ACADEMY PROJECT
RISK/ISSUE
MANAGEMENT PLAN

Version 1.2

October 20, 2004

Academy Project Risk / Issue Management Plan

Communicate Status

Identify Risk / Issue

Evaluate & Document Risk / Issue

Document Resolution Risk / Issue

Risk / Issue

Review & Assign Risk / Issue

Resolve Risk / Issue

Evaluate Need for Escalation (as necessary)

Conduct Analysis & Research Risk / Issue

Automated Risk / Issue Tool (REMEDY - WIP)
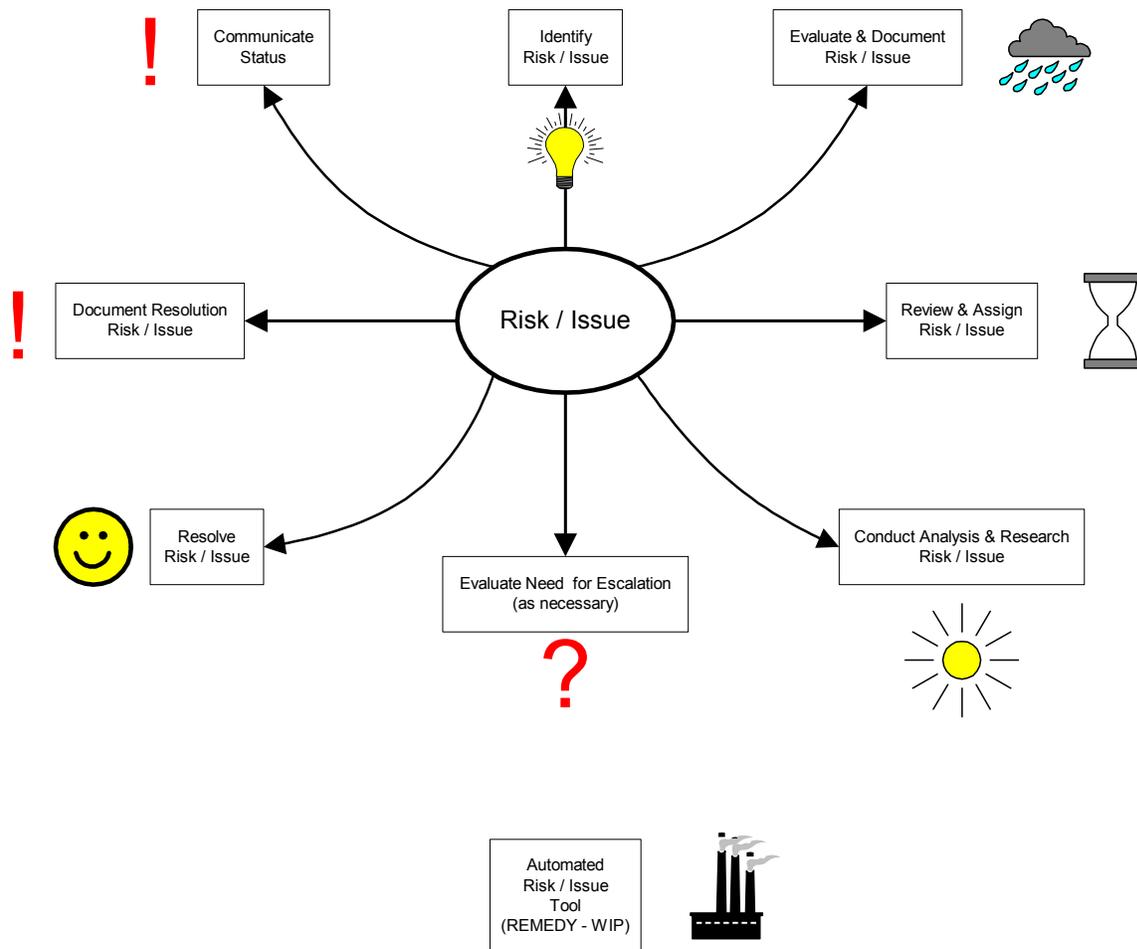
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1   Risk/Issue Management Plan Overview

1.1   Purpose

The purpose of the ITMA XII Risk/Issue Management Plan is to document the process of identifying and resolving project related Risks/Issues for the ITMA XII Project. The ITMA XII Risk/Issue Management Plan was developed to ensure that a structured and controlled approach is taken in Risk/Issue identification, resolution, and documentation.

1.2   Objective

The objective of the ITMA XII Risk/Issue Management Plan is to describe the identification and resolution process for documenting project related Risks/Issues.

