

Modernization Program Risk and Issue Management Plan

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Program Overview

The Employment Department's Modernization Program is a multi-year initiative focused on transforming the agency's business processes and core technology systems. Computer systems supporting receipt of unemployment insurance taxes, payment of unemployment insurance benefits, and delivery of employment services will be replaced. Further, business processes will be transformed to take advantage of opportunities and benefits available through new system capabilities.

Document Purpose

This plan defines how risks and issues associated with the Modernization Program and its projects are identified, analyzed, and managed. Risk and issue management includes:

- Identifying project risks and issues
- Categorizing and prioritizing risks
- Developing mitigation strategies and responses for specific risks (mitigation, avoidance, transfer, or acceptance) and issues
- Monitoring the execution of risk and issue response efforts

Document Audience

This document is intended for these primary audiences:

- **Program sponsors and steering committee members** – to understand the processes that will be followed, as well as their role in identifying and responding to risks and issues. They also have a responsibility to ensure processes are appropriate and are enforced.
- **Internal and external oversight entities** – to monitor whether appropriate processes are in place and continue to be followed.
- **Program and project team members and vendor staff** – to understand the processes that will be followed, as well as their role in identifying and responding to risks and issues.
- **Agency employees** – to reference for general awareness.

Definitions

- **Risk** – An event or condition that, if it occurs, could impact the program's or project's success.
- **Issue** – An event or condition that has occurred and should be actively managed. Many times an issue is a risk that has been triggered and requires resolution.

Risks, Assumptions, and Constraints

The Modernization Program is characterized as a high risk, high impact initiative. Therefore, successful risk and issue management are critical to the success of the program.

RISKS

Risks related to this plan and other project management process groups are described through this risk and issue process, and are captured within the program’s risk registry.

ASSUMPTIONS

- Members of the risk and issue management team will actively participate in risk and issue management.
- Risk and issue owners will actively monitor risks and assist in carrying out mitigation strategies.
- Independent quality management services (iQMS) vendor will effectively contribute to risk and issue management.
- Vendors will participate as active team members, identify concerns and potential risks, and provide assistance in developing and executing mitigation strategies.

CONSTRAINTS

The project has a limited budget for iQMS which support risk and issue management.

Roles and Responsibilities

Significant roles and responsibilities for risk and issue management are described below. It is expected that identification and mitigation of risks and issues is the responsibility of all team members.

Table 1 – Roles and Responsibilities

Role	Responsibilities
Modernization Executive Steering Committee	<p>Reviews risk and issue reports.</p> <p>Individually serve as risk sponsor for designated risks.</p> <p>Addresses significant escalated risks by establishing or approving mitigation strategies or acceptance of risks.</p> <p>Identifies and/or addresses major risks and issues that are within their responsibility to monitor and manage.</p>

Role	Responsibilities
<p>Risk and issue management team (RIMT)</p>	<p>Meets regularly to review and assess risks, issues, and responses.</p> <p>Reviews proposed risks or issues to determine whether they should be logged and managed.</p> <p>Assigns owners to new risks and issues.</p> <p>Identify risk sponsor to support risk owner as needed to mitigate or respond to risk.</p> <p>Authorizes closure of documented risks and issues.</p> <p>Validates and accepts risk and issue reports prior to distribution.</p> <p>Escalates risks or issues as appropriate.</p> <p><i>Note: This team is comprised of individuals selected to represent different roles, skillsets, and functions within the agency and the Modernization Program.</i></p>
<p>Modernization Director</p>	<p>Accountable for risk and issue management activities.</p>
<p>Modernization Program Manager</p>	<p>Responsible for overseeing program and project management activities, including oversight of risk and issue management.</p> <p>Develops the risk and issue management strategy, and works with the Modernization Senior Quality and Risk Analyst to develop sufficient management processes.</p> <p>Ensures program or project plans are updated to reflect impacts resulting from risks and issue mitigation strategies and activities.</p> <p>Reviews risk and issue reports to ensure information is communicated in a transparent manner, and that concerns or issues are highlighted and escalated appropriately.</p> <p>Incorporates risk and issue reports within the program’s status reports.</p>

Role	Responsibilities
Modernization Senior Quality and Risk Analyst	<p>Responsible for executing risk and issue management processes, ensuring that appropriate organizational structure, processes, and tools are present and working effectively, and that risks are identified and escalated appropriately.</p> <p>Facilitates the risk and issue management team.</p> <p>Ensures that identified risks, issues, and concerns are analyzed and properly channeled through the risk and issue process.</p> <p>Enters and maintains all risks within the risk registry.</p> <p>Enters and maintains all issues within the issue registry</p> <p>Develops and maintains the risk and issue management plan and conducts regular assessments to identify how processes could be improved.</p> <p>Coordinates risk and issue response activities, such as risk mitigation plans or issue corrective action plans, with risk and issue owners and project managers.</p> <p>Communicates risk and issue updates to the modernization team and steering committee.</p> <p>Escalates risks or issues as appropriate.</p>
Risk and issue owners	<p>Assesses new risks or issues as they are assigned.</p> <p>Creates action plans to mitigate risks or resolve issues, and ensures those plans are executed.</p> <p>Takes ownership and actively monitors assigned risks or issues.</p> <p>Escalates mitigation or action to risk sponsor or issue sponsor as needed.</p> <p>Provides proposed risk or issue registry updates to the Modernization Senior Quality and Risk Analyst as requested.</p> <p>Regularly evaluates risk probability and impact used to determine risk scores.</p>
RIMT liaison	<p>If the assigned risk or issue owner is not a member of the modernization team, the risk or issue is assigned a RIMT liaison that will support and communicate with the owner and RIMT.</p>
Risk sponsor	<p>Risk sponsors support risk owners, remove barriers, and are accountable for designated risks.</p>
Issue sponsor	<p>Issue sponsors support issue owners, remove barriers, and are accountable for designated issues.</p>

