



# RENAISSANCE

*Method and tool support for the  
evolution and re-engineering of legacy systems*

## EVOLUTION PLANNING APPENDICES



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# Appendix A Questionnaires for Risk Management

## Contents

A.1 Questionnaire for Situation Appraisal

## **Appendix A .1 - Questionnaire for situation appraisal**

This questionnaire comprises eleven sections, each of which address potential areas of risk. The issues to be considered are:

1. Strategic issues
2. Business issues
3. Project size and scope issues
4. Organisation issues
5. Users issues
6. Planning issues
7. Technical development issues
8. Pre-implementation issues
9. Implementation issues
10. Operations and support issues
11. Evolution issues

### **Appendix A .1.1 - Strategic Issues**

- 1.1 Do the system objectives fit into the Company's overall business strategy?
  - 1 - yes, will provide a key business requirement
  - 2 - yes, peripheral to strategy
  - 3 - no, but has little impact
  - 4 - no, will be difficult to interface
  - 5 - I am unable to answer this question
- 1.2 Do the system objectives fit into the Company's department strategy?
  - 1 - yes, totally
  - 2 - fairly well
  - 3 - no, but compatible
  - 4 - no, will be difficult to interface
  - 5 - I am unable to answer this question

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**Appendix A .1.2 - Business issues**

- 2.1 When is the system required; how was the date determined?
- 1 - by a fixed end date for business or legislative reasons
  - 2 - by a fixed end date for tactical reasons
  - 3 - to a date fixed by project plans
  - 4 - to no fixed end date
  - 5 - I am unable to answer this question
- 2.2 What would be the result of late delivery?
- 1 - major disruption to the business
  - 2 - loss of potential benefits
  - 3 - inconvenience
  - 4 - none
  - 5 - I am unable to answer this question
- 2.3 What would be the result of limited functionality?
- 1 - major disruption to the business
  - 2 - loss of potential benefits
  - 3 - inconvenience
  - 4 - none
  - 5 - I am unable to answer this question
- 2.4 What is the financial case for the system?
- 1 - benefits repay costs within 12 months
  - 2 - benefits repay costs within 3 years
  - 3 - pay-back period exceeds 3 years
  - 4 - I am unable to answer this question
- 2.5 What is the stability of the business area?
- 1 - highly volatile
  - 2 - in a "normal" dynamic state
  - 3 - stable
  - 4 - I am unable to answer this question

- 2.6 How clearly are the project objectives defined?
- 1 - well defined
  - 2 - broadly defined
  - 3 - ill defined
  - 4 - I am unable to answer this question

#### **Appendix A .1.3 - Project size and scope issues**

- 3.1 What is the extent of the effort required in man days?
- 1 - high (insert a figure which is Company dependent)
  - 2 - medium (insert a figure which is Company dependent)
  - 3 - low (insert a figure which is Company dependent)
  - 4 - I am unable to answer this question
- 3.2 What is the length of the project in elapsed time?
- 1 - short(insert a figure which is Company dependent)
  - 2 - medium (insert a figure which is Company dependent)
  - 3 - long (insert a figure which is Company dependent)
  - 4 - I am unable to answer this question
- 3.3 How many sites will the system be implemented in?
- 1 - one
  - 2 - a few (insert a figure which is Company dependent)
  - 3 - many (insert a figure which is Company dependent)
  - 4 - I am unable to answer this question
- 3.4 Are the tasks in the project plan inter-dependent?
- 1 - multiple, inter-dependent tasks
  - 2 - multiple, but largely independent tasks
  - 3 - a single stream of tasks
  - 4 - I am unable to answer this question

#### **Appendix A .1.4 - Organisation issues**

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- 4.1 Does the experience of the project manager cover similar sized projects?
- 1 - extensively
  - 2 - to a limited degree, or at a lower level
  - 3 - not at all
  - 4 - I am unable to answer this question
- 4.2 Does the experience of the project manager cover this business application?
- 1 - extensively
  - 2 - to a limited degree, or at a lower level
  - 3 - not at all
  - 4 - I am unable to answer this question
- 4.3 What are the skills and experience of the project team?
- 1 - as required
  - 2 - sufficient, with some training required
  - 3 - limited
  - 4 - inadequate
  - 5 - I am unable to answer this question
- 4.4 Where will the project team be located?
- 1 - together
  - 2 - at several sites
  - 3 - I am unable to answer this question
- 4.5 What is the size of the project team?
- 1 - small (insert a figure which is Company dependent)
  - 2 - medium (insert a figure which is Company dependent)
  - 3 - large (insert a figure which is Company dependent)
  - 4 - I am unable to answer this question
- 4.6 What is the make-up of the project team?
- 1 - all internal staff
  - 2 - a mixture of internal plus contractors
  - 3 - all external staff - fixed price contract
  - 4 - all external staff - time & materials contract

