



Deliverable: 1.5 VoteCal System Issue Management Plan

VoteCal Statewide Voter Registration System Project

State of California, Secretary of State (SOS)



September 25, 2009
Version: 2.0

Work Product Acceptance

Catalyst Consulting Group is pleased to present the following VoteCal Project work product/deliverable. This work product is now complete and is ready for the Secretary of State to review and approve.

Work Product: Deliverable: 1.5 VoteCal System Issue Management Plan
SOW Reference #: Attachment 1 Statement of Work
Exhibit 2: VoteCal System Tasks and Deliverables
Delivery Date: September 25, 2009

Secretary of State

By:

Date: 10/1/09

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1 Introduction

This document is Deliverable 1.5, the VoteCal System Issue Management Plan. It has been developed by Catalyst Consulting Group (Catalyst) in accordance with the specifications presented in Deliverable Expectation Document (DED) 1.5, VoteCal System Issue Management Plan and as reviewed by the Secretary of State (SOS).

For the purposes of this document, the VoteCal System Issue Management Plan (Deliverable 1.5) will be referenced as the Issue Management Plan maintaining consistency with the Project Management Body of Knowledge (PMBOK) methodology and naming conventions. Furthermore, this plan has a sister plan, the “SOS Issue Management Plan”, that is produced and maintained by SOS. The SOS Issue Management Plan defines the issue management process being followed by SOS for managing issues affecting the overall project. Unless explicitly stated otherwise, references such as Issue Management Plan, Issue Management Process, and Issue Management Database are intended to reflect the plan, process, resources, and components managed by Catalyst.

The following is a list of some commonly used terms to provide a consistent definition of terms used throughout this document.

Table 1-1 Issue Management Plan Terms and Acronyms

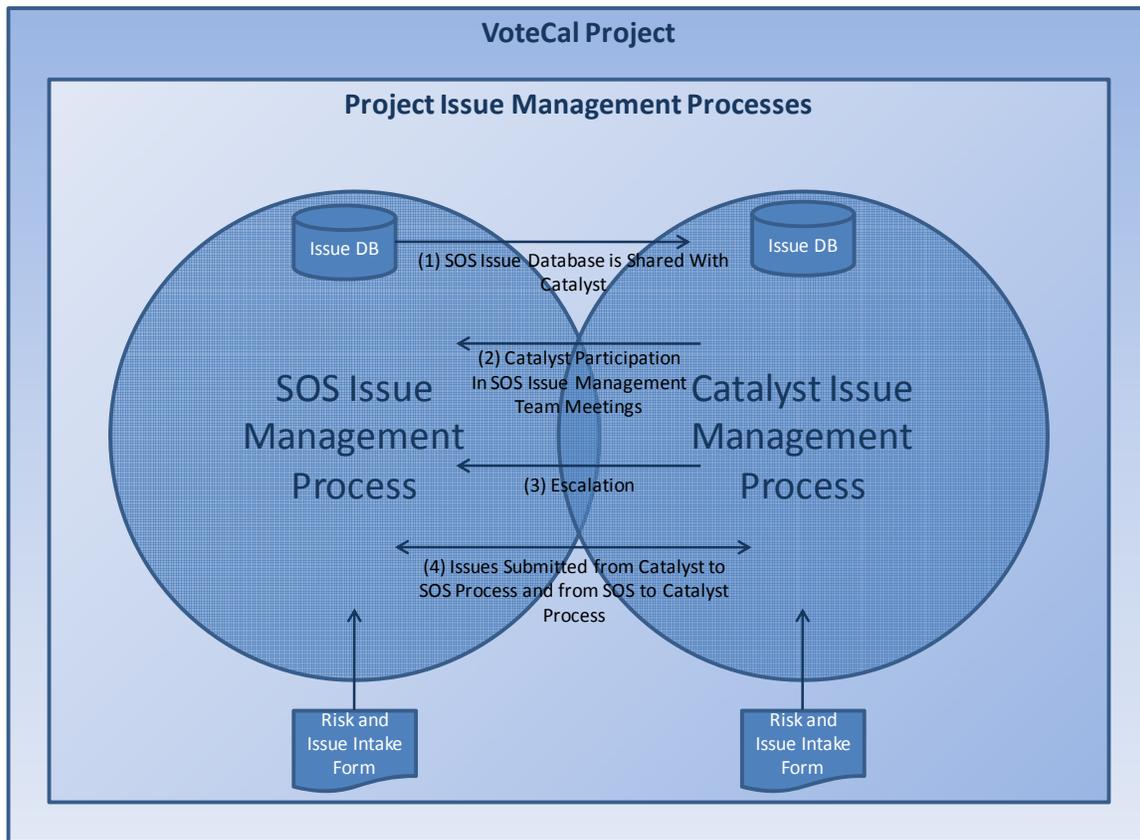
Term/Acronym	Definition
Acceptance	The response category for risks for which there is no response that would reduce the likelihood of occurrence or the impact on the project should the risk occur. Acceptance is an informed management decision.
Accepted Risk	A risk for which no action is within the influence or control of the project team and for which responses cannot be anticipated or planned in advance.
Action Item	A task (usually related to project management concerns) assigned to a person that can be completed and has a defined deadline for completion/resolution. An action item may be a subset of a risk or may be a stand-alone item (e.g., an assignment as a follow-up to a meeting discussion).
Avoidance	A response category for actions that if executed sufficiently in advance will prevent a risk from occurring.
Catalyst	Catalyst Consulting Group; The system implementation vendor for the VoteCal project.
Change Request	A request to expand or reduce project scope; modify policies, processes, plans, or procedures; modify costs or budgets; or revise schedules. A change request can be direct or indirect, externally or internally initiated, and legally or contractually mandated or optional. (See the Change Management Plan for process details.)
Contingency	A response category for actions to address the situation once the risk has occurred.
ESC	Executive Steering Committee
Escalation	The process of elevating a risk to a higher level of authority. Also, a defined process for moving a risk to a higher level of authority for resolution.

Term/Acronym	Definition
Horizon	The point in time when a risk is likely to occur.
IPOC	Independent Project Oversight Consultant, a project management professional outside the VoteCal project management team who applies an industry-standard project management method (such as the Project Management Institute's Project Management Body of Knowledge [PMBOK]) to assess project health on an ongoing basis and the likelihood of project success.
Issue	<p>An issue is a statement of concern or need:</p> <ul style="list-style-type: none"> ▪ That is imminent or existing and impacts the project; ▪ Whose resolution is in question (or in dispute among stakeholders); ▪ That is highly visible or involves external stakeholders (for example, requests from control agencies); ▪ That has critical deadlines that cannot be missed or that may impede project progress; or ▪ That results in an important decision or resolution whose rationale and activities must be captured for historical purposes. <p>An issue is a situation that has occurred or will definitely occur, as opposed to a risk, which is a potential event. Items that are "normal" day-to-day tasks related to a person's normal job duties are not considered issues or action items and will be addressed as a project management activity.</p>
Issue Management	A formal and systematic process for clarifying and evaluating the impact of issues affecting the project's scope, schedule, or resources, and for determining course(s) of action to resolve those issues. Issue management processes involve identification, documentation, assignment of resources, escalation, tracking and reporting.
IV&V	Independent Verification and Validation, an IEEE standard for software verification and validation. Verification and validation (V&V) processes determine whether development products of a given activity conform to the requirements of that activity, and whether the software satisfies its intended use and user needs. This determination may include analysis, evaluation, review, inspection, assessment, and testing of software and system products and processes. V&V processes assess the software in the context of the system, including the operational environment, hardware, interfacing software, operators, and users. When exercised by an independent entity not associated with the project, verification and validation processes are called IV&V.
Mitigation	A response category for actions that will lessen a risk's likelihood of occurrence or reduce its impact on the project.
OCIO	Office of the Chief Information Officer
OTech	Office of Technology Services; formerly known as the Department of Technology Services (DTS)
PMBOK	The Project Management Body of Knowledge, a project management methodology developed by the Project Management Institute (PMI). The PMBOK has become an industry standard.