Role	Responsibilities
Independent quality management services (iQMS) vendor	<p>Conducts independent quality control reviews of risk and issue management processes.</p> <p>Monitors the planning and execution of responses to risks and issues.</p> <p>Reviews the risk and issue registries for quality and best practices.</p> <p>Attends RIMT meetings.</p> <p>Identifies new risks or issues as part of the quality assurance process.</p> <p>May recommend risk mitigation strategies and issue corrective action strategies.</p> <p>Assesses identified risks or issues that might diminish the success of the modernization program and its projects.</p>
Modernization team	<p>Raises concerns to the Modernization Senior Quality and Risk Analyst.</p> <p>Supports the risk and issue process with information needed for risk mitigation strategies and issue remediation plans.</p> <p>Assists to carry out mitigation strategies or issue remediation plans.</p>

Risk and Issue Management Team

Membership of RIMT will include individuals representing key areas within the agency and the program. These individuals are a mix of program and project team members, sponsors, agency leaders, and vendor staff. Individuals selected should have the authority and capability to carry out many of the mitigation strategies. The iQMS vendor and Senior Information Technology Portfolio Manager from Enterprise Information Services will also be invited to attend RIMT meetings.

Initially, membership of RIMT is expected to include the individuals below. As modernization projects are initiated and teams expand, membership of RIMT may be revisited.

- Modernization Sponsor
- Business Sponsor – Unemployment Insurance Division Director, or delegate
- Business Sponsor – Workforce Operations Division Director, or delegate
- Business Sponsor – Chief Information Officer, or delegate
- Chief Financial Officer, or delegate
- Deputy Modernization Director
- Project business manager(s)
- Project technical manager(s)
- Modernization Program Manager
- Modernization Senior Quality and Risk Analyst (Facilitator)

Risk and Issue Management Processes

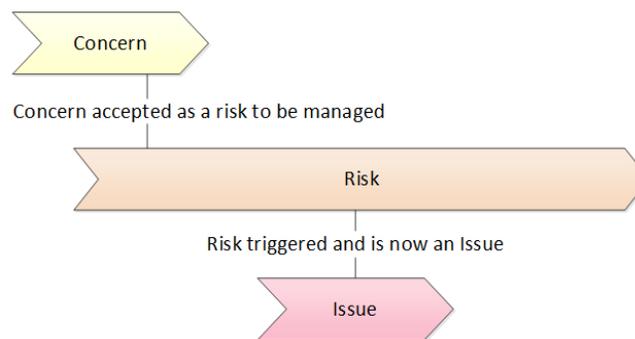
The Modernization Senior Quality and Risk Analyst, working with the modernization team and sponsors, ensures that risks and issues are actively identified, analyzed, and managed. It is expected that risks and issues are identified as early as possible so that mitigation strategies and activities can be employed

quickly to minimize impact. The steps for accomplishing this are outlined in the following sections.

The process and criteria used for escalation of risks or issues leverages the authority outlined within the decision process. Further details on the decision processes can be found within the modernization program management plan, communication plans, and project plans.

Most risks are initially identified through a risk assessment process. Risks may also be identified through submission of a concern that is then reviewed to determine if a risk should be managed. Most issues result from risks that have triggered; however, if a sudden or unforeseeable event occurs, a concern may escalate directly as an issue.

Figure 1 – Concern, Risk, and Issue Flow



PROJECT RISK AND ISSUE THRESHOLDS

To allow for consistency in the risk and issue management process, various project thresholds have been defined and documented.

Budget Thresholds

Budget thresholds are defined in the Change Management Plan.

Variance reports may include threshold ranges to identify when action should be taken to bring the project back on budget, should variances exceed certain thresholds.

Budget thresholds are also suggested with the quarterly Budget and Schedule Variance report template required by Enterprise Information Services (EIS).

Quality Thresholds

Quality thresholds (standards) for work products, deliverables, artifacts, processes and performance are addressed with the deliverable approval process in the Quality Management Plan.

Schedule Thresholds

Schedule thresholds are defined in the Schedule Management Plan and the Change Control Management Plan.

Schedule thresholds are also suggested with the quarterly Budget and Schedule Variance report template required by EIS.

Scope Thresholds

Scope thresholds are addressed in the Change Control Plan. Changes resulting in customization must be escalated to the Executive Sponsor for a decision. All other changes to baseline scope are reviewed by

the Program's Change Control Board. If a change has a budgetary impact meeting thresholds described in the Budget Management Plan, the request must be escalated to the ESC for a decision.

