

## PROJECT RISK ASSESSMENT QUESTIONNAIRE

<b>Project Name:</b>	
<b>Prepared by:</b>	
<b>Date (MM/DD/YYYY):</b>	

### 1. 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. **This 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. Be certain to also complete the **Project Planning Risk Assessment Checklist**.
- The completed questionnaire and checklist will identify the project's risk factors. The results from the completed questionnaire and checklist 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 put into place to address each potential high-risk factor.

#### Section II Typical High-Risk Problems/Response Actions – Note: edit this section if your project uses a different risk threshold.

- 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 in the *Risk Response Plan* document to ensure that the risk is mitigated and does not impact project success. Consider the example activities in *Section II* as examples of 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 whether the impact is severe enough to warrant an entry into the *Risk Response Plan* as well. If so, create entries in the *Risk 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 *Risk Response Plan* is used throughout the project to monitor and control risks.

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

<sup>1</sup> Uninterrupted (24 hours per day, seven days a week).

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<b>Section I Risk Assessment Questionnaire</b>			
<b>Characteristics</b>	<b>Low Risk</b>	<b>Medium Risk</b>	<b>High Risk</b>
<b>C2.</b> Project funding matches or exceeds the estimated cost and is stable.	<input type="checkbox"/> Funding is greater than estimated need and/or is expected to be stable.	<input type="checkbox"/> Funding is marginally adequate and expected to remain relatively stable.	<input type="checkbox"/> Funding is less than estimated need and/or its stability is highly uncertain.
<b>D. Project Linkages</b>			
<b>D1.</b> This project's dependencies on linkage projects could best be described as:	<input type="checkbox"/> Slightly dependent, can be successful without linkage project deliverables	<input type="checkbox"/> Somewhat dependent, without linkage project deliverables, schedule delays possible	<input type="checkbox"/> Highly dependent, cannot proceed without deliverables from linkage projects
<b>E. Human Resources</b>			
<b>E1.</b> The Project Manager's experience and training is:	<input type="checkbox"/> Recent success in managing projects similar to this one	<input type="checkbox"/> Recent success in managing a project not similar to this one or trained and no actual experience	<input type="checkbox"/> No recent experience or project management training
<b>E2.</b> Describe the experience of project personnel with the tools and techniques to be used.	<input type="checkbox"/> Experienced in use of tools and techniques	<input type="checkbox"/> Formal training in use of tools and techniques but little or no practical experience	<input type="checkbox"/> No formal training or practical experience in use of tools and techniques
<b>E3.</b> The project team is:	<input type="checkbox"/> Located together		<input type="checkbox"/> Dispersed at multiple sites
<b>F. Management/Senior Leadership Support</b>			
<b>F1.</b> The project sponsor is:	<input type="checkbox"/> Identified, committed, and enthusiastic	<input type="checkbox"/> Identified but not enthusiastic	<input type="checkbox"/> Not identified or not enthusiastic
<b>G. Other Business or Organizational Impacts</b>			
<b>G1.</b> The project participant(s) providing content knowledge on the project:	<input type="checkbox"/> Are not required on the project or are very knowledgeable	<input type="checkbox"/> Are somewhat inexperienced	<input type="checkbox"/> May not be available as needed or are unknown at this time
<b>G2.</b> Business processes, procedures, policies require:	<input type="checkbox"/> Little or no change	<input type="checkbox"/> Occasional to frequent changes	<input type="checkbox"/> Substantial change
<b>G3.</b> Describe the impact on business procedure, process, or organizational changes as a result of this project:	<input type="checkbox"/> Either none or only minor changes of procedural, process, or organization	<input type="checkbox"/> Moderate procedural, process, or organizational changes	<input type="checkbox"/> Major procedural, process, or organizational changes or unknown at this time
<b>G4.</b> The number of departments this will affect is:	<input type="checkbox"/> One or two	<input type="checkbox"/> Three or four	<input type="checkbox"/> More than five
<b>G5.</b> How would you rate the readiness level within the project recipient and stakeholder departments for changes this project will create?	<input type="checkbox"/> High readiness (Passionate and enthusiastic)	<input type="checkbox"/> Moderate readiness	<input type="checkbox"/> Low readiness (Passive and hard to engage)

