



SAMPLE IV&V REPORT

Implementation Project

QA Report: Risk Analysis & Mitigation Recommendations

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Version: V.1

Last Revision Date:

Create Date:

Document Status: SAMPLE

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Document History

Table (i) Document Revision Record

Version	Status	Date	Author	Notes
1.0	SAMPLE		Katya Theis	

Acronyms

BPR.....	Business Process Re-engineering
BP.....	Business Procedures
CIS.....	Customer Information System
CS.....	Customer Service
CSR.....	Customer Service Representative
DBA.....	Database Administrator HP/ALM
ISS.....	Information Systems & Services
PM.....	Project Manager
QA.....	Quality Assurance
SME.....	Subject Matter Expert
SOP.....	Standard Operating Procedure
SOW.....	Statement of Work

Chapter 1 Executive Summary

The objective of this report is to document the Quality Assurance Project Review utilizing a probability/impact matrix methodology. This methodology identifies project risks that are commonly understood across executive stakeholders and project management.

The VENDOR project is one month into its lifecycle. Timelines have been determined and project team members are being assigned tasks.

During the week of SAMPLE DATES, interviews were conducted with fifteen project team members. These interviews were a means of collecting information on the current status of the project, any perceived obstacles or risks that might delay or stall the project, possible causes for those obstacles and effects expected as a result of those risks if not addressed. Additionally, the participants were asked what their suggested next steps would be in order to avoid any negative effects by mitigating this issue and how they would implement them.

This report was compiled following five days of onsite interviews from SAMPLE DATES. The interviewees for this report were:

Name	Role
	Utilities Section Manager, Call Center
	Utilities Section Manager, Customer Service and Meters
	Program Coordinator, CIS – Customer Service
	Utilities Section Manager, Revenue
	Program Coordinator, CIS – Customer Service
	Utilities Service Coordinator, Customer Service
	Program Manager, Customer Service
	Project Consultant
	Program Coordinator, CIS – Customer Service
	IT Project Leader, Administration and Fiscal Services
	Utilities Services Coordinator, Customer Service
	Program Coordinator, CIS – Customer Service
	Program Coordinator, CIS
	Business Unit Information Systems Administrator
	Project Manager – Consultant, Millennium Consulting

The intended audience is ORGANIZATION Project Sponsor, with a courtesy copy to DEPARTMENT HEAD, and further distribution as deemed necessary. The objective of the QA evaluation is to assess project progress to date and report any risks or issues that could have a negative impact on the project.

This is the second round of interviews conducted. During my interviews this week, the participants stated they were pleased with the changes in communication that were implemented in the weeks since my last visit. However, when questioned about concerns, possible issues, or obstacles ahead, the overall answer for 95% of the participants was “nothing to report at this time.” It is unusual to have zero negative comments or issues raised. This pattern of behavior was brought to the attention to SAMPLE NAMES. It is unknown why the participants were reluctant to share any concerns about the project at this time.

Risks documented in this report are considered within the context of any applicable contract and/or SOW and other available project documents. Due to this being the baseline report, and the project timeline and role assignments not being in place yet, the risks discussed by the staff are speculative and based on prior experience with other projects. These are expected risks as defined by the project staff. A summary of risks identified in this report follows.

Risk Summary:

One new risk was added this month. All identified risks are listed below.

- Risk #001 Change Management
- Risk #002 Clarity of timeline, deadlines and duties
- Risk #003 Communication problems
- Risk #004 Training
- Risk #005 Staffing/Vacations
- Risk #006 Competing Projects
- Risk #007 Documentation
- Risk #008 Changes to CURRENT SYSTEM
- Risk #009 Reluctance to Report Issues

