

Index

Note to the Reader: Throughout this index **boldfaced** page numbers indicate primary discussions of a topic. *Italicized* page numbers indicate illustrations.

A

absentee sponsors, **70–71**
 communication with, **72–74**
 convincing, **73–74**
 departure of, **77–79**
 responsibilities of, **71–72**
 roles of, **74–77**

absenteeism as risk indicator, 25

acceptance
 defined, 211
 in response plans, **157**

accomplishment vs. activity, 82

accountability
 creating, **67–68**
 defined, 211
 descriptions of, **63–67, 64**

active listening, **23–24**

activities
 vs. accomplishment, 82
 time estimates for, **111–112**

agreements for deliverables and requirements, **101–102**

assessing change, **119–120**

assumptions
 defined, 211
 in Qualitative Risk Analysis, **128–129**
 for requirements, 100–101
 in risk identification, **43–45, 44**

attitudes
 as risk indicator, 24–25
 of sponsors, 72

audits, 7, **185–186**
 defined, 214
 reviews in, **188–189**
 steps in, **186–187**

authority
 case study, 91–93
 defined, 211

 descriptions of, **63–67, 64**
 in functional organizations, 83
 sponsor expectations of, 76

avoidance
 defined, 211
 in response plans, **154–155**

B

bad attitudes as risk indicator, 24–25

body language as risk indicator, 25

brainstorming, **48–49**

budgets in plans, 18

buffers, **167–169**

business risks, 32
 experts, 132
 process changes, 131
 user skills, 133

C

cardinal scale values
 defined, 211
 in Quantitative Risk Analysis, 136

case studies
 credit-card-processing services, **26–28**
 failures, **91–93**
 risk identification, **58–59**
 risk ratings and rankings, **146–148**
 risk response plans, **169–170, 189–190**
 schedule risks, **120–121**

catastrophic risks, **36**

categories, risk, **31–33**

changes
 in business processes, 131
 in monitoring and control, **175–176**
 in schedule risks, **118–120**

- checklists
 - common risks, 204, 204
 - for risk documentation, 57–58
 - for risk identification, 41–42, 205, 205
 - risk lists, 206, 206
 - civil unrest, 130
 - closing out projects, 184–185
 - Closing process group, 195–196
 - common risks
 - checklist, 204, 204
 - list of, 34–36
 - communication
 - active listening, 23–24
 - for critical paths, 116
 - information exchange, 21–22
 - in Planning process, 193
 - plans for, 20–21
 - for scope creep prevention, 106
 - after sponsor departure, 78
 - sponsor expectations of, 76–77
 - with sponsors, 72–74
 - unspoken clues, 24–25
 - Communications Management area, 200–201
 - company data loss risk, 133
 - confidence levels in PERT analysis, 114
 - conflicts
 - in disengaged teams, 88–89
 - resolution, sponsor expectations of, 76
 - with vendors, 89–91
 - consensus risk, 130
 - constraints
 - defined, 211
 - in risk identification, 43–45, 44
 - in schedules, 109–111
 - sponsor role in, 75
 - contingencies in monitoring and control, 177
 - contingency planning
 - defined, 212
 - in risk response plans, 157–159
 - contingency reserves
 - defined, 212
 - in risk response plans, 167–169
 - continuous process, risk management as, 8–9, 8–9, 20
 - contract risk, 133
 - contracting as transference strategy, 155–156
 - contractor relationships, 89–91
 - control. *See* Risk Monitoring and Control
 - cost-benefit analyses, 10, 192
 - Cost Management area, 199
 - costs
 - in response plans, 162–163
 - training, 89
 - uncertainty in, 166–167
 - credit-card-processing services, 26–28
 - critical paths, 115–116, 115
 - critical probability
 - in Qualitative Risk Analysis, 126
 - in Quantitative Risk Analysis, 137, 139
 - critical success factors
 - defined, 212
 - in scope, 101
 - cultural risk, 32
 - customers for risk identification, 46
 - cyclical risk, 132
- D**
- dates and deadlines. *See* schedule risks
 - decision tree analysis
 - defined, 212
 - in Quantitative Risk Analysis, 140–141, 140
 - decisions
 - authority for, 65–66
 - with insufficient information, 87
 - sponsor expectations of, 76
 - defining risk, 1–6
 - delegating authority, 69
 - deliverables
 - agreements for, 101–102
 - defining, 98–99
 - in scope statements, 96–97
 - Delphi technique, 50–51
 - descriptions for risk documentation, 54
 - diagramming techniques, 52–53, 52
 - disengaged teams, 80–82
 - conflicts in, 88–89
 - organizational structure issues in, 82–86
 - from process problems, 86–87
 - vendor relationships in, 89–91
 - documentation
 - audit reports, 187
 - interviews, 48
 - Planning process, 193
 - response plans, 164
 - risk, 7, 53, 143
 - checklists for, 57–58
 - lists for, 54–55
 - originators and owners in, 56–57
 - submitting new risks, 55–56
 - duration-based estimates, 112

