OREGON EMPLOYMENT DEPARTMENT MODERNIZATION PROGRAM

INDEPENDENT QUALITY MANAGEMENT SERVICES

3.3.28 MONTHLY QUALITY STATUS REPORT – NOVEMBER 2022

VERSION: 1.0
STATUS: FINAL

DATE: JANUARY 26, 2023

Document Information

Document Title	3.3.28 Monthly Quality Status Report – November 2022
Version	1.0
Author	Jayne Martin, CSG Project Manager
Owner (if different from Author)	N/A

Amendment History

Document Version	Date	Author/Reviewer	Modification
0.1	11/24/2022	Jayne Martin	Initial draft
0.2	12/9/2022	Terri Grenda	Peer review
0.3	12/9/2022	Drew Sutter	Internal review
0.4	12/12/2022	Jayne Martin	Update based on input
0.5	12/12/2022	Jayne Martin	Submit draft
0.6	1/6/2023	Jayne Martin	Update based on comment log
0.7	1/6/2023	Drew Sutter	Internal Review
0.8	1/6/2023	Jayne Martin	Update based on input
0.9	1/6/2023	Jayne Martin	Submit revised draft
1.0	1/26/2023	Jayne Martin	Finalized draft

TABLE OF CONTENTS

LIST OF TABLES

1. PURPOSE

The purpose of this Monthly Quality Status Report is to assess the Unemployment Insurance (UI) Modernization Project (which includes paid family medical leave insurance functionality) performance for the reporting period of November 1, 2022, through November 30, 2022. The report provides the Oregon Employment Department (OED) executives and sponsors, Enterprise Information Services (EIS), Department of Administrative Services (DAS), Legislative Fiscal Office (LFO), and OED Modernization team an overview of the current project health and status as it relates to quality and risk assessments. The UI Modernization Project is one of two planned projects for the OED Modernization Program. The other project is the Workforce Modernization Project, which is not yet scheduled. The focus for the independent quality management services (iQMS) activities and this report is the UI Modernization Project. The OED Modernization Program supports the UI Modernization Project and as such may be referenced only to the extent of the support activities that impact the project.

2. PROJECT QUALITY STATUS

2.1   Overall Project Health

The Project Health Rating for the UI Modernization Project is currently medium risk rank for the reasons listed in Table 2. The following tables provide a high-level dashboard summary and the current health status of the UI Modernization Project for the period November 1, 2022, through November 30, 2022. Further details are included in the balance of this report. Changes in the current risks, or the identification of new risks, could require an adjustment of the Project Health Rating.

<div align="center">

Table 1: Project General Information

</div>

PROJECT GENERAL INFORMATION		
Project Status "As Of" Date:	November 30, 2022	
Original Project Budget:	$106,121,029	
Current Project Budget:	$106,410,963	
Project Start Date:	December 28, 2018	
Project End Date:	September 30, 2024	
Project Status Indicators		**Trend Indicators**
Low	On-track, only minor issues	**+** = Improving
Medium	One or more areas of concern	**-** = Declining
High	Significant issues that limit the success of the Project	N/C = No Change
N/A	Not applicable	Does Not Apply

Table 2: Overall Project Health Rating

Overall Project Health Rating		
Previous	**Current**	**Current Trend**
Medium	**Medium**	NC

The overall iQMS health status rating for the UI Modernization Project, as of November 30, 2022, remains medium due to the following:

➢ The health areas for Budget, Scope, Communication, Leadership and Governance, and Project Management are ranked low risk. Schedule, Quality, Organizational Readiness, and Resources remain medium.

➢ As of November 30, 2022, the CSG iQMS team is monitoring 10 risks, which include one high, four medium, and five low risks.

✓ The high risk is Risk #21 regarding staff shortages and over allocated resources. The Agency continues to struggle with shortages and overallocation. Management and Modernization leadership are monitoring the concern.

✓ Risk #1 regarding requirements missing is a medium risk. The project's mitigation strategies for this risk were completed for rollout 1. CSG has recommend the project update the mitigation strategies for rollout 2.

✓ Risk #4 regarding staff not being ready or accepting the Modernization change is medium. There is a concern with designing the workflows for UI adjudication. The discussions and development of the workflows with the business are taking longer than anticipated. The developers are not getting the needed input in time, and this could cause. Frances training for subject matter experts, business analysts, and other project staff began in November. The training is occurring earlier in the process than with rollout 1. This should help the subject matter experts be more effective during development, testing, and training.

✓ Risk #22, regarding the Modernization master schedule missing key elements, is also a medium risk. There continues to be items not included in the master schedule. Some activities are not included until much of the work is completed, such as the contract amendments. The schedule should provide insight to future project activities, for planning purposes and to identify potential issues the project will need to manage.

✓ The last medium risk is Risk #23, regarding the cutover plan. The plan did not include all key elements and was not disseminated to all individuals included in the cutover processes. The Modernization team has plans to update the cutover plan for rollout 2.

➢ CSG has completed the Project Evaluation and Lessons Learned for rollout 1. The project has already implemented some of the recommendations from the lessons learned.

2.2 Project Status Indicators

Table 3 provides the current and previous health status indicators for the UI Modernization Project for the reporting period, October 1, 2022, through November 30, 2022.

Table 3: UI Modernization Project Health Indicators

UI Modernization Project Health Indicators by Area								
Budget			**Schedule**			**Scope**		
Previous	**Current**	**Current Trend**	**Previous**	**Current**	**Current Trend**	**Previous**	**Current**	**Current Trend**
Low	**Low**	NC	**Medium**	**Medium**	NC	**Low**	**Low**	NC
The Budget Health Indicator remains a low risk for this reporting period. The budget appears adequate for the UI Modernization project. There are no open risks related to budget. The Modernization budget is reviewed monthly, and the Agency has well-defined processes for monitoring and modifying the budget.			The Schedule Health Indicator remains a medium risk for the reporting period. The Modernization team continues working on the work breakdown structure for the legacy activities needed for rollout 2. There continues to be items not included in the master schedule, such as contract amendments. These activities are not included until much of the work is completed. The schedule should provide insight to future project activities, for planning purposes and to identify potential concerns. Excluding these activities from the schedule raises the risk that activities may not be completed timely.			The Scope Health Indicator remains a low risk for this reporting period. The project scope is stable. There have been no major changes since the addition of the Paid Leave benefits functionality.		