Table (ii) Summary of Risk Assessment

Ref	Risk	Prob.	Impact	Threat			Action
				High	Medium	Low	
001	Change Management	2-Likely	2-Minor			Date reported	Reduce risk/probability
002	Clarity of timeline, deadlines and duties	5- Certain	3- Significant		Date reported		Reduce risk/probability
003	Communication	5- Certain	4- Major		Date reported		Reduce risk/probability
004	Training	3-Possible	3- Significant		Date reported		Reduce risk/probability
005	Staffing / Vacations	4-Likely	4-Major		Date reported		Reduce risk/probability
006	Competing Projects	5-Certain	4-Major	Date reported			Reduce risk/probability
007	Documentation	3-Possible	2-Minor		Date reported		Transfer
008	Changes to CURRENT SYSTEM	3-Possible	3- Significant		Date reported		Monitor and Reduce risk/probability
009	Reluctance to Report Issues	5-Certain	4-Major	Date reported			Reduce risk/probability

Chapter 2 Quality Assurance Report Detail

2.1. Risks

Risk 001 (Date Reported): Change Management

Description

There is expected resistance to change as this project moves forward coming from not only end users, but also from customers. The changes to process/policy in taking, handling, and processing payments will affect the call center directly. End users are currently expressing trepidation in moving forward with the changes as they are unsure how it will affect them directly.

Assessment Date Reported

Probability of occurrence: 3-Possible

Impact: 1-Insignificant

Threat to project success: Low

Action: Monitor and be preemptive

Treatment Plan

Some steps have already been taken. Weekly/monthly team meetings include updates on the status of the project with high level highlights of features that would be of interest to them. It is recommended that open and clear communication continues to flow to the end users. Keeping them involved and soliciting their input could prove valuable in customizing the future testing scripts.

Update (Date Reported)

After conducting the interviews this week, it was brought up to my attention by the majority of those interviewed that even though they believe there will be some “push back” from staff and customers, that the risk in itself is minimal in the expected effect on the project. For now, this risk is being downgraded to Low, though it may change again as the project continues.

2.2. Risks

Risk 002 (Date Reported): Clarity of timelines, deadlines, and duties

Description

At the time the interviews were conducted, no timeline, deadlines or duties had been assigned. Most core team members were in a holding pattern as they waited for this vital piece of information. The absence of this key information places everyone involved on hold and causes delays.

Upon further investigating, it was found that the delay in releasing the information stems from the requirement to have Outbound calling features available before the rest of the VENDOR offerings. Unfortunately, VENDOR will not be able to complete the Outbound feature until later even if ORGANIZATION opts to use their existing program instead of the upgraded one.

Assessment Date Reported

Probability of occurrence: 4-Likely

Impact: 3-Significant

Threat to project success: Medium

Action: Continue to monitor and update.

Treatment Plan

The timeline was due to be released to all team members on SAMPLE DATE by end of day. As of the time this report was created the timeline still has not been released. It is recommended that all information be shared with the team members equally and in a timely manner. A meeting to discuss the timeline, deadlines and assignments should be conducted within 5 business days of the release of this information.

Update (Date Reported)

In the weeks from the last report, the timeline, along with multiple other documents have been dispersed to the project team members, as well as multiple meetings have been held to inform everyone as to the goals, assignments, and expectations. Participants stated they were pleased with the additional information being provided but are still waiting on more specific assignments and goals for now. Lowering its status to Medium for now until further details and clarification is possible.

2.3. Risks

Risk 003 (Date Reported): Communication

Description

Communication was mentioned often in the interview process. There seems to be a breakdown on what is communicated, how much is communicated and to who it is communicated. It appears the information is encountering a choke point at which it is sifted, controlled, and only partially relayed on to some of the people involved. At times, people are being brought into the conversation two or three sessions late because they were initially excluded from the main conversation. This leads to misinterpretations of information as it is relayed second, sometimes even third hand.

This risk is at this point becoming an issue. The dissemination of project information is currently inefficient and not standardized across the board. If it is not rectified it will lead to confusion between teams and project members, cause misunderstandings leading to conflict and ultimately major delays in the project timeline. These delays will cost the organization not only additional time, but also increase the overall costs.

