

Name of programme:- The Transformation Programme
Risk Register

This Risk Register shows the higher level risks and issues across the Transformation Programme. Project specific risks will be managed by the project managers and saved within the same folder. Risks arising will also be dealt with on two levels; programme and project levels. * BAU= Business as usual

1. BASIC RISK INFORMATION					2. RISK ASSESSMENT INFORMATION					3. RISK RESPONSE INFORMATION		
Risk/Issue Number	Risk Description / Risk Event Statement	Responsible	Date Reported day-month-year	Last Update day-month-year	Impact	Likelihood	Score	Impact Description	Mitigations	Completed Actions	Planned Future Actions	Risk Status Open / Closed / Moved to Issue
	A risk event statement states (i) what might happen in the future and (ii) its possible impact on the project.	Name or title of project team member responsible for risk	Enter the date the risk was first reported	Enter the date the risk (not the entire log) was updated	Enter here a score of 1-5 as follows; 1=Little or no impact on outcomes and requires minor interventions, 2=Minor impact on the project or programme, 3=Moderate impact on achieving desired results. One or more outcomes will be affected but not below minimum acceptable levels and tolerances, 4=significant risk to the project. One or more stated outcomes will fall below the acceptable level and tolerances. 5=Severe disruption to the project and services. Will have a severe impact on achieving desired results, to the extent that one of more of its high level outcomes will not be achieved.	Enter the score of 1-5 as follows; 1= May occur. 2= Unlikely-is unlikely but could at happen some time. 3= Possible- Fairly likely to occur at some time, or in some circumstances. 4= Likely- Will probably occur at some point or in most circumstances. 5=Almost certain- is expected to occur in most circumstances.	x the impact by the likelihood (in the event that there is a score of 20+ then this is regarded as critical. Should this happen then a mitigation strategy must be drawn up to accommodate this).	List the specific impact the risk could have on the project schedule, budget, scope, and quality. Other impacts can also be listed	What interventions will be used to mitigate or to reduce the risk of this happening?	List, by date, all actions taken to respond to the risk. This does not include assessing the risk	List, by date, what will be done in the future to mitigate against the risk.	State if the risk is open (still might happen and still has to be managed); closed (has passed or has been successfully mitigated); moved to issue (risk has happened)
R1	Lack of internal capacity to drive forward the Transformation Programme, which will impact on the timescales and threaten the delivery of outcomes.	Senior Responsible Owner- Richard Quayle	16-Oct-2015	16-Oct-2015	5	3	15	* Lack of capacity to drive forward the Transformation Programme will greatly impact on the Programme timescales. * Progress halted and opportunities for savings and modernisation is lost * Unknown financial risk to the organisation as uncertainty as to which projects will be affected. * Reputational damage and a lack of commitment/support from staff * Reputational damage from customers who will lose faith in the developments of the Council.	* Ensure senior management buy-in to release staff * Look at the possibility of "back filling" posts to support Business As Usual (BAU) * Training programme developed on Project Management to ensure PM's are equipped with the skills to deliver the projects effectively.	* October 2015- organised a number of one-off Project Management training sessions to up skill staff in project management.	* Regular communication with Service Delivery Leads to help mitigate against impact on BAU and to ensure SDL support to release their staff to the Programme-on-going. * Regular communication and engagement with all staff involved in the Transformation Programme- on-going.	Open
R2	Lack of funding for capital and revenue outputs.	Senior Responsible Owner- Richard Quayle	16-Oct-2015	16-Oct-2015	4	3	12	* Lack of available funding will put the whole programme at risk of failure.	* Emphasise strategic and organisational benefits to Members and Senior Management. * Explore funding options. * Develop robust communications and engagement plan which actively engages and influences key stakeholders.	* Regular updates given to the Transformation Programme Sub-Committee * Programme plan developed which highlights the benefits	* Communications and engagement plan * Future funding options to be explored, including shared services, external outsourcing and other potential opportunities.	Open

