Guide for Conducting a Survey / Audit / Appraisal

XPRIMER SERVER CONNECTIVITY

You must have internet access enabled on your computer in order to conduct surveys, audits, and appraisals using XPRIMER. The status of the connection is indicated on the lower right hand corner of the XPRIMER application windows. Status is shown as GREEN (ON) or RED (OFF).

PRODUCT VIDEO

Please review our S:PRIMER*Plus* product video on WWW.GRAFP.COM before proceeding, as this will provide a helpful overview of XPRIMER's functionality. S:PRIMER*Plus* is a specific application of XPRIMER in the field of software engineering.

TERMINOLOGY

The use of the term 'Assessment' in this Guide implies a Survey, Audit or Appraisal (which ever is applicable to your circumstance and use of XPRIMER).

The use of the term 'Lead Assessor' in this Quick Reference Guide implies a Survey Coordinator, Lead Auditor, Lead Assessor, or Lead Appraiser (which ever is applicable to your circumstance).

The use of the term 'Assessor' in this Guide implies Audit Team Member, Assessment Team Member, or Appraisal Team Member (which ever is applicable to your circumstance).

SCENARIOS SUPPORTED BY XPRIMER

XPRIMER supports several scenarios listed in an increasing level of accuracy:

- A survey will be conducted and there will be no verification of survey results. This is the **SURVEY** mode. [In this mode, there is still some flexibility provided to permit modifications to questionnaire responses where the Lead Assessor feels a question may have been misunderstood or misinterpreted, and where evidence to substantiate his/her claim has been captured. This mode also permits the examination of 'what if' scenarios]
- There will be no survey but a team of Assessors will collect evidence and provide corroboration for each question of the survey, even though they do not complete the survey as such (i.e. they only suggest responses to the Lead Assessor, who has the last word). This is the **VERIFICATION** mode. [Note: XPRIMER functionality is compliant with international audit and appraisal standards (e.g. SCAMPI, ISO).]
- A survey will be conducted with Respondents and a verification of survey results will be carried out with Assessors, who will corroborate or challenge Respondents' responses. This is the **SURVEY AND VERIFICATION** mode.

The second and third bullets require some explanation. The essential difference between a Respondent and an Assessor is that a Respondent, as the name implies, provides responses to a survey whereas an Assessor suggests responses based on collected evidence. In the latter, it is the Lead Assessor who provides the final responses. A Respondent typically responds to the survey and provides comments (in that sense, a Respondent is usually biased because he or she responds on the basis of his or her perception). In the second bullet, an Assessor suggests responses to the Lead Assessor, which must reflect the corroborated evidence that the Assessor has collected and as such, the Assessor is more likely to be unbiased. Whereas comments are optional for a Respondent, they are mandatory for an Assessor who provides them in the form of observations. In the third bullet, the Assessor only suggests a response, as is the case in the second bullet, but he or she has access to the information provided by the Respondents; the Assessor's task consists of verifying the information provided by Respondents and to either confirm or refute them with his or her own observations.

CREATING A SURVEY/AUDIT/APPRAISAL FILE.

If you wish to create a new assessment, one way to accomplish this is to select **New assessment** from the pop-up bar when the File menu pad is selected. You will then be prompted to enter the:

- **Assessment Name**: Type in the name of you survey/audit/appraisal.
- **Type of assessment**: Select 'Biased' if you are in the SURVEY mode or SURVEY AND VERIFICATION mode. Otherwise, select 'Unbiased'.
- **Available Models**: Select a model from the list of available models. If you select a model that has been designated as 'Private' by its author, you will be prompted for a password. If you have not been provided with the password for a 'Private' model, you will not have access to the model. Selecting a 'Public' model will not prompt you for any password.
- **Lead Assessor Alias**: Type in an 'alias' for confidentiality purposes (e.g. lead, coordinator, alpha). Alias names will also be assigned to all participants of the assessment.
- **Lead Assessor Email Address**: Type in your email (if you will be the Lead Assessor for this exercise, be it a survey, audit or appraisal.

SAVING A SURVEY/AUDIT/APPRAISAL FILE.

It is a good practice to save an assessment file as soon as it has been created and to periodically save the contents of your assessment file as various activities are conducted. One way to save your assessment file is by selecting **Save** or **Save as** from the pop-up bar that appears when the **File** menu pad is selected. You will then be prompted to enter the file name you wish to have this assessment saved under and to select a folder in which to save this file.

IT IS RECOMMENDED TO SAVE ALL ASSESSMENTS UNDER THE 'ASSESSMENTS' FOLDER WITHIN THE DIRECTORY IN WHICH THE XPRIMER APPLICATION WAS INSTALLED.

CONDUCTING 'WHAT IF' SCENARIOS

The XPRIMER application supports "what if" scenarios by allowing the Lead Assessor to modify question responses provided by participants and then regenerating results. This will allow the Lead Assessor to see hypothetical results of a subsequent assessment if conditions were to improve (or deteriorate) by modifying question responses accordingly.

The course of action normally involves the Lead Assessor making a backup of the initial assessment first, as this is good practice (through the FILE –Save as command), before making modifications to the question responses. Here are steps to be conducted by the Lead Assessor:

- Display the **Consolidated questionnaire** tab in the **Consolidating Data** page.
- Use the "Details" area to select the questionnaire, Key Area and question number for which the response is to be modified. A set of three combo boxes is provided for this purpose.
- Select the **Unbiased answer** checkbox and using the combo box below the checkbox, change the answer of the selected question.
- Repeat the above step until all questions to be modified have been updated.
- Display the **Results** tab in the **Analyzing** page.
- Select the **Generate Results** button followed by the E**xtract Findings** button, which is used to extract findings based on the defined set of thresholds.
- Review the effects of having made modifications to the questions by viewing relevant information in the "Statistics" area and by reviewing the findings displayed in the **Findings** tab in the **Analyzing** page.

PRINTING FEATURES OF XPRIMER

One of XPRIMER's main strengths is its ability to print useful reports. The Lead Assessor can make use of generic templates to print standard reports and have the flexibility of modifying these templates to generate reports to meet their specific needs.

Printing is available on five of XPRIMER's six main pages by selecting **Print report** from the pop-up bar that appears when the Tools menu pad is selected. A **Report editor** window is then displayed along with a menu bar with standard editing features (e.g. File – Open, Save, Save as, Close, Edit – Cut, Copy, Paste, Select all). NOTE: It is important not to modify fields that are colored in blue and are between brackets (< >) in this window, since they will be replaced by the text to which they correspond at the time of printing. Command statements are also found in blue text and represent simple 'looping' instructions (e.g. to print all 'questions' within a Key Area, starting with the first one, and ending with the last one).

