# CAL-ACCESS Replacement System Project

## California Secretary of State

## Issue Management Plan

**Draft v0.4D**

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**REVISION SUMMARY**

| Version # | Change Date | Author | Comment |
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| 0.2 | 04/12/2017 | | Updated draft |
| 0.3 | 06/06/2017 | | Comments from SOS PMO incorporated. |
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# Document Approval

**Project Name:** CAL-ACCESS Replacement System Project

**Document Name:** CARS Issue Management Plan

**Version Number:** 0.4D

**Signatures:**

(CARS Project Director) Date

**Table of Contents**

# 1 Introduction

In 1974, California voters approved Proposition 9, the Political Reform Act of 1974 (PRA). The PRA requires, among other things, the disclosure of campaign contributions and expenditures, and state lobbying activity, so that receipts and expenditures in PRA campaigns are fully disclosed so voters may be fully informed, improper practices may be inhibited and activities of lobbyists are regulated and their finances disclosed in order that improper influences will not be directed at public officials.

In 1997, the PRA was amended to include the Online Disclosure Act, a measure that paved the way for electronic and online submission of campaign and lobbying disclosure information over the Internet. This Act had the following two primary objectives:

- Providing greater public access to vitally important information
- The gradual elimination of paper filings of campaign finance and lobbying activity statements and reports.

The Online Disclosure Act led the Secretary of State (SOS) to develop and deploy a public website called the California Automated Lobby Activity and Campaign Contribution and Expenditure Search System (CAL-ACCESS), which is the public's window into California's campaign disclosure and lobbying financial activity.

To assure the highest standards of data integrity and timeliness, the Political Reform Division (PRD) was established within the SOS to administer state filing requirements set forth in the PRA. To interpret and enforce the requirements of the PRA, the Fair Political Practices Commission (FPPC) was established. The FPPC has primary responsibility for the impartial administration, implementation and enforcement of the PRA. The Franchise Tax Board (FTB) is responsible for carrying out mandatory and random audits of filers and the disclosure data filed with the SOS. All three agencies rely heavily on CAL-ACCESS, and work cooperatively and collaboratively to fulfill mandated duties.

CAL-ACCESS, which is mission critical for the SOS administration of the program, is an amalgamation of component applications that were developed at different times using multiple, now obsolete, coding languages, platforms, and technologies. CAL-ACCESS users and stakeholder groups have identified the following business problems:

- Program business operations are negatively affected by the current system design.
- Program business operations are at risk due to an old, unsupported information technology platform.
- PRD and stakeholders have limited information access and reporting capabilities.

The SOS has undertaken the CAL-ACCESS Replacement System (CARS) Project to implement a new system to replace CAL-ACCESS. In September of 2016, the Governor approved Senate Bill (SB) 1349. The bill directs the SOS to develop an online, data-driven filing and disclosure system for use no later than February 1, 2019. The legislation also directs the SOS to consult with stakeholders and hold a public hearing to receive input about developing the online filing and disclosure system.

## 1.1 Issue Management Plan Purpose

At any time during a project, issues may arise. These issues need to be appropriately addressed for successful project execution. Issues are imminent or existing challenges to project scope, schedule, or budget. This document identifies the procedures used to manage issues throughout the CARS project life cycle. This plan documents the approach regarding issue identification, intake and analysis, definition, implementation of resolution or mitigation strategies, the escalation process, and, how issue-related information is communicated and documented.

The CARS project employs a systematic approach to issue identification, management, escalation and closure. The purpose of this process is to ensure the following for the CARS project:

- Issues are well-defined and properly scoped.
- The correct participants are involved in issue analysis and the resolution process.
- Root causes are analyzed and documented, and recommendations about how to mitigate or resolve project challenges are based on sound judgment.
- Specific persons are named to complete action items.
- Actions are tracked through resolution/completion.
- Escalation to a higher level of management is available and is pursued when resolution cannot be achieved at the project level.
- Issues, associated actions and status are formally documented and regularly reviewed.
- Communication among project stakeholders is appropriate and timely in order to facilitate an understanding of issue impact, develop quality responses, and minimize the disruption associated with rumor and misinformation.
- Historical information regarding all issues is retained and available for review in the event a similar issue arises in the future. This information is used to leverage previous resolutions where appropriate.

## 1.2 Issue Management Plan Scope

This plan specifies the procedures used to identify, analyze, log and monitor issues, and to manage action items and escalation throughout the project life cycle. It documents the approach to issue identification and analysis, the approach to escalation and how resolution is communicated and documented.