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<b>Section I Risk Assessment Questionnaire</b>			
<b>Characteristics</b>	<b>Low Risk</b>	<b>Medium Risk</b>	<b>High Risk</b>
<b>GENERAL – Technical and Performance Risks</b>			
<b>H. Technology</b>			
<b>H1.</b> The technology being utilized consists of:	<input type="checkbox"/> Mature (existing software, hardware, languages, databases, and tools)	<input type="checkbox"/> Emerging	<input type="checkbox"/> Leading Edge (new software, hardware, languages, databases, or tools (or new releases))
<b>H2.</b> The technical requirements are:	<input type="checkbox"/> Similar to others in the company		<input type="checkbox"/> New and complex
<b>H3.</b> The subject matter is:	<input type="checkbox"/> Well-known by the project team		<input type="checkbox"/> Not well-known by the project team
<b>I. Performance</b>			
<b>I1.</b> Performance objectives are:	<input type="checkbox"/> Well-described and reasonable		<input type="checkbox"/> Unclear or unstated or unrealistic (e.g., everything will be perfect)
<b>PROJECT MANAGEMENT - Planning, Issue and Change Management, Quality Assurance</b>			
<b>J. Evaluation of PM Risks</b>			
<b>J1.</b> Enter the overall assessment of Project Management risk from the <b>Project Management Risk Assessment Checklist</b>	<input type="checkbox"/> The project is well planned and will be carried out in a manner consistent with the Organization's Project Management Methodology	<input type="checkbox"/> Project plans and process are reasonable and mostly complete, but there are some issues that should be addressed	<input type="checkbox"/> Planning for this project is inconsistent, incomplete or in other ways of poor quality AND/OR there are problems with project process that must be addressed
<b>EXTERNAL – Vendor, Legal, Environmental, Regulatory,</b>			
<b>K. Vendor</b>			
<b>K1.</b> If a package implementation:	<input type="checkbox"/> Vendor is familiar in this market		<input type="checkbox"/> Vendor is new to this market
<b>K2.</b> Are contractors required and committed to the project?	<input type="checkbox"/> No – Contractors are not required	<input type="checkbox"/> Yes – Some contractors are required (less than 50%) and are expected to be signed before start of project	<input type="checkbox"/> Yes – Project will be staffed by over 50 % contractors and/or contractors' commitment is not expected to be complete prior to start of project
<b>L. Other (add as appropriate to project)</b>			
<b>L1.</b>			

**Section II Typical High-Risk Problems/Response Actions**

<b>High-Risk Factors/Potential Problems</b>	<b>Risk Response Actions</b>
<b>A. Scope</b>	