Assessment Date Reported

Probability of occurrence: 4-Likely

Impact: 3-Significant

Threat to project success: Medium

Action: Reduce risk/probability

Treatment Plan

Dissemination of project information needs to follow set parameters that ensure it is offering full transparency to all people involved in the project. It is recommended that information is communicated to the key project members directly in the same manner and at the same time. All involved should have knowledge of every aspect of the project as this product will touch multiple facets of the business ranging from small indirect connections to major process changing ones.

It is recommended that more, rather than less, information is relayed to all parties involved, as feedback and recommendations that could be beneficial to the project can be obtained from multiple sources. A set group or groups for emailing purposes should be in place to ensure everyone in that predetermined group is included in all said communications.

Update (Date Reported)

It was conveyed that during the weeks since the last report much has been done to improve communication in the way of transparency and inclusion. Information is now being shared promptly with all team members and additional “huddle” meetings have been conducted during the weeks to keep everyone abreast to the latest status of the project. The interviewees were very positive and hopeful in their response to these measures and now see this risk as lowered to a minor risk in their eyes. This risk is being downgraded to Medium at this time.

2.4. Risks

Risk 004 (Date Reported): Training

Description

It is a current concern that the end users, Call Center in particular, are worried that they will not be able to assist the customers at the point of go-live for the VENDOR project. The trepidation expressed by several individuals echoed the same message; a well-developed training plan must be put into place well before go-live or CSR will have extreme difficulties on handling customer calls. For example, they might struggle troubleshooting simple tasks like walking a customer through resetting their password on the new IWR.

The impact on the project in the go-live phase would be significant as it would contribute to multiple errors committed by staff, call delays, frustrated customers, and end users. Overall, it would likely the project to be viewed as a failure.

Assessment Date Reported

Probability of occurrence: 3-Possible

Impact: 3-Significant

Threat to project success: Medium

Action: Reduce risk/probability

Treatment Plan

A well-developed training plan needs to be in place with enough time prior to go-live to be able to train all impacted staff members. Mini sessions, practice labs, and/or simulations are encouraged. It is recommended the training is offered in multiple formats as to make it easier for staff to be able to have access to the information and be able to practice the skills learned.

Update (Date Reported)

In the interviews where training plans were discussed, it was stated that VENDOR would be providing written documentation to assist in the training. The onsite training coordinator communicated that she has conducted IVR/IWR training at ORGANIZATION previously and would be following a similar format, though she would gear the training towards showing “what’s new and different” approach. There is no formal training plan or documentation yet but was assured there would be as we get closer to the end of the project. Maintaining this at Medium until a formalized plan is in place.

2.5. Risks

Risk 005 (Date Reported): Staffing/Vacations

Description

A critical part of the project, UAT testing is currently slated to take place during the end of this year. This coincides with the holiday season. The project will lose several days of productivity due to Federal holidays. Additionally, it is high season for employees requesting time off. As resources are limited, having several team members out simultaneously can cause costly delays.

Additionally, keep in mind that there are a few positions that are currently either vacant or recently were filled. These new staff members will require additional information to obtain the knowledge required to perform their jobs effectively. While they learn their new duties, it is likely that there will be delays in their respective areas.

Assessment Date Reported

Probability of occurrence: 3-Possible

Impact: 3-Significant

Threat to project success: Medium

Action: Reduce risk/probability

Treatment Plan

To mitigate this risk from becoming an issue, it is recommended that either a complete or limited blackout on time off for the duration of the project be in effect. Managing the resources available for the project is key to it staying on schedule and budget. Alternatively, ORGANIZATION may choose to bring on additional staff to offset the shortage.

Additionally, build in a support system for the new employees to be able to tap in times where they need help to complete the tasks they are learning to complete. Keep in mind that the amount of work assigned to these new employees should be scaled in accordance with their skill level and slowly raised as their knowledge increases.

