SAMPLE PLAN

QUALITY ASSURANCE USING RISK MANAGEMENT

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TLS uses quality assurance techniques to identify and mitigate risks and ensure responsive and proactive oversight of the contract. Following is an overview detailing how TLS uses risk management to deliver our services at the highest quality levels:

Overview: The purpose of this Risk Management Plan is to outline the process that TLS in conjunction with the Bureau of Census will use to minimize and control the risk associated with delivering a Managing Organizational Services Program. Section 2 describes the Risk Mitigation Process, which includes a monthly status report from the Risk Manager (PMO) and updates to the Risk Exposure Table. TLS identified risks are outlined in Section 3 as a Top Ten List. These are the risks that have been identified by the team as having the highest probability to impact the schedule. These risks have been categorized as High, Medium and Low. Section 4 outlines proposed actions to minimize each risk identified.

The TLS Risk Mitigation Process consists of:
1. Identify the Top Ten Risks
2. Assign the risks an initial (H) High, (M) Medium, or (L) Low priority
3. Develop a risk ranking table to rank, update and track priorities
4. Use a monthly status report to track, report, handle and minimize risk by reprioritizing the risk in the risk ranking table.
5. Create and update risk management log.

The risk mitigation process will use a monthly status report to bring attention to any change to the risk ranking table. It will include comments about specific items which have changed priority based on the previous month's work and it will highlight new or increased risk to previously cited items. This report will be sent to the Bureau of Census COTR for review and discussion during regular status meetings. Based on the recommendations of the Bureau of Census COTR, if an item has shown marked increase in priority, a separate analysis of that problem will be reported and action items will be assigned to the TLS Risk Manager (PMO) for immediate response to the problem.

INPUTS: INPUTS TO THIS PROCESS MAY INCLUDE, BUT ARE NOT LIMITED TO THE FOLLOWING ITEMS:
1. Project Statement of Work
2. Project Schedule/Plan
3. The Bureau of Census Request for Proposals
4. TLS Training Materials

The following list contains the Top Ten Risks identified by TLS during the initial requirements analysis phase of the planning effort. Each item has also been prioritized as being of (L) Low, (M) Medium, or (H) High risk.
1. (H) – Timely Completion of the Needs Assessment
2. (H) - Measurable Performance Objectives
3. (H) - Schedule
4. (H) – Availability of Subject Matter Experts (SME)
5. (H)- Timely Completion of Daily Evaluation and Pre-Post Evaluation
6. (L) - Effective Registration Process

7. (L) - Participant Availability
8. (L) - Program Materials
9. (L) - Facilities and Equipment Availability
10. (L) - Program Support Availability

OUTPUTS: THIS FOLLOWING SECTION DESCRIBES THE OUTPUT GENERATED FROM THE RISK MANAGEMENT PROCESS AS IT RELATES TO THE MANAGING ORGANIZATIONAL SERVICES PROJECT.

1. Risk Mitigation/Contingency Plan
2. Risk Ranking Table
3. Risk States
4. Probability Assessment
5. Risk Probability Table
6. Risk Rating Assessment Table
7. Risk Rating Table
8. Roles and Responsibilities
9. Problem Escalation Matrix
10. Risk Management Log
11. The Bureau of Census Sign-off

Risk Mitigation: The risk ranking table details how risks were quantifiable assessed by the TLS team. Each risk was assigned a priority, an owner, and a due date. Further, the team explored whether a mitigation or contingency plan would be needed.

Risk Ranking

Name of Risk	Priority of Risk	Owner of Risk	Due Date of Risk	Mitigation Plan Needed Y/N	Contingency Plan Needed Y/N
Timely Completion of the Assessment of Harris Materials	4	TLS and Bureau of Census	To Be Determined	N	Y
Measurable Performance Objectives	4	TLS and Bureau of Census	To Be Determined	Y	N
Schedule	4	TLS and Bureau of Census	To Be Determined	Y	N
Availability of Subject Matter Experts	4	Bureau of Census	To Be Determined	Y	N
Timely Completion of Daily Evaluation and Pre-Post Evaluation	4	Bureau of Census	To Be Determined	Y	N
Effective Registration Process	2	Bureau of Census	To Be Determined	N	N
Participant Availability	2	Bureau of Census	To Be Determined	N	N
Program Materials	2	TLS	On-going	N	N
Facilities and Equipment Availability	2	Bureau of Census	On-going	N	N

Program Support Availability	2	TLS	On-going	N	N

Legend – Risk Priority: 5 = Catastrophic   4 = Major   3 = Medium   2 = Minor   1 = Trivial

Risk Impact: For the Managing Organizational Services project, impact refers to the severity of the consequences if the potential risk occurs. The TLS team used the criteria below as a guideline to determine risk impact.

