

Prepared for
Florida Department of
Commerce

January 2024 Quarterly IV&V
Assessment Report

For period beginning October 1, 2023,
and ending December 31, 2023

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1.0 Introduction

The Florida Department of Commerce (FL Commerce) works in collaboration with public and private partners to advance Florida's economy for every Floridian by championing the state's economic development vision and implementing initiatives to help citizens, communities, businesses, and visitors thrive.

During the Covid-19 pandemic, FL Commerce received a record number of Reemployment Assistance claims. Initial claims increased over 100-fold from less than 5,000 claims per week in March 2020 to over 500,000 claims per week in April 2020. This unprecedented volume created significant pressure on FL Commerce, its employees, and especially its technology.

Over two years beginning in July 2021 and ending in June 2023, Florida Commerce undertook the Reemployment Assistance Claims and Benefits Information System Modernization Program (RA Modernization), a significant effort to modernize the legacy system. RA Modernization successfully migrated FL Commerce's Reemployment Assistance Claims and Benefits Information System to the cloud to improve overall system performance, resiliency, and scalability; assessed business process improvement opportunities; assessed reemployment assistance's IT security posture and vulnerabilities; improved IT development processes and systems; and reviewed existing language in IT systems to identify plain language improvements.

Beginning July 2023, Florida Commerce initiated the Year 1 of Continuous Modernization Program (Program) to continue to improve and modernize the legacy system using the assessments and lessons learned during the RA Modernization Program. Each year of the Continuous Modernization Program will focus on an incremental set of objectives to build on the success from previous FL Commerce's Reemployment Assistance modernization initiatives.

The Program is comprised of twelve projects including:

- Adjudication Workflow Management
- Appeals Workflow Management
- Chatbot
- Communications Plain Language
- Document Imaging System
- Incremental Customer Experience / User Experience (CX/UX)
- Independent Verification and Validation (IV&V)
- Product and Data Management (PDM)
- Reporting
- Rules Catalog
- Strategic Planning Office (SPO)
- System Integrator (SI)

The purpose of this Quarterly IV&V Assessment Report is to outline the overall Program risk for the RA Continuous Modernization Program across a set of mutually agreed upon risk dimensions and categories.

IV&V Approach

Independent Verification and Validation (IV&V) services for the Program began on July 1, 2023. IV&V services provide independent third-party monitoring focused on identifying and assessing risks which may impact the success of the Program as well as providing recommendations, and/or considerations, on how to mitigate and/or prevent risks moving forward.

FL Commerce has established the following IV&V guidelines with the intent of ensuring the IV&V team provides independent insights on potential risks within the Program. These guidelines are not intended to limit the IV&V team's independence or access to information and any reasonable request for additional information would be honored.

1. FL Commerce will identify the specific Program and project meetings that IV&V can attend. The IV&V vendor will be an observer in meetings and not an active participant. Questions are reserved for clarification purposes.
2. The IV&V vendor will provide FL Commerce Program Leadership with guidance to consider for the mitigation of identified risks. This supports the Department in risk mitigation while allowing IV&V to maintain its independence and objectively evaluate risk mitigation over time. Additionally, the guidance may include enhanced advisory support in the form of Leading Practices Guidance for key risk areas to enhance the understanding of the risk, mitigation strategies, and how to apply them to the Program. The Leading Practice Guidance areas will be jointly agreed upon by FL Commerce and IV&V depending on the area of the biggest need.
3. FL Commerce will provide documentation and other Program/project artifacts, including solicitations, for IV&V review. Documentation and artifacts will generally be penultimate or final drafts to ensure IV&V focuses its oversight efforts on FL Commerce-approved documents. IV&V may request additional documentation as needed.
4. IV&V continues to attend Program change request review meetings and analysis discussions. Attendance at these meetings allows IV&V to identify observations and risks related to change requests prior to final FL Commerce decisions.
5. New IV&V observations would not immediately be added to the risk register. Instead, such observations would be tracked separately and discussed with the FL Commerce Program Leadership to gain greater clarity. Observations may be elevated to risks and, conversely, risks may be de-escalated to observations. In rare occasions when a risk is urgent, i.e., the impact could be critical to the Program or the likelihood is imminent, IV&V would raise risks directly on the risk register.
6. IV&V's scope does not include any review of source code or technical artifacts of the Reconnect Reemployment Assistance Claims and Benefits Information System.

The IV&V approach is evidence-based and leverages a comprehensive risk assessment framework for risk reviews organized across key dimensions and categories. Table 1 on the next page outlines the risk dimensions and categories used to assess the Program.

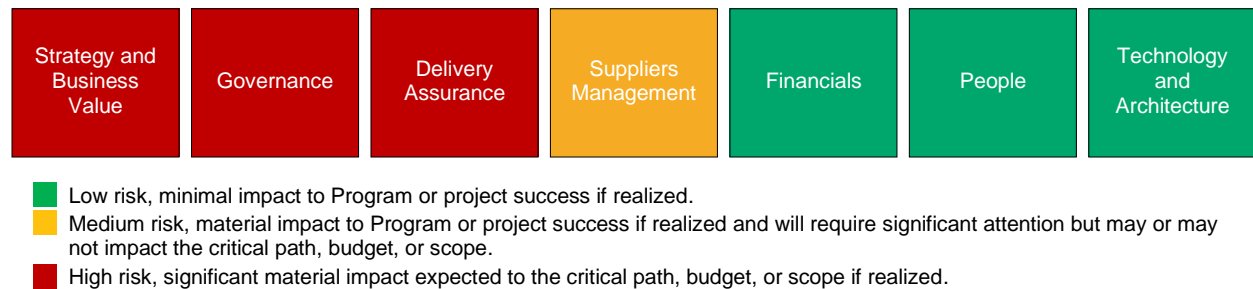
Table 1. IV&V Risk Assessment Dimensions and Categories

Risk Assessment Dimension	Risk Assessment Categories	
Strategy and Business Value	Business Strategy Alignment	Benefits Realization
Governance	Executive Support Program Tracking Communication and Collaboration	Program Organization Risk and Issue Management
Delivery Assurance	Scope Management Quality Assurance Post Release Support	Software Development Lifecycle Mitigation and Release Strategy
Suppliers Management	Sourcing Strategy and Contracts Suppliers Knowledge Transfer	Supplier Performance
Financials	Financial Baseline Financial Tracking	Change Requests Estimation
People	Program Organization Staffing Training	Organizational Change Management
Technology and Architecture	Architecture and Design Architecture Quality	Architecture and Technical Governance Data Management

2.0 Program Assessment

This quarterly assessment covers the RA Continuous Modernization Program for the reporting period beginning October 1, 2023, and ending on December 31, 2023. Figure 1 summarizes the level of risk across the seven assessment dimensions described in Table 1 from the previous section.

Figure 1. RA Continuous Modernization Program Risk Heat Map



Since the previous Quarterly Assessment Report (i.e., October 2023 Quarterly IV&V Assessment Report):

- A key change for the Program was the FL Commerce decision, made on October 5, 2023, to change the approach to deliver the Incremental CX/UX project. This was a significant change that included stopping work on the chosen CX/UX solution, leveraging a different technology platform, and changing the vendor supporting the project. This impacted the project timeline, the scope of the first release, and the management roles supporting the project. This change in approach positively impacted many risks associated with the original approach, including an overall reduction in the Suppliers Management and Technology and Architecture dimensions. However, given the constraints and challenges that persist, the CX/UX continues to bear risks as described below.
- Risk in the following dimensions has remained constant.
 - Risk in the **Strategy and Business Value** dimension remains High primarily due to challenges with finalization of the planning for projects, the lack of a clear direction for the CX/UX project after the January 2024 release and limited alignment on the Product and Data Management project objectives.
 - Risk in the **Governance** dimension remains High. The CX/UX decision positively impacted CX/UX project governance by increasing alignment between FL Commerce and the vendor supporting the project. However, risk remains primarily due to the limited implementation of project management best practices and the lack of clarity on some roles and responsibilities.
 - Risk in the **Delivery Assurance** dimension remains High. The CX/UX decision positively impacted delivery assurance by introducing an achievable January 2024 CX/UX release focused on high priority functionality (e.g., initial claims, selected fact-finding questionnaires) and a more effective software development process. However, risk remains primarily due to the lack of test planning to support test execution, an undefined role for the SI in supporting testing, and limited visibility into progress of addressing critical Go-Live readiness criteria.
 - Risk in the **Financials** and **People** dimensions remain at Low.
- Risk in these dimensions has changed:

- Risk in the **Suppliers Management** dimension was reduced from High to Medium. This change was primarily driven by the decision to change approach to the CX/UX project and the introduction of new management roles to improve alignment with the new vendor supporting the project.
- Risk in the **Technology and Architecture** dimension was reduced from a Medium to Low. The Program made significant decisions on the technology solutions to be leveraged for the Incremental CX/UX project, the Adjudication Workflow project, and the Document Imaging project.