UI Modernization Project Health Indicators by Area								
Communication			**Quality**			**Organizational Readiness**		
Previous	**Current**	**Current Trend**	**Previous**	**Current**	**Current Trend**	**Previous**	**Current**	**Current Trend**
Low	**Low**	NC	**Medium**	**Medium**	+	**Medium**	**Medium**	+

The Communication Health Indicator remains low for this reporting period. The project team has begun discussions with agency partners about their needs from the new benefits system. The team is also working on the development of the Stakeholder Engagement plan for rollout 2. Newsletters for internal and external stakeholders, and meetings and discussions with internal users are ongoing.	The Quality Health Indicator remains medium for this reporting period. The project team is updating the mitigation strategies for Risk #1 regarding missing requirements to include strategies specific for rollout 2. It was noted in a Definition meeting that the subject matter experts and the business analysts could not provide the direction the Agency wanted for a specific functionality. However, if they had reviewed the requirements, they would have known what was required. The subject matter experts and business analysts should review the requirements prior to definition meetings to ensure the requirements are complete and understood.	The Organizational Readiness Health Indicator remains medium for this reporting period. The project team began training different staff, including business staff, on Frances and introducing the benefits base configuration. This will help staff to be more effective during development, testing, and training. Many of these staff will become super users who will be able to assist during the rollout of the benefits system. The UI benefits staff are currently using Frances for some claims activities, to review employer accounts and reported wages. This will help staff in adapting to the new benefit system when it is rolled out.

UI Modernization Project Health Indicators by Area								
Leadership and Governance			**Project Management**			**Resources**		
Previous	**Current**	**Current Trend**	**Previous**	**Current**	**Current Trend**	**Previous**	**Current**	**Current Trend**
Low	**Low**	NC	**Low**	**Low**	NC	**Medium**	**Medium**	-
The Leadership and Governance Health Indicator remains low risk this reporting period. The Agency Director is in an acting role but has been in the position for two years. The Agency's direction and priorities are clear and communicated well. Business and support divisions support the project, though staffing shortages may cause some delays, and the sponsors are actively involved in the project.			The Project Management Health Indicator remains low risk. The Modernization team continues working with business and the division directors in developing the stakeholder engagement plan for rollout 2. The project team's experience from the first rollout will aid in the implementation for rollout 2.			The Resource Health Indicator remains medium risk. OED IT is working to develop other resources for supporting the project. The data conversion for rollout 2 is more complex and there is much more data needing to be converted. This makes the work break down structure even more important.		

2.3 Modernization Issues Monitored by CSG

The are no OED Modernization issues as of November 30, 2022.

2.4 Milestones and Deliverables Status

Table below details the status for the iQMS milestones and deliverables as of November 30, 2022.

Table 4: Milestones and Deliverables Status

Milestone or Deliverable	Due Date	Status
D1.1.1 Program and Project Risk Assessment Report – Initial	August 19, 2019	Accepted
D1.1.2 Program and Project Risk Assessment Report – Refresh #1	September 24, 2021	Accepted
D1.1.3 Program and Project Risk Assessment Report – Refresh #2	October 3, 2022	Accepted
D1.1.4 Program and Project Risk Assessment Report – Refresh #3	October 3, 2023	Not Started
D2.1 Quality Standards – Operational Definitions Report	September 20, 2019	Accepted
D2.2 - Preliminary Quality Checklists for Quality Control Reports	May 25, 2019	Accepted
D2.2 - Final Quality Checklists for Quality Control Reports	TBD – when all quality control report DEDs have been submitted	In Progress
D2.3.1 Quality Management Plan	November 18, 2019	Accepted
D2.3.2 Quality Management Plan – Refresh	November 8, 2021	Accepted
D2.4.1 Baseline QMS Work Plan	November 18, 2019	Accepted
D2.4.2 Baseline QMS Work Plan – Refresh	February 24, 2022	Accepted
D2.5 Internal/External Presentations and Special Requests	TBD-as requested by Agency	Not Started
D2.5.1 UI Modernization Procurement Finalist Maturity Assessment Plan and Schedule	March 25, 2020	Accepted
D2.5.2 UI Modernization Procurement Finalist Maturity Assessment Checklists	March 25, 2020	Accepted
D2.5.3 UI Modernization Procurement Finalist Maturity Assessment Report Format	March 25, 2020	Accepted
D2.5.4 UI Modernization Procurement Finalist Maturity Assessment Report Finalist 1	May 8, 2020	Accepted
D2.5.5 UI Modernization Procurement Finalist Maturity Assessment Report Finalist 2	May 8, 2020	Accepted

Milestone or Deliverable	Due Date	Status
D3.1.1 Request for Proposal - QC Review: Solution requirements related information and data components of the sample final solution contracts	July 22, 2019	Accepted
D3.1.2 Solution Requirements related information and data components of the proposed final solution contract with the successful Proposer QC Review	April 22, 2021	Accepted
D3.1.3 Solution Requirements (Requirements Traceability Matrix) QC Review	June 20, 2019	Accepted
D3.1.4 Solution Contractor's Implementation Plan QC Review	October 26, 2021	Accepted
D3.1.5.a Program Management Plan QC Review, as follows: Stakeholder Engagement Plan, Risk and Issue Management Plan, Change Control Plan, Scope Management Plan, Change Management Plan, and Communication and Outreach Plan	July 1, 2019	Accepted
D3.1.5.a.2 Program Management Plan QC Review refresh: Stakeholder Engagement Plan and Governance Plan	November 17, 2021	Accepted
D3.1.5.b Program Management Plan QC Review, as follows: Staff Management Plan, Procurement Management Plan, Governance Plan, and Contract Management Plan	November 1, 2019	Accepted
D3.1.5.c Program Management Plan QC Review, as follows: Budget, Budget Management Plan, Quality Management Plan, Schedule, Schedule Management Plan, Interface Plan, and System Security Plan	May 24, 2022	Accepted
3.1.5.c.2 Program Management Pan QC Review, as follows: Interface Plan and System Security Plan	July 26, 2022	Accepted
D3.1.6 Documentation necessary to demonstrate compliance with the OSCIO Cloud Policy (Statewide DAS Policy 107-004-150) QC Review	TBD	Not Started
D3.1.7 Solution Contractor Test Plan QC Review (Rollout 1)	April 26, 2022	Accepted
D3.1.8.a Solution Contractor Conversion Plan QC Review (Rollout 1)	May 18, 2022	Accepted
D3.1.8.b Solution Contractor Training Plan QC Review (Rollout 1)	March 29, 2022	Accepted
D3.1.9 Stakeholder Engagement Plan	October 26, 2020	Accepted
D3.1.10 UI Modernization Business Case	February 17, 2022	Accepted
D3.3.1 – D3.3.25 Monthly Quality Status Report #1-#25	Various	Accepted
D3.3.26 Monthly Quality Status Report #26 – August 2022	September 13, 2022	Accepted
D3.3.27 Monthly Quality Status Report #27 – October 2022	November 14, 2022	Submitted