- 4.7 Will the project be run using a life-cycle?
- 1 - a life cycle for evolution projects
  - 2 - another project life cycle
  - 3 - traditional methods
  - 4 - I am unable to answer this question
- 4.8 How well do the project team understand the chosen methodology?
- 1 - well understood
  - 2 - some areas of doubt
  - 3 - little experience
  - 4 - I am unable to answer this question

#### **Appendix A .1.5 - Users issues**

- 5.1 How many separate user functions are involved?
- 1 - one
  - 2 - two
  - 3 - more than two
- 5.2 What is the commitment of the user management?
- 1 - very committed
  - 2 - showing a positive response
  - 3 - uncommitted
  - 4 - I am unable to answer this question
- 5.3 Where will the appropriate members of the project team be located?
- 1 - locally to the users
  - 2 - locally to some users
  - 3 - remotely from the users
  - 4 - I am unable to answer this question
- 5.4 How much previous department exposure have the users had?
- 1 - extensive
  - 2 - a little
  - 3 - none

- 
- 4 - I am unable to answer this question
- 5.5 How much change will there be to the users' operation or organisation?
- 1 - total change
  - 2 - significant change
  - 3 - some change
  - 4 - little or none
  - 5 - I am unable to answer this question

#### **Appendix A .1.6 - Planning issues**

- 6.1 What is the current state of project plans?
  - 1 - firm and agreed
  - 2 - available but not signed-off
  - 3 - under review
  - 4 - unavailable
- 6.2 What is the availability of appropriate department resources?
  - 1 - adequate to meet planned commitments
  - 2 - not adequate to meet planned commitments
  - 3 - not yet considered
- 6.3 What is the availability of appropriate user resources?
  - 1 - adequate to meet planned commitments
  - 2 - not adequate to meet planned commitments
  - 3 - not yet considered
- 6.4 What is the availability of appropriate external resources?
  - 1 - adequate to meet planned commitments
  - 2 - not adequate to meet the planned commitments
  - 3 - not yet considered
- 6.5 Is completion of this project dependent on the completion of other projects?
  - 1 - not at all
  - 2 - dependent on a low risk project
  - 3 - partly dependent on a high risk project

4 - totally dependent on a high risk project

5 - I am unable to answer this question

#### **Appendix A .1.7 - Technical Development issues**

7.1 How have the technical options been evaluated?

1 - by internal technical support

2 - by external, independent consultancy

3 - by the development team

4 - by the hardware/software supplier

5 - not at all

7.2 What is the knowledge of the proposed hardware/software environment?

1 - new and untried

2 - known in part

3 - well understood

4 - I am unable to answer this question

7.3 Does the experience of the project manager cover a similar technical application?

1 - extensively

2 - to a limited degree or at a lower level

3 - not at all

4 - I am unable to answer this question

7.4 Is this application new?

1 - a replacement of an existing system

2 - a new feature for an existing system

3 - a completely new development

4 - I am unable to answer this question

7.5 What is the complexity of the system?

1 - simple (single user and/or few simple functions)

2 - demanding (several users and/or many complex functions)

3 - complex (many users and/or many complex functions)

- 
- 4 - I am unable to answer this question
- 7.6 Is the system based upon a package or bespoke?
- 1 - a turnkey package
  - 2 - a basic package requiring tailoring
  - 3 - a bespoke development
  - 4 - I am unable to answer this question

#### **Appendix A .1.8 - Pre-implementation issues**

- 8.1 Who is responsible for defining system testing?
- 1 - systems staff
  - 2 - the users
  - 3 - an independent third party
  - 4 - not planned, as yet
- 8.2 Who is responsible for defining acceptance testing?
- 1 - systems staff
  - 2 - the users
  - 3 - an independent third party
  - 4 - considered to be part of system testing
  - 5 - not planned, as yet
- 8.3 Has environmental testing been considered?
- 1 - for user procedures
  - 2 - for operational procedures
  - 3 - for both
  - 4 - not planned, as yet

#### **Appendix A .1.9 - Implementation Issues**

- 9.1 On what basis is the implementation planned?
- 1 - parallel running
  - 2 - phased implementation