## Section II Typical High-Risk Problems/Response Actions

High-Risk Factors/Potential Problems	Risk Response Actions
<b>A1. The scope of the project is poorly defined:</b> <ul style="list-style-type: none"><li>Hard to provide sound estimates</li><li>May spend time and cost on areas out of scope</li><li>Hard to gather concise requirement</li><li>Difficult to write project definition and work plan</li><li>Hard to invoke scope-change procedures</li><li>Project deliverables are poorly defined</li></ul>	<ul style="list-style-type: none"><li>Focus on firming up scope in the planning process</li><li>Define various components of scope, such as what departments are affected, what deliverables are expected, what type of information is required</li><li>Clearly define what is out of scope for the project</li><li>Begin to define business requirements at a high level and then work upward to define scope</li><li>Ask project sponsor to make decision on conflicting scope statements</li><li>Document all scope assumptions when providing estimates of work, cost, or duration</li><li>Use pictures or diagrams to communicate scope and options</li><li>Establish firm scope-change procedures up front</li><li>Ensure the project definition and business requirements are formally approved and signed off on</li><li>Distribute scope statements to all stakeholders for confirmation</li><li>Do not begin project until scope is clear</li></ul>
<b>A2. The business requirements of the project are vague or complex:</b> <ul style="list-style-type: none"><li>Difficult to document the requirement properly</li><li>Difficult to use tools to document the requirements</li><li>Difficult to understand what the expectations of the project are</li><li>Chance that the resulting solution will not meet business need</li><li>May be a sign of a lack of focus from the customer</li></ul>	<ul style="list-style-type: none"><li>Use joint application design (JAD) session to gather requirements from all stakeholders together</li><li>Utilize prototyping and iterative development techniques to assist users in discovering the requirements of the new system</li><li>Get access to the sponsor and to senior management to provide overall guidance</li><li>Provide training to the customers on how to think about and express business requirements</li><li>Ensure that the final business requirements are approved in writing and that a change-management procedure is enforced after that</li></ul>

## Section II Typical High-Risk Problems/Response Actions

High-Risk Factors/Potential Problems	Risk Response Actions
<p><b>A3. The system availability requirements are <i>continuous</i><sup>2</sup> :</b></p> <ul style="list-style-type: none"> <li>▪ Downtime problems may result in productivity decreases or loss of revenue</li> <li>▪ Redundancy may be needed, which increases system complexities</li> <li>▪ Newer advanced technology may be required</li> <li>▪ More procedures and processes are needed to maintain the system environment</li> </ul>	<ul style="list-style-type: none"> <li>▪ Allocate more time to analysis, design, testing, and overall quality assurance activities</li> <li>▪ Focus extra time and energy on technology architecture</li> <li>▪ Focus more time and energy on database design</li> <li>▪ Use industry best practices for all technology and process components</li> <li>▪ Provide appropriate training to the team so they understand the <i>continuous</i> implications on the project</li> <li>▪ Determine exactly what portions of the system have a <i>continuous</i> requirement</li> <li>▪ Look for internal or outside experts to validate overall technical design and architecture</li> <li>▪ Develop solid disaster recovery procedures</li> <li>▪ Develop a strong partnership with the hardware and software vendors</li> </ul>
<p><b>A4. High number of estimated effort hours:</b></p> <ul style="list-style-type: none"> <li>▪ Implication of a high number of effort hours is that there are many people involved and more complexity</li> <li>▪ Harder to communicate effectively with the team</li> <li>▪ Bottlenecks can occur when decisions are needed quickly</li> <li>▪ More chance of people problems</li> <li>▪ Increased chance of turnover</li> <li>▪ More people to train</li> </ul>	<ul style="list-style-type: none"> <li>▪ Use a project management tool to control resource utilization</li> <li>▪ Have team members utilize weekly status reports to report on progress against their assigned work plan activities</li> <li>▪ Utilize team leaders to manage subteams</li> <li>▪ Organize team-building activities to build cohesion</li> <li>▪ Schedule status meetings to keep people informed of project status</li> <li>▪ Utilize structured internal procedures for scope, issue, quality, and risk management</li> <li>▪ Break the project into smaller, shorter subprojects</li> <li>▪ Reduce available project work time per person, per day to recognize additional people and team-related activities</li> </ul>

<sup>2</sup> Uninterrupted (24 hours per day, seven days a week).