Milestone or Deliverable	Due Date	Status
D3.3.28 Monthly Quality Status Report #28 – November 2022	December 12, 2022	In Progress
D3.3.29 – D3.3.52 Monthly Quality Status Report #29 - #39	8 business days from end of month	Not Started
D4.1.1 – D4.1.10 Quarterly QA Status and Improvement Report #1-#10	Various	Accepted
D4.1.11 Quarterly QA Status and Improvement Report – 2nd Qtr. 2022 (#11)	July 15, 2022	Accepted
D4.1.12 Quarterly QA Status and Improvement Report – 3rd Qtr. 2022 (#12)	October 17, 2022	Under Review
D4.1.13 Quarterly QA Status and Improvement Report – 4th Qtr. 2022 (#13)	January 17, 2023	Not Started
D4.1.14 – D4.1.17 Quarterly QA Status and Improvement Reports / Presentations	10 business days from end of quarter	Not Started
D2.6.1 Lessons Learned Reports – Periodic Project Evaluations (Contributions Phase)	November 23, 2022	Submitted
D2.6.2 Lessons Learned Reports – Periodic Project Evaluations (PFMLI Benefits Phase)	December 15, 2023	Not Started
D2.6.3 Lessons Learned Reports – Periodic Project Evaluations (UI Benefits Phase)	July 19, 2024	Not Started
D2.6.4 Lessons Learned Reports – Periodic Project Evaluations (Program Closeout)	January 9, 2025	Not Started
D2.6.5 Lessons Learned Reports – Periodic Project Evaluations (Upon Request)	TBD	Not Started
D5.3.1 Security Assessment Plan (Contributions)	June 6, 2022	Accepted
D5.3.2 Security Assessment Project Schedule (Contributions)	May 18, 2022	Accepted
D5.3.3.1 Security Risk Assessment Report (Contributions)	June 30, 2022	Accepted
D5.3.3.2 Security Risk Assessment Report – Blackbox Pen Testing	December 16, 2022	In Progress
D5.3.4 Security Assessment Executive Presentation (Contributions)	July 12, 2022	Accepted
D5.3.5 Security Assessment Plan (Paid Leave Benefits)	May 26, 2023	Not Started
D5.3.6 Security Assessment Project Schedule (Paid leave Benefits)	May 17, 2023	Not Started
D5.3.7 Security Risk Assessment Report (Paid Leave Benefits)	June 29, 2023	Not Started
D5.3.8 Security Assessment Executive Presentation (Paid Leave Benefits)	July 11, 2023	Not Started

Milestone or Deliverable	Due Date	Status
D5.3.9 Security Assessment Plan (UI Benefits)	October 27, 2023	Not Started
D5.3.10 Security Assessment Project Schedule (UI Benefits)	October 18, 2023	Not Started
D5.3.11 Security Risk Assessment Report (UI Benefits)	November 19, 2023	Not Started
D5.3.12 Security Assessment Executive Presentation (UI Benefits)	December 11, 2023	Not Started

NOTE: Status designations for deliverables are: Not Started, In Progress (not delivered), Submitted (delivered but no response yet), Under Review (after initial review and before approval), and Accepted

3. PROJECT RISKS AND RECOMMENDATIONS DETAILS

3.1   New CSG iQMS Risks

There are no new risks identified by the CSG iQMS team for this reporting period.

3.2   Previously Reported CSG iQMS Risks

As of November 30, 2022, the CSG iQMS team is monitoring 10 risks. There are one high, four medium, and five low risks previously reported. Details of the risks and the current analysis are included in the table below.

[This space left intentionally.]

Table 5: Previously Reported CSG iQMS Risks

Previously Reported CSG iQMS Risks						
CSG Risk #1: Requirements Missing **Risk Model ID:** 247 - Functional Requirements Definition **RFP ID**: OR-50* **Category:** Quality / Requirements Mgmt.	**Current**	**Medium Risk Rank**		**Previous**	**Medium Risk Rank**	
		Medium Probability	**Medium Impact**		**Medium Probability**	**Medium Impact**
Risk Trigger: There are missing requirements, and the application does not cover the required functionality.						

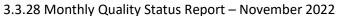|		
Risk Description Update: The Paid Leave Benefits requirements were recently updated through the Change Control processes. However, there are still undefined business processes and outstanding business decisions. This increases the risk that the application implemented may not meet all the needs of the new program.	**Recommendation Update:** The CSG iQMS team recommends: ➢ The Agency ensure comprehensive requirements have been defined in the requirement documents. ➢ The Project ensures the right people are in the Definition meetings. Some processes are not understood by a single person. There may need to be multiple subject matter experts in the meetings to ensure the requirements are included in a definition. ➢ The Project ensures adequate time is spent on the pain points for UI Benefits, and process improvement expectations.	**Current Analysis – November 2022:** The Modernization team is currently updating the mitigation strategies to address this risk for rollout 2. The CSG iQMS team will continue to monitor. **Previous Analysis – October 2022:** The Paid Leave benefits program is still being developed. There are business processes that are not completed or well defined. This increases the risk that there may be some missing requirements. The CSG iQMS team has observed an increased use of agendas for the definition meetings, which helps ensure the right people are in the room and that the individuals have time to prepare and research the information that will be needed. The CSG iQMS team also recommends the project requirements be reviewed by the business analysts prior to the Definition meetings to ensure they are thoroughly discussed and are included in the development process.