E

effort-based estimates, 112
 employee losses
 impact of, 130
 as risk, 37–38
 end users for risk identification, 46
 environmental risk
 description, 32
 impact of, 130
 escalation paths for vendors, 91
 estimates
 for activity time, 111–112
 in PERT, 113–114
 exchanging information, 21–22
 excuses by sponsors, 72
 Executing phase
 risk identification in, 37
 risk review in, 174
 Executing process group, 194
 executive champions, 68–69
 expectations of sponsors, 76–77
 expected values
 defined, 212
 in PERT, 113
 in Quantitative Risk Analysis, 136, 139
 experienced people for risk identification, 46
 experts
 availability of, 132
 for risk identification, 45
 external risks, 32, 36

F

facilities managers, 79
 failure causes, 61
 absentee sponsors. *See* absentee sponsors
 case study, 91–93
 disengaged teams, 80–82
 conflicts in, 88–89
 organizational structure issues in,
 82–86
 process problems in, 86–87
 vendor relationships in, 89–91
 key stakeholders, 79–80
 PMINO syndrome, 61–62
 accountability and authority in,
 63–68, 64
 executive champions in, 68–69
 risk in, 69–70
 financial risk
 description of, 32
 impact of, 130

firefighters vs. project managers, 16–17
 fishbone diagrams, 52–53, 52
 flexibility, sponsor expectations of, 77
 flowcharts for response plan implementa-
 tion, 179, 179
 focus after sponsor departure, 78
 forces of nature
 defined, 212
 risk from, 36
 functional organizations, 83–84

G

gathering information process, 46–47, 51–52
 goals
 in schedule risks, 117
 in scope statements, 96
 guarantees in transference strategies, 156
 Guide to the PMBOK, 13, 191
 guidelines, necessity of, 87

H

high absenteeism as risk indicator, 25
 High probability
 in Qualitative Risk Analysis, 126
 in Quantitative Risk Analysis, 137–138
 historical information, 30, 41
 Human Resource Management area, 200

I

identification numbers for risk documenta-
 tion, 54
 identifying audit participants, 186
 identifying risk, 7, 13, 29–30
 assumptions and constraints in, 43–45, 44
 brainstorming in, 48–49
 case study for, 58–59
 catastrophic, 36
 categories in, 31–33
 checklist, 205, 205
 common, 34–36
 Delphi technique in, 50–51
 diagramming techniques in, 52–53, 52
 information gathering in, 46–47, 51–52
 interviews in, 47–48
 lurking, 36–38
 Nominal Group technique in, 49–50
 people risk, 38–39
 process of, 40–42
 sources for, 45–46

status meetings in, 50–51
 types in, 33–34
 Work Breakdown Structure for, 42–43, 42

IEEE (Institute of Electrical and Electronics Engineers), 46

impact, 9–10
 defined, 212
 in Qualitative Risk Analysis, 123, 127–128
 in Quantitative Risk Analysis, 137, 139
 in risk list, 129–134
 in risk ranking, 144–145

