AGENCY FOR STATE TECHNOLOGY

PROJECT RISK & COMPLEXITY ASSESSMENT TOOL

Risk & Complexity Assessment Model for State Information Technology Projects

Purpose: In order to determine the level of risk associated with the undertaking of a project effort, this worksheet presents a series of risk and complexity questions. Each question has a weighted value. Once the assessment is complete, the project is classified into one of four project categories from low risk/low complexity to high risk/high complexity. Based on the project's risk and complexity categorization, project management best practice risk mitigation strategies become required. Mitigation strategies include the mandatory creation of certain project management artifacts, status reporting, governance oversight, scope/schedule/budget accuracy thresholds, and independent verification and validation (IV&V) support.

Form Title: AST Project Risk & Complexity Assessment Tool
Form Number: AST-F-0505A
Effective Date: 07/15 (incorporated into Rule 74-1.002, F.A.C.)

Scope: All state government information technology work efforts (projects) conducted for the State of Florida.

"Project" as defined in Florida Statues means an endeavor that has a defined start and end point; is undertaken to create or modify a unique product, service, or result; and has specific objectives that, when attained, signify completion.

Authority: Section 282.0051, Florida Statutes

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Summary & Instructions	Instructions for completing assessments. Activates and summarizes assessment scoring.
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Complexity - Pre-Select	Questions and scoring criteria to determine Complexity score for the Pre-Select Phase.
Risk - Initiation	Questions and scoring criteria to determine Risk score for the Initiation Phase.
Complexity - Initiation	Questions and scoring criteria to determine Complexity score for the Initiation Phase.
Risk - Planning	Questions and scoring criteria to determine Risk score for the Planning Phase.
Complexity - Planning	Questions and scoring criteria to determine Complexity score for the Planning Phase.
Risk - Execution	Questions and scoring criteria to determine Risk score for the Execution Phase.
Project Category Lookup	Project Risk & Complexity Category Lookup table, based on Risk & Complexity scores.

REVISION HISTORY

Version	Date	Initials & Comments

PROJECT RISK & COMPLEXITY ASSESSMENT SUMMARY	
AGENCY:	*<Department Name>*
PROJECT:	*<Project Name>*

Form Title: AST Project Risk & Complexity Assessment Tool
Form Number: AST-F-0505A
Effective Date: 07/15 (incorporated into Rule 74-1.002, F.A.C.)

Activate Assessment?				PROJECT CATEGORY
No	1) PRE-CHARTER PHASE			
Select Yes / No ▲	Pre-Charter Risk Score	Not Scored		1 2 3 4
	Pre-Charter Complexity Score	Not Scored		
	PROJECT CATEGORY		Not Scored	

Activate Assessment?				PROJECT CATEGORY
No	2) INITIATION PHASE			
Select Yes / No ▲	Initiation Risk Score	Not Scored		1 2 3 4
	Initiation Complexity Score	Not Scored		
	PROJECT CATEGORY		Not Scored	

Activate Assessment?				PROJECT CATEGORY
No	3) PLANNING PHASE			
Select Yes / No ▲	Planning Risk Score	Not Scored		1 2 3 4
	Planning Complexity Score	Not Scored		
	Used for Event-Driven Complexity score also.			
	PROJECT CATEGORY		Not Scored	

Activate Assessment?				PROJECT CATEGORY
No	4) EVENT-DRIVEN ASSESSMENT			
Select Yes / No ▲	Event-Driven Risk Score	Not Scored		1 2 3 4
	Event-Driven Complexity Score	Not Scored		
	Carried forward from Planning Complexity score.			
	PROJECT CATEGORY		Not Scored	

OVERALL PROJECT RISK & COMPLEXITY ASSESSMENT				OVERALL PROJECT CATEGORY
	Overall Risk Score	Not Scored		1 2 3 4
	Overall Complexity Score	Not Scored		
	PROJECT CATEGORY		Not Scored	

INSTRUCTIONS

1) Activate an Assessment:

- **Select "Yes" or "No" from the "Activate Assessment" drop-down list.**
  - "Yes" activates the assessment.
  - "No" deactivates the assessment.

NOTES:

- Make sure that the current assessment is activated and assessments for all previous project phases are activated. Start with the Pre-Charter Assessment and proceed toward the current project phase. **Do not activate assessments for future project phases.**
- Questions in activated assessments that are left blank will default to their highest possible score, which will count toward the overall (cumulative) score and corresponding project category.
- Questions in deactivated assessments will not be scored and will not count toward the overall (cumulative) score and corresponding project category.

2) Once an assessment is activated, answer its questions by selecting one response for each question from the drop-down list in the box located directly to the right of each question.

NOTES:

- **Do not leave any questions blank.** Questions left blank will default to their highest possible score.
- If a question is not applicable, select "**NA**" from the drop-down list. The "**NA**" response option is available for all questions.