Alongside the File and Edit items on the Tool menu pad are two additional menu items, **Tools** and **Tags,** which are described below:

- The Lead Assessor is free to arrange the order in which fields will appear in the printed report by editing the Report editor window as she/he feels. To insert a field, simply positioning the cursor at the desired location in the window and select the field from the list that appears when the **Tags** menu pad is selected.
- Once the Report Editor window is to the liking of the Lead Assessor, the new template must be saved and the report generated. These two activities are conducted by selecting **Build** from the pop-up bar that appears when the **Tools** menu pad is selected. The Lead Assessor is then prompted for a file name and location in which to save the rich text format (rtf) file. NOTE: All reports are stored as rich text format documents.
- When printing 'questions' and/or 'observations' in a report, the Lead Assessor is also given the ability of printing either all questions and observations or only those specific ones based on some unique characteristics. These characteristics can be picked by selecting **Options** from the pop-up bar that appears when the **Tools** menu pad is selected.

Printing of graphs generated by XPRIMER is also very easy. The Lead Assessor simply has to view the graph and select **Export JPEG image** from the pop-up bar that appears when the **Tools** menu pad is selected. The Lead Assessor is then prompted for a file name and location in which to save the jpeg file.

ACTIVITY ONE - IDENTIFICATION

Select the Identification page in order to display the **Identification** tab. This tab contains general information about the scope of the assessment to be conducted, particularly "where" it is being conducted.

Please enter information in the following fields:

- **Organization Name**: Enter the name of the Enterprise or Organization where the assessment is being conducted.
- **Standard Industrial Code (SIC)**: Enter the SIC code of the Enterprise or Organization. A two-digit code designates each major industry group, which is coupled with a second two-digit code representing subcategories.
- **Number of people affected**: Enter the size of the organizational 'unit' being assessed (e.g. an IT department may consist of 50 people – managers and practitioners, in an organization that may have more that 200 employees).
- **Total number of people**: Enter the total size of the enterprise or organization. This number must be larger than 'number of people affected.
- **Zip/Postal Code**: Enter the enterprise's zip code or postal code.
- **Country**: Enter the country where the enterprise is being assessed

NOTE *An assessment usually consists of capturing observations based on a set of 'representative projects or initiatives' in an organization. These representative projects or initiatives are called **'entities'** in the XPRIMER application. The Lead Assessor must enter at least one entity in order to proceed with their assessment. Entities are created using the Add, Edit, and Delete command buttons. Each representative project or initiative should be assigned a unique 'entity' along with its proper name and alias (for confidentiality purposes).*

ACTIVITY TWO – CUSTOMIZING SURVEY QUESTIONNAIRES

Select the Customizing Survey Questionnaires page to display the **Customize Key Areas** and **Customize questions** tabs.[Note: Tab headings may vary slightly depending on the model selected for the assessment – some models may further qualify Key Areas into 'Process' and 'Risk'].

- It is highly recommended that the Lead Assessor review all Key Areas and questions for their clarity and to make any necessary adjustments using the provided fields.
- A Lead Assessor is free to decide to accept all displayed questions and Key Areas 'as is' without making any modifications.
- Key Areas can be modified or deselected (i.e. removed) from an assessment. To make modifications to the name of a Key Area, simply select the **Use modified** box associated with the Key Area name and then type in a new Key Area name in the **Modified Key Area name** field.
- Questions of a Key Area can be modified or deleted. The Lead Assessor can make use of the **Remove question**, **Restore Question**, **Update**, and **Cancel** commands along with the **Modified text** box to make modifications to the text displayed under the **Original text** tab.
- Adding new questions or Key Areas to an assessment is not permitted (i.e. this can only be accomplished using the Model Editor).
- It is highly recommended to keep **Weights** for Key Areas and questions at an **Average** setting.
- Under the **Customize questions** tab, the most important field is that of **Question** tab. The more the text of a question can be worded using the organization's terminologies (or jargons), the more successful the assessment will be in terms of capturing relevant information from participants.
- Not all models will have populated the **Finding**, **Canned Script**, and **Help** tabs with information. These tabs will contain information as long as it had been defined when the model was first created (using the Model Editor). If these tabs have not been populated, this should not be reason for concern. These tabs can be left empty. Alternatively, the Lead Assessor may decide to enter information in these tabs as he/she sees fit.
    - Text under the **Finding** tab should display context as to 'WHY' the practice statement under the 'Question' tab is a key practice that should be implemented in the entity/project/organization being assessed. If it is a risk statement under review, this tab should display context as to the potential 'consequences' if the risk were to materialize into problem.
    - The **Canned Script** tab should display questions that may be asked to participants during interviews which may trigger a better (and more relevant) response from assessment participants.
    - The **Help** tab should display information to help Respondents interpret the question to which they are requested to respond.
    - No modifications can be made to information displayed on the **Parameters** tab.

ACTIVITY THREE – SELECTING SURVEY PARTICIPANTS

Select the Selecting Survey Participants page to display the **Participant information**, and **Assign participants** tabs.

- If you are in a SURVEY mode or SURVEY AND VERIFICATION mode, add in the names of each survey respondent on the **Participant information** tab. The fields colored in blue are mandatory and a unique alias must be assigned to each respondent. Select the **Respondent** radio button and make sure the **Default username** and **Default password** radio buttons are also selected for each new respondent. This will represent username and password assignments that will be provided electronically via email to each survey Respondent, along with a URL address in which to retrieve their questionnaire (more on this topic later – on Activity 4 – Managing Survey Questionnaires). A list of all respondents created is organized alphabetically on the right hand area called **Display**. If respondent information is to be updated, select (highlight) the respondent from this list, make the necessary modifications, and then select the **Save changes** command. If you want to clear all the fields on display, select **Clear fields** from the pop-up bar that appears when the Tools menu pad is selected. To delete a respondent for the list of survey respondents, highlight the respondent on the list on the right hand area called 'Display' and then select the **Remove participant** command.
- If in a VERIFICATION mode or SURVEY AND VERIFICATION mode, and if there is a group of assessors (minimum of 1) assisting you in the verification tasks, you must add in the names of each assessor in the **Participant information** tab. The fields colored in blue are mandatory and a unique alias must be assigned to each assessor. Select the **assessor** radio button and make sure the **Default username** and **Default password** radio buttons are also selected for each assessor added. This will represent username and password assignments that will be provided electronically via email to each assessor in the course of the assessment, along with a URL address in which to retrieve their questionnaire (more on this topic later – on Activity 4 – Managing Survey Questionnaires). A list of all assessors is organized alphabetically on the right hand area called Display. NOTE: THE LEAD ASSESSOR SHOULD NOT ADD HIS/HER NAME TO THIS LIST.
- At any point during an assessment, regardless of which mode, the Lead Assessor can insert new survey respondents or assessors as he/she wishes (by repeating the above steps).
- Next, Key Areas must be assigned to each survey respondent and assessor. To proceed, the Lead Assessor must view the **Assign participants** tab. For each participant (respondent or assessor) place a checkmark on Key Areas you wish to allocate to the highlighted participant. Depending on the model you select, there may be Process Key Areas as well as Risk Key Areas to assign.