## 1.3 References

**Issue Log**

The current list and status of each issue is kept in the CARS Issues folder located in the CARS

Project Library. At the time of publication of this Issue Management Plan, these folders are at the following location:

***REDACTED***

**Table 1: Issue Management Plan Terms and Acronyms**

| TERM/ACRONYM | DEFINITION |
|---|---|
| Issue | An issue is a statement of concern or need that requires immediate resolution to avoid impact to the project's scope, resources, schedule or quality. |
| Issue Management | A formal and systematic process for clarifying and evaluating the impact of issues affecting the project's scope, schedule, resources, or quality, and for determining course(s) of action to resolve those issues. Issue management process involves identification, analysis, documentation, assignment of resources, escalation, tracking and reporting of issues. |
| Follow-up Item | A task assigned to an individual CARS Project Team or team member and which has a defined deadline for completion. A Follow-up item may be a step in issue analysis or resolution or may be a stand-alone item (e.g., an assignment as a follow-up to a meeting discussion). |
| Escalation | The process of elevating an issue or other matter to a higher level of authority for further evaluation and determination of if and how the challenges represented by the issue should be resolved. |

## 1.4 Issue Management Plan Document Maintenance

Issue Management is a dynamic process that occurs throughout a project's life cycle. Accordingly, at a minimum the SOS CARS Issue Manager (Issue Manager) reviews the Issue Management process at the end of each project phase and updates this plan as needed. This document contains a revision history log. When changes occur, the version number is updated to the next increment and the date, the person making the change is identified, and the change description is recorded in the revision history log of the document.

# 2 Roles and Responsibilities

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

## 2.1 CARS Project Manager

The CARS Project Manager (CARS PM) supports the CARS Project in the management of project issues within the context of the project, and ensures that project issues are identified, related analyses and action items are implemented as scheduled, and issues are escalated, if necessary, in accordance with this plan.

## 2.2 Issue Manager

The Issue Manager is responsible for maintaining and leading the execution of the Issue Management Process for the project. The Issue Manager's responsibilities include activities such as the following:

- Working with the CARS PM, CARS Core Team (Core Team), CARS System Integrator vendor (SI) Team, PRD Management and other CARS contractor teams, to effectively analyze and resolve any issue that could impact the project
- Performing Issue Management process activities, including intake of issues and ensuring issues are appropriately documented in the Issue Log
- Monitoring project issue status, and assigning analysis and evaluation tasks action items
- Ensuring related action items corresponding to issue management are assigned and monitoring their timely completion
- Reporting status of open issues to the CARS PM for periodic project status reports
- In coordination with the Issue Submitter and other impacted parties, conducting initial analysis to understand background, impact and assumptions to confirm that all required information is included and that the submitted concern represents a true project issue prior to entering the issue into the New Issue Table of the Issue Log

The Issue Manager works with the Core Team, SI Team, other CARS contractor teams, Information technology Division (ITD) and PRD Chiefs to enable appropriate supplemental resources to work on issue analysis or response activities. The Issue Manager also manages the interfaces between other project processes, such as Risk Management and Change Control, and the Issue Management process.

## 2.3 CARS SOS Project Team

Under the facilitation and coordination of the Issue Manager, the CARS SOS Project Team accepts and triages issues raised by any stakeholder. The team is responsible for working with the Issue Manager to:

- Review each potential issue and assign issues for analysis (to fully understand scope, potential impact, and response options)
- Monitor issue resolution responses
- Assign and track issue-related tasks

The team is also responsible for recommending escalation of issues via the Issue Manager to the CARS PM. The Issue Manager or Project Team may identify when an issue must be assigned to other parties external to SOS for additional analysis, evaluation and possible recommendations. The CARS SOS Project Team comprises the Issue Manager, the PRD Leads, and the ITD Leads. The team may be supplemented as appropriate with SOS and/or other project staff or contractors.

## 2.4 CARS Project Team

Any project team member or stakeholder may identify an issue through the Potential Risk and Issue Intake Form and the process established in this plan. The PRD and ITD Leads are responsible for representing the interests of their respective divisions and ensuring issue interventions are consistent with divisional goals and objectives and the overall interest of the project. CARS Project Team includes the CARS SOS Project Team, CARS contractors and CARS Project Independent Verification & Validation (IV&V) consultants.

## 2.5 Issue Owner

An Issue Owner is a member of the CARS Project Team who has been assigned ownership of an Issue. The Issue Owner identifies Issue responses, executes issue response actions identified, monitors the issues and reports status updates to the Issue Manager. Responsibilities of the Issue Owner are:

- Fully understand and document the issue. The document ensures that all pertinent information, such as impact, stakeholders, project risk, etc. is sufficiently detailed and available to the PM Team.
- Execute and manage the execution of issue responses
- Report to the Issue Manager any delays or problems that might influence forward progress of the issue solution.
- Communicate status of issue response actions during Issue and Project Team meetings, as appropriate
- Report on any developments impacting the priority of the issue
- Participate in issue escalation as necessary

## 2.6 CARS Project Sponsor

The Project Sponsor is responsible for providing the project with Agency operational and policy priorities, receiving escalated issues from the CARS Project Director (PD), and determining the response to escalated issues.