Risk Management Process

Risk management activities are listed below, followed by an illustration of the process. The risk management process consists of the following steps:

- Risk identification
- Risk analysis
- Risk mitigation planning
- Risk monitoring, controlling, and reporting

When someone has a Modernization Program or project concern, they should be directed to the Modernization Senior Quality and Risk Analyst. The Modernization Senior Quality and Risk Analyst will work with them to gather additional information to document a proposed risk or issue. A concern form is available and may be used to help document a potential risk. See Appendix A for an example of this form. The Modernization Senior Quality and Risk Analyst will determine whether the concern requires immediate attention or can be reviewed during the next scheduled RIMT meeting. The iQMS vendor may also identify concerns or risks through their regular reporting process.

RIMT reviews concerns during its team meetings and decides whether those concerns should be added to the risk registry. See Appendix B for an example of the risk registry.

- Concerns that pose a significant risk to the program or a project are added to the risk registry, prioritized, and assigned a risk owner and a risk sponsor.
- Concerns that do not meet the risk threshold or that may be a risk to an area outside of the Modernization Program are routed through the appropriate agency process for further review or taken to the program's steering committee for direction on where to escalate the concern.
- Decisions regarding concerns are communicated to the concern originator by the Modernization Senior Quality and Risk Analyst.
- If the concern originator disagrees with a risk threshold decision, they are invited to a future RIMT meeting for a discussion.
- If the concern requires a more timely response, RIMT may choose to meet on an ad hoc basis to address resolution strategies.

The Modernization Senior Quality and Risk Analyst works with risk owners to get updated status reports for active risks that are prioritized as high or scheduled for a status update. These updates are added to the risk registry for review and approval at the next RIMT meeting.

RIMT meets regularly, and on an as needed basis, to review the updated risk registry draft for review and approval. RIMT recommends changes which are updated to the risk registry. The risk registry is finalized each month and risk reports are finalized.

If necessary, a subset of RIMT may meet for work sessions. The Modernization Senior Quality and Risk Analyst will determine the individuals that are needed to participate in these work sessions. Results of these work sessions are taken to the full RIMT for reporting and validation.

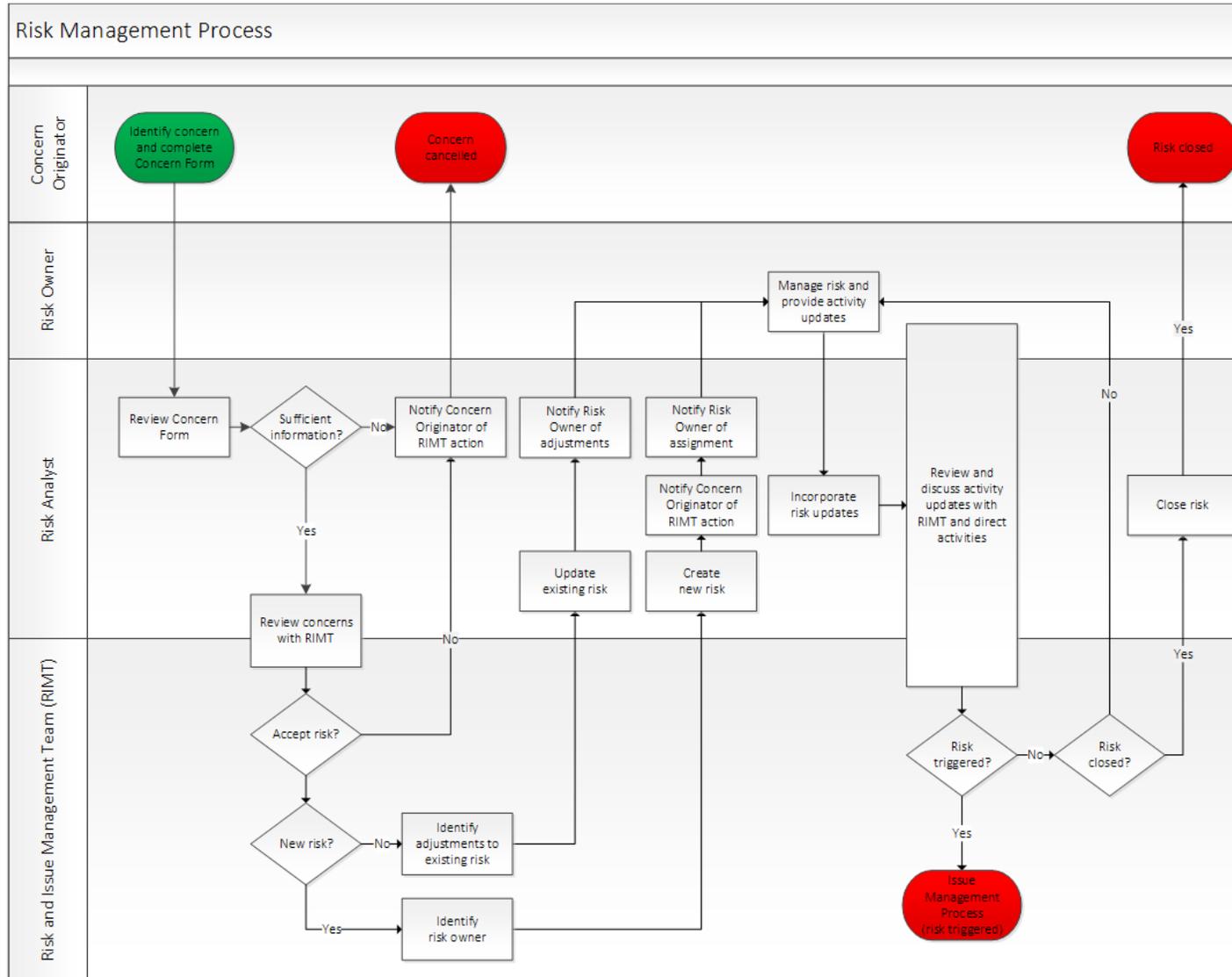
Once approved, the Modernization Senior Quality and Risk Analyst (or designee) communicates risk