Previously Reported CSG iQMS Risks						
CSG Risk #4: Staff Not Ready for or Accepting Modernization Change		**Medium Risk Rank**			**Medium Risk Rank**	
Risk Model ID: 029 – Openness to Business Processes or Work Changes	**Current**	**Medium Probability**	**Medium Impact**	**Previous**	**Medium Probability**	**Medium Impact**
RFP ID: OR-38 **Category:** Organizational Readiness / OCM						

Risk Trigger: Staff is unable or unwilling to engage with the UI Modernization Project when needed. The staff does not adopt the change.

Risk Description	Recommendation	Analysis
Risk Description Update: There are concerns about staff adjusting to the change and transition with the new system. Staff will need to adapt to a new way of doing business. There is a high number of new staff and staff in new roles. The need for OCM is high.	**Recommendation Update:** The CSG iQMS team recommends increasing the change management activities to include "as-is" vs. "to-be" procedures. Involve managers in improving change management plans, which include training where appropriate. The CSG iQMS team also recommends the Agency provide change management training for all UI and Paid Leave managers, hold staff and managers accountable for adopting and implementing the process changes, and ensure Modernization works closely with business and IT subject matter experts during the development of the system. Staff who have been resistant in the past should be included whenever possible. Start early and lock down the letter templates for UI and Paid Leave benefits. Develop a comprehensive process to review all letters before cutover.	**Current Analysis – November 2022:** There is a concern with designing the workflows for adjudication. The discussions and development of the workflows with the business are taking longer than anticipated. The developers are not getting the needed input in time, and this could cause further delays. Management is aware of the concern and will be working to resolve this concern. Frances training for subject matter experts, business analysts, and other project staff began in November. The training is occurring earlier in the process than with rollout 1. This should help the subject matter experts be more effective during development, testing, and training. The CSG iQMS team will continue to monitor this risk. **Previous Analysis – October 2022:** The Contributions staff are becoming more comfortable with using the system with two months experience. The benefits staff are looking forward to getting involved and starting to work on their part of the system. There is good attendance at the Definition meetings. However, there are concerns with workload and keeping up with the schedule. Burn out is a concern. Leadership is monitoring this concern.

Previously Reported CSG iQMS Risks

CSG Risk #9: Major Organizational Changes Impacting the Project	Current	Low Risk Rank		Previous	Low Risk Rank	
Risk Model ID: 12 – Organization Stability		**Low Probability**	**Low Impact**		**Low Probability**	**Low Impact**
RFP ID: OR-37 **Category:** Org Readiness / Leadership and Governance						

Risk Trigger: Delays are realized due to shifting of resources, resources without the capacity to support the UI Modernization work, or scope changes due to PFMLI, impacting the timelines for the project.

Risk Description: The Agency is going through a major change due to the PFMLI Division being created. There is the potential for PFMLI to impact the UI Modernization Project by:

➤ UI Modernization Project team members leaving the project to join the new division

➤ Shared resources within the agency needing to support two major projects at the same time

➤ Agency focus being divided by two major projects in-flight at the same time

➤ The PFMLI tax needs have many overlaps with the UI Tax requirements which makes it advantageous to look at combining some of the functionality

Changes in priority or focus for the UI Modernization Project could mean delays in the completion of the project. Team members leaving could cause loss of UI and project knowledge and delays in completion of tasks and decision making. These events may impact the schedule and scope for the project.

Recommendation: The CSG team recommends preparing for potential vacancies by:

➤ Developing transition plans for when key project sponsors, leaders, and team members are onboarding as well as offboarding

➤ Developing project orientation materials and using these for onboarding new leadership, sponsors, and team members

➤ Developing back-up plans for the key positions on the Modernization team, in case of vacancies
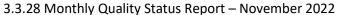
Additionally, consider:

➤ Continue communications with the State leaders and the State Legislature on the importance and necessity of the UI Modernization Project

➤ Thoughtful management of scope changes through a Change Control Board

➤ Proactive management of shared resources to anticipate capacity issues

Current Analysis – November 2022: As previously reported, the agency is stabilizing from the changes to add the Paid Leave Program to its services. The program is maturing and almost fully developed. The CSG iQMS team will continue to monitor until next month, when it is expected the foundational work for Paid Leave Oregon will be completed.

Previous Analysis – October 2022: The Agency is moving away from the pandemic's impact and moving towards an empowerment management model. Resource availability is the main concern impacting the progress towards stabilization.

Previously Reported CSG iQMS Risks

CSG Risk # 15: OED IT Skills and Resources	**Current**	**Low Risk Rank**		**Previous**	**Low Risk Rank**	
Risk Model ID: 241 Resource Availability – Technical Team Support		**Low Probability**	**Low Impact**		**Low Probability**	**Low Impact**
RFP ID: N/A **Category:** Project Resources						

Risk Trigger: 1. OED is unable to provide the solution vendor with system information on dependencies and interfaces or clean conversion data from existing legacy systems needed in a timely manner. 2. Unknown dependencies cause UI benefits to be impacted negatively when UI tax is implemented.

Risk Description	Recommendation	Analysis
Risk Description: The IT support of existing UI systems is "single-threaded", usually with only one resource available to support a given system. Additionally, it is estimated that approximately 40% of the IT staff are eligible for retirement within the next five years. Many of these staff are extremely knowledgeable and considered experts on the legacy system. The Agency may not have the capacity to support the legacy systems and prepare the legacy system and documentation for transition and conversion to the new system, addressing any future pandemic programs or other Agency needs, and supporting the Modernization Project at the same time. The UI Modernization Project is huge and complex and will require significant contributions from technology resources. The recruitment of IT resources has resulted in several failed recruitments, as people with needed skill sets are not readily available or those with the skill sets are not interested in the positions.	**Recommendation**: The CSG iQMS team recommends: ➢ OED identify and document internal and external interfaces and dependencies and prepare for data migration. ➢ Consider other resources to assist with some of the IT support activities, such as the solution vendor, or other vendor. ➢ A comprehensive resource plan for IT that includes the skills and resources required as identified by the WBS. ➢ Identify Mainframe test region for research questions and verify existing system business rules for Definition purpose.	**Current Analysis – November 2022:** The volume of data and files for rollout 2 is much greater than rollout 1. IT has been training other staff on the mainframe; however, this lowers the production for the staff doing the training. The project team is working with IT to mitigate the risks in this area. The CSG iQMS team continues to monitor. **Previous Analysis – October 2022:** OED IT is working at sharing legacy knowledge with other IT staff, to increase the number of individuals with mainframe knowledge. They are preparing and already involved with the rollout 2 activities. Their priority remains supporting the Modernization efforts.

