

DEPARTMENT OF CORRECTION  	<b>SUPPORT Management Services</b>	<b>DIRECTIVE NUMBER:</b> 141.03.04.003	<b>PAGE NUMBER:</b> 1 of 11
		<b>SUBJECT:</b> Correctional Integration Systems Risk Management Plan	Adopted: 02-23-04

## **01.00.00. POLICY OF THE DEPARTMENT**

It is the policy of the Board of Correction that the Department of Correction shall establish guidelines for the efficient and appropriate use of computers, electronic mail (e-mail), and the Internet by Department employees.

### **01.01.00. PURPOSE**

Risks are defined as any event that is likely to adversely affect project deliverables. The risk management process describes how project risks are identified, documented and managed by the Idaho Department of Corrections. Participant's roles, responsibilities, and steps are defined for the risk process and activities. The risk management process also assists the individual project manager (internal or contracted) to address and track risks by providing a mechanism to both measure and control project risks.

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Department Policy 141, Computer, Electronic Mail, And Internet Use.

**04.00.00. DEFINITIONS**

Avoidance Mitigation. Directed at removing the cause of the risk by analyzing the situation and determining the elements that are creating the risk. Avoidance mitigation should be approached with care as it may include: not continuing the project or not bidding a project that is perceived as too high a risk to the business; leaving the risk with the customer if the customer could best mitigate the risk at a more acceptable price; acceptance of an alternative lower risk technology path that may reduce quality performance or a less acceptable solution; and, escape clauses included in the contract.

Contingency Mitigation. Comprised of time, funds, or both to cover risks that are assessed to be of a low impact/probability, and for risks that have not been revealed during the identification process. Contingency includes concerns, doubts, and/or apprehensions that may turn into risks if neglected.

Contingency Plan. A plan designed to deal with a particular problem, emergency, or state of affairs if it should occur.

Department. The state Department of Correction.

Generic Risk. Common risks for all software projects. For example, misunderstanding the requirements or insufficient time for testing.

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Management Mitigation. Comprised of the majority of risks that causes daily problems to the Project Manager including: risks that require continuous management activity; may require trigger events to be inserted or identified within project network; and, usually imposes higher reporting and monitoring procedures.

Mitigation. An action and the incurring cost to change exposure to a risk proactively while the perceived outcome is still a risk that may or may not occur. Also, see avoidance mitigation, contingency mitigation, management mitigation, reduction mitigation, and transference mitigation.

Project Risk. The chance of a project being impacted - normally, negatively, etc. Type of risk vary, but can include: risk of failure (lack of effectiveness of system); and, risk of Impairments to the system (money, resources, hardware constraints).

Project Specific Risks. Threats that result from particular vulnerabilities of the given project (i.e., a vendor promises a delivery date, but there is a possibility the product will not be ready on time).

Reduction Mitigation. Utilized to avoid, transfer, or accept the risks (requires procurement of mitigation path options).

Risk. Any event that is likely to adversely affect project production of the required deliverables. Also, see generic risks, involuntary risks, project specific risks, strategic risks, technological risks, and voluntary risks.

Risk Exposure. The term used for the impact and the probability of a risk to a project.

Risk Form. The form completed by the risk originator and submitted to the project manager.

Risk ID. A unique number assigned to each identified risk within the register.

Risk Management. The technique of determining, minimizing, and preventing accidental loss in a business. (i.e., taking safety measures to detour the risk).

Risk Register. Spreadsheet tool utilized by the project manger to track all identified project risks.

Risk Top Ten List. Risk items that have the highest estimated risk exposure.

Strategic Risks. The degree of alignment that exists between the project objectives and the Department's business objectives.

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Transference Mitigation. Comprised of passing the risks onto others more capable of managing the risks (i.e., transferring the activities onto sub-contractors who understand the subject information or the services of specialist consultants to support the project team in their activities). Transference relies mainly on expenditure of additional monies.

Technological Risks. The degree a plan ensures that the deliverables meet the needs of the users.

Voluntary Risks. Items that the Project Team is aware of but chooses to proceed with the project (i.e., inexperienced people on the project).

#### **05.00.00. SCOPE**

The risk management process should be used when assessing large Information Technology implementation projects. The primary individuals affected by this document would be a project manager and a risk assessment manager.

