

	#	Risk Description	Date Identified	Priority	Prob-ability	Ability to Control	Mitigation Plan	Status	Upper Mgt?	Owner	Frequency
TPM	3	Inability to successfully deploy Trading Partner Management will impact large number of operational systems/ business processes.	5/22/2003	High	Medium	High	Need to develop detailed implementation plan which demonstrates dedicated resources, supportive stakeholders/champions, a communication strategy, and a phased approach.	Open	No		
TPM	4	May not get full funding for core capabilities across Trading Partner Management.	5/22/2003	High	Medium	Low	Need to determine approach and whether phased-in is required/possible/etc.; prioritize components.	Open	No		
TPM	5	Undefined impact of deploying Trading Partner Management components on external partners could lead to community resistance to full deployment and/ or not fully realizing benefits of solution.	5/22/2003	High	Low	High	Add FY04 activity for an impact assessment of TPM, based upon the high level requirements and conceptual design.	Open	No		
AD	8	SAIG unable to handle increased file size/ volume due to XML ISIR (05-06).		High	High	High	Complete SAIG capacity analysis and implement required changes prior to 2005-06 processing. Capacity analysis to be resolved via Data Strategy SAIG Capacity Analysis task order.	Open	No		
AD	9	Minimum hardware/ software requirements have not been updated to accommodate additional needs related to XML use; schools may not be prepared/ have adequate time to prepare for XML roll-out.		High	High	Medium	Plan in place.	Open	No		
AD	10	Unknown impacts on EDExpress users (schools) in 2004-05 due to Common Record processing (capacity and hardware issues due to increased file size).		High	High	Medium	Plan in place.	Open	No		
AD	11	Barriers to adoption/ proper implementation of XML by community (schools, vendors) will minimize benefits of XML and may lead to increased processing issues.		High	High	Medium	Address at Software Developer's Conference and EAC.	Open	No		
AD	13	VDC may not have the capacity to support Application improvements.		Low	Low	High	Requested money in business case, plan and track, general operations.	Open	No		
AD	14	VDC hardware refresh complete without ED PIN Reengineering analysis and implementation may lead to rework.		Medium	High	High	Submitted FY03 business case.	Open	No		

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	AD	16	Issues associated with possible conversion of CPS to new contractor (may include PIC and editorial services under CPS).	5/22/2003	High	High	Medium	Will be closed for now are re-addressed next year.	Closed; 7/29	No		
	AD	18	Issues associated with possible conversion of COD to new contractor.	5/22/2003	High	High	Medium		Open	No		
	AD	19	Issues associated with possible conversion of NSLDS to new contractor.	5/22/2003	High	High	Medium		Open	No		
	AD	20	Estimated workload on the ED PIN infrastructure (to double every 3 years for next 10 years), as well as the effect this will have on the workload for other services such as CSB, CPS (FOTW).					The re-engineered ED PIN system should be an independent enterprise shared service with a scalable architecture and design.	Closed; 7/29	No		
	CSB	23	The CSB transition strategy will require a routing solution during parallel processing, which is not yet defined. This impacts feeds from other systems (i.e. COD), mail processing and customer service.		High	High	High	EAI/ITA and Data Strategy to have an off-line discussion about options for routing solution. Include a discussion of alternatives at the BIG (with CSB representation).	Open	No		
	CSB	25	The decision regarding the potential FMS/FMSS merge (11i upgrade) will come after CSB solution in progress.		High	Medium	Low	Once requirements for the FMS/FMSS merge (11i upgrade) are adequately defined, FSA can either incorporate into negotiation with CSB vendor or expand implementation of CSB to include (most likely through a contract modification).	Open	No		
	Ent	32	Numerous major systems going into re-compete at the same time.	5/22/2003	High	High	Medium	Need to create an integrated timeline of planned procurements/competitions, which includes dependencies as well as tentative implementation dates (for use, among other things, to plan resources required for selections) Develop integrated acquisition strategy.	Closed; 7/29	No		
	Ent	33	Re-authorization changes are not known at this point (what and timeframe).	5/22/2003	High	Medium	Low	Schedule Reauthorization discussion for BIG.	Open	No		