Previously Reported CSG iQMS Risks

CSG Risk #17: IT Support Tasks, Level of Effort, or Dependencies not Identified **Risk Model ID:** 47 Implementation Planning **RFP ID:** OR-43 **Category:** Operational Readiness and Support	Current	Low Risk Rank		Previous	Low Risk Rank	
		Low Probability	**Low Impact**		**Low Probability**	**Low Impact**

Risk Trigger: 1. OED is unable to provide the solution vendor with necessary system support for dependencies such as interfaces or clean conversion data from existing legacy systems needed in a timely manner. 2. Unknown dependencies cause UI benefits to be impacted negatively when UI tax is implemented.

Risk Description: There is undefined scope that must be performed by OED IT staff to coordinate with the Frances development effort. No plan or schedule exists for the work required for existing Mainframe, Web, and Data Warehouse IT staff to ensure that the necessary timeframes for integrations with Frances can be met. The lack of defined dependencies and scope of effort for IT staff tasks has the potential of negatively impacting the scope, quality, and schedule of the Frances implementation.

There are very few knowledgeable support resources for most of the key existing mainframe systems such as OATS, OBIS, OAWS and others. Many of the systems are decades old and have seen numerous modifications as additional functionality and interfaces have been incorporated. In addition, there was a concerted effort to provide "integration" of functionality, which given the technology at the time, resulted in "hooks" embedded in program code that potentially impact both UI contributions and benefits, adding complexity to the decoupling effort.

Recommendations: Continue to define the Existing Systems Strategy to analyze, estimate, and develop an integrated plan that identifies resources and dependencies for the OED IT work on systems impacted by Frances and reporting being affected by Frances. The plan should identify the resources needed for data conversion, interface development, and regression testing of the current production environment as changes are made for the implementation of Frances.

Consider careful prioritization of other legacy work to maximize resource availability for Modernization efforts.
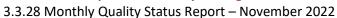
Evaluate alternatives and methods in the work plan that would leverage the institutional knowledge of more experienced OED IT staff. Closely monitor the progress and develop alternatives if resource contention is evident.

Current Analysis – November 2022: The project team is working with IT to identify the tasks and schedule for the IT work. Early identification will help IT management to plan resources and identify any gaps.

The CSG will continue to monitor this risk.

Previous Analysis – October 2022: The project team is working closely with OED IT to develop a WBS for the activities required for rollout 2. They are starting much earlier than for rollout 1. Plus, the experience from rollout 1 will help IT better understand what the cutover process will be like and what types of things to consider.

Previously Reported CSG iQMS Risks

CSG Risk # 18: Concurrent Paid Leave Implementation							
Risk Model ID: 455 Design Clarity	**Current**	**Low Risk Rank**		**Previous**	**Low Risk Rank**		
RFP ID: OR-52 **Category:** Quality / Design Specification		**Low Probability**	**Medium Impact**		**Low Probability**	**Medium Impact**	

Risk Trigger: Incorporating the PMFLI functionality into Frances negatively impacts OCM, training, or the master schedule.

Risk Description	Recommendations	Analysis
Risk Description: The business decision to incorporate the PFMLI functionality into the UI Modernization Project has introduced some potential challenges for the project, including: ➢ The support staff will be learning both a new system (Frances) and in the case of UI tax staff, a new program (PFMLI) creating the potential need for additional organizational change and training support. There are likely similar impacts to other support functions such as audits and collections. ➢ The potential impact on the training schedule and system development effort to facilitate additional requirements of PFMLI. ➢ The PFMLI program has not been fully implemented and is in the process of developing the supporting policy and Administrative Rules concurrent with the definition process for Frances introducing the potential for rework.	**Recommendations:** The Modernization team should consider a focused effort to identify the potential impacts to the current project plan and schedule and develop necessary mitigations. The Modernization team and Contributions team should consider planning additional resources or time for training the Contributions team who will need both system training and program training. Consider initiating PFMLI program training as soon as PFMLI contributions are defined. The PFMLI Program should continue developing the business processes and detailed requirements for PFMLI benefits, to ensure PFMLI BAs and subject matter experts are prepared for the Definition phase of rollout 2.	**Current Analysis – November 2022:** The Paid Leave Program is hiring several new managers and staff and preparing staff for the implementation of the new program. Timing is crucial, as processes and polices need to be completed prior to training development and implementation. In some areas, the development of definition items are reliant on both programs, which may cause delays. The CSG iQMS team will continue to monitor this risk. **Previous Analysis – October 2022:** The Paid Leave staff are better prepared for the Definition meetings, though there are still areas where the processes are not completely developed and there are still decisions to be made.

Previously Reported CSG iQMS Risks

	Current	Low Risk Rank		Previous	Low Risk Rank	
Risk # 19: Lack of documented details for the Stakeholder Engagement Plan and related artifacts. **Risk Model ID:** 66 – Stakeholder Engagement - Planning **RFP ID:** N/A **Category**: Project Management Planning		**Low Probability**	**Low Impact**		**Low Probability**	**Low Impact**

Risk Trigger: Stakeholders do not support the change or resist the new system.

Risk Description	Recommendation	Analysis
Risk Description: The Stakeholder Engagement Plan does not include key elements for stakeholder engagement. The plan does not include: ➢ Complete analysis of all stakeholders. The Stakeholder Registry includes some parts of analysis, mostly for internal stakeholders, but very few details for external stakeholders. The registry is not completed to the level needed to understand the plan for stakeholder engagement. ➢ A schedule of planned stakeholder engagement activities. The Stakeholder Registry holds some, but there is no one place documenting the planned activities for stakeholder engagement. ➢ The process for monitoring and measuring stakeholder involvement and assessing the effectiveness of the engagement strategies. ➢ A stakeholder gap analysis, which would include the current state and the desired future state of stakeholder acceptance.	**Recommendation:** The CSG iQMS team recommends: ➢ Updating the Stakeholder Engagement Plan and related documents to include the details to support all stakeholders' engagement throughout the project. Include the when and where for the planned activities. ➢ If missing data is documented in other artifacts, clearly reference where the documentation can be found, such as committee charters, stakeholder registry, etc. ➢ Completing the Stakeholder Registry with details regarding each planned engagement. ➢ Updating the plan with the process for monitoring and measuring stakeholder involvement and assessing the effectiveness of the engagement strategies. Updating the plan to include stakeholder gap analysis.	**Current Analysis – November 2022:** The Modernization team is working on defining the approach for stakeholder engagement for rollout 2 and will capture this in the plan. The CSG iQMS team will continue to monitor this risk. **Previous Analysis – October 2022:** The plan to update the Stakeholder Engagement Plan is set for January 2023. The team is working on developing it now.

