

## ACES Project Initial Risk Assessment

Risk Category / Number	Risk Event Description	Impact to Project	Risk Owner	Impact (H-M-L)	Probability (H-M-L)	Time	Exposure	Severity	Mitigation / Preventive Measures	Contingency Measures	Comments
<b>1.0 PLAN/SCHEDULE</b>											
1.1	Schedule is optimistic, best case rather than realistic, expected case	Missed deadlines, project delays. Possible budget overrun in order to increase resource levels.	Steering Committee	Medium	High	Short	High	High	Vendor to review project schedule; Include "contingency time" as needed throughout the project. Use incremental development methodology so the project is aware sooner. Re-evaluate schedule status at weekly status meeting and make changes as appropriate. Secure adequate resources for the project	Write an SPR to extend the project	
1.2	Product is larger than estimated (in lines of code, function points, or percentage of previous project's size)	Possible project delays, missed deadlines, overworked resources.	Project Management Board, and Vender	High	High	Medium	High	High	Decrease the scope; Hold vendor responsible for the deliverables	Modify the contract Increase staff to the project	
1.3	Excessive schedule pressure	Missed deadlines and end product may not be as useful as expected.	Project Sponsor, Steering Committee and Project Management Board	Medium	Medium	Short	Medium	High	Include "contingency time" as needed throughout the project. Use incremental development methodology so the project is aware sooner.	Assign additional resources Increase schedule and or budget; Rework those areas affected by compromised quality.	
1.4	Plan omits necessary tasks	Project delays, potential project failure; Scope, resources and/or time issues.	Project Management Board	Low	High	Short	Medium	High	Prepare well developed work plan with input from end-users, technical, business and vendor personnel.	Project Manager, with input from project team, will revise work plan as needed and modify tasks, resources or schedule. Write an SPR	
1.5	Schedule is based on future positions	Project does not progress adequately. Required increase in resources/budget. Timeliness issues, delays in completing tasks.	Project Sponsor, Steering Committee	High	High	Short	High	High	Recruit and employ experienced, educated, knowledgeable personnel; assign additional tasks to Vendor. Train existing personnel	Recruit additional staff.	
1.6	Re-estimation in response to schedule slips does not occur, or is overly optimistic or ignores project history	Budget overruns; project delays, incomplete project if schedule corrections are not possible.	Project Management Board	Low	Low	Short	Low	Medium	Prepare well developed work plan. IV&V will be used	Project Manager, with input from project team, will revise work plan as needed.	
1.7	A delay in one task causes cascading delays in dependent tasks	Project delays and budget overruns	Project Management Board	Medium	Medium	Short	Medium	High	Closely monitor the schedule Use Project Management tool	Revise schedule as appropriate. Add resources, delay project	
1.8	Unfamiliar or complex areas of the product takes more time than expected to design and implement	Missed deadlines and delay of project.	Project Management Board	Medium	High	Short	High	High	Use iterative methodology for development	Add resources; reduce scope	

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1.9	Vendor misperceives the scope	New required tasks cause project delays or cost overruns.	Project Management Board	Medium	Medium	Short	Medium	High	Write contract based on vendor proposal process	Change scope, schedule, deliverables	
1.10	Failure to select competent Vendor	Quality or functionality of the application may be inadequate. Project delays, potential project failure.	Project Sponsor, Steering Committee and IV&V Contractor	High	Low	Short	Medium	High	Ensure selection criteria is finely tuned; IV&V will review selection criteria; pre-qualify vendors	Accept	
1.11	Response to RFP process does not meet desired results	Lack of qualified vendors to select from; legal issues	Project Sponsor, Steering Committee and IV&V Contractor	High	Low	Short	Medium	High	Pre-qualify vendors	Re-evaluate vendor expectations	
<b>2.0 ORGANIZATION AND MANAGEMENT</b>											
2.1	No Application Development Methodology	Inability to measure progress, control project	IT Project Manager	High	Medium	Short	High	High	Adopt a Methodology	SPR	This is in progress. There is an ITB workgroup addressing this issue
2.2	The Project Management Board does not have clear direction	Confusion, project delay and inadequate scope.	Project Sponsor, and Steering Committee	High	Low	Short	Medium	High	Validate project's critical success factors on an ongoing basis. Discuss direction and resolve at regular intervals.	Solicit feedback from project sponsors at regular intervals.	
2.3	Other similar projects have been delayed or cancelled	Project could be delayed or cancelled	Steering Committee	High	Medium	Short	High	High	Emphasize the significant payoffs that are associated with successfully completing the project.		
2.4	The project scope, objectives and deliverables are not clearly defined or understood	Missed deadlines, project delays. Possible budget overrun in order to increase resource levels.	Steering Committee Project Management Board and IV&V Contractor	High	Low	Short	Medium	High	Well documented requirements, agreements, scope objectives and deliverables.	Project Manager, with input from project team, will revise work plan as needed and modify tasks, resources or schedule.	
2.5	Project management and tracking consumes more resources than expected	Project delays, potential project failure; Scope, resources and/or time issues.	Project Management Board	High	Medium	Short	High	High	Assign adequate management and support staff.	Provide additional resources.	
2.6	Complex project structure reduces productivity	Missed deadlines, incomplete deliverables	Project Management Board	High	Medium	Short	High	High	Develop a clear communication plan and project structure	Revise communication plan	Part of Rational Unified Process (RUP) methodology TiSS is trying to get adopted