Term/Acronym	Definition
PMO	Project Management Office
Policy	A statement of the SOS's position on an issue.
Risk	An event or condition that, if it occurs, has a positive or a negative effect on at least one project objective, such as schedule, budget, scope, or quality. A risk may have one or more causes, and if it occurs, one or more impacts. An external risk is a risk beyond the control or influence of the project team. An internal risk is one that the project team can control or influence. A risk is a situation that may occur; an issue is a situation that has occurred or will definitely occur.
Risk Management	A formal and systematic process for clarifying and evaluating risks to the project's scope, schedule, and/or resources, and for determining course(s) of action to mitigate, resolve, intervene in or minimize adverse consequences of those risks. Processes involve identification, documentation, assignment of resources, escalation, and reporting.
Risk Management Plan	This Risk Management Plan which defines the risk management process followed by Catalyst for managing risks that have the potential for direct impact to Catalyst schedule, budget, scope, or quality. This Risk Management Plan is produced and maintained by Catalyst Consulting Group.
Risk Owner	Person assigned to develop risk response plans, and monitor and report on status of a risk to the Project Manager.
Risk Profile	The probability, impact, and timing/horizon of the risk.
Risk Response Actions	Activities decisively taken to anticipate or react to risks during the course of the project. Risk responses fall into one or more of the following categories: acceptance, avoidance, mitigation, or contingency.
SOS	Secretary of State
SOS Risk Management Plan	The Risk Management Plan which defines the risk management process being followed by SOS for managing risks affecting the overall project. The SOS Risk Management Plan is produced and maintained by SOS.
USDOJ	United States Department of Justice

Within the VoteCal project there are two concurrent issue management processes. The SOS Issue Management Process entails SOS management of project issues affecting the entire project. The Catalyst Issue Management Process entails Catalyst's management of project issues for those aspects of the project that have the potential for direct impact to Catalyst schedule, budget, scope, or quality.

Figure 1-1 Catalyst and SOS Issue Management Process Integration



The concurrent processes are mostly independent with four key points of integration. The process integration is depicted in the figure above as well as presented in the list below.

- **(1) SOS Issue Database is Shared With Catalyst:** Both SOS and Catalyst use the same tool, the VoteCal Project Tracking Database, to document and track project issues. Both Catalyst and SOS will maintain separate issue repositories (Issue Database). SOS will make the information contained within the SOS repository available to Catalyst, sharing either through direct (read only) access or point in time issue log reports. (This integration is not intended to imply any direct connectivity between the separate issue repositories.)
- **(2) Catalyst Participation in SOS Issue Management Team Meetings:** Catalyst will participate in SOS Issue Management Team Meetings when we are submitting issues to the SOS Issue Management Process for consideration and/or when invited to participate by the SOS Issue Management Team.
- **(3) Escalation:** Catalyst will escalate issues, as required, by requesting issue escalation with the SOS Project Manager.
- **(4) Issues Submitted from Catalyst to SOS Process and from SOS to Catalyst Process:** The Catalyst Project Manager will submit issues, as deemed appropriate, to the SOS Project Manager. Similarly, SOS Project Manager will submit issues, as deemed appropriate, to the Catalyst Project Manager. This process represents the point at which either Catalyst or SOS issues can be

submitted to the other party for consideration of inclusion in the other parties Issue Management Process.

1.1 Purpose and Objectives

An issue is a statement of concern or need:

- That is imminent or existing and impacts the project;
- Whose resolution is in question (or in dispute among stakeholders);
- That is highly visible or involves external stakeholders (for example, requests from control agencies);
- That has critical deadlines that cannot be missed or that may impede project progress; or
- That results in an important decision or resolution whose rationale and activities must be captured for historical purposes.

An issue is a situation that has occurred or will definitely occur, as opposed to a risk, which is a potential event. Items that are “normal” day-to-day tasks related to a person’s normal job duties are not considered issues or action items and will be addressed as a project management activity.

This Issue Management Plan describes how the Catalyst VoteCal Project Team will identify and track, analyze, assign action items, escalate (as required), and resolve and close issues. The plan will also describe how action items will be developed to decrease the impact of negative events.

The project management processes described in this Issue Management Plan are the actual issue management processes that will be implemented on the VoteCal Project during the Initiation and Planning Phase and will be enforced throughout the project. The Issue management Plan is based on two guiding principles:

- The Project Managers (SOS and Catalyst) have an earnest commitment to executing sound project management processes as the foundation for achieving the VoteCal project objectives.
- The Project Managers recognize the responsibility to streamline the processes and procedures, making them as simple as possible for the project team and stakeholders to execute while continuing to work toward a positive outcome.

The Catalyst Issue Management Plan will conform to the process contained in the SOS Issue Management Plan to provide a seamless process for identifying, documenting, escalating, and communicating project issues.

1.2 Scope

This Issue Management Plan is scoped to define the activities, processes, and procedures related to the management of issues with respect to Catalyst’s VoteCal system implementation effort and where there is the potential for direct impact to Catalyst schedule, budget, scope, or quality. The SOS Issue Management Plan should be referenced for details of the SOS Issue Management Process.

The Catalyst Issue Management Plan will conform to the processes contained in the SOS Issue Management Plan to provide a seamless process for identifying, documenting, escalating, and communicating project issues.

1.3 Standards

The project management processes described in the Issue Management Plan and implemented throughout the VoteCal project are based on the following industry standards.

The Project Management Body of Knowledge (PMBOK), 4th Edition, published by the Project Management Institute (PMI)

The project management processes will be based on the PMBOK standards and best practices. At the direction of the SOS, Catalyst has adopted the issue management process defined in the SOS Issue Management Plan which could reflect some deviations from the PMBOK standard.

The SOS has adopted the state's (previously Department of Finance's) Project Management Methodology as its standard, as was described in Section 200 of the Statewide Information Management Manual (SIMM) in March 2006 when the project was approved. The methodology also reflects industry-standard processes described in the PMBOK.

1.4 Assumptions, Dependencies, and Constraints

The Issue Management Plan was developed on the basis of the following assumptions:

- The Issue Management Plan will conform to the process contained in the SOS Issue Management Plan to provide a seamless process for identifying, documenting, escalating, and communicating project issues.
- The Issue Management Plan will focus on the activities, processes, and procedures related to the management of issues with respect to the Catalyst's VoteCal system implementation effort and where there is the potential for direct impact to Catalyst schedule, budget, scope, or quality. The SOS Issue Management Plan should be referenced for details of the SOS Issue Management Process.

1.5 Document Control

Issue Management is a dynamic process that occurs throughout a project's life cycle. Accordingly, at a minimum, the issue management process will be reviewed at the end of each project phase, and the Issue Management Plan will be updated as required.

This document contains a revision history log. When changes occur, the version number will be incremented and the date, name of the person authoring the change, and a description of the change will be recorded in the revision history log of the document.

As with other work products of the VoteCal project, the approved Issue Management Plan will be placed under configuration management in accordance with the Document Management Plan (a subset of the Project Management Plan). Also, in accordance with the Document Management Plan, the Issue Management Plan will be stored on the SharePoint server and available to the project team, the Independent Project Oversight Consultant (IPOC), Independent Verification and Validation (IV&V) vendor, and SOS senior management.