ACTIVITY FOUR – MANAGE SURVEY QUESTIONNAIRES

Select the **Managing Survey Questionnaires** page to access the **Transmit/Receive center**, **Review respondent questionnaire**, and **Participant status** tabs, which are discussed below.

The **Transmit/Receive center** tab allows the Lead Assessor to control the transmission of questionnaires to survey respondents, the retrieval of questionnaire responses from survey respondents, the transmission of assessor questionnaires, and the retrieval of assessor questionnaires (i.e. observations – strengths and weaknesses).

From the **Review respondent questionnaires** tab, the Lead Assessor can review responses provided by Respondents.

From the **Participant status** tab, the Lead Assessor can review the status of questionnaires assigned to either Respondents or Assessors.

If you are in a SURVEY mode or SURVEY AND VERIFICATION mode, the following must be conducted.

- From the **Transmitting Survey Questionnaires** tab, questionnaire can be sent to respondents by highlighting their alias name on the right hand area (**Questionnaires assigned**), selecting a time limit for the respondent to answer their questionnaire, and then selecting the **Send selected questionnaire(s)** command. Multiple respondents can be highlighted at the same time and be sent questionnaires simultaneously (with the same time limit).

  IMPORTANT: Before sending any questionnaires to survey respondents, you must edit the contents of two files, the Outgoing email message and the Read me page, as these will guide respondents as to how to proceed when answering their questionnaires. A generic Outgoing message can be accessed and modified by selecting Edit outgoing email from the pop-up bar that appears when the Tools menu pad is selected. A generic Read me page can be accessed and modified by selecting Edit Read me page content from the pop-up bar that appears when the Tools menu pad is selected. Mark-ups are inserted directly over the generic text. It is important not to modify fields that are between brackets (< >) in this window, since they will be replaced by the text to which they correspond in the e-mail transmitted to respondents.

  CAUTION: If you attempt to resend a questionnaire to a respondent, you will be reminded (via a prompt) that you will in fact be retransmitting a BLANK questionnaire to the respondent.

- From the **Participant status** tab, the Lead Assessor is able to monitor the status of each sent questionnaire. If a participant requires an extension to their questionnaire time limit, this can be provided by first selecting the participant name from the list and then selecting the **Change due date** command and entering a new date and time, as prompted.

  NOTE: This Participant status tab should be monitored regularly to ensure participants are completing their questionnaires and to determine if email reminders are warranted (or friendly phone calls!)

  SUGGESTION: If you notice from the Participant Status page that all respondent questionnaires have been completed prior to expiration of the time limit (i.e. **complete** fields are all X'd off), and you decide to start your analysis phase sooner, you should first lock participants from re-entering their questionnaires. This is achieved by selecting the participant name and then selecting the **Lock participant** command. Participants who have been locked in this fashion can be unlocked the same way.

- From the **Transmitting Survey Questionnaires** tab, questionnaires can be retrieved (whether completed or partially completed) by selecting **Check for new questionnaires** from the pop-up

bar that appears when the Tools menu pad is selected. Only questionnaires which have been modified since the last check for new questionnaires will be retrieved (as this function can be repeatedly selected).

NOTE: Completed questionnaires received are listed in the window immediately below the **Questionnaires to include** area. XPRIMER checks the status of transmitted questionnaires every minute. The "√" or "X" displayed on the left of each completed questionnaire determines whether the corresponding questionnaire will be used in the analysis. When an "X" is displayed, the corresponding questionnaire will not be used in the analysis. This field can be toggled via double clicking the particular respondent alias name on the list. This feature is provided since the Lead Assessor, while reviewing questionnaire responses, may decide that a given questionnaire should be removed from the analysis. This situation may occur, when it is determined that a participant has not provided significant responses to a large number of questions (for instance by being unable to take a stand on the topics addressed in the questionnaire) and nothing much is gained by including it in the analysis.

- From the **Review respondent questionnaires** tab, the Lead Assessor can review responses provided by Respondents.

The Review respondent questionnaire tab is divided into five areas: **Details**, **Respondent details**, **Answer given**, **Comments given**, and **Questionnaire statistics**.

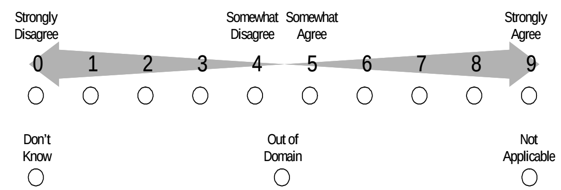
The "**Details**" area is used to select the questionnaire, Key Area and question number for which the response is to be displayed. A set of three combo boxes is provided for this purpose. The first item to specify is the Questionnaire. Then, the Key Area containing the question for which the response will be displayed is selected in the second combo box. Finally, the question itself is selected with the help of the third combo box.

The "**Respondent details**" area is used to select the Respondent whose answers are to be reviewed. The combo box on the right of Respondents allows the Lead Assessor to select the Respondent for whom responses to the survey questionnaire will be displayed.

NOTE: Assessors are not included in the pop-up menu since the **Review respondent questionnaires** tab is specifically provided to review information provided by Respondents. By default, only received questionnaires are listed.

After the question has been selected, the text of the question is displayed in the window immediately below the "**Details**" area. One other tab is also available: the **Help** tab displays information to help Respondents interpret the question to which they are requested to respond. The Help tab will contain information as long as it had been defined when the model was first created (i.e. by the Model Editor) or when the questions were tailored (see **ACTIVITY TWO – CUSTOMIZING SURVEY QUESTIONNAIRES**).

