

This topic contains three risk management checklists.

The questions are designed to prompt you to think about risk in five focus areas, according to project status:

Focus areas	Subsections
Business considerations	Business case
	Company culture
	Consequences of failure
	External dependencies
	Suppliers
	Internal dependencies
	Project scope
User considerations	User expectations
	User impact
Technical considerations	Development environment
	System definition
	System design
	System testing
Project management considerations	Project organization
	Project objectives
	Project management processes
	Quality
	Health and safety
Implementation considerations	Skills and resources
	Training, documentation, and support
	Implementation plan

Table 1. Project status	
Questions	Comments
<p>Current Position</p> <p>Which one of the following describes your position?</p> <ul style="list-style-type: none"> · New project · Project in progress 	
<p>Life Cycle Status</p> <p>Which one of the following represents your current project status in life cycle terms?</p> <ul style="list-style-type: none"> · Project Identification · Project Endorsement · Project Definition · Organization · Start-up · Planning · Work <p>Requirements</p> <p>Design</p> <p>Build</p> <p>Test</p>	

Table 2. Business Case	
Questions	Comments
Is there a business case for this project ?	
Was it put together recently?	
Has the business case for this project been fully endorsed at board level, and has the approval to spend all the money required been confirmed	
Are any further board level decisions needed on any aspects of this project?	
Is the size of this investment (for instance in terms of effort, cost, amount of upheaval) significantly larger than the level which is normal for your organization?	
Does commitment to this project carry any implication of support to some future project?	
Is this a pilot project (that is, one requiring substantial up-front investment, but not in itself bringing substantial business benefits)?	
Does the business case allow for maintenance and on-going costs?	
If this project has been a long time going through the decision processes are there adequate plans for reviewing its implications with users and other senior management to ensure it is still viable?	
Table 3. Company culture	
Questions	Comments
Is your organization's management style suitable for the level and spread of decision-making required for this project?	
Will people from different reporting lines be working together on this project?	
Does your decision-making rely on a number of independent companies (for example, a consortium, franchises, dealer network)?	
Are there factions (such as unions, clients, user groups, dealers) which might resent or resist the change brought about by this project?	

Table 4. Consequences of failure	
Questions	Comments
Is this a project which your organization must undertake (for example, because failure to embark on it will put you at a serious competitive disadvantage, or because you simply cannot do business without it)?	
Is this a project in which your organization must succeed (for example, because once you have started implementing it there is no going back)?	
Table 5. External dependencies	
Questions	Comments
Will any aspects of this project be a matter of public comment (for example, in the press)?	
Is any part of this project being undertaken to meet legislative requirements?	
Does any part of this project depend on government legislation not yet in force?	
Are there any deadlines to be met which have been imposed from outside of the company?	
Table 6. Suppliers	
Questions	Comments
Are there any suppliers involved in this project?	
Is your estimate of the supplier involvement:	
· Less than 30% of the total project effort?	
· Between 30% and 50%?	
· Between 50% and 70%?	
· Greater than 70%?	
Have the suppliers previously worked successfully your company?	
Table 7. Internal dependencies	
Questions	Comments
Are there any internally imposed end-date pressures or other critical deadlines to be	



met?	
Is the success of this project dependent on the success of some other project?	
Are there other major changes to your company or business which are planned or going on at the same time as this project, and which might jeopardize its success?	



Table 8. Project scope	
Questions	Comments
Is this project different in nature from other projects which you have successfully undertaken in the recent past (for example, is it larger, more complex, more critical)?	
Has this type of project ever been successfully undertaken in your industry?	
Is this project <ul style="list-style-type: none"> · Wholly within your enterprise · Extending to wholly owned outlets (for example agents, franchises, dealers, suppliers)? · Extending to non-owned outlets (for example, agents, franchises, dealers, suppliers, clients)? 	
Is this project being undertaken <ul style="list-style-type: none"> · On a single site or adjacent sites? · On geographically dispersed sites in one country? · On pan-European sites? · Worldwide? 	

