



Deliverable: 1.7 VoteCal System Risk 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.

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Exhibit 2: VoteCal System Tasks and Deliverables
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Secretary of State

By:

Date:

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1 Introduction

This document is Deliverable 1.7, the VoteCal System Risk Management Plan. It has been developed by Catalyst Consulting Group (Catalyst) to the specifications presented in Deliverable Expectation Document (DED) 1.7, VoteCal System Risk Management Plan and as reviewed by the Secretary of State (SOS).

For the purposes of this document, the VoteCal System Risk Management Plan (Deliverable 1.7) will be referenced as the Risk 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 Risk Management Plan”, that is produced and maintained by SOS. The SOS Risk Management Plan defines the risk management process being followed by SOS for managing risks affecting the overall project. Unless explicitly stated otherwise, references such as Risk Management Plan, Risk Management Process, and Risk 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 Risk Management Plan Terms and Acronyms

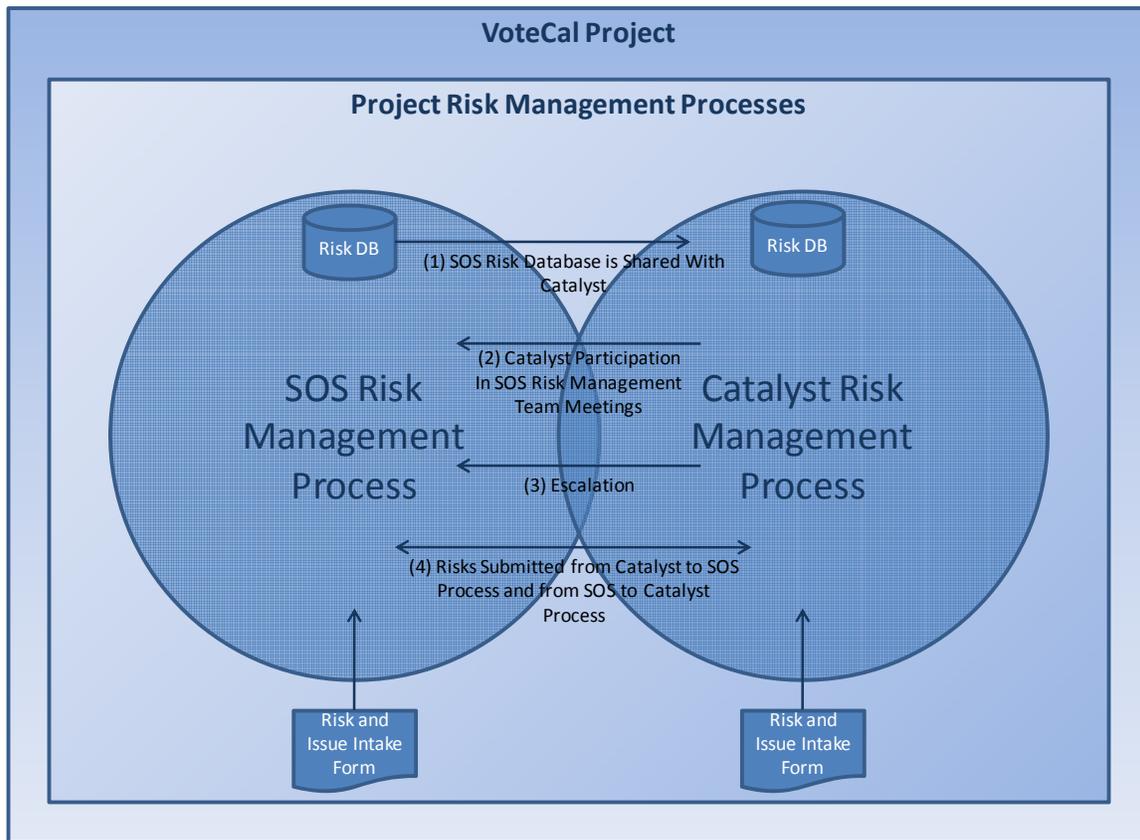
| Term/Acronym | Definition |
|----------------|---|
| Acceptance | The response category for risks for which there is no response that would reduce the likelihood of occurrence or the impact on the project should the risk occur. Acceptance is an informed management decision. |
| Accepted Risk | A risk 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 risk management processes. The SOS Risk Management Process entails SOS management of project risks affecting the entire project. The Catalyst Risk Management Process entails Catalyst's management of project risks 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 Risk Management Process Integration



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

- **(1) SOS Risk Database is Shared With Catalyst:** Both SOS and Catalyst use the same tool, the VoteCal Project Tracking Database, to document and track project risks. Both Catalyst and SOS will maintain separate risk repositories (Risk 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 risk log reports. (This integration is not intended to imply any direct connectivity between the separate risk repositories.)
- **(2) Catalyst Participation in SOS Risk Management Team Meetings:** Catalyst will participate in SOS Risk Management Team Meetings when we are submitting risks to the SOS Risk Management Process for consideration and/or when invited to participate by the SOS Risk Management Team.
- **(3) Escalation:** Catalyst will escalate risks, as required, by requesting risk escalation with the SOS Project Manager.
- **(4) Risks Submitted from Catalyst to SOS Process and from SOS to Catalyst Process:** The Catalyst Project Manager will submit risks, as deemed appropriate, to the SOS Project Manager. Similarly, the SOS Project Manager will submit risks, as deemed appropriate, to the Catalyst Project

Manager. This process represents the point at which either Catalyst or SOS risks can be submitted to the other party for consideration of inclusion in the other parties Risk Management Process.

