Risk Information Form

Risk Event	**Likelihood of Occurrence** (max = a ↔ e = min)		Date Submitted
Major System/Component/Functional Area	**Risk Rating** (H / M / L)	Priority	ID Number
Statement of Risk			
Description of Risk			
Key Parameters			
Impact / Consequences			
Assessment Analysis			
Time Sensitivity	**Severity** (max = a ↔ e = min)		
Process Variance	Other Affected Areas		
Risk Handling Plans			
Risk Monitoring Activity			
Lessons Learned			

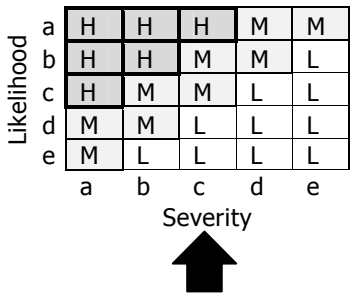
Status (Show Several)	Status Dates	Assigned To	Reported By
Closing Rationale			

Risk Information Form Elements

Element	Description
Risk Event	States the risk event and identifies it with a descriptive name. The statement and risk identification number will always be associated in any report.
Likelihood of Occurrence	States the probability of the event occurring, based on definitions in the program's Risk Management Plan.
Data Submitted	Gives the date that the Risk Information Form is submitted.
Major System/ Component/ Functional Area/ Subsystem	Identifies the major system/component and the pertinent subsystem or component based on the WBS, or the process in which the risk event occurs.
Risk Rating	Classification of risk as High, Medium or Low, derived from likelihood and severity (see matrix page 3)
Priority	Reflects the importance of this risk priority assigned by the Program/Project Mgmt compared to all other risks, e.g., a (1) indicates the highest priority.
(Category)	Identifies the risk as technical/performance cost or schedule or combination of these.
Risk Identification Number - ID	Identifies the risk and is a critical element of information.
Statement of Risk	Gives a concise statement (one or two sentences) or the risk.
Description of Risk	Briefly describes the risk. Lists the key processes that are involved in the design, development, and production of the particular system or subsystem. If technical/performance, includes how it is manifested (e.g., design, programming, engineering, manufacturing, etc.)
Key Parameters	Identifies the key parameter, minimum acceptable value, and goal value, if appropriate. Identifies associated subsystem values required to meet the minimum acceptable value and describes the principal events planned to demonstrate that the minimum value has been met.
Impact / Consequences	States the consequence of the event, if it occurs, based on definitions in the program's Risk Management Plan. Consider average and worst case consequences.
Assessment	States if an assessment has been done. Cites the Risk Assessment Report, if appropriate.
Analysis	Briefly describes the analysis done to assess the risk. Includes rationale and basis for results.
Time Sensitivity	Estimates the relative urgency for implementing the risk-handling option.
Severity	States the severity of the potential impact of the risk.
Other Affected Areas	If appropriate, identifies any other subsystem or process that this risk affects.
Process Variance	States the variance of critical technical processes from known standards or best practices, based on definitions in the program's risk management plan.
Risk Handling Plans	Briefly describes plans to mitigate the risk. Refers to any detailed plans that may exist, if appropriate.
Risk Monitoring Activity	Measures using metrics for tracking progress in implementing risk handling plans and achieving planned results for risk reduction.
Lessons Learned	Identify any possible further reaching activities etc.
Status	Briefly reports the status of the risk-handling activities and outcomes relevant to any risk handling milestones.
Status Due Date	Lists date of the status report.
Assignment	Lists individual assigned responsibility for mitigation activities.
Reported By	Records name and phone number of individual who reported the risk.
Closing Rationale	Reason for closing the risk.

Risk Assessment Process

Level	Likelihood of Occurrence
a	Near certainty
b	Highly likely
c	Likely
d	Unlikely
e	Remote



Risk Rating
HIGH – Unacceptable, Major disruption likely. Different approach required. Priority management attention required.
MODERATE – Some disruption. Different approach may be required. Additional management attention may be needed.
LOW – Minimum impact. Minimum oversight needed to ensure risk remains low.

Level	Technical Performance	Schedule	Cost	Impact on Other Teams
a	Unacceptable	Can't achieve key team or major program milestone	>15%	Unacceptable
b	Acceptable - no remaining margin	Major slip in key milestone or critical path impacted	10-15%	Major impact
c	Acceptable with significant reduction in margin	Minor slip in key milestone. Not able to meet need dates	5-10%	Moderate impact
d	Acceptable with some reduction in margin	Additional resources required. Able to meet need dates.	<5%	Some impact
e	Minimal or no impact	Minimal or no impact	Minimal or no impact	None

Roles and Responsibilities

Program/Project Manager
- Plan, organize, direct, and control risk management.
- Comply with Roche risk management policy.
- Ensure that funds are available to support approved risk-handling plans.
- Ensure that the risk management program is implemented, risk reduction is accomplished in conformance with the Sponsor's strategy, and the risk management efforts of the Program/Project Team are integrated.
- Inform and advise Program/Project Sponsor on program/project risk and its mitigation.

Risk Management Coordinator
- Develop and maintain risk management plans.
- Provide risk management training.
- Define the risk reporting scales to be used by the program.
- Develop and maintain a risk management information system.
- Prepare risk management reports.
- Monitor compliance with Roche risk management requirements.
- Ensure that risk management functions and tasks performed by the Program/Project Team are fully integrated and in compliance with assigned tasks.
- Ensure that cost, schedule, and performance risks are compatible.
- Advise the Program/Project Manager on the use of risk management resources.
- Evaluate risk assessments, risk-handling plans, and risk monitoring results as directed and recommend appropriate actions.
- Advise the Program/Project Manager on the use of independent risk assessors.
- Coordinate all risk management findings and decisions with other Program/Project Teams.

Program/Project Team
- Assess risks:
  - recommending appropriate risk-handling strategies for each identified moderate and high risk,
  - developing and implementing risk-handling plans,
  - monitoring the results of risk-handling actions, and
  - documenting all risk management analyses and findings within the team's product area.
- Identify funding requirements to implement risk-handling plans.
- Identify the need for risk management training.
- Report risk events to the risk coordinator.