At present, there are three Low risk dimensions. If any risk associated with these dimensions is realized there would be minimal impact to Program success:

- **Financials** – Risk in this dimension is low. FL Commerce has continued monthly spend plan reconciliation meetings with the SPO to ensure alignment on Program-related costs.
- **Technology and Architecture** – Risk in this dimension is at a Low.
 - FL Commerce is conducting a proof-of-concept for a data masking tool for use of masked versions of production data for testing purposes. However, this initiative will not be ready for the January deployment of the CX/UX solution and unmasked production data is being used for testing. The FL Commerce IT team is planning to be ready to test data masking by the end of January 2024.
 - Pega Systems was selected for the CX/UX and Adjudication Workflow Management projects. FL Commerce is leveraging this technology in other implementations and has experience working with this vendor.
 - The Document Imaging project selected the Next Phase OnBase product in December 2023. The product has an API capability and the project team, along with FL Commerce IT are assessing how to best integrate with the legacy system to automate capturing of images and documents.
- **People** – Risk in this dimension remains low but is trending to medium:
 - Several project managers and subject matter experts (SMEs) have left the Program during this quarter. Thus far, the transitions appear to be going smoothly, but staff turnover disrupts projects through loss of knowledge, continuity, and momentum, particularly if positions cannot be backfilled in a timely manner.
 - Project schedules are being managed in the ServiceNow tool and resource time is being tracked in the Smartsheet tool. There are ongoing resource capacity management meetings to review resource usage and allocation. However, project schedules are not typically resource loaded with could impact ability to manage potential resource conflicts.
 - FL Commerce resource requirements for some projects (e.g., Document Imaging, Product and Data Management) are not defined which could impact the ability to delivery these projects if required resources are not available. The Program is actively working to define resource requirements and identify any potential resource constraints. Individual projects have not identified risk associated with resource availability based on current plans but this is an area to monitor.
 - Challenges continue to be observed within FL Commerce where deliverable reviews (e.g., Rule 60GG deliverables) are delayed for several weeks after submission due to competing priorities.

There is one medium risk dimension, where a material impact to the Program is possible if risks are realized, but would not necessarily disrupt the overall implementation plan:

- **Suppliers Management** – Risk in this dimension is Medium with the following key contributing factors:
 - The SI vendor contract was not amended in time to support the delivery of the January 2024 CX/UX release. Amendment 5 is intended to update the SI contract, but it has not been finalized and as a result, SI's services were not used as originally intended for CX/UX testing, and their role for the remainder of the Program remains unclear.
 - The contract with the CX/UX and Adjudication Workflow Management vendor is based on time and materials (T&M) and lacks defined deliverables. These T&M contracts place the majority of project execution risk on FL Commerce. Recommended mitigations such as defining deliverables, defining service levels, and requiring detailed progress reporting (e.g., planned vs. actual) have not been implemented or required of the vendor.
 - Lessons learned from previous CX/UX vendor have not been documented or analyzed. This may result in similar issues with the future vendors selected for projects within the Program especially in relation to contracts and management of the vendors.
 - Finalization and approval of some vendor deliverables (e.g., test plans, performance requirements) has been delayed. Some project activities (e.g., testing) are taking place before the associated deliverables required to move forward with them have been finalized and approved.

FL Commerce's prior relationship with the new CX/UX vendor has proven valuable with excellent communication and partnership. The result has been a productive development of the CX/UX interface that is on track for a January 2024 release. A similar relationship has been observed with the ChatBot vendor, who also has a history with the Department. Additionally, FL Commerce signed a contract in December with Next Phase for their OnBase document imaging product. It is recommended that FL Commerce work closely with Next Phase to ensure that roles and responsibilities are clear and expectations are clearly communicated. Amendment 5 for the SI vendor should be finalized and executed as soon as possible to ensure that the vendor's expertise can be applied to the remainder of the Program.

There are three high risk dimensions where significant material impact to the Program's critical path schedule, budget, and/or scope would be expected if risks are realized.

- **Strategy and Business Value** – Risk in this dimension is high and key contributing factors include:
 - With 6 of the 12 months of the RA Continuous Modernization Program elapsed, nine (9) projects remain in the Initiation and Planning phase. Three (3) projects are in the Initiation Phase (Adjudication Workflow Management, Appeals Workflow Management, Product and Data Management) and six (6) projects are in the Planning Phase (Chatbot, Communications Plain Language, Document Imaging System, Incremental CX/UX, Reporting, System Integrator). The Program is fast-tracking the outstanding initiation and planning deliverables for approval to move the projects into the execution phase. Extended Initiation and Planning phases could limit the time available to address the work in the Execution phase.

- On October 5, 2023, FL Commerce made a determination to change the delivery approach for the CX/UX project. As part of this determination, a decision was made that the CX/UX team should focus on the successful delivery of the January 2024 CX/UX release and then focus on addressing the planning for CX/UX activities after January 2024. This approach enabled FL Commerce to have a strong focus on the January 2024 release but the next steps for CX/UX after the release are not defined which could impact the ability to continue making forward progress on CX/UX objectives.
- There is limited alignment on the objectives, scope boundaries and delivery approach for the Product and Data Management project which could impact its ability to deliver meaningful benefits before the conclusion of the Program on June 2024. The project is working with FL Commerce stakeholders to define these items and update the project charter.
- The Department has identified benefits for Projects that are part of the Program. However, there is not an active process to capture benefits data, to report on benefits achievement, and to make adjustments to Program activities, as appropriate, to maximize benefits.
- **Governance** – Risk in this dimension is high and key contributing factors include:
 - Project management standards and best practices are not consistently being applied in the Program. For example, reporting on project progress is limited with deficiencies observed in reporting on actual vs. planned progress, earned value management, testing progress (e.g., test execution, resolution of defects) and project status. Risks and issues are not always tracked via the approved Program processes which limits visibility into mitigation activities and progress. There is limited use of the project schedules to manage project activities and ensure timely delivery of project milestones (e.g., lack of clarity on when different CX/UX tests were starting and if test cases were available to support testing). The Program is actively working with projects to ensure that adjustments are made to meet project management standards, however there are opportunities for improvement.
 - Governance roles and responsibilities are not always clearly defined in the CX/UX project. For example, testing roles and responsibilities, including the role of the SI, in supporting testing were not fully defined. This caused some confusion as to how testing would be addressed and who had responsibility for which aspect of testing. With the change in the direction for the CX/UX project, FL Commerce has introduced new management roles that have improved coordination and communication in the project. The Program is also working on defining a new Standard Operating Procedure that will provide guidance to project teams on roles and responsibilities.
- **Delivery Assurance** – Risk in this dimension is high. The change in the direction for the CX/UX project significantly reduced Program risk in this dimension but challenges remain.

The change in project approach for the CX/UX project significantly reduced risks associated with:

- Delays in the delivery of planned releases with the previous CX/UX vendor.
- Challenges in aligning on the scope of the first release.
- Lack of a clear requirements management process for CX/UX including lack of clear traceability between contractual requirements and project artifacts.

- Inefficiencies in the review and approval of design documentation.
- Challenges with the development of APIs.
- Deficiencies in the process of triaging defects.
- The management of dependencies between the CX/UX project and the Plain Language Communications project.

However, risk in this dimension remains high primarily driven by:

- Lack of approved test plans to guide testing of the January 2024 CX/UX release. While testing of the CX/UX release has been conducted, it was not supported by approved test plans. This lack of test plans results in the following challenges:
 - Unclear approach to address overall testing of the solution, including what tests will be conducted (e.g., unit, integration, UAT, performance, security, regression, Section 508 compliance, mobile browser), when they will be conducted, and the approach to be used for each test.
 - Lack of clarity when a test is ready to begin (e.g., entry criteria such as having test cases defined) and when it has fully concluded (e.g., exit criteria such as resolution of all significant defects).
 - Lack of reporting on progress of test execution and defect resolution which limits stakeholder ability to evaluate Go-Live readiness.

FL Commerce worked to develop test plans for the CX/UX solution however these were not approved in time to guide testing activities. Despite the lack of test plans, FL Commerce tested the CX/UX solution leveraging business, IT, and vendor staff to ensure it meets quality expectations.