## Section II Typical High-Risk Problems/Response Actions

High-Risk Factors/Potential Problems	Risk Response Actions
<b>A5. The quality of current data is poor and difficult to convert:</b> <ul style="list-style-type: none"><li>More work to convert the old data to the new system</li><li>Scrubbed data may still cause problems in the new system</li><li>Data conversion problems can cause significant project delays</li></ul>	<ul style="list-style-type: none"><li>Make sure that all the old data elements are correctly mapped to the new system</li><li>Test the conversion process out rigorously before proceeding with final conversion</li><li>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.</li><li>Keep the old system around for some period to access the old data</li><li>Spend the effort to manually clean up the old data as much as possible before conversion</li></ul>
<b>A6. Package implementation requires heavy customization:</b> <ul style="list-style-type: none"><li>Customization brings added complexity to the project</li><li>Making modifications may result in something else breaking</li><li>Customization can lead to poor performance</li><li>Customization can complicate migrating to newer releases</li><li>Heavy customization may mean that the wrong package was selected</li><li>Package will probably take longer to implement</li><li>Customization will require more reliance on the vendor</li></ul>	<ul style="list-style-type: none"><li>Consider other packages</li><li>Consider custom development</li><li>Cut back on the business requirements so that customizations are not required</li><li>Get a firm estimate of the cost and duration of the modifications from the vendor and build into your overall work plan</li><li>Manage the vendor relationship to ensure all needed work is completed on schedule</li><li>Make sure the sponsor has approved the customizations being proposed</li><li>Thoroughly test the modified package for functionality and performance</li><li>Maintain a vendor log to track issues and milestones</li></ul>
<b>A7. Package implementation is a new product or release:</b> <ul style="list-style-type: none"><li>Greater chance of problems surfacing</li><li>More reliance on the vendor to ensure problems are corrected quickly</li><li>Installation, testing, and deployment will take longer</li><li>Hard to know up front whether the package meets all the business requirements</li></ul>	<ul style="list-style-type: none"><li>Schedule training on the package as early in the project as possible</li><li>Add an internal resource, or a consultant, with prior product experience onto the project</li><li>Schedule a pilot test or a prototype to gain familiarity with the package before full implementation</li><li>Establish agreements with the vendor stipulating support level and problem resolution times</li><li>See if the project can be delayed until other companies have utilized the product</li><li>Seek out other companies that have used the product for their feedback and key learnings</li></ul>
<b>B. Schedule</b>	

## Section II Typical High-Risk Problems/Response Actions

High-Risk Factors/Potential Problems	Risk Response Actions
<p><b>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:</b></p> <ul style="list-style-type: none"> <li>▪ Work must be scheduled to fit within this schedule constraint</li> <li>▪ Given schedule window may be impossible to accommodate required activities</li> <li>▪ Most likely the schedule requirements will be impossible to meet</li> <li>▪ Hurried activity and schedule pressures are likely to cause inadvertent errors in work</li> </ul>	<ul style="list-style-type: none"> <li>▪ Re-negotiate schedule requirement to fit required activities.</li> <li>▪ Re-negotiate scope to limit to activities deemed doable in allotted time.</li> <li>▪ Establish new agreements with Customer/Owner/Sponsor based upon realistic estimates</li> <li>▪ Put aggressive project tracking and monitoring plans in place</li> <li>▪ Communicate status reports on regular basis</li> </ul>
<p><b>B2. Long estimated project duration:</b></p> <ul style="list-style-type: none"> <li>▪ Harder to manage the schedule</li> <li>▪ Easier for the team and the customer to drift or lose focus</li> <li>▪ More chance that project will lose organizational commitment</li> <li>▪ More chance business requirements will change</li> <li>▪ More chance of change in software or hardware versions</li> <li>▪ Difficult to instill sense of urgency at the beginning of project</li> <li>▪ More chance of team and customer turnover</li> </ul>	<ul style="list-style-type: none"> <li>▪ Break the project into smaller, shorter subprojects</li> <li>▪ Identify clear milestones to check that the project is on schedule</li> <li>▪ Be diligent using formal change management procedures</li> <li>▪ Rotate team members into different roles to keep up the interest level</li> <li>▪ Strive to get ahead of schedule as early as possible.</li> <li>▪ Instill a sense of urgency from the start of the project</li> <li>▪ Organize team-building activities to build cohesion and reduce friction</li> <li>▪ Ensure all major deliverables are formally approved, so that change management can be invoked afterward</li> <li>▪ Make technical design and architecture decisions as flexible as possible to account for potential changes</li> </ul>
<b>C. Budget</b>	
<p><b>C1. Project budget was not established with any proven tool or by any experienced person:</b></p> <ul style="list-style-type: none"> <li>▪ Budget will most likely not be accurate</li> <li>▪ Budget will not be structured in manor to facilitate tracking and control.</li> <li>▪ There will be unrealistic expectations for what can be accomplished within the budget.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Re-estimate the project using proven tools and experienced personnel</li> <li>▪ Revise scope to fit within the funding available</li> <li>▪ Don't start the project until a better budget can be established</li> </ul>
<p><b>C2. Project funding is less than the estimated cost and is unstable:</b></p> <ul style="list-style-type: none"> <li>▪ Project will be unable to fulfill expectations</li> <li>▪ Project will likely exceed it's funding</li> </ul>	<ul style="list-style-type: none"> <li>▪ Renegotiate scope to fit within the funding available</li> <li>▪ Don't start the project until an adequate budget or lesser scope is established</li> </ul>
<b>D. Project Linkages</b>	