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R3	IT Infrastructure Review takes longer than originally profiled which will have a knock-on effect on the rest of the Programme due to the clear interdependencies.	Senior Responsible Owner- Richard Quayle	16-Oct-2015	16-Oct-2015	4	3	12	* Extended timescales within the IT Infrastructure review will have a detrimental effect on the projects which are interdependent on the outcomes within the review. This will lead to the Programme missing timescales. * Missed deadlines will impact on the reputation of the Council and the commitment of staff to support the Programme * Extended deadlines within the IT review will lead to IT Service staff losing direction and focus which will further impact on productivity within BAU.	* Robust Business Case to be developed for the IT Infrastructure Review which identifies clear timescales and deliverables * Governance protocols to be adhered to which includes; clear reporting methodology, review of benefits and milestones on a regular basis * Monthly updates given to the Transformation Programme Sub-Committee and the Sponsoring group * Consultation and engagement plan to be developed to ensure key stakeholders are kept up to date in an open and transparent way.	* Early liaison with potential external providers to deliver the IT service. * IT Services have had opportunities to develop forward plan recommendations to keep the service in-house.	* Continue to look at best solution(s) to deliver a comprehensive IT service within the Council.	Open
R4	Lack of communication leads to neglect ion of stakeholders.	Programme Manager- Hetty Thornton	20-Oct-2015	20-Oct-2015	3	2	6	* Lack of transparency will lead to a reduction in support and confidence that the Programme benefits will be realised. * Lack of engagement could lead to key stakeholders losing interest which will impact on the reputation of the Council and the Programme generally.	* Robust communication and engagement plan which keeps stakeholders informed throughout the lifetime of the Programme. * Regular updates to Transformation Programme Sub-Committee to help highlight developments within the Programme. * Stakeholder profiles to be developed which focuses on identifying key stakeholders.	* Forward planning of Sub-Committee meetings completed.	* Develop a communication and engagement plan.	Open
R5	Procurement and Commissioning protocols are not adhered to.	Programme Manager- Hetty Thornton	20-Oct-2015	20-Oct-2015	2	2	4	* Not adhering to the correct internal protocols for procurement and commissioning services will lead to the Council being prosecuted and open to challenge. * Specifications for products may not be fit for purpose, leading to outputs which don't meet the needs of our customers.	* Procurement and tendering register to be updated accordingly * Procurement protocols to be followed. * Communicate to all people involved within the Programme the tendering protocols	* Met with the Procurement Officer to talk through the protocols for enlisting contractors.		

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R6	Lack of Senior Management support	Senior Responsible Owner- Richard Quayle	20-Oct-2015	20-Oct-2015	3	2	6	* Lack of Senior Management support will lead to disengagement and a lack of commitment to drive forward positive change. * Funding could be pooled leading to a reduction in outputs and outcomes. * Positive communication of benefits realisation will be greatly impacted upon, leading to reputational damage.	* Communication and engagement plan to focus on identifying and targeting key stakeholders to ensure their on-going commitment. * Regular updates given to the Transformation Programme sub-committee, Regulatory and Support Services Committee. * Marketing campaign to be delivered throughout the life of the Programme.	* Regular update have been given to members of the Transformation Sub-Committee. * The Programme Plan has been agreed by Regulatory and Support Services Committee.	* Develop a communication and engagement plan.	Open
R7	Lack skilled project managers.	Programme Manager- Hetty Thornton	20-Oct-2015	20-Oct-2015	3	4	12	* Lack of skilled project managers will lead to projects not meeting their identified outputs. * Progress will be halted and opportunities to realise organisational change will be threatened. * Lack of long term investment in skills development will lead to staff not committing to support the management of organisational change. * Financial benefits will not be realised (but the actual financial amount lost is unknown at this stage).	* Develop opportunities for staff to gain essential project management training. * Promote project management opportunities to everyone throughout the Council. * Offer on-going support to project managers (and all involved within the Transformation Programme).	* All staff emails (including to Members) have been sent detailing the Transformation Programme. * Transformation Programme workshops have given all staff and members the opportunity to learn about the Transformation Programme. * all staff (and Members) have been given the opportunity to attend a workshop on effective project management.	* on-going support is being offered to all people involved within the Transformation Programme.	Open
R8	Lack of political buy-in.		20-Oct-2015	20-Oct-2015	3	1	3	* Lack of political buy-in will lead to a lack of support for the outputs. * Funding is unlikely to be allocated. * Modernisation of Council services will not be realised.	* Governance arrangements will ensure that there is full political support. * Reporting mechanisms have been agreed so that Members can ensure links to the strategic priorities of the Council.	* Governance Document agreed by the Transformation Programme Sub-Committee. * Reporting structure of the Transformation Programme has been agreed and established.	* Communications and engagement plan to be developed. * continue with on-going communication	Open
R9	Lack of Union buy-in.		20-Oct-2015	20-Oct-2015	2	2	5	* Unsupportive unions will lead to further engagement work needed and changes to outputs. * Impact on project deliverables and timescales.	* Early engagement work conducted in a clear and transparent way.	* Programme Plan has been agreed by Members and the union has been fully informed about the process.	* Engagement plan to be developed.	Open
R10	Poor leadership.	Programme Manager- Hetty Thornton	20-Oct-2015	20-Oct-2015	4	2	8	* Poor leadership will lead to a lack of direction and vision.	* Ensure that there are robust governance arrangements in place. * Ensure that roles and responsibilities are clearly defined.	* Governance Document written and signed off. * Roles and responsibilities defined within the Programme management methodology	* Ensure that the programme continues to provide clear expectations. * Provide on going feedback on leadership to help mitigate against deviation of responsibilities. * Provide updates to the Transformation Programme Sub-Committee, where appropriate.	Open