#### **06.00.00. RESPONSIBILITY**

The following roles and responsibilities are a breakdown for all resources involved with the identification, review, and mitigation of risks within a project.

##### **06.01.00. Project Manager**

The project manager is responsible for planning, organizing, staffing, controlling, and directing all activities of a project.

Note: If a risk assessment manager is not available, all responsibilities are transferred to the project manager. In the event of a contracted project manager these responsibilities are completed by the Department contract administrator or designee.

The project manager is responsible for the overall management of the project and receives, records, and monitors the progress of all risks within a project. Duties and responsibilities of the project manager include:

- Solicits input from all stakeholders regarding risk(s) for each phase of the project to develop a project risk log;

- Reviews contingency plans for adequacy;

- Confers with the risk assessment manager (if applicable) in the development of the top ten risk list;

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Presents the top ten risks to the risk or project management team;

Notifies stakeholders and solicits feedback regarding top ten list;

Allocates resources and assigns individual responsibilities for risk mitigating actions;

Monitors the progress of assigned risk mitigating actions to ensure timely completion;

Identifies change requests to mitigate risks;

Reviews the status of all risk mitigation efforts and new risk items;

Closes project risks in the risk registry when there are no outstanding risk actions and the risk is not likely to impact the project;

Submits updated information for the top ten risks to the risk assessment manager; and

Reports updated information to the executive team.

#### **06.02.00. Risk Originator**

The risk originator is any stakeholder. Duties and responsibilities of the risk originator include:

Identifies a risk applicable to a particular aspect of the project (i.e. scope, deliverables, timeframe, organization);

Documents the risk by completing a risk form; and

Submits the risk form to project manager to be entered on the project risk log and sent to the risk assessment manager.

#### **06.03.00. Risk Assessment Manager**

The risk assessment manager (may not be applicable on smaller projects) is normally assigned by executive management, an external consultant, or the Department's quality assurance manager. Duties and responsibilities of the risk assessment manager include:

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Receives submitted risk forms;

Assesses the risk's impact and probability;

Records assessed risks and assigns unique tracking number in the risk registry;

Identifies additional risks from the project risk list that are likely to pertain to the project (as necessary);

Develops the top ten list in conjunction with the project manager;

Notifies the project manager of new risk items as identified; and

Updates status of the top ten risks in the risk registry.

#### **06.04.00. Stakeholders**

The stakeholders are identified as all significant involved parties.

#### **06.05.00. Risk Management Team**

The risk management team is selected by project team members and can contain consultant staff. Duties and responsibilities of the risk management team include:

Assesses the top ten list in conjunction with the project manager;

Reviews risk action status/completion; and

Assists with the decisions for contingency plans.

#### **06.06.00. Project Team Members**

The project team members are employees whom have been selected based upon their subject matter expertise by division administrators, division business managers, and wardens (facility heads) from each area. Duties and responsibilities of the project team members include:

Perform assigned steps of the risk mitigation action plan; and

Report progress to the project manager.

#### **07.00.00. PROCEDURE**

The risk management process consists of the following six (6) steps:

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Identify project risks;

Register risks in the project risk registry;

Assess and prioritize project risks;

Determine a risk action plan;

Monitor and control actions for risk management/mitigation; and  
Close project risks.

#### **07.01.00. Identify Project Risks**

The first step of risk management is to identify risks specific to the project. Project risks may be identified by any stakeholder; however, the project manager generally identifies the initial list of risks.

Contracted project managers are responsible for identifying risks through collaboration with appropriate functional and technical staff, but documentation is maintained and updated by the Department project manager.

A list of typical project risks is found in Attachment D. This list can be used as part of the risk identification process. The risk originator may also identify pertinent project obstacles using other methods. A risk normally impacts the project budget, program schedule, and/or project functionality. As each project risk is identified, the following tasks should be accomplished:

The person identifying the risk, (risk originator), identifies a risk that applies to a particular aspect of the project (i.e. scope, deliverables, timescales, organization) and completes a risk form; and

Each risk form is submitted to the project manager.

#### **07.02.00. Register Risks In The Project Risk Registry**

The project manager or risk assessment manager enters the risk on the project risk registry, assigns a unique risk tracking number, and submits the risk form to the risk assessment manager. These numbered risks are documented in the risk registry posted weekly or monthly (depending on the size and length of the project) to the Department intranet site under the applicable project.