## Section II Typical High-Risk Problems/Response Actions

High-Risk Factors/Potential Problems	Risk Response Actions
<b>D1. The project is highly dependent upon and cannot proceed without first receiving completed deliverables from another separate linkage project:</b> <ul style="list-style-type: none"><li>Things out the control of this project can adversely affect this project's outcome and ability to be successful</li><li>Delays in linkage project deliverables are likely to cause similar delays and increased project probability or delays in this project's schedule</li></ul>	<ul style="list-style-type: none"><li>Pursue revising either or both project schedules to allow for alignment of project deliverables.</li><li>Re-negotiate scope and/or schedule</li><li>Establish agreement with the linkage site to fulfill this project's needs and document the agreement</li><li>Close monitoring and coordination of both projects needs to be performed to minimize impact of the conflict.</li></ul>

### E. Human Resources

<b>E1. Project management experience is light:</b> <ul style="list-style-type: none"><li>May take longer to define the project and build work plan</li><li>May make more mistakes in judgment, causing rework and project delays</li><li>More difficulty organizing and managing a complex project</li><li>May not be familiar with sound project management practices</li><li>May not know when to call for help</li></ul>	<ul style="list-style-type: none"><li>Provide up-front project management training</li><li>Designate a more senior person to coach and mentor the project manager</li><li>Break the project into smaller pieces that are easier to manage</li><li>Put a strong quality-assurance process in place to ensure the project is on the right track</li><li>Make sure the major deliverables are formally approved</li><li>Utilize strong team leaders and team members to bring additional experience to bear</li></ul>
<b>E2. Project management processes are unfamiliar or will not be used:</b> <ul style="list-style-type: none"><li>Team may have a difficult time understanding how to raise issues, scope changes, and risks</li><li>Project may get out of control as the internal processes become more complex and harder to manage</li><li>Communication will tend to be poorer</li><li>Project deliverables might be completed in different formats</li><li>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</li><li>Chance that the project may be in trouble before it is recognized</li></ul>	<ul style="list-style-type: none"><li>Provide training to the project manager and project team on sound project management processes and procedures</li><li>Assign an experienced project management coach or mentor to the project</li><li>Break the project into smaller pieces that can be managed with less-rigorous project management</li><li>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</li><li>Create a solid communication plan to ensure everyone knows what's going on and can provide feedback</li><li>Solicit input on issues, risk, scope change, and quality concerns on an ongoing basis</li></ul>