## 2.7 Executive Steering Committee

The CARS Executive Steering Committee (ESC) is responsible for reviewing and responding to escalated project issues at the Project Sponsor’s request. The ESC may also be requested to provide supplemental resources to the project in order to determine the appropriate resolution for an issue or to implement a response to an issue.

## 2.8 CARS Contractor Project Managers and Leads

CARS contractors are responsible for identifying potential project issues and participating in the CARS Issue Management process. The contractor staff may be invited to attend the Issue meetings and are accountable for reporting on mitigation and resolution activities assigned to them.

## 2.9 Independent Project Oversight Consultant

The CARS Project Independent Project Oversight Consultant (IPOC) is invited to attend the recurring Issue Management meetings and provide independent observations about the CARS Issue Management process. The IPOC shares his/her recommendations with the CARS PD, CARS PM or the Issue Manager and may include them in the IPOC oversight reports.

## 2.10 Independent Verification & Validation Consultant

The IV&V Consultant is responsible for helping to identify, analyze and assess the impact of issues on the systems development and implementation efforts based on the Institute of Electrical and Electronics Engineers (IEEE) software engineering standards for software project management. The IV&V Consultant's findings and recommendations are provided to the CARS PD and CARS PM. The IV&V Consultant may attend Issue meetings and any other issue-related meetings at the request of the CARS PD.

## 2.11 Other Stakeholders

Other stakeholders (e.g., Legislature, control agencies, filer advocates, researchers, users of PRD data) may raise concerns that the project wants to address within the Issue Management process. Generally, these concerns are raised in public forums, via information requests, or through communications outside of the project and comes into the Issue Management process through Senior Management or via a member of the project team.

# 3 Issue Identification and Management Process

This section describes processes used to identify, understand, analyze, respond to, document and monitor issues during the CARS project lifecycle. This section also describes the nature of coordination between the SOS and the SI contractor. The issue management process consists of the following basic steps:

1. Identifying and Reporting Issues – Intake Process
2. Analysis
3. Impact (Prioritization)
4. Action Item Assignment
5. Escalation (if needed)
6. Tracking and Reporting
7. Resolution and Closure
8. Project Decisions

To the greatest practical extent, the project team uses a discussion-consensus model for prioritizing issues, selecting resolution strategies, and recommending escalation. In the absence of consensus, the Issue Manager determines issue priority and resolution strategies in consultation with the CARS PD or CARS PM as appropriate. If resolution cannot be achieved at the project level, or if the SI contractor requests escalation, an escalation process defined later in this plan is followed.

## 3.1 Issue Identification – Intake Process

Issue identification occurs throughout the CARS project life cycle. Potential Issues may be identified by any stakeholder. Sources from which project issues are identified include and are not limited to, the following:

- Project Team meetings and reports
- Workgroup meetings
- Management meetings and correspondence
- Contractor/subcontractor/vendor meetings and correspondence
- Informal "hallway" discussions
- SI Internal meetings
- Issue Management meetings and reports
- IPOC activities and reports
- IV&V activities and reports
- Risk Management Team meetings

After discovering a potential issue, a project team member submits, if possible, a copy of the Issue Intake Form (Refer to Appendix A) to the Issue Manager via email, or sends an email with just the concern.

## 3.2 Analysis

As potential issues are identified during the life of the project, they are analyzed and, based on the output of that analysis, they may be entered as a New Potential Issue in the Issue Log. The Issue Manager reviews all new issue submissions and compares the descriptions with items already in the Issue Log. If the submission represents a new concern, the Issue Manager works with the Core Team, as appropriate, to (1) determine that the item is an issue and not a risk or change request and (2) ensure that the desired resolution or concern is clearly worded.

Once the issue has been logged in the New Issue tab of the Issue Log and preliminary analysis is complete, the next step is to determine a preliminary issue Priority and add the issue to the agenda of the next Issue Management meeting, usually scheduled monthly, or if the Priority requires, an ad-hoc meeting to review may be scheduled.