SCORING EXPLANATION

These assessments align projects by risk and complexity levels into one (1) of four (4) Risk and Complexity (R&C) Categories, which determine the amount of project management control required. The diagram below indicates the distribution of risk and complexity levels into the R&C Category:

RISK & COMPLEXITY ASSESSMENT - PROJECT CATEGORY LOOKUP TABLE

Risk	Low Complexity	Medium Complexity	High Complexity
Low Risk	1	1	2
Medium Risk	2	2	3
High Risk	3	3	4

- **Category 4** represents High Risk and High Complexity projects.
- **Category 3** represents High Risk and Medium Complexity projects, High Risk and Low Complexity projects, or Medium Risk and High Complexity projects.
- **Category 2** represents Medium Risk and Medium Complexity projects, Medium Risk and Low Complexity projects, or Low Risk and High Complexity projects.
- **Category 1** represents Low Risk and Medium Complexity projects or Low Risk and Low Complexity projects.

Each assessment is scored in range from 100 to 500, with 100 being the lowest possible score (corresponding to the lowest possible risk or complexity score, and 500 being the highest possible score (corresponding to the highest possible risk or complexity score). Scores for each assessment are rolled up cumulatively into an overall Risk & Complexity score, which in turn corresponds to the Project Risk & Complexity Category as indicated in the table above.

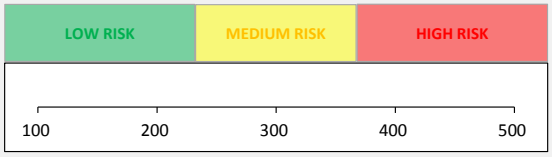
3) Assessment scores and their corresponding Project Risk & Complexity Category are automatically calculated and tabulated in the "Summary" tab.

NOTES:

- Upon proceeding to the next project phase, or when performing an Event-Driven Risk & Complexity Assessment, make sure that the assessments from all previous project phases are activated.

IT Risk Questions - Pre-Charter Phase	Comments	Risk Rank	SELECT ANSWER
The Pre-Charter Risk Assessment is performed at the beginning of the Initiation Phase of the project. During this assessment, the Agency will review priorities and business need, assess the project and analyze factors that can impact project success. The resulting project category will establish the project management control requirements to be applied during the project Initiation phase. ***Select one response for each question listed below. Do not leave any questions blank. If a question is not applicable, select "NA" from the drop-down list.***	**Form Title:** AST Project Risk & Complexity Assessment Tool **Form Number:** AST-F-0505A **Effective Date:** 07/15 (incorporated into Rule 74-1.002, F.A.C.)		
1) What is the estimated total project cost?			
a. > $5,000,000		3.85	E
b. $1,000,001 to $5,000,000		3.08	
c. $500,001 to $1,000,000		2.31	
d. $250,000 to $500,000		1.54	
e. < $250,000		0.77	
2) How was the basis of estimate determined?			
a. Other methodology		3.85	D
b. Consulting professional or agency judgment		3.08	
c. Comparative (analogous) project evaluation		1.54	
d. Based on the sum of estimates of each WBS element (top down or bottom up)		0.77	
3) How important is the project to meeting the agency's Strategic Goals and Objectives as set forth in the agency's Long Range Program Plan (LRPP)?			
a. The project is critical to meeting Agency's Strategic Goals and Objectives.		3.85	C
b. The project is important to meeting Agency's Strategic Goals and Objectives.		2.31	
c. The project has little or no direct impact on Agency's Strategic Goals and Objectives.		0.77	
4) Has the agency successfully executed projects with similar scope, schedule, and/or cost within the past two years?			
a. No		3.85	B
b. Yes		0.77	
5) What is the level of project management maturity within your organization?			
a. Not mature--mostly ad hoc project management processes		3.85	D
b. Somewhat mature--an even mix of ad hoc and established, best-practice project management processes		3.08	
c. Moderately mature--using established, best-practice project management processes, but not always consistently		1.54	
d. Mature--using established, best-practice project management processes consistently		0.77	
6) Does the project impact mission-critical supporting business processes?			
a. Yes		3.85	B
b. No		0.77	
7) What is the potential organizational impact to State agencies with proceeding with this project?			
a. Requires re-engineering of organizations and processes affecting multiple agencies		3.85	C
b. Requires re-engineering of organizations and processes within our agency only		2.31	
c. Requires no re-engineering of organizations and processes		0.77	
8) How critical is the project to meeting externally generated mandates (Executive, Legislative, or Judicial)?			
a. The project is mandatory for accomplishment of external mandates.		3.85	B
b. The project has little or no direct impact on accomplishment of external mandates.		0.77	
9) What is the level of certainty in the estimated scope of the project?			
a. Low – Scope could change (increase or decrease).		3.85	B
b. High – Scope is clearly fixed and will not change.		0.77	
10) What is the level of certainty in the estimated cost of the project?			
a. Low – Cost estimate is not supported by experience or comparative analysis.		3.85	C
b. Medium – Cost estimate is based on a comparative analysis of multiple similar projects.		2.31	
c. High – Cost estimate based on hands-on experience and similar projects under similar conditions.		0.77	
11) What is the level of certainty in the estimated duration of the project?			
a. Low – Duration estimate is not supported by experience or comparative analysis.		3.85	C
b. Medium – Duration estimate is based on a comparative analysis of multiple similar projects.		2.31	
c. High – Duration estimate based on hands-on experience and similar projects under similar conditions.		0.77	
12) If the project plans to use GAA funding, do project funds cross fiscal year budgets?			
a. Yes		3.85	C
b. No		2.31	
c. This project does not plan to use GAA funding		0.77	