registry updates by means of a regular risk report that is sent or made available to the modernization team, the executive steering committee, and other designated stakeholders.

Once RIMT determines a risk is no longer applicable or has been sufficiently mitigated and no longer requires monitoring, RIMT approves closure of the risk and the status is updated within the risk registry.

When a risk is triggered or issue concern is raised, the occurrence is analyzed and assessed to determine if an issue should be logged in the issue registry to be managed with the issue management process. The corresponding risk may be maintained in the risk registry for continued monitoring.

Figure 2 – Risk Management Process



RISK IDENTIFICATION

Risk identification will involve appropriate team members and stakeholders, and will include an evaluation of environmental factors, organizational culture, management of the program and its projects, and similar factors. Careful attention will be given to program and project deliverables, assumptions, constraints, work breakdown structure, cost and effort estimates, resource plan, and other key documents.

At the beginning of each planning phase, the Modernization Senior Quality and Risk Analyst conducts a risk identification session. Although all risks should be considered, the focus is on risks that may occur in the upcoming implementation cycle, as well as long-term risks that can be mitigated effectively at that phase.

In addition to periodic reviews, stakeholders and Employment Department employees are encouraged to submit Modernization Program and Project concerns (candidate risks) to the Modernization Senior Quality and Risk Analyst. Individuals may also communicate their concern to a RIMT member who would complete a concern form. See Appendix A for an example of this form. Concerns which pose a measurable risk to the project are managed through the risk process.

Risk identification also occurs informally throughout the course of managing the program and its projects. Conversations within and outside of formal project meetings may lead to the identification of potential concerns.

Risks may also be identified by the iQMS vendor and reported through their quality status report. Risks identified by the iQMS vendor are reviewed by RIMT to determine what additions or modifications are needed to the risk registry.

RISK ANALYSIS

All risks identified are assessed to understand the range of possible outcomes. As part of the assessment, the risk owner will perform a root cause analysis to determine potential sources of the risk. Risks are classified into the following categories. Some risks may fall within multiple categories.

- Budget management
- Communication management (internal and external communication, stakeholder engagement)
- Decision-making
- Governance and leadership
- Organizational Change management (preparing for and accepting change, organizational and process changes)
- Partnerships and interfaces
- Procurement and contract management
- Project management (structure, plans, processes)
- Quality management (value of work performed, testing, quality assurance oversight)
- Schedule management (timeline, capacity)
- Scope management (requirements, benefits)
- Staff management (staff performance, availability, skillsets)
- Technical (data, systems, infrastructure)
- Training
- Operations (maintainability, supportability, support costs, ongoing training)

Assessment of probability and impact are described below. When data are available, such data will be used to support the assigned probability and impact ratings. When data are unavailable, risk owners will use their professional judgment to determine the appropriate probability and impact ratings.

The following calculation of probability and impact ratings produce the risk priority rating.

$$\text{Probability score} \times \text{impact score} = \text{risk priority rating}$$

The risk priorities of high, medium, and low are based on the following risk priority ratings.

Table 2 – Risk Priority Ratings

Priority Rating	Priority Score
Low	2 or less
Medium	3 to 5
High	6 or greater

The probability of occurrence (based on the present risk state, not the probability after mitigation actions have been completed) for each identified risk will be assessed by the risk owner, with input from RIMT using the following approach.

Table 3 – Probability Ratings

Probability Rating	Probability Definition	Probability Score
Low	Less than 30% likelihood that risk event will occur	1
Medium	30% - 70% likelihood that risk event will occur	2
High	Greater than 70% likelihood that risk event will occur	3

Impact assessment describes the resulting effect should the risk event occur. The following impact definitions are used to ensure consistency.