1.1 Purpose and Objectives

A risk is 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. A risk is a situation that may occur; an issue is a situation that has occurred or will definitely occur.

This Risk Management Plan describes how the Catalyst VoteCal Project Team will identify and track, analyze, escalate (as required), and resolve and close risks. The plan will also describe how responses to risks will be developed to increase the probability and impact of positive events and decrease the probability and impact of negative events.

The project management processes described in this Risk Management Plan are the actual risk management processes that will be implemented on the VoteCal Project during the Initiation and Planning Phase and will be enforced throughout the project. The Risk 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 Risk Management Plan will conform to the process contained in the SOS Risk Management Plan to provide a seamless process for identifying, documenting, escalating, and communicating project risks.

1.2 Scope

This Risk Management Plan is scoped to define the activities, processes, and procedures related to the management of risks 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 Risk Management Plan should be referenced for details of the SOS Risk Management Process.

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

1.3 Standards

The project management processes described in the Risk 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 risk management process defined in the SOS Risk 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 Risk Management Plan was developed on the basis of the following assumptions:

- The Risk Management Plan will conform to the process contained in the SOS Risk Management Plan to provide a seamless process for identifying, documenting, escalating, and communicating project risks.
- The Risk Management Plan will focus on the activities, processes, and procedures related to the management of risks 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 Risk Management Plan should be referenced for details of the SOS Risk Management Process.

1.5 Document Control

Risk Management is a dynamic process that occurs throughout a project's life cycle. Accordingly, at a minimum, the risk management process will be reviewed at the end of each project phase, and the Risk 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 Risk 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 Risk 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 risk management process.

2.1 Catalyst Project Manager

The Catalyst Project Manager has ultimate responsibility for ensuring risks are managed within the context of the project (scope, budget, schedule, and quality), risk-related responses are resourced and implemented as scheduled, and risks 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 risks are communicated to the SOS Project Manager. The SOS Project Manager is responsible for coordinating with the SOS Risk Management Team.

The Catalyst Project Manager leads the Catalyst Risk Management Team. The Catalyst Project Manager assigns the task of analysis and evaluation to project staff based on Catalyst Risk 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 risk management process activities including intake of risks, ensuring risks are appropriately documented, monitoring project risk status, updating the Catalyst Risk Tracking Database, and ensuring action items related to risk management processes are completed on time. The Catalyst Project Manager generates the agenda and documentation needed for scheduled Catalyst Risk Management Team meetings and facilitates these meetings.

The Catalyst Project Manager refers risks to the SOS Project Manager for consideration when the Catalyst Risk Management Team determines the SOS Risk Management Team should have an awareness of the identified risks. The Catalyst Project Manager coordinates with the SOS Project Manager when a risk meets established escalation criteria.

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

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

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 risks, identified and tracked by the Catalyst Risk Management Process, to SOS for consideration of inclusion in the SOS Risk Management Process. Similarly, the SOS Project Manager will also reflect the point of introduction of SOS risks, identified and tracked by the SOS risk management process, to Catalyst for consideration of inclusion in the Catalyst Risk Management Process.

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

2.3 Catalyst Risk Management Team

Under the facilitation and coordination of the Catalyst Project Manager, the Catalyst Risk Management Team (RMT) accepts and triages risks raised by any stakeholder. The RMT is responsible for determining whether an identified potential risk should be included in the Catalyst Risk Tracking Database; prioritizing risks, evaluating severity of risks; discussing and selecting risk responses; and assigning and tracking their respective risk mitigation tasks. The Catalyst Risk Management Team also is responsible for recommending when a risk should be escalated for additional management insight or direction.

The Catalyst Risk 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 Risk 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 Risk 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 risk 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 risks to the project. Any team lead may identify a risk and bring it to the attention of the Catalyst Project Manager and Catalyst Risk Management Team. Catalyst Team Leads may be assigned by the Catalyst Project Manager to document a potential risk, evaluate risk impact, or to develop response recommendations.

Catalyst Team Leads may also be assigned by the Catalyst Project Manager to implement risk response actions. Catalyst Team Leads are encouraged to identify potential risks 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 risks to the project. Any staff member may identify a risk 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 related to mitigation strategies and contingency actions.

Project staff may also be assigned by the Catalyst Team Leads or Catalyst Project Manager to implement risk response actions. Project staff is encouraged to identify potential risks 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 risk 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 risk escalation beyond the SOS Project Manager. The SOS Project Director is responsible for resolving the risks 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 Risk 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 risks from the Catalyst Project Director, and determining the response to escalated risks. The Catalyst Project Sponsor oversees all senior-level involvement in Catalyst risk 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 risks from the SOS Project Director, and determining the response to escalated risks. The SOS Project Sponsor chairs the Executive Steering Committee (ESC) and oversees all senior-level involvement in SOS risk management.