Previously Reported CSG iQMS Risks

Risk # 21: Staffing Shortage and Over Allocated Resources	**Current**	**High Risk Rank**		**Previous**	**High Risk Rank**	
Risk Model ID: 017 – Resource Management – Resource Conflict		**High Probability**	**Medium Impact**		**High Probability**	**Medium Impact**
RFP ID: N/A **Category**: Project Resources						

Risk Trigger: 1. Customers complain about incorrect letters and account balances, 2. Deadlines are missed

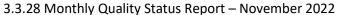| **Risk Description**: The Contributions and Recovery Division has multiple vacancies and a backlog of pending work. They do not have enough resources to get caught up before the conversion from mainframe to Frances. Other areas of the Agency such as Paid Leave, also are dealing with vacancies and failed recruitments. Additionally, the ETA Reporting and the trust fund accounting test scenarios were delayed due to over allocated resources on the project.

Resource constraints could impact staff's ability to focus on training and testing. Pending work not completed prior to conversion risks the quality of the data and conversion. Data may be missed or incorrectly converted, causing incorrect notices to be sent to customers. A lack of resources to assist Modernization in project activities may cause delays or cause rework. Delayed test scenarios could cause delayed testing. | **Recommendation:** The CSG iQMS team recommends:

➤ The Agency continue to collaborate to prioritize work, communicate areas of delays or shortages, and reassign workers where most needed

➤ Develop contingencies for work not completed and plans to review accounts with pending transactions after go-live

➤ Modernization should monitor schedules and activities closely to adjust as needed | **Current Analysis – November 2022:** The Agency continues to struggle with shortages and overallocation. The project team needs to develop mitigation strategies for this risk. CSG iQMS team will continue to monitor.

Previous Analysis – October 2022: Staffing shortages and overallocated resources continue. The benefit areas are challenged to meet the needs of the project, not only attending the actual definition meetings, but preparing for the meetings, and researching to answer action items assigned in the meetings. Burn out is a concern with management.

Contributions and Recovery have been busy working with employer groups and representatives to prepare for the October 31st quarterly report filing deadline. It is typically a very busy time as well, with employers calling with questions about how their rate was determined or the appeal process. |

Previously Reported CSG iQMS Risks

CSG Risk #22: Schedule Missing Key Elements **Risk Model ID:** 058 Project Schedule – Task Dependencies **RFP ID:** OR-7 Category: Schedule / Business Mission & Goals	**Current**	**Medium Risk Rank**		**Previous**	**Medium Risk Rank**	
		High Probability	**Medium Impact**		**High Probability**	**Medium Impact**

Risk Trigger: The Modernization team does not have a clear picture of all required tasks and activities to achieve project objectives.

Risk Description	**Recommendation**	**Analysis**
Risk Description: There is no clear view of the entire schedule for the project. The master schedule does not include the details of the implementation phases. Details for the activities reside in the delivery workbench. As a result, it is difficult to develop a well-defined work breakdown structure (WBS) that also includes a critical path. The master schedule is missing details such as dependencies, was not updated to include the letter re-write process for rollout 1 and does not include the level of effort for tasks and activities. Additionally, including all tasks and activities, resources, and durations in a WBS supports critical path calculation which serves to prevent project managers from overlooking or missing key project tasks and milestones which might impact the overall delivery of project objectives.	**Recommendation:** The CSG iQMS team recommends developing a detailed WBS for Rollouts 2a and 2b. The WBS should be at a sufficient level of detail to include tasks, dependencies, resources, estimated work, and realistic durations. The WBS should be reviewed on a regular basis by project managers as well as all team leads to ensure project responsibilities are accounted for at all stages. Additionally, the project should create and regularly review the critical path to ensure that missing required tasks and activities do not impact milestones and the overall project implementation dates.	**Current Analysis – November 2022:** There continues to be items not included in the master schedule. Some activities are not included until much of the work is completed, such as contract amendments. The schedule should provide insight to future project activities, for planning purposes and to identify potential issues the project will need to manage. Excluding these activities from the schedule raises the risk that activities may not be completed timely. The CSG iQMS team will continue to monitor this risk and the mitigation strategies implemented by the project. **Previous Analysis – October 2022:** The project team is working with OED IT to create a WBS for the legacy activities that will be required for rollout 2. This will help the master schedule be more complete. The master schedule does not include all activities, dependencies, or level of effort needed for activities. There are still inaccuracies and inconsistencies with the implementation schedule.

Previously Reported CSG iQMS Risks

Risk # 23: Cutover Plan Missing Details **Risk Model ID:** 046 Cutover Planning - Operational Readiness and Support **RFP ID:** OR-45 **Category**: Project Management Planning	**Current**	**Medium Risk Rank**		**Previous**	**Medium Risk Rank**	
		Low Probability	**High Impact**		**Low Probability**	**High Impact**

Risk Trigger: Cutover activities are not completed timely, there is confusion regarding cutover responsibilities, or there is duplicate data processed or propagated.

Risk Description: The project's R1 formal cutover plan was not completed until right before go-live. It also was not disseminated to all interested parties, as many individuals had not seen it before go-live. The plan does not include a list of roles and responsibilities or a high-level schedule. A cutover plan should include details for the activities related to planning, preparing, and executing the cutover tasks, including details of who is on point, who is to be notified, how to be notified (communications), a mitigation plan or rollback, pre-determined verification points and details for monitoring cutover activities.