Table 4 – Impact Ratings

Impact Rating	Impact Definition	Impact Score
Low	Risk event has potential to minimally impact project processes or components. If event occurs, changes in process or extra effort may be necessary, but project baselines would not likely be impacted.	1
Medium	Risk event has potential to substantially impact project budget, schedule, or scope (quality or benefit delivery). If event occurs, project baselines would require adjustment.	2
High	Risk event has the potential to significantly impact project success. If event occurs, catastrophic impacts could result causing work stoppage, contract breach, insufficient funding, or missed implementation milestones.	3

RISK MITIGATION PLANNING

A risk owner is assigned to each risk. Risk owners are responsible to monitor the risk ratings, ensure the mitigation strategies are being employed, and provide updates to include in the risk registry showing that the risk is being properly managed. Risk owners extend beyond the project team, and are determined by RIMT based on the risk owner's knowledge and responsibility in relation to the particular risk. If the assigned risk owner is not a member of RIMT, the risk will be assigned a RIMT liaison that will support and communicate with the risk owner and RIMT. While input from the vendors is solicited and valued, vendor staff will not be assigned as risk owners.

Mitigation strategies are identified and documented for each risk. For most risks, strategies will be employed to *mitigate* the impact or probability of a risk. In some instances, strategies may be employed to *avoid*, *transfer*, or simply *accept* a risk. Risk mitigation strategies are actions that prevent a risk from occurring or reduce its impact if it were to occur.

The Modernization Program is considered high risk and high impact overall. Therefore, there is no minimum tolerance for developing risk mitigation strategies. Risk owners develop risk mitigation strategies for each documented risk logged within the registry.

RISK MONITORING

The level of risk will be tracked, monitored, and reported throughout the program and project lifecycles. Risks are assigned a review date based on the risk probability and impact. Risks prioritized as high are reviewed at least monthly. Review dates for lower priority risks are determined by the risk owner based on their knowledge of the best timing to re-assess risk ratings. In some cases, activities influencing a risk may not occur for several months; therefore, there may not be a need to re-assess the risk until those activities occur.

Risk owners also document risk triggers. Risk triggers are events that indicate that the risk is occurring or may occur. Risk triggers are documented in the risk registry and reviewed by the risk owner when providing activity updates to the Modernization Senior Quality and Risk Analyst. It is the responsibility of the risk owner to investigate the risks assigned to them and work with the project teams to understand whether there is any indication that risk triggers are occurring.

At least annually, and during the planning phase for each project, RIMT will fully reassess all risks to ensure triggers and mitigation strategies are accurate, identify new risks, and determine whether any risks may be closed.

RISK CLOSURE

As risks are monitored, risk owners may determine that a risk has been sufficiently mitigated or avoided to the point that the probability and impact are low enough that the risk can be closed. The risk owner will recommend closure of the risk as part of their risk review and update process. Further, there may be a need to merge or adjust a risk significantly resulting in the need to close the existing risk and initiate a new risk. The Modernization Senior Quality and Risk Analyst will review the recommendation with the RIMT team to determine whether the risk should be closed. If RIMT approves the closure, the status of the risk will be updated within the registry and the risk will be moved into the registry's closed section so that a record of the risk remains, along with its action and monitoring history.

Issue Management Process

Issue management activities are listed below, followed by an illustration of the process. The issue management process consists of the following steps:

- Issue identification
- Issue prioritization
- Issue resolution planning
- Issue monitoring

Candidate issues are routed to the Modernization Senior Quality and Risk Analyst. These are primarily triggered risks or concerns outlined by staff via a concern form. The iQMS vendor may also identify concerns or issues through their regular reporting process.

RIMT reviews candidate issues and decides whether they should be added to the issue registry. See Appendix B for an example of the risk and issue registry.

- Concerns that pose a significant impact to the program are added to the issue registry, prioritized, and assigned an issue owner.
- Decisions are communicated to the concern originator by the Modernization Senior Quality and Risk Analyst.
- If the concern originator disagrees with an issue threshold decision, they are invited to a future RIMT meeting for a discussion.
- If the concern requires a more timely response, RIMT may choose to meet on an ad hoc basis.