IT Risk Questions - Pre-Charter Phase	Comments	Risk Rank	SELECT ANSWER
			Not Scored

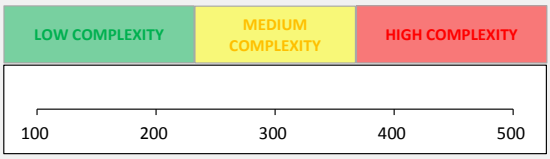


High Risk: 368 - 500
Medium Risk: 234 - 367
Low Risk: 100 - 233

RED FLAG SETTING

IT Complexity Questions - Pre-Charter Phase	Comments	Complexity Rank	SELECT ANSWER
The Pre-Charter Complexity Assessment is performed at the beginning of the Initiation Phase of the project. Complexity is a risk modifier in that it can exacerbate or mitigate the impact of Risk on the successful completion of the project. The resulting project category will establish the project management control requirements to be applied during the project Initiation phase. ***Select one response for each question listed below. Do not leave any questions blank. If a question is not applicable, select "NA" from the drop-down list.***	**Form Title:** AST Project Risk & Complexity Assessment Tool **Form Number:** AST-F-0505A **Effective Date:** 07/15 (incorporated into Rule 74-1.002, F.A.C.)		
1) Are agency business processes directly impacted by the project? *Business processes that are "directly impacted" by the project are specific business processes that are measurably effected by the project. Some projects, such as upgrading personal computers, may not have any business processes directly impacted by the project, only those that are indirectly impacted.*			
a. Yes		2.70	B
b. No		0.54	
2) Are there interrelated projects that are dependent upon this project, or upon which this project depends (either for inputs, outputs, or resources)?			
a. This project is dependent on one or more other projects, AND one or more other projects are dependent on this project.		2.70	D
b. This project is dependent on one or more other projects.		2.16	
c. One or more other projects are dependent on this project.		1.08	
d. This project has no interdependencies.		0.54	
3) Are the organizational structure and functional responsibilities clearly defined for this project?			
a. Organizational structure and functional responsibilities are not defined.		2.70	B
b. Organizational structure and functional responsibilities are defined.		0.54	
4) What role does the agency's IT department play in this project? • **Participates in project governance** • **Provides project management** • **Ensures clear scope and requirements definition** • **Provides subject matter expertise in technical areas**			
a. None of the above, or only one of the above		2.70	D
b. Two of the above		2.16	
c. Three of the above		1.08	
d. All of the above		0.54	
5) Will this project drive a need for organizational change management?			
a. Yes		2.70	B
b. No		0.54	
6) Who are the primary customers for the potential solution?			
a. The public		2.70	C
b. Employees at multiple agencies		1.62	
c. Employees at our agency only		0.54	
7) Are multiple project procurements required?			
a. Yes		2.70	B
b. No		0.54	
8) How much of the Agency's business is being reengineered as part of the project?			
a. > 75% of Agency business processes are being reengineered.		2.70	E
b. 51 - 75% of Agency business processes are being reengineered.		2.16	
c. 26 - 50% of Agency business processes are being reengineered.		1.62	
d. 0 - 25% of Agency business processes are being reengineered.		1.08	
e. No business process reengineering		0.54	
9) Are Subject Matter Experts available to participate in the definition of project requirements and scope?			
a. No		2.70	B
b. Yes		0.54	
10) Are the operating procedures and business process diagrams that define and illustrate the work currently accomplished (by the effort under consideration) accurate and up-to-date?			
a. Procedures and process flow diagrams do not exist.		2.70	C
b. Procedures and process flow diagrams are partially documented.		1.62	
c. All procedures and process flow diagrams are up to date and validated.		0.54	
11) Is documentation for the existing system (as it relates to this project) kept up-to-date with system design documents, specifications, and Operations & Maintenance guides?			
a. No		2.70	B
b. Yes		0.54	

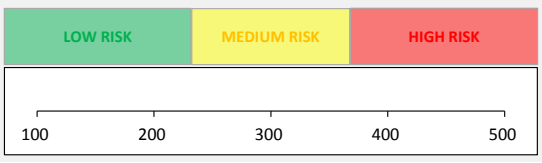
IT Complexity Questions - Pre-Charter Phase	Comments	Complexity Rank	SELECT ANSWER
12) For the existing system (as it relates to this project), is trained staff available to interpret system behavior?			
a. No		2.70	B
b. Yes		0.54	
13) Will the project involve protected data (Employee, Recipient, etc.)?			
a. Yes		2.70	B
b. No		0.54	
			Not Scored



High Complexity: 368 - 500	
Medium Complexity: 234 - 367	
Low Complexity: 100 - 233	
PRE-CHARTER PHASE CATEGORY	**Not Scored**
NOTIFY GOVERNANCE?	NOTIFY