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The risk registry is reviewed by the project manager and the risk assessment manager. The registry is used to document newly identified risks and to update information on previously identified risks. Risk registry updates and decisions will be outlined during weekly project meetings.

#### **07.03.00. Assess And Prioritize Risk Exposure**

The project manager and the risk assessment manager review all risk forms and determine the impact to the project and the probability of occurrence. Each risk determined by the risk assessment manager to affect the project or program is assigned a risk rating, referred to as the estimated risk exposure. The risk items that have the highest estimated risk exposure are ranked in the project's top ten risk list. (Some projects may have less than ten (10) risks.)

#### **07.04.00. Determine A Risk Action Plan**

The project manager and the risk management team determine an action plan for the top ten project risks by:

Evaluating the best risk mitigation option and selecting mitigation actions;

Developing an implementation schedule for each action;

Completing a change request form if a risk requires expansion of actions for mitigation (allocate the risk to other systems, reassign project resources, re-prioritize the risk actions, etc.); and

Assigning risk mitigation actions.

#### **07.05.00. Monitor And Control Actions For Risk Management/Mitigation**

The frequency of risk review depends on length and nature of the project. To successfully monitor and control the risks, the project manager will re-evaluate and modify the individual and global risk status as it applies to the Department's business objectives and also upon probability and impact. These steps include:

Re-assess previously inconsequential risks to ensure the risk remains properly assessed;

Identify and analyze any new risk items and add to the risk registry as necessary;

Communicate risk item status to all stakeholders;

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Confer with the project team about risk action problems and review methods/successes of completed actions;

Prepare executive management team status update report;

Based on the assessment of the risks, the project manager will:

Assign new/additional risk actions (accept and control risks with project resources);

Close the risk in the risk registry when there are no outstanding risk actions and the risk is not likely to impact the project (risk actions have altered project requirements for performance or functionality);

The project manager sends updated impact and probability information of each remaining risk to the risk assessment manager to regenerate the top ten list; and

The project manager should continue to monitor risk until risks actions are satisfactorily completed.

#### **07.06.00. Close Project Risks**

A risk item may be considered closed when:

The risk meets the planned mitigation actions;