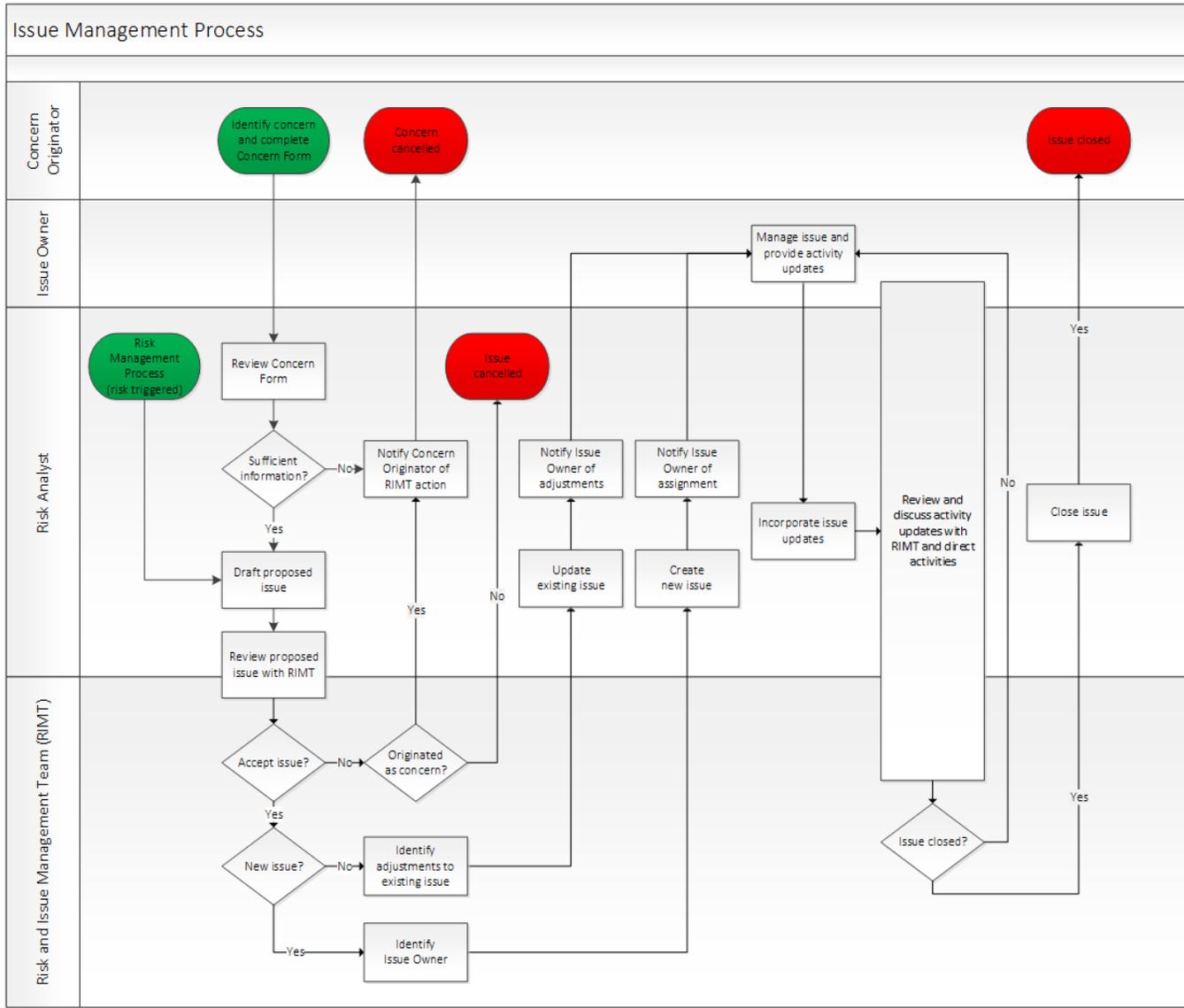
The Modernization Senior Quality and Risk Analyst works with issue owners to obtain updated status reports for active issues as scheduled and needed. These are inserted into the issue registry for review and approval at the RIMT meeting.

RIMT meets regularly, and on an as needed basis, to review issue updates. RIMT may provide input and recommend changes which are updated within the issue registry. The issue registry is then then finalized.

If necessary, a subset of RIMT may meet for work sessions. The Modernization Senior Quality and Risk Analyst will determine the individuals that are needed to participate in these work sessions. Results of these work sessions are taken to the full RIMT for reporting and validation.

When the issue owner determines an issue has been resolved, they will make a recommendation for closure to RIMT. Once RIMT approves closure, the issue status is updated within the issue registry.

Figure 3 – Issue Management Process



ISSUE IDENTIFICATION

Potential risk triggers are identified in the risk registry. When a risk is triggered, the occurrence is analyzed and assessed to determine if an issue should be logged in the issue registry and managed according to the issue management process.

Risk owners are primarily responsible to identify when a risk has triggered, and recommend candidate issues to the Modernization Senior Quality and Risk Analyst. The Modernization Senior Quality and Risk Analyst will work with the risk owner to determine if review of the candidate issue can wait until the next meeting or requires immediate review and action.

Issues may also be identified by the iQMS vendor and reported through their quality status reports. Issues identified by the iQMS vendor are reviewed by RIMT to determine whether the issue should be accepted and tracked within the program’s issue registry.

Issue identification also occurs informally throughout the course of a project. Conversations within and outside of formal project meetings may lead to the identification of potential concerns. Concerns which have a measurable impact may be escalated directly as a candidate issue.

Once an issue is identified, the Modernization Senior Quality and Risk Analyst guides the issue management process ensuring all issues are recorded and monitored until they are resolved.

ISSUE PRIORITIZATION

Issues are prioritized based on impact. The following priority definitions are used to ensure consistency.

Table 5 – Issue Priority Ratings

Priority Rating	Effect Definition	Priority Score
Low	Minimal impact to project processes or component. Changes in process or extra effort are necessary, but project baselines are not impacted.	1
Medium	Substantial impact to project budget, schedule, or scope (quality or benefit delivery). Project baselines require adjustment.	2
High	Significant impact to project success. Catastrophic impacts are causing work stoppage, contract breach, insufficient funding, or missed implementation milestones.	3

ISSUE RESOLUTION PLANNING

Each issue is assigned to an issue owner for monitoring purposes to ensure the issue is resolved. Issue owners extend beyond the modernization team and are determined by RIMT based on the issue owner’s knowledge and responsibility in relation to the particular issue. If the assigned issue owner is not a member of the modernization team, the issue will be assigned a RIMT Liaison that will support and communicate with the issue owner and RIMT. While input from the vendors is solicited and valued, vendor staff will not be assigned as issue owners. For each identified issue, the issue owner will develop and coordinate an action plan or planned resolution along with a target date for resolution. An issue sponsor will be identified to support and remove barriers for the issue owner as needed.