IT Risk Questions - Project Initiation	Comments	Risk Rank	SELECT ANSWER
The Initiation Phase Gate Risk Assessment is performed at the end of the Initiation Phase following completion of initial project documentation. During this assessment, the Agency will review Initiation documents and the Pre-Charter R&C Assessment. This assessment will confirm or adjust the project's risk & complexity level and the resulting project category, examine the effectiveness of Initiation phase activities, and establish requirements for the project Planning Phase. ***Select one response for each question listed below. Do not leave any questions blank. If a question is not applicable, select "NA" from the drop-down list.***	**Form Title:** AST Project Risk & Complexity Assessment Tool **Form Number:** AST-F-0505A **Effective Date:** 07/15 (incorporated into Rule 74-1.002, F.A.C.)		
1) What level of confidence does the Project Management Team have in the estimated cost of the project?			
a. Confidence in estimated project expenditures is less than or equal to 85%.		1.52	C
b. Confidence in estimated project expenditures is greater than 85% and less than or equal to 95%.		0.91	
c. Confidence in estimated project expenditures is greater than 95% and less than or equal to 100%.		0.30	
2) Is this project critical to support the primary functions for which the requesting agency is responsible?			
a. Directly involves the effectiveness and efficiency of the agency's primary functions.		1.52	C
b. Contributes to enabling the agency's primary functions.		0.91	
c. Indirectly impacts, or has minimal impact, to the agency's primary functions.		0.30	
3) Is this project dependent on the deliverable(s) from another project, organization, or agency?			
a. A project deliverable from another project, organization, or Agency is required.		1.52	D
b. The project will utilize other project deliverables.		1.21	
c. Other deliverables will enhance the project.		0.61	
d. No other deliverables are required.		0.30	
4) Is the project dependent on limited resources controlled by an external entity?			
a. Project requires external resources.		1.52	B
b. Project requires no external resources.		0.30	
5) Does the project sponsor have direct authority over all the resources needed for the project (including funding, equipment, facilities, and human resources)?			
a. The project sponsor has authority over none of the resources needed for the project.		1.52	D
b. The project sponsor has authority over some of the resources needed for the project.		1.21	
c. The project sponsor has authority over most of the resources needed for the project.		0.61	
d. The project sponsor has authority over all of the resources needed for the project.		0.30	
6) How will failure of the project impact the stakeholders?			
a. Impact of project failure on stakeholders is high.		1.52	C
b. Impact of project failure on stakeholders is between high and moderate.		0.91	
c. Impact of project failure on stakeholders is between moderate and minimal.		0.30	
7) Does the project impact the state at an enterprise level?			
a. Yes		1.52	B
b. No		0.30	
8) What is the level of assurance that stakeholders will deliver resources as promised?			
a. Minimal - there is no history that stakeholders have delivered promised resources in the past.		1.52	B
b. High - stakeholders have a proven history of delivering all promised resources on time.		0.30	
9) Are there any projected changes of critical or key stakeholders over the life of the project? *"Critical Stakeholders" are those essential stakeholders that must be involved with the project in order to achieve success, e.g., the project sponsor. "Key Stakeholders" are those vital stakeholders that need to be involved with the project, but their turnover is not directly tied to project success, e.g., a member of an executive steering committee.*			
a. Yes, change of critical stakeholders is anticipated.		1.52	C
b. Yes, change of key stakeholders is anticipated.		0.91	
c. No		0.30	
10) Is the agency project manager assigned to this project certified by PMI® (PgMP®, PMP®, CAPM®, Agile Certified Practitioner®, etc.)?			
a. No		1.52	B
b. Yes		0.30	
11) Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?			
a. No		1.52	C
b. Some, but not all [reword]		0.91	
c. Yes		0.30	
12) Do business users and subject matter experts have sufficient skills and experience given the size and complexity of the project?			
a. Business users and subject matter experts have never attempted a project of this size and		1.52	C

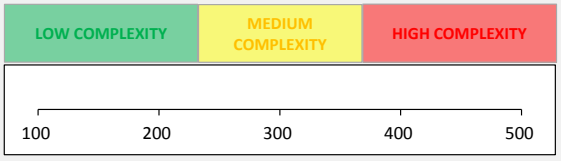
IT Risk Questions - Project Initiation	Comments	Risk Rank	SELECT ANSWER
b. Business users and subject matter experts have skills and experience from previous projects, but not from projects of similar size and complexity.		0.91	
c. Business users and subject matter experts have extensive skills and experience from a previous project of similar size and complexity.		0.30	
13) Does the assigned project manager have the specific experience (proven ability) to successfully execute a project of this scope and complexity?			
a. PM has never participated in a project of this scope and complexity.		1.52	C
b. PM managed a similar project but with smaller scope and complexity.		0.91	
c. PM has managed a project of this scope and complexity.		0.30	
14) What percent of the project team has experience with the selected development methodology or selected implementation approach for the project?			
a. < 50 %		1.52	C
b. 50 – 75 %		0.91	
c. 76 – 100 %		0.30	
15) What percent of the agency's IT leadership has experience with the development methodology or selected implementation approach for the project?			
a. < 50 %		1.52	C
b. 50 – 75 %		0.91	
c. 76 – 100 %		0.30	
16) How clearly defined and understood are the goals and objectives of this project by a majority of the project team and stakeholders?			
a. The goals and objectives of this project are vague and open to interpretation.		1.52	B
b. The goals and objectives of this project are well defined and understood.		0.30	
17) Is the boundary between what is in the project scope and what is not in the project scope clearly documented?			
a. No		1.52	B
b. Yes		0.30	
18) Has the project charter been reviewed and approved by all key stakeholders, including the project sponsor?			
a. No		1.52	B
b. Yes		0.30	
19) How was the estimated completion date for this project determined?			
a. Completion date has not yet been determined or estimated.		1.52	C
b. Completion date is driven by the need to meet a defined time constraint.		0.91	
c. There is no mandated time constraint. The schedule will be developed based on scope of work and resource availability.		0.30	
20) What is the estimated budget for this project?			
a. Greater than $1 million		1.52	C
b. Between $250,000 and $1 million		0.91	
c. Less than $250,000		0.30	
21) Are there multiple agencies engaged as participants in this project?			
a. Yes		1.52	B
b. No		0.30	
			Not Scored