2 Roles and Responsibilities

The following roles and responsibilities have been identified for the issue management process.

2.1 Catalyst Project Manager

The Catalyst Project Manager has ultimate responsibility for ensuring issues are managed within the context of the project (scope, budget, schedule, and quality), issue responses are resourced and implemented as scheduled, and issues are escalated for senior management involvement if necessary and according to the process outlined in this plan. The Catalyst Project Manager is also responsible for ensuring common issues are communicated to the SOS Project Manager.

The Catalyst Project Manager leads the Catalyst Issue Management Team. The Catalyst Project Manager assigns the task of analysis and evaluation to project staff based on Catalyst Issue Management Team input and oversees the assignment to ensure timely completion. The Catalyst Project Manager will coordinate with the SOS Project Manager for involvement of SOS team members as appropriate.

The Catalyst Project Manager's responsibilities also include issue management process activities including intake of issues, ensuring issues are appropriately documented, monitoring project issue status, updating the Catalyst Issue Tracking Database, and ensuring action items related to issue management processes are completed on time. The Catalyst Project Manager generates the agenda and documentation needed for scheduled Catalyst Issue Management Team meetings and facilitates these meetings.

The Catalyst Project Manager refers issues to the SOS Project Manager for consideration when the Catalyst Issue Management Team determines the SOS Issue Management Team should have an awareness of the identified issues. The Catalyst Project Manager coordinates with the SOS Project Manager when an issue meets established escalation criteria.

The Catalyst Project Manager is the initial point of contact for the SOS Issue Management Team in matters requiring collaborative issue management.

The Catalyst Project Manager will coordinate and collaborate with the SOS Project Manager on the identification and management of shared VoteCal Project issues.

2.2 SOS Project Manager

The SOS Project Manager is the principal point of contact for the Catalyst Project Manager for the introduction of Catalyst issues, identified and tracked by the Catalyst Issue Management Process, to SOS for consideration of inclusion in the SOS Issue Management Process. Similarly, the SOS Project Manager will also reflect the point of introduction of SOS issues, identified and tracked by the SOS Issue Management Process, to Catalyst for consideration of inclusion in the Catalyst Issue Management Process.

The SOS Project Manager will coordinate and collaborate with the Catalyst Project Manager on the identification and management of shared VoteCal Project issues.

The SOS Project Manager is responsible for coordinating with the SOS Issue Management Team.

2.3 Catalyst Issue Management Team

Under the facilitation and coordination of the Catalyst Project Manager, the Catalyst Issue Management Team (IMT) accepts and triages issues raised by any stakeholder. The IMT is responsible for working with the Catalyst Project Manager to analyze each potential issue and determine whether the issue should be included in the Catalyst Issue Management Database; assign issues for analysis (required to

fully understand scope, potential impact, and response options); select issue resolution responses; and assign and track issue related tasks. The IMT is also responsible for recommending when an issue should be escalated for additional management insight or direction.

The Catalyst Issue Management Team is comprised of the Catalyst Project Director, Catalyst Project Manager, Catalyst Team Leads, and Catalyst PMO. The team may be supplemented with other Catalyst Team staff as deemed necessary. The Catalyst Issue Management Team will solicit support as appropriate from other VoteCal Project Team Members (such as SOS and IV&V) through the SOS Project Manager. The Catalyst Issue Management Team is chaired by the Catalyst Project Manager.

2.4 Catalyst Organizational Change Management/Communications Lead

The Catalyst Organizational Change Management (OCM)/Communications Lead will coordinate with the SOS Communications Lead, providing support in preparing issue management related communications as defined in the OCM Plan or requested by the SOS.

2.5 Catalyst Team Leads

Catalyst Team Leads are responsible for sharing insights and concerns that may represent issues to the project. Any team lead may identify a issue and bring it to the attention of the Catalyst Project Manager and Catalyst Issue Management Team. Catalyst Team Leads may be assigned by the Catalyst Project Manager to document a potential issue, evaluate issue impact, or to develop response recommendations.

Catalyst Team Leads may also be assigned by the Catalyst Project Manager to implement issue response actions. Catalyst Team Leads are encouraged to identify potential issues without fear of reprisal from VoteCal, SOS, or Catalyst management.

2.6 Catalyst Team Staff

Project staff is responsible for sharing insights and concerns that may represent issues to the project. Any staff member may identify an issue and bring it to the attention of the Catalyst Team Leads. Project staff may be assigned by the Catalyst Team Leads or Catalyst Project Manager to develop response recommendations.

Project staff may also be assigned by the Catalyst Team Leads or Catalyst Project Manager to implement issue response actions. Project staff is encouraged to identify potential issues without fear of reprisal from VoteCal, SOS, or Catalyst management.

2.7 Catalyst Project Director

The Catalyst Project Director will coordinate with the SOS Project Director in matters requiring issue escalation beyond the SOS Project Manager.

2.8 SOS Project Director

The SOS Project Director is the principal point of contact for Catalyst in matters requiring issue escalation beyond the SOS Project Manager. The SOS Project Director is responsible for resolving the issues with the Catalyst Project Director and, if required, representing project concerns and recommendations before the Project Sponsor and the Executive Steering Committee. The SOS Project

Director is responsible for handling Catalyst requests for escalation to the SOS Project Sponsor. The criteria for SOS Project Director escalation is defined in the SOS Issue Management Plan.

2.9 Catalyst Project Sponsor

The Catalyst Project Sponsor is responsible for providing the Catalyst Team with operational and policy priorities, receiving escalated issues from the Catalyst Project Director, and determining the response to escalated issues. The Catalyst Project Sponsor oversees all senior-level involvement in Catalyst issue management.

2.10 SOS Project Sponsor

The SOS Project Sponsor is responsible for providing the VoteCal Project with Agency operational and policy priorities, receiving escalated issues from the SOS Project Director, and determining the response to escalated issues. The SOS Project Sponsor chairs the Executive Steering Committee (ESC) and oversees all senior-level involvement in issue management.

The SOS Project Sponsor has authority to resolve issues without going to the Executive Steering Committee.

2.11 Executive Steering Committee

The Executive Steering Committee (ESC) is responsible for reviewing and responding to escalated project issues at the SOS Project Sponsor's request. The ESC comprises SOS senior management and is chaired by the SOS Project Sponsor.

2.12 SOS and County Elections Officials' Staff

Non-project SOS staff or county elections official staff may be asked to act as subject matter experts for issue identification and analysis, and may assist with resolution and mitigation action development or execution. Any State or County-level elections officials' staff may propose items of concern for evaluation to determine whether the items are issues. All contact with non-project SOS staff or County elections staff will be handled directly by the SOS Project Manager and according to the SOS issue management processes.