5 - Catastrophic: Project severely impacted possible cancellation, with or without warning.

4 - Major: Major impact on project schedule, budget, or performance; customer may be very dissatisfied.

3 - Medium: Project schedule, budget, or performance impacted; customer will be dissatisfied.

2 - Minor: Small impact to project; average customer may be aware of impact.

Risk Impact

Identified Risk	Risk Impact
Timely Completion of the Assessment of Harris Materials	4 – Major
Measurable Performance Objectives	4 – Major
Schedule	4 – Major
Availability of Subject Matter Experts	4 – Major
Timely Completion of Daily Evaluation and Pre-Post Evaluation	4 – Major
Effective Registration Process	2 – Minor
Participant Availability	2 – Minor
Program Materials	2 – Minor
Facilities and Equipment Availability	2 – Minor
Program Support Availability	2 – Minor

PROBABILITY ASSESSMENT: FOR THE MANAGING ORGANIZATIONAL SERVICES PROJECT PROBABILITY WAS ASSIGNED, AND REFERS TO THE LIKELIHOOD A RISK WILL OCCUR.   THE TEAM USED THE CRITERIA DESCRIBED BELOW TO DETERMINE IF THE PROBABILITY OF RISK OCCURRING IS CERTAIN, HIGHLY PROBABLE, PROBABLE, POSSIBLE, UNLIKELY.

5 – Certain: Incapable of being avoided or evaded. The likelihood is greater than 95% and the risk would become a problem.

4 – Highly Probable: Extremely likely to be or become true or real. The likelihood is greater than 80% and the risk would become a problem and the impact realized.

3 – Probable: Likely to be or become true or real. The likelihood is greater than 60% and the risk would become a problem and the impact realized.

2 – Possible: Something that may or may not occur. The likelihood is greater than 40% and the risk would become a problem and the impact realized.

1 – Unlikely: Not to be expected, doubtful. The likelihood is less than 25% and the risk might become a problem and the impact is realized.

Risk Probability

Identified Risk	Probability
Timely Completion of the Assessment of Harris Materials	4 – Highly Probable
Measurable Performance Objectives	4 - Highly Probable
Schedule	4 – Highly Probable
Availability of Subject Matter Expert	4 – Highly Probable
Timely Completion of Daily Evaluation and Pre-Post Evaluation	4 – Highly Probable
Effective Registration Process	2 – Possible
Participant Availability	2 – Possible
Program Materials	2 – Possible
Facilities and Equipment Availability	2 – Possible
Program Support Availability	2 – Possible
Legend – Probability: 5 = Certain 4 = Highly Probable 3 = Probable 2 = Possible 1 = Unlikely	

Risk Rating Assessment: The TLS team Risk Rating determined the risk rating assessment by multiplying the numerical equivalent value of the Impact and Probability together. Ratings range from a low severity of "1" to a high severity of "25". The TLS team used the following table as a guideline on what actions to take regarding Risk Management and Contingency Plan development and implementation, and what frequency of review should occur, based on the Risk Rating.

Risk Rating	Risk Rating Category	Risk Rating Description	Review Frequency
12 – 25	**Critical**	Risks that must be managed through active plan implementation. There should be a mitigation plan and a contingency plan (in case mitigation plan fails)	**Daily**
5 – 10	**High**	Risks that should be managed through active plan implementation, when resources and time permit.	**Weekly**
3 – 4	**Medium**	Need to judge if action must be taken to lessen the impact or reduce the probability of occurrence and if resources and time permit.	**Two Weeks**
1 – 2	**Low**	Need to judge if action must be taken to lessen the impact or reduce the probability of occurrence and if resources and time permit.	**Four Weeks**

Risk Rating Assessment

Identified Risk	Risk Impact	Risk Probability	Risk Assessment	Contingency Plan Y/N	Mitigation Plan Y/N
Timely Completion of the Assessment of Harris Materials	4	4	16	Y	Y
Measurable Performance Objectives	4	4	16	Y	Y
Schedule	4	4	16	Y	Y
Availability of Subject Matter Expert	4	4	16	Y	Y
Timely Completion of Daily Evaluation and Pre-Post Evaluation	4	4	16	Y	Y
Effective Registration Process	2	2	4	N	N
Participant Availability	2	2	4	N	N
Program Materials	2	2	4	N	N
Facilities and Equipment Availability	2	2	4	N	N
Program Support Availability	2	2	4	N	N
Legend: Risk Impact X Risk Probability = Risk Assessment					