Risk Pre-Charter Score	**Not Scored**	
Plus: Risk Initiation Score	**Not Scored**	
Cumulative Risk Score		**0.0000**
Average Risk Score		**0.0000**
High Risk: 368 - 500		
Medium Risk: 234 - 367		
Low Risk: 100 - 233		
RED FLAG SETTING		

IT Complexity Questions - Project Initiation	Comments	Complexity Rank	SELECT ANSWER
The Initiation Phase Gate Complexity Assessment is performed at the end of the Initiation Phase following completion of initial project documentation. Complexity is a risk modifier in that it can exacerbate or mitigate the impact of Risk on the successful completion of the project. This assessment will confirm or adjust the project's risk & complexity level and the resulting project category, examine the effectiveness of Initiation phase activities, and establish requirements for the project Planning Phase. ***Select one response for each question listed below. Do not leave any questions blank. If a question is not applicable, select "NA" from the drop-down list.***	**Form Title:** AST Project Risk & Complexity Assessment Tool **Form Number:** AST-F-0505A **Effective Date:** 07/15 (incorporated into Rule 74-1.002, F.A.C.)		
1) What is the level of new technology or infrastructure impact required by the project?			
a. Requires significant level of new technologies or changes to critical systems.		2.17	C
b. Requires moderate level of new technologies or changes to critical systems.		1.30	
c. Requires minimal-to-no new technologies or changes to critical systems.		0.43	
2) What is the expected duration of the time period between the acceptance of the Project Charter to the end of Execution Phase?			
a. > 24 months		2.17	D
b. 13-24 months		1.74	
c. 6-12 months		0.87	
d. < 6 months		0.43	
3) Amount of resources being managed:			
a) How many physical project team locations have to be managed?			
a. > 4		2.17	C
b. 1 - 4		1.30	
c. 1		0.43	
b) How many physical locations are associated with the solution implementation?			
a. > 25		2.17	D
b. 6 - 25		1.74	
c. 2 - 5		0.87	
d. 1		0.43	
4) How many end users are going to be using the delivered product(s)?			
a. > 200		2.17	D
b. 100 - 200		1.74	
c. 25 - 99		0.87	
d. < 25		0.43	
5) How clearly defined are the project's major milestones and deliverables?			
a. Major milestones and deliverables are not defined and scheduled.		2.17	B
b. Major milestones and deliverables are defined in detail with logical sequence and included in the schedule.		0.43	
6) How many vendors are involved with this project (for applications, infrastructure, network, etc.)?			
a. More than one vendor		2.17	C
b. One vendor		1.30	
c. No vendors		0.43	
7) How many constraints have been identified that influence the selection of a specific solution to resolve the business problem?			
Constraints can include but are not limited to time, funding, personnel, facilities, and management limitations.			
a. 1 or more		2.17	B
b. None		0.43	
8) Are there any open issues relating to the integration with other projects that could impact the completion of key milestones?			
a. Integration issues have been identified that will impact the project schedule, and there is no contingency plan in place to avoid adverse impact.		2.17	C
b. Integration issues have been defined in Issue tracking that could impact the project milestones, but contingency plans have been implemented to keep the project on schedule.		1.30	
c. All dependencies and integration requirements are on-schedule, and there are no anticipated impacts. This information is verified on a regular basis via status and project communications.		0.43	
9) Does this project require data conversion?			
a. Yes		2.17	B
b. No		0.43	
10) What percentage of human resources (business and IT) assigned to the project are also shared resources with other agency operations and/or projects or from other agencies?			
Percentage of human resources = (# project team members shared) / (total project team).			
a. 81 - 100%		2.17	D
b. 51 - 80%		1.74	