- The role of the SI vendor in supporting testing across the Program has not been formalized which impacts the ability of the SI to provide guidance on testing best practices and to support testing. This impacted the CX/UX and other projects where the SI was not able to fully engage in testing of the solution due to the need to finalize contractual changes. FL Commerce has been working on a contract amendment to formalize this change since December 2023 but it is still outstanding.
- Lack of clear reporting on progress towards meeting Go-Live Readiness criteria. The Program has defined a set of Go-Live Readiness Criteria for the CX/UX solution that will validate that the solution is ready for production (e.g., testing completed, security validation completed, support plans in place). However, the CX/UX reporting does not align with the Go-Live readiness criteria which limits the ability to evaluate progress towards achieving these criteria. For example, progress towards completing user acceptance testing or the status of defect resolution is not clear. The Project is planning on conducting meetings to review Go-Live readiness criteria prior to Go-Live to review how these criteria were met.
- Performance requirements have not been approved, so formal performance testing of the CX/UX system will not take place for the January 2024 release. The Program has had multiple meetings with the vendor developing performance requirements and is working to finalize them. Additionally, FL Commerce intends to monitor performance of the CX/UX solution once it is deployed in January 2024 to identify any potential performance issues with a support team prepared to intervene should performance issues arise.

In this reporting period, improvements in Program performance or other changes in Program circumstances resulted in closing the following risks and issues. Please see Sections 3 and 4 for additional details on these items.

Table 2. Risks / Issues closed in this Reporting Period

Risk Dimension	Risk / Issue	Current Risk / Issue Rating	Risk / Issue Name
Delivery Assurance	Risk	Closed	Approach to deploy CX/UX scope is undefined for Phase 1a and Phase 1b
	Risk	Closed	Lack of an effective defect triage cadence
	Risk	Closed	Timeline and scope for API development has not been defined
	Risk	Closed	Inefficient process to review and approve CX/UX screen designs and wireframes
	Issue	Closed	The process to manage CX/UX requirements is not clearly defined or consistently followed
	Issue	Closed	Continuous Delays in TTV Phase 1a work with no formal root cause analysis to understand reasons and mitigate issues in future
	Issue	Closed	Lack of traceability between CX/UX contractual requirements and CX/UX designs
	Issue	Closed	Deployment of CX/UX Phase 1a is delayed
	Issue	Closed	Approach to manage dependency between CX/UX and Communications Plain Language development needs to be defined
Governance	Issue	Closed	Pre-approved change management processes for the Program are not being followed to update scope and schedule in projects
Suppliers Management	Issue	Closed	Delays in the submission and approval of TTV deliverables




In this reporting period, the following risks and issues were identified. Please see Sections 3 and 4 for details on how the Program is working with relevant stakeholders to address these items.

Table 3. Risks / Issues opened in this Reporting Period

Risk Dimension	Risk / Issue	Current Risk / Issue Rating	Risk / Issue Name
Strategy and Business Value	Risk	High	Lack of a plan for CX/UX beyond the January 2024 release
	Risk	Medium	Lack of approved Rule 60GG Initiation and Planning deliverables
	Risk	Medium	Informal Benefits Realization Approach
Delivery Assurance	Risk	High	Ability to conduct Performance testing for the CX/UX January 2024 release
	Risk	High	Test plan for CX/UX January 2024 deployment not defined
	Risk	High	Product and Data Management project approach is not aligned to best practices
	Risk	Medium	Lack of Requirements Traceability between approved CX/UX project requirements and Pega user stories
	Issue	High	Project Schedule for CX/UX is not up to date yet with the new plan for deployment with the new vendor

3.0 Risk Assessment Details

This section describes the specific risks behind the risk ratings provided in the previous section. The risks are organized into sub-sections, one for each of the risk dimensions. The following information is provided for each risk:

- **Risk Name** – each risk has been named to facilitate easy reference.
- **Applicability** – indicates which projects within the Program the risk applies to, or if the risk is Program-wide.
- **Date Identified** – specifies the initial date the risk was identified.
- **Previous Risk Rating** – shows how the risk was rated in the last quarterly report. The “Previous Risk Rating” for a risk opened in this reporting period will be “N/A”.
- **Current Risk Rating** – shows how the risk has been rated currently.
 -  Low issue, minimal impact to Program or project success.
 -  Medium issue, material impact to Program or project success and will require significant attention but may or may not impact the critical path, budget, or scope.
 -  High issue, significant material impact expected to the critical path, budget, or scope.
 - Where FL Commerce has demonstrated it sufficiently mitigated a risk, the risk is marked “closed.” Closed risks will only be listed in the quarter they were closed and will not appear in future quarterly reports unless the risk is reopened.
- **Risk Description** – provides a brief, summary-level description of the risk.
- **Potential Impacts** – describes the potential impacts to the Program or project if the risk is realized. This content focuses on the most significant potential impacts.
- **Considerations** – provides options for FL Commerce to consider regarding addressing or mitigating the risk.
- **Actions Taken by FL Commerce** – summarizes key actions taken by FL Commerce regarding the risk.

3.1 Strategy and Business Value

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by FL Commerce
Lack of a plan for CX/UX beyond the January 2024 release	CX/UX	11/13/2023	N/A	High	<ul style="list-style-type: none"> If the CX/UX project does not plan beyond the January 2024 release, there is a risk that forward momentum on the CX/UX project will stall delaying the delivery of CX/UX functionality to RA stakeholders (e.g., claimants, employers and third party administrators) and FL Commerce staff. The CX/UX project is planning to deliver a January 2024 release that focuses on Initial Claims, DUA claims and Fact-Finding questionnaires. To support a strong focus on the January 2024 release and due to limited staff availability to support planning, FL Commerce is not actively planning on what functionality will be delivered by the CX/UX project after January 2024. 	<p>If the CX/UX project does not plan beyond the January 2024 release, the risks are:</p> <ul style="list-style-type: none"> The project timeline will be extended as project planning will begin after the January 2024 release. Project delays might be introduced due to lack of clarity on what design and development activities are required after the January 2024 release. Project resources and funding might not be deployed optimally to meet the objectives of the CX/UX project until project planning is complete. Project forward momentum might stall if project team members are assigned to other responsibilities during the planning phase. 	<ul style="list-style-type: none"> FL Commerce should identify the long-term technical solution for the CX/UX project. This will reduce the risk of rework if another technical solution is identified at a future date. FL Commerce should identify resources that don't have responsibilities for the delivery of the CX/UX January 2024 release to drive the planning for the post-January 2024 releases. FL Commerce should break down planning for post-January 2024 releases into three-month Project Increments (PI), which would identify the set of priorities for the CX\UX releases for a three-month period. FL Commerce should leverage planning done in the CX/UX TTV contract and project to identify requirements and features that should be prioritized for development in each PI. 	<ul style="list-style-type: none"> This risk has been as accepted by the Program. The determination has been made to focus staff on the successful deployment of the January 2024 CX/UX release and then focus on planning future CX/UX activities. After the January release, Pega will conduct maintenance and operations (M&O) work, add the remaining fact-finding questionnaires, and add the PIN and security questions to the claim intake form.

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by FL Commerce
Informal Benefits Realization Approach	Program	10/26/2021	Medium	Medium	<ul style="list-style-type: none"> A formalized benefits realization strategy and plan with clear metrics and progress towards a target benefits tracking approach is not yet in place for the Continuous Modernization Program and its individual projects. 	<ul style="list-style-type: none"> Lack of a benefits realization strategy makes it challenging to determine if an individual project, or the Program as a whole, has achieved expected benefits. Without agreed upon key performance indicators (KPIs), stakeholders may disagree on the degree of which benefits were realized or not. Decreased ability to identify opportunities to make in-flight adjustments to projects-based benefits realization monitoring. Projects may be closed prematurely in cases where target benefits were not sufficiently achieved. 	FL Commerce should develop a comprehensive benefits realization strategy and management process for the Continuous Modernization Program, including: <ul style="list-style-type: none"> A defined set of target benefits for the Program. A benefits realization plan that details specific measures and monitoring processes. A process for reporting on progress towards target benefits to key stakeholders. 	<ul style="list-style-type: none"> SPO has been working with the project managers to identify and update the benefits and proposed benefits owners in the benefits realization measurement tracker, which is reviewed at the weekly Workgroup meetings. As of the end of the reporting period, the benefit tracker includes identification of benefits for all the Continuous Modernization projects.

