IT Professional Technical Services
Master Contract Program
T#:902TS

Statement of Work (SOW)
For Technology Services
Issued by the
Minnesota Department of Public Safety (DPS),
Driver and Vehicle Services Division (DVS)

Project Title:
Risk Assessment and Mitigation Plan for the MNLARS Project

Service Categories:
Analyst – Risk Assessment

Table of Contents

Project Title

Risk Assessment and Mitigation Plan for the Minnesota Licensing and Registration System (MNLARS) Project

Project Overview

MNLARS is an initiative of the Department of Public Safety Driver and Vehicle Services (DVS) division to replace its aging information system with an integrated motor vehicle and driver's license solution and related implementation, support and maintenance services.

To help ensure the success of these efforts, DVS is committed to the ongoing process of Risk Management. Toward that end, DVS is seeking a contract with a qualified vendor to carry out the risk assessment process and to develop a responsive risk mitigation plan.

Definition of Acronyms

DPS – Minnesota Department of Public Safety
DVS – Driver and Vehicle Services Division
MNLARS – Minnesota Licensing and Registration System
MNDOT – Minnesota Department of Transportation
DNR – Minnesota Department of Natural Resources

Business Need and Background of MNLARS

DVS Operations

DVS has responsibility for both driver and vehicle related operations. Current DVS systems and MNLARS must manage the customers of these services as one unified customer base which includes individuals and businesses. The MNLARS project will replace the core functionality for the following operations:

- Driver's Licensing
- Driver Compliance
- Title and Registration
- Dealer Licensing and Inspections
- Inventory
- Finance and Records

DVS Size

The following information represents the current annual volume of transactions for vehicle titles and registrations, driver's licenses, and the number of offices across the state that supports these and other types of transactions. These annual metrics are provided to assist Responders in understanding the size and complexity of DVS.

- Revenue Collected: $928 million
- Vehicle Titles Issued: 1.34 million
- Vehicle Registrations Processed: 4.6 million
- Driver's License/Permits/ID cards issued: 1.7 million

- Driver's License Exam sites: 95
- Deputy Registrar Offices: 175
- Driver's License Agent Offices:126

Current legacy systems and business processes used to support the DVS programs are over 20 years old and are based on 20-year-old business processes and technology. They have serious, fundamental issues with system operability, stability, security, and customer service. MNLARS will replace these outmoded systems and processes by providing an up-to-date, user-responsive, re-engineered/optimized set of business processes and the systems that support them.

Motor vehicle and driver's license data is stored in a SUPRA database on an IBM S390 mainframe. DVS staff utilizes CICS screens for data. COBOL programmers create all reports and ad-hoc queries. The SUPRA database does not have any open database access, such as ODBC. Some small applications, utilizing 3270 screen scraping (VHI), were written for the operators providing telephone support to the public. Other personal computer applications were written to work on datasets extracted and downloaded from the mainframe.

In addition, the driver and motor vehicle legacy information systems represent not only very large amounts of data but also over 25 years of business logic coded into CICS and batch processes.

In 2001, DVS introduced ESupport that uses screen scraping (VHI) of green screens and applications built in classic ASP, .NET and C++. The data is stored in a SQL Server.

DVS is a significant and highly visible government agency that provides services to millions of customers and collects close to a billion dollars in state revenue annually. DVS is also responsible for providing sensitive data to state and federal agencies, for law enforcement and other legislative initiatives.

DVS services include the following services to residents and e-business applications:

- DVS services to residents
  - Driver's license knowledge (written) and skill (road) testing
  - Driver's license, instruction permit, and identification card issuance
  - Driver compliance evaluations for driver who have lost or are at risk of losing driving privileges
  - Maintenance of driver history, crash record data, and vehicle registration and ownership information
  - Motor vehicle title and registration issuance
  - Commercial vehicle registration and fuel tax revenue sharing
  - Information assistance, available by phone and Internet
  - Licensing for motor vehicle dealers
  - Disability license plate and parking certificate issuance

- DVS e-business applications:
  - Vehicle registration renewal
  - Application for Critical Habitat and Support Our Troup license plates
  - Motor vehicle dealership lookup

- Crash report filing
- Motor vehicle record address change
- Registration tax information
- Report of vehicle sale
- Vehicle junk report
- Self-service transactions for motor carriers

Current systems used to support DVS are over 20 years old and are based on 20-year-old business processes. They have serious, fundamental issues with system operability, stability, security, and customer service.

- The instability of aging systems put at risk much of DVS' core business.
- The instability of aging systems put at risk the ability of DVS to collect fees and taxes upon which other state/local agencies depend (e.g., MNDOT, Metro Transit, DNR).
- DVS does not have the technology to perform several federally-mandated actions, placing DVS at risk of sanctions.
- Existing inefficient business processes must be re-engineered as part of DPS Workforce Planning.
- Current DVS business processes are based on 20-year-old technology support, and no longer meet DVS standards for efficient, effective and responsive services to customers and state/local government programs which support public safety.

Current Status of the MNLARS Project

On May 3, 2010, the State issued an RFP for a MNLARS System Vendor to provide an integrated motor vehicle and driver's license solution. The State is currently in the contract negotiation process with a System Vendor.

Key Items Regarding this Procurement

The vendor awarded this engagement cannot be connected in any way to any part of the DPS's systems or programs.

The vendor's approach to this risk assessment and mitigation should at a minimum, closely align with the Minnesota Enterprise Project Management Office's approach to project risk management. This approach consists of processes, methods, and tools for managing risks in a project. It provides a framework for proactive decision making to:

- Assess what could go wrong (risks)
- Determine which risks are important to deal with (impact and prioritization)
- Implement strategies to deal with those risks (mitigation)
- Monitor and control (tracking)

Goal of this Procurement

To engage a vendor that will identify and assess the risks associated with the MNLARS project, and to recommend strategies for mitigating and managing the risks identified.

Tasks and Deliverables

For the MNLARS project, four tasks are to be performed as described below.

Task 1 – Develop Risk Management Plan

The core deliverable of this engagement must be a Risk Management Plan (Attachment E) that the MNLARS project can use in meeting its stated goals. This task must be accomplished by:

- Defining risk management methodology
- Defining risk assumptions
- Identifying roles and responsibilities
- Projecting timeframes
- Developing risk rating/scoring techniques
- Establishing risk thresholds
- Defining risk communications
- Developing a risk tracking process

Deliverable: Completed risk management plan

Task 2 – Identify potential areas of risk in the MNLARS project

This task must be accomplished by tailoring a Risk Assessment Questionnaire (see example: Attachment F) with appropriate questions for MNLARS. The vendor has the option to use the attached questionnaire, or utilize or develop similar questionnaires appropriate to the type of project being assessed and submit those as part of their proposal. Potential categories of risk in a project include scope, schedule, budget, project linkages, human resources, executive support, business/organization impact, technology, and vendor. The risks in those categories have complex interactions and interdependencies with each other.

Strategic Alignment: The degree to which the DVS MNLARS project is consistent and compatible with the State's, Department's, and the division's mission, goals, and priorities, from business and IT perspectives.

Project Constraints: include the contractual, resource, and operational factors within the project. For example, staff, budget, schedule, vendor contracts, MNLARS project management. The data collection methodology must include, but is not limited to:

- Interviews with key stakeholders as identified by the MNLARS project Oversight Group. Telephone, e-mail or fax correspondence may be used for follow-up questions.
- Review of existing MNLARS project plans, and other project documentation.
- Review of MNLARS project FY 08-12 budget.
- Review of the State's, the Department's, and the Division's vision and goals for project management and architectural alignment.

