

ISIS PROGRAMME

STRATEGIC RISK REGISTER

Last Formal Review 03.09.07 (updated 03.09.07)

Risk Ref/s	Programme	Programme Risk	Consequences of Risk	Assessment of Risk @ April 07		Risk Movement	Lead Officer	Action Owner	Action Plan	Target Level	Target Date	Status
				Likelihood	Impact							
F2 P8 PA2	risk linked to Commercials workstream	The costs of implementation outweighs the benefits (via business case). Partner fails to deliver expected benefits.	Resources DMT 20.09.05 discussed the budget targets for 06/07 and the potential impacts of budget cuts. CB feels this now presents a significant risk to ISIS in that - it will undoubtedly reduce the quantum and therefore reduce the potential capital investment - it will divert management time - it might weaken our services just as we are to present them to the Partnership Where the benefit is obtained by the supplier in reducing the cost of delivering Constabulary services, these savings are then distributed to the partners as a profit share, diluting the benefit that the Constabulary receives for its contribution of services to the JVCo.	C	2	↔	RK/SA MP	R. Kershaw (lead) A. Hall JS MP	01/07 - Evaluation: Price and Affordability segment panel will consider implementation costs and flag up issues to others in the evaluation process A comprehensive due diligence is undertaken. Robust contract terms provide an incentive to the supplier to maintain the required service levels. A strong Intelligent Client function is in place. 16.05.07 Transformation business cases should identify any implementation costs and benefits June-August 07: Transformation supplements inform business cases forming legal schedule SPF13. In addition transformation resource plan identifies numbers of staff required; transformation projects will likely need to be phased over the first 18 months of the JVC. Continue to monitor. Still an issue about delivery of benefits but a delivery risk rather than programme/bid risk. Once transformation projects agreed/reviewed by KPMG should be monitored or guaranteed by contract.. Suggest risk is reduced once outcomes from KPMG feedback received 03.09.07 revised pricing on transformation projects released last week. Negotiations ongoing to reach agreement on scope/ cost by end of September; figures to go into the contract Ongoing - transferred to Risk JO3	E2	Ongoing end Sep 07	Closed
PF4		Resourced/skilled project/programme teams has project workload that exceeds available resources. Conflicting diary commitments for RD Heads of Service during Statement of Requirements work (Sept - Nov 05) due to other high priority projects within SCC (LAA project is time limited as is Leadership Programme) . Unavailability of key staff (HoS) to define requirements in Output Specifications Limited resources and time for lengthy/complex documents to be agreed by all partners/stakeholders 12/06 Insufficient capacity by Authorities to deliver transition to same level as Preferred Bidder	Timetable is not achieved. Timetable becomes increasingly challenging, particularly once negotiations are underway. The SoR timetable, in particular the involvement of the in and out of scope services, is tight and should be closely monitored. Lack of contingency funding to bring resources in. Lack of proper engagement with front line services, resulting in lack of correct information feeding into the procurement process which could result in further costs to SCC/TDBC if Statement of Requirements are not as accurate as possible Timescales for turn-around of these documents is too short to assimilate and gain meaningful comments from all managers involved, due to conflicting priorities 22.06.06 Resources not yet estimated for evaluation workstream. Likely not all elements of evaluation will be resourced from project team but will include consultants, ie KPMG, Property valuers, expert negotiators, commercial negotiators, ICT specialists (SOCITM), resources around technical issues of contract to be considered. This raises the cost of delivery further. Impact of increased stakeholder engagement, information and communicating positive messages, and relating informal feedback to the evaluation process. Due Diligence by bidders also raises capacity issues of whether staff within the organisations have capacity and resources to meet bidder demands for additional information	B	2	A2 ↓ B2	JS MP	JS MP	Capacity during transition - to be communicated by SROs to Heads of Service and in scope staff Review Team comment 14.2.07: Programme Planning Away Day 15th February to form the basis of urgent resource and capacity reviews, to be owned by the Transition Following away day with IBM 27/28 March 07 central PMO to be established and resourced to track issues and progress with workstreams. For Due Diligence in and out of scope area managers to appoint dedicated resource for Due Diligence work. Single Programme Plan to be developed April 07: PMO has chased workstream leads for updates on what resources they require. Workstream leads were asked at JPMT if they required more resources and all confirmed they did not. This is also a risk post contract sign for transformation projects. 15.05.07 Joint Executive Partnership Board advised SROs to identify SMEs for transformation projects July 07: KPMG resource for Councils on negotiations. All resources identified within founding partners to contribute to legal schedules in the contract and advised where their input is required. Issues on resource dealt with as they occur by SROs. Continue to monitor. Suggest risk reduced in rating to B. Jan 08: Closed. Client Services Team in place	D2	Ongoing August-06 ongoing	Closed
PF6a		Project lacks any formal Contingency Planer-withdrawal strategy	I.e. Contingency should a partner not be found (see C14 for pre-contract)	E	2	↔	AJ/PJ MP	AJ/PJ MP	09/06 Review Team comment: The current round of bidder clarification meetings and due diligence should help protect the project from this eventuality, nevertheless it is still a risk. The bidders will also be asked to submit a summary level of their bids to ensure that they are not misaligned to our expectations. Retain at a low assessment level but monitor. 16.05.07 Risk is low because Preferred Bidder has been selected and working actively with founding partners to get to contract sign July 07: continue to monitor throughout negotiations Jan 08: Closed SW1 commenced		Ongoing	Closed