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by FL Commerce
<p>Lack of approved Rule 60GG Initiation and Planning deliverables</p>	<p>Program</p>	<p>10/30/2023</p>	<p>Medium</p>	<p>Medium</p>	<p>At the end of this reporting period, after six months into the Continuous Modernization Program, nine out of twelve projects still have unapproved Rule 60GG Initiation and Planning deliverables.</p> <p>IV&V interviews conducted in October 2023 highlighted that this is happening due to various reasons:</p> <ul style="list-style-type: none"> • Project Managers working on Rule 60GG deliverables for projects that are well into the execution phase. • Cumbersome and long deliverable review cycles that take 20+ days to be approved. • Change in project direction or lack of scope finalization. 	<ul style="list-style-type: none"> • Lack of finalization of the required initiation and planning activities could impact time available to complete project execution activities (e.g. solution development). 	<ul style="list-style-type: none"> • SPO should streamline the deliverable review process. Options to do so should be presented to the Workgroup along with an impact analysis. Options include reducing the number of approvers and assessing ways that approvers can review the document in parallel versus sequentially. • SPO should discuss the status of Rule 60GG deliverables in Workgroup forums to analyze the cause of delays, feedback on any critical deliverables and how can the turnaround time for reviews be improved. 	<ul style="list-style-type: none"> • At the end of this reporting period, three out of twelve projects, including Rules Catalog, SPO, and IV&V, have completed the Initiation and Planning phases and are in the Execution phase. • SPO has been updating the Rule 60GG deliverables tracker daily and adding target completion dates. • SPO proposed options to streamline the deliverable review process to the Workgroup, but no decisions were made. • Three projects submitted Business Case deliverables to move to the planning phases.

3.2 Governance

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by FL Commerce
Project Management standards and best practices are not consistently being followed for CX/UX	CX/UX	9/1/2023	High	High	<p>It has been observed that PM best practices and standards defined for the Program are not consistently followed in the CX/UX project. Some of IV&V's related observations are:</p> <ul style="list-style-type: none"> Critical gaps in CX/UX status reporting to communicate January release status against the planned items. The Program RAID log in ServiceNow has not tracked all the CX/UX January release risks. Limited use of agile metrics to track burndown, velocity, and test execution. Deviation from Rule 60GG, which requires Earned Value management by tracking planned vs. actual metrics. 	<ul style="list-style-type: none"> Inconsistent application of PM best practices and standards makes it challenging to effectively monitor the January release for CX/UX and ensure the project is on track to meet planned milestones and mitigate any potential delays 	<ul style="list-style-type: none"> FL Commerce should continue to mature the CX/UX weekly status report to effectively track progress and drive actions, including any risks and issues that the vendor raises and description of how they are being addressed. Instead of the current best-effort approach, the CX/UX project team should consider employing story point estimations and timeboxing to get a clear view of planned target dates. The project team should document estimates of development sprint plan, testing tasks and bug-fixes, training plan, post release staffing plan for IT and Business, roll-back plan. The CX/UX project team should prioritize the review, approval, and sharing the project schedule, so it can be leveraged as a tool to manage the tasks and progress. 	<ul style="list-style-type: none"> The CX/UX project team has been meeting weekly and sharing weekly status reports since November 2023, which include metrics about user stories. The status reports have incorporated some recommended items, including resolution dates for action items, risks and issues, and upcoming events. SPO made efforts at reviewing the planned vs. actuals metrics in the vendor's project management tool and aligning the metrics shared by the CX/UX project team in November 2023. For UAT and integration testing that started in December 2023, the CX/UX project team planned to share UAT metrics as part of the weekly status reporting. SI is planning to report on UAT and integration testing metrics via dashboards and email updates.

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by FL Commerce
<p>Governance structures (e.g., roles and responsibilities) defined for Project activities is not being implemented effectively</p>	<p>Program</p>	<p>1/31/2023</p>	<p>High</p>	<p>Medium</p>	<ul style="list-style-type: none"> There is a lack of clarity around roles and responsibilities and the necessary interaction that must occur between various stakeholder groups in a project, such as FL Commerce (Business and IT), SPO, and SI. Governance structures have been defined but not consistently implemented. There is also a significant overlap of roles and responsibilities. 	<ul style="list-style-type: none"> Lack of clarity is causing confusion around tasks such as requirements management including requirements traceability, testing including integration and UAT testing, and project reporting. As a result, some of these tasks are not performed or done without a sufficient level of quality. 	<ul style="list-style-type: none"> FL Commerce should finalize the RACI and the Release Process Flow roles and responsibilities documents, which should then be implemented throughout the Program to guide various handoffs among parties. Additionally, the accountability of ensuring the governance is being applied should also be defined with clear establishment of tracking mechanisms. 	<ul style="list-style-type: none"> FL Commerce has kept the team small for the CX/UX Jan 2024 release to facilitate quick decision-making and strong coordination between FL Commerce and vendor. This approach is effective in streamlining project activities given the short timeframe before deployment. FL Commerce has shared that a standard operating procedure (SOP) is being developed, which will help PMs define required roles and responsibilities for their projects. The CX/UX project team has updated the project schedule to identify task owners. The CX/UX project team has been updating the project schedule on a weekly basis including making updates from Agile Studio DEV/QA exports, ADO integration test exports, SI UAT schedule, and Go/No-Go checklist information.

3.3 Delivery Assurance

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by FL Commerce
Go/No-Go decision criteria and checklists have not yet been tailored to the CX/UX project	CX/UX	9/19/2023	Medium	High	<ul style="list-style-type: none"> The Center of Excellence (COE) distributed Go/No-Go criteria including checklist in August 2023, but the CX/UX project team's update to reflect the project-specific needs, is still not complete at the end of this reporting period. The risk has been escalated to high due to limited time to meet all CX/UX deployment readiness criteria before the January 2024 release. 	<ul style="list-style-type: none"> Not having a set of clearly defined and agreed upon entry and exit criteria for each phase before deployment, such as system testing, integration testing, UAT, Go/No-Go and Release, means that proper procedures might not be followed before entering each phase and creates the risk that an incomplete solution may be released into production, or it may still have significant quality issues. Also, without a single source of truth for the criteria that everyone has agreed to follow, each party may have a distinct set of entry and exit criteria that they may be following on their own, resulting in misaligned expectations and additional delays. 	<ul style="list-style-type: none"> FL Commerce should report weekly on the progress of meeting readiness criteria for the January 2024 CX/UX release. The customized checklists should be socialized with all project team members to ensure awareness, alignment, and adherence to the criteria. 	<ul style="list-style-type: none"> The CX/UX project team held a meeting on December 7, 2023, to review the Go/No-Go checklist for CX/UX. The meeting discussed a demo video for the Change Champions and a fallback plan that allows claimants to use Reconnect.

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by FL Commerce
Product and Data Management project approach is not aligned to best practices	Product and Data Management	10/18/2023	N/A	High	<ul style="list-style-type: none"> Halfway through the Program and two months after the PDM scope decision (ServiceNow Decision #1442 in October 2023), the PDM project is still in Initiation phase without an approved project charter and a baselined project schedule. There is not alignment on the objectives, the scope boundaries, and approach for the PDM project. Key gaps in approach include the lack of alignment on the desired deliverable format, slow progress in building consensus, and no approved Rule 60GG deliverables to align project stakeholders. 	<ul style="list-style-type: none"> If the PDM project approach does not align with best practices for a data dictionary/catalog effort there is a risk that it will not fully meet its objectives of creating user-friendly data dictionary and data catalogs by the end of the project on June 28, 2024. Not following the best practice approach may result in unnecessary time spent, lack of adoption of work products, and, hurting the momentum and buy-in for subsequent data governance initiatives. 	<ul style="list-style-type: none"> The PDM project team should finalize a project charter and baselined the project schedule. These should include measurable activities and desired results before the conclusion of the project in June 2024. The team should plan and execute a pilot to test the approach on a data domain before applying the approach to all RA datasets. 	<ul style="list-style-type: none"> The Workgroup set the PDM project scope as creating user-friendly data dictionary and data catalogs for all Workforces data and the systems where it resides (ServiceNow Decision #1442 in October 2023). The PDM project added two BAs with relevant data and Business experience and involved more Business, IT, and WSER stakeholders in the status meetings. The PDM project has started a weekly status meeting in December 2023 in addition to the weekly project workgroup meeting since September 2023. The PDM project has incorporated a data cataloging pilot on Adjudication in the December 29 proposed schedule.