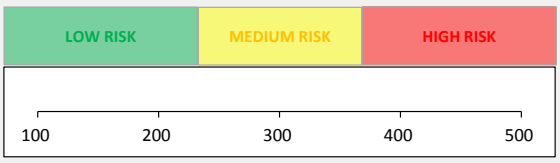
IT Complexity Questions - Project Initiation	Comments	Complexity Rank	SELECT ANSWER
c. 21 - 50%		0.87	
d. 0 - 20%		0.43	
11) How many primary stakeholders are there?			
a. > 5		2.17	B
b. 1 - 5		0.43	
12) Does the Project Sponsor:			
a) Have an understanding of IT project management?			
a. No		2.17	B
b. Yes		0.43	
b) Have experience in the business or functional domain?			
a. No		2.17	B
b. Yes		0.43	
13) What is the Project Manager's authority over the project?			
Authority is defined as the formal and legitimate control specified in a charter that gives a project manager power to act in the name of the sponsor or on behalf of the organization on matters pertaining to project integration, cost, schedule, scope, risk, human resources, procurements, quality, and communications.			
a. Little authority		2.17	C
b. Some authority		1.30	
c. Complete authority		0.43	
14) Is the schedule end date fixed (by legislative mandate, contract end date, vendor support expiration, etc.)?			
a. Yes		2.17	B
b. No		0.43	
15) Is there more than one funding source for this project?			
a. Yes		2.17	B
b. No		0.43	
			Not Scored



Complexity Pre-Charter Score	**Not Scored**	
Plus: Complexity Initiation Score	**Not Scored**	
Cumulative Complexity Score		**0.0000**
Average Complexity Score		**0.0000**
High Complexity: 368 - 500		
Medium Complexity: 234 - 367		
Low Complexity: 100 - 233		
INITIATION PHASE CATEGORY		**Not Scored**

IT Risk Questions - Project Planning	Comments	Risk Rank	SELECT ANSWER
The Planning Phase Gate Risk Assessment is performed at the end of the Planning Phase. During this assessment, the Agency will review planning documents and previous R&C Assessments. This assessment will confirm or adjust the risk & complexity level and the resulting project category, examine the effectiveness of Planning phase activities, and establish requirements for the project Execution and Monitoring and Control phases. ***Select one response for each question listed below. Do not leave any questions blank. If a question is not applicable, select "NA" from the drop-down list.***	**Form Title:** AST Project Risk & Complexity Assessment Tool **Form Number:** AST-F-0505A **Effective Date:** 07/15 (incorporated into Rule 74-1.002, F.A.C.)		
1) Data Dependency:			
a) Is the project dependent on data from other sources?			
a. Yes		2.63	B
b. No		0.53	
b) Is the project dependent on data that is currently not available?			
a. Yes		2.63	B
b. No		0.53	
2) Is the project going to be reliant on a sole vendor?			
a. Yes		2.63	B
b. No		0.53	
3) Will the primary solutions vendor support the technical solution after project completion?			
a. No		2.63	B
b. Yes		0.53	
4) End user anticipated involvement:			
a) What is the anticipated involvement of End Users with System Requirements and Design?			
a. Minimal or no user involvement in System Requirements and Design.		2.63	D
b. Play minor roles in System Requirements and Design.		2.11	
c. Highly involved in System Requirements and Design.		1.05	
d. End user involvement is not required for System Requirements and Design.		0.53	
b) What is the anticipated involvement of End Users with User Acceptance Testing?			
a. Minimal or no end user involvement with user acceptance testing.		2.63	D
b. Play minor roles with testing.		2.11	
c. Highly involved with testing.		1.05	
d. End user does not interact with the system.		0.53	
5) Are exit criteria established for each project phase?			
a. No		2.63	B
b. Yes		0.53	
6) Does the project schedule incorporate incremental and comprehensive stakeholder reviews of project deliverables?			
a. No		2.63	B
b. Yes		0.53	
7) Are acceptence criteria identified for all deliverables?			
a. No		2.63	B
b. Yes		0.53	
8) If a vendor implementation is required, has the vendor successfully implemented the selected solution in another organization?			
a. Vendor has never implemented the selected solution.		2.63	C
b. Vendor has provided more than one reference indicating that they have successfully implemented the selected solution.		1.58	
c. A vendor is not required for implementation.		0.53	
9) Is there contingency built into the project schedule to accommodate the mitigation of schedule risks?			
a. No		2.63	B
b. Yes		0.53	
10) Are appropriate sourcing lead times built into the schedule?			
Examples of sourcing lead times include the lead times for procurements and Requests for Service.			
a. Sourcing lead times are not built into the schedule.		2.63	B
b. Sourcing lead times are estimated and scheduled.		0.53	
11) Change management process:			
a) Does the project's governance process include a defined change management process to handle changing requirements?			

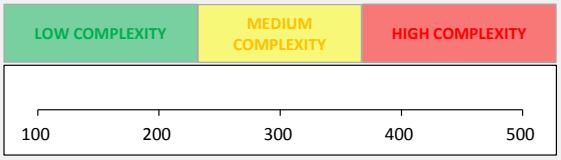
IT Risk Questions - Project Planning	Comments	Risk Rank	SELECT ANSWER
a. No		2.63	B
b. Yes		0.53	
b) Does the project have routine change management meetings?			
a. No		2.63	B
b. Yes		0.53	
12) Are quality assurance methods defined?			
a. No		2.63	B
b. Yes		0.53	
13) Have appropriate SMEs been engaged to support the project (legal, procurement, security, budget, technology, business, etc)?			
a. No		2.63	C
b. Some input is still needed		1.58	
c. Yes		0.53	
14) Is there a documented timeline for the next phase of the project?			
a. Project schedule is not yet developed		2.63	D
b. Project schedule has been completed at the milestone level		2.11	
c. Detailed project schedule is complete, but not yet baselined		1.05	
d. Detailed project schedule is complete and baselined		0.53	
15) Are all necessary resources (equipment, software, office space, etc.) for the next phase of the project readily available?			
a. No		2.63	B
b. Yes		0.53	
16) Does the Organizational Change Management Plan address impacts to the business?			
a. No		2.63	B
b. Yes		0.53	
17) Have the costs associated with the organizational changes been identified and budgeted?			
a. No		2.63	C
b. Yes		1.58	
c. Not applicable		0.53	
18) Does the Project Plan clearly identify Integration requirements with other systems or dependencies on other projects that are outside the direct control of the project team?			
a. No		2.63	B
b. Yes		0.53	
			Not Scored



