Software Quality Risk Management Process Checklist

Date(s) of Assessment: _____ Project: _____

Assessor(s): _____ Process Examined: _____

		Y, N, NA	F, O	Comments
REVIEW PREPARATION				
1	Have standards been identified to clearly define this process?			
2	Were guidelines used to prepare for the process?			
3	Has the project submitted any request for deviations or waivers to the defined process?			
4	Have entrance and exit criteria been established for the implementation of this process?			
RISK MANAGEMENT PROCESS				
5	Does the project have a documented plan or procedure for implementing Risk Management?			
6	Is the Risk Management strategy a subset of a larger project/mission approach?			
7	Is the Risk Management process integrated throughout the life cycle?			
8	Are roles and responsibilities defined for the program, project, customer, and provider/supplier key personnel?			
9	Has a Risk Management training approach been documented for ensuring training of key personnel?			
10	Is there evidence that key personnel have been trained in Risk Management?			
11	Does the risk management process include risk identification, analysis, planning, tracking, and control?			

Y=Yes, N=No, NA=Not Applicable, F=Finding, O=Observation

For more information, please visit the NASA GSFC Software Assurance Website, at http://sw-assurance.gsfc.nasa.gov.

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12	Have risk parameters been defined and used to analyze and categorize risks?			
13	Are Risk Management methods and/or tools used to manage the process?			
14	Does the process entail a continuous assessment of project and/or software risks?			
15	Is the risk status communicated on a regular basis to the entire project team and customers?			
16	Is a reporting process in place for internal project communication?			
17	Is a reporting process defined for communication external to the project (e.g., program level, directorate level, GSFC Program Management Council)?			
Documentation of Risks				
18	Are risks formally documented in a standard format (e.g., a Risk List)?			
19	Does the Risk List identify all risks in priority order from highest to lowest, together with the information/action that is to be taken to address each risk?			
20	Have risk mitigation plans been provided for those risks having both high probability and high impact/severity?			
21	Is there evidence of configuration control for risks and the project Risk List?			
22	Is there evidence of a continuous and iterative process for updating and managing the Risk List?			
23	Do team members have access to the current list at any time?			

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POST REVIEW ACTIVITIES				
24	At the conclusion of the assessment is an understanding reached on the validity and degree of completeness of the Risk Management Process?			
25	Did all designated parties concur in the acceptability of the Risk Management process?			
26	Were Lessons Learned addressed and captured?			

REFERENCE ITEMS/DOCUMENTS
NPR 7120.5, Program and Project Management Processes and Requirements
GPR 7120.4, Risk Management
CMMI Version 1.1, Guidelines for Risk Management (RSKM)

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COMMENTS PAGE ____ of ____

#	Comments from assessment

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