2.13 Other Stakeholders

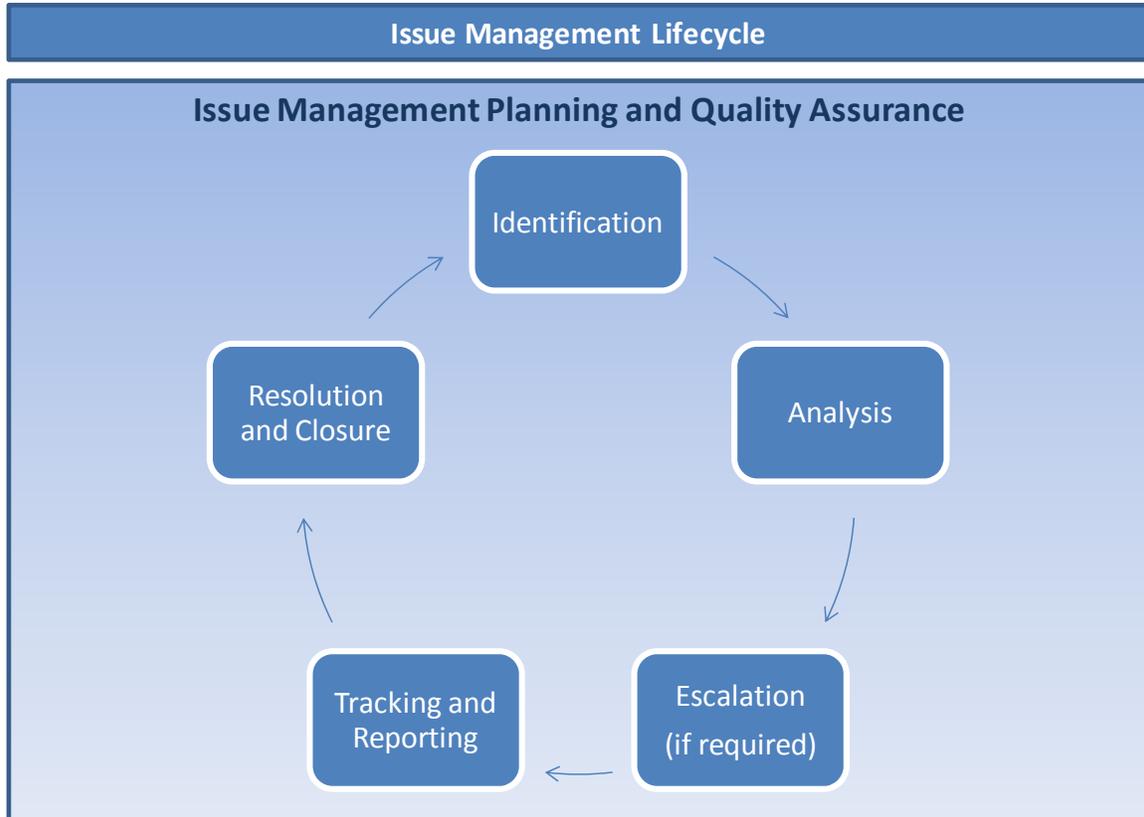
Other stakeholders (e.g., Legislature, control agencies, county elections officials, election management system (EMS) vendors, voter advocates, researchers, and users of elections data) may raise concerns that should be addressed within the issue management process. Generally, these concerns will be raised in public forums, via information requests, or through communications outside of the project and will come into the issue management process through senior management or via a member of the project team. However, any stakeholder can complete the Risk and Issue Intake Form (Appendix A), which will be available on the VoteCal website. All contact with other stakeholders will be handled directly by the SOS Issue Management Team and according to the SOS issue management processes.

3 Issue Management Approach

Issue Management activities will be applied to the VoteCal Project to attempt to decrease the impact of negative events by identifying and planning for issues before significant negative consequences occur.

This section describes processes used to identify, understand, respond to, document, and monitor issues during the project.

Figure 3-1 Issue Management Lifecycle



Catalyst will apply a six-step process, depicted in the above figure as well as presented in the list below, for managing issues.

- Issue Planning and Quality Assurance
 - Identification
 - Analysis
 - Escalation (if required)
 - Tracking and Reporting
 - Resolution and Closure

Issue planning encompasses the definition of the processes associated with the execution of each of the remaining steps. Those steps are executed in sequence, some conditionally (as required, such as escalation), for each project issue that is introduced into the issue management process.

The sections that follow present each of the eight steps in detail, elaborating on the activities, processes, and criteria that fall under each step.

3.1 Issue Management Planning and Quality Assurance

Issue planning is the process of deciding how to approach and conduct the issue management activities of a project. Issue planning includes defining the issue management methodology, documenting issue roles and responsibilities, scheduling issue activities, and training the team on issue processes and tools.

Catalyst has already conducted initial issue planning activities as required by the VoteCal Request for Proposal, the Project Management Plan, historical information and Catalyst's own experience. During the Initiation and Planning Phase the Catalyst Project Manager will meet with the Catalyst PMO team to finalize how the team will manage issues, determine the resources responsible for the issue management process, and address other issues relating to issue management. The approval of this Issue Management Plan signifies completion of the issue planning activity.

Catalyst quality assurance activities, as presented in the Catalyst Quality Assurance Plan, reflect the ongoing process of the planned systematic review of project processes to provide confidence that the project will meet its requirements. With respect to the Catalyst Issue Management Plan, these Catalyst quality assurance activities will consist of process reviews followed by recommendations, possible corrective action plans, and updates to this Issue Management Plan as required.

The remaining activities in this section reflect the ongoing Catalyst issue management activities.

3.2 Issue Identification

An issue is a statement of concern or need:

- That is imminent or existing and impacts the project;
- Whose resolution is in question (or in dispute among stakeholders);
- That is highly visible or involves external stakeholders (for example, requests from control agencies);
- That has critical deadlines that cannot be missed or that may impede project progress; or
- That results in an important decision or resolution whose rationale and activities must be captured for historical purposes.

An issue is a situation that has occurred or will definitely occur, as opposed to a risk, which is a potential event. Items that are "normal" day-to-day tasks related to a person's normal job duties are not considered issues or action items and will be addressed as a project management activity.

As new issues are identified during the life of the project, they will be analyzed as described below. The Catalyst Project Manager will convene a Catalyst Issue Management Team meeting at least monthly to discuss newly identified issues and ongoing issue management efforts.

Any project team member or stakeholder can identify an issue and should use the Risk and Issue Intake Form (Appendix A) to do so. Sources from which project issues are identified include the following:

- Project Team status meetings and reports
- Workgroup meetings
- Customer meetings and correspondence
- Management meetings and correspondence

- Vendor/subcontractor meetings and correspondence
- Informal "hallway" discussions
- Issue Management meetings and reports

If a potential issue is identified orally, the Catalyst Project Manager (or his/her designee) will complete the Risk and Issue Intake Form to capture the details of the issue and introduce it into the issue management process. Additional information may be added to the form during the Catalyst Issue Management Team meeting as the potential issue is evaluated.

Written analyses, recommendations, senior management directives, and policy papers related to issues will be archived in the project library.

The issue management data is accumulated to document issues the project is monitoring (open issues) and issues for which monitoring is no longer being pursued (closed issues). The following table provides the types of information collected.

Table 3-1 Issue Data Types and Definitions

Term	Definition
# (Number)	Number; a unique identification number. Issues are numbered sequentially; numbers are not reassigned once issued.
Action	Brief narrative describing the analysis, resolution or escalation action.
Actual Resolution Date	Date issue resolution actions completed
Additional Comments	Notes, actions, follow-up dates, etc.
Assigned To	Name of person accountable for ensuring an action item is resolved. All issues must have an assigned owner.
Category	Issue category
Date	Date the issues was entered into the database.
Escalation	Describes action needed from identified escalation level and date due
Issue Description	Brief narrative describing the issue as specifically as possible. Location of supplemental/additional information if any.
Issue Name	Descriptive title, for issue
Priority	Low/ Medium/ High ranking
Required Resolution Date	Date issue must be resolved by in order to minimize or eliminate impact.
Status	Brief description of progress or outcomes of actions.

Catalyst will maintain an issue tracking database, described in Section 6 Issue Management Tools. An issue log will be produced from the issue tracking database as a point-in-time product for use by the Catalyst Issue Management Team for deliberation and reporting purposes.

3.3 Issue Analysis

Issues will be analyzed based on the type of issue, the ability to minimize the impact of the issue, and the potential effect of the issue. Issue analysis and resolution is assigned by the Catalyst Issue Management Team during its team meetings.