## Section II Typical High-Risk Problems/Response Actions

High-Risk Factors/Potential Problems	Risk Response Actions
<b>E3. Project team is located in dispersed locations:</b> <ul style="list-style-type: none"><li>Harder to communicate effectively</li><li>Less team interaction and cohesion</li><li>Harder to build personal relationship with the entire team</li><li>Some members may feel isolated and not a part of the team</li><li>Technology problems may result in productivity decrease</li></ul>	<ul style="list-style-type: none"><li>Try to get the team into one location, at least for the length of the project</li><li>Create an aggressive communication plan to ensure the team communicates effectively</li><li>Hold regular meetings where the entire team meets face-to-face</li><li>Schedule team-building activities where the entire team meets face-to-face</li><li>Have backup methods to communicate if the primary technology fails</li><li>Maintain frequent contact by phone with remote team members</li><li>Create a central repository to hold the project documentation that all team members can access</li></ul>
<b>F. Management/Senior Leadership Support</b>	
<b>F1. The project sponsor is not identified or not enthusiastic:</b> <ul style="list-style-type: none"><li>Project may not get the resources it needs</li><li>Project may not have the long-term commitment needed</li><li>Political battles may delay the project</li><li>Issues and change requests may not be resolved in a timely manner</li></ul>	<ul style="list-style-type: none"><li>Establish a strong steering committee to help guide the project</li><li>Establish a process for resolving disputes between departments</li><li>Try to identify a different sponsor</li><li>Ask the sponsor to delegate full authority to another person who can act on their behalf</li><li>Don't start the project</li></ul>
<b>G. Business or Organizational Impacts</b>	
<b>G1. The project participant(s) providing content knowledge are either not available or not identified at this time:</b> <ul style="list-style-type: none"><li>Lack of content knowledge available to the project will adversely affect the ability to accurately complete the project</li><li>Project recipients will not be pleased with the project</li></ul>	<ul style="list-style-type: none"><li>Re-negotiate resource commitments to make content knowledge available to the project.</li><li>Re-negotiate schedule to obtain required content knowledge</li><li>Don't start the project</li></ul>

## Section II Typical High-Risk Problems/Response Actions

High-Risk Factors/Potential Problems	Risk Response Actions
<b>G2. Business processes and policies require substantial change:</b> <ul style="list-style-type: none"><li>Policy changes could delay the project</li><li>People will be confused with new processes, which will affect their ability to utilize the solution</li><li>Possibility that new processes will not be fully integrated at first</li><li>Possible void if new processes don't fully cover all contingencies</li><li>System functions may not be used if not supported by correct procedures</li><li>Substantial change in processes may result in destructive behavior</li></ul>	<ul style="list-style-type: none"><li>Document all current policies and processes and ensure that they are correct</li><li>Communicate precisely how the new processes differ from the old ones</li><li>Communicate potential changes as far in advance as possible</li><li>Ensure the customers are defining the process and policy changes</li><li>Have one person responsible for all process and policy changes</li><li>Create an aggressive communication plan to keep customers engaged and informed</li><li>Use the new processes in a pilot test or prototype first to ensure they are workable and correct</li><li>Include the successful implementation of new policies and processes as part of the performance criteria for managers</li><li>Be open to customer input on process changes—for better ideas and to allow them to feel they have impact</li></ul>
<b>G3. Changes to organization structure are substantial:</b> <ul style="list-style-type: none"><li>Organizational uncertainty can cause fear in the organization</li><li>People may not focus on project if they have organizational concerns</li><li>People may fear loss of jobs in a new organization</li><li>People may not use the system if they are unhappy with the organizational change</li><li>Uncertainty may cause decisions to be delayed</li><li>Organizational change may result in decisions made for political purposes</li></ul>	<ul style="list-style-type: none"><li>Document the concerns that come out of a new organization and look for ways to mitigate the concerns</li><li>Communicate early and often about the potential for change and the business reasons for it</li><li>Involve representatives from all stakeholder areas in the organizational design and options</li><li>Get human resources involved to deal with potential people issues</li></ul>
<b>G4. High number of departments are affected:</b> <ul style="list-style-type: none"><li>Coordination is more complex</li><li>Approvals can be more cumbersome and lengthy</li><li>More difficult to reach consensus</li><li>More people and groups to involve in planning and requirements</li><li>Harder to know the major stakeholders of the various departments</li><li>Implementation is harder and more complex</li></ul>	<ul style="list-style-type: none"><li>Establish a formal approval process</li><li>Create a steering committee to represent the entire stakeholder community</li><li>Keep the sponsor engaged and ready to intervene in the various departments</li><li>Include representative from each organization in requirements, quality assurance, and testing</li><li>Include opportunities for people from the various departments to meet and interact</li><li>Work with the team on strict adherence to overall project objectives and priorities</li><li>Use consensus-building techniques when at all possible</li></ul>