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R11	Mis-alignment with Corporate Priorities.	Programme Manager- Hetty Thornton	20-Oct-2015	20-Oct-2015	3	2	6	* Mis-alignment of outcomes to the Corporate Priorities will lead to strategic creep.	* Regular reviews of benefits against the strategic priorities of the Council will highlight any mis-alignment. * A clear Vision will enable the Transformation Programme to demonstrate how it will align with the Corporate Priorities.	* Vision statement of the future state has been completed	* Review and assessment processes to be devised.	Open
R12	Ineffective project planning leads to lack of long term viability of outputs within the Council.		20-Oct-2015	20-Oct-2015	4	2	8	* Failure to plan effectively will lead to the project not embedding itself into the operational practices or culture of the organisation.	* Governance arrangements will ensure that Project Initiation Documents and Business cases (where appropriate) meet with required expectations.	* Governance Document written and signed off.	*Benefit Realisation Strategy and Plan to be designed. * On-going benefits assessments to be undertaken.	Open
R13	Project interdependencies are not managed effectively.	Programme Manager- Hetty Thornton	20-Oct-2015	20-Oct-2015	3	3	9	* Failure to ensure interdependencies are managed effectively will lead to opportunities for joined up work to be missed. * Duplication of resources will lead to further demands on capacity.	* Organise regular meetings across the organisational structure within the Programme. * Plan the tranches of the Programme effectively to ensure that, where appropriate, when one product finishes then another one starts directly afterwards (and actively communicate this).	* Transformation Programme Sub-Committee meetings have been forward planned.	* Project Managers to forward plan their Project Team meetings.	Open
R14	New policy and/or legislative changes could significantly impact on BAU and therefore have a detrimental effect on capacity to deliver outputs within the Transformation Programme.	Programme Manager- Hetty Thornton	20-Oct-2015	20-Oct-2015	2	2	4	* New policy and/or legislation will place further pressure on the capacity of staff to deliver BAU. This will therefore impact on their ability to commit time and effort into supporting the Transformation Programme. * Changes in policy/legislation could directly affect strategic policies e.g. Risk Management, which will impact on the Transformation Programme.	* Ensure some flexibility within the Programme to allow for such variations in policies and/or legislation.	* None as not known whether this will actually occur.	*No further actions needed until such time as new policies and/or legislation is changed.	Open
R15	Changes in the economic climate may reduce the available funding to deliver outputs.	Senior Responsible Owner- Richard Quayle	20-Oct-2015	20-Oct-2015	4	2	8	* Reduced funding will lead to reduction in outcomes.	* Identify funding required for each project and secure funding to be ring fenced.	* None, as it is difficult to forecast whether this will occur.	* Identify funding requirements for each project within the business cases.	Open
R16	Changes in Senior Management.	Sponsoring Group i.e. the Corporate Management Team	20-Oct-2015	20-Oct-2015	3	1	3	* Changes in Senior Management could lead to a lack of leadership and direction.	* Ensure that all documentation is kept up to date to support any changes in Senior Management and succession planning.	* None, as it is difficult to forecast changes in Senior Management.	* Keep documentation and regular development communications up to date.	Open

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R17	Delivery costs for projects are higher than identified.	Senior User	20-Oct-2015	20-Oct-2015	4	3	12	* Higher than anticipated costs could jeopardise the project outcomes unless additional funding is secured. * Funding allocated for other projects could be pulled back to fund the shortfall in funding for a project and therefore reduces the number of projects outside the Transformation Programme.	* Ensure robust business case is delivered with justified delivery costs. * Create generic budget template with formulas. * Build in tolerances and cost out estimates effectively.	* Budget template completed (20-Oct-2015)	* Plan regular reviews into project plans to ensure costs are kept to the original budget. * Budget Template created for project managers.	
R18	External contractors commissioned to support IT outputs are not able to link their IT systems to existing software in the Council which is integral to ensuring BAU.	Project Managers	20-Oct-2015	20-Oct-2015	4	3	12	* Services will be unable to integrate their software with newly proposed IT systems which will lead to duplication of work, lack of support for the new systems and disengendered teams. * Bespoke systems will need to be designed which will increase costs to the Council.	* Ensure contractors already have the capabilities to link in with existing IT systems within the Council to enable full integration. * Devise robust specifications which highlight the various IT systems we have. * Engage with Service Delivery Leads through workshops etc to gather intelligence and need.	* Market testing (on-going)	* Engagement sessions with Service Delivery Leads. * Design specifications.	Open
R19	Sensitive data associated with the Transformation Programme is not secure.	Programme Manager- Hetty Thornton	20-Oct-2015	20-Oct-2015	4	1	5	* Sensitive data pertaining to personal records, quotations etc gets out into the public domain which fails to meet data protection requirements.	* Ensure effective governance arrangements are in place. * Identify ways to store documents which aligns with data protection requirements.	* Shared folder for update reports saved in the "P" drive. * All sensitive documentation which isn't required for the wider group to be stored securely on the main server.	* Secure document management process to be found- liaise with IT Services if/when required.	Open

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