1.3   Barriers to Success

The following are potential barriers to the successful execution of the ITMA XII Risk/Issue Management Plan:

- Lack of adherence to Risk/Issue management process steps
- Lack of plan, schedule, or organization
- Incomplete information in documentation of Risks/Issues
- Non-participation of team members in identifying and documenting project related Risks/Issues
- Lack of Risk/Issue tracking tool
- Un-timely resolution of Risks/Issues
- External dependencies/environment
- Undocumented requirements

1.4   Benefits

The following are expected benefits of the ITMA XII Risk/Issue Management Plan:

- Complete documentation of project Risks/Issues
- Ability to track, monitor, and report the status of project Risks/Issues
- A defined and structured approach for Risk/Issue identification and tracking
- History log of all issues and resolutions

1.5   Critical Success Factors

The following factors are critical to the success of the ITMA XII Risk/Issue Management Plan:

- **Adherence to Process**
  The Risk/Issue management process must be followed to ensure complete and proper resolution and documentation of Risks/Issues.

- **Participation of ITMA XII Project Management**
  ITMA XII Project Management must fully participate in review and assignment of Risks/Issues to ensure timely and appropriate resolution.

1.6   Assumptions
  The successful execution of the ITMA XII Risk/Issue Management Plan is dependent upon the following assumptions:

- Active participation and cooperation of ITMA XII members in Risk/Issue identification, documentation, and resolution.
- Use of an appropriate Risk/Issue tracking tool to document and track project Risks/Issues.

2   Risk/Issue Management Strategy

The purpose of a Risk/Issue resolution process is to organize, maintain, and track the identification and resolution of Risks/Issues that arise throughout the course of the project. The ITMA XII Risk/Issue resolution process provides a structured approach for identifying, documenting, and resolving Risks/Issues and provides for a single repository for recording and tracking Risks/Issues.

A Risk/Issue is defined as a topic or concern that may affect project scope, risk, schedule, cost, and/or system quality or functionality and can be resolved through action. Risks/Issues may originate from inside and outside of the project. It is expected that the majority of Risks/Issues will be day-to-day Risks/Issues concerning the internal operations of the project. However, there may be some potential scope Risks/Issues as well.   Scope Risks/Issues typically expand the scope of the project either technically or functionally, and therefore, may delay the project schedule and/or increase the cost of the project.

2.1   Risk/Issue Resolution Process

The Risk/Issue resolution process consists of <u>eight steps</u>.