Risk Pre-Charter Score	**Not Scored**	
Plus: Risk Initiation Score	**Not Scored**	
Plus: Risk Planning Score	**Not Scored**	
Cumulative Risk Score		**0.0000**
Average Risk Score		**0.0000**
High Risk: 368 - 500		
Medium Risk: 234 - 367		
Low Risk: 100 - 233		
RED FLAG SETTING		

IT Complexity Questions - Project Planning	Comments	Complexity Rank	SELECT ANSWER
The Planning Phase Gate Complexity Assessment is performed at the end of the Planning Phase. Complexity is a risk modifier in that it can exacerbate or mitigate the impact of Risk on the successful completion of the project. This assessment will confirm or adjust the risk & complexity level and the resulting project category, examine the effectiveness of Planning phase activities, and establish requirements for the project Execution and Monitoring and Control phases. ***Select one response for each question listed below. Do not leave any questions blank. If a question is not applicable, select "NA" from the drop-down list.***	**Form Title:** AST Project Risk & Complexity Assessment Tool **Form Number:** AST-F-0505A **Effective Date:** 07/15 (incorporated into Rule 74-1.002, F.A.C.)		
1) In order to meet requirements, will the project solution drive a need for:			
a) An increased level of testing from original projections?			
a. Yes		2.76	B
b. No		0.55	
b) Less flexibility in the project schedule?			
a. Yes		2.76	B
b. No		0.55	
c) More rigid development and internal project processes?			
a. Yes		2.76	B
b. No		0.55	
2) Has the complexity of the project required additional efforts to monitor scope / schedule / cost or quality parameters?			
a. Yes		2.76	B
b. No		0.55	
3) How many stakeholders need separate or unique communications?			
Unique communications refers to any individual or tailored communications with any individual stakeholder or group of stakeholders.			
a. Four or more		2.76	C
b. One to three		1.66	
c. None		0.55	
4) Are there clear lines of authority and accountability for tasks and deliverables within the project team?			
Clear lines of authority and accountability are those that are apparent, easily perceived, and free from confusion, doubt, or ambiguity.			
a. No		2.76	B
b. Yes		0.55	
5) How many work packages are associated with the project?			
The work defined at the lowest level of the Work Breakdown Structure for which cost and duration can be estimated and managed. (PMBOK ®, 5th Edition)			
a. > 200		2.76	D
b. 101 - 200		2.21	
c. 51 - 100		1.10	
d. 1 - 50		0.55	
6) Regarding the system development lifecycle methodology selected for the project, does the project staff have experience with the selected methodology?			
A "system development methodology" in software engineering is a framework that is used to develop an information system. Common methodologies include Agile, Waterfall, Spiral Development, Prototyping, Incremental, Rapid Application Development, etc.			
a. The project staff requires training for the selected methodology.		2.76	C
b. The project staff has knowledge of, but limited experience with, the selected methodology.		1.66	
c. The project staff has extensive experience with the selected methodology.		0.55	
7) Are there any new requirements determined after Project Planning that will drive a need for additional funding?			
a. Yes		2.76	B
b. No		0.55	
8) Does the project team require any additional training in order to be effective on the project (for technical, functional, or business skills)?			
a. All require training		2.76	D
b. Most require training		2.21	
c. Some require training		1.10	
d. None require training		0.55	
9) Do the project team members have experience with an IT project of this magnitude and scope?			
a. None have experience		2.76	D
b. Some have experience		2.21	
c. Most have experience		1.10	
d. All have experience		0.55	

IT Complexity Questions - Project Planning	Comments	Complexity Rank	SELECT ANSWER
10) Do the project team members have experience working together as a project team?			
a. No team members have experience working together as a project team.		2.76	C
b. Some team members have experience working together as a project team.		1.66	
c. All team members have experience working together as a project team.		0.55	
11) Is the size of the project team appropriate for the size and complexity of the project effort?			
a. No		2.76	B
b. Yes		0.55	
12) What is the size of the project team?			
a. > 20 project team members		2.76	C
b. Between 5 and 20 project team members		1.66	
c. < 5 project team members		0.55	
13) Are appropriately skilled resources available for the next phase of the project?			
a. Resources are not available for all roles. Significant preemption for other support activities is anticipated, and/or a high turnover is anticipated.		2.76	B
b. Resources are available. Minimal turnover or preemption for other support activities is expected.		0.55	
14) What percentage of the project team members are co-located?			
a. < 25% of team is in the same location.		2.76	D
b. 25 - 49% of team is in the same location.		2.21	
c. 50 - 90% of team is in the same location.		1.10	
d. > 90% of team is in the same location.		0.55	
15) How would you evaluate the complexity of the business processes impacted by the project? *Consider the number of inputs that the business processes require, the number of steps within those processes, the number of people involved in those processes, and the number of outputs that the processes are expected to produce.*			
a. High complexity		2.76	C
b. Moderate complexity		1.66	
c. Minimal complexity		0.55	
			Not Scored