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2.7	Future unknown activities and events could increase project risk - legislative and competing projects	Brittle, complex final product. Missed deadlines	Project Sponsor, and Steering Committee	High	Medium	Short	High	High	Develop iteratively. Develop service modules with a small, well-defined interface. Develop an architecture (framework) first	Accept	Mitigation Defined in RUP
2.8	Interim deliverables do not meet expectations	Inconsistent quality and timeliness of deliverables. Vendor may not meet final expectations.	Project Management Board, IV&V Contractor, Vendor	Medium	Low	Short	Low	Medium	Testing of deliverables; IV&V; no payment until deliverable is accepted by the department	Replan	
2.9	Protest to vendor selection	Relationship deterioration; Project delays; potential project failure; financial risk.	Project Sponsor, Steering Committee and IV&V Contractor	High	Medium	Short	High	High	Ensure legal participation throughout the contract process	Accept	
2.10	Inexperienced project team; Resources lack appropriate skill sets to address responsibilities assigned	Project does not progress adequately. Required increase in resources/budget. Timeliness issues, delays in completing tasks.	Steering Committee and Project Management Board	High	High	Short	High	High	Early approval of positions; freeze exemptions; training staff	Hire outside contractors	
2.11	ACES Project is not coordinated with other related efforts within EDD	Unnecessary expenditures; duplicative technologies; additional reconciliations or manual steps necessary; inability to full benefits of ACES solution.	Project Sponsor, Steering Committee and Project Management Board	High	Low	Short	Medium	High	Develop a well defined project dependency communications plan	Raise issue to sponsor	
<b>3.0 DEVELOPMENT ENVIRONMENT</b>											
3.1	Configuration Management environment undefined, unavailable, lack of training or tools	chaotic, unrepeatable build process poorly defined baselines	IT Project Manager, IV&V Contractor and Vendor	High	Medium	Short	High	High	Participation from Configuration Management Office	Contract outside Configuration Management	Mitigation Defined in RUP
3.2	Development in an unfamiliar or unproved software/hardware environment	Hard to support & maintain	IT Project Manager, IV&V Contractor and Vendor	High	High	Short	High	High	Specify that the software/hardware environment be the same as our current (WAS 5.0, WSAD 5.0 with XDE, etc.)	Train staff on new toolset	We already have this toolset in house, and we are familiar with it.
3.3	Development tools do not work as expected; developers need time to create workarounds or to switch to new tools	Missed deadlines, incomplete deliverables	IT Project Manager, IV&V Contractor and Vendor	High	High	Short	High	High	Specify that the product be developed on EDD toolset (WSAD 5.0 with XDE)	Train staff on new toolset	