ISSUE MONITORING

Issues will be tracked, monitored, and reported until resolved. Because the Modernization Program is considered high risk and high impact, there is no minimum tolerance for issue action planning. Issue owners will develop action plan(s) for each documented issue logged within the registry.

ISSUE CLOSURE

As issues are monitored, issue owners may determine that an issue has been resolved. The Modernization Senior Quality and Risk Analyst will review the recommendation with the RIMT team to determine whether the issue should be closed. If RIMT approves the closure, the status of the issue will be updated within the registry and the issue will be moved into the registry’s closed section so that a record of the issue remains, along with its action and monitoring history.

Reporting

The Modernization Senior Quality and Risk Analyst prepares regular risk and issue reports that reflect current ratings, trending, highlights of monthly activity, and any emerging concerns. These reports are incorporated within the program’s status reporting process. See Appendix C for an example of these risk and issue reports.

A quarterly project status update is also submitted to EIS. The last section of this update lists top project risks and mitigations. See Appendix D for an example of this section of the report.

Document Maintenance

This document is maintained by the Modernization Senior Quality and Risk Analyst and will be reviewed and updated annually or when major revisions are necessary. Periodic process reviews assess the effectiveness of program plans and processes. Any identified changes or improvements are incorporated in program processes and reflected within revisions to these program plans. All program plans are stored within the program’s file share located here: <\\WPOEDFILL04\Modernization\00 Program Management\Program Plans>

Version	Date	Author	Change Description
V1.0	12/2017	Jennifer Hannan, Modernization Program Manager	Initial version of the document.
V2.0	12/2018	Jennifer Hannan, Modernization Program Manager	Applied updated style template. Included editorial adjustments, response to OSCIO feedback, process flow diagrams, and report examples.
V3.0	5/2019	Jennifer Hannan, Modernization Program Manager	Minor grammatical adjustments, revised risk and issue priority descriptions, added clarity of closure process, changed name of modernization sponsor, and updated appendices.

Version	Date	Author	Change Description
V4.0	11/2019	Shirlene Gonzalez, Modernization Risk Analyst	Updates in response to CSG quality control review (Deliverable 3.1.5a), adding appendix with Issue Registry and field definitions

Approving Authorities

Ethan Benatan
Ethan Benatan (Apr 2, 2020)

Ethan Benatan, Modernization Sponsor Modernization Director	Date
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Jennifer Hannan
Jennifer Hannan (Apr 2, 2020)

Jennifer Hannan, Modernization Program Manager	Date
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Alex Kasner
Alex Kasner (Apr 2, 2020)

Alex Kasner, Modernization Senior Quality and Risk Analyst	Date
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Appendix A: Concern Form

Concern Form

Concern Title <i>(Describe in one sentence or less, if possible)</i>	
Originator <i>(Name of person who identified concern)</i>	Origination Date
Documenter <i>(Name of person completing this form)</i>	
Concern Description <i>(Provide a brief description of the concern)</i>	
<p>Proposed Ratings <i>(Probability that risk may occur, potential impact if it does occur, and anticipated timeframe)</i></p> <p>Probability (low / medium / high):</p> <p>Impact (low / medium / high):</p>	
<p>Recommended Response (Accept / Avoid / Mitigate / Transfer) <i>(Include any suggested mitigation strategies)</i></p>	
<p>Triggers <i>(Provide warning signs or symptoms that would serve as alerts that the risk occurred or was imminent)</i></p> <p><i>Do you believe any of these symptoms have occurred or are occurring, prompting management as an active issue?</i></p>	
Proposed Risk/Issue Owner and Sponsor	

Appendix B1: Risk Registry

Risk ID	Associated CSG Risk Date	Proposed Reporter	Date Added	Category	Risk Title	Risk Impacts	Probability	Probability Score	Impact	Impact Score	Risk Priority	Priority Score	Risk Trigger	Response	Status	Mitigation Strategies	Risk Owner	Risk Sponsor	Activity Updates	Last Reviewed	Current Update	Next Review	Comments

Field Definitions:

Risk ID: Sequential number assigned to risk for identification purposes only. (Note: The initial version of the risk registry was created in MS Access which auto generated the next risk id. Some risk ids were generated with draft risks. The current risk registry starts with Risk ID #51.)

Associated CSG Risk: When RIMT decides to monitor a CSG risk with a risk already existing in the Modernization Risk Registry, the CSG risk # will be noted in this field.

Date Proposed: Date concern is raised or risk proposed.

Reporter: Individual who originally identified the risk or related concern.

Date Added: Date risk is originally added to the Modernization Risk Registry.

Category: Program/project management category to which the risk relates.

Risk Title: Short descriptor that identifies the subject of the risk. The risk title is the “*what*” that might happen.

Risk Impacts: Potential consequences should the risk occur.

Probability: Probability is the likelihood of the risk occurring. See table 3 of the Risk and Issue Management Plan for guidance on probability rating.