## 3.3 Impact – Determining Issue Priority

At the Issue Management meeting, participants review the issue and its priority and determine ownership, preliminary action assignments and the next review date. The urgency for issue resolution and the requirements for resolution are factors in setting the issue’s priority. Issues are prioritized as follows:

**Low —** The impact on the project scope, schedule, quality, and/or resources meets the following criteria:

- Only minor adjustments of schedule and/or minimal redirection of staff are required to resolve the issue.
- The issue is not time-sensitive; the timing of the resolution is not critical; and/or resolving the issue does not impact critical-path milestones or significantly disrupt in-progress or planned work.
- Resolution is within the authority of the CARS Project Manager or CARS PD.

**Medium—** The impact on the project scope, schedule, quality, and/or resources meets the following criteria:

- The issue's scope and resolution strategies impacts schedule, task allocations, and/or resource allocations and may affect milestone completion dates.
- Scheduled work cannot proceed or may not be completed without resolving the issue.
- Resolution is within the authority of the CARS PD although the Project Sponsor should be notified of the rationale behind the resolution.

**High—** The impact on the project scope, schedule, quality, and/or resources meets the following criteria:

- Issue directly and significantly alters the project scope, requirements, design, schedule or resources.
- The schedule's critical path is significantly affected.
- Resolution must be put in place immediately or in the very near future to keep the project on track.
- Resolution requires significant redirection of resources or the addition of external resources.
- The Project Sponsor or the ESC must be notified of the issue and may need to approve the resolution approach prior to implementation.
- The Issue Manager moves the accepted new issue to the Issue Log and records the priority determination, ownership and next review date in the Issue Log. Additional notes may be kept as to the factors that were deciding points in determining the priority level.

## 3.4 Issue Response Action Analysis

The CARS project team may develop options and preliminary recommendations for resolving the issue during the Issue Management meeting, or the effort to come up with resolution options and recommendations may be assigned to the owner to work on outside of the Issue Management meeting with the team or sub-set thereof. The following are general steps in selecting and implementing an issue resolution effort:

- Determine the issue resolution approach – The team selects an approach based on analysis. The team may request time to assess the impact of the recommendation on the project schedule before committing project resources to resolving the issue as recommended.

- Approve issue resolution approach - The team approves issue resolution recommendations and/or action plans or may determine additional information is needed prior to making a decision. In this instance, new action items and due dates are assigned. If the recommendations are accepted, a reporting structure for issue updates is established and responsibility for resolving the issue is assigned to that project, group, unit or division of the organization that is able to most effectively resolve it.
- Assign an Issue Owner and issue resolution implementation to the named individual. Issue ownership (accountability) is critical to ensuring resolution is complete and timely.

Follow-up Item assignments must be given a next review date by the team based on the priority assigned and the project schedule. Once the CARS Project Team approves the resolution approach, the Issue Manager updates the Issue Log to reflect the approved approach and projected task completion date. The Issue Manager and Issue Owner works with the CARS PM Team to make any necessary adjustments to the project schedule and workload assignments to reflect the staff resources assigned and to accommodate the addition of issue-related tasks. If the assigned Issue Owner was not present in the Issue Management meeting when the resolution was decided, the Issue Manager notifies the individual(s) of the resolution task and deadlines. Issue Status and action items are tracked in the Issue Log and reported upon during the Issue Management meetings, as appropriate.

## 3.5 Issue Escalation

The overall goal of issue management is to encourage open communication about emergent barriers to project success and provide a systematic process for prioritizing, analyzing, monitoring, and resolving such concerns. The CARS PM, CARS PD, Project Sponsor, SI and contractors always strive to make decisions and address issues at the lowest possible level. In addition, appropriate SOS Division Chiefs who may take a decision and respond to an issue are also requested to evaluate issues being considered for escalation. From time to time, issues may require higher management involvement to assess impact, choose among alternative responses, or successfully implement resolution strategies.

The escalation process has been established to ensure issues are elevated as soon as the Issue Manager determines that the CARS project team is unable to resolve the issue or needs a higher management decision or when decision-making regarding response options is at an impasse. The escalation process is invoked soon enough to mitigate an undesirable impact on the project and to ensure the appropriate stakeholders are informed and involved in critical decision-making. Escalation is triggered by the need for the following:

- Clarification or direction regarding Agency policy
- Legal interpretations of code, regulation or other applicable state requirements
- Conflicting Federal, State, and/or Agency policy
- Issues requiring the need to invoke Change Control process because of the following:
    - Significant changes to scope, schedule or budget

   - Changes that impact control Agency authorization or delegation
   - Modifications to the project that require formal changes to a contract, especially the contract with the SI contractor

### 3.5.1 Escalation to the CARS Project Manager

The CARS PM is the first point of escalation outside the Issue Management meeting. The Issue Manager escalates and discusses the issue with the CARS PM. The CARS PM takes necessary decision to effectively respond to the issue. The Issue Manager provides any necessary issue documentation and discussion minutes for use in presentation to the CARS PM. The CARS PM coordinates with PRD Chief, ITD Chief and the CARS PD to resolve escalated issues.