The SOS Project Sponsor has authority to resolve risks 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 risks 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 risk identification and analysis, and may assist with resolution and mitigation action development or implementation. Any State or County-level elections officials' staff may propose items of concern for evaluation to determine whether the items are risks. 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 risk 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 risk 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 risk 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 Risk Management Team and according to the SOS risk management processes.

3 Risk Management Approach

Risk Management activities will be applied to the VoteCal Project to attempt to decrease the probability and impact of negative events by identifying and planning for risks before significant negative consequences occur. The team will also use risk management to recognize opportunities that, given sufficient benefits, they may pursue. This plan will primarily focus on the identification and management of negative risk, as opposed to the opportunities.

This section describes processes used to identify, classify, document, and track risks during the project.

Figure 3-1 Risk Management Lifecycle



Catalyst will apply an eight-step process, depicted in the above figure as well as presented in the list below, for managing risks.

- Risk Planning and Quality Assurance
 - Identification
 - Analysis and Quantification
 - Prioritization
 - Response Action Analysis
 - Escalation
 - Tracking and Reporting
 - Resolution and Closure

Risk 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 risk that is introduced into the risk 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 Risk Management Planning

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

Catalyst has already conducted initial risk 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 risk, determine the resources responsible for the risk management process, and address other issues relating to risk management. The approval of this Risk Management Plan signifies completion of the risk 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 Risk Management Plan, these Catalyst quality assurance activities will consist of process reviews followed by recommendations, possible corrective action plans, and updates to this Risk Management Plan as required.

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

3.2 Risk Identification

A risk is an event or condition that, if it occurs, has a positive or a negative effect on at least one project objective, such as scope, schedule, or budget. A risk may have one or more causes, and if it occurs, one or more impacts. A risk may be within or beyond the control or influence of the project team.

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

Any project team member or stakeholder can identify a risk and should use the Risk and Issue Intake Form (Appendix A) to do so.

If a potential risk 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 risk and introduce it into the risk management process. Additional information may be added to the form during the Catalyst Risk Management Team meeting as the potential risk is evaluated.

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

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

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

Table 3-1 Risk Data Types and Definitions

| Term | Definition |
|--------------------------------------|---|
| # (Number) | Number; a unique identification number. Risks are numbered sequentially; numbers are not reassigned once issued. |
| Acceptance | A category of actions reflecting an informed decision that there are no preventative actions available and no actions can be anticipated to lessen the impact on the project. |
| Assigned To | Name of person accountable for ensuring an action item is resolved. All risks must have an assigned owner. |
| Assumptions/Comments | Brief narrative describing factors affecting scope, analysis, or response determination. Includes the date risk is closed or the date a closed risk is reopened. Includes key decision and dates for closure and reopening. |
| Avoidance Actions and Action Dates | (As appropriate) List of action items intended to prevent the risk from occurring. Action date is the date by which the action item must be implemented. |
| Category | Risk category |
| Contingency Actions and Action Dates | List of action items intended to minimize adverse consequences of the risk once it has occurred. Action date is date of expected completion of action. |
| Escalation | Describes action needed from identified escalation level and date due |
| Exposure | High/medium/low ranking determined by the assigned ratings for impact and probability. (Ranking is based on ITPOF criteria and consistent with the SOS Risk Management Plan.) |
| Impact | High/medium/low ranking of the degree of the risk's affect on the project if the risk occurs. (Ranking is based on ITPOF criteria and consistent with the SOS Risk Management Plan.) |
| Mitigation Actions and Action Dates | List of action items intended to lessen the risk's likelihood of occurrence or impact on the project. Action date is date of expected completion of action. |
| Probability | High/medium/low ranking of the likelihood that the risk will occur. (Ranking is based on ITPOF criteria and consistent with the SOS Risk Management Plan.) |
| Risk Statement | Brief narrative describing the risk as specifically as possible. Includes references to location of supplemental analyses. |

| Term | Definition |
|------------|--|
| Severity | High/medium/low ranking determined by the assigned ratings for exposure and time frame. (Ranking is based on ITPOF criteria and consistent with the SOS Risk Management Plan.) |
| Time Frame | Short/medium/long ranking of the time period within which action must be taken to successfully mitigate the risk. (Ranking is based on ITPOF criteria and consistent with the SOS Risk Management Plan.) |

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

3.3 Risk Analysis and Quantification

Risks will be analyzed based on the type of risk, the probability of the risk occurring, the ability to mitigate the risk, and the potential effect of the risk. Risk analysis and resolution is assigned by the Catalyst Risk Management Team during its team meetings.