Table 9. User expectations	
Questions	Comments
Is the part of your organization into which the system is to be installed one where IT is seen as useful and valuable?	
Table 10. User impact	
Questions	Comments
Are you delivering to <ul style="list-style-type: none"> · A single user community (that is, department or function)? · Multiple user communities 	
Are your users; <ul style="list-style-type: none"> · Naïve end-users? · Already computer literate? 	
Is your user population: <ul style="list-style-type: none"> · Less than 100? · 101-1000? · 1001-3000? · Greater than 3000? 	
Will the system result in user departments having to learn a new way of life (for example, acquire new computing skills; undertake processes differently)?	
Do the users understand the impact the system will have on their working environment and day-to-day activities?	
Will the formal structure of your organization have to change significantly to use or take advantage of the system (for example, new departments, new lines of reporting or responsibility)?	
Will the user definitely agree any changes to his working practices required by the system?	
Do the users understand the extent of the end-user training needed for this type of	

system?	
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Table 11. IT and development environment	
Questions	Comments
Are you trying to do something which is considered leading edge technically in your part of the industry?	
Which of the following describe(s) the newness of the technology to be implemented? <ul style="list-style-type: none"> · Hardware exists on market and familiar to your people · Hardware exists on market but new to your people · Hardware brand new on market · Software exists on market and familiar to your people · Software exists on market but new to your people · Software brand new on market · Network exists on market and familiar to your people · Network exists on market but new to your people · Network brand new on market 	
If there is software to be developed, is it of a size or complexity which is greater than your organization has tackled before?	
Which one of the following best describes the development of your key software applications? <ul style="list-style-type: none"> · Off-shelf package(s), with no tailoring of code · Tailored package(s) by: Package supplier Your people Supplier · Custom-built package by: Your people A supplier 	
Will the system result in your IT department having to learn a new way of working	

(for example, 24-hour working; reorganized activities)?	
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Table 12. System definition	
Questions	Comments
Is the proposed system solution the most effective solution available today?	
Does the system solution comprise any unannounced products?	
Table 13. System design	
Questions	Comments
Will any of the critical components in the system be used for the first time in your organization?	
Will the system design involve combining components in a way which is non-standard or not sufficiently well proven?	
Are any of the requirements for the performance, capacity, reliability or availability of the system significantly more severe than you are used to achieving?	
Is there a source of expertise on any new components available in the U.K. (for example, supplier, other parts of your organization, other users)?	
Table 14. System testing	
Questions	Comments
Will your test plans include provision for one or more of the following? <ul style="list-style-type: none"> · Ongoing regression testing during the development of the system · A formal post-development system test phase · A formal user acceptance test · A usability test prior to implementation · A prototype · A pilot · A "beta" test 	

Table 15. Project organization	
Questions	Comments
Is there a project manager nominated for the project?	
Is the project manager the right person for the job (for example, has he/she handled a project of this size or complexity before)?	
Is a director or executive level manager clearly identified as "project sponsor"?	
Is the project sponsor the right person (the person who has most to gain in business terms when the project succeeds)?	
Will a project review board be set up?	
Is there a subproject structure and associated responsibilities which is sensible and workable?	
Will a project office be specified in the project organization?	
Table 16. Project objectives	
Questions	Comments
Are clear project goals and objectives established?	
Table 17. Project management processes	
Questions	Comments
Does your organization accept the importance of a formal project management system for this project?	
Will a planning tool being used?	
Table 18. Quality	
Questions	Comments
Will quality be defined for this project?	
Will there be a quality plan for key deliverables?	
Table 19. Health and safety	
Questions	Comments
Will health and safety considerations be reviewed and documented for this project?	

Is there a plan for everyone on the project, including any suppliers, to be made aware of their responsibilities regarding health and safety?	
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Table 20. Skills and resources	
Questions	Comments
Does the project involve people in different locations working together as a team?	
Is any part of the project heavily dependent on the drive, energy and skills of one individual in your organization?	
Have you got all the necessary project management skills and resources to support this project?	
Are some of your people being spread too thinly (perhaps because there are too many projects going on at once)?	
Will you be self-sufficient technically once the system is completed?	
Are people with the necessary skills and experience ³ committed to this project for the time required?	
Are all estimates of required resources INDEPENDENTLY validated?	
Table 21. Training, documentation, and support	
Questions	Comments
Is there someone in the project team responsible for ensuring that training happens (for example, manager of a Training Subproject)?	
Is there someone in the project team responsible for ensuring that documentation happens (for example, manager of a Documentation Subproject)?	
Is there someone in the project team responsible for ensuring that support happens (for example, manager of a Support or Help Desk Subproject)?	
Table 22. Implementation plan	
Questions	Comments
Are you trying to implement the system in a shorter time than you would normally allow for this sort of project?	
If this is a pilot, do your senior management fully understand its purpose and the ways its success will be measured?	