### 3.5.2 Escalation to the CARS Project Director

The CARS PM escalates issues to the CARS PD when the following are determined:

- Agency policy or stakeholder relationships are affected by resolution choices
- An issue requires higher management input in order to determine the preferred issue response
- Budget or allocated resources are exceeded
- Resolution is outside the scope of the Project Team to effect.

Issues requiring escalation must be reported by the CARS PM to the CARS PD within two business days following identification by the Issue Manager.

If the CARS PD determines additional analysis is needed prior to escalation, the CARS PD may refer the issue back to the Issue Management meeting with additional inputs and recommendations. The CARS PD informs the CARS PM of the determination within two business days of receipt. The Issue Manager may call a special Issue Management meeting if the issue is referred back to the team for additional analysis.

If the CARS PD cannot provide the needed information, decision or resolution, the CARS PD escalates the issue to the Project Sponsor within two working days of receipt from the CARS PM.

If project work is being delayed pending the CARS PD or Project Sponsor’s decisions, the CARS PM notifies affected project staff and/or the contractor PMs within two business days of the escalation to the CARS PD and/or Project Sponsor.

The Issue Manager updates the Issue Log to reflect the timeframes provided and schedule appropriate monitoring and follow-up activities. As appropriate, the Issue Manager notifies the SI and other contractors of the timeframe for escalation decisions to be returned to the project. The project team may also be called together to determine the best course of action until the issue is resolved.

### 3.5.3 Escalation to the SOS Division Chiefs

In certain situations the CARS PM in parallel with the CARS PD, escalates issues to the SOS Division Chiefs. Following are example situations in which the CARS PM escalates the issues to PRD and ITD Chiefs:

- Issues that pertain to Chief's organization or responsibilities
- Issues concerning CARS vs. non-CARS priorities for staff work, resource availability, or other staff assignment-related concerns
- Policy/scope interpretation issues

The CARS PM provides all issue related resources and information to the Division Chiefs to help them with issue resolution and decision making. Whenever required, the Division Chiefs may involve respective Division Leads to perform further analysis or gather more information. Once the issue is resolved and/or a decision is made, the CARS PM informs the Project Team of the resolution.

### 3.5.4 Escalation to the SOS Project Sponsor and ESC

There may be times when the CARS PD needs to escalate the issue to the Project Sponsor who may escalate to the ESC. The following are examples of triggers or situations appropriate for escalation beyond the CARS PD:

- Any time when escalation to the CARS PD has not achieved issue resolution
- Any time PRD policy is involved
- Any time key milestones are either not completed or appear that they will not be completed as scheduled resulting in a threat to the scheduled phase completion dates
- Any time it appears requirements are not or cannot be met
- Any time literal satisfaction of requirements likely results in poorer quality of system functionality than established in the deliverables expectation documents
- Any time circumstances might require a change to a contract with the contractor(s)
- At any time an issue is raised for which a policy or legal decision is needed in order to continue progress on the completion of the activities

The two pivotal responsibilities of the Project Sponsor are 1) to provide guidance on SOS policy, political sensitivities, organizational impacts and associated actions required and 2) to secure timeframe commitments for executive decisions and actions. The Project Sponsor also determines which issues need the ESC's input.

The CARS PD notifies and meets with the Project Sponsor regarding the issue within two business days of determining the need for issue escalation. The Project Sponsor is authorized to act independently of the ESC if:

- The issue relates to SOS lines of business within the Project Sponsor's oversight.
- The decision would not change the contractual obligations of the contractor(s).

In the event that the CARS PD and Project Sponsor are unable to identify an intervention that responds with the appropriate actions to resolve the issue, the Project Sponsor determines the urgency of the issue and decides whether to escalate to the ESC.

Issue items for ESC attention must be scheduled for discussion within five business days of the Project Sponsor's determination of that need.

Generally the CARS PD is assigned to present the issue for discussion to recap each party's position if there is a difference of opinion about response options, the information needed and the associated pros and cons for response, if available. The CARS PD may also provide insight into the nature of the impasse at the team level. The Project Sponsor communicates decisions and associated documentation related to escalated issues to the CARS PD and CARS PM within two business days after escalation decisions are made by the ESC.

If the ESC approach for addressing the issue causes or continues a work stoppage on the project, the Project Sponsor initiates contact with the impacted contractor(s) within two business days, explaining the reason for the delay and the timeframe for SOS to achieve a resolution. The CARS PD, CARS PM, and contractor(s) PMs may be asked to be present for that discussion.