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by FL Commerce
Test plan for CX/UX January 2024 deployment not defined	CX/UX	11/13/2023	N/A	High	<ul style="list-style-type: none"> There is no comprehensive test plan for the January 2024 CX/UX release. It is unclear what types of testing will be conducted to support the release (e.g., performance, integration, Section 508 compliance). The SI has created test plans for integration testing and UAT but these have not been approved. FL Commerce begun UAT and integration testing in December 2023. It is unclear how FL Commerce and SI testing efforts will be coordinated. Although UAT started in the week of December 4, 2023, by the FL Commerce team, there has been no reporting testing progress and results. 	Lack of a testing plan: <ul style="list-style-type: none"> Leads to confusion around responsibilities for various types of testing. Creates the risk that defects are not identified prior to deployment to production impacting quality of the solution. Creates the risk of delays as issues with the solution may not be caught and addressed in a timely manner. 	<ul style="list-style-type: none"> A test plan for the CX/UX January release should detail out all in-scope testing, which may include integration, UAT, Section 508 accessibility, cross browser, performance, scalability, and security. FL Commerce and SI should clarify testing roles and responsibilities in a documented test plan. CX/UX and SI should ensure that responsible parties write test cases for each testing type prior to the start of each test and follow the defined test plan. 	<ul style="list-style-type: none"> The CX/UX project team shared that they would start reporting on UAT metrics as part of the weekly status report starting the week of December 18, 2023. No UAT metrics or results have been shared with IV&V at the end of this reporting period. The SI created plans for integration and UAT testing however these have not yet been approved. FL Commerce has been reviewing SI's proposed contract changes. The SI Contract Amendment 5 was still under discussion at the end of this reporting period.

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by FL Commerce
Ability to conduct Performance testing for the CX/UX January 2024 release	SI	12/12/2023	N/A	High	<ul style="list-style-type: none"> Performance testing details have not been defined or approved. It's unclear what specific components of CX/UX will be tested, how overall performance of the system will be tested, and by whom. It is unclear how the SI's deliverable on performance requirements will be used to conduct more detailed performance testing in time for the January 2024 CX/UX release. It is unclear what SI's role is in performance testing. As of December 2023, there is no performance testing planned for the front-end before deployment of the solution into production, although there is performance testing planned for the back-end. The CX/UX vendor plans to use their Predictive Diagnostic Cloud (PDC) software after the go-live date to monitor performance. 	<ul style="list-style-type: none"> If specific test plans including roles and responsibilities are not defined and approved, adequate performance testing may not be performed in advance of go live to validate performance of the system is adequate. If performance testing only includes a subset of system components, the results may not provide assurance that all system components have adequate performance. 	<ul style="list-style-type: none"> Since full performance testing is not planned of the go-live date, FL Commerce should document this decision and an associated mitigation plan to ensure that expectations are clearly communicated to stakeholders. CX/UX should request regular delivery of the PDC performance reports from the vendor. Once SI's deliverable on performance requirements is finalized and approved, the CX/UX vendor and FL Commerce should work together to ensure that metrics being used to evaluate performance in PDC align with the requirements established in the SI deliverable. 	<ul style="list-style-type: none"> The CX/UX vendor conducted a meeting on December 18, 2023, to walk through the PDC software that is planned to be used post go-live to monitor performance. The CX/UX project team shared that performance testing on the backend will begin in the week of December 18, 2023.

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by FL Commerce
Lack of Requirements Traceability between approved CX/UX project requirements and Pega user stories	CX/UX	10/30/2023	N/A	Medium	<ul style="list-style-type: none"> The CX/UX vendor is developing user stories to support a deployment of initial claims and DUA claims by the January 2024 CX/UX release. However, there is not traceability between the existing approved CX/UX requirements and the user stories being developed. 	If approved CX/UX requirements are not addressed in the January 2024 CX/UX release, the risks include: <ul style="list-style-type: none"> Required functionality to support initial claims and DUA claims might not be available. Required technical requirements, such as infrastructure requirements, might not be addressed impacting ability to support to support and extend the solution. Required compliance requirements, including Section 508 accessibility and security requirements, might not be addressed impacting Departmental compliance with regulatory requirements. 	<ul style="list-style-type: none"> CX/UX should review approved CX/UX requirements applicable to the January 2024 CX/UX release and establish traceability between these requirements and CX/UX vendor's user stories to ensure they are addressed in the release. 	<ul style="list-style-type: none"> In October 2023, FL Commerce shared the plans to leverage the SI team to prepare a formalized requirements traceability matrix and that the CX/UX requirements in ServiceNow will be revisited after the January 2024 CX/UX release. SI has begun work on reviewing the CX/UX requirements to ensure they are traceable to the CX/UX vendor's user stories as of December 14, 2023. As per SI, the work is 50% completed, and an update on progress will be provided, which has not been shared with IV&V at the end of this reporting period.
Approach to deploy CX/UX scope is undefined for Phase 1a and Phase 1b	CX/UX	8/14/2023	High	Closed	<ul style="list-style-type: none"> If there is not alignment on what elements of scope will be included in which CX/UX deployment, then there is the risk that required scope to support claimants and/or FL Commerce will not be available when CX/UX is deployed. Phase 1a and 1b was originally defined in the TTV contract. However, due to lack of TTV solution readiness and multiple delays the original deployment approach is no longer valid and as a result Decision 1379 has been opened. 	Lack of clarity on the deployment approach for CX/UX scope could result in: <ul style="list-style-type: none"> TTV team unable to appropriately focus design, development, and testing efforts on the most critical elements of scope that are required (at least for future sprints). Other CX/UX participants (e.g., SI, API development, business) unable to effectively support TTV's development efforts. The deployed solution might not meet the needs of claimants or FL Commerce. 	<ul style="list-style-type: none"> Given the impact on the ability to effectively develop CX/UX, Decision 1379 should be prioritized. FL Commerce should define the deployment approach for Phase 1a and Phase 1b, given that per the TTV contract, both phases should have been delivered by June 30, 2023, and July 31, 2023, respectively. The CX/UX project team should define the deployment approach for Phase 1a and Phase 1b. 	<ul style="list-style-type: none"> The 10/5 change in direction for the CX/UX project eliminated Phase 1a and 1b. As a result, this risk is no longer applicable and is therefore closed.

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by FL Commerce
Lack of an effective defect triage cadence	CX/UX	8/3/2023	High	Closed	<ul style="list-style-type: none"> TTV Deliverable 23 Test Plan mentions that Defect Triage meetings would be conducted. However, there is limited evidence that this occurring effectively especially for system testing defects with FL Commerce and SI test management. 	<ul style="list-style-type: none"> Lack of effective defect triage cadence could lead to misaligned expectations around defect severity, prioritization of defect fixes (i.e., to be fixed vs. deferred to future sprints), and status of defect fixes. Impacts of this risk include confusion between change requests and defects, slow defect resolution, and about 450+ system testing defects being raised in internal TTV testing. Such a high number of system testing defects for a commercial off-the-shelf (COTS) solution is unusual. It highlights potential issues that should be discussed in defect triage calls. This issue has been exacerbated by not having a single product backlog and not following a formal change management process. 	<p>FL Commerce should schedule defect triage discussions with these considerations:</p> <ul style="list-style-type: none"> Participation from FL Commerce should be ensured. Participants should discuss open defects, defect severity, defect fix prioritization (which low impact defects can be de-prioritized to later in the sprint or to future sprints) based on defect severity and impact, status of defect fixes, etc. Detailed defect reports should be shared prior to the triage meetings. 	<ul style="list-style-type: none"> The 10/5 change in direction for the CX/UX project changed vendors supporting the project. As a result, this risk was no longer applicable and was therefore closed.
Timeline and scope for API development has not been defined	CX/UX	5/9/2023	High	Closed	<ul style="list-style-type: none"> If the timeline and scope for API development is not clarified, there is the risk that APIs will not be ready in time to support development and testing of the CX/UX Phase 1a solution. 	<ul style="list-style-type: none"> API team might not have the capacity to develop APIs in the timeframes that are required to maintain the CX/UX project on track and to support development and testing activities, including system, integration, and UAT. 	<ul style="list-style-type: none"> TTV should provide the list of APIs to be developed based on their current understanding of the solution. Timelines should be established to provide payload information for in scope APIs based on the planned sprints. Timelines should be established to complete API development based on the development and testing timelines. 	<ul style="list-style-type: none"> The 10/5 change in direction for the CX/UX project eliminated API development that was previously contemplated. As a result, this risk was no longer applicable and was therefore closed.

