

Example
EQUIS Implementation
Risk Register

Probability	Impact Score				
Almost Certain	5	10	15	20	25
Likely	4	8	12	16	20
Possible	3	6	9	12	15
Unlikely	2	4	6	8	10
Rare	1	2	3	4	5
Impact	Insignificant	Minor	Moderate	Major	Severe



Ref ID	Date Raised	Risk Category	Activity	Risk Description (Including If/Then Statement)	Risk Trigger	Area Affected	Probability	Impact	Risk Severity Score	Mitigation/Response Plan
1		Internal/Resource Management	Resourcing	Appropriate staff not available, then project may not proceed as efficiently as planned	Other projects, vacation, staff leaving	Schedule	4	3	12	
2		Internal/Communication	Insufficient notice of project	Data migrations are often large and require a lot of resources. If insufficient notice is provided the DM may not be able to start at the required time.	Planning, communication	Schedule	4	3	12	
3		Internal/Data Migration	Initial scripting method not appropriate	Example Scripts initially developed in Link may require converting to SQL	Data volume or change in deliverable.	Schedule Budget	4	3	12	
4		Internal/Data Migration	Loss of script	Loss of script preventing re-migration and/or update to migration due to personnel leaving or poor procedures	Incorrect storage	Project updates Schedule Internal cost	4	3	12	Ensure scripts are stored on RDP which is backed up regularly
5		Internal/Data Migration	RDP Access	Loss of connectivity to remote desktop prevents work by Data Migration team as all resources stored on RDP.	IT outage	Schedule Internal cost	3	4	12	IT Emergency call protocol
6		Internal/Data Migration	Incorrect assumptions	If the Data Migration Process failed (wrong assumptions, data migrated into wrong facility, etc.), then we need to redo the Data Migration.	DM failed Client Review	Schedule Budget	2	4	8	Makes sure that assumptions, mappings, etc. are signed-off by the client stakeholder. In Case of Risk Occurance, review process and assumptions. Assess impact on budget and schedule.
7		External/Data Migration	Missed client delivery	If the client delivers the dataset for DM late, the Project Schedule might be impacted.	Deadline missed by client	Schedule Budget	3	3	9	Stay in close contact with the client stakeholder responsible for the dataset (see Project Stakeholder Engagement and Project Communication Plan). In case of Risk Occurance, review the critical path of activities and assess impact on the project. Trigger Change Request if mitigation fails.
8		External/Data Migration	Source data varies against inventory	Eg Excel sheets vary in format, Db's have different schema means that different scripts have to be developed for each schema.	Client data submission	Schedule Budget	5	3	15	Clear inventory and clear sign off date by which the client must submit the data and any further changes may cause a Change Order.
9		External/Data Migration	Source data completeness	Client only initially provides partial data set during early stages of project, then provide much larger datasets which means that the most optimal migration method has not been selected	Client data submission	Schedule Budget	4	3	12	
10		External/Data Migration	Client wants to change mapping after data is migrated because insufficient review/understanding of mapping	Need to rework migration to load the data as required by the client. This means that the data will have to be rolled back, rescripted and reloaded.	Client sign off	Schedule Budget	4	4	16	Migrate small subset of data so client can use it in other EQUIS work flows
11		External/Data Migration	Change of reference values after migration	Changing reference values may change primary keys which leads to complex re-scripting and/or data duplication.	Client request	Schedule Budget	5	3	15	
12		External/Data Migration	SME not available/engaged	Client expert not available means that sensible decisions cannot take place about the data. This means data may be mapped to wrong field/reference value/facility	Client availability	Schedule Budget	3	5	15	
13		External/Data Migration	Data Input Format	Data format varies between files. Dates formatted as text, incorrect significant figures, text in numeric fields. All of the above examples require additional scripting and error resolutions	Data delivery	Schedule Budget	5	2	10	
14		External/Data Migration	Data duplication	Results are duplicated in the source data across different data sources, or within the same data source. This leads to duplicate records and mismatch of record counts in QA process	Data delivery	Schedule Budget	5	2	10	

