

APPENDIX E

DRAFT – Risk Register

Risk ID	Description of Risk & Impact	Impact 1 - Minor, 2 - Moderate, 3 – Major	Likelihood 1- Low, 2-Medium, 3-High	Severity Impact x Likelihood 1-2= Very Low, 3-4= Low, 5-6= Medium, 7-8= High, 9=Extremely High	Mitigation Type Accept, Reduce, Transfer, Avoid, Stop	Mitigation Actions
1	Resourcing: Lack of resource to undertake due diligence and/or transition activities. Inability to recruit. Lack of skills. Loss of key staff	2	1	very low	Reduce	Resource plan, Existing Staff, Due diligence - identifies skills required, Training, TUPE - staff with requisite skills appointed to new positions through Brent ICT team restructure pre-planned access to talent pool - agencies,
2	Potential for adverse impact on existing service for current partners	2	2	Low	Reduce	Resource planning to ensure adequate resource is available. Ensure appropriate skills Over resource for immediate transition commencement date to mitigate against unforeseen eventualities.

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3	In-Flight projects don't complete. They therefore may need to be resourced and completed by Brent Unknown Impact on resource of not inheriting service in state expected. Handover poor - or poor project implementation - poor design - requires remediation	3	2	Medium	Reduce,	Q&A of projects as part of due diligence Close project management and early escalation of issues.
4	Excessive or unforeseen demand for service change post service commencement	2	2	Low	Reduce, Avoid	Stakeholder engagement and planning to identify anticipated call on BAU resource for changes. Detailed migration plan and programme management to identify, prioritise workload - option to postpone ot otherwise phase not essential work. Employ additional resource if priority and available funding warrants this

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5	Required behaviours and support from incumbent in order to progress due diligence and facilitate a smooth handover.	2	3	Medium	Accept, Reduce,	We are keeping a positive and financially incentivised engagement with the incumbent. Appointment of a dedicated exit manager. Some staff will TUPE and therefore individuals will be incentivised to assist.
6	Poor stakeholder engagement results in unrealistic or poor perception of new service.	2	2	Low	reduce,	Appointment of communications and engagement manager to lead on communications strategy. Identified need to set and manage realistic expectations for the new service. Floorwalkers at service commencement. Regular communications leading up to service commencement. Business service meetings and stakeholder engagement plan.

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7	Financial requirement higher than anticipated. TUPE and related costs currently unknown Unidentified/unexpected licence costs	2	3	Medium	Accept, Reduce,	<p>A significant amount of due diligence activity has been focused on financial planning to ensure that budget requirements are as accurate as possible.</p> <p>Programme and risk management will be robust to manage exceptions to the agreed programme An appropriate contingency has been included in the cost model.</p> <p>A comprehensive contracts review has been completed, this gives confidence to contract exposure and treatment</p>
8	Inadequate, missing or inaccurate information and documentation. May impact on ability to support service and/or	2	3	Medium	Accept, Reduce,	<p>Due diligence activities. Shadowing of incumbent service provider by Shared Service staff. LBS service reviews and business engagement</p>

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	service cost.					
9	Lack of 3rd party contract continuity. My result in partial loss of service.	3	1	Low	Reduce	Based on due diligence and contract review we expect to have a known position and treatment for all contracts well in advance of service commencement

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10	<p>Serviceability / Supportability of current estate.</p> <p>Inadequate capacity, Application compatibility with other apps.</p> <p>Due diligence process discovers large scale vulnerabilities such as services out of warranty and old hardware with likelihood of failing prior to or during migration phase</p>	2	3	Medium	Accept, Reduce	<p>Much of the current estate is aged and needs upgrading. We therefore accept that service issues are a current and on-going risk until such time is migration and remediation activities are complete.</p> <p>We will reduce risk by identifying known issues and documenting them, taking out additional warranties or support contracts were the cost and likely benefits can be justified.</p>

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11	Unplanned Service disruption occurs during migration of services from Capita to Shared ICT Service data centres.	3	2	Medium	Accept, Reduce	<p>Accept that moving systems and data on such a large scale has an inherent risk which is difficult to fully mitigate.</p> <p>Mitigation focuses on detailed planning and testing of the migration process and robust programme management.</p> <p>Links into need for clear communications strategy - emphasising that we need to change and upgrade the existing aged infrastructure in order to improve the service in the medium to long term.</p>
12	Culture and behaviours Potential to cause friction and/or misunderstandings between the partners.	2	1	Very Low	Accept, Reduce	<p>Work has been undertaken to ensure all partners have shared objectives and realistic expectations of the Shared Service. This work will continue to ensure these stay aligned.</p> <p>Ensure that attention is paid to</p>

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						<p>understanding each partners' motives for collaborating, how they will judge success and what values will guide decision-making.</p> <p>Ensure change is led by joint senior management to identify potential problems and bring about agreement.</p>
13	<p>Security: Service vulnerability and compliance.</p> <p>Risk that systems are not configured correctly and/or as documented</p>	2	3	Medium	Accept, Reduce	<p>Whilst patching, anti-virus, malware and other protective measures are in place these will need thorough review and likely improvement. Due diligence work should identify issues.</p> <p>Security improvement plan to be developed with focus on robust security and compliance with external standards .</p>