Update (Date Reported)

Upon discussing the issues involved with staffing through the holidays when working on a major project with a couple of key project members, it was stated that UAT will take place in the new year, not during the holidays. Additionally, I was informed that staffing will be at no less than 50% at any given time. Though this seems encouraging, working through a major project with only half the staff available puts a strain on those resources. Continued monitoring and preemptive planning is required. Downgraded this risk to Medium at this time.

2.6. Risks

Risk 006 (Date Reported): Competing Projects

Description

Currently there are several projects that require resources devoted to them. Although VENDOR has been selected to be top priority, there are times when priority shifts to other projects, causing resources to be pulled away. There is a lack of enforcement on hierarchy of importance for this project. Competing for resources will cause delays and therefore higher costs. This risk is becoming an issue and must be dealt with immediately. The management of resources for all ongoing projects should be centralized to avoid conflicting decisions causing confusion as to which project garners the biggest need for resources at a given time.

Assessment Date Reported

Probability of occurrence: 5-Certain

Impact: 4-Major

Threat to project success: High

Action: Reduce risk/probability

Treatment Plan

ORGANIZATION's technological infrastructure is ever evolving and improving. To maintain all services working efficiently upgrades, changes, and updates must continually occur for all software programs in use. This leads to a demanding project management schedule for ORGANIZATION. Given that there are limited resources it is imperative that these projects be managed centrally. It is recommended that all decisions on prioritizing their importance, timeline, and management of resources be assigned to a specific person or group. The VENDOR project is currently the top priority and must be treated as such. Any decision that would require resources be redirected away from the VENDOR project must be taken by this person/group and enforced as such. It is key that this project stay as the primary focus for its duration.

Update (Date Reported)

Many of the participants mentioned that competing projects will always exist that will be pulling them away from VENDOR in order to complete another contract. A few of the competing projects have now been completed but there are more coming. This risk is maintaining its High-risk factor at this moment.

2.7. Risks

Risk 007 (Date Reported): Documentation

Description

At present there is little to no documentation on VENDOR. The documentation available is highly technical and therefore difficult for laymen to follow. The lack of documentation can cause issues when it is time to conduct training as there is nothing to use as foundation for creating training documents.

Assessment Date Reported

Probability of occurrence: 3-Possible

Impact: 2-Minor

Threat to project success: Medium

Action: Transfer the risk to a third party, either inhouse or outside.

Treatment Plan

It is recommended that the research and development of documentation for the VENDOR product be transferred/delegated to a secondary group. Detailed documentation will be essential to the training effort for this project. Though not a major risk, it is necessary to the success of this project.

Update (Date Reported)

VENDOR will be providing documentation to assist with the training efforts. However, no changes have yet occurred on this risk, so it will remain at Medium until progress is made on this front.

2.8. Risks

Risk 008 (Date Reported): Changes to CURRENT SYSTEM

Description

In the interviews it was mentioned that on several occasions, changes have been made to CURRENT SYSTEM without notification or prior knowledge of all parties affected by the change. Any change to CURRENT SYSTEM code or programming can affect one or many of the interfaces that are linked to the CURRENT SYSTEM. Changes such as these, especially during an implementation project, can cause problems to arise that will negatively impact the success of the project by delaying the timeline and increasing costs.

Assessment Date Reported

Probability of occurrence: 3-Possible

Impact: 2-Minor

Threat to project success: Medium

Action: Monitor and Reduce risk/probability

Treatment Plan

It is imperative that any changes made to CURRENT SYSTEM be discussed and approved prior to being rolled out, as it will directly have an impact on the success of this project. It is recommended that these changes be monitored closely, and a system put in place to ensure that the key personnel dealing with the programming, installation, implementation piece of VENDOR be communicated about the changes prior to them being rolled out.

Update (Date Reported)

The participants expressed that changes in CURRENT SYSTEM should have minor impact on the VENDOR project at present. Though it is possible that unannounced/unscheduled changes to CURRENT SYSTEM could potentially affect the project, it is likely to be of minor impact. The overall risk level remains at Medium, but the impact has been downgraded to Minor.