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by FL Commerce
Inefficient process to review and approve CX/UX screen designs and wireframes	CX/UX	5/2/2023	Medium	Closed	<ul style="list-style-type: none"> If the process to review and approve CX/UX designs is not improved there is a risk that the CX/UX project will continue to see delays as it progresses to Sprint 2 onwards. There were significant challenges in finalizing CX/UX designs in Phase 1a Sprint 1. TTV design sprints do not appear to include a clear process and timeline (that is well understood and agreed-upon by all stakeholders) to review the CX/UX screen designs that includes: FL Commerce reviews and approvals, documentation of gaps identified, triage, classification and analysis of the gaps, providing solution options and accordingly tracking and updating the project schedule. 	<ul style="list-style-type: none"> The lack of a defined design review and approval process will continue to cause project timeline delays in downstream activities such as development, testing, and reworks of unapproved designs. Unfulfilled expectations and missed deadlines could add to stakeholder frustration. 	<ul style="list-style-type: none"> FL Commerce should identify a core team of SMEs, often called a Tiger team, to work closely with TTV to finalize designs per defined timelines and earlier in the lifecycle. FL Commerce and SPO should ask TTV to update the project schedule to accurately reflect the design review and gap remediation process, including FL Commerce's validation of updated designs. Setting appropriate timeline expectations for every step of this process is essential. SPO should create a shared repository of review feedback, itemizing each proposed design change to facilitate collaboration, audit trail, and traceability. 	<ul style="list-style-type: none"> The 10/5 change in direction for the CX/UX project changed vendors supporting the project. As a result, this risk was no longer applicable and was therefore closed.

3.4 Suppliers Management

There are currently no active risks in this dimension.

3.5 Financials

There are currently no active risks in this dimension.

3.6 People




There are currently no active risks in this dimension.

3.7 Technology and Architecture

Risk Name	Applicability	Date Identified	Previous Risk Rating	Current Risk Rating	Risk Description	Potential Impacts	Considerations	Actions Taken by FL Commerce
Immature test data management processes	Program	2/2/2023	Medium	Medium	<ul style="list-style-type: none"> FL Commerce's current test data management processes use a copy of production data in testing environments. However, this data is not masked. Using unmasked test data is a security risk, especially when multiple vendor groups would be involved in various testing phases in this Program. 	<ul style="list-style-type: none"> Using unmasked production data in testing environments increases the risk of unauthorized access of the data. This risk is partially mitigated by the controls in place to limit access to testing environments. 	<ul style="list-style-type: none"> FL Commerce needs to find a balance between the quality and security of test data instead of using unmasked production data for all types of testing. FL Commerce could explore the use and generation of synthetic (or dummy) data for testing especially when external vendor's testing activities have limited security controls in place. FL Commerce could also involve the Security team to better understand Florida's 60-GG cybersecurity standards that inhibit the use of production data in lower environments and to validate access controls to testing environments. 	<ul style="list-style-type: none"> FL Commerce is leading an effort to mask production data in testing environments. They are planning to be ready to test data masking by the end of January 2024.

4.0 Issue Assessment Details

This section describes risks that have been realized within the Continuous Modernization Program and are now being managed as an issue. The following information is provided for each issue:

- **Issue Name** – each issue has been named to facilitate easy reference.
- **Applicability** – indicates which projects within the Program the issue applies to, or if the issue is Program-wide.
- **Assessment Dimension** – indicates the IV&V assessment dimension from the framework mentioned in Table 1 that the issue applies to.
- **Date Identified** – specifies the date the risk was initially identified before it escalated to an issue.
- **Previous Issue Rating** – shows how the issue was rated in the last quarterly report. The “Previous Issue Rating” for a risk opened in this reporting period will be “N/A”.
- **Current Issue Rating** – shows how the issue has been rated currently.
 -  Low issue, minimal impact to Program or project success.
 -  Medium issue, material impact to Program or project success and will require significant attention but may or may not impact the critical path, budget, or scope.
 -  High issue, significant material impact expected to the critical path, budget, or scope.
 - When an issue has been sufficiently addressed or resolved, the issue is marked “closed.” Closed issues will only be listed in the quarter they were closed and will not appear in future quarterly reports unless the issue is reopened.
- **Issue Description** – provides a brief, summary-level description of the issue.
- **Impacts** – describes the impacts to the Program or project because of the issue and the risk being realized. This content focuses on the most significant impacts.
- **Considerations** – provides options for FL Commerce to consider regarding addressing the issue.
- **Actions Taken by FL Commerce** – summarizes key actions taken by FL Commerce to address the issue.

4.1 Strategy and Business Value

Issue Name	Applicability	Date Identified	Previous Issue Rating	Current Issue Rating	Issue Description	Impacts	Considerations	Actions Taken by FL Commerce
Plan for Continuous Modernization is undefined	Program	2/2/2023	High	Medium	<ul style="list-style-type: none"> As a result of the change in Program direction and de-scoping of various projects, some of the originally intended benefits as laid out in the ISF report have been shifted to the Continuous Modernization phase. However, there is no clear plan defined on how, when and by whom these various de-scoped project activities will be conducted after June 30. 	<ul style="list-style-type: none"> No clear plan for Continuous Modernization could lead to further de-prioritization of those activities and missed benefits 	<ul style="list-style-type: none"> FL Commerce could look to define a clearer plan for Continuous Modernization with a roadmap that articulates how de-scoped and new ongoing modernization objectives will be achieved in future. Additionally, detailing out a plan for ongoing management and governance of Continuous Modernization would be important. 	<ul style="list-style-type: none"> The RA Annual Report for the Florida Legislature with a three-year outlook has been approved. This report highlights Reemployment Assistance's key Continuous Modernization objectives and related projects that are expected to be completed over the next three fiscal years.

4.2 Governance

Issue Name	Applicability	Date Identified	Previous Issue Rating	Current Issue Rating	Issue Description	Impacts	Considerations	Actions Taken by FL Commerce
Pre-approved change management processes for the Program are not being followed to update scope and schedule in projects	Program, CX/UX	6/16/2023	High	Closed	<p>IV&V has observed instances of where the pre-approved change management processes are not being followed in the CX/UX project:</p> <ul style="list-style-type: none"> There is no formal change request to update the missed Phase 1a deployment date (6/30/2023) and future sprints dates. The CX/UX project is moving towards an unapproved change - deploying only Sprint 1 instead of the entire Phase 1a. <p>Additionally, change requests submitted by TTV are still being vetted out but not using the pre-defined Program's change management processes.</p>	<ul style="list-style-type: none"> CX/UX Sprint 1 and Phase 1a has already seen delays. Working in a limited transparency environment where changes are not formally reviewed and approved has caused confusion. In the long term, this issue may impact FL Commerce's strategic partnership with the vendor and result in the failure of the CX/UX project. 	<ul style="list-style-type: none"> TTV and CX/UX PM should use the approved Change Management Plan processes for all CX/UX project changes. The change requests must contain all necessary information for FL Commerce to evaluate, approve, modify, or reject the changes. 	<ul style="list-style-type: none"> The 10/5 change in direction for the CX/UX project introduced management roles to support more focused management of the release. As a result, this issue was no longer applicable and was therefore closed.