The "**Answer given**" area is used to display the response provided by the Respondent for the corresponding question. Thirteen choices are available:



- 0 – 9 with the following qualifications:
  a. 9 (Strongly Agree) - In all but exceptional cases the condition described by the statement or suggested by the question corresponds to the present situation
  b. 5 (Somewhat Agree) - More often than not the condition described by the statement or suggested by the question corresponds to the present situation, but there are frequent exceptions
  c. 4 (Somewhat Disagree) - More often than not the condition described by the statement or suggested by the question does not correspond to the present situation, but there are frequent exceptions
  d. 0 (Strongly Disagree) - In all but exceptional cases the condition described by the statement or suggested by the question does not correspond to the present situation
- Not Applicable - The condition described by the statement or suggested by the question is not applicable to the present situation
- Unknown – The participant did not have sufficient information to qualify the condition described by the statement or suggested by the question with respect to the present situation
- Out of Domain – The participant did not have sufficient expertise to qualify the condition described by the statement or suggested by the question with respect to the present situation

The "**Comments given**" area is used to display comments provided by Respondents in connection with the question.

The "**Questionnaire statistics**" provides information regarding the questionnaire completed by the Respondent. Invalid questions are questions for which either no response has been provided or no useful information has been provided in the responses (Out of domain or Not applicable).

If you are in a VERIFICATION mode or SURVEY AND VERIFICATION mode, the following steps must be conducted.

- From the **Transmitting Survey Questionnaires** tab, a questionnaire can be sent to an assessor by highlighting their alias name on the right hand area (**Questionnaires assigned**), selecting a time limit for an assessor to provide their observations, and then selecting the **Send selected questionnaire(s)** command. Multiple assessors can be highlighted at the same time and be sent questionnaires simultaneously (with the same time limit).

  IMPORTANT: Before sending any questionnaires to assessors, you must first edit the contents of two files, the Outgoing email message and the Read me page, as these will guide assessors as to how to proceed in generating observations (i.e. strengths, weaknesses, and alternatives). A generic Outgoing message can be accessed and modified by selecting Edit outgoing email from the pop-up bar that appears when the Tools menu pad is selected. A generic Read me page can be accessed and modified by selecting Edit Read me page content from the pop-up bar that appears when the Tools menu pad is selected. It is important not to modify fields that are between brackets (< >) in this window, since they will be replaced by the text to which they correspond in the e-mail transmitted to participants.

  EXTREMELY IMPORTANT: When the recipients are Assessors, and if you are in a SURVEY or SURVEY AND VERIFICATION mode the questionnaire in which all completed survey questionnaires have been consolidated (otherwise referred to as consolidated questionnaire) is used. This situation occurs when a team of Assessors verify the results of a survey compiled after

participants have completed basic survey questionnaires. The "√" or "X" displayed on the left of each completed questionnaire , in the area labeled **Questionnaire to include**, determines whether the corresponding questionnaire will be included as part of the consolidated questionnaire submitted to the assessors.

- From the **Participant status** tab, you are able to monitor the status of each sent questionnaire. If an assessor requires an extension to their time limit to generate observations (i.e. strengths, weaknesses, and alternatives), this can be provided by first selecting the assessor name, then selecting **Change due date** command and then entering a new date and time, as prompted.

  NOTE: This **Participant status** tab should be monitored regularly to ensure assessors are accessing their questionnaires frequently. The Lead Assessor should normally assign a 'generous' time limit so as to not unnecessarily get caught making frequent changes to the due dates. If the assessment team finishes early, the Lead Assessor can decide to lock each assessor from further accessing and making changes to their questionnaires. This is achieved by first selecting the participant name and then selecting the **Lock participant** command. Participants who have been locked in this fashion can be unlocked the same way.

  EXCEPTION: Unlike the SURVEY mode, the Lead Assessor, if he/she wishes, can resend assessor questionnaires at any point in time. This normally occurs in exceptional circumstances, for instance - when changes have occurred in the 'consolidated questionnaire' and this questionnaire should be redistributed to all assessors (this could have been due to a survey respondent questionnaire coming in late, whereby the assessment team had not been previously provided with this respondents information).

  REAL TIME UPDATES – Observations (i.e. strengths and weakness) generated by the Lead Assessor as well as the team of assessors, can be reviewed on the XPRIMER application by the Lead Assessor (and by assessors on their client web page) in real time. The update rates for information to be provided by both the Lead Assessor and their group of assessors can be viewed and modified by selecting the menu bar Edit and then selecting Preferences. From experience, this setting should be at: Update observations every - 300 seconds

- Locking a questionnaire is performed automatically when it is transmitted to a participant. After the questionnaire has been placed on the server, it is then automatically unlocks and either the Respondent or the Assessor to whom it is assigned can access it.

  This locking function is particularly useful when the Lead Assessor is interacting with Assessors. For the latter, their questionnaire can be repeatedly transmitted to them as they progress in their auditing activities (e.g. new information being received from surveys or reallocation of surveys). This is so because Assessors receive this information when they first log on. They therefore need to log off, and log back on to have access to this new information. Locking Assessors is one way the Lead Assessor has at his or her disposal to force this. After an Assessor has been locked out, any action he or she takes will result in a page being displayed on the Assessor's screen indicating that he or she needs to log back on. The Assessor will be able to do so after the Lead Assessor will have unlocked the corresponding questionnaire.

ACTIVITY FIVE – CONSOLIDATING DATA

The **Consolidated questionnaire** tab in the **Consolidating Data** page is used to review consolidated responses provided by all Respondents included in the assessment (the Lead Assessor may decide not to include the responses received from specific Respondents by changing the "□" displayed on the left of their questionnaire to an "X" in the Transmit/Receive center tab of the Managing Survey Questionnaires page).

- The **Consolidated questionnaire** tab is divided into two areas: "Details" and "Results".

- The "Details" area is used to select the questionnaire, Key Area and question number for which consolidated responses are to be displayed. A set of three combo boxes is provided for this purpose. The first item to specify is the Questionnaire. Then, the Key Area containing the question for which the response will be displayed is selected in the second combo box. Finally, the question itself is selected with the help of the third combo box.

- Immediately below the "Details" area, two windows are used to display information pertaining to the selected question.

  The Questions tab of the top window, when selected, displays the text of the selected question.

  The Consolidated answer tab of the top window, when selected, displays all responses provided by all Respondents that have been included by the Lead Assessor in the assessment. Each answer is identified by the Respondent's alias in brackets.

  The Canned scripts tab of the top window, when selected, displays the canned script defined in the Customize questions tab in the Customizing Survey Questionnaires page. Canned scripts are useful to define questions to ask participants during an interview.

  The Help tab of the top window, when selected, displays help on interpreting the displayed question. The Help information is available to both Respondents and Assessors.