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3.4	Development environment structure, policies, procedures are not clearly defined	Chaotic development process (hacking), inconsistent, non-standard, and unreliable deliverables	IT Project Manager, IV&V Contractor and Vendor	High	Medium	Short	High	High	Ensure there is a structure in place prior to beginning	Enforce contract terms	
3.5	Facilities are not available on time	Delay the project	Steering Committee Project Management Board	High	Low	Short	Medium	High	Notify BOPSD of needs	Locate unused space	
3.6	HHSDC is not adequately committed to support TAME environment, availability and software licenses.	Unable to integrate/implement TAME features for desired ACES solution.	IT Project manager, IV&V vendor and Solution Vendor	High	High	Short	High	High	Monitor risk frequently. Gain HHSDC commitment for on-going TAME support and ACES project integration/expansion. Included costs for outside vendor contract for TAME support in project budget. Include TAME support requirements into RFP. Monitor HHSDC activities for DMV and TIRE upgrades.	Enforce provisions of the Solution Vendor contract to ensure requirements are met, then execute outside vendor contract for TAME support.	
3.7	Unable to obtain servers to assure TAME availability, fail-over and scalability.	Unable to integrate/implement TAME features for desired ACES solution.	IT Project manager, IV&V vendor and Solution Vendor	High	High	Short	High	High	Monitor risk frequently. Gain HHSDC commitment for on-going TAME support and ACES project integration/expansion. Include TAME equipment and support requirements into RFP.	Enforce provisions of the Solution Vendor contract to ensure requirements are met.	
3.8	Credit card, debit card, bank account, SSN #, drivers license and electronic data is not securely stored no securely transferred.	Compromises data integrity and confidentiality, violating provisions of federal and state regulations.	IT Project manager, IV&V vendor and Solution Vendor	High	Medium	Short	High	High	Consult with AED and other EDD security entities to provide security requirements for RFP.	Enforce provisions of the Solution Vendor contract to ensure requirements are met.	
<b>4.0 USER INVOLVEMENT</b>											
4.1	User (Tax Branch) personnel changes during project	Project does not progress adequately. Required increase in resources/budget. Timeliness issues, delays in completing tasks.	Steering Committee and Program Manager	Medium	Medium	Short	Medium	High	Include appropriate personnel to fully understand the system requirements; perform appropriate pre-planning and analysis; sponsor commitment for project staff	Re-evaluate the project goal and realign the workplan to meet those goals.	
4.2	User finds product to be unsatisfactory	Poor system performance, low morale, unwillingness to adapt, manual work arounds.	Project Management Board, IV&V Contractor, and Vendor	High	Medium	Short	High	High	Make vendor responsible; provide clear requirements; performance testing; have user involved in all testing	Enforce the contract	

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4.3	User communication time (e.g. time to answer requirements-clarification questions) is slower than expected	Drop off in initial productivity, resistance to change, employees must move along a steep learning curve, poor morale.	Program Manager	High	Low	Short	Medium	High	Establish and enforce communication plan; develop incident reporting process; track issues	Elevate to executive sponsors	
4.4	User-mandated support tools and environments are incompatible, have poor performance, or have inadequate functionality (e.g. crystal reports)	End product does not meet expectations; system is difficult to support. Objectives are not fully realized; unsuccessful or inefficient implementation of the application.	Project Management Board, IV& V Contractor, and Vendor	High	Low	Short	Medium	High	Conduct system testing; conduct integration testing	Enforce the contract	
4.5	EDD security policies not followed.	Loss or corruption of data; unauthorized access to system; confidentiality compromised.	Project Management Board, IV& V Contractor, and Vendor	High	Low	Short	Medium	High	Provide security training; develop adequate security controls	Restore from backup; audit trail	
4.6	System operating procedures are not clearly defined	Lack of procedural standardization among staff, resulting in differing outcomes to similar tasks.	Project Management Board, IV& V Contractor, and Vendor	Medium	Medium	Short	Medium	Medium	Develop well defined business rules; train staff	Re-train staff	
<b>5.0 CONTRACTOR PERFORMANCE</b>											
5.1	On-site contractor staff resign	Deadline Slippage	Steering Committee, Project Management Board, IV& V Contractor, and Vendor	Medium	Low	Short	Low	Medium	Specify the minimum number of contractor staff to be on the project. EDD must approve new staff.	Add ISD staff or contract staff to project. Enforce contract	
5.2	Contractor does not deliver components when promised	Deadline Slippage	Project Management Board, IV& V Contractor, and Vendor	High	Low	Short	Medium	High	Use iterative & incremental methodology. Track using IV&V to monitor	Add ISD staff or contract staff to project. Enforce contract	Mitigation Defined in RUP
5.3	Contractor delivers components of unacceptable low quality, and time must be added to improve quality	Deadline Slippage	Project Management Board, IV& V Contractor, and Vendor	High	Low	Short	Medium	High	Specify the form and quality of all deliverables. Build multiple models, so that the quality is evident long before code is created; track using IV&V	Do not accept flawed or substandard components; enforce contract	Mitigation Defined in RUP