The first step in the issue analysis process involves both the verification that the submission represents a new concern. This is accomplished by referencing the Issue Tracking Database and performing a comparison of tracked issues and the new issue being considered. Once the submission is confirmed to be a new concern, the Catalyst Project Manager (1) verifies the item is an issue and not a risk or change request and (2) ensures the desired resolution or concern is clearly worded. Risks and change requests are handled separately in the risk management and change request management processes by the Catalyst Project Manager.

The Catalyst Project Manager may seek clarifying information from the originator or other sources prior to the Issue Management Team meeting. The originator may withdraw an issue during these pre-meeting discussions with the Catalyst Project Manager (e.g., if the issue has been resolved since submission, or if the Catalyst Project Manager determines the submission is a duplication or is more appropriately submitted as a risk or change request.)

Once the issue has been identified and preliminary analysis is complete, the Catalyst Project Manager oversees entry of the issue into the Issue Tracking Database. Each issue will be assigned a unique number and the name(s) of the stakeholder(s) who identified the issue will be recorded. This integrated issue management approach ensures that (1) mitigation approaches are assigned to specific entities as appropriate, (2) tracking can occur without duplicate issues being input into the Issue Tracking Database, and (3) coordination among the stakeholders can occur.

The next step is to clearly evaluate the issue. Evaluating the issue means creating a precise statement that specifies the concern, problem, or departure from expectations that may adversely affect the project if not resolved. Evaluation may trigger a new determination of issue priority.

The Catalyst Issue Management Team performs the required analysis to either generate the resolution approach or to provide information needed for determining the resolution approach.

The analysis should include resolution alternatives (pros and cons) for the recommended resolution.

Information from the Risk and Issue Intake Form will be entered into the Catalyst Issue Tracking Database by the Catalyst Project Manager or his/her designee.

Included in this analysis process will be the determination of whether the identified Catalyst issue should be submitted to SOS for consideration and incorporation into the SOS Issue Management Process. For those circumstances, the Catalyst Project Manager will provide the SOS Project Manager with a copy of the completed Risk and Issue Intake Form for use as an input into the SOS process. Once the issue has been submitted to the SOS, the activities defined in the SOS Issue Management Process will be performed independently for the submitted issue.

The SOS Issue Management Process will have a similar step, where there is a determination of whether the identified SOS issue should be submitted to Catalyst for consideration and incorporation

into the Catalyst Issue Management Process. For those circumstances, the SOS Project Manager will provide the Catalyst Project Manager with a copy of the completed Risk and Issue Intake Form for use as an input into the Catalyst process. Once the issue has been submitted to Catalyst, the activities defined in the Catalyst Issue Management Process will be performed independently for the submitted issue.

3.3.1 Assign a Category

The Catalyst Issue Management Team will identify a category for each issue. The possible issue categories are:

- Change Management / Ops
- Contractor Performance
- Cost
- Data Conversion
- External Environment
- Financial/Budget
- Governance
- Product Performance
- Project Management
- Requirements Management
- Schedule
- Staffing / Personnel
- Stakeholder Participation
- Technology

3.3.2 Impact – Determining Issue Priority

This section describes the relevant factors that will be evaluated in order to determine the issue's level of severity and priority that should be assigned to each issue. The criteria and process defined below have been adopted from the SOS Issue Management Plan which was, in turn, adopted from the State's project management methodology as it existed in March 2006.

The Issue Management Team meeting participants will refine the issue description and its causes as needed. If additional analysis or research is required to understand the issue or to determine priority, this action may be assigned at this time.

Once the issue is understood, meeting participants discuss issue scope and likely impacts, and brainstorm resolution options. The urgency for issue resolution and the requirements for resolution are factors in setting the issue's priority. Issues are prioritized as follows:

- **Low** – The impact on the project scope, schedule, and/or resources is minimal.
 - Only minor adjustments of schedule and/or minimal redirection of staff are required to resolve the issue.
 - No additional analysis is required to determine resolution.

- The issue is not time-sensitive; the timing of the resolution is not critical; and/or the resolving the issue will not impact critical-path milestones or significantly disrupt in-progress or planned work.
- Resolution is within the authority of the Catalyst Project Manager or Catalyst Project Director.
- **Medium** – The impact on the project scope, schedule, and/or resources is moderate.
 - The issue's scope and resolution strategies will impact schedule, task allocations, and/or resource allocations and may affect milestones completion dates.
 - Some additional study may be required to fully understand the issue or to determine the best resolution approach.
 - Scheduled work cannot proceed or may not be completed without resolving the issue.
 - Resolution is within the authority of the Catalyst Project Director although the Catalyst Project Sponsor should be notified of the rationale behind resolution.
- **High** – The impact on the project scope, schedule, and/or resources is high.
 - Issue directly and significantly alters the project scope, requirements, design, schedule or resources.
 - The schedule critical path is directly affected.
 - Resolution must be put in place immediately or in the very near future to keep the project on track.
 - Resolution requires significant redirection of resources or the addition of external resources.
 - Catalyst Project Sponsor must be notified of the issue and may have to approve the resolution approach prior to implementation. The issue is communicated to the SOS Project Manager for evaluation and escalation, as required, to the SOS ESC.

The Catalyst Project Manager records the priority determination in the Catalyst Issue Tracking Database. Additional notes may be kept as to the factors that were deciding points in determining the priority level.

3.3.3 Action Item Assignment

Generally, the Catalyst Issue Management Team is expected to develop options and recommendations for resolving the issue. In complex situations, the effort to come up with, resolution options and recommendations may be assigned to Issue Management Team members to work on outside of the Issue Management Team meeting.

The following are general steps in the selecting and implementing an issue resolution effort:

- Determine the issue resolution approach – The Catalyst Issue Management Team selects an approach based on analysis. The Catalyst Project Manager may request time to assess the impact of the recommendation on the project schedule before committing project resources to resolving the issue as recommended.
- Approve issue resolution approach – The Catalyst Issue Management Team will approve issue resolution recommendations and/or action plans or may determine additional information is needed prior to making a decision. In this instance, new action items and due dates are assigned. If the recommendations are accepted, a reporting structure for issue updates is established and

responsibility for resolving the issue is assigned within the part of the organization that will most effectively resolve it.

- Assign the issue resolution implementation to a named individual – Issue ownership (accountability) is critical to ensuring resolution is complete and timely.

Action items are suggested by participants in the Catalyst Issue Management Team meeting and decided by the Catalyst Project Manager. All action items must be assigned to a specific individual. Those individuals may seek assistance implementing the action items but will remain responsible for reporting status to the Catalyst Project Manager.

All action items must be given a due date by the Catalyst Issue Management Team based on the priority assigned and the project schedule. The due date may need to be changed after conferring with the staff who will actually implement the action item.

Once the Catalyst Issue Management Team approves the resolution, the Catalyst Project Manager inputs the issue into the Catalyst Issue Tracking Database to reflect the approved approach and projected task completion date. The Catalyst Project Manager makes any necessary adjustments to the project schedule and workload assignments to reflect the staff resources assigned. The Catalyst Project Manager also updates the project schedule as a result of any delay or change in dependencies necessitated by the resolution action. If the assigned staff member was not present in the Issue Management Team when the resolution was decided, the Catalyst Project Manager notifies the individual(s) of the resolution task and deadlines.

Implementing issue resolution tasks falls outside the Catalyst Issue Management Process and is considered part of project management. The Catalyst Project Manager will coordinate the completion of the assigned issue action items within the project schedule. If necessary, the Catalyst Project Manager may modify the project schedule to include and accommodate the addition of issue related tasks. The Catalyst Project Manager monitors completion of tasks.