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15		External/Data Migration	Generate duplicate data	No unique Primary key causes multiple records to be created for the same data eg report table and lab report contain same data with different references/ID's. This will create additional record counts.	Data delivery	Schedule Budget	4	2	8	
16		External/Data Migration	Referential integrity	Eg samples associated with locations that do not exist in location table or are named inconsistently. BH1 or BH01 or BH-01This will create additional record counts.	Data delivery	Schedule Budget	4	2	8	
17		External/Data Migration	Data not appropriate for EQUIS	Data format or structure or desired functionality does not fit EQUIS eg pdf, text files or data type	Data delivery	Client satisfaction Budget	4	2	8	
18		External/Data Migration	Missing parent records	Samples may have identified parents that do not exists in the dataset	Data delivery	Data Integrity Budget	4	3	12	Create a sample_type for historical data that does not require a parent record and client can associate data as it becomes available
19		External/Data Migration	Volume of data	Processing time, EDP loading time. How do we split it up?		Schedule Budget	4		0	
20		Internal/Resource Management	Lack of specialist knowledge	SME for client eCoC workflow leaves. If our SME for the clients eCOC workflow leaves, we need a new ressource with same skills.	SME quits on short notice	Schedule/Budget	3	4	12	Provide contract to SME with 6-8 weeks cancellation time. Train additional personnel.
21		External/Data Migration	Insufficient vendor performance	If a Subcontractor/Business Partner does not deliver on time, then the project will be behind schedule.	Deadline missed by vendor	Schedule	2	3	6	Evaluate potential vendors based on past performance and quality of deliverables. Opt for Fixed Price Incentive Fee contracts if possible. In case of Risk occurrence, assess workaround with team.
22		External/Data Migration	Vendor over budget	If a Subcontractor/Business Partner does not deliver within contracted sum, then the project will be over budget.	Invoice exceeds contracted sum	Budget	1	2	2	If scope is well defined, opt for Fixed Price contracts. If scope is not well defined, opt for Cost Plus Incentive Fee contracts. In case of Risk occurrence review vendor contract and escalate if necessary.
23		External/Data Migration	Late delivery of dataset	If the client delivers the dataset for DM late, the Project Schedule might be impacted.	Deadline missed by client	Schedule	3	3	9	Stay in close contact with the client stakeholder responsible for the dataset (see Project Stakeholder Engagement and Project Communication Plan). In case of Risk Occurance, review the critical path of activities and assess impact on the project. Trigger Change Request if mitigation fails.
24		Internal/Data Migration	Error in the DM process	If the Data Migration Process failed (wrong assumptions, data migrated into wrong facility, etc.), then we need to redo the Data Migration.	DM failed Client Review	Schedule/Budget	2	4	8	Makes sure that assumptions, mappings, etc. are signed-off by the client stakeholder. In Case of Risk Occurance, review process and assumptions. Assess impact on budget and schedule.
25		Internal/Development	Requested functionality cannot be provided	If the Development of a certain functionality requested by the client and documented in the SOW, cannot be provided as planned, then the client might disapprove the deliverable.	Deliverable failed Client Review	Scope/Schedule/Budget	3	5	15	Keep the client stakeholders engaged throughout the project and demonstrate iterations/prototypes. In Case of Risk Occurance review Scope Statement, Assumptions with the client and discuss delivery of a Minimum Viable Product.
26		Internal/Project Initiation	Project Charter insufficient	If the Project purpose and need is not well-defined, then the value to be delivered and acceptance criteria will not be clear.	Project Charter failed PM review	Scope/Schedule/Budget	3	5	15	Complete a business case if not already provided and ensure purpose is well defined on Project Charter. Escalate to the Project Board with an assessment of the risk of runaway costs/never-ending project.
27		Internal/Planning	Project Scope not complete	If the Project design and deliverable definition is incomplete, then scope and schedule will be at risk.	Project Scope failed PM review	Scope/Schedule	1	5	5	Define the scope in detail via design workshops with input from subject matter experts. If Risk occurs document assumption made and associated risks. Request high risk items that are ill-defined are removed from scope.
28		Internal/Resource Management	Team resourcing	No control over staff priorities	PM can't acquire needed team resources	Schedule	3	3	9	The Project Sponsor will brief team managers on the importance of the project. Soft book resources as early as possible and then communicate final booking dates asap after the scheduling workshops. Identify back ups for each human resource on the project. If Risk occurs Escalate to the Project Sponsor and bring in back up resource.