The first step in the risk analysis process involves both the verification that the submission represents a new concern. This is accomplished by referencing the Risk Tracking Database and performing a comparison of tracked risks and the new risk being considered. Once the submission is confirmed to be a new concern, the Catalyst Project Manager (1) verifies the item is a risk and not an issue or change request and (2) ensures the desired resolution or concern is clearly worded. Issues and change requests are handled separately in the issue 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 Risk Management Team meeting. The originator may withdraw an risk during these pre-meeting discussions with the Catalyst Project Manager (e.g., if the risk has been averted since submission, or if the Catalyst Project Manager determines the submission is a duplication or is more appropriately submitted as an issue or change request.)

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

The next step is to clearly evaluate the risk. Evaluating the risk 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 risk priority.

There are two primary methods for conducting risk analysis:

- **Qualitative:** Subjectively assessing the probability and impact of risks

- **Quantitative:** using mathematical models to objectively assess the probability and/or impact of risks

Catalyst will apply the qualitative approach, consistent with the approach documented in the SOS Risk Management Plan.

Included in this analysis process will be the determination of whether the identified Catalyst risk should be submitted to SOS for consideration and incorporation into the SOS Risk 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 risk has been submitted to the SOS, the activities defined in the SOS Risk Management Process will be performed independently for the submitted risk.

The SOS Risk Management Process will have a similar step, where there is a determination of whether the identified SOS risk should be submitted to Catalyst for consideration and incorporation into the Catalyst Risk 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 risk has been submitted to Catalyst, the activities defined in the Catalyst Risk Management Process will be performed independently for the submitted Risk.

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

3.3.1 Assign a Category

The Catalyst Risk Management Team will identify a category for each risk. The possible risk 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 Assign an Impact Rating

The impact of a risk is the degree of its effect on the project if it does occur. Impact will be assessed in four areas: scope, budget, schedule, and technical performance/quality. Use the highest impact score as the impact score for the risk. Assessment criteria for each of the four areas are provided in the following table. The ratings are:

- **High:** The risk represents a significant negative impact on project budget, schedule, or quality
- **Medium:** Material impacts would significantly affect users, clients or other key stakeholders
- **Low:** All other risks

Table 3-2 Risk Impact Assessment Criteria

| Impact | Scope | Budget | Schedule | Technical Performance/Quality |
|--------|------------------------------------|------------------------------|--|--|
| High | Change order required | Unacceptable; 10% or greater | Unacceptable slip of a key milestone. | Unacceptable performance degradation. |
| Medium | Material change that affects users | 7.0 – 9.0% | Major slip in key milestone or an impact on critical path. | Serious performance degradation that affects users. |
| Medium | Material change that affects users | 5.0 - 6.9% | Minor slip in key milestone. Slippages of 5% behind schedule are reported in the IPOR. | Minor performance degradation – no margin remaining |
| Low | Absorbable; no impact on users | 2.0 - 4.9% | No milestone slips. Workaround possible and additional resources may be required. | Acceptable with some reduction in performance margin |
| Low | Absorbable; no impact on users | Minimal impact (< 2.0%) | Minimal impact, possible slip of non-critical activities. | Possible reduction in performance margin |

3.3.3 Assign a Probability Rating

The Probability Rating identifies the likelihood the risk will occur during the project. The criteria are:

- **High:** The risk is considered almost certain to occur or very likely to occur
- **Medium:** The risk has a 50/50 chance of occurring or “may occur”
- **Low:** The risk is considered unlikely to occur

3.3.4 Determine the Risk Exposure

Risk exposure is derived from a combination of the impact and probability risk attributes. Risk exposure for each is derived from the following table.

Table 3-3 Risk Exposure Criteria

| Impact | High Probability | Medium Probability | Low Probability | Exposure |
|--------|------------------|--------------------|-----------------|----------|
| High | High | High | Medium | |
| Medium | High | Medium | Low | |
| Low | Medium | Low | Low | |

3.3.5 Assign Time Frame

Determine the time frame within which action must be taken to successfully mitigate the risk using the following criteria:

- **Short:** The time frame is less than six months
- **Medium:** The time frame is six months to one year
- **Long:** The time frame is greater than one year

3.3.6 Determine the Risk Severity

Risk severity is a function of exposure and time frame and is used to determine the relative priority of the identified risks. Risk severity is derived from the following table.

Table 3-4 Risk Severity Criteria

| Time Frame | High Exposure | Medium Exposure | Low Exposure | Severity |
|------------|---------------|-----------------|--------------|----------|
| Short | High | High | Medium | |
| Medium | High | Medium | Low | |
| Long | Medium | Low | Low | |

3.4 Risk Prioritization

Based on the risk analysis, each risk will be prioritized and ranked. Priority is based on a variety of factors, not all of which can be quantified.

Generally, the project team will give those risks with high priority the most attention and the highest priority for resource allocation. If resources are constrained, the team weighs prevention, mitigation, and contingency actions against other assigned project tasks and schedules those actions appropriately.

Since risk severity, relative priorities, and response options may change as the project progresses, the project team will review and update risk ranking during regularly scheduled risk management team meetings.

Risk prioritization is based on risk severity (low/medium/high), defined as follows:

- **Low:** Risk assessment and management will generally be handled by the Catalyst Project Manager.