2.9. Risks

Risk 009 (Date Reported): Reluctance to Report Issues

Description

The interviews conducted this week were devoid of reported issues from the participants. When prompted for additional information regarding the issues previously reported, the participants were reluctant to discuss them in detail and generally responded to all questions in vague and dismissive ways. When questioned about possible new issues, the participants answered almost identically with “nothing to report at this time.” It is unclear why the participants were unwilling to share their thoughts this week.

Assessment Date Reported

Probability of occurrence: 5-Certain

Impact: 4-Major

Threat to project success: High

Action: Monitor and Reduce risk/probability

Treatment Plan

It is recommended that the participants be encouraged to share their input on current and future issues in the coming interviews. Additionally, inquiries should be made to ascertain the reason for their reluctance.

Appendix A Risk Assessment

Management by risk mitigation is a solid and proven method of protecting the success criteria of the project. The objective is to identify potential threats to the success of the project and remove them before they cause damage.

Risk will be identified, assessed and treatment plans drawn up and managed as a continuous process during the entire duration of the project. During the implementation phase, this process will be the responsibility of ORGANIZATION and the vendor's Project Managers. The following sections describe the risk assessment process.

A.1. Definitions

Risk: any *perceived* event, entity, situation, etc. that may jeopardize the defined success of the proposed project.

Success: adherence to the anticipated scope, budget, quality and schedule of the proposed project and achievement of the stated Organizational Goals and Objectives.

Issue: a risk that has been realized.

A.2. Identification

This risk analysis is based on the results of extensive interviews with OC staff associated with the project, core team members, the review of reports, and project documentation.

Some risks are inherent, in other words, they are a fact of the environment within which the project operates and beyond the direct control or influence of the Steering Committee or Project Management. Examples of this would be hurricanes, political elections, and unplanned catastrophes. Risks of this nature are not documented herein, although they may become a reality on any project, as we have experienced in the past.

A.3. Probability determination

The probability of the risk being realized (becoming an *Issue*) has been assessed as follows. Probability is assessed on a scale of 1 to 5:

1 – Remote; 2 – Unlikely; 3 – Possible; 4 – Likely; 5 – Certain.

If the risk is already an *Issue*, this probability is automatically set to 5.

A.4. Impact Analysis

The estimated impact of each risk has been assessed on the successful completion of the project as follows.

1 – Insignificant; 2 – Minor; 3 – Significant; 4 – Major; 5 – Catastrophic.

A.5. Threat determination

An index for the risk is determined by the product of the *Probability* and *Impact* and classified as a High, Medium or Low (H, M, L) threat to the project success, according to the table below.

Table (iii) Determination of Threat

		Impact on Project Success				
		1 Insignificant	2 Minor	3 Significant	4 Major	5 Catastrophic
Probability of Occurrence	5 Certain	M	M	H	H	H
	4 Likely	L	M	M	H	H
	3 Possible	L	M	M	M	H
	2 Unlikely	L	L	M	M	M
	1 Remote	L	L	L	L	M

A.6. Treatment

Having determined the threat, Treatment Plans for all High-level threats are recommended. Medium level threats may receive a recommendation of a treatment plan and/or monitoring. Whereas monitoring is recommended for all Low-level threats. The treatment of a threat is categorized into 4 actions although combination approaches to complex risks may be recommended:

- *Accept* the threat and therefore plan for the consequences – this may entail an adjustment to ORGANIZATION's expectations if the impact is high.
- *Transfer* the risk to a third party better equipped to manage the risk or willing to accept its impact – this may imply additional cost or delays in schedule;
- *Avoid* the threat – this may be achieved simply by removing scope or cancelling an activity, but this may also mean an adjustment of your expectations;
- *Reduce* the impact of the risk or its probability of occurrence and therefore its threat to the project's success; this is always the preferable approach although may not be always possible.