## Section II Typical High-Risk Problems/Response Actions

High-Risk Factors/Potential Problems	Risk Response Actions
<b>G5. Customer commitment level is passive/hard to engage:</b> <ul style="list-style-type: none"><li>May point out low confidence in the business value</li><li>Harder to get customer time and resources needed</li><li>Harder to gather business requirements</li><li>Customers may undermine or work against the project</li></ul>	<ul style="list-style-type: none"><li>Create an aggressive communication plan to keep customers engaged and communicate the business benefit</li><li>Create user group to surface concerns and build enthusiasm</li><li>Ask for customer participation in planning and requirements gathering</li><li>Ask for help from the sponsor to generate excitement</li><li>Look for opportunities to sell project in fun settings and contexts</li><li>Be proactive in gaining commitments for customer resources when you need them</li><li>Don't start the project</li></ul>
<b>H. Technology</b>	
<b>H1. The project technology is new and unfamiliar (or new releases):</b> <ul style="list-style-type: none"><li>Learning curve may result in lower initial productivity</li><li>May be integration problems between old and new technology</li><li>Resistance to technology changes may cause the project to be delayed</li><li>May be difficulty testing the new technology</li><li>Technology may not be installed or configured correctly, which will lead to project delays</li><li>New tools can lead to longer delivery times</li><li>New technology may require substantial conversion efforts</li><li>System performance may be poor while expertise is gained in optimizing and configuring the technology</li></ul>	<ul style="list-style-type: none"><li>Provide as much training on the new technology as practical, as early as possible</li><li>Train everyone who needs to install, use, or support the new technology</li><li>Make arrangements to rely on vendor technical specialists, when needed</li><li>Use outside consultants who are familiar with the technology</li><li>Make sure there is an adequate test environment where the technology can be utilized without affecting production</li><li>Ensure that solid analysis is completed regarding the new technology functions, features, and capabilities</li><li>Create procedures and standards for how the new technology should be utilized</li><li>Create a pilot test or prototype to utilize the new technology in a small way at first</li></ul>

## Section II Typical High-Risk Problems/Response Actions

High-Risk Factors/Potential Problems	Risk Response Actions
<b>H2. The technical requirements are new and complex:</b> <ul style="list-style-type: none"><li>May be difficult to understand the requirements and the implications of design decisions</li><li>May be integration issues between old and new technology</li><li>May be difficulty testing the complex technology</li><li>The more complex the technology, the greater the risk that problems will occur</li><li>Problems with incompatible technologies may not be uncovered until integration or system testing</li></ul>	<ul style="list-style-type: none"><li>Utilize system and technical design documents to clearly lay out how the technology fits together</li><li>Define the overall system technical architecture and have it approved by knowledgeable people in your company</li><li>Send the architecture proposal to outside consultants for further feedback and validation</li><li>Create a pilot test or prototype to utilize the new technology in a small way at first</li><li>Try to substitute more proven and familiar technology in the architecture</li><li>Utilize multiple products from the same vendor to ease integration complexities</li><li>Use products that utilize open standards and architectures to reduce the risk of integration problems</li></ul>
<b>H3. Subject matter is not well known by the project team:</b> <ul style="list-style-type: none"><li>Longer learning curve for project team members</li><li>The project may slip behind in the early portions of the project</li><li>No sense for whether business requirements make sense</li><li>Possibility that critical features or functions will be missed</li><li>Need to initially rely on customer for all subject-matter expertise</li></ul>	<ul style="list-style-type: none"><li>Take as much training as practical, as early on as possible</li><li>Bring the key customers onto the project team</li><li>Spend extra time understanding and documenting the requirements</li><li>Set up approval process for requirements that require multiple subject-matter experts</li><li>Use joint application design (JAD) session to gather requirements from all stakeholders together</li><li>Utilize more frequent walkthroughs and include the users</li><li>Build extra time into the estimates for application analysis and design activities</li></ul>