If the pilot project is successful, will your management definitely proceed with the follow-on project?	
Is implementation the total responsibility of a supplier (for example, delivery, installation, commissioning)?	

Table 23. Business case	
Questions	Comments
Is there a business case for this project ?	
Has the business case for this project been fully endorsed at board level, and has the approval to spend all the money required been confirmed?	
Does the business case allow for maintenance and on-going costs?	
Are any further board level decisions needed on any aspects of this project?	
If this project has been a long time going through the decision processes are there adequate plans for reviewing its implications with users and other senior management to ensure it is still viable?	
Table 24. Company culture	
Questions	Comments
Are people from different reporting lines working together on this project?	
Does your decision-making rely on a number of independent companies (for example, a consortium, franchises, dealer network)?	
Are there factions (such as unions, clients, user groups, dealers) which might resent or resist the change brought about by this project?	
Table 25. Consequences of failure	
Questions	Comments
Is this a project in which your organization must succeed (for example, because once you have started implementing it there is no going back)?	
Table 26. External factors	
Questions	Comments
Will any aspects of this project be a matter of public comment (for example, in the press)?	
Is any part of this project being undertaken to meet legislative requirements?	
Does any part of this project depend on government legislation not yet in force?	

Are there any deadlines to be met which have been imposed from outside of the company?	
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Table 27. Suppliers	
Questions	Comments
Are there any suppliers involved in this project?	
Is your estimate of the supplier involvement:	
· Less than 30% of the total project effort?	
· Between 30% and 50%?	
· Between 50% and 70%?	
· Greater than 70%?	
Are the suppliers working successfully with your project team?	
Table 28. Internal dependencies	
Questions	Comments
Are there any internally imposed end-date pressures or other critical deadlines to be met?	
Is the success of this project dependent on the success of some other project?	
Are there other major changes to your company or business which are planned or going on at the same time as this project, and which might jeopardize its success?	
Table 29. Project scope	
Questions	Comments
Is this project different in nature from other projects which you have successfully undertaken in the recent past (for example, is it larger, more complex, more critical)?	
Has this type of project ever been successfully undertaken in your industry?	
Is this project:	
· Wholly within your enterprise?	
· Extending to wholly owned outlets (for example, agents, franchises, dealers, suppliers)?	
· Extending to non-owned outlets (for example, agents, franchises, dealers, suppliers, clients)?	

Is this project being undertaken: <ul style="list-style-type: none">· On a single site or adjacent sites?· On geographically dispersed sites in one country?· On pan-European sites?· Worldwide?	
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Table 30. User expectations	
Questions	Comments
Is the part of your organization into which the system is to be installed one where IT is seen as useful and valuable?	
Are the system requirements clearly defined, well understood and endorsed by users and their management?	
Do the users know and agree the realistic dates by when they will really start to feel the benefits of the system?	
Do the users understand the real cost of the system (for example, in terms of extra work which they may have to do in order to provide data which will benefit someone else, not them; or work involved in collecting or cleaning data)?	
Has the application developer (your IT dept., supplier) worked with your users to understand and define the system requirements?	

Table 31. User impact	
Questions	Comments
Are you delivering to: <ul style="list-style-type: none"> · A single user community (that is, department or function)? · Multiple user communities? 	
Are your users: <ul style="list-style-type: none"> · Naive end-users? · Already computer literate? 	
Is your user population <ul style="list-style-type: none"> · Less than 100? · 101-1000? · 1001-3000? · Greater than 3000? 	
Will the system result in user departments having to learn a new way of life (for example, acquire new computing skills; undertake processes differently)?	
Do the users understand the impact the system will have on their working environment and day-to-day activities?	
Will the formal structure of your organization have to change significantly to use or take advantage of the system (for example, new departments, new lines of reporting or responsibility)?	
Have the users agreed to changes to their working practices, as required by the system?	
Do the users understand the extent of the end-user training needed for this type of system?	