  Finally, the Notes tab of the top window, when selected, displays notes that are exchanged between the Lead Assessor and Assessor(s) having been assigned that question. The Lead Assessor, through this tab, can send notes to the Assessors and likewise, Assessors, through a similar function provided in the Assessor client web page, can send notes to the Lead Assessor. The update rate for Notes to be interchanged between Lead Assessor and their group of assessors can be viewed and modified by selecting the menu bar Edit and then selecting Preferences. From experience, this setting should be at: Update notes every - 300 seconds.

  The Comments tab of the bottom window, when selected, displays comments that may have been provided by Respondents in connection with the selected question when they completed the survey. Each comment is identified by the Respondent's alias in brackets.

  The Suggested answers tab of the bottom window, when selected, displays the answers suggested by Assessor(s) who have collected evidence on the subject addressed by the selected question. Assessors can only suggest answers; only the Lead Assessor can actually change the answer. The update rate for Suggested answers to be interchanged between assessors and the Lead Assessor can be viewed and modified by selecting the menu bar Edit and then selecting Preferences. From experience, this setting should be at: Update suggested answer every – 60 seconds

  Two command buttons, below the bottom window, are provided to navigate between questions instead of using the combo boxes in the "Details" area. By default, as the user navigates with these buttons and moves from question to question, the question displayed when the **Consolidated observations** tab is selected will be the same as when the Consolidated questionnaire tab was selected. This feature can be disabled by resetting the checkbox displayed next to the "**Dock with observations**" pop-up bar that appears when the Tools menu pad is selected.

- The "Results" area is provided to display quantitative information about the selected question, namely the value associated with all the responses provided by Respondents included in the assessment and the confidence level associated with that value.

  For a process question, the displayed response value corresponds to the capacity of the process component to which the question refers. For instance, for a desirable process, a value of 0.8 corresponds to a consolidated answer "Agree", which represents a high capacity; for an undesirable process, the same 0.8 value would correspond to a consolidated answer of "Disagree" and also represent high capacity.

  For a risk question, the displayed response value corresponds to the degree of perceived risk with respect to the situation that the question describes. For instance, for a desirable situation, a value of 0.8 corresponds to a consolidated answer "Disagree", which represents a high degree of perceived risk; for an undesirable situation, the same 0.8 value corresponds to a consolidated answer "Agree", which also represents a high degree of perceived risk.

  The confidence level represents the reliability of the response value, assuming that the Respondents are knowledgeable on the subject for which they provided responses and that they constitute a representative sample of the initiative/project within the assessed entity. The confidence level is essentially an indication of the amount of relevant information collected on the selected survey question. A Respondent having answered "Out of domain" or "Not applicable" to the question does not provide any useful information and this reduces the confidence one may have in the displayed response value.

- Below the 'Results' area, three buttons are available.

  The **Flag question** button, when selected, is used to notify Assessor(s) having been assigned that question to pay special attention to it. Assessors see a red flag displayed next to that question on their client web page. After having generated results and extracted findings, the Lead Assessor can flag all questions associated with a finding by selecting the "**Flag all findings**" pop-up bar that appears when the Tools menu pad is selected

  The **Lock question** button, when selected, prevents Assessors from making any more changes to that question, such as recording additional evidence on it in the form of observations. If any additional survey questionnaires are received from Respondents after the question has been locked by the Lead Assessor, they will have no effect on the locked question. However, if the Lead Assessor unlocks the question, includes the additional questionnaires received from these Respondents and locks the question again, the locked question will now reflect the responses provided by these additional Respondents.

  A combo box is displayed under the "**Unbiased answer**" checkbox. When this checkbox is checked, the Lead Assessor can change the answer to the selected question based on the evidence provided by Assessors and on their suggested answers.

The **Consolidated observations** tab in the Consolidating Data page is used to review consolidated observations generated by Assessors. Observations consist of additional information substantiating or challenging responses obtained in a survey.

- The Consolidated observations tab is divided into six areas: "Details", "Navigation", "Observation list", "Observation details", Corroborating sources", and "Observation text".

- The "Details" area is used to select the questionnaire, Key Area and question number for which the consolidated observations are to be displayed. A set of three combo boxes is provided for this purpose. The first item to specify is the Questionnaire. Then, the Key Area containing the question for which the observation will be displayed is selected in the second combo box. Finally, the question itself for which observations are to be displayed is selected with the help of the third combo box.

- The "Navigation" area is used to navigate between questions and to filter displayed observations. Two combo boxes are provided to allow the Lead Assessor to filter observations to be displayed by ‘entity’ and/or by ‘assessor’. Two command buttons are provided to navigate between questions instead of using the combo boxes in the "Details" area. By default, as the user navigates with these buttons and moves from question to question, the question displayed when the Consolidated questionnaire tab is selected will be the same as when the Consolidated observations tab was selected. This feature can be disabled by resetting the checkbox displayed next to the "Dock with observations" pop-up bar that appears when the Tools menu pad is selected.

- The "Observation list" area is used to display the headers of observations generated by Assessors for the selected question. By clicking on an observation to highlight it, the observation details are displayed in the "Observation details" area. Each observation header is preceded by a doublet (e.g. [1.1], [1.2], [2.1]). The first number of the doublet indicates the observation number and the second number indicates the version of the observation. Therefore, observation [1.2] is more recent than observation [1.1]. An observation can also be preceded by a green arrow. This indicates that this observation will be transmitted to Assessors when the Lead Assessor will retransmit them their questionnaire. In the preceding example, observation [1.2] is preceded by a green arrow since it is an update of observation [1.1]. Observations that have been updated in this fashion are nevertheless retained and displayed to the Lead Assessor in order to maintain a treaceability of observations generated during an assessment. The Lead Assessor can delete them by selecting the **Delete** button if he or she considers that these are obsolete and will no longer be of any use. Before deleting them, however, it is recommended to save a copy of the assessment file in order to be able to retrieve them should the need arise.

- To the right of the “Observation list” area four buttons are available.

  The **Flag** button, when selected on a highlighted observation, is used to notify Assessor(s) having been assigned that observation to pay special attention to it. Assessors see a red flag displayed next to that observation on their client web page.

  The **Lock** button, when selected on a highlighted observation, prevents Assessors from making any more changes to that observation.

  The **Delete** and **Undelete** observation buttons, when selected on a highlighted observation, allows the Lead Assessor to delete observations or have them undeleted (if an observation had been marked for deletion by one of the assessors).