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Ent	34	Hosting CSB at VDC (scheduled for 11/2005) may impact operations of other core systems, resources and hw/sw requirements.	5/22/2003	High	Medium	High	Ensure CSC can support - get plans on how CSC will support (proper review of resources, etc.). Schedule regular BIG review of VDC milestones and approach.	Open	No		
Ent	35	Lack of clarity regarding 'financial' system status and required trial balance functions of DLSS, COD & eCampus Based.		Medium	High	Medium	Schedule BIG briefing to understand scope of current efforts	Open	No		
Ent	38	Impact of FMS 11i upgrade on interfacing systems					Schedule regular BIG review of project approach and timeline.		No		
Ent	37	Lack of clarity around how CSB fits into Trading Partner Management, CMO, RID, Single Sign - on may lead to incomplete solution.		High	Medium	High	Engage CSB subject matter experts (FSA and Integration) in the BIG. Determine process/ infrastructure for ensuring coordination of design efforts for CSB and other initiatives.	Open	Yes		
Ent	39	No processes or tools in place for on-going management of enterprise documentation (As-Is and To-Be Data Flows, Business Architecture, Technical Architecture, etc.)					Include in Data Strategy and Integration Task Orders maintenance of these documents (with Integration Partner required to identify and provide standard tool set.) Establish permanent organization within CIO for maintenance of technology related items. Establish permanent organization within ASEDS for maintenance of business related items.	Open	Yes		
Ent	40	Enterprise market research questions may not be resolved prior to FEBI market research.					Incorporate required enterprise market research questions into FEBI market research. Develop enterprise market research strategy. Conduct analysis to ensure everything is covered (across business initiatives procurements and data strategy procurement)	Open	Yes		
Ent	41	No enterprise-adopted SLC process in place at time of development of new integration solutions (CPS, COD, TPM, CDA, etc.)					Focus SME efforts and contracting resources on SLC as first priority for establishing enterprise tech standards		Yes		

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Ent	42	Lack of integrated approach to SLC, Enterprise Management (Change, Configuration, Release) , Enterprise Quality Management and XML Framework.					Determine appropriate sequencing/ timeframe for development of each of these items, highlighting dependencies.	Open	Yes		
Ent	43	No enterprise infrastructure in place to perform operational analysis, track progress of integration against metrics, etc.	12/7/2003					Open	Yes		
Ent	44	No permanent, dedicated full-time positions within organization to support enterprise integration	12/7/2003				Establish "Integration" component of organization within ASEDS as part of re-organization currently underway	Open	Yes		
Ent	45	No on-going resources to support XML schema development, mapping to Framework, development of related Technical References, etc.	12/11/2003				Hire CIO resources with appropriate technical skills to support these efforts. Determine responsibilities (enterprise versus business system) for key tasks involved and identify related contract strategy.	Open	Yes		