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29		Internal/Planning	Estimates incorrect	Estimating and/or scheduling errors	CPI and /or SPI show a clear trend towards <1 figures.	Schedule/Budget	3	5	15	Use two methods of cost estimation, and carefully track costs and forecast cost at completion making adjustments as necessary. Build in 10% contingency on cost and scheduling. Track schedules daily and include schedule review as an agenda item in every project team meeting. Flag forecast errors and/or delays to the Project Board early. If Risk occurs escalate to project sponsor and Project Board. Raise a change request for changes to budget or schedule. Pull down contingency.
30		Internal/Planning	Scope creep or expansion	Unplanned work that must be accommodated	Change Request is needed	Schedule/Budget	1	5	5	Check previous projects, for actual work and costs. Check all plans and quantity surveys. Document all assumptions made in planning and communicate to the project manager before project kick off. If Rick occurs escalate to the Project Manager with plan of action, including impact on time, cost and quality.
31		External/Stakeholders	Crashing/Fast tracking schedule	Pressure to arbitrarily reduce task durations and or run tasks in parallel which would increase risk of errors	Stakeholders want to Fast-Track or Crash schedule.	Schedule/Budget	1	5	5	Share the schedule with key stakeholders to reduce the risk of this happening. Patiently explain that schedule was built using the expertise of subject matter experts. Explain the risks of the changes. If Risk occurs Escalate to Project Board with assessment of risk and impact of the change. Hold emergency risk management call with decision makers & source of pressure and lay out risk and impact.
32		External/Client	UAT issues	Inadequate customer testing leads to large post go live defect list	Acceptence criteria are not met during Customer testing.	Schedule/Budget	5	5	25	Ensure customer prepares test cases/quality checks and protect testing/quality assurance window. Raise risk immediately and raise issue if it is clear testing is inadequate. Customer could extend testing & bring in additional resource.
33		External/Client	UAT issues	Customer refuses to approve deliverables/milestones or delays approval, putting pressure on project manager to 'work at risk'	Customer not signing-off on deliverables.	Schedule/Budget	3	3	9	Ensure customer decision maker with budgetary authority is identified before project start and is part of the Project Board. Communicate dates for sign-off points up front. If Risk occurs discuss with key stakeholders. If necessary, escalate to Project Board and recommend action e.g. to stop the project.
34		Internal/Testing	Internal testing issues	If internal testing is done without the client’s cultural settings in place, then we might provide deliverables which won’t pass testing on the client’s side.		Schedule/Budget	4	3	12	Assure that testing is done with the client’s cultural settings applied.
35		Internal/Resource Management	Timezone triggerd comm issues	With the client and parts of the team based in Australia we might have delays in communication. If the TL/PM contacts the developers, the response won’t be available the same working day.		Schedule	4	2	8	Develop an optimized Communication Management Plan and inform the client about our processes. Add a time lag to all work items/tasks.
36		Internal/Planning	Internal processes not followed	If the delivery dates for milestones are not developed/approved by the project team, then the schedule might be overoptimistic.	Project schedule sent to the client without appropriated internal planning.	Schedule	4	3	12	
37		Internal/Scheduling	Internal processes not followed	If the project schedule is developed before the final WBS exists, then the schedule might need to be replanned.	Project schedule developed before decomposition of WBS into tasks/activities.	Schedule/Budget	4	4	16	The project schedule needs to be developed by the project team after the final WBS is created, including determining dependencies and decomposing work items into tasks/activities. The activities need to be sequenced, relationships and dependencies need to be assessed and a Project Schedule Network Diagram created. Then the Activity Durations need to be estimated. Tools are Parametric estimation, Three Point Estimate, Bottom-Up Estimating, etc. To develop the schedule tools like the Critical Path Method should be used.
38		External/Client	Client communication issues	If the client is unresponsive and non-existing communication delays the project.	The team does not get client feedback as requested	Schedule/Budget	2	4	8	
39		External/Client	Client communication issues	If the client holds back information we need, then scope and budget will be impacted.	Team finds out that the client has not provided all information	Schedule/Budget	2	4	8	

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40		External/Client	Client communication issues	Our POC get's replaced and our communications with the client might be <u>negatively</u> impacted.	Client POC is replaced by a new unresponsive stakeholder	Stakeholder Engagement	3	3	9	
41		External/Client	Client communication issues	Our POC get's replaced and our communications with the client might be <u>positively</u> impacted.	Client POC is replaced by a new more responsive and active stakeholder	Stakeholder Engagement	3	-3	-9	
42		External/Client	Client document management issues	Customer could loose information about custom reports and applications.	Due to fluctuations of personnel and a lack of documentation on the client side, the client comes back to ES with inquiries about developed custom reports/applications.	Schedule/Budget	2	3	6	
43		Internal/Documentation	Internal document management issues	Lack of internal documentation. Gaps in our repositories.	Team finds out that there is no complete information on our side about developed custom reports/applications.	Schedule/Budget	2	3	6	
44		Internal/Training	Inadequate training	Lack of training and EQUIS abilities.	PM finds out that some of the team members don't have the needed skills to perform adequately in their project roles.	Schedule/Budget	3	5	15	It needs to be ensured that all team members get required training for the project. If a lack of training is apparent, staff needs to receive additional training. A Resource Management Plan should be part of the Project Managment Plan.
45		External/Client	Inadequate training	Lack of understanding of EQUIS on the client side	Team finds out that the client has no EQUIS user on their staff	Scope/Schedule/Budget	4	2	8	We want to make sure that the stakeholders/team members on the client side have a basic understanding how EQUIS works. If necessary we need to train them.
46		Internal/Organizational	Internal processes not followed	ES Implementation team not having proper handoff with Sales and not understanding the initial client needs.	Team finds out during first meetings with the client that there are differnt views of the project goals, business case, etc.	Scope/Schedule/Budget	2	5	10	Create a Project Charter as one of the first steps and get it approved by the client.
47		External/Client	High degree of customization	If the client requests highly customized artifacts, this will increase cost, time, risk and might create issues with maintenance,		Scope/Schedule/Budget	3	5	15	We want to make sure that the client is sufficiently educated about the standard EQUIS workflow. We need to inform the client about the risks associated with customizations. Stakeholder Engagement!!!
48		External/Data Migration	Complex data	Complex data sets that make mapping difficult and timely		Scope/Schedule/Budget	3	3	9	We must have a clear understanding of the schemas being given to us to make sure time is not wasting sorting through tables and fields