Applicability	Date Identified	Previous Issue Rating	Current Issue Rating	Issue Description	Impacts	Considerations	Actions Taken by FL Commerce
Current Go/No-Go SOP and checklists for RA Continuous Modernization projects lack adequate coverage of key areas essential for a solution release	Program	1/31/2023	Low	Medium	<ul style="list-style-type: none"> The updated Go/No-Go checklists lack key items in the following key areas: Regression Testing, Scope Validation, Data Validation, IT and Business Operations Readiness, Communications and Training. Although FL Commerce is continuing to work on making the required updates to the checklists, their finalization has been delayed. This issue has been increased to a Medium since the previous quarter because the Go/No-Go and Testing checklists and SOP are still not finalized, even though CM projects are ending and will soon need to make the Go/No-Go decision for any planned releases. 	<ul style="list-style-type: none"> 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. As the finalization and distribution of these Go/No-Go checklists continues to be delayed, their ability to support Project Managers is limited. 	<ul style="list-style-type: none"> FL Commerce should finalize the checklists and ensure they are approved in a timely manner. Once approved, checklists should be distributed to Project Managers, who should then work with their teams to customize the checklists to their projects and get approvals on those. 	<ul style="list-style-type: none"> The initial Go/No-Go checklists prepared by FL Commerce were updated to include more comprehensive coverage of testing criteria by adding individual checklists for Integration Testing, System Testing and UAT. FL Commerce continues to further refine the checklists.
Plan for Security Testing for the CX/UX Project is unclear	CX/UX	2/2/2023	High	Closed	<ul style="list-style-type: none"> There has been limited visibility on which security related tasks were completed, what the outcomes were, and what the planned timelines are for completing the remaining tasks. 	<ul style="list-style-type: none"> Without a comprehensive security assessment, it is difficult to identify the types of potential security risks that need to be mitigated. 	<ul style="list-style-type: none"> The CX/UX Project Manager should work with the FL Commerce security team to ensure that key security testing tasks are adequately captured in the project schedule and are adhered to by the full project team. 	<ul style="list-style-type: none"> Security testing for the CX/UX solution was completed prior to go-live. Therefore, this issue is now closed.

Issue Name	Applicability	Date Identified	Previous Issue Rating	Current Issue Rating	Issue Description	Impacts	Considerations	Actions Taken by FL Commerce
Incremental claimant rollout approach (i.e., soft launch) has not been defined	CX/UX	5/11/2023	High	Closed	<ul style="list-style-type: none"> With the incremental claimant rollout approach (i.e., soft launch) not fully defined and approved, there is a risk that the CX/UX solution will not have the functionality available to support it, and organizational change management activities (i.e., communications, public relations, training) intended to support the rollout will not be effective. 	<p>Without a clearly defined and approved incremental claimant rollout approach:</p> <ul style="list-style-type: none"> The CX/UX solution might not have the appropriate functionality developed and tested in time to support rollout. Communication and Public Relations efforts might not be effective in communicating the scope and value of CX/UX to impacted stakeholders including claimants and FL Commerce staff. Training might not address all required training elements to support the defined rollout approach. 	<ul style="list-style-type: none"> Once claimant rollout approach is approved it should be communicated to the OCM and Public Relations teams to ensure their efforts are aligned with the decision. 	<ul style="list-style-type: none"> FL Commerce decided that there will be no soft launch for the CX/UX January 2024 release, and this was formally documented through decision # 1452. As a result of FL Commerce's decision, this issue has now been closed.
Delays in performance requirements deliverable	SI; CX/UX	5/11/2023	High	Closed	<ul style="list-style-type: none"> The Performance Requirements deliverable is not finalized and approved. This deliverable is significantly late. 	<ul style="list-style-type: none"> Delays in Performance Requirements deliverable will impact performance testing for the solution as there would be no clearly defined requirements against which performance can be validated. This could lead to a solution being released to the public which does not meet requirements of FL Commerce Business and creates potential issues and/or poor user experience for claimants trying to use the system. 	<ul style="list-style-type: none"> FL Commerce and SI should work together to ensure the deliverable is finalized and is then leveraged to guide performance testing activities for the next iteration of the CX/UX project in future releases. 	<ul style="list-style-type: none"> SI completed deliverable 8 (Infrastructure Performance Requirements) and it was approved by FL Commerce. As a result, this issue is now closed.

Issue Name	Applicability	Date Identified	Previous Issue Rating	Current Issue Rating	Issue Description	Impacts	Considerations	Actions Taken by FL Commerce
Lack of a defined SDLC approach for CX/UX	CX/UX	2/2/2023	Medium	Closed	<ul style="list-style-type: none"> FL Commerce intends to leverage an Agile approach for the January release for CX/UX. While a few aspects of the Agile methodology were used by the new CX/UX vendor, for example documenting user stories and adding story points, the broader Agile approach as well as the overall SDLC approach were unclear and not documented. There has been no clarity on what the plan is for each sprint, including number of user stories to be developed and other key activities. Progress has not been measured against a detailed sprint plan. Tracking charts for metrics such as sprint burndown and team velocity have not actively been used. 	<ul style="list-style-type: none"> Without clarity on software development methodology, it is difficult to align multiple participants (e.g., vendor, business, IT, SI, SPO) supporting the effort. Without tracking of planned vs. actuals, it is difficult to identify what adjustments need to be made to the schedule, scope, or resources. Ultimately, this impacts quality of the solution delivered, as some critical tasks are missed or are not executed to the required standard. 	<ul style="list-style-type: none"> If FL Commerce already has a detailed SDLC approach documented, it should be shared with the vendor for any future work to be done on the CX/UX project. The full project team should be aligned on the approach and adhere to it throughout the project lifecycle. Whichever methodology, whether Agile, Waterfall, or any other, is used by the project team, FL Commerce should ensure that details of it are documented, and the approach is adhered to. 	<ul style="list-style-type: none"> After the January 2024 release, for Phases 2 and 3 of CX/UX, the vendor has a process for their user story development, unit testing, and bug fixing, and has documented their different statuses in the weekly governance reports that are distributed. As a result, this issue is now closed.

4.4 Suppliers Management

There are currently no open issues in this dimension.

4.5 Financials

There are currently no open issues in this dimension.

4.6 People

There are currently no open issues in this dimension.

4.7 Technology and Architecture

There are currently no open issues in this dimension.