RISK MITIGATION/CONTINGENCY PLAN DEVELOPMENT: THE TLS TEAM USED THE RISK RATING COLUMN TO DETERMINE THE APPROPRIATE ACTIONS FOR RISKS. FOR RISKS IN THE RANGE OF 12 -25, A CONTINGENCY PLAN SHOULD BE MADE, IN CASE THE RISKS MITIGATION PLAN FAILS.

Review Frequency: Risk management is most effective if it is treated as a continuous process. There should be a regular schedule of risk status reports and risk review meetings. Use the following table as a guideline for determining the Next Review Date. Periodic reviews of the item are scheduled based on the Risk Rating. This review assures that current events are reflected in the classification and assessment of the item, and that Risk Management and Contingency Plans are developed and implemented when appropriate. Update the Log with current information as changes occur.

Roles and Responsibilities: The TLS team identified the following major roles and responsibilities related to the Risk Management Process.

- Plans
- Project Sponsor
- Project Manager
- Project Team

Risk Management Tasks	Roles			
	Plans	Project Sponsor	Project Manager	Project Teams
Risks Identification	A	A	O	A
Assign Risks		R	O	
Risks Prioritized	A	R	O	A
Risk Mitigation/Contingency Plan	A	A,S,R	A,R	O
Risk Monitored	N	N	O	A
Risk Realized	A,R,S	A,R,S	O	A,O

Legend:
A = Assists in the completion of the activity
O = Owns accountability for the completion of the activity
R = Reviews the output from the activity
N = Requires updates on the Risks/Status/progress, but not an active member in completing it.
S = Signoff's on the mitigation plan and contingency plan and also verify when a risk is complete.

Problem Escalation Matrix: The following escalations levels will be used by the TLS team.

Type of Escalation	1st Escalation Level Project Team Lead	2nd Escalation Level Project Manager	3rd Escalation Level Senior Manager/Director
Risks – Critical & High	Meeting (within 4-5 Hrs)	Meeting (within 4-5 Hrs)	Meeting (within 4-5 Hrs)
Risks – Medium & Low	Status Report (Weekly)	Status Report (Weekly)	Status report (Weekly)

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Risk Management Log

No.	Date Identified	Identification Source	Risk Type	Risk Description	Probability (P)	Impact (I)	Risk Rating (RR=P*I)	Contingency/ Mitigation Plan Y/N	Owner	Status (Mitigated or Opportunity)	Status Date	New Review Date
1	TBA	RFP Analysis	H	Timely Completion of the Assessment of Harris Materials	4	4	8	Y	Bureau of Census	Opportunity	TBA	TBA
2	TBA	RFP Analysis	H	Measurable Performance Objectives	4	4	8	Y	TLS and Bureau of Census	Opportunity	TBA	TBA
3	TBA	RFP Analysis	H	Schedule	4	4	8	Y	TLS and Bureau of Census	Opportunity	TBA	TBA
4	TBA	RFP Analysis	H	Availability of Subject Matter Experts	4	4	8	Y	Bureau of Census	Opportunity	TBA	TBA
5	TBA	RFP Analysis	H	Timely Completion of Daily Evaluation and Pre-Post Evaluation	4	4	8	Y	Bureau of Census	Opportunity	TBA	TBA
6	TBA	RFP Analysis	L	Effective Registration Process	2	2	4	N	Bureau of Census	Opportunity	TBA	TBA
7	TBA	RFP Analysis	L	Participant Availability	2	2	4	N	Bureau of Census	Opportunity	TBA	TBA
8	TBA	RFP Analysis	L	Program Materials	2	2	4	N	TLS	Opportunity	TBA	TBA
9	TBA	RFP Analysis	L	Facilities and Equipment Availability	2	2	4	N	Bureau of Census	Opportunity	TBA	TBA
10	TBA	RFP Analysis	L	Program Support Availability	2	2	4	N	TLS	Opportunity	TBA	TBA

APPENDICES

- Appendix A: Communication Plan
- Appendix B: Sample Student Workbooks
- Appendix C: Resumes
- Appendix D: Quality Assurance/Risk Management