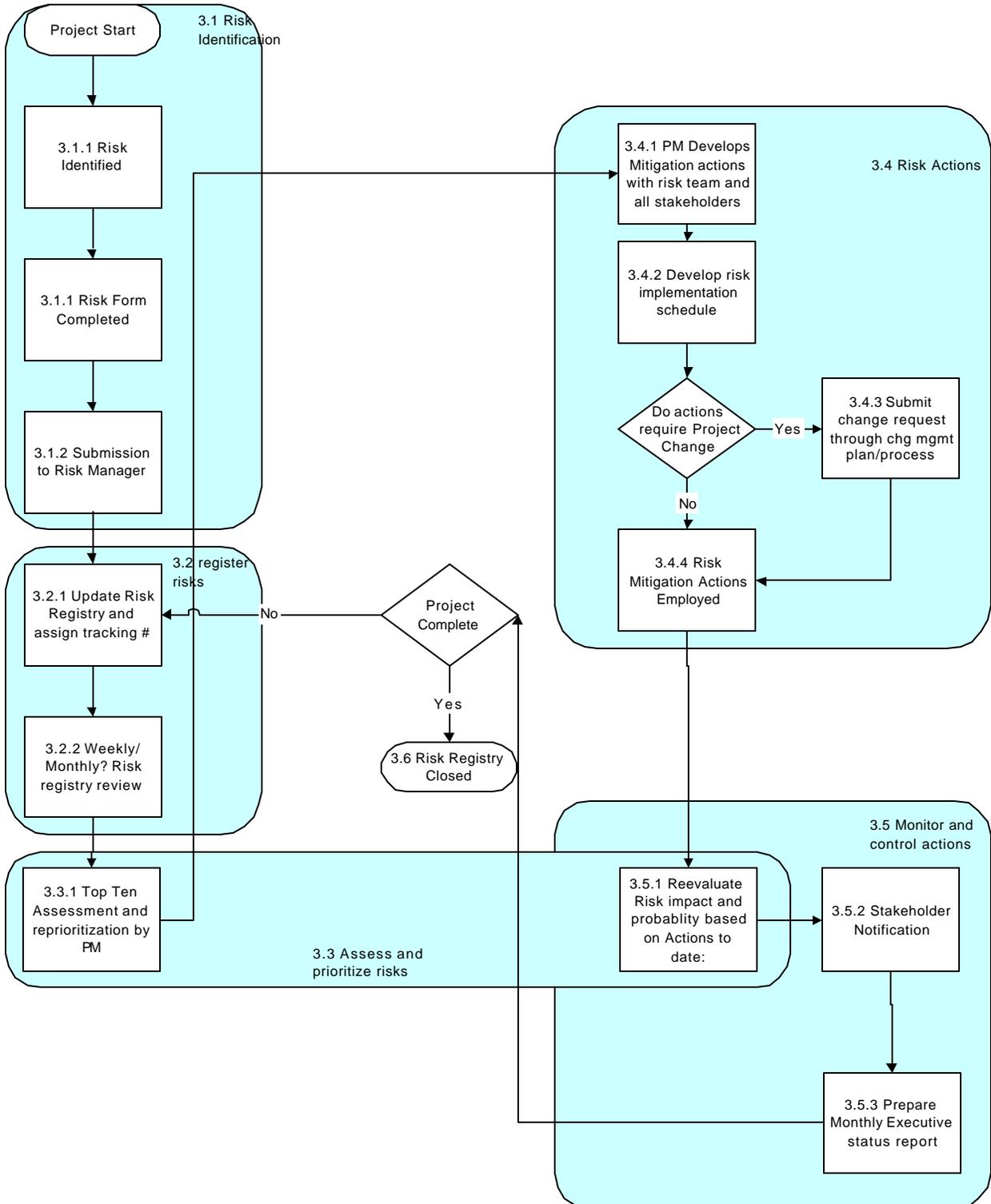
The risk is determined not applicable; or

The estimated risk exposure is minimized or eliminated.

The risk registry and the top ten list are updated by the risk assessment manager and posted to Department intranet under the appropriate project link for review. Upon project completion, all risk information is included and archived with the project's documentation.

#### **08.00.00. FLOW CHART**

(See Flow Chart located on next page.)



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**Administrator, Support**

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**Date**

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**Idaho Department Of Correction  
Risk Form**

The risk form is used to identify project risk and can be completed by any stakeholder or project team member (risk originator).

<b>RISK FORM</b>		
(Completed by the Risk Originator)		
Risk Title:	Origination Date:	
Originated by:		
Description:		
(Completed by the Project Manager)		
Project Manager:	Date Risk Form entered in Project Risk Registry:	
Additional Risk Information (when appropriate):		
(Completed by the Risk Assessment Manager)		
Impact:	Probability:	Opportunity or Threat:
Risk Assessment Score:	Risk ID:	
(Completed by the Project Manager)		
Summary of Risk Action Plan:		
Mitigation Approach:		
Contingency Plan Proposal:		
(Completed by Assigned Team Member to complete action)		
Risk Task Title:		
Assigned Team Member:	Start Date:	
Completion Measures:		
(Completed by the Project Manager)		
Review Date(s):	Status:	
Review Date(s):	Status:	
Risk Closing Date:	Comments:	



## Idaho Department Of Correction Risk Exposure Matrix

Once project risks (events) have been identified, assigned a risk number and put on the risk registry, the risk exposure is to be accomplished. This section explains the purpose of the risk exposure matrix, how to use it and what the results mean.

**PURPOSE** - The risk exposure matrix is a tool which the project manager and project team may use to assess specific project risks taking into consideration the probability and impact. Probability is the likelihood of the risk event occurring and impact is the severity of the impact should the risk event occur.

**USING THE MATRIX** - To assess the risk event: determine the probability of the risk event occurring; determine the impact (severity) if the risk event occurred; and plot risk events on the Risk Assessment Matrix.