3.4 Issue Escalation

The overall goal of issue management is to encourage open communication about potential barriers to project success and to provide a systematic process for documenting, evaluating, and resolving such concerns. The Catalyst and SOS VoteCal Project team members shall always strive to make decisions and address issues at the staff level with the authority to make relevant decisions. From time to time, however, issues require higher management involvement in assessing impact, choosing from among alternative responses, or successfully implementing resolution strategies. The process to move issues up into senior management-level discussion is called the escalation process.

The escalation process has been established to ensure specified issues are elevated as soon as the participants determine that the day-to-day management process will be unable to mitigate the issue or when decision making regarding response options is at an impasse. The escalation process will be invoked soon enough to mitigate an undesirable impact on the project and to ensure the appropriate stakeholders are informed and involved in critical decision-making. Escalation may also be triggered by the need for:

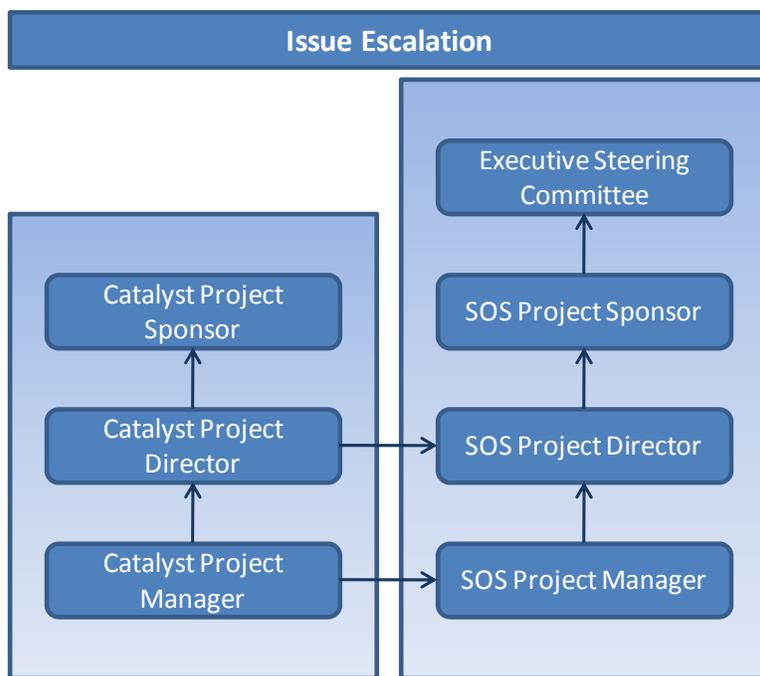
- clarification or direction regarding agency policy,
- legal interpretations of Elections Code or other applicable state or federal requirements,

- need for additional staff resources to effect a response,
- project involvement with county elections officials,
- significant changes to scope, schedule or budget,
- changes that impact control agency authorization or delegation, or
- modifications to the project that will require formal changes to a contract.

Should any participant in this escalation chain be expected to be out of the office for more than one working day, the issue shall be escalated to the next higher level by the person who would otherwise be reporting the issue to the absent responsible person.

The Secretary of State has documented the details of the SOS issue escalation process in the SOS Issue Management Plan. Catalyst will work with SOS in supporting the SOS processes. In addition, the following are the processes specific to escalation of issues from the perspective of the Catalyst Issue Management process.

Figure 3-2 Issue Escalation Process Flow



Catalyst will follow the issue escalation process defined in the SOS Issue Management Plan. The process is depicted in the above figure as well as presented in the paragraphs that follow.

Catalyst will strive to resolve issues at the lowest practical level of project management. On those occasions when the Catalyst Issue Management Team is at an impasse or is not authorized achieve resolution, and Catalyst believes escalation is necessary, the Catalyst Project Manager will first discuss the issue with the SOS Project Manager. If the SOS Project Manager cannot resolve the issue, the Catalyst Project Manager may request escalation to the SOS Project Director. The SOS Project Manager also has the ability to request escalation to the SOS Project Director. The SOS Project

Director will meet as soon as practical with the Catalyst and SOS Project Managers to discuss options that will address the issue without further escalation. The Catalyst Project Director may participate in these discussions.

If the issue cannot be resolved at this level, the Catalyst and SOS Project Directors will meet to resolve the issue. If they cannot, the SOS Project Director will escalate to the SOS Project Sponsor.

The Project Sponsor may conduct whatever meetings with the SOS and Catalyst management team members he or she deems useful for achieving resolution without further escalation. If a resolution agreement can be achieved through the Project Sponsor without further escalation, the SOS and Catalyst Project Directors will communicate the agreed actions within five (5) business days to the respective project managers for implementation. If additional escalation is requested by the Catalyst Project Director, the SOS Project Director and Catalyst Project Director will work to resolve the issue together. If they cannot, the SOS Project Director will notify the Project Sponsor of the escalation request within two (2) business days and request a meeting with the Project Sponsor to discuss potential remedies.

In the event that the SOS Project Director and Project Sponsor are unable to resolve the issue, the Project Sponsor will determine the urgency of the issue and escalate it to the Executive Steering Committee (ESC).

For each step in the escalation process, the Catalyst and SOS counterparts (Project Manager, Project Director, and/or Project Sponsor) will work together to support the escalation process and timely resolution of the escalated issue.

Also depicted in the diagram is the escalation of issues from the Catalyst Project Director to the Catalyst Project Sponsor, intended to reflect the escalation process for those issues that strictly apply to the Catalyst Project Team.

The following table presents the Catalyst internal escalation process, depicting the escalation trigger points and the responsible parties:

Table 3-2 Catalyst Internal Escalation Criteria

Escalation Trigger Point	Responsible Party
Low Severity Issue	Catalyst Project Manager
Medium Severity Issue	Catalyst Project Director
High Severity Issue	Catalyst Project Sponsor

The Catalyst Issue Tracking Database will be the principal repository of escalation history. The Catalyst Project Manager is responsible for obtaining the update/status information from escalation meetings and recording it into the database. All documents that address escalated issues are archived in the Project Library.

3.5 Tracking and Reporting Issues

During the life of the project, issues and associated actions need to be monitored. During the Catalyst Issue Management Team meetings, the assigned issue owner will provide the status of issue-related activities and the database will be updated as appropriate.

Any issue activities (monitoring, analysis, plan development, mitigation or contingency actions, status reporting) that consume significant staff resources or require coordination will be placed on the project schedule. The Catalyst Project Manager, in consultation with the SOS Project Manager, will determine what constitutes significant resources or coordination effort. Status monitoring and reporting activities that are inclusive to Catalyst Issue Management Team meetings and do not result in significant redirection of staff resources will be absorbed by project staff.

At the Catalyst Project Manager's discretion critical due dates and issue-related milestones may be added to the project schedule.

3.6 Resolution and Closure

At each Catalyst Issue Management Team meeting, the issue owner will summarize the status of the action outcomes and the team will determine whether the issue has been resolved or whether additional monitoring or follow-up actions are required. If the issue has been eliminated, the Catalyst Project Manager will mark the issue closed on the issue log and update the database to show the change in status after the meeting. The issue owner will ensure all materials related to the issue response have been provided to the Catalyst Project Manager. The Project Managers are responsible for notifying their respective staffs of the issue's resolution.

At the Catalyst Project Manager's discretion, an issue that has been closed may be reopened rather than enter a new but similar issue into the database. In the case of re-emerging issues, analysis should include why the item was not fully resolved the first time and the likelihood interventions exist that permanently resolve the issue at this time. Issues of a cyclical nature (such as those dependent on legislative or budget cycles) may be closed and reopened on a cyclical basis if the nature of the issue is well understood.