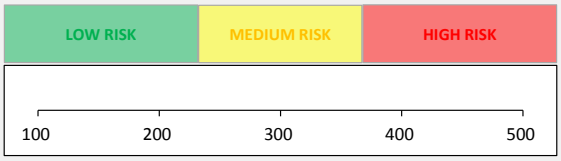


Complexity Pre-Charter Score	**Not Scored**	
Plus: Complexity Initiation Score	**Not Scored**	
Plus: Complexity Planning Score	**Not Scored**	
Cumulative Complexity Score		**0.0000**
Average Complexity Score		**0.0000**
High Complexity: 368 - 500		
Medium Complexity: 234 - 367		
Low Complexity: 100 - 233		
PLANNING PHASE CATEGORY		**Not Scored**

IT Risk Questions - Event-Driven Assessment	Comments	Risk Rank	SELECT ANSWER
The Event-Driven Risk Assessment is performed if the project experiences a significant change, or cumulative changes (in cost, schedule, or scope), from the project baseline. During this assessment, the Agency will review project change control request(s), Initiation and Planning documents, and previous R&C assessments. This assessment will confirm or adjust the project's risk & complexity level and the resulting project category, and determine if review and amendment to project management baselines are needed. ***Select one response for each question listed below. Do not leave any questions blank. If a question is not applicable, select "NA" from the drop-down list.***	**Form Title:** AST Project Risk & Complexity Assessment Tool **Form Number:** AST-F-0505A **Effective Date:** 07/15 (incorporated into Rule 74-1.002, F.A.C.)		
1) To what degree are stakeholders impacting the schedule by not providing timely decisions?			
a. Time required for critical decisions exceeds available schedule.		3.13	B
b. Critical decisions are resolved within available schedule.		0.63	
2) Has an assumption used for planning and management of the project been proven invalid?			
a. Yes, and there is an impact to the project.		3.13	C
b. Yes, but there minimal-to-no impact to the project.		1.88	
c. No		0.63	
3) Is the project making progress in its current phase?			
a. Progress is behind schedule by 10% or more.		3.13	B
b. Progress is on or ahead of schedule.		0.63	
4) Is the project being managed in compliance with the project management plan?			
a. No, or the project management plan was inadequate.		3.13	B
b. Yes		0.63	
5) Has requirements elaboration resulted in a requirements variance sufficient to force changes to project schedule, scope, or cost?			
a. Yes		3.13	B
b. No		0.63	
6) Has project testing criteria and methodology been verified and validated?			
a. No		3.13	B
b. Yes		0.63	
7) Is the project team effectively executing the project through well defined, repeatable processes?			
a. No		3.13	B
b. Yes		0.63	
8) Will the project require:			
a) An increased level of testing from projections?			
a. Yes		3.13	B
b. No		0.63	
b) An increase in the duration of the project schedule?			
a. Yes		3.13	B
b. No		0.63	
c) An increase in the project's baselined cost?			
a. Yes		3.13	B
b. No		0.63	
			Not Scored

Risk Pre-Charter Score	**Not Scored**	
Plus: Risk Initiation Score	**Not Scored**	
Plus: Risk Planning Score	**Not Scored**	
Plus: Risk Event-Driven Score	**Not Scored**	
Score from Complexity_Planning		**0.0000**
Event Driven Risk Score		**0.0000**
Cumulative Risk Score		**0.0000**
High Risk: 368 - 500		
Medium Risk: 234 - 367		
Low Risk: 100 - 233		

IT Risk Questions - Event-Driven Assessment	Comments	Risk Rank	SELECT ANSWER
RED FLAG SETTING			
Planning Complexity Completed?			NO
Planning Complexity Rating *Defaults to High_Complexity if Planning Complexity is not completed for the Event-Driven Assessment.*			Low_Complexity
EVENT-DRIVEN CATEGORY			Not Scored



RISK & COMPLEXITY ASSESSMENT - PROJECT CATEGORY LOOKUP TABLE			
Risk	**High_Complexity**	**Medium_Complexity**	**Low_Complexity**
High_Risk	4	3	3
Medium_Risk	3	2	2
Low_Risk	2	1	1

RISK & COMPLEXITY ASSESSMENT - PROJECT CATEGORY SCORING BY PHASE		
Pre-Charter		Not Scored
Initiation		Not Scored
Planning		Not Scored
Event-Driven	Low_Complexity	Not Scored

Form Title: AST Project Risk & Complexity Assessment Tool
Form Number: AST-F-0505A
Effective Date: 07/15 (incorporated into Rule 74-1.002, F.A.C.)