**RESULTS** - The results (where the two (2) assessed values meet) will determine whether contingency or mitigation is necessary:

Gray Risk      Requires no mitigation or contingency plan

Yellow Risk    Suggests mitigation or contingency plan

Red Risk        Requires mitigation, pre-emptive, or contingency plan

IMPACT(Severity if risk occurred)	High 10 9 8	Gray Risk	Yellow Risk Software project risk management takes more time than expected.	Red Risk
	Medium 7 6 5 4		Yellow Risk	Yellow Risk
	Low 3 2 1			Gray Risk
		Low 1    2    3	Medium 4    5    6    7	High 8    9    10
0	Probability (Likelihood of risk occurring)			

## **Idaho Department Of Correction Typical Project Risks List**

(A list of typical project risks as obtained from Information Technology Resource Management Council (ITRMC), State of Idaho) [http://www2.state.id.us/itrmc/resources/ram\\_index.htm](http://www2.state.id.us/itrmc/resources/ram_index.htm)

### **Schedule creation**

Typical risks within schedule creation include:

Schedule, resources, and product definition have all been dictated by the customer or upper management and are not in balance;

Schedule is optimistic, best case, rather than realistic, expected case;

Schedule omits necessary tasks;

Schedule was based on the use of specific team members, but those team members were not available;

Cannot build a product of the size specified in the time allocated;

Product is larger than estimated (in lines of code, function points, or percentage of previous project's size);

Effort is greater than estimated (per line of code, function point, module, etc.);

Re-estimation in response to schedule slips is overly optimistic or ignores project history;

Excessive schedule pressure reduces productivity;

Target date is moved up with no corresponding adjustment to the product scope or available resources;

A delay in one task causes cascading delays in dependent tasks; and

Unfamiliar areas of the product take more time than expected to design and implement.

### **Organization And Management**

Typical risks within organization and management include:

Project lacks an effective top-management sponsor;

Project languishes too long in fuzzy front end;

Layoffs and cutbacks reduce team's capacity;

Management or marketing insists on technical decisions that lengthen the schedule;

Inefficient team structure reduces productivity;

Management review/decision cycle is slower than expected;

Budget cuts upset project plans;

Management makes decisions that reduce the development team's motivation;

## Typical Project Risks List (Continued)

Non-technical third-party tasks take longer than expected (budget approval, equipment purchase approval, legal reviews, security clearances, etc.);

Planning is too poor to support the desired development speed;

Project plans are abandoned under pressure, resulting in chaotic, inefficient development; and

Management places more emphasis on heroics than accurate status reporting, which undercuts its ability to detect and correct problems.

### Development Environment

Typical risks within the development environment include:

Facilities are not available on time;

Facilities are available but inadequate (e.g., no phones, network wiring, furniture, office supplies, etc.);

Facilities are crowded, noisy, or disruptive;

Development tools are not in place by the desired time;

Development tools do not work as expected; developers need time to create workarounds or to switch to new tools; and

Development tools are not chosen based on their technical merits, and do not provide the planned productivity.

### End-Users

Typical risks include:

End-user insists on new requirements;

End-user ultimately finds product to be unsatisfactory, requiring redesign and rework;

End-user does not buy into the project and consequently does not provide needed support; and

End-user input is not solicited, so product ultimately fails to meet user expectations and must be reworked.

### Customers

Typical risks include:

Customer insists on new requirements;

Customer review/decision cycles for plans, prototypes, and specifications are slower than expected;

Customer will not participate in review cycles for plans, prototypes, and specifications or is incapable of doing so, resulting in unstable requirements and time-consuming changes;

## Typical Project Risks List (Continued)

Customer communication time (e.g., time to answer requirements-clarification questions) is slower than expected;

Customer insists on technical decisions that lengthen the schedule;

Customer micro-manages the development process, resulting in slower progress than planned;

Customer-furnished components are a poor match for the product under development, resulting in extra design and integration work;

Customer-furnished components are poor quality, resulting in extra testing, design, and integration work and in extra customer-relationship management;

Customer-mandated support tools and environments are incompatible, have poor performance, or have inadequate functionality, resulting in reduced productivity;

Customer will not accept the software as delivered even though it meets all specifications; and

Customer has expectations for development speed that developers cannot meet.

### Contractors

Typical risks include:

Contractor does not deliver components when promised;

Contractor delivers components of unacceptably low quality, and time must be added to improve quality; and

Contractor does not buy into the project and consequently does not provide the level of performance needed.