Deliverable: Completed questionnaire(s)

Task 3 – Analyze the risks identified

This task should be accomplished using the Category, Description and Impact portions of a Risk Response Plan (see example: Attachment G), or another instrument substantially equivalent. The template should be tailored to reflect the various questionnaires provided and utilized for Task 2 above. The process used to complete these portions of the "Risk Response Template" must include, but is not limited to, the following steps:

- Rate each risk (high, medium, or low) according to likelihood and degree of impact to project.
- Select the highest risks identified.
- Document the category, description and impact in the Risk Response Plan for each selected risk.

Deliverable: Category, Description and Impact portions of Risk Response Plan and appraisal of risk exposure.

Task 4 – Recommend strategies to manage and mitigate the risks identified

Risk mitigation strategies may be recommended by the vendor based on prior knowledge and domain expertise. Risk mitigation strategies must also be generated by MNLARS project stakeholders. When formulating mitigation strategies, it is essential to consider the causes, sources, and elements of each risk. To successfully complete this task, the vendor must do, but is not limited to, the following:

- Recommend risk mitigation strategies based on past experience with similar projects.
- Consult the Risk Assessment Questionnaire, Section II, for sample action suggestions.
  - Establish appropriate "Risk Response" actions
  - Risk avoidance (eliminate the cause)
  - Risk transfer (subcontract high risk tasks)
  - Risk mitigation (minimize probability and impact)
  - Risk acceptance (establish contingency plans)
- Assign responsibilities.
- Schedule the action (assign a "due date").
- Document the actions and tracking information in the Risk Response Plan (Attachment G).

Deliverables:

- Completed Risk Response Plan identifying risk management and mitigation strategies by risk or risk group.
- Final report documenting the risk findings and suggestions to mitigate them.

Questions

Questions regarding this SOW should be emailed directly to Patrick Obele at the e-mail address provided below. **Reference "*MNLARS Risk Assessment Statement of Work*" in the subject title.** Questions should be received by Patrick Obele no later than 2:00 p.m. Central Standard Time on November 10, 2011. Questions received after this time may not receive responses. Questions and answers are anticipated to be posted on the Office of Enterprise Technology's (OET) web site by 4:00 p.m. Central Standard Time on November 14, 2011 at (http://www.oet.state.mn.us/mastercontract/statements/mcp902ts_active.html).

Name: Patrick Obele
E-mail Address : MNLARS.RFP@state.mn.us

Other DPS personnel are **NOT** authorized to discuss this SOW with Responders, before the proposal submission deadline. Contact regarding this SOW with any personnel not listed could result in disqualification.

Response Requirements

Please provide the following information in your response:

1. Contact Information; There must be complete data for the vendor submitting the proposal response, including the name, address, telephone number of the company, and e-mail address of the authorized person in the company, who can be contacted for questions or interviews.

2. Qualifications; Provide information relative to experience with similar engagements performed in the past, along with reference(s) contact information for these engagements.

3. Proposal Understanding of Project
   a. Describe your approach to conducting a risk assessment and risk response plan analysis for the MNLARS project.
   b. Specify in detail the tasks and deliverables you envision for this engagement.

4. Project Work Plan
   a. Define tasks and timelines to develop and deliver each of the four Tasks and the deliverables described above.

5. Terms, Conditions, and Engagement Cost Estimate
   a. Number of staff assigned to accomplish tasks outlined (categorize by skills/ and roles).
   b. Overall project cost estimate.
   c. Requirements for support from MNLARS project staff.

Submitting Responses – Business Proposal and Cost Proposal

Responders must submit their proposals in two separate documents, a Business Proposal and a Cost Proposal. Instructions for submitting each are specified below.

Business Proposal:
The Business Proposal must be submitted in a separate envelope. Responders must clearly mark the outside of the envelope "Business Proposal" along with the firm's name.

An electronic version of the respondent's proposal without the cost proposal (overview, resume and references for each person) must also be included (CD or USB drive).

Submit one (1) printed original and three (3) printed copies of the Business Proposal to:

Patrick Obele
MN Department of Public Safety/MNLARS
444 Cedar Street, Suite 200
St. Paul, MN 55101-5140

The original copy of the Business Proposal should be so marked and must be signed, in ink, by an individual authorized to legally enter into a contract on behalf of the vendor.

Cost Proposal:
A cost proposal is required that states the hourly rate for all individuals submitted within the proposal response. **The cost proposal is to be sealed in a separate envelope labeled "Cost Proposal" and included with the proposal.**

The original copy of the cost proposal should be so marked and must be signed, in ink, by an individual authorized to legally enter into a contract on behalf of the vendor.

For purposes of completing the Cost Proposal, the State does not make regular payments based upon the passage of time; it only pays for services performed or work delivered after it is accomplished.

Prices and terms of the proposal as stated must be valid for the length of any resulting contract as specified in this request for proposal

Due date for all proposals. All proposals are due no later than **2:00 p.m. Central Standard Time, in St. Paul, Minnesota, on November 16, 2011**, as indicated by a time stamp at the location above.

Late responses will not be considered. Therefore it is suggested that a proposal be sent in a manner that ensures it arrives on time, for example: overnight delivery, local courier, or in person, the burden of proof of responding on time is the vendors. Responses received after the closing deadline of 2:00 p.m. Central Standard Time on November 16, 2011, will not be accepted and will be returned unopened to the contractor.

Fax, email, and standard delivery U. S. Mail proposals will not be considered. Proposals sent by standard U. S. Mail may not be received in the Contracts Unit by the due date. This is due to the large volume of mail received by DVS.

Costs incurred. All costs incurred, including development, in responding to this SOW will be borne by the Responder.

Compliance with terms. Responders must comply with all terms of the SOW, and all applicable local, state, and federal laws, codes and regulations. DVS will consider any and all proposals and may waive minor irregularities in proposals received.

Rights of the State

- Responders may not restrict the rights of the State or qualify its proposal. If a Responder does so, DPS may determine the proposal to be non-responsive and the proposal may not be considered.

- This SOW does not obligate the state to award a contract or complete the project, and the State reserves the right to cancel the request if it considers it to be in the State's best interest.

Evaluation Process

DPS will read through all responses to verify requirements have been met as described in Response Requirements.

Scoring:

- Qualifications and experience of the company and individuals assigned to this project: a maximum of 30 points may be awarded.
- Understanding of and ability to meet or exceed the requirements described in this document: a maximum of 25 points may be awarded.
- Proposed work plan and schedule to accomplish the project: a maximum of 15 points may be awarded.
- Project cost detail and total cost of the project: a maximum of 30 points may be awarded.
- Preference to Targeted Group, Economically Disadvantaged Business and Individuals, and Veterans Preference:

  In accordance with Minnesota Rules, part 1230.1810, subpart B and Minnesota Rules, part 1230.1830, certified Targeted Group Businesses and individuals submitting proposals as prime contractors shall receive the equivalent of a six percent preference in the evaluation of their proposal, and certified Economically Disadvantaged Businesses and individuals submitting proposals as prime contractors shall receive the equivalent of a six percent preference in the evaluation of their proposal. **Responders must self-identify themselves as an eligible business or individual to receive this preference.** For information regarding certification, contact the Materials Management Helpline at 651-296-2600, or you may reach the Helpline by email at mmd.help.line@state.mn.us. For TTY/TDD communications, contact the Helpline through the Minnesota Relay Services at 1-800-627-3259.