Instead of a formal cutover plan, the team leveraged the workbench tool for documenting cutover activities, making it difficult for some to follow. The tool's activity ID sequencing numbering is assigned when creating an activity and does not follow the mainframe's job sequence and timeframes within the tool device. The tool has limitations in exporting information into a usable format which presents another challenge for displaying activities' status to compare against actionable mainframe activities and status.

Recommendation: The CSG iQMS team recommends the project develop a cutover plan for Rollout 2 with details of cutover activities (with assigned owners, timeframes, successors, and predecessors) for turning over systems and job sequencing. Include the types of cutover communications and recipients, rollback procedures or mitigation strategies, verification points, and monitoring activities within the plan. The plan should describe how to lock down the system from a technical perspective, preparing the procedure for operation and release for end users. The plan should also be shared with all individuals included in the cutover process, so they clearly understand their role.

Current Analysis – November 2022: There are no mitigation strategies developed for this risk. The plan is being revised for rollout 2 and the CSG iQMS team anticipates the missing details will be included. We will continue to monitor.

Previous Analysis – October 2022: The project team is evaluating the new risk and determine their response and, if relevant, mitigation strategies.

The CSG iQMS team will continue to monitor this risk.

3.3   Resolved Risks

Risks are closed when the CSG iQMS team determines sufficient mitigation actions have taken place to resolve the risk or the risk is no longer applicable to the project for other reasons (e.g., a sub-project has ended). If a risk identified by the CSG iQMS team reoccurs after it has been closed it will be reopened and recommendations provided. During this reporting period no risks were closed.

4. CATALOG OF REVIEWS

During the current reporting period, November 1, 2022, through November 30, 2022, the CSG iQMS team reviewed Modernization documents and materials, attended Modernization meetings, and interviewed Modernization stakeholders. Over the course of the project life cycle, materials may be re-reviewed over time as they support the iQMS activities.

4.1 Documents and Materials Reviewed

During the reporting period, the CSG iQMS team reviewed the materials listed in the table below.

Table 6: Documents and Materials Reviewed

Documents or Materials Reviewed	File Name
Conversion and Purification 2022-11-01	Conversion and Purification 2022-11-01.docx
Purification Status – November 2022	1-Nov-2022.pdf
Overpayment Set Up Codes 2021	OVERPAYMENT SET UP CODES 2021.xlsx
Offset Codes and Impacts	Offset Codes and Impacts.png
Search and Subscribe to Tickets	Search and Subscribe to Tickets.pdf
Purification Status Report – November 8, 2022	2. 08-Nov-2022.pdf
Paid Leave Overview – October 2022	Community Convos Paid Leave Overview-EN Final October 2022.pdf
Unemployment Insurance 101	Unemployment Insurance 101 for MOD.pptx
OED Modernization Program and UI Project Risk and Issue Report 2022-10-31	OED Modernization Program and UI Project Risk and Issue Report 2022-10-31.pdf
Purification Status Report – November 13, 2022	14-Nov-2022.pdf
Blocked Claims Search	Blocked Claims Case Search.pdf
Conversion and Purification 2022-11-15 Minutes	Conversion and Purification 2022-11-15.docx
Frances Report of Changes Completed – 9-6-2022 – 11-7-2022	Prod Support SQR migrations sept 6 – nov 7 2022.pdf
Purification Status – November 21, 2022	21-Nov-2022.pdf
Implementation Monday's – November 21, 2022	Implementations Monday's.eml
Purification Status – November 28, 2022	28-Nov-2022.pdf
Implementation Monday's – November 28, 2022	Implementations Monday's.eml
Modernization Update – November 2022	Modernization Update – November 2022.eml

Documents or Materials Reviewed	File Name
Paid Leave Oregon: Prepare for January contributions	Paid Leave Oregon: Prepare for January contributions.eml
DRAFT Mod/IT R2 Project Schedule	DRAFT Mod/IT R2 Project Schedule
Modernization Project Rebaselined Budget – October 2022	Modernization Project Rebaselined Budget – Oct22.xlsx
Modernization October 2022 Section Budget Report	Modernization Oct-2022 Section Budget Report.xlsx
FTE July 2021 to October 2022	FTE July 21 to October 22.xlsx
October 2022 Document Detail Budget Report	October 2022 Document Detail.xlsx
October 2022 Modernization 24-Month Budget Tracker	Oct-2022 MODERNIZATION 24-month budget tracker
Change Control Report 2022-10	Change Control Report 2022-10
Modernization Project Budget Report – September 2022	Modernization Project Budget Report – Sep22
UI Modernization Project Status Report 2022-10	UI Modernization Project Status Report 2022-10.pdf

4.2   Interviews Conducted

The details of the interviews that the CSG iQMS team conducted during November 2022 are in the table below.

Table 7: Interviews Conducted

Interviewees	Interview Date	CSG Participants
Jill Coleman	November 2, 2022	Jayne Martin
Bill Truex	November 2, 2022	Jayne Martin
Lori Graham	November 10, 2022	Jayne Martin
Lisa Schriever	November 10, 2022	Jayne Martin
Rick Heinichen	November 16, 2022	Jayne Martin
Alex Kasner	November 16, 2022	Jayne Martin
Jim Terrusa	November 17, 2022	Jayne Martin
Vann Keo	November 18, 2022	Jayne Martin
Chris Chase	November 18, 2022	Jayne Martin
Salena De La Cruz-Forsythe	November 23, 2022	Jayne Martin

Interviewees	Interview Date	CSG Participants
Jenna Pourciau	November 23, 2022	Jayne Martin
SJ Cantu	November 28, 2022	Jayne Martin
Renee Royston	November 29, 2022	Jayne Martin

4.3   Meetings Attended

The CSG iQMS team attended the meetings listed in the table below during this reporting period.