### Requirements

Typical risks include:

Requirements have been base lined but continue to change;

Requirements are poorly defined, and further definition expands the scope of the project;

Additional requirements are added; and

Vaguely specified areas of the product are more time-consuming than expected.

### Product

Typical risks include:

Error-prone modules require more testing, design, and implementation work than expected;

Unacceptably low quality requires more testing, design, and implementation work to correct than expected;

Development of the wrong software functions requires redesign and implementation;

## Typical Project Risks List (Continued)

Development of the wrong user interface results in redesign and implementation;

Development of extra software functions that are not required (gold-plating) extends the schedule;

Meeting product's size or speed constraints requires more time than expected, including time for redesign and re-implementation;

Strict requirements for compatibility with existing system require more testing, design, and implementation than expected;

Requirements for interfacing with other systems, other complex systems, or other systems that are not under the team's control result in unforeseen design, implementation, and testing;

Pushing the computer science state-of-the-art in one or more areas lengthens the schedule unpredictably;

Requirement to operate under multiple operating systems takes longer to satisfy than expected;

Operation in an unfamiliar or unproved software environment causes unforeseen problems;

Operation in an unfamiliar or unproved hardware environment causes unforeseen problems;

Development of a kind of component that is brand new to the organization takes longer than expected; and

Dependency on a technology that is still under development lengthens the schedule.

### External Environment

Typical risks include:

Product depends on government regulations, which change unexpectedly; and

Product depends on draft technical standards, which change unexpectedly.

### Personnel

Typical risks include:

Hiring takes longer than expected;

Task prerequisites (e.g., training, completion of other projects, acquisition of work permit) cannot be completed on time;

Poor relationships between developers and management slow decision making and follow through;

Team members do not buy into the project and consequently does not provide the level of performance needed;

## Typical Project Risks List (Continued)

Low motivation and morale reduce productivity;

Lack of needed specialization increases defects and rework;

Personnel need extra time to learn unfamiliar software tools or environment;

Personnel need extra time to learn unfamiliar hardware environment;

Personnel need extra time to learn unfamiliar programming language;

Contract personnel leave before project is complete;

Permanent employees leave before project is complete;

New development personnel are added late in the project, and additional training and communications overhead reduces existing team members' effectiveness;

Team members do not work together efficiently;

Conflicts between team members result in poor communication, poor designs, interface errors, and extra rework;

Problem team members are not removed from the team, damaging overall team motivation;

The personnel most qualified to work on the project are not available for the project;

The personnel most qualified to work on the project are available for the project but are not used for political or other reasons;

Personnel with critical skills needed for the project cannot be found;

Key personnel are available only part time;

Not enough personnel are available for the project;

People's assignments do not match their strengths;

Personnel work slower than expected;

Sabotage by project management results in inefficient scheduling and ineffective planning; and

Sabotage by technical personnel results in lost work or poor quality and requires rework.

### Design And Implementation

Typical risks include:

Overly simple design fails to address major issues and leads to redesign and re-implementation;

Overly complicated design requires unnecessary and unproductive implementation overhead;

## Typical Project Risks List (Continued)

Inappropriate design leads to redesign and re-implementation;

Use of unfamiliar methodology results in extra training time and in rework to fix first-time misuses of the methodology;

Product is implemented in a low-level language (e.g., assembler), and productivity is lower than expected;

Necessary functionality cannot be implemented using the selected code or class libraries; developers must switch to new libraries or custom-build the necessary functionality;

Code or class libraries have poor quality, causing extra testing, defect correction, and rework;

Schedule savings from productivity enhancing tools are overestimated; and

Components developed separately cannot be integrated easily, requiring redesign and rework.

### Process

Typical risks include:

Amount of paperwork results in slower progress than expected;

Inaccurate progress tracking results in not knowing the project is behind schedule until late in the project;

Upstream quality-assurance activities are shortchanged, resulting in time-consuming rework downstream;

Inaccurate quality tracking results in not knowing about quality problems that affect the schedule until late in the project;

Too little formality (lack of adherence to software policies and standards) results in miscommunications, quality problems, and rework;

Too much formality (bureaucratic adherence to software policies and standards) results in unnecessary, time-consuming overhead;

Management-level progress reporting takes more developer time than expected;

Half-hearted risk management fails to detect major project risks; and

Software project risk management takes more time than expected.