General Requirements

Proposal Contents

By submission of a proposal, Responder warrants that the information provided is true, correct and reliable for purposes of evaluation for potential award of a this work order. The submission of inaccurate or misleading information may be grounds for disqualification from the award as well as subject the Responder to suspension or debarment proceedings as well as other remedies available by law.

Indemnification

In the performance of this contract by Contractor, or Contractor's agents or employees, the contractor must indemnify, save, and hold harmless the State, its agents, and employees, from any claims or causes of action, including attorney's fees incurred by the state, to the extent caused by Contractor's:

1) Intentional, willful, or negligent acts or omissions; or
2) Actions that give rise to strict liability; or
3) Breach of contract or warranty.

The indemnification obligations of this section do not apply in the event the claim or cause of action is the result of the State's sole negligence. This clause will not be construed to bar any legal remedies the Contractor may have for the State's failure to fulfill its obligation under this contract.

Disposition of Responses

All materials submitted in response to this SOW will become property of the State and will become public record in accordance with Minnesota Statutes, section 13.591, after the evaluation process is completed. Pursuant to the statute, completion of the evaluation process occurs when the government entity has completed negotiating the contract with the selected vendor. If the Responder submits information in response to this SOW that it believes to be trade secret materials, as defined by the Minnesota Government Data Practices Act, Minn. Stat. § 13.37, the Responder must: clearly mark all trade secret materials in its response at the time the response is submitted, include a statement with its response justifying the trade secret designation for each item, and defend any action seeking release of the materials it believes to be trade secret, and indemnify and hold harmless the State, its agents and employees, from any judgments or damages awarded against the State in favor of the party requesting the materials, and any and all costs connected with that defense. This indemnification survives the State's award of a contract. In submitting a response to this RFP, the Responder agrees that this indemnification survives as long as the trade secret materials are in possession of the State.

The State will not consider the prices submitted by the Responder to be proprietary or trade secret materials.

Conflicts of Interest

Responder must provide a list of all entities with which it has relationships that create, or appear to create, a conflict of interest with the work that is contemplated in this request for proposals. The list should indicate the name of the entity, the relationship, and a discussion of the conflict.

The Responder warrants that, to the best of its knowledge and belief, and except as otherwise disclosed, there are no relevant facts or circumstances which could give rise to organizational conflicts of interest. An organizational conflict of interest exists when, because of existing or planned activities or because of relationships with other persons, a vendor is unable or potentially unable to render impartial assistance or advice to the State, or the vendor's objectivity in performing the contract work is or might be otherwise impaired, or the vendor has an unfair competitive advantage. The Responder agrees that, if after award, an organizational conflict of interest is discovered, an immediate and full disclosure in writing must be made to the Assistant Director of the Department of Administration's Materials Management Division ("MMD") which must include a description of the action which the contractor has taken or proposes to take to avoid or mitigate such conflicts. If an organization conflict of interest is determined to exist, the State may, at its discretion, cancel the contract. In the event the Responder was aware of an organizational conflict of interest prior to the award of the contract and did not disclose the conflict to MMD, the State may terminate the contract for default. The provisions of this clause must be included in all subcontracts for work to be performed similar to the service provided by the prime contractor, and the terms "contract," "contractor," and "contracting officer" modified appropriately to preserve the State's rights.

IT Accessibility Standards

Responses to this solicitation must comply with the Minnesota IT Accessibility Standards effective September 1, 2010, which entails, in part, the Web Content Accessibility Guidelines (WCAG) 2.0 (Level AA) and Section 508 Subparts A-D which can be viewed at: **http://www.mmd.admin.state.mn.us/pdf/accessibility_standard.pdf**

Nonvisual Access Standards

Nonvisual access standards require:

a. The effective interactive control and use of the technology, including the operating system, applications programs, prompts, and format of the data presented, are readily achievable by nonvisual means;
b. That the nonvisual access technology must be compatible with information technology used by other individuals with whom the blind or visually impaired individual must interact;
c. That nonvisual access technology must be integrated into networks used to share communications among employees, program participants, and the public; and
d. That the nonvisual access technology must have the capability of providing equivalent access by nonvisual means to telecommunications or other interconnected network services used by persons who are not blind or visually impaired.

Preference to Targeted Group and Economically Disadvantaged Business and Individuals

In accordance with Minnesota Rules, part 1230.1810, subpart B and Minnesota Rules, part 1230.1830, certified Targeted Group Businesses and individuals submitting proposals as prime contractors shall receive the equivalent of a six percent preference in the evaluation of their proposal, and certified Economically Disadvantaged Businesses and individuals submitting proposals as prime contractors shall receive the equivalent of a six percent

preference in the evaluation of their proposal. Eligible TG businesses must be currently certified by the Materials Management Division prior to the solicitation opening date and time. For information regarding certification, contact the Materials Management Helpline at 651.296.2600, or you may reach the Helpline by email at mmdhelp.line@state.mn.us. For TTY/TDD communications, contact the Helpline through the Minnesota Relay Services at 1.800.627.3529.

Veteran-owned/Service Disabled Veteran-Owned Preference

In accordance with Minnesota Statute §16C.16, subd. 6a, veteran-owned businesses with their principal place of business in Minnesota and verified as eligible by the United States Department of Veterans Affairs' Center for Veteran Enterprises (CVE Verified) will receive up to a 6 percent preference in the evaluation of its proposal.

Eligible veteran-owned small businesses include CVE verified small businesses that are majority-owned and operated by either recently separated veterans, veterans with service-connected disabilities, and any other veteran-owned small businesses (pursuant to Minnesota Statute §16C.16, subd. 6a).

Information regarding CVE verification may be found at http://www.vetbiz.gov.

Eligible veteran-owned small businesses should complete and **sign** the **Veteran-Owned Preference Form** in this solicitation. Only eligible, CVE verified, veteran-owned small businesses that provide the required documentation, per the form, will be given the preference.

Foreign Outsourcing of Work Prohibited

All services under this contract shall be performed within the borders of the United States. All storage and processing of information shall be performed within the borders of the United States. This provision also applies to work performed by subcontractors at all tiers.

E-Verify Certification (In accordance with Minn. Stat. §16C.075)

By submission of a proposal for services in excess of $50,000, Contractor certifies that as of the date of services performed on behalf of the State, Contractor and all its subcontractors will have implemented or be in the process of implementing the federal E-Verify program for all newly hired employees in the United States who will perform work on behalf of the State. In the event of contract award, Contractor shall be responsible for collecting all subcontractor certifications and may do so utilizing the E-Verify Subcontractor Certification Form available at http://www.mmd.admin.state.mn.us/doc/EverifySubCertForm.doc. All subcontractor certifications must be kept on file with Contractor and made available to the State upon request.

Attachment A: Affidavit of Noncollusion

STATE OF MINNESOTA
AFFIDAVIT OF NONCOLLUSION

I swear (or affirm) under the penalty of perjury:

1. That I am the Responder (if the Responder is an individual), a partner in the company (if the Responder is a partnership), or an officer or employee of the responding corporation having authority to sign on its behalf (if the Responder is a corporation);

2. That the attached proposal submitted in response to the State of Minnesota _____Statement of Work has been arrived at by the Responder independently and has been submitted without collusion with and without any agreement, understanding or planned common course of action with, any other Responder of materials, supplies, equipment or services described in the Statement of Work, designed to limit fair and open competition;

3. That the contents of the proposal have not been communicated by the Responder or its employees or agents to any person not an employee or agent of the Responder and will not be communicated to any such persons prior to the official opening of the proposals;

4. That I am fully informed regarding the accuracy of the statements made in this affidavit; and

5. That neither I, nor any member or agent of this company or corporation, have or will contact other companies regarding participation in this reverse auction.