- 3 - big bang
- 4 - not yet planned
- 9.2 Is the proposed hardware/software environment in use already?
  - 1 - already in use
  - 2 - available, off the shelf
  - 3 - available, with known lead time
  - 4 - currently difficult to obtain
  - 5 - I am unable to answer this question
- 9.3 How many existing or proposed systems interface directly with this system?
  - 1 - none
  - 2 - a few (insert a figure which is Company dependent)
  - 3 - many (insert a figure which is Company dependent)
  - 4 - I am unable to answer this question
- 9.4 Will the system require a data communications network?
  - 1 - no
  - 2 - yes, the existing network
  - 3 - yes, a new network
  - 4 - I am unable to answer this question
- 9.5 What access will the appropriate members of the project team have?
  - 1 - unrestricted access to the data centre
  - 2 - restricted access to the data centre
  - 3 - inadequate access to the data centre
  - 4 - I am unable to answer this question
- 9.6 Will users and DEPARTMENT staff be available for training?
  - 1 - as and when required
  - 2 - with limited availability
  - 3 - only with severe disruption to essential work
  - 4 - I am unable to answer this question

#### **Appendix A .1.10 - Operation and support issues**

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- 10.1 Will the system be operated by the user or department staff?
- 1 - Department
  - 2 - User
  - 3 - I am unable to answer this question
- 10.2 What are the availability of operations and support resources?
- 1 - available
  - 2 - available, but require training
  - 3 - unavailable
  - 4 - I am unable to answer this question
- 10.3 How often will the system be run?
- 1 - daily, on-line
  - 2 - daily, batch
  - 3 - at regular intervals (weekly, monthly, etc.)
  - 4 - ad-hoc
  - 5 - I am unable to answer this question
- 10.4 How critical are the deadlines?
- 1 - very tight
  - 2 - peaked, but with adequate time for preparation
  - 3 - no time pressure
  - 5 - I am unable to answer this question
- 10.5 What would be the effect of system failure?
- 1 - immediate effect
  - 2 - none for less than two hours
  - 3 - none for less than one day
  - 4 - none for several days
  - 5 - I am unable to answer this question
- 10.6 Is the system network dependent?
- 1 - totally network dependent
  - 2 - a mixture of local/remote hardware
  - 3 - local only

4 - I am unable to answer this question

10.7 How easy will the system be to evolve?

1 - easy, well documented, flexible

2 - moderately complex

3 - difficult, poorly documented, inflexible

4 - I am unable to answer this question

#### **Appendix A .1.11 - Evolution issues**

11.1 Does the existing system have a good and documented structure?

1 - There is a clear structure and good up-to-date documentation

2 - There is a structure and some up-to-date documentation

3 - There is no known structure or no up-to-date documentation

4 - There is no known structure and no up-to-date documentation

5 - I am unable to answer this question

11.2 How well do the project team understand the functionality of the existing system and the application domain?

1 - There is a good understanding by almost all team members

2 - There is a basic understanding limited to one or only a few team members

3 - There is only a draft understanding

4 - There is no understanding

5 - I am unable to answer this question

11.3 How well do the project team understand the structure of the existing system?

1 - There is a good understanding by almost all team members

2 - There is a basic understanding limited to one or only a few team members

3 - There is only a draft understanding

4 - There is no understanding

5 - I am unable to answer this question

11.4 How well do the project team understand the technical environment of the existing system?

1 - There is a good understanding by almost all team members

2 - There is a basic understanding limited to one or only a few team members

3 - There is only a draft understanding

- 
- 4 - There is no understanding
  - 5 - I am unable to answer this question
- 11.5 Is there a defined strategy for the long-term evolution of the system?
- 1 - Yes, there is a clear strategy
  - 2 - Yes, but with a lot of questions and open points
  - 3 - No
  - 4 - I am unable to answer this question
- 11.6 How critical is the data migration and the transition from the existing to the new system?
- 1 - No data migration and uncritical transition
  - 2 - Data migration or critical transition
  - 3 - Data migration and critical transition
  - 4 - I am unable to answer this question

# Appendix B - Templates for Risk Management

## Contents

- B.1 Questionnaire Template
- B.2 Risk Condition Template
- B.3 Risk Assessment Template
- B.4 Risk Assessment Report
- B.5 Summary Template
- B.6 Recommendation Template