### 3.5.5 SI Contractor Access to the Escalation Process

In principle, issues are resolved at the lowest practical level by the SOS and contractors. When the resolution process is at an impasse or a given level is not authorized to achieve resolution, the contractor PM may request access to the CARS PD. The CARS PM and CARS PD meet with the contractor PM and contractor CARS PD to discuss options that resolve the problem. Should this team not be able to resolve the issue, the CARS PD notifies the Project Sponsor of the continuing impasse within two business days and requests a meeting to discuss potential remedies.

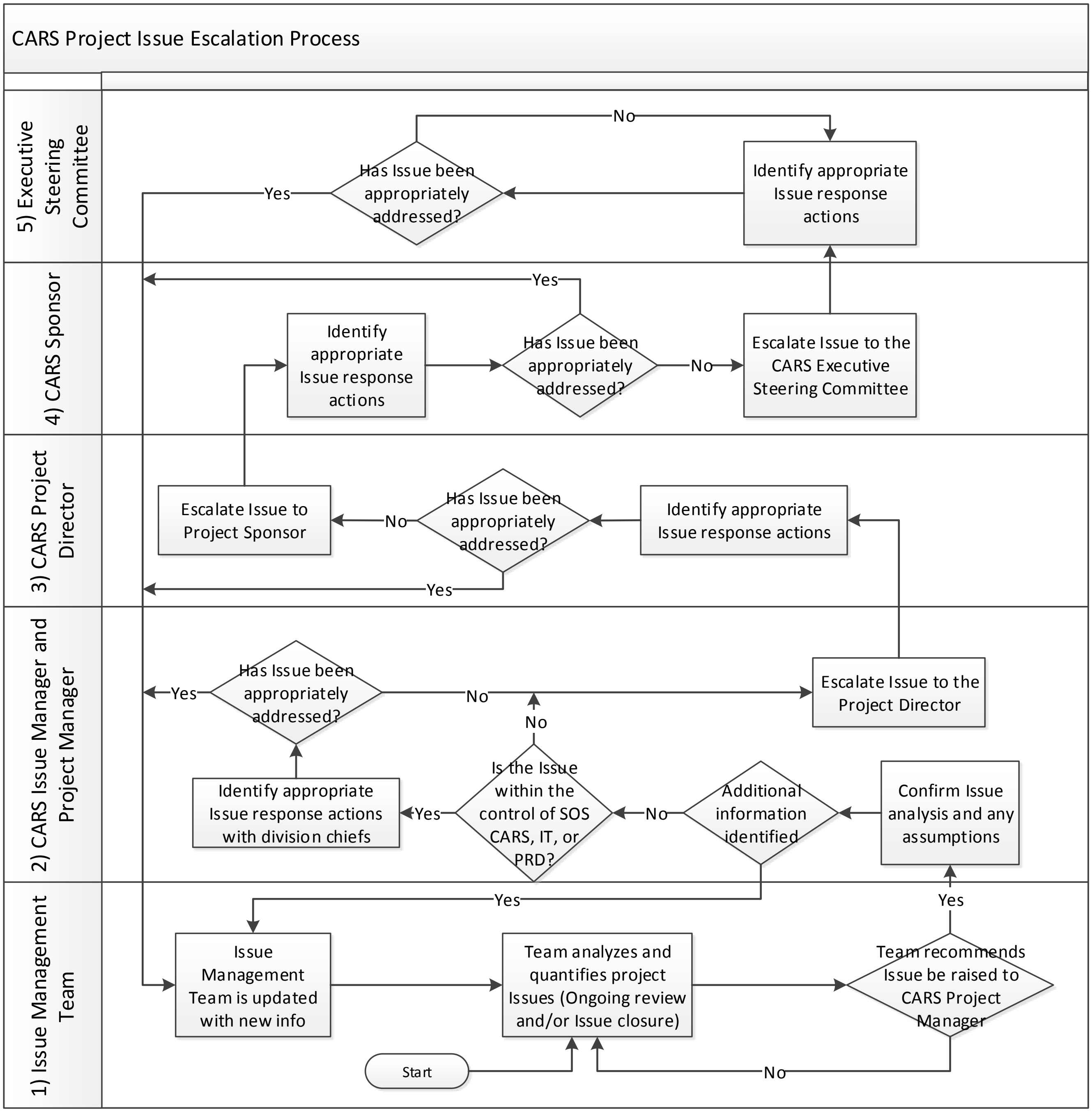
In the event that the Project Sponsor is unable to resolve the issue, the Project Sponsor determines the urgency of the issue and escalates it to the ESC.

### 3.5.6 Documenting Escalation Activities

The CARS Issue Log is the principal repository of escalation history. The Issue Manager is responsible for obtaining the update/status information from escalation meetings and recording it into the Issue Log.