independent verification and validation (IV&V) strategy, 159–160

industry groups for risk identification, 46

influence
 defined, 212
 with sponsors, 73–74

information
 exchanging, 21–22
 gathering, 46–47, 51–52
 sharing, 107

information technology managers, 80

Initiating phase, risk identification in, 37

Initiating process group, 192

Institute of Electrical and Electronics Engineers (IEEE), 46

insufficient information, decisions with, 87

insurance in transference strategies, 155–156

Integration Management area, 197–198

interest conflicts of vendors, 89–91

internal risk category, 32

international project risk, 132

interviews for risk identification, 47–48

iterative process, risk management as, 8–9, 8–9, 20

IV&V (independent verification and validation) strategy, 159–160

K

keepers of risk, 69–70

key employee losses, 130

key stakeholders, failures from, 79–80

killing projects, 182–184

knowledge as power, 107

known risks in risk response plans, 150–151

L

labor force issues, 130

lack of motivation as risk indicator, 24–25

lack of participation as risk indicator, 25

legal risk category, 32

levels, risk tolerance, 129, 135–136

liaisons, sponsor expectations of, 77

life-cycle process, 37

listening, active, 23–24

lists
 in Qualitative Risk Analysis, 129–134
 for risk documentation, 54–55

Low probability
 in Qualitative Risk Analysis, 126
 in Quantitative Risk Analysis, 137–138

loyalty problems in functional organizations, 84

lurking risks, 36–38

M

management turnover risk, 131

matrices, risk impact rating, 127

matrix organization, 84–85

measuring requirements, 99–101

Medium probability
 in Qualitative Risk Analysis, 126
 in Quantitative Risk Analysis, 137–138

meetings
 for monitoring and control, 173–174
 in risk identification, 50–51
 for team conflicts, 88

methodology of plans, 18

micromanagers, 69, 184

mitigation
 defined, 213
 in risk response plans, 156–157

monitoring and control. *See* Risk Monitoring and Control

Monitoring and Controlling process group, 195

monsters, 153

Monte Carlo analysis
 defined, 213
 in Quantitative Risk Analysis, 141

most likely estimates in PERT, 113

motivation
 as risk indicator, 24–25
 in schedule risks, 116–117

N

Negligible probability
 in Qualitative Risk Analysis, 126
 in Quantitative Risk Analysis, 137, 139

new risks, submitting, 55–56
 Nominal Group technique, 49–50
 noncritical path tasks, 115

O

obstacle clearing, sponsor expectations of, 76
 optimistic estimates in PERT, 113–114
 ordinal values
 defined, 213
 in rating scales, 126
 organizational risk category, 32
 organizational structure issues in disengaged teams, 82–86
 organizations and project risk, 3–6
 originators
 defined, 214
 in risk documentation, 56–57
 owners
 in risk documentation, 56–57
 in risk response plans, 152
 ownership change risk, 131

P

participants in audits, 186
 past projects in risk identification, 41
 people factor in schedule risks, 116–118
 people risk, 38–39
 performance bonds, 156
 performance uncertainty, 166
 personal issues, dealing with, 81
 PERT (Project Evaluation and Review Technique), 112–115
 pessimistic estimates in PERT, 113–114
 Planning phase
 risk identification in, 37
 risk review in, 174
 Planning process group, 193–194
 plans, 7, 13
 for change management, 118–119
 communication, 20–21
 elements of, 17–19
 response plans. *See* risk response plans
 for scope creep prevention, 106
 PMI (Project Management Institute), 46
 PMINO (Project Manager in Name Only)
 syndrome, 61–62
 accountability and authority in, 63–68, 64
 executive champions in, 68–69
 risk in, 69–70
 PMO (Project Management Office), 31

predictable outcomes in risk response plans,
 150–151
 priorities for schedules, 109
 probability, 9–10
 defined, 213
 in Qualitative Risk Analysis, 123–124,
 126, 128
 in Quantitative Risk Analysis, 137–138
 in risk ranking, 144–145
 problem-solving, sponsor expectations of, 76
 problems vs. risks, 15–17
 process groups, 191–192, 196, 196
 Closing, 195–196
 Executing, 194
 Initiating, 192
 Monitoring and Controlling, 195
 Planning, 193–194
 process problems, 86–87
 process risk category, 32
 Procurement Management area, 202
 procurement risk, 133
 progressive elaboration, 20
 project charters, 213
 Project Communications Management area,
 200–201
 Project Cost Management area, 199
 Project Evaluation and Review Technique
 (PERT), 112–115
 Project Human Resource Management
 area, 200
 Project Integration Management area,
 197–198
 Project Management Institute (PMI), 46
 project management knowledge areas, 197
 Project Communications Management,
 200–201
 Project Cost Management, 199
 Project Human Resource Management,
 200
 Project Integration Management,
 197–198
 Project Procurement Management, 202
 Project Quality Management, 199–200
 Project Risk Management, 201
 Project Scope Management, 198
 Project Time Management, 198–199
 Project Management Office (PMO), 31
 project management risk category, 32
 Project Manager in Name Only (PMINO)
 syndrome, 61–62
 accountability and authority in, 63–68, 64
 executive champions in, 68–69
 risk in, 69–70