1. Identify Risk/Issue

2. Evaluate and Document Risk/Issue

3. Review and Assign Risk/Issue

4. Conduct Additional Research

5. Evaluate Need for Escalation (as necessary)

6. Resolve Risk/Issue

7. Document Resolution

8. Communicate Status/Resolution

2.2   The following **diagram** depicts the **Risk/Issue resolution process flow**:

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                    ┌─────────────────┐
                    │     Identify    │
                    │    Risk/Issue   │
                    └─────────────────┘
                             │
                             ▼
                    ┌─────────────────┐
                    │    Evaluate &   │
                    │    Document     │
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                    │ Review & Assign │
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                    │ Conduct Additional │
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                    │    Evaluate &   │
                    │     Escalate    │
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                    ┌─────────────────┐
                    │     Resolve     │
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                    │    Document     │
                    │   Resolution    │
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                    │   Communicate   │
                    │ Status/Resolution │
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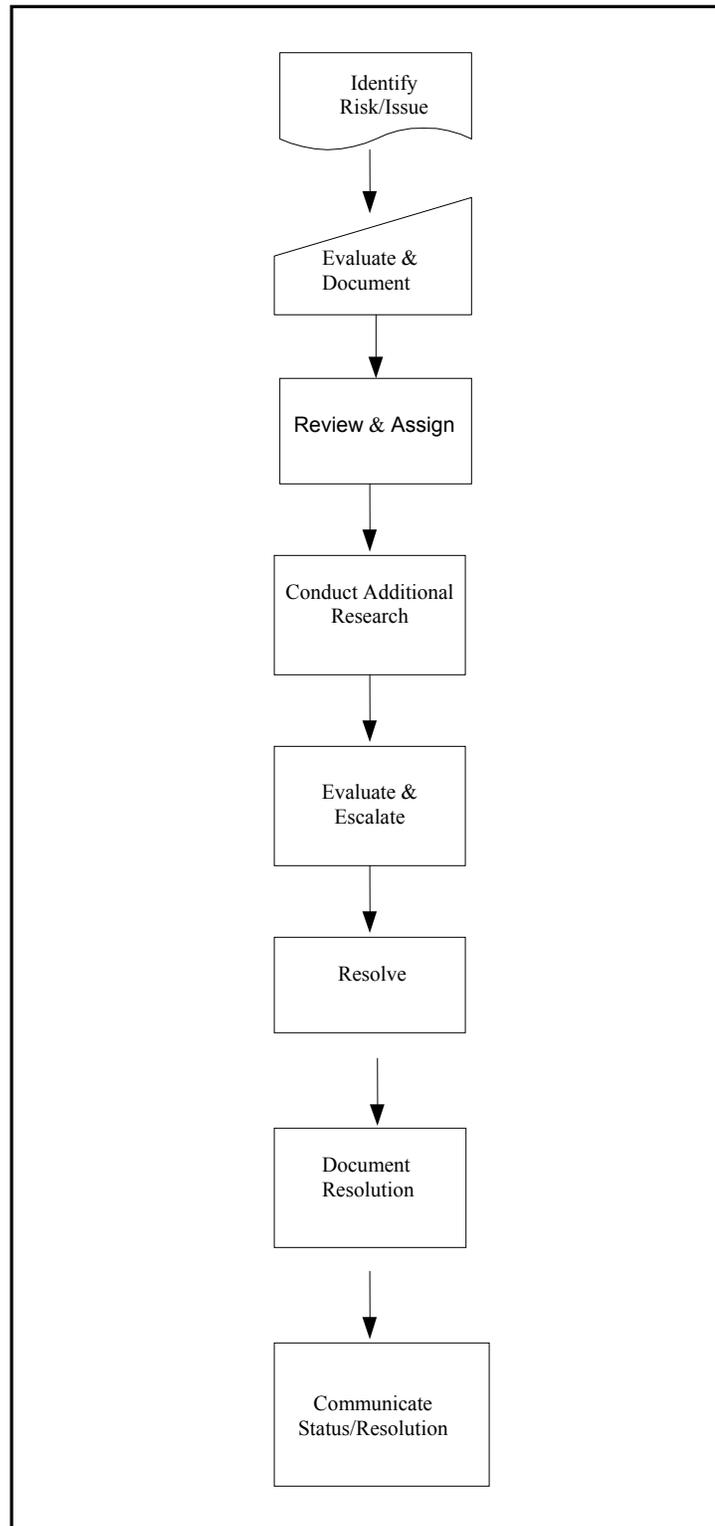
2.3   Risk/Issue Resolution Process Steps

2.3.1   Step 1 – Identify Risk/Issue

Project Risks/Issues may originate from sources within the project or from outside sources. Risks/Issues originating within the project team will be resolved and communicated to project management by a Team Lead, eliminating the need to log, track, and escalate the Risk/Issue.   However, Risks/Issues having project-wide impact will always be documented in the Log.

2.3.2   Step 2 – Evaluate and Document Risk/Issue

If a Risk/Issue cannot be resolved in a timely manner (as necessitated by the project work plan) by a Team Lead, it should be documented directly into the Risk/Issue Log. If a party from outside the project submits a Risk/Issue, the Risk/Issue Log Controller (or a Team Lead, as appropriate) is responsible for logging the Risk/Issue into the Risk/Issue Log.   The following data should be documented when logging a Risk/Issue:

1.   **Owner**

2.   **Assignee**

3.   **Risk Date**

4.   **Contingency**

5.   **Issue Date**

6.   **Priority**
   - Urgent
   - High
   - Medium
   - Low

7.   **Status Date**

8.   **Status**
   - Open
   - Closed
   - Re-opened

9.   **Due Date**

10. **Scope Impact**
   - Yes
   - No

11. **Risk/Issue Title**

12. **Long Description**

2.3.3   Step 3 - Review and Assign Risk/Issue

At the project status meeting(s), each new Risk/Issue, as well as those with updates, will be reviewed. Any Risk/Issue that may impact a project milestone or expand the baseline requirements will be categorized as a scope Risk/Issue. The ITMA XII Project Manager will assign the Risk/Issue to a Team Member for research and resolution. Additionally, the Project Manager will assign a due date and may modify the Risk/Issue priority. The priority is based on the Risk/Issue's potential impact on the project in terms of schedule and resources.   The Risk/Issue Log Controller is responsible for updating the Risk/Issue Log to reflect the status of each Risk/Issue.

2.3.4   Step 4 – Conduct Additional Research

The project team member who has been assigned a particular Risk/Issue will be required to research the Risk/Issue.   Following the research and analysis, the responsible team member will prepare the resolution alternatives and make a recommendation for resolution to Project Management.