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5.4	Contractor does not provide the technical expertise needed	Deadline Slippage, quality slippage, lack of knowledge transfer	Project Management Board, IV& V Contractor, and Vendor	High	Low	Short	Medium	High	Require references, and thoroughly check them. Require contractor show proof that they have built similar systems in the recent past, and contact the system owner	Fire contractor; enforce contract	
5.5	Contractor goes out of business	Deadline slippage	Steering Committee Project Management Board, IV& V Contractor, and Vendor	High	Low	Short	Medium	High	Require contractor to be established company, in business for at least 5 years. Require contractor to provide financial data, and make sure they are financially strong. require performance bond	Hire secondary contractor; EDD staff to continue project	
5.6	Vendor architecture is incompatible with EDD	For each system that we contract the development of, we will most likely get a different, inadequately documented framework. As we accumulate them over time, it becomes extremely difficult to maintain and enhance multiple incompatible frameworks	IT Project Manager, Integration Manager, IV&V Contractor, and Vendor	High	Medium	Short	High	High	Clarify during RFP process	Learn vendor architecture, and build adapters to other frameworks we use	ISD should consider creating a Component Reuse Architecture. This will facilitate building much higher quality applications much faster than is possible now.
5.7	Vendor architecture not understood by EDD making it hard to maintain/integrate with other systems	Frameworks are very hard to understand by nature. If they are poorly documented, it is much worse. This causes maintenance & enhancements to take up to 10 times longer	IT Project Manager, Integration Manager, IV&V Contractor, and Vendor	High	High	Short	High	High	Specify that the vendor document the Architecture, and specify what is documented (hot spots, component interfaces, component dependencies, etc.), and how it is documented (UML-F); clarify during RFP	Learn vendor architecture, and build documentation ourselves	It is critical that we at least get vendors to completely document their architectures (frameworks). We really should acquire our own frameworks and specify that they be used
<b>6.0 REQUIREMENTS MANAGEMENT</b>											
6.1	Requirements have been base lined but continue to change	Delay project, impact final deliverable	Project Management Board	High	High	Short	High	High	Assign Requirements Manager, freeze req	Reduce functionality, extend project, add resources	
6.2	Requirements may be too specific limiting solutions available	Limit vendor participation and solutions	Project Management Board	High	Medium	Medium	High	High	Revisit requirements for RFP, Use IV&V input	Reduce functionality	
6.3	Requirements are not fully defined, and further definition expands the scope of the project	Delay project, impact final deliverable	Project Management Board	High	High	Short	High	High	Revisit for RFP and finalize, utilize IV&V input	Add resources, extend project	
6.4	Vaguely specified areas of the product are more time-consuming than expected	Delay project, impact final deliverable	Project Management Board	High	Medium	Short	High	High	Allow extra time in schedule, explore during RFP	Delay implementation, reduce functionality, add staff resources	