4.3 Delivery Assurance

Issue Name	Applicability	Date Identified	Previous Issue Rating	Current Issue Rating	Issue Description	Impacts	Considerations	Actions Taken by FL Commerce
Project Schedule for CX/UX is not up to date yet with the new plan for deployment with the new vendor	CX/UX	11/3/2022	N/A	High	<ul style="list-style-type: none"> With the change in direction in the CX/UX project, the new project schedule for the planned January 2024 deployment was produced and approved after much delay. Until that time there was limited clarity on when certain tasks needed to be completed and whom would be responsible for them. The project schedule is being used primarily as a reporting tool rather a tool to manage project activities. 	<ul style="list-style-type: none"> Not having the project schedule finalized, approved, and shared with the full team at the start of the project limits its utility as a tool to align on roles and responsibilities for each task, and regularly monitor progress against the plan. This makes it difficult to mitigate any schedule-related risks that may arise further along the project. Going forward, if work on the CX/UX project's future releases continues without a readily available, approved project schedule, it will significantly impact the quality of work delivered. 	<ul style="list-style-type: none"> For future CX/UX releases, the CX/UX PM should ensure that the complete, detailed project schedule is ready before work begins. The schedule should be reviewed and shared with all project team members to ensure everyone is aligned and committed to delivering per the defined milestones. If a change request impacts the end project date or key milestones within it, the project schedule should be re-baselined. 	<ul style="list-style-type: none"> Through the 3+ months of work being done for the CX/UX January 2024 release, the project team took some actions to improve the project schedule, such as: <ul style="list-style-type: none"> The project schedule initially started with just high-level milestones, but detailed activities were later added. Sub-schedules were added for some activities such as development and testing, to drill down into more detailed tasks for these. Some key activities that were previously missing from the schedule were eventually added, for example an item for the Go/No-Go decision.
Incremental claimant rollout approach (i.e., soft launch) has not been defined	CX/UX	5/11/2023	High	High	<ul style="list-style-type: none"> With the incremental claimant rollout approach (i.e., soft launch) not fully defined and approved, there is a risk that the CX/UX solution will not have the functionality available to support it, and organizational change management activities (i.e., communications, public relations, training) intended to support the rollout will not be effective. 	<ul style="list-style-type: none"> Without a clearly defined and approved incremental claimant rollout approach: <ul style="list-style-type: none"> The CX/UX solution might not have the appropriate functionality developed and tested in time to support rollout. Communication and Public Relations efforts might not be effective in communicating the scope and value of CX/UX to impacted stakeholders including claimants and FL Commerce staff. Training might not address all required training elements to support the defined rollout approach. 	<ul style="list-style-type: none"> Once claimant rollout approach is approved it should be communicated to the OCM and Public Relations teams to ensure their efforts are aligned with the decision. 	<ul style="list-style-type: none"> Decision 1452 was logged, to track resolution the incremental claimant rollout approach. This decision is being reviewed with the Workgroup.

Issue Name	Applicability	Date Identified	Previous Issue Rating	Current Issue Rating	Issue Description	Impacts	Considerations	Actions Taken by FL Commerce
Delays in performance requirements deliverable	SI, CX/UX	5/11/2023	Medium	High	<ul style="list-style-type: none"> The Performance Requirements deliverable is not finalized and approved. This deliverable is significantly late. 	<ul style="list-style-type: none"> Delays in Performance Requirements deliverable will impact performance testing for the solution as there would be no clearly defined requirements against which performance can be validated. This could lead to a solution being released to the public which does not meet requirements of FL Commerce Business and creates potential issues and/or poor user experience for claimants trying to use the system. 	<ul style="list-style-type: none"> FL Commerce and SI should work together to ensure the deliverable is finalized and is then leveraged to guide performance testing activities for the next iteration of the CX/UX project in future releases. 	<ul style="list-style-type: none"> As part of the review cycles, FL Commerce has been providing feedback to SI on the draft deliverable, including items such as business and system metrics to be captured in the deliverable.
Plan for Security Testing for the CX/UX Project is unclear	CX/UX	2/2/2023	High	High	<ul style="list-style-type: none"> There has been limited visibility on which security related tasks were completed, what the outcomes were, and what the planned timelines are for completing the remaining tasks. 	<ul style="list-style-type: none"> Without a comprehensive security assessment, it is difficult to identify the types of potential security risks that need to be mitigated. 	<ul style="list-style-type: none"> The CX/UX Project Manager should work with the FL Commerce security team to ensure that key security testing tasks are adequately captured in the project schedule and are adhered to by the full project team. 	<ul style="list-style-type: none"> The CX/UX vendor completed an initial security assessment questionnaire for Commercial and Gov Cloud, which was then reviewed by CISO. Security vulnerability testing is underway.

Issue Name	Applicability	Date Identified	Previous Issue Rating	Current Issue Rating	Issue Description	Impacts	Considerations	Actions Taken by FL Commerce
Lack of a defined SDLC approach for CX/UX	CX/UX	2/2/2023	High	Medium	<ul style="list-style-type: none"> Florida Commerce intends to leverage an Agile approach for the January release for CX/UX. While a few aspects of the Agile methodology were used by the new CX/UX vendor, for example documenting user stories and adding story points, the broader Agile approach as well as the overall SDLC approach were unclear and not documented. There has been no clarity on what the plan is for each sprint, including number of user stories to be developed and other key activities. Progress has not been measured against a detailed sprint plan. Tracking charts for metrics such as sprint burndown and team velocity have not actively been used. 	<ul style="list-style-type: none"> Without clarity on software development methodology, it is difficult to align multiple participants (e.g., vendor, business, IT, SI, SPO) supporting the effort. Without tracking of planned vs. actuals, it is difficult to identify what adjustments need to be made to the schedule, scope, or resources. Ultimately, this impacts quality of the solution delivered, as some critical tasks are missed or are not executed to the required standard. 	<ul style="list-style-type: none"> If FL Commerce already has a detailed SDLC approach documented, it should be shared with the vendor for any future work to be done on the CX/UX project. The full project team should be aligned on the approach and adhere to it throughout the project lifecycle. Whichever methodology, whether Agile, Waterfall, or any other, is used by the project team, FL Commerce should ensure that details of it are documented, and the approach is adhered to. 	<ul style="list-style-type: none"> Although limited, the CX/UX project team began reporting on some metrics around user stories' completion and testing in the weekly status reports.
Undefined accountability for Test Management and Test Governance in the CX/UX project	CX/UX	1/26/2023	High	Medium	<ul style="list-style-type: none"> Testing accountability and governance has not been clear for the CX/UX project. There has been a lack of clarity, shifting responsibilities, and late decisions on who will be responsible for various testing activities such as documenting UAT test scripts and conducting performance testing and system integration testing. The role of SI has remained undefined throughout this phase, as contract Amendment 5 is still not finalized. 	<ul style="list-style-type: none"> Lack of clear testing accountability could lead to testing that does not identify defects which could impact solution quality in production. 	<ul style="list-style-type: none"> For the upcoming release in January 2024, most of the testing work has ultimately been undertaken by FL Commerce. For future work in CX/UX, FL Commerce should ensure a comprehensive test plan is prepared early in the project, identifying clear roles and responsibilities for each testing-related task. There should be transparency for the full project team on the test plans, and detailed updates on testing work should be regularly shared during standups and other meetings where relevant. 	<ul style="list-style-type: none"> Unit testing and validation of functionality based on user stories appeared to be effective between the CX/UX vendor and the FL Commerce Business team. There was a clear delineation of responsibilities in this area between the vendor and FL Commerce, and regular updates were provided during daily standups.

Issue Name	Applicability	Date Identified	Previous Issue Rating	Current Issue Rating	Issue Description	Impacts	Considerations	Actions Taken by FL Commerce
<p>Current Go/No-Go SOP and checklists for RA Continuous Modernization projects lack adequate coverage of key areas essential for a solution release</p>	<p>Program</p>	<p>1/31/2023</p>	<p>Low</p>	<p>Low</p>	<ul style="list-style-type: none"> The updated Go/No-Go checklists lack key items in the following key areas: Regression Testing, Scope Validation, Data Validation, IT and Business Operations Readiness, Communications and Training. Although FL Commerce is continuing to work on making the required updates to the checklists, their finalization has been delayed. 	<ul style="list-style-type: none"> Lack of well documented and data-driven Go/No-Go decision criteria could either delay Go Live unnecessarily or facilitate a poor Go Live decision that introduces additional risk to the Program. As the finalization and distribution of these Go/No-Go checklists continues to be delayed, their ability to support Project Managers is limited. 	<ul style="list-style-type: none"> FL Commerce should finalize the checklists and ensure they are approved in a timely manner. Once approved, checklists should be distributed to Project Managers, who should then work with their teams to customize the checklists to their projects and get approvals on those. Program team could consider adding elements to the checklist to check completion of test cases and establish Hypercare period post go-live. 	<ul style="list-style-type: none"> The initial Go/No-Go checklists prepared by FL Commerce were updated to include more comprehensive coverage of testing criteria by adding individual checklists for Integration Testing, System Testing and UAT. FL Commerce continues to further refine the checklists.