Otherwise, if a previously closed item has remained closed for twelve months, the recurring issue should be opened as a new issue.

4 Risk and Issue Transformation

During the course of the project, concerns and opportunities may increase or decrease in their potential impact on the project. An issue is a situation that has occurred or will definitely occur. A risk is a potential event. A risk situation may occur and need to be treated and managed as an issue. In both cases, the turning point will rest on the predictability of the occurrence and the nature of project impact (scope, schedule, or budget). By moving a risk into issue tracking, analysis and response can be stepped up and status is reported more frequently.

Alternatively, an issue may cease to be of concern or have been resolved, but the project team wishes to periodically and formally monitor the conditions surrounding the situation. Moving these issues to risk tracking allows the potential situation to stay on the project's "radar" – trigger events/dates are identified and monitored, and mitigation strategies are developed and implemented as appropriate through the risk management process.

The types of situations that trigger the movement of an issue into risk tracking are:

- The source issue has been resolved with confidence but the source situation could reoccur.
- The issue ceased to be of concern; the source situation is not likely to occur during the in-progress project phase but may occur later in the project.
- The situation is tied to a repeating legislative or administrative cycle, and that cycle has completed without impacting the project.

The types of situations that will trigger the movement of a risk into issue tracking are:

- The risk has occurred and the situation is impacting the project now or will soon.
- The risk will occur within the in-progress project phase and will impact the project during the in-progress phase.
- The impact of a risk is known or predictable and must be understood and accommodated within the project.
- A risk has occurred that requires resources to be diverted to analyzing or responding to the situation.

Once an issue or risk is transformed, the notation is made in the tracking database and the monitoring and reporting practices for those tracking activities take over.

5 Communicating Project Issues

The Catalyst Project Manager will discuss issues with the SOS Project Manager as part of any scheduled or standing meetings.

In situations where it is necessary to communicate issue related information with external entities (USDOJ, OCIO, Office of Technology Services, Legislature, counties, elections staff, etc.) the Catalyst OCM/Communications Lead will support the SOS Project Manager (as needed) in preparing the communications.

6 Issue Management Tools

Catalyst will use a copy of the SOS VoteCal Tracking Database (MS Access) to document and track Catalyst's VoteCal Project issues. Screen captures of the key issue management functions follow.

Figure 6-1 VoteCal Project Tracking Database – Main Menu (Switchboard)