### I. Performance

<b>I1. Performance objectives are unclear or unstated or unrealistic (e.g. everything will be perfect)</b> <ul style="list-style-type: none"><li>The project team may be bogged down trying to meet minor performance objectives while the major ones are slipping away</li><li>The team may be subject to imposition of new performance requirements during the project if they are not written down at the start</li><li>This could be a no-win project since it is not possible to meet unrealistic objectives</li></ul>	<ul style="list-style-type: none"><li>Make sure that all performance objectives are in writing, agreed to by the project team and approved by the Sponsor</li><li>Insist that any change in expectations regarding performance objectives be issued as a formal Change Request</li></ul>
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organization  
name here

## Section II Typical High-Risk Problems/Response Actions

High-Risk Factors/Potential Problems	Risk Response Actions
<b>J. Project Management</b>	
<b>J1. Planning for this project is inconsistent, incomplete or in other ways of poor quality AND/OR there are problems with project process that must be addressed:</b> <ul style="list-style-type: none"><li>Work on the project may be uncoordinated and unproductive</li><li>The project may be subject to Scope Creep</li><li>With poor or absent project plans it is unlikely that the project will meet performance objectives</li></ul>	<ul style="list-style-type: none"><li>Follow the Organization's Project Management Methodology</li><li>Complete the recommended project templates and obtain approval from key stakeholders</li><li>Address and correct any identified project process issues</li><li>Follow and update the project plans throughout project execution</li></ul>
<b>K. Vendor</b>	
<b>K1. Package implementation is from a new vendor:</b> <ul style="list-style-type: none"><li>Possibility that vendor may not survive and leave you with no support</li><li>Upgrades may be in jeopardy if there are not enough sales in the marketplace</li><li>No prior relationships from which to build a quick partnership</li><li>Legal and financial concerns may delay contracts and the project</li></ul>	<ul style="list-style-type: none"><li>Make sure that all agreements with the vendor be in writing</li><li>Insist that source code be placed in escrow in case the company does not survive</li><li>Ask the vendor to be a part of the project team</li><li>Maintain a vendor log to track problems with the package</li><li>Make sure the vendor is financially sound</li><li>Establish agreements with the vendor stipulating support level and problem resolution times</li></ul>
<b>K2. Project requires over 50% contractors who may not yet be committed to the project?</b> <ul style="list-style-type: none"><li>Project lacking required staff at start</li><li>Schedule will be adversely impacted</li></ul>	<ul style="list-style-type: none"><li>Increase project management oversight of contractor personnel</li><li>Start of project should be delayed until staffed</li><li>Increased communications focus is a must</li></ul>
<b>L. Other (add as appropriate to project)</b>	
L1.	

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## 2. Project Risk Assessment Questionnaire / Signatures

**Project Name:**

**Project Manager:**

*I have reviewed the information contained in this Project Risk Assessment - Questionnaire and agree:*

Name	Title	Signature	Date (MM/DD/YYYY)
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*The signatures above indicate an understanding of the purpose and content of this document by those signing it. By signing this document, they agree to this as the formal Project Risk Assessment Questionnaire document.*