Table 32. IT and development environment	
Questions	Comments
Are you trying to do something which is considered leading edge technically in your part of the industry?	
Which of the following describe(s) the newness of the technology to be implemented <ul style="list-style-type: none"> · Hardware exists on market and familiar to your people · Hardware exists on market but new to your people · Hardware brand new on market · Software exists on market and familiar to your people · Software exists on market but new to your people · Software brand new on market · Network exists on market and familiar to your people · Network exists on market but new to your people · Network brand new on market 	
If there is software to be developed, is it of a size or complexity which is greater than your organization has tackled before?	
Which one of the following best describes the development of your key software applications <ul style="list-style-type: none"> · Off-shelf package(s), with no tailoring of code · Tailored package(s) by <ul style="list-style-type: none"> - Package supplier - Your people - Supplier · Custom-built package by <ul style="list-style-type: none"> - Your people - A supplier 	
Will the system result in your IT department having to learn a new way of working (for example, 24-hour working; reorganized activities)?	

Have you planned adequate machine facilities for development and testing?	
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Table 33. System definition	
Questions	Comments
Is the proposed system solution still the most effective solution available today?	
Is the system solution documented and well understood by your people and by your suppliers?	
Does the system solution comprise any unannounced products?	
Table 34. System design	
Questions	Comments
Are any of the critical components in the system being used for the first time in your organization?	
Does the system design involve combining components in a way which is non-standard or not sufficiently well proven?	
Are any of the requirements for the performance, capacity, reliability or availability of the system significantly more severe than you are used to achieving?	
Is there a source of expertise on any new components available in the U.K. (for example, supplier, other parts of your organization, other users)?	
Table 35. System testing	
Questions	Comments
Do your test plans include provision for one or more of the following: <ul style="list-style-type: none"> · Ongoing regression testing during the development of the system · A formal post-development system test phase · A formal user acceptance test · A usability test prior to implementation · A prototype · A pilot · A "beta" test 	
Have you planned adequate time for testing your system?	

Table 36. Project organization	
Questions	Comments
Is there a project manager in charge of the project?	
Is the project manager the right person for the job?	
Is a director or executive level manager clearly identified as "project sponsor"?	
Is the project sponsor the right person (the person who has most to gain in business terms when the project succeeds)?	
Is there a project review board in place?	
Is there a subproject structure and associated responsibilities which is sensible and workable?	
Is there a project office?	
Table 37. Project objectives	
Questions	Comments
Are clear project goals and objectives established?	
Is there a full range of tasks to achieve the objectives?	
Table 38. Project management processes	
Questions	Comments
Is there a formal project management system for this project?	
Is there a process in place for the management of changes and issues, and is it working?	
Is there a detailed project plan, showing activities and resources over time?	
Is a planning tool being used?	
Are there milestones which are being achieved?	
Is there a process for managing project risk, and is it working?	
Is there a structured review process in place?	
If there are suppliers involved, are they subscribing to the project management processes for the project?	

Table 39. Quality	
Questions	Comments
Has quality been defined for this project?	
Is there a quality plan for key deliverables?	
Are quality reviews being carried out?	
Table 40. Health and safety	
Questions	Comments
Have health and safety considerations been reviewed and documented for this project?	
Is everyone on the project, including any suppliers, aware of their responsibilities regarding health and safety?	
Table 41. Skills and resources	
Questions	Comments
Does the project involve people in different locations working together as a team?	
Is any part of the project heavily dependent on the drive, energy and skills of one individual in your organization?	
Have you got all the necessary project management skills and resources to support this project?	
Are some of your people being spread too thinly (perhaps because there are too many projects going on at once)?	
Will you be self-sufficient technically once the system is completed?	
Are people with the necessary skills and experience committed to this project for the time required?	
Have all estimates of required resources been INDEPENDENTLY validated?	

Table 42. Training, documentation, and support	
Questions	Comments
Is there a viable training plan for end-users, service providers and support staff?	
Is there someone in the project team responsible for ensuring that training happens (for example, manager of a Training Subproject)?	
Is there a viable documentation plan for end-users, service providers and support staff?	
Is there someone in the project team responsible for ensuring that documentation happens (for example, manager of a Documentation Subproject)?	
Is there a viable support plan for end-users and service providers?	
Is there someone in the project team responsible for ensuring that support happens (for example, manager of a Support or Help Desk Subproject)?	
Table 43. Implementation plan	
Questions	Comments
Is there an Implementation Plan?	
Are you trying to implement the system in a shorter time than you would normally allow for this sort of project?	
If this is a pilot, do your senior management fully understand its purpose and the ways its success will be measured?	
If the pilot project is successful, will your management definitely proceed with the follow-on project?	
Is implementation the total responsibility of a supplier (for example, delivery, installation, commissioning)?	