- project managers
 - responsibilities of, 79
 - for risk identification, 46
 - skill risks in, 133
 - Project Procurement Management area, 202
 - Project Quality Management area, 199–200
 - Project Risk Management area, 201
 - Project Scope Management area, 198
 - Project Time Management area, 198–199
 - projectized organizations, 85–86
 - projects
 - closing out, 184–185
 - killing, 182–184
 - propensity for risk, 10–12, 10, 12
- Q**
- Qualitative Risk Analysis, 13, 123–124
 - defined, 213
 - vs. Quantitative Risk Analysis, 142
 - rating scales in, 125–129
 - risk lists in, 129–134
 - risk tolerance levels in, 129, 135–136
 - techniques in, 125
 - quality, status meetings for, 174
 - Quality Management area, 199–200
 - quality risk
 - description of, 32
 - impact of, 132, 134
 - Quantitative Risk Analysis, 13–14, 136–138
 - decision tree analysis in, 140–141, 140
 - defined, 213
 - vs. Qualitative Risk Analysis, 142
 - risk score calculations in, 138–139
 - sensitivity analysis in, 140
 - simulation techniques in, 141
 - questions
 - in Delphi technique, 50
 - in risk identification, 40–41
- R**
- ranking risks, 144–145
 - rating scales in Qualitative Risk Analysis
 - developing, 125–128
 - using, 128–129
 - receivers in communication, 22
 - recommendations from audits, 187
 - reporting formats in plans, 19
 - reporting structure risk, 132
 - requirements
 - agreements for, 101–102
 - measuring, 99–101
 - in scope statements, 96
 - research in planning process, 193
 - reserves, contingency
 - defined, 212
 - in risk response plans, 167–169
 - residual risks
 - defined, 213
 - in risk response plans, 182
 - resources
 - in risk response plans, 161–162
 - sponsor expectations of, 76
 - status meetings for, 173
 - response change corrections, 175–176
 - response plans. *See* risk response plans
 - responsibilities
 - in plans, 18
 - for roles, 79–80
 - reviews
 - audit, 186–189
 - in monitoring and control, 174
 - risk analysis
 - qualitative. *See* Qualitative Risk Analysis
 - quantitative. *See* Quantitative Risk Analysis
 - risk ratings and rankings in, 146–148
 - risk audits, 7, 185–186
 - defined, 214
 - reviews in, 188–189
 - steps in, 186–187
 - risk identification. *See* identifying risk
 - risk management
 - approach to, 12–20
 - case study, 26–28
 - communication in, 20–25
 - defined, 214
 - as iterative process, 8–9, 8–9
 - probability and impact in, 9–10
 - processes in, 7
 - propensity for risk, 10–12, 10, 12
 - purpose of, 6–7
 - Risk Management area, 201
 - risk management plans
 - defined, 214
 - templates, 207, 207
 - Risk Monitoring and Control, 7, 14, 171–173
 - audits in, 185–186
 - reviews in, 188–189
 - steps in, 186–187
 - change corrections in, 175–176
 - change requests in, 175
 - contingencies in, 177
 - defined, 214