Responder's Firm

Name:_____

Authorized Signature: _____

Date: _____

Subscribed and sworn to me this _____ day of _____

Notary Public

My commission expires: _____

Attachment B: Affirmative Action Certification

State Of Minnesota – Affirmative Action Certification

If your response to this solicitation is or could be in excess of $100,000, complete the information requested below to determine whether you are subject to the Minnesota Human Rights Act (Minnesota Statutes 363A.36) certification requirement, and to provide documentation of compliance if necessary. **It is your sole responsibility to provide this information and—if required—to apply for Human Rights certification prior to the due date and time of the bid or proposal and to obtain Human Rights certification prior to the execution of the contract. The State of Minnesota is under no obligation to delay proceeding with a contract until a company receives Human Rights certification**

BOX A – For companies which have employed more than 40 full-time employees within Minnesota on any single working day during the previous 12 months. All other companies proceed to BOX B.

Your response will be rejected unless your business:
has a current Certificate of Compliance issued by the Minnesota Department of Human Rights (MDHR)
–or–
has submitted an affirmative action plan to the MDHR, which the Department received prior to the date and time the responses are due.

Check one of the following statements if you have employed more than 40 full-time employees in Minnesota on any single working day during the previous 12 months:

- ❑ **We have a current Certificate of Compliance issued by the MDHR. Proceed to *BOX C*. Include a copy of your certificate with your response.**
- ❑ **We do not have a current Certificate of Compliance. However, we submitted an Affirmative Action Plan to the MDHR for approval, which the Department received on _____ (date). [If the date is the same as the response due date, indicate the time your plan was received: _____ (time). Proceed to *BOX C*.**
- ❑ **We do not have a Certificate of Compliance, nor has the MDHR received an Affirmative Action Plan from our company. We acknowledge that our response will be rejected. Proceed to *BOX C*. Contact the Minnesota Department of Human Rights for assistance.** (See below for contact information.)

Please note: Certificates of Compliance must be issued by the Minnesota Department of Human Rights. Affirmative Action Plans approved by the Federal government, a county, or a municipality must still be received, reviewed, and approved by the Minnesota Department of Human Rights before a certificate can be issued.

BOX B* – For those companies not described in *BOX A

Check below.

- ❑ We have not employed more than 40 full-time employees on any single working day in Minnesota within the previous 12 months. **Proceed to *BOX C***.

***BOX C* – For all companies**

By signing this statement, you certify that the information provided is accurate and that you are authorized to sign on behalf of the Responder. You also certify that you are in compliance with federal affirmative action requirements that may apply to your company. (These requirements are generally triggered only by participating as a prime or subcontractor on federal projects or contracts. Contractors are alerted to these requirements by the federal government.)

Name of Company: _____

Date _____

Authorized Signature: _____

Telephone number: _____

Printed Name: _____

Title: _____

For assistance with this form, contact:

Minnesota Department of Human Rights, Compliance Services Section

Mail:	190 East 5th St., Suite 700 St. Paul, MN 55101	TC Metro:	(651) 296-5663	Toll Free:	800-657-3704
Web:	www.humanrights.state.mn.us	Fax:	(651) 296-9042	TTY:	(651) 296-1283
Email:	employerinfo@therightsplace.net				

Attachment C: Veteran-Owned Preference Form

STATE OF MINNESOTA

VETERAN-OWNED PREFERENCE FORM

In accordance with Minnesota Statute §16C.16, subd. 6a, veteran-owned businesses with their principal place of business in Minnesota and verified as eligible by the United States Department of Veterans Affairs' Center for Veteran Enterprises (CVE Verified) will receive up to a 6 percent preference in the evaluation of its proposal.

If responding to a Request for Bid (RFB), the preference is applied only to the first $500,000 of the response. If responding to a Request for Proposal (RFP), the preference is applied as detailed in the RFP.

Eligible veteran-owned small businesses must be CVE Verified (in accordance with Public Law 109-471 and Code of Federal Regulations, Title 38, Part 74) at the solicitation opening date and time to receive the preference.

Information regarding CVE Verification may be found at http://www.vetbiz.gov.

Eligible veteran-owned small businesses should complete and **sign** this form. Only eligible, CVE Verified, veteran-owned small businesses that provide this completed and signed form will be given the preference.

I hereby certify that the company listed below:

1. Is an eligible veteran-owned small business, as defined in Minnesota Statute §16C.16, subd. 6a; and
2. Has its principal place of business in the State of Minnesota; and
3. Is CVE Verified by the United States Department of Veterans Affairs' Center for Veterans Enterprise.

Name of Company: _____ Date:_____

Authorized Signature: _____ Telephone: _____

Printed Name: _____ Title: _____

IF YOU ARE CLAIMING THE VETERAN-OWNED PREFERENCE, SIGN AND RETURN THIS FORM WITH YOUR RESPONSE TO THE SOLICITATION.

Attachment D: Example of IT Professional Services Master Contract Work Order

Sample

STATE OF MINNESOTA

IT Professional Services Master Contract Work Order

This work order is between the State of Minnesota, acting through its _____ ("State") and _____ ("Contractor"). This work order is issued under the authority of Master Contract T-Number 902TS, CFMS Number _____, and is subject to all provisions of the master contract which is incorporated by reference.

Recitals

1. Under Minn. Stat. § 15.061 [INSERT ADDITIONAL STATUTORY AUTHORIZATION IF NECESSARY.] the State is empowered to engage such assistance as deemed necessary.
2. The State is in need of [ADD BRIEF NARRATIVE OF THE PURPOSE OF THE CONTRACT].
3. The Contractor represents that it is duly qualified and agrees to perform all services described in this work order to the satisfaction of the State.

Work Order

1 Term of Work Order

1.1 *Effective date*:_____, or the date the State obtains all required signatures under Minn. Stat. § 16C.05, subd. 2, whichever is later.

[The Contractor must not begin work under this work order until it is fully executed and the Contractor has been notified by the State's Authorized Representative to begin the work.]

1.2 *Expiration date***:** _____, or until all obligations have been satisfactorily fulfilled, whichever occurs first.

2 Contractor's Duties

The Contractor, who is not a state employee, will: _____***[*Thorough Description of Tasks/Duties*]***

3 Consideration and Payment

3.1 ***Consideration***. The State will pay for all services performed by the Contractor under this work order as follows:

A. *Compensation.* The Contractor will be paid as follows:
[For projects, list out each deliverable and amount to be paid for each deliverable. Only if a specific deliverable cannot be defined, insert an hourly rate.]

B. Travel Expenses. Reimbursement for travel and subsistence expenses actually and necessarily incurred by the Contractor as a result of this work order will not exceed $_____.

C. Total Obligation. The total obligation of the State for all compensation and reimbursements to the Contractor under this work order will not exceed $_____.