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<b>7.0 PRODUCT CHARACTERISTICS</b>											
7.1	Error prone modules require more testing, design, and implementation work than expected	Deadline slippage, quality slippage	IT Project Manager, IV&V Contractor, and Vendor	High	Low	Short	Medium	High	Use methodology that builds multiple models before coding	Do not accept error-prone modules	Mitigation Defined in RUP
7.2	Development of flawed software function requires redesign and implementation	Deadline slippage, quality slippage	IT Project Manager, IV&V Contractor, and Vendor	High	Low	Short	Medium	High	Use methodology that builds multiple models before coding	Do not accept flawed software functions	Mitigation Defined in RUP
7.3	Meeting product's size or speed constraint requires more than expected, including time for redesign and re-implementation	Deadline slippage	IT Project Manager, IV&V Contractor, and Vendor	High	Medium	Short	High	High	Use methodology that builds Architectural baseline first (and early), so the problem surfaces early, before a lot of design is done, and adequate time remains to resolve the problem on schedule	Extend schedule; enforce contract	Mitigation Defined in RUP
7.4	Dependency on a technology that is new or still under development	Deadline slippage, quality slippage	IT Project Manager, IV&V Contractor, and Vendor	High	Medium	Short	High	High	Use methodology that builds modular system components. Require that components have narrow, well defined interface. Then, if new tech not ready, implement module in old tech, & replace when new tech ready	Use methodology that builds modular system components. Require that components have narrow, well defined interface. Then, if new tech not ready, implement module in old tech, & replace when new tech ready	Mitigation Defined in RUP
<b>8.0 EXTERNAL ENVIRONMENT</b>											
8.1	External influences scrutinizing project slowing procurement	Potential project delays; scope, time and/or cost changes. Could lead to litigation in extreme cases.	Project Sponsor, and Steering Committee	High	Medium	Short	High	High	Strong executive sponsorship; communication to oversight agencies	Delay project; extend schedule	
8.2	Key software or hardware components become unavailable, unsupported or are unexpectedly scheduled for de-support	Inability to implement full ACES solution; lack of certain important functionalities; time lost upgrading to workable technology.	IT Project Manager, IV&V Contractor, and Vendor	High	Low	Short	Medium	High	Use methodology that builds system in a modular fashion; technology oversight during RFP process	Replaced module that is obsolete	

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<b>9.0 PERSONNEL</b>											
9.1	Acquisition of required personnel takes longer than expected	Start, Deadline slippage	Steering Committee and Project Management Board	High	High	Short	High	High	Use iterative, incremental methodology that builds multiple models before coding, and creates an architectural baseline early. The personnel requirements are light in the first few iterations.	Contract staff; increase vendor participation; reduce scope; extend schedule	Mitigation Defined in RUP
9.2	Task pre-requisites are not completed timely (e.g. training, completion of other projects)	Start, Deadline slippage	Steering Committee and Project Management Board	High	Medium	Short	High	High	Identify project staff early (now). Create & execute training plan early (now). Use alternative training methods (books). Train the trainers. Create hi-level composite plan including other projects	Hire contract staff; alter schedule	
9.3	Poor relationships between project team and users or other stakeholders slow decision making and follow through	Deadline slippage, poor quality, missing functionality	Steering Committee and Project Management Board	High	Medium	Short	High	High	Adopt methodology early, and train all project personnel in it early. Stick to methodology processes, deliverables, and reviews; change management plan; IV&V oversight	Management mediates disputes	Mitigation Defined in RUP
9.4	Personnel need extra time to learn unfamiliar software/hardware tools or environment	Start, Deadline slippage	Project Management Board	High	Medium	Short	High	High	Identify project staff early (now). Create & execute training plan early (now). Use alternative training methods (books). Train the trainers. Schedule time for training in project plan; through RFP identify technology criteria	Re-train; extend schedule; extend contract; enforce contract	
9.5	Unplanned turnover of state staff	Deadline slippage, poor quality	Steering Committee and Project Management Board	High	High	Short	High	High	Require contractor to follow EDD methodology & toolset	Hire contract staff; train additional staff; extend schedule	
9.6	Personnel with critical skills needed for the project cannot be found	Start slippage, project cancellation	Steering Committee and Project Management Board	High	High	Short	High	High	Identify required skillset early, before project starts. Then train key, interested staff in these skillsets; hire staff with required skillsets; have vendor provide needed skilled staff	Hire contract staff; train additional staff; extend schedule	