- **Medium:** Risks whose mitigation strategies require additional resources or are such that the Catalyst Project Manager does not have authority to implement.
- **High:** Risks whose mitigation strategies involve an evaluation and/or change to policy, contracts, or statutes or regulations.

3.5 Risk Response Action Analysis

As the project proceeds and potential risk events emerge, appropriate risk response actions will be defined, planned, and implemented. Risks with high probability and impact are most likely to require development of a risk response plan. A risk response plan generally will not be developed for risks that fall into the low category (although the assigned risk owner will continue to monitor for changes in these risks).

If there is nothing that can be done to avoid or mitigate a high-severity risk at either the project or senior management level, the risk will be accepted and a contingency plan will be developed with appropriate actions posted into the project schedule.

The Catalyst Project Manager will review risks that fall into the medium risk category on a case-by-case basis. The Catalyst Project Manager will decide whether to defer potential action at the present time and direct the risk owner to simply monitor and report on the risk or to expend the resource to develop a Risk Response Plan. As appropriate, the Catalyst Project Manager will add response actions to the project schedule. Additional adjustments may be made to the project budget, resourcing, or communications strategy. The Catalyst Project Manager or Catalyst Project Director may determine that a contingency plan is needed to effectively manage a medium risk. Such determination is referred to the Catalyst Risk Management Team for action.

Risks may present opportunities as well as threats. Opportunities will need careful consideration since they may represent scope expansion, resource reallocation, schedule extension, and increased costs in exchange for the emergent business value. Consequently, the risk response categories below apply equally to threats and opportunities.

During risk evaluation, the Catalyst Risk Management Team discusses the nature of the risk, its potential impact on the project, and the response options available to the project. Based on this determination, actions may be identified, resourced, scheduled, and implemented, and outcomes are monitored.

The following are potential response options, each detailed in the sections that follow:

- **Acceptance:** Risks for which no action is within the influence or control of the project and for which responses cannot be anticipated or planned in advance.
- **Avoidance:** Action that if executed enough in advance will prevent the risk from occurring.
- **Mitigation:** Action that will reduce the risk's likelihood of occurrence or impact on the project.
- **Contingency:** Actions that are executed once the risk has occurred to address the situation; actions taken especially to minimize adverse consequences.

3.5.1 Risk Acceptance

Risk acceptance is an informed decision. The Catalyst Risk Management Team analyzes the risk and determines that:

- There are no preventative actions available to decrease the likelihood the risk will occur; and
 - Should the risk condition emerge, no actions can be anticipated to lessen the impact on the project.
- If the risk is accepted, the Catalyst Project Manager will document the acceptance and monitor the risk. Acceptance retains the risk within the risk management monitoring process for change in risk status.

3.5.2 Avoidance Actions

When appropriate, avoidance actions will be taken to eliminate the chances of a risk occurring. Examples of avoidance actions include:

- clarifying or changing requirements,
- improving communication,
- acquiring expertise, and
- reducing project scope to eliminate risk areas.

3.5.3 Mitigation Actions

For risks that cannot be avoided, additional mitigating actions may be implemented to lessen the likelihood the risk will occur and/or lessen the impact of the risk's occurrence on the project. Examples of mitigating measures include:

- supplemental planning or monitoring activities;
- introduction of new tasks or changes in dependency relationships among tasks;
- changes to number or skills of task participants;
- changes to the type, frequency or reporting of status data;
- purchase of additional hardware or software; and
- adding external resources or consultants.

Mitigation activities become scheduled, resourced, and managed project tasks. The severity of the risk will determine the sophistication level of the planned mitigation activities. Mitigated risks receive continued monitoring until the risk ceases to impact the project and is closed.

3.5.4 Contingency Actions

Once a risk occurs and becomes an issue, contingency actions will be implemented to manage the situation and, if possible, minimize adverse consequences. Contingency actions are identified when the risk is identified so that response is not delayed by planning activities and so that any needed resources are already negotiated. If the required actions cannot be preplanned, the Catalyst and SOS Project Managers, Project Directors, and appropriate staff will rapidly assemble and develop intervention strategies to respond to the situation.

3.6 Risk Escalation

The overall goal of risk 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 risks at the staff level with the authority to make relevant decisions. From time to time, however, risks require higher management involvement in assessing impact, choosing from among alternative responses, or successfully implementing resolution strategies. The process to move risks up into senior management-level discussion is called the escalation process.