3.2 ***Invoices.*** The State will promptly pay the Contractor after the Contractor presents an itemized invoice for the services actually performed and the State's Authorized Representative accepts the invoiced services. Invoices must be submitted timely and according to the following schedule:_____

4 Liability

[Insert liability language that was either required in the Statement of Work or, if options were offered and scored as part of the evaluation process, insert the liability language that was proposed by the contractor and approved by the agency.]

5 Foreign Outsourcing

Contractor agrees that the disclosures and certifications made in its Location of Service Disclosure and Certification Form submitted with its proposal are true, accurate and incorporated into this work order contract by reference.

6 Authorized Representatives

The State's Authorized Representative is _____. The State's Authorized Representative will certify acceptance on each invoice submitted for payment.

The Contractor's Authorized Representative is _____. If the Contractor's Authorized Representative changes at any time during this work order, the Authorized Representative must immediately notify the State.

1. STATE ENCUMBRANCE VERIFICATION

Individual certifies that funds have been encumbered as required by Minn. Stat. 16A.15 and 16C.05.

By: _____

Date: _____

CFMS Contract No. _____

2. STATE AGENCY

By: _____
(with delegated authority)

Title: _____

Date: _____

3. CONTRACTOR

The Contract or certifies the appropriate person(s) Have executed the contract on behalf of the Contractor as required by applicable articles or bylaws

By: _____

Title: _____

Date: _____

State of Minnesota
Driver and Vehicle Services / MNLARS
Risk Management Plan

Project Name: _____

Prepared By: _____

Date: _____

Risk Management Strategy

Define the risk management methodology to be used, the risk assumptions, the roles and responsibilities, the timeframes, risk rating/scoring techniques, establish risk thresholds, define risk communications, and develop a risk tracking process.

1. Define the risk management methodology to be used

The risk management process is scalable to ensure that the level, type, and visibility of risk management are commensurate with both the risk and the importance of the project.

A. ***Risk Identification*** – Risks will be identified by using the Risk Assessment Questionnaire Template, augmented to include other project specific risks, as appropriate.

B. ***Categorize Risks*** – The Risk Assessment Questionnaire Template groups the risks into categories. The project will create additional categories, as required.

C. ***Risk Impact Assessment*** - For each risk identified, assess the risk event in terms of likelihood of occurrence and its effect on project objectives if the risk event occurs. This information will be used to prioritize the risk using established threshold criteria.

D. ***Prioritize Risks*** - Risks that meet the threshold criteria will be recorded in the Risk Response Plan.

E. ***Risk Response Planning:***

- For each risk in the Risk Response Plan, determine the options and actions to reduce the likelihood or consequences of impact to the project's objectives.
- Determine the response based on a cost/benefit analysis (cost vs. expected effectiveness).
- Describe the actions to be taken to mitigate the risk
- Describe the actions to be taken when the risk event occurs (contingency plan)
- Assign responsibilities for each agreed upon response
- Assigned a "due date" where risk responses are time sensitive
- Incorporated this information into the Risk Response Plan

F. Risk Response Tracking:

- Document the dates and the actions taken to mitigate the risk
- Document the actions taken when the risk event occurred (contingency plan)
- Document any subsequent actions taken
- Incorporate this information into the Risk Response Plan

G. ***Monitor Risk:***

- Establish systematic reviews and schedule them in the project schedule.
- These reviews are to ensure:
  - All of the requirements of the Risk Management Plan are being implemented
  - Assess currently defined risks
  - Evaluate effectiveness of actions taken
  - Status of actions to be taken
  - Validate previous risk assessment (likelihood and impact)
  - Validate previous assumptions
  - State new assumptions
  - Identify new risks
- Risk Response Tracking
- Communications

H. ***Control Risk:***

- Validate mitigation strategies and alternatives
- Take corrective action when actual events occur
- Assess impact on the project of actions taken ($$, time, resources)
- Identify new risks resulting from risk mitigation actions
- Ensure the Project Plan (including the Risk Management Plan) is maintained
- Ensure change control addresses risks associated with the proposed change
- Revise the Risk Assessment Questionnaire and other risk management documents to capture results of mitigation actions.
- Revise Risk Response Plan
- Communications

2. Define assumptions that have a significant impact on project risk

<*Enter Text*>

3. Define the roles and responsibilities unique to the Risk Management function

Risk Management Team-

Risk Response Tracking Coordinator-

4. Define Risk Management Milestones

Milestone	Date
Risk Management Plan approved	mm/dd/yy
Risk Assessment Questionnaire tailored to project	mm/dd/yy
Risk Assessment Questionnaire complete	mm/dd/yy
Risk Response Plan approved	mm/dd/yy
Risk Management Reviews scheduled	mm/dd/yy

5. Define risk rating/scoring techniques

The project will rate each identified risk (High, Medium, Low) based on the likelihood that the risk event will occur and the effect on the project's objectives if the risk event occurs. This will be a subjective evaluation based on the experience of those assigned to the project's risk management team.

6. Establish risk thresholds

The project will establish risk responses for risk events that have been determined to have a rating of "High".

7. Define risk communications

<Enter Text>

8. Define risk tracking process

<Enter Text>

State of Minnesota

MNLARS Project

Risk Assessment Questionnaire

Project Name: _____

Prepared by: _____

Date: _____

Instructions for using this document

Section I Risk Assessment Questionnaire

Use Section I of this template to identify risks that will impact the project and the level of threat they pose to the project's success. In this section, characteristics are grouped in typical categories of project risk. High, medium and low risk ratings are assigned to descriptions of each project characteristic. The list of project characteristics is not exhaustive and is intended to provide a starting point only. Customize the questionnaire by adding to the list specific risk characteristics or criteria that apply to your organization or project. To complete the questionnaire, for each characteristic, choose the phrase that best depicts your project at the time of assessment.

The completed questionnaire will identify the project's risk factors. The results from the completed questionnaire should be used as guidelines; there may be other factors that will lower or raise the risk level. For instance a large project carries with it an inherently higher risk. This risk may be reduced if an experienced project manager leads the project. Having many high-risk characteristics does not necessarily mean the project will fail. However, it does mean that a plan must be into place to address each potential high-risk factor.

Section II Typical High-risk Problems/Response Actions:

Use Section II of this template to analyze identified risks and plan appropriate responses. Early warning signs and examples of problems that may result from certain types of high risks are listed alongside examples of activities that may be undertaken to mitigate or respond to each risk.

For each high-risk factor identified in Section I, create a response plan to ensure that the risk is mitigated and does not impact project success. Consider the example activities in Section II as potential responses. The project team may suggest additional response actions. After creating response plans for all the high-risk factors, look at the medium-level risks to determine if the impact is severe enough to warrant a risk response plan created for them as well. If so, create a response plan for the medium-risk factors. Low-risk factors may be considered assumptions, that is, there is a potential for problems, but because the risk is low, you are "assuming" that the condition will not occur. The activities associated with responding to the high and medium risk factors should then be captured in the risk response plan. The risk response plan is used throughout the project to monitor and control risks.