Table 8: Meetings Attended

OED Modernization Meetings	Scheduled Date	CSG Participant
Modernization Schedule Management Review	November 2, 2022	Jayne Martin
R2 Definition Sessions - Recovery/Interfaces	November 2, 2022	Terri Grenda
iQMS Touchbase	November 3, 2022	Jayne Martin
Risk Assessment Refresh Draft Discussion	November 3, 2022	Jayne Martin
MOD R2- IT Team Lead Meeting	November 3, 2022	Jayne Martin
R2 Definition Session Mondays - Financials	November 7, 2022	Jayne Martin
Non-Monetary/Appeals Fact Finding Flows	November 7, 2022	Terri Grenda
R2 Program Overview	November 8, 2022	Jayne Martin
iQMS Touchbase	November 8, 2022	Jayne Martin
Frances Black Box Testing Daily Touch Base	November 14, 2022	Jayne Martin, Joe Mindock, Tony Warick
Definition: Non-Monetary/Appeals	November 14, 2022	Jayne Martin
R2 Definition Session: Recovery/Interfaces	November 14, 2022	Terri Grenda
Frances Black Box Testing Daily Touch Base	November 15, 2022	Joe Mindock, Tony Warick
R2 Definition Sessions - Recovery/Interfaces - Collection Types and Stages Pt 2	November 16, 2022	Jayne Martin
Definition: Non-Monetary/Appeals	November 16, 2022	Jayne Martin
R2 Technical Overview	November 17, 2022	Jayne Martin
Frances Black Box Testing Daily Touch Base	November 17, 2022	Jayne Martin, Joe Mindock, Tony Warick
Learning Lab	November 17, 2022	Jayne Martin

OED Modernization Meetings	Scheduled Date	CSG Participant
OED Stakeholder Board Meeting	November 21, 2022	Jayne Martin
Definition: Non-Monetary/Appeals	November 22, 2022	Terri Grenda
Modernization Executive Steering Committee Meeting	November 21, 2022	Jayne Martin and Drew Sutter
Conversion and Purification Meeting	November 22, 2022	Terri Grenda
iQMS Touchbase	November 22, 2022	Jayne Martin
CSG – EIS Touchbase	November 22, 2022	Jayne Martin
R2 Definition Sessions - Recovery/Interfaces - Payment Plans and Bankruptcy	November 28, 2022	Jayne Martin
Business Team Weekly Check In	November 30, 2022	Jayne Martin
Definition: Non-Monetary/Appeals	November 30, 2022	Jayne Martin
Modernization Schedule Management Review Meeting	November 30, 2022	Jayne Martin

5. QUALITY CONTROL PLAN FOR NEXT MONTH

The quality management activities planned by the CSG iQMS team for the next reporting period are detailed in the tables in this section. Due dates are based on the latest draft of the iQMS project schedule.

5.1 Milestones and Deliverables Due

Table 9: Milestones and Deliverables Due

Milestone/Deliverable	Date Due	Status
3.3.28 Monthly Quality Status Report –November 2022	December 12, 2022	In Progress
5.3.3.2 Risk Assessment Report – Black Box Testing	December 16, 2022	In Progress

NOTE: Status designations for deliverables are: Not Started, Submitted, In Progress, Under Review, and Accepted

5.2 Planned iQMS Interviews

Table 10: Planned iQMS Interviews

Interviewee Name	Date	CSG Participant
Renee Royston	December 12, 2022	Jayne Martin
Ali Rasouli	December 13, 2022	Jayne Martin
Bill Truex	December 15, 2022	Jayne Martin
Stephanie Stevens	December 14, 2022	Jayne Martin
Ashli Machado	December 14, 2022	Jayne Martin
Sara Cromwell	December 16, 2022	Jayne Martin
Sheri Murphy	December 13, 2022	Jayne Martin
Lea Cozart	December 14, 2022	Jayne Martin
Lindsi Leahy	TBD	Jayne Martin
Katie Lolley	December 16, 2022	Jayne Martin
Christie Heinonen	December 14, 2022	Jayne Martin
Ken Lux	December 14, 2022	Jayne Martin

5.3   Planned Meeting Attendance

Table 11: Planned Meeting Attendance

Modernization Meetings	Meeting Date	CSG Participants
R2 Definition Session - Registration, Monetary Determinations, and Identity Verification	December 1, 2022	Jayne Martin
MOD Budget Meeting	December 1, 2022	Jayne Martin
Managers Modernization Monthly Update	December 2, 2022	Jayne Martin
R2 Definition Session Mondays - Financials	December 5, 2022	Terri Grenda
Definition: Non-Monetary/Appeals	December 5, 2022	Terri Grenda
R2 Definition Sessions – Recovery Interfaces	December 5, 2022	Jayne Martin
iQMS Touchbase	December 6, 2022	Jayne Martin
Definition: Non-Monetary/Appeals	December 7, 2022	Jayne Martin
Modernization Schedule Management Meeting	December 7, 2022	Terri Grenda
R2 Definition Sessions – Recovery Interfaces	December 7, 2022	Jayne Martin
R2 Definition Session - Registration, Monetary Determinations, and Identity Verification	December 8, 2022	Jayne Martin
R2 Definition Session Mondays - Financials	December 12, 2022	Jayne Martin
MOD RIMT Monthly Meeting	December 12, 2022	Jayne Martin
MOD Project All Staff Meeting	December 13, 2022	Jayne Martin
Business Team Weekly Check In	December 14, 2022	Jayne Martin
Definition: Monetary/Appeals	December 14, 2022	Terri Grenda
Modernization Schedule Management Review	December 14, 2022	Jayne Martin
R2 Definition Sessions – Recovery / Interfaces	December 14, 2022	Jayne Martin
Monthly Communications Planning Team	December 14, 2022	Jayne Martin
R2 Definition Session - Registration, Monetary Determinations, and Identity Verification	December 14, 2022	Jayne Martin
R2 Definition Session - Registration, Monetary Determinations, and Identity Verification	December 15, 2022	Jayne Martin
Modernization Operations and Policy Team	December 15, 2022	Jayne Martin
MOD R2- Ongoing Team Lead Meeting	December 15, 2022	Jayne Martin

Modernization Meetings	Meeting Date	CSG Participants
CSG EIS Touchbase	December 16, 2022	Jayne Martin
R2 Definition Session Mondays - Financial	December 19, 2022	Jayne Martin
Modernization Executive Steering Committee Meeting	December 19, 2022	Jayne Martin and Drew Sutter
R2 Definition Sessions – Recovery/Interfaces	December 19, 2022	Jayne Martin
Conversion and Purification Meeting	December 20, 2022	Terri Grenda
iQMS Touchbase	December 20, 2022	Jayne Martin
Definition: Non-Monetary/Appeals	December 21, 2022	Terri Grenda
Modernization Schedule Management Review	December 21, 2022	Terri Grenda
R2 Definition Sessions – Recovery/Interfaces	December 28, 2022	Terri Grenda