Questionnaire Sheet (2 of 11)											
QUESTIONS	ANSWERS	NDEL	LATE	BUDG	USER	FUNC	ERR	EFF	FAIL	SUPP	ENH
2.1 How was date determined?	1		1			2	2	3		0	0
	2		2			1	1	2		0	0
	3		0			0	0	1		0	0
	4		3			1	1	0		1	1
	5		3			2	2	3		3	3
2.2 Result late delivery?	1	1	1	2	2	3	2			0	0
	2	0	1	2	2	2	1			0	0
	3	2	2	1	1	1	1			1	1
	4	3	3	1	0	0	0			2	2
	5	3	3	2	3	3	2			3	3
2.3 Result limited functionality?	1				3	0		0			
	2				2	1		1			
	3				1	2		2			
	4				0	3		3			
	5				3	3		3			
2.4 Financial case?	1	0				0				0	
	2	1				1				1	
	3	3				2				2	
	4	3				3				3	
2.5 Business area stability?	1	3	3	3	3	3	3	3		3	
	2	2	2	2	1	1	1	1		1	
	3	0	0	0	0	0	0	0		0	
	4	3	3	3	3	3	3	3		3	
2.6 Project objectives clear?	1	0	0	0		0	0	0		0	0
	2	1	1	1		2	1	1		1	1
	3	3	3	3		3	3	2		2	2
	4	3	3	3		3	3	3		3	3



Questionnaire Sheet (4 of 11)											
QUESTIONS	ANSWERS	NDEL	LATE	BUDG	USER	FUNC	ERR	EFF	FAIL	SUPP	ENH
4.1 PM project experience?	1		0	0	0						
	2		2	2	1						
	3		2	3	2						
	4		2	3	2						
4.2 PM business experience?	1		0	0	0	0				0	
	2		1	1	1	1				1	
	3		3	3	2	2				3	
	4		3	3	2	2				3	
4.3 Team skills & experience	1		0	0	0	0	0	0			
	2		1	1	1	0	0	1			
	3		1	2	2	1	1	2			
	4		3	3	3	2	2	3			
	5		3	3	3	2	2	3			
4.4 Team location?	1	0	0	0							
	2	2	2	2							
	3	2	2	2							
4.5 Team size?	1		0		0		0				
	2		1		1		1				
	3		2		2		2				
	4		2		2		2				
4.6 Team make-up?	1		0	0	0	0					
	2		2	1	1	1					
	3		1	2	2	2					
	4		2	2	2	2					
4.7 Life-cycle?	1		0			0	0		0	0	0
	2		0			0	0		0	0	0
	3		2			2	1		2	1	1
	4		2			3	2		2	3	3
4.8 Methods understood?	1		0	0		0	0			0	0
	2		1	1		1	0			1	1
	3		3	3		2	1			2	2
	4		3	3		3	2			3	3

Questionnaire Sheet (5 of 11)											
QUESTIONS	ANSWERS	NDEL	LATE	BUDG	USER	FUNC	ERR	EFF	FAIL	SUPP	ENH
5.1 No. of user functions?	1		0		0	0		0			
	2		1		1	1		1			
	3		3		3	3		3			
5.2 User management commitment?	1	0	0		0	0	0	0			
	2	0	0		1	0	0	0			
	3	2	3		3	2	2	2			
	4	2	3		3	2	2	2			
5.3 Team located where?	1		0		0	0	0	0			
	2		2		1	2	1	1			
	3		1		3	2	2	2			
	4		3		3	2	2	2			
5.4 User department exposure previously?	1		0		0	0		0			
	2		1		1	1		1			
	3		2		2	2		2			
	5		2		2	2		2			
5.5 User ops. or org. changes?	1	3	2	2	3	3	3	2	3		
	2	3	3	2	2	2	2	1	2		
	3	1	1	1	1	1	1	1	1		
	4	0	0	0	0	0	0	0	0		
	5	3	3	2	3	3	3	2	3		



Questionnaire Sheet (7 of 11)											
QUESTIONS	ANSWERS	NDEL	LATE	BUDG	USER	FUNC	ERR	EFF	FAIL	SUPP	ENH
7.1 Technical options evaluation	1	0	0	0				0	0	0	0
	2	0	1	1				0	0	1	0
	3	1	1	2				1	1	1	1
	4	2	2	3				3	3	3	3
	5	3	2	3				3	3	3	3
7.2 Knowledge of technical environment?	1		3	3			2	2	3	3	3
	2		2	1			1	1	2	2	2
	3		0	0			0	0	0	0	0
	4		3	3			2	2	3	3	3
7.3 PM experience of this?	1		0	0			0	0	0	0	0
	2		1	1			1	1	1	1	1
	3		3	3			3	3	3	3	3
	4		3	3			3	3	3	3	3
7.4 New application?	1					0					
	2					1					
	3					2					
	4					2					
7.5 Complexity?	1		0	0		0	0	0		0	0
	2		1	1		1	1	1		1	1
	3		3	3		2	2	2		2	2
	4		3	3		2	2	2		3	3
7.6 Package or bespoke?	1		1	2		2	0			2	2
	2		2	3		1	1			2	2
	3		1	1		0	2			0	0
	4		2	3		2	2			3	3