Probability Score: Probability Score is automatically calculated based on the Probability. No input by the registry user.

Impact: Impact rates the potential consequences of the risk occurring. See table 4 of the Risk and Issue Management Plan for guidance on impact rating.

Impact Score: Impact Score is automatically calculated based on the Impact. No input by the registry user.

Risk Priority: Risk Priority is a calculation of the Probability and Impact. See table 2 of the Risk and Issue Management Plan for possible Risk Priorities. No input by the registry user.

Priority Score: Priority Score is automatically calculated based on the Risk Priority. No input by the registry user.

Risk Trigger: Triggers are events that indicate that the risk is occurring or may occur.

Response: Possible responses to each risk include *Mitigation, Avoidance, Transfer, or Acceptance*.

Status: Status may be *Mitigating or Monitoring*.

Mitigation Strategies: For those risks with a response of *Mitigation*, actionable and measurable mitigation strategies will be documented and executed.

Risk Owner: The Risk Owner is responsible for monitoring the risk, executing any mitigation strategies and providing activity updates to the Modernization Senior Quality and Risk Analyst.

Risk Sponsor: The Risk Sponsor serves as a champion to the Risk Owner if support is needed to execute mitigation strategies including securing resources and removing barriers.

Activity Updates: Activity updates document the presence and removal of risk triggers as well as progress and/or challenges in executing mitigation strategies.

Last Review Date: The date the risk was last reviewed by the Risk Owner

Current Update: Current risk activity update provided by the Risk Owner.

Next Review Date: The date the Risk Owner next plans to review the risk.

Comments: The field serves as a placeholder for notes and communication between the Risk Owner and the Modernization Senior Quality and Risk Analyst.

Appendix B2: Issue Registry

Issue ID	Date Reported	Reporter	Triggered Risk	Date Added	Issue Description	Priority	Priority Score	Remediation Actions	Issue Owner	Issue Sponsor	Update Frequency	Activity Updates	Last Review Date	Current Update	Next Review Date	Comments

Issue ID: Sequential number assigned to issue for identification purposes only.

Date Reported: Date issue is raised or reported.

Reporter: Individual who originally identified the issue or related concern.

Triggered Risk: Program/project management risk to which the issue relates.

Date Added: Date issue is originally added to the Modernization Issue Registry.

Issue Description: Concise description of the issue needing resolution.

Priority: Priority of the issue determined by impact. See table 5 of the Risk and Issue Management Plan for guidance on priority rating.

Priority Score: Priority Score is automatically calculated based on the Issue Priority. No input by the registry user.

Remediation Actions: Remediation Actions detail the activities to resolve the issue.

Issue Owner: The Issue Owner is responsible for executing the Action Plan and resolving the Issue.

Issue Sponsor: The Issue Sponsor provides support and removes barriers for the Issue Owner.

Update Frequency: Frequency by which the Issue Owner will provide updates to the Modernization Risk Analyst.

Activity Updates: Activity updates document the current state of the issue as well as progress and/or challenges in executing the Action Plan.

Last Review Date: The date the issue was last reviewed by the Issue Owner

Current Update: Current issue activity update provided by the Issue Owner.

Next Review Date: The date the Issue Owner next plans to review the issue.

Comments: The field serves as a placeholder for notes and communication between the Issue Owner and the Modernization Risk Analyst.

Appendix C: Risk and Issue Report

This shows an example of the Risk and Issue Report section within the monthly project status report.

Risk and Issue Report

- Monitoring four issues within the issue registry. Opened three new issue related to resource.
 - #2 – Activities to estimate, analyze, and plan legacy work are not proceeding as planned.
 - #3 – Organizational Change Management procurement process is taking significantly longer than planned.
 - #4 – Resource capacity constraints are impacting timeliness of Organizational Change Management activities.
 - #5 – Roles and responsibilities are not fully defined and understood.
- Conducted the annual risk assessment and refresh.
- Closed three risks, and opened the following three risks:
 - #100 – Decisions not made timely
 - #101 – Change in sponsor or program director
 - #102 – Roles and responsibilities not fully defined and understood

Risk Summary

Risk Update	Last Month	Current Month	Change
High (score 6-9)	5	8	+3
Medium (score 3-5)	17	17	0
Low (score 0-2)	17	14	-3
Total Risks	39	39	0
Sum of Risk Score	143	141	-2
Average Risk Score	3.36	3.62	+26

Issue Summary

Priority	Last Month	Current Month	Change
Priority 3 – High	1	2	+1
Priority 2 – Medium	2	2	0
Priority 1 – Low	0	0	0
Not Defined	0	0	0
Total Issues	3	4	+1

A detailed risk and issue report is prepared separately and distributed to the team, Modernization Executive Steering Committee, and oversight entities.

Appendix D: Risk Section of the Quarterly Project Update

Project Risks and Mitigation

*Note: The top risks identified here should align with the most recent independent QA report. Please limit description of each risk and associated mitigation to one sentence.

Risk #1	
Mitigation #1	
Risk #2	
Mitigation #2	
Risk #3	
Mitigation #3	

Modernization Risk and Issue Management Plan V4.0

Final Audit Report

2020-04-02

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