- The "Observation details" area is used to display the detail of a selected observation or to enter a new observation. Five fields are provided to characterize an observation: Status (Corroborated or Not Corroborated), Response (for a process: Strength, Equivalence or Weakness; for a risk: Desirable, Neutral or Undesirable), Original Source (Interview, Document, Questionnaire or Validation), Entity, and Specify (details of the Original Source).

- To enter a new observation when no observation is listed in the "List of observations" area, the Lead Assessor simply starts assigning values to the aforementioned fields with their associated combo boxes. The text of the observation is then entered in free text in the "Observation text" area and the **Add observation** command button is selected.

  To enter a new observation when an observation is already highlighted and the "Observation details" displays the details of the observation, the Lead Assessor must first select the "Clear Fields" command button or pop-up bar under the Tools menu pad to reset the observations details to blank values. Values are then assigned to the fields with the combo boxes, the observation text is entered and the **Add** command button is selected.

- The Lead Assessor can also modify the details of an existing observation. To do so, the Lead Assessor must first select the observation in the "Observation list" area, assign new values to one or more of the observation fields with their associated combo boxes and modify the text of the observation as needed. The modified observation is saved when the **Save** command button is

selected. Doing so will result in the Assessor's alias being replaced with the Lead Assessor's alias. If on the other hand, an Assessor modifies on his or her client web page an observation generated by the Lead Assessor, the Lead Assessor's observation will remain unchanged and a new observation with the Assessor's alias will have been generated.

  Note that the Lead Assessor and Assessors can simultaneously generate observations for the same question. However, if the Lead Assessor transmits a consolidated questionnaire to Assessors and subsequently modifies some of the observations it contained or generates new ones, Assessors will have access to this new information only when the Lead Assessor will have retransmitted them their consolidated questionnaire. No information will ever be lost.

- The flexibility that XPRIMER offers is at the cost of having the Lead Assessor deal with duplicate information. However, this situation is significantly better than having the Lead Assessor deal with lost information without his or her knowledge.

- The "Corroborating sources" area is used to corroborate observations. Typically, when a new observation is entered, it is not corroborated. Corroboration occurs when several independent sources have confirmed the validity of the observation. Several individuals making the same statement during a specific interview is usually not sufficient to corroborate an observation because these individuals are liable to influence each other. This is particularly true if they are at different levels of hierarchy. In this case, the individual being the highest in the hierarchy is likely to somehow impede the free flow of information on the part of individuals lower in the hierarchy.

  Corroboration is normally achieved by the same information recorded in two separate questionnaires, in two separate interviews, in two separate documents (for instance, one document stating that something must be done and a second document providing evidence that it has effectively been done) or in two separate validation sessions where participants concur with the observation presented to them.

  Nevertheless, corroboration remains by and large a question of judgment on the part of the Lead Assessor and the Assessors. Generally speaking, confidence increases with the number of corroborating sources and their variety.

- In the "Corroborating sources" area, five sources are presented (Questionnaire, Interview, Validation, Direct Artifact and Indirect Artifact). Next to each, a text box is available to enter specifics about one or more sources of each type.

  The Lead Assessor can modify the corroborating sources of an existing observation and doing so will result in the Assessor's alias being replaced with the Lead Assessor's alias if that observation had initially been entered by an Assessor.

- The "Observation text" area is used to enter the text of the observation. This is essentially free text providing evidence for the selected question. In order to display the text of an existing observation, that observation must first be selected in the "Observation list" area.

  The Lead Assessor can modify the text of an existing observation and doing so will result in the Assessor's alias being replaced with the Lead Assessor's alias if that observation had initially been entered by an Assessor.

  Other functionality is accessible from the pop-up bar that appears when the Tools menu pad is selected. These are
  a. Promote observation - Promotes an old observation to current (i.e. moves it to the top).
  b. Refresh current - Refreshes the observation currently displayed (i.e. to see changes made by assessors immediately).
  c. Refresh all - Refreshes all observations (i.e. to see changes made by assessors immediately)

- **How do I copy an observation recorded under a given practice to another practice?**

Sometimes you realize after the fact that an observation you have entered under a given practice really belongs to another. Instead of retyping the practice and the corroborating sources, you can easily copy and paste or cut and paste the observation to another practice by executing the following steps.

a. Select the Observation you want to copy from the Observations list area.
b. Select **Copy observation** or **Cut observation** from the pop-up bar that appears when the Tools menu pad is selected.
c. Using the combo boxes in the details area, select the Key Area and question where you want to copy the observation.
d. Select the **Paste observation** from the pop-up bar that appears when the Tools menu pad is selected.
e. If you had initially selected the Cut observation, you will notice that the observation has been removed from the Observation list of the initial question.

ACTIVITY SIX – CONSOLIDATING DATA

The **Analyzing page** is used in XPRIMER to analyze the information collected during an assessment, to display the risk and action readiness , to view the risk profile characterizing the assessed entity and to extract both risks to which the entity is exposed and the actions it should take for preventing these risks from materializing.

NOTE: The applicability of each display will rely on the type of model selected for the assessment, as some displays can not be generated with certain model types.

VERY IMPORTANT: For simplicities sake, we will describe the analysis in an assessment where a practices questionnaire and risk questionnaire have been built into the selected model. If the selected model only had one questionnaire, functionality will depend on whether a risk questionnaire was distributed in the assessment or a practices questionnaire was distributed.

All survey questionnaires completed by Respondents and/or observations generated by Assessors in their consolidated questionnaires need not have been received in order to start an analysis. As long as some information is available, an analysis can be initiated and as more information is collected, it is simply added to the existing information. Survey responses originating from Respondents are automatically consolidated by XPRIMER as they are received, as long as a checkmark is displayed on the left of each received questionnaire listed in the Transmit/Receive center tab in the Managing Survey Questionnaire page. Analysis can be performed periodically with new sets of data in order to take a snapshot of the entity's risk profile at periodic intervals, or it can be performed continuously, by monitoring the entity's risk profile as more information becomes available.

The **Analyzing page** contains four tabs: **Results**, **Findings**, **Graphics**, and **3D Graphics**.

The **Results tab** in the Analyzing page is used to review the risk data compiled after a survey or an audit has been completed and to set up thresholds that will allow extraction of relevant information. The Results tab is divided into two areas: "Statistics" and "Thresholds". In addition, under the Statistics areas, up to four additional tabs are provided to sequence through four sets of results.

- Three command buttons are provided in the bottom right of the Results tab: the **Generate Results** button, which is used to generate results after survey questionnaires have been received; the **Extract Findings** button, which is used to extract findings based on the defined set of thresholds; and the **Default Thresholds**, which is used to revert to XPRIMER default thresholds.

