

Risk ID Brainstorming Checklist

- (1) Schedule
- (2) Cost (initial)
- (3) Cost (life cycle)
- (4) Technical obsolescence
- (5) Feasibility
- (6) Reliability of systems
- (7) Dependencies and interoperability between this project and others
- (8) Surety (asset protection) considerations
- (9) Risk of creating a monopoly for future procurement
- (10) Capability of agency to manage the project
- (11) Overall risk of project failure
- (12) Organizational and Change Management
- (13) Business
- (14) Data/Info
- (15) Technology
- (16) Strategic
- (17) Security
- (18) Privacy
- (19) Project Resources

1. Schedule

- 1) Have all schedule, resources, and product definition been dictated by the customer or upper management and are not in balance?
- 2) Is schedule optimistic, "best case," rather than realistic, "expected case"?
- 3) Are schedules overly aggressive with no slack time? Do you anticipate compromises in product quality or unrealistic estimates of delivery dates?
- 4) Was schedule built without Management Reserve (float)?
- 5) Is there MR (float), but no plan to manage the use of this MR (float)?
- 6) Does schedule omit necessary tasks?
- 7) Was schedule based on the use of the skills/knowledge of specific team members? Are those team members guaranteed resources?
- 8) Does schedule account for time to correct defects found in testing?
- 9) Can you build the product of the size specified in the time allocated?
- 10) Is estimate of effort growing (per line of code, function point, module, etc.)
- 11) Does re-estimation in response to schedule slips seem overly optimistic or ignore project history?
- 12) Has the target date been moved up with no corresponding adjustment to the product scope or available resources?
- 13) Is there a delay in any task that could cause cascading delays in dependent tasks?
- 14) Has enough time been scheduled to design and implement unfamiliar areas of the product?
- 15) Are there task prerequisites that cannot be completed on time?
- 16) Are there potential budget cuts that could upset project plans?
- 17) Will it be difficult to receive additional project funding, if needed?

- 18) Were estimates based on actual effort for similar processes and deliverables?
- 19) Are schedule dependencies on other organizations identified and managed?
- 20) Are risk management activities incorporated into the schedule?
- 21) Can GFE/GFI be provided when required to meet the schedule?

2. Cost (initial)

- 1) Is estimate of product growing (in lines of code, function points, or percentage of previous project's size)?
- 2) Are project plans abandoned under pressure, resulting in chaotic, inefficient development?
- 3) Were estimates based on actual effort for similar processes and deliverables?
- 4) Are the bid rates adequate for the required staff skills?

3. Cost (life-cycle)

- 1) Are estimates provided for only the initial costs – with no estimates provided for future years?
- 2) Is the initial implementation cost suspiciously low or “too good to be true”?

4. Technical Obsolescence

- 1) Is the solution rigid and not easily evolved?
- 2) Does the solution require more-than-necessary investment in customization – resulting in barriers to upgrade/evolution?
- 3) Does the solution depend upon components that could be withdrawn/absorbed by the marketplace?

5. Feasibility

- 1) Is the design environment adequate?
- 2) Is the development environment adequate?
- 3) Is the test environment adequate?
- 4) Is the deployment environment adequate?
- 5) Will new or unfamiliar development tools be used?
- 6) Is the technical infrastructure adequate?
- 7) Are the requirements technically complex or innovative?
- 8) Will sufficient technical support be committed to the project?
- 9) Is there high confidence in the COTS evaluation?
- 10) Are there problems with COTS integration?
- 11) Are there problems with integration with non-COTS?
- 12) Are there problems with interface specifications?
- 13) Are there problem with interfaces with other systems?
- 14) Is the design overly simple?
- 15) Does the design fail to address major issues and lead to redesign and re-implementation?
- 16) Is the design too complex for the problem?
- 17) Is the design feasible?
- 18) Are the systems being used reliable?
- 19) Is there a process for timely correction of defects?
- 20) Are code or class libraries well managed throughout testing, defect correction, and rework activities?

- 21) Are schedule savings from productivity enhancing tools overestimated?
- 22) Can separately developed components be integrated easily, without requiring redesign and rework?
- 23) Has 508 compliance requirements been considered?
- 24) Has end-to-end performance with residual GOTS/COTS been considered in the requirements and testing?

6. Reliability of Systems

- 1) Have adequate availability and data accuracy requirements been implemented?
- 2) Has performance testing been considered?
- 3) Has load testing been considered?
- 4) Have back-up and restore exercises been planned and conducted?
- 5) Are there disaster recovery plan in place?
- 6) Are their disaster recovery exercises planned and conducted?
- 7) Have adequate plans been made if solution use is higher than expected?

7. Dependencies and interoperability between this project and others

- 1) Is this project dependent upon unfinished/unproven portion of another project?
- 2) Has the needed data from other project been verified to exist?
- 3) Are other projects dependent upon this project?

8. Surety (asset protection) considerations

- 1) Have adequate control procedures been implemented and enforced for all physical assets/hardware – from request through receipt and deployment?
- 2) Are all physical assets (computers, servers, infrastructure) secure from unauthorized **physical** access and sabotage?
- 3) Are all physical assets (computers, servers, infrastructure) secure from unauthorized **electronic** access and sabotage?
- 4) Has penetration testing been planned for the solution?
- 5) Have adequate control procedures been implemented and enforced for all electronic assets?
- 6) Are all electronic assets backed-up and stored off-site on a regular basis?