Issue Name	Applicability	Date Identified	Previous Issue Rating	Current Issue Rating	Issue Description	Impacts	Considerations	Actions Taken by FL Commerce
<p>The process to manage CX/UX requirements is not clearly defined or consistently followed</p>	<p>CX/UX</p>	<p>9/19/2023</p>	<p>High</p>	<p>Closed</p>	<ul style="list-style-type: none"> The process to refine requirements prior to JAD sessions, to review and approve refined requirements via a product backlog that is used as a single source of truth, to apply refined requirements to designs, and track changes to requirements is not clearly defined or consistently followed by the CX/UX team. 	<ul style="list-style-type: none"> Requirements so far have still been high-level, and TTV has filled in gaps in their understanding with a number of assumed details, instead of seeking clarification from FL Commerce. If a documented process with clear roles and responsibilities assigned around requirements gathering is not established for future sprints, significant missed requirements in the design and build of the CX/UX solution will persist. The uncertainty will create more work for the entire team in later stages of the sprint, as high severity defects delay the completion of sprints. In the longer run, should an effective requirements management process not be implemented it is likely that an incomplete and ineffective solution will be deployed into production and negatively impact claimant experience. 	<ul style="list-style-type: none"> SPO should consider creating a process flow for mapping requirements to sprints and detailed user stories. SPO should assign roles and responsibility to required stakeholders. This process should incorporate feedback from TTV and SI and be approved by FL Commerce. The project team should build a template to outline the key sections for each detailed requirement, product backlog Item (PBI), or user story to set expectations for the level of detail. When requirements from the FL Commerce Business team are distributed, TTV should validate they have the necessary details to design and build the solution that meets Business and user needs. 	<ul style="list-style-type: none"> The 10/5 change in direction for the CX/UX project changed the software development process. As a result, this issue was no longer applicable and was therefore closed.

Issue Name	Applicability	Date Identified	Previous Issue Rating	Current Issue Rating	Issue Description	Impacts	Considerations	Actions Taken by FL Commerce
Continuous Delays in TTV Phase 1a work with no formal root cause analysis to understand reasons and mitigate issues in future	CX/UX	9/8/2023	High	Closed	<ul style="list-style-type: none"> While delays have been attributed to varied reasons (e.g., API work, defect fixes, staffing shortage), no formal analysis has been done to better understand the root causes of delays and identify the appropriate remedial actions to address those issues. Without understanding and addressing the causes of delays, the CX/UX project team continues to experience delays in delivery of functionality and associated benefits to claimants and FL Commerce in Phase 1a Sprint 1. 	<ul style="list-style-type: none"> Continuous delays have caused project milestone slippage. It also impacts work and resources on downstream dependent activities, both by internal and external vendor activities, such as test environment availability, Business team's time to support end-to-end (E2E) system testing and UAT testing, SI's integration testing resources, and FL Commerce executive approval of plain language and translation of approved plain language. Delivery delays prevent FL Commerce from meeting its objectives of delivering a better customer experience to its end users and could cause potential failure of the CX/UX project. 	<ul style="list-style-type: none"> CX/UX project team (TTV, FL Commerce and SPO) should work together to identify the nature of the delays, root causes, and an action plan to avoid delays in the future. Whenever there is a delay, TTV should provide the reasons, an updated timeline, and an action plan for meeting the timeline. TTV should immediately provide a re-baselined schedule that provide measures on mitigating the delays. CX/UX project manager should escalate repeated delays with no apparent valid reason to the vendor leadership. 	<ul style="list-style-type: none"> The 10/5 change in direction for the CX/UX project changed the vendor supporting the project. As a result, this issue was no longer applicable and was therefore closed.
Lack of traceability between CX/UX contractual requirements and CX/UX designs	CX/UX	5/3/2023	Medium	Closed	<ul style="list-style-type: none"> The CX/UX project team has deviated from the defined Requirements Management process. There is no traceability between TTV's Deliverable 9 Requirements Initial Report and FL Commerce's agreed-upon CX/UX project requirements. TTV has been working on design and development without FL Commerce's full approval of requirements. This is against basic SDLC best practices. 	<ul style="list-style-type: none"> Without this traceability, it is not possible to ascertain if the CX/UX designs will address all the CX/UX requirements. Deviation from the defined requirements management process has resulted in the inability to validate screen designs meet the requirements. There is no product backlog for logging all Sprint 1 user stories and documenting change requests or deferred defects. Without a product backlog, there has been confusion around whether something is a defect or a change request. Lack of a working requirement traceability mechanism inhibits leadership's ability to make a data-driven Go/No-Go decision. 	<ul style="list-style-type: none"> The CX/UX project team should align on the new process to manage CX/UX requirements and timely address any inefficiency such as confusion about a defect and a change request. FL Commerce could consider adjusting project timelines to incorporate establishing traceability from CX/UX contractual requirements to CX/UX designs. 	<ul style="list-style-type: none"> The 10/5 change in direction for the CX/UX project changed the vendor supporting the project and the software development process. As a result, this issue was no longer applicable and was therefore closed.

Issue Name	Applicability	Date Identified	Previous Issue Rating	Current Issue Rating	Issue Description	Impacts	Considerations	Actions Taken by FL Commerce
Deployment of CX/UX Phase 1a is delayed	Program, CX/UX	3/20/2023	High	Closed	<p>Phase 1a deployment is delayed because:</p> <ul style="list-style-type: none"> No approved Phase 1a integrated project plan that reflects workstream interdependencies. Gaps in deployment readiness planning from IT, Business Operations, communication, and training standpoints. No defined Agile software development methodology ensuring collaboration. Significant delays in TTV procurement, onboarding, and ongoing deliverable delays. 	<ul style="list-style-type: none"> The CX/UX project has failed to meet its first planned major go-live milestone, Phase 1a, on June 30, 2023, and continues to fall further behind. Since then, TTV vendor has proposed alternative release plans, but none has been finalized or approved through established governance processes. 	<ul style="list-style-type: none"> CX/UX project manager should closely monitor the feasibility of the critical path and adjust the Program scope, schedule, and resources to ensure a realistic timeline. FL Commerce should consider an Initial Operating Capability (IOC) or soft launch and plan an extended validation period before production deployment. This period can be utilized for additional testing, training, user guide development, operational or support readiness activities, citizen/community education, and outreach. 	<ul style="list-style-type: none"> The 10/5 change in direction for the CX/UX project changed the timeline for the project and eliminated Phase 1a. As a result, this issue was no longer applicable and was therefore closed.
Approach to manage dependency between CX/UX and Communications Plain Language development needs to be defined	CX/UX, Comms	3/20/2023	High	Closed	<ul style="list-style-type: none"> There is a lack of definition of the dependencies between the CX/UX and Communications (Comms) projects, in terms of how much of Comms-produced plain language will be incorporated into the CX/UX solution, when and how will this plain language be vetted and validated by FL Commerce, and when will the finalized plain language be translated into Spanish and Haitian Creole. 	<ul style="list-style-type: none"> Limited alignment and clarity between Comms and CX/UX activities could delay in Phase 1a deployment. Without including plain language, claimants will not be able to easily navigate and adopt the CX/UX solution. FL Commerce may be out of compliance with USDOL guidance on translation, USDOL's Unemployment Insurance Program Letter (UIPL) 2-16 and 2-16 Change 1. 	<ul style="list-style-type: none"> FL Commerce should define and implement a process to incorporate plain language into the CX/UX design process. Approach to translate CX/UX screens into Spanish and Haitian Creole should be defined and incorporated into the release schedule. FL Commerce should ensure that Spanish and Haitian Creole translations are appropriately tested once development is complete. 	<ul style="list-style-type: none"> The 10/5 change in direction for the CX/UX project eliminated the dependency between CX/UX and the Communications Plain Language project. As a result, this issue was no longer applicable and was therefore closed.

4.4 Suppliers Management

Issue Name	Applicability	Date Identified	Previous Issue Rating	Current Issue Rating	Issue Description	Impacts	Considerations	Actions Taken by FL Commerce
Delays in the submission and approval of TTV deliverables	CX/UX	4/18/2023	High	Closed	<ul style="list-style-type: none"> As delays in the submission and approval of TTV deliverables persist, the interim CX/UX project milestones have been impacted. 	<ul style="list-style-type: none"> Delays to initial project deliverables and milestones have resulted in cascading delays that continue to put off the deployment date. For e.g., lack of timely completion of Design and Requirements deliverables (due to several reasons – poor deliverable quality, lack of timely feedback from FL Commerce, etc.) has all impacted the Sprint 1 quality and timeliness. 	<ul style="list-style-type: none"> FL Commerce should work with TTV to establish a realistic timeline to minimize project delivery risk by accounting for sufficient development time, review time, and a proper deliverable sequence. FL Commerce should ensure that approvers provide timely feedback by condensing the list of approvers to only the absolutely needed ones, ensure clear prioritization, and following up with the vendors timely on any feedback. 	<ul style="list-style-type: none"> The 10/5 change in direction for the CX/UX project changed vendors supporting the project. As a result, this issue was no longer applicable and was therefore closed.

4.5 Financials

There are currently no active issues in this dimension.

4.6 People

There are currently no active issues in this dimension.

4.7 Technology and Architecture

There are currently no active issues in this dimension.