2.3.5   Step 5 – Evaluate and Escalate Risk/Issue (as deemed necessary)

If the Risk/Issue can not be resolved, it will be escalated to the ITMA XII members as a group and they will follow the Decision Making Process until such time as a decision is made.

2.3.5   Step 6 – Resolve Risk/Issue

The ITMA XII management team is responsible for approving the proposed Risk/Issue resolution. Once a solution has been approved, the responsible party enacts the resolution.   Note he escalation process below:

Escalation Process

If consensus cannot be reached regarding an issue, within Level 1, the Risk/Issue Team, the team will escalate it to the next higher authoritative level for resolution. Escalation is not team failure, but rather implementation of an accepted process for the purpose of decreasing project risk and increasing project success. All members of the Risk/Issue Team are responsible to support and participate in the escalation process to ensure that all perspectives and adequate documentation are provided to the next authoritative level for effective, fully informed analysis and resolution. Risks/Issues will be escalated in an agreed upon format and timeframe (no longer than two weeks). The higher level will assign the issue to a team member and follow the resolution process outlined above.

⇒The objective of the Project Team is to resolve all issues at the ITMA Project Management Team level or below. If the ITMA XII Class Managers Issue Resolution Level become involved and they cannot reach consensus on an issue, it will be escalated to the ITMA XII Executive Sponsors. The determination made by the ITMA XII Executive Sponsors is considered final.

Authoritative Levels
The management and control of Issues is divided into five leadership levels, defined as:

Level	Name	Members
5	ITMA XII Executive Sponsors	John Hamlin (BOE) Mike Howland (DMHC) Dan Whetstone (DOI)
4	ITMA XII Class Managers	Melody Hayes (EDD) Larry Smith (CYA)

		Christy Quinlan (DHS)	
3	ITMA XII Project Management Team	ITMA XII Academy members	
2	ITMA XII Functional Team Partners	ITMA Project Lead and all subcommittee or workgroup leads	
1	ITMA XII Functional Team Lead	Members of the Issue/Risk Resolution workgroup	
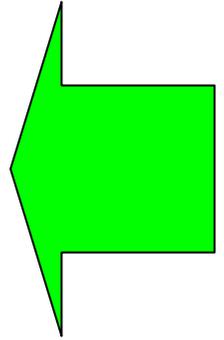
Note: Issues should not remain at an authoritative level any longer than *two weeks* without either resolution or escalation.

2.3.6 Step 7 – Document Resolution

Once a Risk/Issue has been resolved, a detailed description of the resolution will be incorporated into the Risk/Issue Log and distributed and discussed at the status meeting. The Risk/Issue Log Controller will update the Risk/Issue within the Risk/Issue Log with the status of "closed" and coordinate notification of appropriate parties.

2.3.7 Step 8 – Communicate Status/Resolution

The Risk/Issue Log Controller will communicate the resolution to the appropriate parties involved. In addition, it will be verified that the Risk/Issue Log has been updated. Together, the group will validate the appropriate requirements to support their needs, raise questions where appropriate, and identify the assumptions from which the development of the application could begin. Both the requirements and assumptions will be validated and documented and action steps will be identified for outstanding Risks/Issues.

2.4 Roles

The following project staff persons have key responsibilities in the Risk/Issue resolution process.

2.4.1 Risk/Issue Log Controller

The Risk/Issue Log Controller is responsible for administering the Risk/Issue resolution process for the project. The Risk/Issue Log Controller's specific responsibilities will include the following:

❑ Review new Risks/Issues in the Risk/Issue Log and generate Risk/Issue reports for the project status meeting
❑ Solicit additional information for documented Risks/Issues
❑ Update and maintain the Risk/Issue Log as needed
❑ Produce and distribute Risk/Issue reports on a weekly or as-needed/requested basis

2.4.2 Risk/Issue Team

The Risk/Issue Team will meet as needed to review and discuss all new and outstanding Risks/Issues. This team is also responsible for identifying scope Risks/Issues and escalating them appropriately.

2.4.3 Leads

The Leads are ultimately responsible for directing and managing the execution and implementation of the resolution of Risks/Issues.

2.4.4 Project Team Members

All project team members are responsible for identifying Risks/Issues and entering them into the Risk/Issue Log. Project members who have been assigned the task of resolving a Risk/Issue are also responsible for updating the team lead about the resolution.

2.5   Tools

Currently, the tool that will serve as the Risk/Issue Log is being examined. This document will be updated to reflect the tool once it has been identified.