Section I - Risk Assessment Questionnaire:				
	Characteristics	**Low risk**	**Medium risk**	**High risk**
A. Scope				
A1	The scope of the project is:	• Well defined & understood	• Somewhat defined, but subject to change	• Poorly defined and/or likely to change
A2.	The business requirements of the project are:	• Understood and straightforward		• Very vague or very complex
A3.	The system availability requirements include:	• Windows of availability and downtime		• Availability on a 24/7 basis
A4.	The total estimated effort hours are:	• Less than 1,000		• Greater than 5,000
A5.	The quality of current data is:	• Well defined and simple to convert		• Poor or complex to convert
A6.	If a package implementation:	• No (or minimal) customization is needed		• Heavy customization is needed
A7.	If a package implementation:	• The product or release is stable		• The product or release is new to the market
B. Schedule				
B1.	Are the project's major milestones and operational dates:	• Flexible - may be established by the project team and recipient personnel	• Firm - pre-established and missed dates may affect the business	• Fixed - pre-established by a specific operational commitment or legal requirements beyond the team's control
B2.	Project duration is estimated at:	• Less than 3 months	• 3 months to 12 months	• Greater than 12 months
C. Budget				
C1.	The project budget is based upon use of a proven successful cost estimation process used by personnel with estimation experience:	• Yes – Proven estimation process with experienced personnel	• Some experience or process	• No – Estimates not established by personnel with any experience nor any proven process
C2.	Project funding matches or exceeds the estimated cost and is stable.	• Funding is greater than estimated need and/or is expected to be stable.	• Funding is marginally adequate and expected to remain relatively stable.	• Funding is less than estimated need and/or its stability is highly uncertain.

Section I - Risk Assessment Questionnaire:			
III Characteristics	Low risk	Medium risk	High risk
D. Project Linkages			
D1. This project's dependencies on linkage projects could best be described as:	• Slightly dependent, can be successful without linkage project deliverables	• Somewhat dependent, without linkage project deliverables, schedule delays possible	• Highly dependent, cannot proceed without deliverables from linkage projects
E. Human Resources			
E1. The Project Manager's experience and training is:	• Recent success in managing projects similar to this one	• Recent success in managing a project not similar to this one or trained and no actual experience	• No recent experience or project management training
E2. Describe the experience of project personnel with the tools and techniques to be used.	• Experienced in use of tools and techniques	• Formal training in use of tools and techniques but little or no practical experience	• No formal training or practical experience in use of tools and techniques
E3. The project team is:	• Located together		• Dispersed at multiple sites
F. Management/Senior Leadership Support			
F1. The project sponsor is:	• Identified, committed, and enthusiastic		• Not identified or not enthusiastic
G. Business or Organizational Impacts			
G1. The project participant(s) providing content knowledge on the project:	• Are not required on the project or are very knowledgeable	• Are somewhat inexperienced	• May not be available as needed or are unknown at this time
G2 Business processes, procedures, policies require:	• Little or no change	• Occasional to frequent changes	• Substantial change
G3. Describe the impact on business procedure, process, or organizational changes as a result of this project:	• Either none or only minor changes of procedural, process, or organization	• Moderate procedural, process, or organizational changes	• Major procedural, process, or organizational changes or unknown at this time
G4. The number of organizations this will affect is:	• One or two	• Three or four	• More than five

Section I - Risk Assessment Questionnaire:				
	III **Characteristics**	**Low risk**	**Medium risk**	**High risk**
G5.	How would you rate the readiness level within the project recipient and stakeholder organizations for changes this project will create?	• High readiness (Passionate and enthusiastic)	• Moderate readiness	• Low readiness (Passive and hard to engage)
H. Technology				
H1.	The technology being utilized consists of:	• Mature (Existing software, hardware, languages, databases, and tools)	• Emerging	• Leading Edge (New software, hardware, languages, databases, or tools (or new releases))
H2.	The technical requirements are:	• Similar to others in the company		• New and complex
H3.	The subject matter is:	• Well known by the project team		• Not well known by the project team
I. Vendor				
I1.	If a package implementation:	• The vendor is familiar in this market		• The vendor is new to this market
I2.	Are contractors required and committed to the project?	• No – Contractors are not required	• Yes – Some contractors are required (less than 50%) and are expected to be signed before start of project	• Yes – Project will be staffed by over 50 % contractors and/or contractors' commitment is not expected to be complete prior to start of project
J. Other (Add as appropriate to project)				
J1.				

Section II—Typical high-risk Problems/Response Actions:		
	High-risk factors/ Potential problems	**Risk Response Actions**
A. Scope		
A1.	**The scope of the project is poorly defined** • Hard to provide sound estimates • May spend time and cost on areas out of scope • Hard to gather concise requirement • Difficult to write project definition and work plan • Hard to invoke scope-change procedures • Project deliverables are poorly defined	• Focus on firming up scope in the planning process • Define various components of scope, such as what organizations are affected, what deliverables are expected, what type of information is required • Clearly define what is out of scope for the project • Begin to define business requirements at a high level and then work upward to define scope • Ask project sponsor to make decision on conflicting scope statements • Document all scope assumptions when providing estimates of work, cost, or duration • Use pictures or diagrams to communicate scope and options • Establish firm scope-change procedures up front • Ensure the project definition and business requirements are formally approved and signed off on • Distribute scope statements to all stakeholders for confirmation • Do not begin project until scope is clear
A2.	**The business requirements of the project are vague or complex** • Difficult to document the requirement properly • Difficult to use tools to document the requirements • Difficult to understand what the expectations of the project are • Chance that the resulting solution will not meet business need • May be a sign of a lack of focus from the customer	• Use joint application design (JAD) session to gather requirements from all stakeholders together • Utilize prototyping and iterative development techniques to assist users in discovering the requirements of the new system • Get access to the sponsor and to senior management to provide overall guidance • Provide training to the customers on how to think about and express business requirements • Ensure that the final business requirements are approved in writing and that a change-management procedure is enforced after that

Section II—Typical high-risk Problems/Response Actions:		
	High-risk factors/ Potential problems	**Risk Response Actions**
A3.	**The system availability requirements are 24/7** • Downtime problems may result in productivity decreases or loss of revenue • Redundancy may be needed, which increases system complexities • Newer advanced technology may be required • More procedures and processes are needed to maintain the system environment	• Allocate more time to analysis, design, testing, and overall quality assurance activities • Focus extra time and energy on technology architecture • Focus more time and energy on database design • Use industry best practices for all technology and process components • Provide appropriate training to the team so they understand the 24/7 implications on the project • Determine exactly what portions of the system have a 24/7 requirement • Look for internal or outside experts to validate overall technical design and architecture • Develop solid disaster recovery procedures • Develop a strong partnership with the hardware and software vendors

Section II—Typical high-risk Problems/Response Actions:		
	High-risk factors/ Potential problems	**Risk Response Actions**
A4.	**High number of estimated effort hours** • Implication of a high number of effort hours is that there are many people involved and more complexity • Harder to communicate effectively with the team • Bottlenecks can occur when decisions are needed quickly • More chance of people problems • Increased chance of turnover • More people to train	• Use a project management tool to control resource utilization • Have team members utilize weekly status reports to report on progress against their assigned work plan activities • Utilize team leaders to manage subteams • Organize team-building activities to build cohesion • Schedule status meetings to keep people informed of project status • Utilize structured internal procedures for scope, issue, quality, and risk management • Break the project into smaller, shorter subprojects • Reduce available project work time per person, per day to recognize additional people and team-related activities
A5.	**The quality of current data is poor and difficult to convert** • More work to convert the old data to the new system • Scrubbed data may still cause problems in the new system • Data conversion problems can cause significant project delays	• Make sure that all the old data elements are correctly mapped to the new system • Test the conversion process out rigorously before proceeding with final conversion • Determine if the cost and trouble associated with the converted data is worth the value. Ask whether the new system can start with new data only. • Keep the old system around for some period to access the old data • Spend the effort to manually clean up the old data as much as possible before conversion
A6.	**Package implementation requires heavy customization** • Customization brings added complexity to the project • Making modifications may result in something else breaking • Customization can lead to poor performance • Customization can complicate migrating to newer releases • Heavy customization may mean that the wrong package was selected • Package will probably take longer to implement • Customization will require more reliance on the vendor	• Consider other packages • Consider custom development • Cut back on the business requirements so that customizations are not required • Get a firm estimate of the cost and duration of the modifications from the vendor and build into your overall work plan • Manage the vendor relationship to ensure all needed work is completed on schedule • Make sure the sponsor has approved the customizations being proposed • Thoroughly test the modified package for functionality and performance • Maintain a vendor log to track issues and milestones