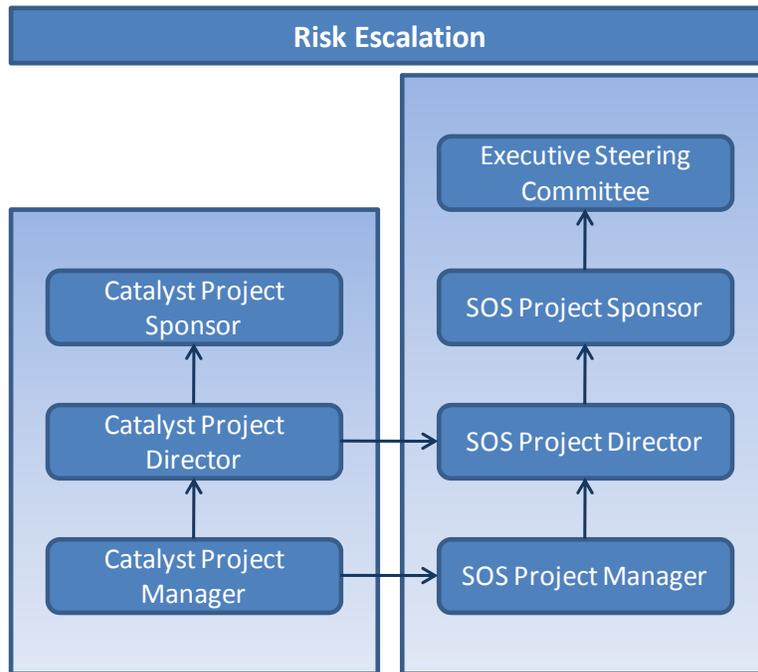
The escalation process has been established to ensure specified risks are elevated as soon as the participants determine that the day-to-day management process will be unable to mitigate the risk or when decision making regarding response options is at an impasse. The escalation process will be invoked 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 risk shall be escalated to the next higher level by the person who would otherwise be reporting the risk to the absent responsible person.

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

Figure 3-2 Risk Escalation Process Flow



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

Catalyst will strive to resolve risks at the lowest practical level of project management. On those occasions when the Catalyst Risk Management Team is at an impasse or is not authorized to enact mitigation or contingency measures, and Catalyst believes escalation is necessary, the Catalyst Project Manager will first discuss the risk with the SOS Project Manager. If the SOS Project Manager cannot resolve the risk, 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 risk without further escalation. The Catalyst Project Director may participate in these discussions.

If the risk cannot be resolved at this level, the Catalyst and SOS Project Directors will meet to resolve the risk. 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 risk together. If they cannot, the SOS Project Director will notify the Project Sponsor of the escalation request within five (5) 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 address the risk, the Project Sponsor will determine the urgency of the risk 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 risk.

Also depicted in the diagram is the escalation of risks from the Catalyst Project Director to the Catalyst Project Sponsor, intended to reflect the escalation process for those risks 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 3-5 Catalyst Internal Escalation Criteria

| Escalation Trigger Point | Responsible Party |
|--------------------------|---------------------------|
| Low Severity Risk | Catalyst Project Manager |
| Medium Severity Risk | Catalyst Project Director |
| High Severity Risk | Catalyst Project Sponsor |

The Catalyst Risk 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 risks are archived in the project library.

3.7 Tracking and Reporting Risks

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

Any risk 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 Risk 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 risk-related milestones may be added to the project schedule.

3.8 Resolution and Closure

At each Catalyst Risk Management Team meeting, the risk owner will summarize the status of the risk and the team will determine whether the risk has been eliminated or whether additional monitoring or follow-up actions are required. If the risk has been eliminated, the Catalyst Project Manager will mark the risk closed on the risk log and update the database to show the change in status after the meeting. The risk owner will ensure all materials related to the risk response have been provided to the Catalyst

Project Manager. The Project Managers are responsible for notifying their respective staffs of the risk's resolution.

At the Catalyst Project Manager's discretion, a risk that has been closed may be reopened rather than enter a new but similar risk into the database. In the case of re-emerging risks, analysis should include why the item was not fully resolved the first time and the likelihood interventions exist that permanently resolve the risk at this time. Risks 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 risk is well understood.

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

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 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.

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.

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 Risks

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

In situations where it is necessary to communicate risk 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 Risk Management Tools