## Idaho Department Of Correction Functional User Risk Review Matrix

This matrix can be used for preliminary risk evaluation for project submission  
by appropriate functional users.

		Weight Factor	Total Weight
1	Number of internal organizations, divisions, or districts involved (exclude IT) <input type="checkbox"/> None <input type="checkbox"/> One to Three <input type="checkbox"/> Three or more	Low=1 Med=2 High=3	
2	Number of external agencies involved (exclude IS) <input type="checkbox"/> None or one <input type="checkbox"/> Two <input type="checkbox"/> Three or more	Low=1 Med=2 High=3	
3	How many existing information systems, external to IT, must the new one interface with? <input type="checkbox"/> None <input type="checkbox"/> One <input type="checkbox"/> More than two	Low=1 Med=2 High=3	
4	The system is best described as: <input type="checkbox"/> Totally new <input type="checkbox"/> Replacement of existing manual system <input type="checkbox"/> Replacement of automated system	High=3 Med=2 Low=1	
5	What is the severity of procedural changes in the user area as a result of the introduction of the system? <input type="checkbox"/> None <input type="checkbox"/> Minimal <input type="checkbox"/> Somewhat <input type="checkbox"/> Major	Low=0 Low=1 Med=2 High=3	
6	Is this project highly or totally dependent on another project? <input type="checkbox"/> No <input type="checkbox"/> Yes, other project(s) low risk <input type="checkbox"/> Yes, other project(s) high risk	Low=1 Low=2 High=3	
7	How committed is senior mgmt to the system? <input type="checkbox"/> Somewhat reluctant/unknown <input type="checkbox"/> Adequate <input type="checkbox"/> Highly supportive	High=3 Med=2 Low=1	
8	What is the funding availability? <input type="checkbox"/> Funding is currently available <input type="checkbox"/> Funding not available but expected <input type="checkbox"/> Funding source unknown	Low=1 Med=2 High=3	
		Total	

## Idaho Department Of Correction Technical Personnel Risk Review Matrix

This matrix can be used for preliminary risk evaluation for project submission  
by appropriate technical (IT) personnel.

		Weight Factor	Total Weight
1	Is additional hardware or infrastructure required? (total weight equals highest value checked times the weight factor)	Low=0 Low=1 Med=2 High=3	
	<input type="checkbox"/> None	High=3	
	<input type="checkbox"/> Central processor type change	High=3	
	<input type="checkbox"/> Peripheral storage device changes	High=3	
	<input type="checkbox"/> Terminals		
	<input type="checkbox"/> Change of platform		
	<input type="checkbox"/> Additional LAN/WAN capability		
	<input type="checkbox"/> Additional print services required		
2	What are the estimated man-hours for the project?	Low=1 Med=2 High=3	
	<input type="checkbox"/> 80 or less	Med=2	
	<input type="checkbox"/> 81 to 400	High=3	
	<input type="checkbox"/> Over 400		
3	Who will perform the work?	Low=1 Med=2 High=3 High=4	
	<input type="checkbox"/> Mostly in-house personnel	Med=2	
	<input type="checkbox"/> Significant portions by in-house staff	High=3	
	<input type="checkbox"/> Mostly contract	High=4	
	<input type="checkbox"/> Off-site contract		
4	What is the software maturity and level of customization?	High=4 High=3 Med=2 Low=1	
	<input type="checkbox"/> Newly released/needs extensive customizations	Med=2	
	<input type="checkbox"/> Newly released/needs only slight customizations	Low=1	
	<input type="checkbox"/> Established release/extensive customizations		
	<input type="checkbox"/> Established release/only slight customizations		
5	What is the system complexity?	Low=1 Med=2 High=3	
	<input type="checkbox"/> Straight forward	Med=2	
	<input type="checkbox"/> Average	High=3	
	<input type="checkbox"/> Complex with many interactions		
6	How knowledgeable is IT with the proposed technology?	High=3 Med=2 Low=1	
	<input type="checkbox"/> Limited	Low=1	
	<input type="checkbox"/> Understands concept but no experience		
	<input type="checkbox"/> Has implemented similar systems before		

Total