Section II—Typical high-risk Problems/Response Actions:		
	High-risk factors/ Potential problems	**Risk Response Actions**
A7.	**Package implementation is a new product or release** • Greater chance of problems surfacing • More reliance on the vendor to ensure problems are corrected quickly • Installation, testing, and deployment will take longer • Hard to know up front whether the package meets all the business requirements	• Schedule training on the package as early in the project as possible • Add an internal resource, or a consultant, with prior product experience onto the project • Schedule a pilot test or a prototype to gain familiarity with the package before full implementation • Establish agreements with the vendor stipulating support level and problem resolution times • See if the project can be delayed until other companies have utilized the product • Seek out other companies that have used the product for their feedback and key learnings
B.	**Schedule**	
B1.	**The projects major milestones and/or operational dates are fixed. They were pre-established by an operational commitment or legal requirements beyond control of the project team.** • Work must be scheduled to fit within this schedule constraint • Given schedule window may be impossible to accommodate required activities • Most likely the schedule requirements will be impossible to meet • Hurried activity and schedule pressures are likely to cause inadvertent errors in work	• Re-negotiate schedule requirement to fit required activities. • Re-negotiate scope to limit to activities deemed doable in allotted time. • Establish new agreements with Customer/Owner/Sponsor based upon realistic estimates • Put aggressive project tracking and monitoring plans in place • Communicate status reports on regular basis
B2.	**Long estimated project duration** • Harder to manage the schedule • Easier for the team and the customer to drift or lose focus • More chance that project will lose organizational commitment • More chance business requirements will change • More chance of change in software or hardware versions • Difficult to instill sense of urgency at the beginning of project • More chance of team and customer turnover	• Break the project into smaller, shorter subprojects • Identify clear milestones to check that the project is on schedule • Be diligent using formal change management procedures • Rotate team members into different roles to keep up the interest level • Strive to get ahead of schedule as early as possible. • Instill a sense of urgency from the start of the project • Organize team-building activities to build cohesion and reduce friction • Ensure all major deliverables are formally approved, so that change management can be invoked afterward • Make technical design and architecture decisions as flexible as possible to account for potential changes
C.	**Budget**	

Section II—Typical high-risk Problems/Response Actions:		
	High-risk factors/ Potential problems	**Risk Response Actions**
C1.	**Project budget was not established with any proven tool or by any experienced person**. • Budget will most likely not be accurate • Budget will not be structured in manor to facilitate tracking and control. • There will be unrealistic expectations for what can be accomplished within the budget.	• Re-estimate the project using proven tools and experienced personnel • Revise scope to fit within the funding available • Don't start the project until a better budget can be established
C2.	**Project funding is less than the estimated cost and is unstable.** • Project will be unable to fulfill expectations • Project will likely exceed it's funding	• Renegotiate scope to fit within the funding available • Don't start the project until an adequate budget or lesser scope is established
D.	**Project Linkages**	
D1.	**The project is highly dependent upon and cannot proceed without first receiving completed deliverables form another separate linkage project** • Things out the control of this project can adversely affect this project's outcome and ability to be successful • Delays in linkage project deliverables are likely to cause similar delays and increased project probability or delays in this project's schedule	• Pursue revising either or both project schedules to allow for alignment of project deliverables. • Re-negotiate scope and/or schedule • Establish agreement with the linkage site to fulfill this project's needs and document the agreement • Close monitoring and coordination of both projects needs to be performed to minimize impact of the conflict.
E.	**Human Resources**	
E1.	**Project management experience is light** • May take longer to define the project and build work plan • May make more mistakes in judgment, causing rework and project delays • More difficulty organizing and managing a complex project • May not be familiar with sound project management practices • May not know when to call for help	• Provide up-front project management training • Designate a more senior person to coach and mentor the project manager • Break the project into smaller pieces that are easier to manage • Put a strong quality-assurance process in place to ensure the project is on the right track • Make sure the major deliverables are formally approved • Utilize strong team leaders and team members to bring additional experience to bear

Section II—Typical high-risk Problems/Response Actions:		
	High-risk factors/ Potential problems	**Risk Response Actions**
E2.	**Project management processes are unfamiliar or will not be used** • Team may have a difficult time understanding how to raise issues, scope changes, and risks • Project may get out of control as the internal processes become more complex and harder to manage • Communication will tend to be poorer • Project deliverables might be completed in different formats • Issues may not be addressed in a timely manner, scope changes may be adopted without thought of impact to the project, risks may be ignored, and quality may be compromised • Chance that the project may be in trouble before it is recognized	• Provide training to the project manager and project team on sound project management processes and procedures • Assign an experienced project management coach or mentor to the project • Break the project into smaller pieces that can be managed with less-rigorous project management • Define and gain approval for a set of project management procedures before the project starts, including issues management, change management, risk management, and quality management • Create a solid communication plan to ensure everyone knows what's going on and can provide feedback • Solicit input on issues, risk, scope change, and quality concerns on an ongoing basis
E3.	**Project team is located in dispersed locations** • Harder to communicate effectively • Less team interaction and cohesion • Harder to build personal relationship with the entire team • Some members may feel isolated and not a part of the team • Technology problems may result in productivity decrease	• Try to get the team into one location, at least for the length of the project • Create an aggressive communication plan to ensure the team communicates effectively • Hold regular meetings where the entire team meets face-to-face • Schedule team-building activities where the entire team meets face-to-face • Have backup methods to communicate if the primary technology fails • Maintain frequent contact by phone with remote team members • Create a central repository to hold the project documentation that all team members can access
F.	**Management/Senior Leadership Support**	
F1.	**The project sponsor is not identified or not enthusiastic** • Project may not get the resources it needs • Project may not have the long-term commitment needed • Political battles may delay the project • Issues and change requests may not be resolved in a timely manner	• Establish a strong steering committee to help guide the project • Establish a process for resolving disputes between organizations • Try to identify a different sponsor • Ask the sponsor to delegate full authority to another person who can act on their behalf • Don't start the project
G.	**Business or Organizational Impacts**	