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TPM	1	Gaps exist around defining target state requirements for FP and Title IV operations; current efforts do not include these areas. Replacing/ reengineering PEPs or designing TPM without this information could result in incomplete solution or more costly additions downstream. Additionally, a common solution or set of solutions may be able to meet the needs of both Schools and Financial Partners.	High	High	High	Add FY04 activity related to identifying business objectives, high level requirements, and conceptual design for TPM (address Schools and FP). FP analysis needed. Will be resolved via TPM Gaps Analysis task order.	Closed and Removed; 11/25	No		
TPM	2	Lack of understanding/ integrated approach for alignment of eCMO and Trading Partner Management efforts prior to any detailed design/ build may lead to rework, redundancies or incomplete solution.	High	High	High	Can be managed via phased approach. Include more joint discussions of eCMO and TPM in the BIG. Will be resolved via TPM Gaps Analysis task order.	Closed and Removed; 11/25	No		
AD	6	Lack of complete design/ implementation plan for SSIM in time for development within application processing.	Medium	High	High	Requirements identified as of 04/2003 will be included in 01/2004 CPS release, remaining requirements will not be included until 01/2005 CPS release.	Closed and Removed; 7/29	No		
AD	7	SAIG unable to handle increased file size/ volume due to XML ISIR (04-05).	High	Medium	High	Defer implementation of XML ISIR in EDEExpress to 2004-05; complete SAIG capacity analysis and implement required changes prior to 2005-06 processing.	Closed and Removed; 7/29	No		
AD	12	Lack of integrated approach for alignment of ED PIN and Security Architecture may lead to incomplete recommendations/ solution. Project complete; integrated approach utilized.	Low	High	High	Already mitigating via integrated discussions and solutions. ED PIN project complete; utilized integrated approach.	Closed and Removed; 11/25	No		
AD	15	Unknown impact on SAIG of increased traffic/ volume in 2003-04 due to increase in full participants (COD).	High	High	Low	Review SAIG capacity planning, validate assumptions. Merged with AD #8.	Removed; 7/29	No		
AD	17	No funding for EDPIN Re-engineering or Security Architecture.	High	Medium	Low	Funding allocated for both efforts.	Closed; 7/29 Removed; 11/25	No		
CSB	21	Data Strategy requirements were not complete in time for issuance of CSB RFP/SOO. Data Strategy components were addressed at a high level in the SOO to notify potential vendors of impending requirements.	High	High	High	Once requirements for the Data Strategy components are adequately defined, FSA can either incorporate into negotiation with CSB vendor or expand implementation of CSB to include (most likely through a contract modification). Will be resolved via CSB/DS gap analysis to be completed via DSII.	Closed; 7/29 Removed; 11/25	No		
CSB	22	If CSB is awarded to a "new" contractor, there may be initial issues relating to learning curve, data conversion, stakeholder relationships	High	High	Medium	Dedicated CSB Transition Team will be required, consisting of CSB subject matter experts, Integration resources, and legacy contractor teams to ensure a smooth and successful migration to the integrated CSB Solution.	Removed; 7/29	No		
CSB	24	Detailed dependencies across data strategy components and CSB have not yet been identified; may impact the CSB evaluation and negotiation period.	Medium	High	High	Notes: The Data Strategy team needs to be kept in the loop regarding the determination/selection of the CSB solution. Potential bidders need to understand Web Services/Data Strategy/ Integrated Student Management efforts as they relate to different access. Once requirements for the Data Strategy components are adequately defined, FSA can either incorporate into negotiation with CSB vendor or expand implementation of CSB to include (most likely through a contract modification). Data Strategy will sync up with CSB in Sept/Oct.	Removed; 7/29	No		
CSB	26	Lack of FSA resources to ensure successful conversion and implementation of new consolidated solutions, resulting in decreased customer service/collections.	High	Medium	Low	Core team of FSA resources must "keep trains running" for LC, DLSS, and DMCS. Concurrently, a dedicated CSB Transition Team will be required, consisting of CSB subject matter experts, Integration resources, and legacy contractor teams to ensure a smooth and successful migration to the integrated CSB Solution.	Removed; 7/29	No		
Ent	27	Lack of enterprise understanding of current security standards (e.g.: items to be included during requirements and test phases of SLC) and inability to confirm that overall security requirements are being met across SLC, system accreditation.	Medium	High	High	Review current SLC. Bring SLC & Enterprise Release Mgt. discussion to BIG. SLC & Enterprise Release, Change and Configuration Management efforts under review.	Closed and Removed; 11/25	No		

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Ent	28	No enterprise method/ review of application level security (gap between application test and security/ accreditation review), especially related to legacy systems.	Low	High	High	Security architecture will show this as part of recommended on-going architecture; BIG needs to determine whether to recommend as priority implementation item.	Removed; 7/29	No		
Ent	29	No enterprise standards/ solution for disaster recovery; currently only at application level, which may lead to vulnerabilities in continuity of operations related to cross-system functions.	Medium	Low	High		Removed; 7/29	No		
Ent	30	Difficulty of implementing an Enterprise Wide Disaster Recovery Plan.	High	Low	Medium	Being mitigated by CIO.	Removed; 7/29	No		
Ent	31	Large level of effort required to implement security architecture at enterprise level may impact ability to successfully deploy security framework.	Low	Medium	Low		Removed; 7/29	No		
Ent	36	Capacity of SAIG to support CSB and others.	High	Low	High	Determine CSB needs. Merged with AD #8.	Removed; 7/29	No		
Ent	38	Lack of an integrated approach and clear direction for NSLDS may impact visioning/sequencing of Data Strategy.				DS/NSLDS gap analysis to be completed via DSII.	Closed and Removed; 11/25	No		