- The "**Statistics**" area summarizes the results of the assessment by displaying: the Global risk value characterizing the assessed entity. This value represents the likelihood that the entity will experience problems, based on the modulation of the risk perception level by the readiness of the entity to take action in response to the occurrence of undesirable events. An analysis conducted over a large number of assessments combined with a follow-up of the assessed entities has shown that an entity cannot sustain a likelihood of experiencing problems higher than 40% for any significant duration relative to the planned or current activities. This value of 40% can be explained by the fact that a value of 50% corresponds to a random occurrence of problems, and it would be wishful thinking to expect conclusive results over a significant period of time for an entity operating under such conditions. The 40% value is the limit which indicates that there is some control to prevent problems from occurring.

  Action readiness (depending on the model used in the assessment, this may or may not display a value) corresponds to the mechanisms that are in place to prevent problems from occurring. It is effectively equivalent to the process maturity expressed in terms of implementation percentage of best practices (actions) pertaining to the domain of interest addressed in the model.

  The **Perceived risk** (depending on the model used in the assessment, this may or may not display a value) level has two meanings, depending on whether a biased or an unbiased assessment has been performed. A biased assessment only relies on a survey. An unbiased assessment relies either on an audit (verification) or on survey followed by an audit (verification) during which collected information has been verified by unbiased Assessors (it also possible that in the course of a biased assessment, only part of the information is verified by unbiased Assessors, which makes the assessment more objective than a purely biased assessment but also more subjective than a purely unbiased assessment).

If a biased assessment has been performed, Perceived risk corresponds to the capacity of personnel to anticipate potential problems and to initiate whatever action is required to prevent their occurrence. Global risk will decrease as Perceived risk increases for a given value of Action readiness. In this context, Perceived risk depends to some extent on personnel experience and know-how. It also depends on Action readiness in the sense that an entity exhibiting a high capacity of taking action is less likely to have to rely on its personnel's ability to anticipate problems than an organization exhibiting a lower capacity, since the former is more likely to have integrated mechanisms required to generate an early warning of upcoming problems. In fact, a high capacity of taking action may compensate for the lack of experienced personnel. In other words, an entity may choose to hire very talented and experienced people, in other words heroes (more expensive), and rely on them to carry out the tasks undertaken by the entity to which they belong, with the help of a support infrastructure reduced to its minimum (less expensive), or it can choose to develop an extensive support infrastructure (more expensive) with a smaller number of highly experienced people (less expensive).

If, on the other hand, an unbiased assessment has been performed, Perceived risk corresponds to the density of undesirable events to which an entity is exposed, as identified by objective assessors who have substantiated evidence that these events indeed lie in waiting. Such a situation is likely the result of poor understanding of the risks, on the part of its personnel, to which the entity is exposed or of a low capacity of taking action should these risks materialize.

A **Suggested Rating** (depending on the model used in the assessment, this may or may not display a value) is also provided as part of the assessment results overview.

The **number of finding pairs** (depending on the model used in the assessment, this may or may not display a value), i.e. risk-action, extracted with the selected thresholds is displayed under Findings Summary. Since a given risk finding may be associated with several action findings and conversely, an action finding may be associated with several risk findings, the number of unique **action** and **risk findings** is displayed immediately below the number of finding pairs.

- Immediately below the "Statistics" area, more detailed assessment results are provided namely, Probable risk consolidated over key action areas, Action readiness, Probable risk consolidated over key risk areas and Perceived risk. Percentage values are displayed next to either key action areas or key risk areas. (Depending on the model used in the assessment, some tabs may not get displayed).

  Probable risk consolidated over key risk areas indicates the likelihood that problems will be experienced in each of the listed key risk areas. **Probable risk consolidated over key action** areas indicates the likelihood that problems experienced in key risk areas will be due to deficiencies in each of the listed key action areas. **Action readiness** indicates the degree to which key action area mechanisms are in place to prevent problems from occurring. Finally, **Perceived risk** indicates either the capacity of personnel to anticipate problems in key risk areas if a biased assessment had been performed, or the density of undesirable events to which an entity is exposed if an unbiased assessment had been performed.

- The **'Thresholds'** area provides the user with the means of filtering the risk and action findings resulting from the assessment. These findings are essentially the main issues that need to be dealt with in order to increase the chances of success in the domain addressed by the model used in the assessment. Thresholds provide a way of prioritizing these issues in order to increase the chances of success.

  Thresholds are expressed in percentages. An action finding will be extracted and displayed under the Findings tab as long as the level of readiness associated with this action is lower than or equal

to the Action Readiness Low threshold value, and the confidence one has in this level of readiness, based on the survey or audit results, is higher than or equal to the Action Readiness Confidence threshold level. Because actions and risks always come in pairs, risk must also be considered when an action is extracted. In other words, the aforementioned action will be extracted as long as the preceding conditions are satisfied and as long as a risk which can be mitigated by that action has been perceived at a level lower than or equal to the Perceived risk Low threshold value (but at a level higher than or equal to the Perceived risk Minimum processed and the Perceived risk Minimum displayed threshold values (whichever is the highest)), or at a level higher than the Perceived risk High threshold value, and the confidence one has in this risk perception, based on the survey or audit results, is higher than or equal to the Perceived risk Confidence threshold level.

  Example:
  Action Readiness
  Low value = 40 %
  Confidence level = 70 %

  Perceived Risk
  High value = 85 %
  Low value = 20 %
  Minimum displayed = 10 %
  Minimum processed = 0 %
  Confidence level = 70 %

  This may sound complicated but it is actually quite simple. For instance, in a biased assessment and with the thresholds as shown above, one essentially tells to display risks that are poorly perceived (a perception lower than 20%) and for which actions are unlikely to be available (readiness lower than 40%) as well as risks that are well perceived (higher than 85%) but for which actions may also not be available (readiness lower than 20%). The first condition could lead to a surprise effect (no one expected that there could be a problem there!) whereas the second condition could still lead to deterioration because, even though problems were anticipated, appropriate action may not be available to mitigate their impact. Confidence threshold levels are used to filter out noise.

  The Perceived risk Minimum displayed threshold is used to filter out risks for which the perception level is so low (typically lower than 10%) that they are unlikely to occur, even though these risks are taken into account in the risk calculations. In the course of a biased assessment of an entity in which mostly routine tasks are performed, the Perceived risk Minimum processed threshold is used to tell XPRIMER not to take into account risks for which the perception level is low (typically lower than a threshold set at a value between 1% and 10%) in the calculation because in such routine tasks, it is likely that these risks are truly not an issue. However, when the results of a biased assessment have been audited by a team of unbiased Assessors, the Perceived risk Minimum processed and the Perceived risk Minimum displayed thresholds should be reinitialized to 0%.