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

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

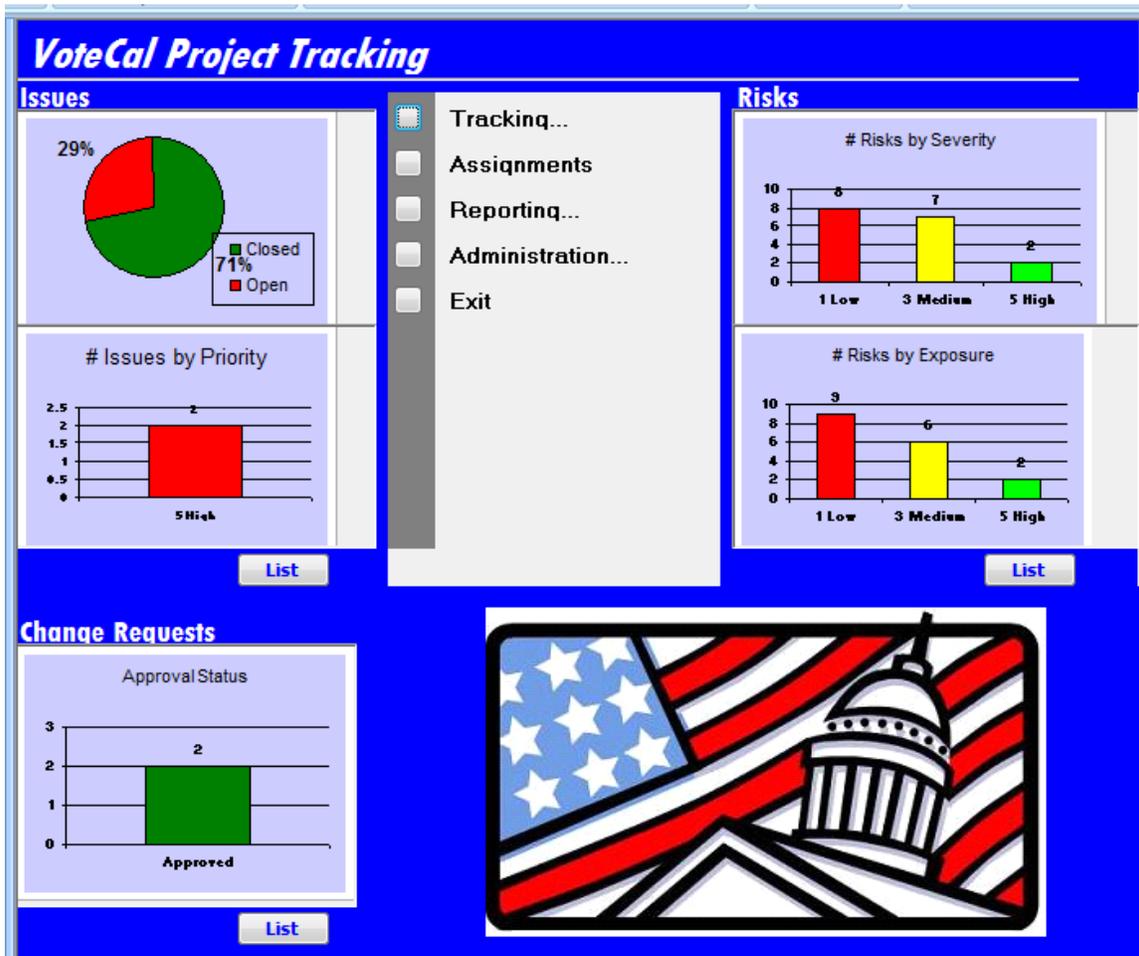


Figure 6-2 VoteCal Project Tracking Database – Tracking Menu

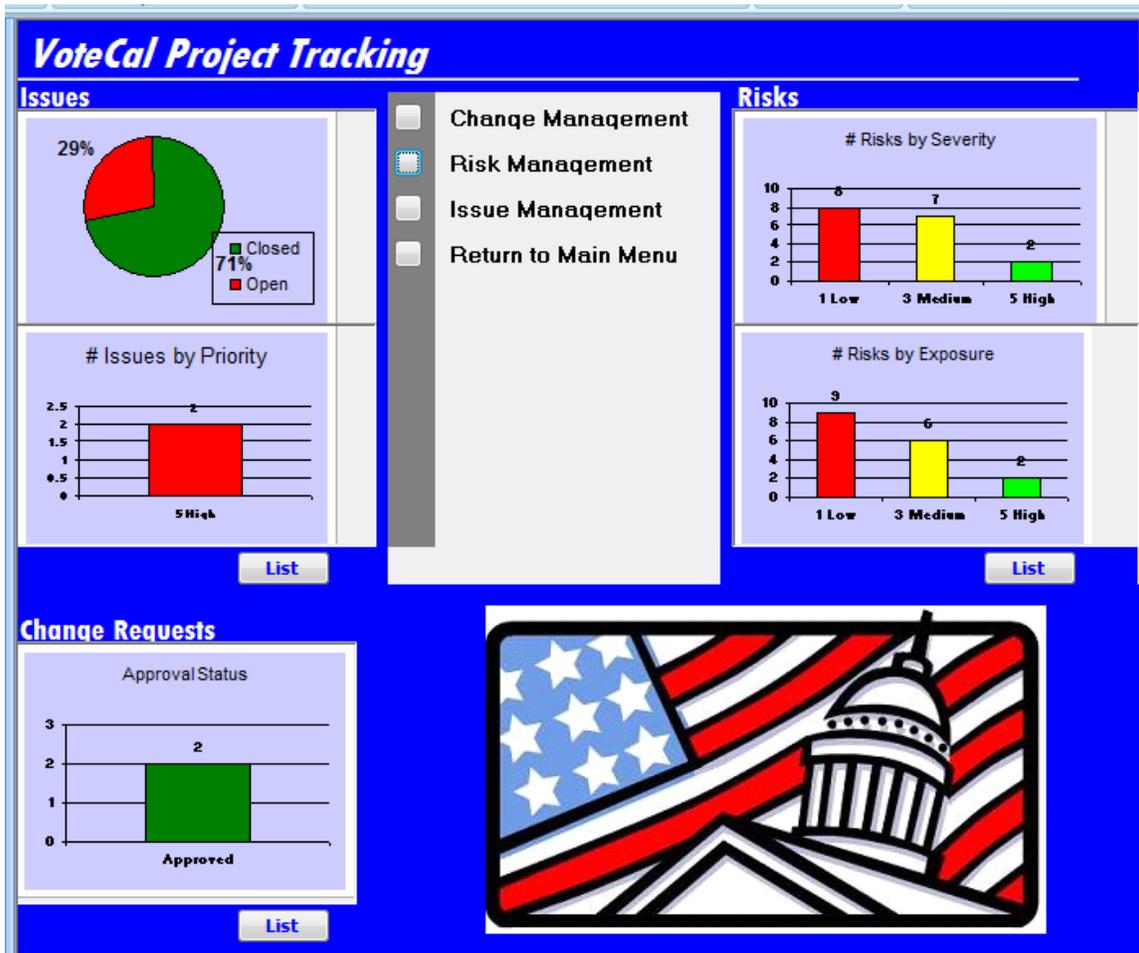


Figure 6-3 VoteCal Project Tracking Database – Risk (Form View)

Figure 6-4 VoteCal Project Tracking Database – Risk (Register View)

| # | Item Type | Category | Description | Owner | Priority | Probability | Exposure | Time Frame | Severity | Status | Assumptions/Comments |
|----|-----------|----------------------|--|-----------------|----------|-------------|----------|------------|----------|--------|--|
| 71 | Risk | Product Performance | Reused applications code is inefficient al | Halkett | Medium | Low | Low | Medium | Low | Open | - I/V concern |
| 51 | Risk | Staffing / Personnel | SOS furlough days will reduce SOS staff | Project Manager | Low | Low | Low | Medium | Low | Open | - still don't know whether SOS staff will be required to take furlough days. |
| 50 | Risk | Schedule | Inadequate time in schedule for Catalyst | Project Manager | Low | Low | Low | Medium | Low | Open | - alternative manufacturer devices are acceptable to SOS; will meet requirements and readily available |
| 59 | Risk | Requirements Manag | Legislature or DOJ mandates functionality | Project Manager | Medium | Medium | Medium | Medium | Medium | Open | - have built into RFP requirements that anticipated some anticipated mandates. |
| 54 | Risk | Project Management | Catalyst corporate culture does not app | Project Manager | High | Medium | High | Long | Medium | Open | - Catalyst will bring on PM experts as required by contract |
| 58 | Risk | Requirements Manag | New requirements introduced during JAD | Project Manager | Medium | Medium | Medium | Short | High | Open | - RFP requirements rec'd vetting through county advisory committee prior to release. |
| 57 | Risk | Technology | Selected versions of applications platform | Halkett | High | Low | Medium | Medium | Medium | Open | |

Figure 6-5 VoteCal Project Tracking Database – Risk Report

| # / Category | Name | Owner | Impact | Probability | Exposure | Time Frame | Severity | Assumptions/Comments |