9. Risk of creating a monopoly for future procurements

- 1) Does the contractor's technical approach limit competition by other contractors for future work on the project?
- 2) Are there multiple vendors/contractors available to bid on the project?

10. Capability of agency to manage the project

- 1) Are their sufficient IRS resources available to oversee the project?
- 2) Are their adequate skill-sets in assigned Acquisition Organization resources?
- 3) Will business operating unit be staffed, trained and funded to use the products?

11. Overall risk of project failure

- 1) Are project plans abandoned under pressure, resulting in chaotic, inefficient development?
- 2) Does management place more emphasis on heroics than accurate status reporting, which undercuts its ability to detect and correct problems?

- 3) Are all the vendors/contractors viable (i.e. sufficient non-committed resources available during project performance time frame, no conflict of interests)?
- 4) Are there licensing issues with potential COTS?
- 5) Can a task order be awarded in time for the vendor/contractor to perform with some schedule slack?
- 6) Is full funding available for the project?
- 7) Is sufficient partial funding available to start the project?
- 8) Can the business value be delivered in the time frame promised in the business case?

12. Organizational and Change Management

- 1) Does project have an effective top-management sponsor?
- 2) Will potential layoffs and cutbacks affect user willingness to accept system?
- 3) Is management review/decision cycle too slow to support schedule?
- 4) Does management makes decisions that reduce the development team's motivation?
- 5) Do non-technical third-party tasks take longer than expected (budget approval, equipment purchase approval, legal reviews, security clearances, etc.)?
- 6) Do stakeholders often change requirements?
- 7) Have requirements been baselined but continue to change and grow?
- 8) Is there a change management process? If yes is it being followed?
- 9) Does inaccurate quality tracking result in not knowing about quality problems that affect the schedule until late in the project?
- 10) Will maintenance organization be staffed, trained, and funded to take over maintenance of the products?
- 11) Will infrastructure support groups be ready for deployment of products (hardware, software licenses, network, help desk)?
- 12) Will business operating unit be staffed, trained and funded to use the products?
- 13) Is Acquisition Organization capable of managing the project?

13. Business

- 1) Has the business case remained persuasive?
- 2) Will project objectives be redefined?
- 3) Will the stakeholders' priorities change?
- 4) Are changes predicted to government regulations which could change the Product ?
- 5) Is another organization duplicating the efforts of this project?
- 6) Have all stakeholders been included in planning?
- 7) Have lessons learned been reviewed and leveraged?
- 8) Is this project being managed within the requirements of the enterprise architecture?

14. Data/Info

- 1) Is data used on this project reliable?
- 2) Is the data used on this project accessible?
- 3) Will the data be available in time to conform to the schedule?
- 4) Are there disconnects between data sources and users?
- 5) Is the source of the data scheduled to be replaced in the next 2-3 years?

15. Technology

- 1) Will the product be operated in an unfamiliar or unproved software environment?
- 2) Will the product be operated in an unfamiliar or unproved hardware environment?
- 3) Can the contractor provide the level of technical performance needed?
- 4) Does the contractor believe the project is technically feasible?
- 5) Is the project dependent on a developing technology that could lengthen the schedule?
- 6) Are all of the technology requirements included in the enterprise architecture?
- 7) Will the underlying technology be obsolete in less than 5 years?

16. Strategic

- 1) Does this project map to the Vision and Strategy?
- 2) Is there a defined acquisition/decision strategy?
- 3) Are there contract incentives available?
- 4) Are there defined contract compliance measures?
- 5) Are there legal/regulatory issues?

17. Privacy

- 1) Is a Privacy Impact Assessment planned?
- 2) Has a Privacy Impact Assessment been conducted? What were the results?

18. Security

- 1) Is there a plan to address all the elements of security assessments?
- 2) Are there problems with COTS meeting security requirements?
- 3) Is the security concept of operation defined?
- 4) Are there problems with Security Test and Evaluation Certification/Accreditation?
- 5) Is there a security standard?
- 6) Is the project in conformance with the security standard?
- 7) Are there known system vulnerabilities with the solution for the project?
- 8) Is security funding in place?
- 9) Does the project meet federal statutory and regulatory security requirements?
- 10) Does the project have an up-to-date security plan?
- 11) Has incident handling capability been planned for and tested?
- 12) Are security controls and authentication tools to protect privacy in place?

19. Project Resources

- 1) Is the staff build-up plan practical?
- 2) Does the project plan accommodate the staff's learning curve?
- 3) Does the project have a plan to efficiently integrate new staff?
- 4) Are the personnel most qualified to work on the project available for the project?
- 5) Can personnel with critical skills needed for the project be found?
- 6) Are key personnel available only part time?
- 7) Do people's assignments match their strengths?
- 8) Is the work space and work environment adequate?
- 9) Are resource dependencies on other organizations identified and managed?
- 10) Is succession planning in place for project resources?