  The graphs available under the **Graphics** tab can also be used to help select appropriate thresholds and to determine where the assessed entity stands in terms of risk.

The **Findings** tab in the Analyzing page is used to review the risk and/or action findings that have been extracted with the defined thresholds when the **Extract Findings** command button is selected. The Findings tab is divided into two "Details" areas, one pertaining to risks and one pertaining to actions. Under each area, additional information is provided on the displayed risk or action.

- Each of the two "Details" areas allows the selection of the questionnaire type (either risk or process - process being equivalent to action with the models), Key Area and Question number with the help of combo boxes. Selecting a specific question in a given Key Area from either a risk or a process questionnaire results in the display of perceived risk or action readiness, respectively, for that question, along with the confidence one may have in the displayed result.

Both "Details" areas are normally displayed next to each other. Each is separated by a vertical bar at the top of which two arrows are displayed. Clicking on the right-pointing arrow makes the left "Details" area occupy the entire screen. Clicking on the left-pointing arrow reverts back to a split screen. Likewise, when a split screen is displayed, clicking on the left-pointing arrow makes the right "Details" area occupy the entire screen.

- If the left "Details" area is set up to display Process findings, the right "Details" area displays Risks findings that correspond to risks liable to be mitigated if the deficiencies observed with the displayed Process finding are corrected in the assessed entity. Likewise, if the left "Details" area is set up to display Risk findings, the right "Details" area displays Process findings that, if improved in the assessed entity, would contribute to reducing the displayed Risk finding.

- The finding corresponding to the selected question number is displayed in a window immediately below. This window has three tabs: Finding text, Comments and Notes. The finding is displayed when the Finding text tab is selected. Selecting the Notes tab results in a display of a scratchpad to enter information that would help tailor the displayed finding. Consolidated comments generated by Respondents are displayed when the Comments tab is selected.

- Actions that need to be taken e.g. process finding deficiencies that need to be corrected in order to address the corresponding risks facing the assessed entity can now be edited in light of the comments and observations entered by Respondents and Assessors, respectively. This editing can be done directly in the XPRIMER application or the findings can be printed in an ASCII file, which can subsequently be edited with a word processing application.

- When a displayed risk (or process) finding is modified directly in the XPRIMER application, a new association is defined that uniquely pairs this modified risk (or process) finding with the displayed process (or risk) finding. When generic findings are modified as part of performing an assessment, the number of unique findings can easily grow to several thousands. On the other hand, modifying findings in the XPRIMER application allows you to generate assessment files tailored to specific types of entities, which can greatly improve your efficiency and your capability of performing accurate and representative assessments.

The **Graphics** tab in the **Analyzing page** is used to review the risk data compiled in the form of graphics. Up to eight graphics are available (depending on the model used in the assessment, some graphs may not be generated)

- Probable risk/action displays on the y-axis, on a scale of 0.0 to 1.0, the likelihood that problems will be experienced as a result of deficiencies in each of the key action areas listed on the x-axis.

- Relative probable risk/action displays on the y-axis, on a scale of 0.0 to 1.0, the likelihood that problems will be experienced in the short term as a result of deficiencies in each of the key action areas listed on the x-axis. Relative probable risk takes into account the relative importance of key action areas by evaluating the complexity of interactions between the actions making up these Key Areas and the risks that these actions can mitigate. The higher this complexity, the longer it will take to correct deficiencies observed in these key actions areas.

- Probable risk/risk displays on the y-axis, on a scale of 0.0 to 1.0, the likelihood that problems will be experienced in each of the key risk areas listed on the x-axis.

- Relative probable risk/risk displays on the y-axis, on a scale of 0.0 to 1.0, the likelihood that problems will be experienced in the short term in each of the key risk areas listed on the x-axis. Relative probable risk takes into account the relative importance of key risk areas by evaluating the complexity of interactions between these risks and the actions available to prevent them from materializing. The higher this complexity, the longer it will take to resolve them and the higher the probability that problems will be encountered in the short term.

- Perceived risk displays on the y-axis, on a scale of 0.0 to 1.0, the capacity of personnel to anticipate problems in each of the key risk areas listed on the x-axis, if a biased assessment had been performed. If an unbiased assessment had been performed, that is the survey results have been verified and modified as appropriate by unbiased Assessors, Perceived risk displays on the y-axis the density of undesirable events to which the assessed entity is exposed in each of the key risk areas listed on the x-axis .

- Action readiness displays on the y-axis, on a scale of 0.0 to 1.0, the degree to which mechanisms are in place in each of the key action areas listed on the x-axis, in order to prevent problems from occurring.
- Confidence/risk displays on the y-axis, on a scale of 0.0 to 1.0, the level of confidence one may have in the values displayed in the Probable risk/risk and Relative probable risk/risk graphics, for each of the key risk areas listed on the x-axis.

- Confidence/action displays on the y-axis, on a scale of 0.0 to 1.0, the level of confidence one may have in the values displayed in the Probable risk/action and Relative probable risk/action graphics, for each of the key action areas listed on the x-axis.

Double-clicking one of the graphics in the Graphics page makes it appear in a full screen. Clicking the command button **Back to Menu** returns to the Graphics page.

The **3D Graphics** tab in the Analyzing page is used to review the risk profile of the assessed entity in the form of three-dimensional graphics (Note: This tab is only available the model being addressed had both risk and action questionnaires)

- Four graphics are available and provide different views of the risk profile. The Risk view plots the key risk areas on the x-axis, the key action areas on the y-axis and the likelihood of experiencing problems in key risk areas as a result of deficiencies in key action areas on the z-axis. The Action view plots the key action areas on the x-axis, the key risk areas on the y-axis and the likelihood of experiencing problems in key risk areas as a result of deficiencies in key action areas on the z-axis. The General view rotates the x-y plane to provide an equidistant perspective of the key risk areas and the key action areas. Finally, the Top view provides a view of the x-y plane in which the likelihood of experiencing problems in key risk areas as a result of deficiencies in key action areas is solely determined by the color of each intersection of a key risk area and a key action area. Blue indicates a low likelihood whereas red indicates a high likelihood.

  With experience, the risk profile can be very informative, being somewhat analogous to what a Computerized Axial Tomography (CAT)-scan is for a brain surgeon.