All documents that address escalated issues are archived in the Project Library. The following diagram depicts the work flow for the CARS Issue Escalation Process.

**Flow Diagram: CARS Issue Escalation Process**




## 3.6 Tracking and Reporting

Issue Owners are required to provide the Issue Manager with status updates for their assigned issue-related tasks. Unless otherwise specified at the Issue Management meeting, task status updates are due at least **every week**. The Issue Manager monitors the project's overall success with bringing issues to resolution and reports monthly on the overall status of open items, item aging and closed items.

The Issue Log provides a living record of project issues that must be monitored. It contains the documentation and tracking information for issues and related action items the project is monitoring (open issues) and issues for which monitoring is no longer being pursued (closed issues). Table 2 below defines key issue-related information recorded in the log.

**Table 2: Issue Log Terms and Acronyms**

| Category | Definition |
|---|---|
| ID # | Number; a unique identification number assigned sequentially in the Issue Log spreadsheet. |
| Date Opened | Date the issue was added to Issue Log. |
| Title | Brief Issue Statement |
| Issue Description | Descriptive detail for issue. Also add a brief narrative describing the issue as specifically as possible. |
| Area Impacted | The impact on the project as it relates to schedule, scope, budget or quality, if the issue is not resolved satisfactorily. |
| Status | Open issue is an issue that is being actively managed.<br><br>Closed issue is one that has been completely addressed whether by active resolution or being deemed not an issue.<br>If required, the status may include a second-level of detail to indicate the state of the issue. This provides at-a-glance information of where the issue is in its lifecycle:<br>For example:<br>• Open – under review<br>• Open – escalated<br>• Open – new<br>• Open – analysis<br>• Open – pending input from [xx]<br>OR<br>• Closed – resolved<br>• Closed – duplicate<br>• Closed – rejected<br>• Closed – deferred |
| Priority | Low/ Medium/ High ranking. |
| Issue Type | Request for Offer (RFO) T&C; RFO; RFO Scope; Requirements (REQS), Organization (ORG), (Note: Additional issue types to be added when SI is on-board) |

| Category | Definition |
|---|---|
| Raised by | Individual or organization that raised the issue |
| Decision Lead | The agency or individual responsible for deciding final disposition of the issue. |
| Assigned To | Owner or the person responsible for working the issue and reporting on the status of the issue |
| Action to Date | Lists any effort made to date to resolve the issue. Brief narrative describing the analysis, resolution or escalation action. |
| Next Steps | What are the next steps toward resolution? |
| Due Date | The date the issue must be resolved by in order to minimize or eliminate impact |
| Resolution | Documents the final resolution of the issue. May link to other documents that support the resolution decisions |
| Date Resolved | All issues without a resolution date are considered “open”; a good indicator of project health is to measure the typical difference between the due date and the date resolved. |
| Notes | Any additional notes and observation |
| Source for Additional Analysis and Decision Supporting Docs | Place where additional details can be found. This may refer to to minutes, documents, emails etc. |

If the decision adopted at the Issue Management meeting so directs, issue resolution may be monitored for a designated period of time to ensure the resolution remains satisfactory and permanent. The Issue Manager maintains data about the permanence of the resolution and provides a report at the next Issue Management meeting.

## 3.7 Resolution and Closure

At the Issue Management meeting the Issue Owner summarizes the action outcomes and the project team determines whether the issue has been resolved or if additional monitoring or follow-up actions are required. If the issue has been resolved, the Issue Manager marks the issue ‘closed’ in the Issue Log and documents the resolution and/or decision reached. The Issue Owner provides documentation about the resolution to the Issue Manager for archive in the project Library. Within two (2) days of the Issue Management meeting the Issue Manager distributes a summary of key actions and decisions that occurred during the meeting. This e-mail notification goes to key Project Team members.

If the issue resolution and/or decision reached have an impact on the project scope, schedule, and/or budget, the Issue Manager initiates the CARS Change Control process appropriately. At the Issue Manager’s discretion, an issue that has been closed may be reopened rather than entering a new issue into the Issue Log. If a new issue is opened, reference to the past issue is maintained in the notes field. In the case of reemerging issues, analysis includes why the item was not fully resolved the first time and the likelihood interventions exist that will permanently resolve the issue at this time. Issues of a cyclical nature (such as those dependent on legislative or budget cycles) are appropriate to set to closed and reopen on a cyclical basis if the nature of the issue is well-understood. Otherwise, if a previously closed item has remained closed for 6 months, a new issue is opened.