Section II—Typical high-risk Problems/Response Actions:		
	High-risk factors/ Potential problems	**Risk Response Actions**
G1.	**The project participant(s) providing content knowledge are either not available or not identified at this time.** • Lack of content knowledge available to the project will adversely affect the ability to accurately complete the project • Project recipients will not be pleased with the project	• Re-negotiate resource commitments to make content knowledge available to the project. • Re-negotiate schedule to obtain required content knowledge • Don't start the project
G2.	**Business processes and policies require substantial change** • Policy changes could delay the project • People will be confused with new processes, which will affect their ability to utilize the solution • Possibility that new processes will not be fully integrated at first • Possible void if new processes don't fully cover all contingencies • System functions may not be used if not supported by correct procedures • Substantial change in processes may result in destructive behavior	• Document all current policies and processes and ensure that they are correct • Communicate precisely how the new processes differ from the old ones • Communicate potential changes as far in advance as possible • Ensure the customers are defining the process and policy changes • Have one person responsible for all process and policy changes • Create an aggressive communication plan to keep customers engaged and informed • Use the new processes in a pilot test or prototype first to ensure they are workable and correct • Include the successful implementation of new policies and processes as part of the performance criteria for managers • Be open to customer input on process changes—for better ideas and to allow them to feel they have impact
G3.	**Changes to organization structure are substantial** • Organizational uncertainty can cause fear in the organization • People may not focus on project if they have organizational concerns • People may fear loss of jobs in a new organization • People may not use the system if they are unhappy with the organizational change • Uncertainty may cause decisions to be delayed • Organizational change may result in decisions made for political purposes	• Document the concerns that come out of a new organization and look for ways to mitigate the concerns • Communicate early and often about the potential for change and the business reasons for it • Involve representatives from all stakeholder areas in the organizational design and options • Get human resources involved to deal with potential people issues

Section II—Typical high-risk Problems/Response Actions:		
	High-risk factors/ Potential problems	**Risk Response Actions**
G4.	**High number of organizations are affected** • Coordination is more complex • Approvals can be more cumbersome and lengthy • More difficult to reach consensus • More people and groups to involve in planning and requirements • Harder to know the major stakeholders of the various organizations • Implementation is harder and more complex	• Establish a formal approval process • Create a steering committee to represent the entire stakeholder community • Keep the sponsor engaged and ready to intervene in the various organizations • Include representative from each organization in requirements, quality assurance, and testing • Include opportunities for people from the various organizations to meet and interact • Work with the team on strict adherence to overall project objectives and priorities • Use consensus-building techniques when at all possible
G5.	**Customer commitment level is passive/hard to engage** • May point out low confidence in the business value • Harder to get customer time and resources needed • Harder to gather business requirements • Customers may undermine or work against the project	• Create an aggressive communication plan to keep customers engaged and communicate the business benefit • Create user group to surface concerns and build enthusiasm • Ask for customer participation in planning and requirements gathering • Ask for help from the sponsor to generate excitement • Look for opportunities to sell project in fun settings and contexts • Be proactive in gaining commitments for customer resources when you need them • Don’t start the project
H.	**Technology**	

Section II—Typical high-risk Problems/Response Actions:		
	High-risk factors/ Potential problems	**Risk Response Actions**
H1.	**The project technology is new and unfamiliar (or new releases)** • Learning curve may result in lower initial productivity • May be integration problems between old and new technology • Resistance to technology changes may cause the project to be delayed • May be difficulty testing the new technology • Technology may not be installed or configured correctly, which will lead to project delays • New tools can lead to longer delivery times • New technology may require substantial conversion efforts • System performance may be poor while expertise is gained in optimizing and configuring the technology	• Provide as much training on the new technology as practical, as early as possible • Train everyone who needs to install, use, or support the new technology • Make arrangements to rely on vendor technical specialists, when needed • Use outside consultants who are familiar with the technology • Make sure there is an adequate test environment where the technology can be utilized without affecting production • Ensure that solid analysis is completed regarding the new technology functions, features, and capabilities • Create procedures and standards for how the new technology should be utilized • Create a pilot test or prototype to utilize the new technology in a small way at first
H2.	**The technical requirements are new and complex** • May be difficult to understand the requirements and the implications of design decisions • May be integration issues between old and new technology • May be difficulty testing the complex technology • The more complex the technology, the greater the risk that problems will occur • Problems with incompatible technologies may not be uncovered until integration or system testing	• Utilize system and technical design documents to clearly lay out how the technology fits together • Define the overall system technical architecture and have it approved by knowledgeable people in your company • Send the architecture proposal to outside consultants for further feedback and validation • Create a pilot test or prototype to utilize the new technology in a small way at first • Try to substitute more proven and familiar technology in the architecture • Utilize multiple products from the same vendor to ease integration complexities • Use products that utilize open standards and architectures to reduce the risk of integration problems

Section II—Typical high-risk Problems/Response Actions:		
	High-risk factors/ Potential problems	**Risk Response Actions**
H3.	**Subject matter is not well known by the project team** • Longer learning curve for project team members • The project may slip behind in the early portions of the project • No sense for whether business requirements make sense • Possibility that critical features or functions will be missed • Need to initially rely on customer for all subject-matter expertise	• Take as much training as practical, as early on as possible • Bring the key customers onto the project team • Spend extra time understanding and documenting the requirements • Set up approval process for requirements that require multiple subject-matter experts • Use joint application design (JAD) session to gather requirements from all stakeholders together • Utilize more frequent walkthroughs and include the users • Build extra time into the estimates for application analysis and design activities
I.	**Vendor**	
I1.	**Package implementation is from a new vendor** • Possibility that vendor may not survive and leave you with no support • Upgrades may be in jeopardy if there are not enough sales in the marketplace • No prior relationships from which to build a quick partnership • Legal and financial concerns may delay contracts and the project	• Make sure that all agreements with the vendor be in writing • Insist that source code be placed in escrow in case the company does not survive • Ask the vendor to be a part of the project team • Maintain a vendor log to track problems with the package • Make sure the vendor is financially sound • Establish agreements with the vendor stipulating support level and problem resolution times
I2.	**Project requires over 50% contractors who may not yet be committed to the project?** • Project lacking required staff at start • Schedule will be adversely impacted	• Increase project management oversight of contractor personnel • Start of project should be delayed until staffed • Increased communications focus is a must
J. Other (add as appropriate to project)		
J1.		

State of Minnesota

Driver and Vehicle Services/MNLARS Project

Risk Response Plan

Project Name: _____

Prepared By: _____

Date: _____

Instructions for using this document

Risk Identification:

Assign Risk ID#. Categorize the risk (scope, schedule, budget, project linkages, human resources, executive support, business/ organizational impact, technology, vendor, or other). Describe the risk.

Risk Impact:

Describe the impact of the risk event on project objectives.

Risk Response:

- Determine options and actions to reduce the likelihood or consequences of risk impact on the project's objectives.
- Describe actions to be taken to mitigate the risk, and the action to be taken when this risk event occurs (contingency plan).
- Assign responsibilities for each agreed response.

Risk Response Tracking:

Document the dates and effectiveness of actions taken, if any.

Risk Response Plan

Risk ID #	Risk Category	Risk Description	Risk Impact	Risk Response	Risk Response Tracking
000	Vendor	The vendor may not understand our requirements in the context of our business objectives and the current operational constraints.	This will delay the project due to "late discovery" of issues.	A. Hold weekly meetings with the vendor to ensure requirements are well defined and understood.	05/22/02 - Assigned to ABC. 06/04/02 - First meeting with the vendor was held. Productive meeting. Meeting schedule confirmed with the vendor. (Refer to Meeting Notes: 06/04/02).
				B. Produce prototypes of screen and report layouts, and obtain user acceptance before development. Add the "create", "review", "revise", and "approve" of prototypes tasks to Project Schedule for all reports and screens.	05/22/02 - Assigned to XYZ. 05/22/02 - Tracking will be performed using the project schedule. 06/04/22 – Tasks added to the project schedule.
001					
002					
003					