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9.7	Not enough personnel are available for the project	Deadline slippage, poor quality	Project Sponsor, Steering Committee, and Project Management Board	High	High	Short	High	High	Hire and train new state staff; hire additional contract staff; add multiple Programmer Development Program	Hire contract staff; train additional staff; extend schedule	
9.8	People's assignments do not match their strengths	Deadline slippage, poor quality	Project Management Board	High	Medium	Short	High	High	Identify required skillset early, before project starts. Then train key, interested staff in these skillsets; utilize vendor staff	Hire contract staff; train additional staff; extend schedule	
<b>10.0 DESIGN AND IMPLEMENTATION</b>											
10.1	Lack of initial documentation	Difficult to deploy, modify, maintain system	Project Management Board, IV&V Contractor, Vendor	High	Medium	Short	High	High	Require EDD methodology be followed. This specifies documentation; utilize IV&V	Enforce contract	Mitigation Defined in RUP
10.2	Technical process (and design) is not mature	Chaotic development, low quality, missed deadlines	IT Project Manager, IV&V Contractor, Vendor	High	High	Short	High	High	Require EDD methodology be followed; utilize IV&V	Enforce contract	Mitigation Defined in RUP
10.3	Use of unfamiliar methodology	Low quality, missing functionality, missed deadlines	Project Management Board, IV&V Contractor, Vendor	High	High	Short	High	High	Require EDD methodology be followed.	Enforce contract; train staff; hire additional contract staff	
10.4	Components developed separately cannot be integrated easily	Missed deadlines; resource drain	IT Project Manager, Integration Manager, IV&V Contractor, and Vendor	High	High	Short	High	High	ISD should create or acquire an enterprise software architecture (framework), and require vendor to build to this architecture. Components written to the frameworks well defined hook interface will integrate easily	Use vendor framework, but require exhaustive documentation; add additional resources for integration; train EDD staff in vendor framework	Mitigation option much better than contingency option, which is really just a stopgap
10.5	Data conversion activities are under estimated	Missed deadlines	IT Project Manager, Integration Manager, IV&V Contractor, and Vendor	High	Medium	Short	High	High	Create an Architectural Baseline early, and map the legacy data to it early. This way, the problem will show early, when there is still time to fix it and stay on schedule; user testing; make vendor responsibility	Hire contract staff; hire and train additional staff; enforce staff	Mitigation Defined in RUP

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10.6	Inefficient design results in rework causing additional overhead	Missed deadlines, slow performance	Project Management Board, IV&V Contractor, Vendor	Medium	Low	Short	Low	Medium	Methodology should have a design optimization step, and a code optimization step, which should solve the problem. Also, use testing tools that measure this	Extend schedule; hire contract staff; enforce contract	Mitigation Defined in RUP
10.7	Time savings from development tools are overestimated	Delay in project	Project Management Board, IV&V Contractor, Vendor	High	Medium	Short	High	High	Set realistic expectations; specify tried and true tools	Extend schedule; hire additional staff	Mitigation Defined in RUP
10.8	Potential inability to obtain third-party data (e.g. FTB)	Reduce revenue; delay of project; change scope	Project Sponsor and Steering Committee	High	Medium	Short	High	High	Contract with partners prior to project start	Modify scope; revise revenue projections; use manual processes	
<b>PHYSICAL SECURITY</b>											
N/A											
<b>11.0 MANAGEMENT PROCESSES</b>											
11.1	User acceptance testing does not conform to an industry accepted methodology	Difficult to get users to accept system Reliability is compromised resulting in poor system performance.	Project Management Board, IV&V Contractor and Vendor	High	Medium	Short	High	High	Require EDD methodology be followed. This specifies industry-standard acceptance testing	Retrain staff	Mitigation Defined in RUP
11.2	User acceptance testing developed with limited input from the user experts	Quality or functionality of application may be inadequate.	Project Management Board, IV&V Contractor and Vendor	High	Low	Short	Medium	High	Require EDD methodology be followed. User dedicate qualified staff	Redo impacted application using input from user experts	Mitigation Defined in RUP
11.3	Proposed hardware/software toolsets are not currently in use in the organization	Ineffective interaction between internal/external data exchange partners due to mismatched hardware/software. Delay in project and increased cost due to need for interface development.	IT Project Manager, and Integration Manager	High	Low	Short	Medium	High	Specify the hardware & software to be used in the RFP; hire only vendors that utilize hardware/software that is currently used or accepted by EDD	Knowledge transfer	Mitigation Defined in RUP