- risk review in, 174
 - status meetings in, 173–174
 - triggers in, 175
 - risk originators, 214
 - risk owners, 214
 - risk response plans, 14, 149–150
 - acceptance strategy in, 157
 - audits, 185–189
 - avoidance strategy in, 154–155
 - case studies, 169–170, 189–190
 - contingency planning strategy in, 157–159
 - costs in, 162–163
 - defined, 215
 - documenting, 164
 - implementing, 177–185, 179
 - IV&V strategy in, 159–160
 - mitigation strategy in, 156–157
 - monitoring and control in. *See* Risk Monitoring and Control
 - need for, 145–146
 - purpose of, 152
 - resources in, 161–162
 - templates for, 208, 208
 - transference strategy in, 155–156
 - triggers in, 161
 - uncertain certainty in, 150–152
 - for uncertainty, 164–169
 - unknown risks in, 180–182
 - risk scoring in plans, 18
 - Risk Submission templates, 55, 209, 209
 - risk tolerance
 - defined, 215
 - in Qualitative Risk Analysis, 129, 135–136
 - risk triggers, 19–20, 29
 - defined, 215
 - in monitoring and control, 175
 - in risk response plans, 161
 - Roebing, Washington, 66
 - roles
 - in plans, 18
 - responsibilities for, 79–80
 - of sponsors, 74–77
- S**
- scales in Qualitative Risk Analysis
 - developing, 125–128
 - using, 128–129
 - schedule risks, 108–111
 - activity estimates in, 111–112
 - case study, 120–121
 - change management in, 118–120
 - critical paths in, 115–116, 115
 - description of, 32
 - impact of, 134
 - people factor in, 116–118
 - PERT for, 112–115
 - status meetings for, 173
 - uncertainty in, 165–166
 - Scope Management area, 198
 - scope risk, 95–97
 - agreements for, 101–102
 - critical success factors in, 101
 - deliverable definitions in, 98–99
 - description of, 32
 - impact of, 132, 134
 - requirement measurements in, 99–101
 - scope creep, 105–107
 - stakeholder issues in, 102–104
 - status meetings for, 173
 - uncertainty in, 103–105
 - Security Access Project, 62–63
 - security risk category, 32
 - senders in communication, 22
 - sensitivity analysis
 - defined, 215
 - in Quantitative Risk Analysis, 140
 - sharing information, 107
 - Significant probability
 - in Qualitative Risk Analysis, 126
 - in Quantitative Risk Analysis, 137, 139
 - simulation techniques
 - defined, 215
 - in Quantitative Risk Analysis, 141
 - skill sets of team members, 89
 - small projects, 4–5
 - sponsor risk, 131
 - sponsors
 - absentee. *See* absentee sponsors
 - executive, 68–69
 - as failure cause, 79–80
 - responsibilities of, 79
 - for risk identification, 45
 - schedule commitment to, 108–109
 - stakeholder consensus risk, 130
 - stakeholders
 - and contingency reserves, 168–169
 - risk clues from, 24
 - for risk identification, 45
 - schedule commitment to, 108–109
 - in scope risk, 102–104
 - in scope statements, 97
 - after sponsor departure, 78

standard deviations in PERT analysis, 113–114

status meetings

- in monitoring and control, 173–174
- in risk identification, 50–51

staying the course after sponsor departure, 78

Strength, Weakness, Opportunity, and Threats (SWOT) analysis, 125

subcategories in risk identification, 33

submitting new risks, 55–56

successful delivery, sponsor expectations of, 76

SWOT (Strength, Weakness, Opportunity, and Threats) analysis, 125

T

team building skills, sponsor expectations of, 77

teams

- disengaged, 80–82
 - conflicts in, 88–89
 - organizational structure issues in, 82–86
 - from process problems, 86–87
 - vendor relationships in, 89–91
- diversity risk in, 132
- for risk identification, 45
- after sponsor departure, 78

technical and performance risk category, 32

technical expert risk, 132

technical experts for risk identification, 45

technical risk, impact of, 131

technology manager responsibilities, 80

templates, 203

- common risk checklist, 204, 204
- risk identification checklist, 205, 205
- risk lists, 206, 206
- risk management plans, 207, 207
- risk response plans, 208, 208
- risk submission forms, 209, 209

terrorist act risk, 130

time estimates for activities, 111–112

Time Management area, 198–199

time risk, 132

tolerance levels

- defined, 215
- in Qualitative Risk Analysis, 129, 135–136

tracking in plans, 19

tracking numbers in risk documentation, 54

training costs, 89

transference strategy

- defined, 215
- in risk response plans, 155–156

triggers, 19–20, 29

- defined, 215
- in monitoring and control, 175
- in risk response plans, 161

trust issues, 81

types of risk, 33–34

U

ulterior motives of stakeholders, 103

uncertain certainty, 150–152

uncertainty

- in monitoring and control, 172
- risk response plans for, 150–152, 164–169
- in scope risk, 103–105

unknown risks in risk response plans, 180–182

unpredictable outcomes in risk response plans, 150–151

unspoken clues, 24–25

V

vendors

- and disengaged teams, 89–91
- responsibilities of, 80
- for risk identification, 46

W

warranties in transference strategies, 156

WBS (Work Breakdown Structure)

- defined, 215
- in risk identification, 42–43, 42

weather risk, 130

what if...? questions, 53

Work Breakdown Structure (WBS)

- defined, 215
- in risk identification, 42–43, 42

workarounds

- defined, 215