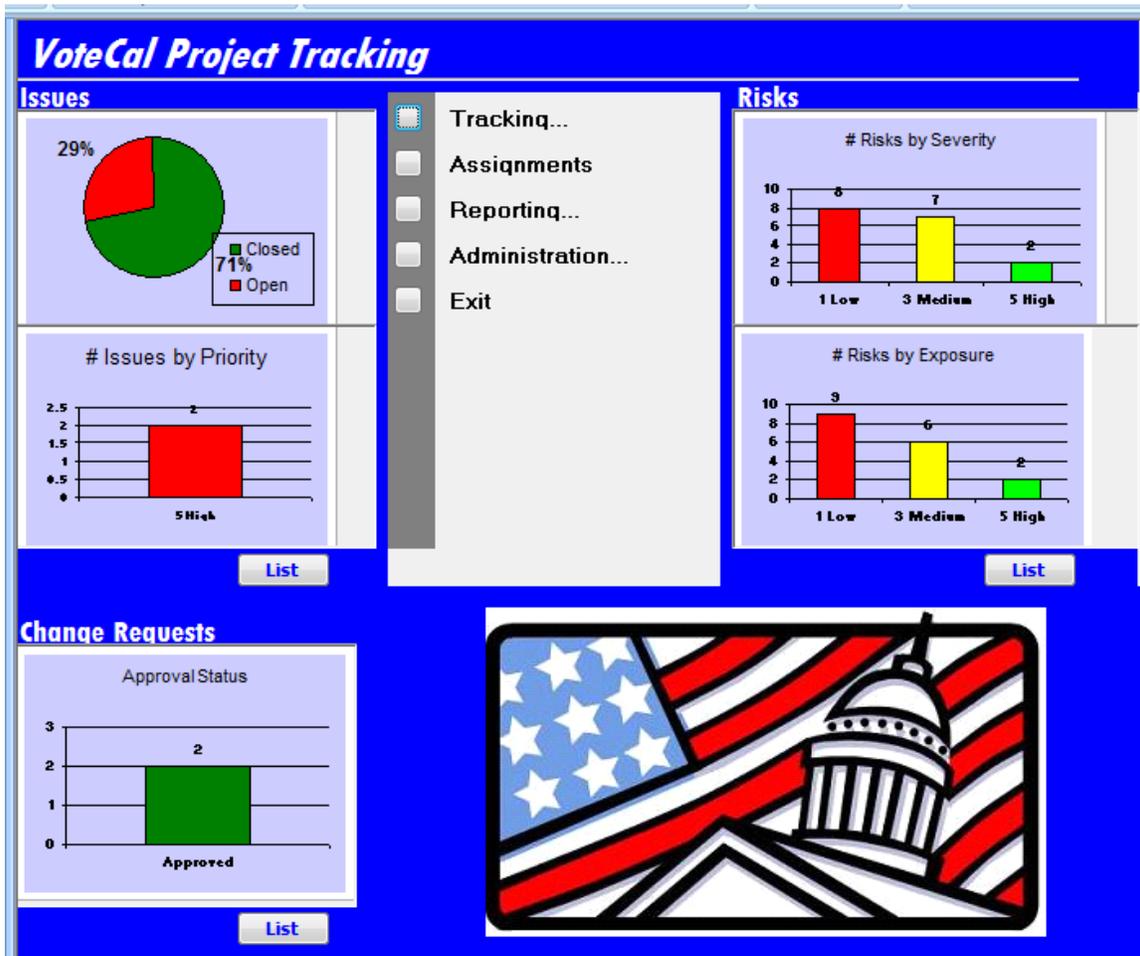


Figure 6-2 VoteCal Project Tracking Database – Tracking Menu

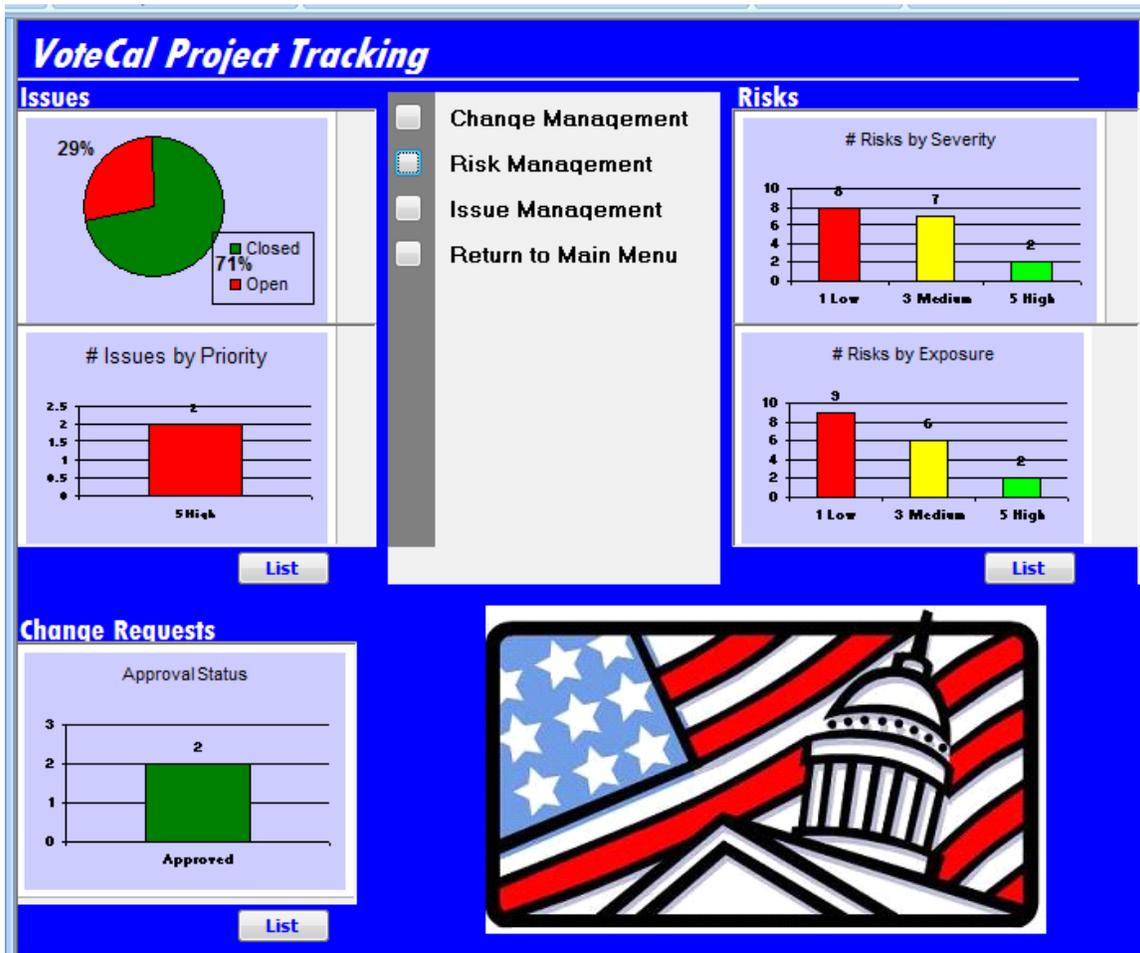


Figure 6-3 VoteCal Project Tracking Database – Issue (Form View)

Tracking Items-Issue Form

7 Item Type Issue Category Project Management Assigned to McDannold Open Date: 1/1/2008
 Name: **How will SOS contract with and manage county EMS vendors?** Priority High Decision Making Lead: Lumsden Last Update: 4/30/2009 1:45:10 PM
 Status Open Additional Comments: SOS has made clear in the RFP that the Bidder will not have to negotiate or have a contract with the current County EMS vendors. **Delete Item**

Description: The SOS has not determined the contract vehicle that would be used or how the County EMS vendors would be managed within the Bidder's schedule.
 Required Resolution Date: 4/30/2009
 Actual Resolution Date:
 Suspended?

Impacts				Status Log		
#	Category	Impact Description	Amount	Item	Date	Comments
7			0%	7		

Record: 1 of 1 No Filter Search

Actions				Escalation Log			
#	Action Description	Assigned To	Status	#	Date	Escalate To	Escalation Reason
0			Open	7	4/15/2009	Project Sponsor	The SOS has not determined the contract vehicle that would be used.
*				0			

Record: 1 of 1 No Filter Search

Record: 2 of 7 No Filter Search

Figure 6-4 VoteCal Project Tracking Database – Issue Log (Summary View)

VoteCal Project Issue Log-Summary								
Open								
#	Opened	Name	Description	Priority	Assigned To	Decision Lead	Due Date	Resolved Date
7	1/1/2008	How will SOS contract with and manage county EMS vendors?	The SOS has not determined the contract vehicle that would be used or how the County EMS vendors would be managed within the Bidder's schedule	High	McDannold	Lumsden	4/30/2009	
23	11/20/2008	I/OC, M&V, PM and Admin Asst contracts expiring	Project mgmt and consulting contracts expire 12/30/09 and may have to be rebid when project is launching. IF DGS MSA vehicle is not available, uncertain how to extend contracts.	High	Project Manager	Winkley	3/31/2008	
Closed								
#	Opened	Name	Description	Priority	Assigned To	Decision Lead	Due Date	Resolved Date
6	6/15/2007	Need additional Business Program personnel for RFP Evaluation Process	The team should be an odd number of people	Low	Winkley	McDannold		12/15/2007
8	4/2/2008	Do we roll out the VoteCal EMS and the VoteCal System concurrently?	Concurrent rollout could delay implementation of the VoteCal system. Alternatively, concurrent rollout might prevent re-work to enable integrated features not implemented with VoteCal. (upfront delay might be less than delay of EMS due to re-work)	Medium	Winkley	Lumsden	4/30/2009	
9	4/9/2009	How do we keep DGS review time from impacting the schedule substantively.	DGS OLS now requires review of everything prior to releasing to Bidders	High	Project Manager	Winkley		
21	1/27/2009	Where is everyone going to sit?	The project team and winning Bidder will all need to sit together - need to choose a space	Medium	Project Manager	Winkley	6/1/2009	

Figure 6-5 VoteCal Project Tracking Database – Issue Log (Detail View)

VoteCal Project Issue Log

Open																						
#	Opened Name	Description	Priority	Assigned To	Decision Lead	Due Date	Resolved Date															
7	1/1/2008 How will SOS contract with and manage county EMS vendors?	The SOS has not determined the contract vehicle that would be used or how the County EMS vendors would be managed within the Bidder's schedule	High	McDannold	Lumsden	4/30/2009																
Suspended? <input type="checkbox"/> Status Log		Escalations Required, if any <table border="1" style="width: 100%; margin-top: 5px;"> <thead> <tr style="background-color: #cccccc;"> <th>Date</th> <th>Escalated To</th> <th>Escalation Reason</th> </tr> </thead> <tbody> <tr> <td>4/15/2009</td> <td>Project Sponsor</td> <td>The SOS has not determined the contract vehicle that would be used or how the County EMS vendors would be managed within the Bidder's schedule</td> </tr> </tbody> </table>						Date	Escalated To	Escalation Reason	4/15/2009	Project Sponsor	The SOS has not determined the contract vehicle that would be used or how the County EMS vendors would be managed within the Bidder's schedule									
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Contingency	Identify replacement PM	4/29/2009																				
Open		Winkley																				

Monday, September 21, 2009
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Appendix

Appendix A – VoteCal Risk and Issue Intake Form

Risk and Issue Intake Form			
Originator:	Date:	Phone:	e-mail:
Risk Title:			
Risk Assessment			
Risk Statement: Briefly describe the concern, likelihood of it happening, and consequence if it happens. Include the context in which this risk may occur. <input type="checkbox"/> Check here if you will be attaching or sending additional information separately.			
Check one: <input type="checkbox"/> This is happening NOW <input type="checkbox"/> This hasn't happened yet, but it MIGHT happen			
Urgency: In your opinion, when must this be addressed? (E.g. within 5 business days, before the end of the project phase, etc.)			
Impact: Based on your understanding, describe the impact on the project if this concern is not addressed timely. Impact is generally understood in terms of project scope, schedule, budget, staffing, or SOS policy/politics.			
Please do not write below this line. For VoteCal Project Manager input only.			
Probability:	Impact:	Time Frame:	Severity:
Assigned to:		Report Date:	
Risk Planning			
Strategy: <input type="checkbox"/> Research <input type="checkbox"/> Accept <input type="checkbox"/> Mitigate <input type="checkbox"/> Watch	Action Items		
Risk Tracking			
Event/Action/Commitment:			
Risk Resolution			
Sign-off:	Sign-off:	Sign-off:	
Sign-off Date:	Sign-off Date:	Sign-off Date:	

Note: This is the same form as is identified in the SOS Issue Management Plan and used with the SOS Issue Management Process. The form will be made available via the public-facing VoteCal Project website.