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11.4	System maintenance procedures are unclear or incomplete	Maintenance & enhancement would be difficult. Inefficient system. System availability is affected, core user functions are impacted, ACES functionality is minimized.	Project Management Board, IV&V Contractor and Vendor	High	Medium	Short	High	High	Require EDD methodology be followed; require documentation; knowledge transfer. Develop well defined system maintenance procedures.	Enforce contract	Mitigation Defined in RUP
11.5	New system requires significant changes	Deadlines missed. New required tasks cause project delays or cost overruns and potential project failure.	Project Management Board, IV&V Contractor and Vendor	High	High	Short	High	High	Adopt and require (RUP) iterative & incremental methodology be followed. This type of methodology assumes changing requirements; RFP process; IV&V oversight	Enforce contract; utilize knowledge transfer staff to make changes	
11.6	No detail roll out schedule developed	Deadlines missed, rollout inconsistent, chaotic. Budget overruns, delay of project, potential lack of resources.	Steering Committee, Project Management Board, IV&V Contractor and Vendor	High	Low	Short	Medium	High	Adopt and require (RUP) methodology be followed. This specifies the development of a roll out schedule; document and agree upon deliverables	Enforce contract	Mitigation Defined in RUP
11.7	Project management team has limited or no experience with projects of this size or complexity	Analysis Paralysis, system never gets completed. Critical tasks not completed. Project delays, confusion and/or overlap regarding ownership of specific project roles and responsibilities.	Project Sponsor, and Steering Committee	High	High	Short	High	High	Adopt and require (RUP) iterative & incremental methodology that specifies a baseline architecture be followed. This breaks even the largest projects into a series of manageable steps. The baseline architecture proves it will really work; contract outside vendor; utilize existing EDD Project Management Services; IV&V; contractual obligation on vendor as PM, Integrator and Developer	Hire outside project manager; enforce contract	Mitigation Defined in RUP
11.8	Project team members are located in diverse geographical locations and cannot meet regularly	Poor communication; slowing or delaying project	Project Management Board, and IV&V Contractor	High	Low	Short	Medium	High	Involve BOPSD in securing site for vendors; stipulate in RFP that vendor staff must be onsite	Relocate EDD staff; enforce contract	
11.9	Problems/Bugs uncovered after system is in production	Project delay; production slowdown; shutting down components; reduced revenue; workarounds	Project Management Board, IV&V Contractor and Vendor	High	Medium	Long	High	Medium	Adequate testing; utilize accepted testing standards; use EDD methodology; utilize IV&V	Enhance system; assign resources (internal or contract)	

12.0 FINANCIAL

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12.1	Revenue will not meet projections	Vendor will not be paid	Project Sponsor, and Steering Committee	Low	Low	Long	Low	Low	Due diligence during the RFP process	Monitor contract closely	
12.2	An adequate budget may not be allocated to fund the project	Project cannot move forward	Project Sponsor, and Steering Committee	High	High	1st yr - Medium 2nd yr - Medium	High	High	Executive sponsors will negotiate with DOF for BCP in May Revise for 2005/06 and planned BCP for 2006/2007.	Accept	
12.3	Expenditures may exceed the budget allocated	Lower return on investment	Project Sponsor, Steering Committee, and Project Management Board	Medium	Medium	Long	Medium	Low	Shift the risk to the vendor		
<b>13.0 OTHER</b>											
13.1	Product does not meet user needs	User won't accept system	Project Management Board, IV&V Contractor and Vendor	High	Low	Long	Medium	Low	Require EDD methodology be followed; employ IV&V; RFP process; documents adequate requirements, deliverable; place burden on vendor	Enforce contract; start over	Mitigation Defined in RUP
13.2	Multiple stakeholders have conflicting priorities	Delay schedule; missed deadlines; wrong baseline architecture built; scope change; impact resources	Project Sponsor and Steering Committee	High	Low	Short	Medium	High	Prioritize as a group, within architectural constraints (baseline architecture has to build certain modules to be credible - this must be the highest priority). Create Vision Document; get buy-off from all stakeholders; IV&V	Extend schedule; add resources	Mitigation Defined in RUP
13.3	Numerous dependencies - ITARP, EFT, TEAM Refresh, DJDE Replacement, PFL, ETSR, potential AB 2149, Telefile/AS400. Stovepipe systems that don't integrate (easily)	Delay schedule; increase costs; reduce efficiency and effectiveness of the system; reduce revenue	Project Sponsor and Steering Committee	High	High	Short	High	High	Use EDD Enterprise software architecture; require vendors to build to this architecture,	Wrap the system functionality that you want to use; extend schedule; change scope	Mitigation Defined in RUP