Questionnaire Sheet (9 of 11)											
QUESTIONS	ANSWERS	NDEL	LATE	BUDG	USER	FUNC	ERR	EFF	FAIL	SUPP	ENH
9.1 Implementation method?	1		0		2				0		
	2		1		0				1		
	3		2		2				2		
	4		3		3				3		
9.2 HW/SW environment in use	1		0	0			0				
	2		0	0			0				
	3		1	0			1				
	4		3	2			2				
	5		3	2			2				
9.3 No. of other systems to interface	1		0				0	0	0	0	0
	2		1				1	1	1	1	1
	3		3				2	2	3	2	2
	4		3				2	3	3	3	3
9.4 DC network requirements?	1		0						0		
	2		1						1		
	3		2						2		
	4		3						3		
9.5 Data centre access for the team?	1						0			0	
	2						1			1	
	3						2			3	
	4						2			3	
9.6 User and department staff training?	1				0		0	0		0	
	2				2		1	1		1	
	3				3		2	3		3	
	4				3		2	3		3	

Questionnaire Sheet (10 of 11)											
QUESTIONS	ANSWERS	NDEL	LATE	BUDG	USER	FUNC	ERR	EFF	FAIL	SUPP	ENH
10.1 System operated by whom?	1								0	0	
	2								2	1	
	3								2	3	
10.2 Availability of operations and support resources	1								0	0	
	2								1	0	
	3								3	3	
	4								3	3	
10.3 Frequency/ way of running the system?	1								1		
	2								0		
	3								1		
	4								2		
	5								2		
10.4 Critical deadlines?	1					3				3	
	2					1				1	
	3					0				0	
	4					3				3	
10.5 System failure effects?	1					2				3	
	2					1				2	
	3					1				1	
	4					0				0	
	4					2				3	
10.6 Network dependence of the system?	1								2	2	2
	2								2	2	2
	3								0	0	0
	4								2	3	3
10.7 Ease of system maintainability?	1								0		0
	2								1		1
	3								2		3
	4								2		3

Questionnaire Sheet (11 of 11)											
QUESTIONS	ANSWERS	NDEL	LATE	BUDG	USER	FUNC	ERR	EFF	FAIL	SUPP	ENH
11.1 Structure and documentation	1		0	0					0		
	2		1	1					0		
	3		2	2					1		
	4		3	3					2		
	5		3	3					2		
11.2 functionality and application domain understanding	1		0	0							
	2		2	2							
	3		3	3							
	4		3	3							
	5		3	3							
11.3 structure understanding	1		0	0							
	2		2	2							
	3		3	3							
	4		3	3							
	5		3	3							
11.4 technical environment understanding	1		0	0							
	2		1	1							
	3		2	2							
	4		3	3							
	5		3	3							
11.5 long-term evolution strategy	1	0				0					
	2	2				1					
	3	3				2					
	4	3				2					
11.6 data migration and transition	1			0	0						
	2			1	1						
	3			2	1						
	4			2	1						



Appendix B.3 - Risk assessment template

RISK ASSESSMENT REPORT (1 of 2)	
BACKGROUND	<b>SUPPORTING DOCUMENTS</b>
	<b>SUM</b> Summary sheets: Page 1 <input type="checkbox"/> Page 2 <input type="checkbox"/> Page 3 <input type="checkbox"/> Page 4 <input type="checkbox"/> Page 5 <input type="checkbox"/> <b>RCS</b> Risk Conditions Statement & Matrix <input type="checkbox"/> <b>RWS</b> Recommendations Worksheet <input type="checkbox"/>
FINDINGS	

## Appendix B.4 - Risk Assessment Report

RISK ASSESSMENT REPORT (2 of 2)		
RECOMMENDATIONS (to address avoidable / manageable factors)		
ACTIONS (in order of priority)	WHO	WHEN
UNAVOIDABLE FACTORS AFFECTING RISKS (The following factors also affect risk but, due to the nature of the project, it is considered that no effective action can be taken to address them)		