|---|---|---|---------------------|-------------|----------|------------|----------|---|
| 51 | SOS furlough days will reduce SOS staff availability | Project Manager | Low | Low | Low | Medium | Low | - still don't know whether SOS staff will be required to take furlough days |
| Accepted? <input type="checkbox"/> | | | | | | | | |
| OCIO Rating: 3.30 | | | | | | | | |
| Staffing / Personnel | | | | | | | | |
| Actions | | | | | | | | |
| | Type / Status | Action Description | Due/Assigned | | | | | |
| | Mitigation | Escalate to Secretary overall workload in IT and ED and recommend ways to reduce overall workload to reduce conflict with project staff | Winkley | | | | | |
| | Closed | | | | | | | |
| | Mitigation | Flex furlough days to work around critical SOS responsibilities | Project Manag | | | | | |
| | Open | | | | | | | |
| | Mitigation | Require SOS project staff "bank" furlough days | Winkley | | | | | |
| | Closed | | | | | | | |
| 73 | County IT departments resist required levels of connectivity into their networks or systems | Maio | High | Low | Medium | Medium | Medium | - believe that good rapport has been established via CalVoter project |
| Accepted? <input type="checkbox"/> | | | | | | | | |
| OCIO Rating: 3.30 | | | | | | | | |
| Stakeholder Participation | | | | | | | | |
| Actions | | | | | | | | |
| | Type / Status | Action Description | Due/Assigned | | | | | |
| | Avoidance | In-volve county IT staff in interface designs to resolve concerns | 5/13/2010 | | | | | |
| | Open | | Maio | | | | | |
| 57 | Selected versions of applications platform and/or development tools are not familiar to developers or do not work as anticipated. | Halkett | High | Low | Medium | Medium | Medium | |
| Accepted? <input type="checkbox"/> | | | | | | | | |
| OCIO Rating: 3.30 | | | | | | | | |
| Technology | | | | | | | | |
| Actions | | | | | | | | |
| | Type / Status | Action Description | Due/Assigned | | | | | |
| | Mitigation | Allow fall back to earlier version and develop functionality work arounds | Halkett | | | | | |
| | Closed | | | | | | | |

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 Risk Management Plan and used with the SOS Risk Management Process. The form will be made available via the public-facing VoteCal Project website.