# 4 Issue and Risk: Transformation

During the course of the project, concerns and opportunities may increase or decrease in their potential impact on the project. An issue is a situation that has occurred or is unavoidable and has an impact on the project. A risk is a potential event. In both cases the turning point rests on the predictability of the occurrence and the nature of project impact (scope, schedule, or budget). By moving a realized risk into Issue Tracking, analysis and response are stepped up and status is reported more frequently, all with the goal of minimizing adverse impact on the project and resolving the situation. The types of situations that trigger the movement of a risk into issue tracking are:

- The situation has occurred, and the situation is impacting the project now.
- The situation occurs within the in-progress project phase and impacts the project during the in-progress phase.
- The impact of a situation is known or predictable and must be understood and accommodated within the project (especially if the impact is adverse).
- A situation has occurred that requires resources to be diverted to analyzing or responding to the situation, and this diversion has an adverse impact on the project.

Alternatively, an issue may cease to be of concern or may have been resolved, but the project team wishes to periodically and formally monitor the conditions surrounding the situation. Moving these issues to risk tracking allows the potential situation to stay on the project's "radar" with less frequent status reporting. Trigger events/dates are identified and monitored, and contingencies are developed and implemented as appropriate through the Risk Management Process. The types of situations that trigger the movement of an issue into risk tracking are:

- The specific issue has been resolved with confidence, but the source situation could reoccur.
- The issue ceased to be of concern and the source situation is not likely to occur during the in-progress project phase, but may occur later in the project.
- The situation is tied to a repeating legislative or administrative cycle, and that cycle has been completed without impacting the project but occurs during the project lifecycle.
- The specific issue is no longer impacting the project, but the impact of the situation is not well understood or predictable, and additional analysis at this time is unlikely to increase understanding of the impact or yield a definitive action plan.
- The projected impact is so low that that no analytical or response tasks have been or are assigned until the impact profile changes.

For transformation of Issues and Risks, the Issue Manager and the Risk Manager collaborate to undertake necessary action and follow the individual processes. Once an issue or risk is transformed, the change is made in both the Issue Log and Risk Tracking Database and the monitoring and reporting practices for that tracking activity take over.

# Appendix A: Issue Intake Form

## CARS PROPOSED RISK and ISSUE SUBMISSION FORM

**GENERAL INFORMATION**

| | | | |
|---|---|---|---|
| **Submitted by:** | Click Here to enter name | **Submitted Date:** | Click here to enter a date |
| **Originator** (if different from the submitter): | Click Here to enter name | | |

☐ *Check here if you will be attaching or sending additional information separately*

**CONCERN: RISK or ISSUE DESCRIPTION**

An issue is a problem related to a project that is about to occur or is currently occurring.
A risk is an event that could occur and have an impact on the project. If not mitigated and it occurs, a risk can become an issue.

| | |
|---|---|
| **Concern Title:** | Click here to enter a title for your concern. |
| **Statement:** | |
| Cause (if): | *Based on your understanding, clearly describe the concern.* Click Here to enter name |
| Impact (then): | *Based on your understanding, describe the impact on the project if the concern is not addressed timely. Impact in terms of project scope, schedule, budget, staffing, or SOS policy/politics.* Click Here to enter name |
| Action Needed By: | *This indicates when the concern must be addressed by. Select the timeframe.* Time Frame: Choose a Timeframe Additional Info: Click Here to enter name |
| Probability (1-5): | Choose the perceived probability. |
| Potential Impact (1-5) | Choose the perceived impact |
| Impacted Stakeholders: | *Provide a list of impacted stakeholders describe the impact.* Click Here to enter name |
| **Response Plan:** | *If available, provide a list of perceived responses to the concern.* |

Click Here to enter name

Risk Level is determined by ("Probability" * "Impact") * "Action Must Begin by"

| Probability Scale | | |
|---|---|---|
| 1 | <20% | Low |
| 2 | 21 - 40% | Low |
| 3 | 41 - 60% | Medium |
| 4 | 61 - 80% | Medium |
| 5 | >80% | High |

| Impact Scale (to schedule, scope, budget or quality) | | |
|---|---|---|
| 1 | Less than a 5% | Low |
| 2 | 5 - 10% change | Low |
| 3 | 11 - 15% change | Medium |
| 4 | 16 - 24% change | Medium |
| 5 | 25% or greater change | High |

| Action Must Begin by (Risk Multiplier) | |
|---|---|
| 1.00 | <6 months |
| 0.66 | 6 – 12 months |
| 0.33 | >12 months |

| Risk Level | |
|---|---|
| Low | 0 - 9 |
| Medium | 10 - 15 |
| High | 16 - 25 |

Submit this completed form to the CARS Risk and Issue Manager or the Project Manager. A number will be assigned for tracking.
Page 1

Link to the folder containing the Risk and Issue Intake form:

***REDACTED***