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PF7		Single points of failure within the project team 11/06 failure to keep Programme Team together and operating efficiently - Team especially vulnerable to loss of key members	Project delays or shortcuts.	A	3	A2 ↓ A3	JS MP	JS MP	09/06 RK appointed as SCC SRO - SCC project team meet regularly with RK. Replacement for LW started end Jan, also being covered by P Carter 16.05.07 Accetp risk and manage as and when it occurs July 07: continue to monitor, will be managed as it occurs. Closer to contract impact of risk diminishes. Suggest reduce impact to 3. Jan 08: Closed		Ongoing	Closed
PF10		Inadequate preparation for Gateway Reviews	Gateway Review process impacts onto delivery of ISiS, thereby causing delays and resource constraints	D	3	C3 ↓ D3	RK/SA MP	RK/SA MP	Review Team comment 14.02.07: JPMT to discuss action. 4P's to inform and advise. Programme Plan to include GR when appropriate. Also consider timetable for fitting it in and any impact on approvals process JPMT discussed 16 April 07: As no Gateway Review 2 carried out we cannot do equivalent of GR3. Therefore agreed to use OGC accredited individual, Colin Muid. Sue Barnes to invite Colin to next JPMT 23.04.07 16.05.07 Independent Strategic Investment Decision Review by Maana Ltd preparation and interview schedule underway for dates to be advised in June. Maana review carried out 19-21 June and 9 July. Background documentation sent in advance. July 07: Maana report received by SROs; action plan devised. Suggest this risk is closed pre contract		Feb07 April 07	Closed
R3		Cross partner senior management commitment to the Project is not sustained	Loss of credibility of management to implement change	D	2	C2 ↓ D2	JPB (RK) MP	RK MP	01/07 This risk is further complicated by inclusion of ASC senior management and in scope managers 16.05.07 Senior management meet weekly at JPMT. All 3 Authorities fully signed up to governance structure and actively participating July 07: management within founding partners identified, briefed and contributing to populating legal schedules; number of senior managers involved in lock in negotiations. Transition stage to ensure that senior management remains advised of plans for the JVC. Suggest risk is closed pre contract		Ongoing	Closed
R4 P2		Agreed timetable for procuring the partner becomes unsustainable - tight timescale between Preferred Bidder and contract close - Police Authority acceptance/sign off of business case not until 13 June 07 Inability to fully engage with Preferred Bidder before contract signature	Benefits realisation is delayed Programme uses short cuts or omits necessary stages (e.g. ISOP) 22.06.06 Contract sign date is set and timetable is rushed to work to that timescale 01/07 KPMG and programme team have concern re inclusion of ASC and bid response time, giving sufficient time to evaluate ASC tenders to do a quality job. This extension of time means less time between Preferred Bidder and contract close (approx 2 months). The Preferred Bidder and the Constabulary are unable to develop completed Output Specifications during negotiation phase. As a consequence the service levels documented in the contract are not aligned to Constabulary needs.	C	2	↔	JS MP	JS MP	Review Team comment 14.02.07: All parties are aware of the schedule and are working towards it. Care will be needed in fitting in a Gateway Review. No specific actions at this point other than continued monitoring and planning. JPMT comment Feb 07: JPMT requested this risk to be CLOSED as close monitoring of the schedule to an agreed tight timetable continues. April 07: Suggest risk could be re-rated but not closed. Still potential significant impactors around setting contract sign date and achieving necessary contractual work, particularly with Police OBC not being signed off until 13 June 07 ISiS Team and Heads of Service ensure that sufficient resource is allocated to developing the existing Service Briefs into detailed Service Output Specifications. Documents are QA'd to ensure required standards are achieved. 16.05.07 Detailed programme plan in place, updated and consulted daily, with slippage reported to Joint Executive Partnership Board. 08.06.07 Revision of timescales announced across all parties. July 07: Councils working to populate legal schedules in readiness for contract sign date of 27 September. August 07: ASC advise they will not be signing the contract at the same time as SCC/TDBC but later in November. Suggest risk is reviewed mid September Jan 08 Procurement of partner complete	D2	March-07 April 07 mid Sept 07	Closed

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C4	risk linked to Commercials workstream	Robustness of SCC/TDBC Business Case including: - scope - affordability - Customer Access - Business Process Re-Engineering and level of definition of scope and requirements inadequate or not tested. Not getting the scope right. 12/06 business case objectives not met: - lack of review of business case in the light of changing circumstances/ business case not refreshed regularly - capacity to align and analyse business case with ASC's business case/strategic options paper	The OBC proposes that the precise scope will not be finalised until contract award. This carries a significant level of risk:- - to achieve best price and best chance of success the programme should agree as much of the scope headings as you can at OJEU (or risk breach of procurement rules by changing scope) and firm scope by ITT - flexible scope = risk premiums in pricing and uncertainty for partner. There are cost implications for example with CYP needing to include a high degree of flexibility in their SoRs to ensure that evolving educational and social care priorities can be accommodated within day to day working. - likely to create staff unrest as they are uncertain if they are in scope or not and this has caused industrial action before now. - Risk that the unions may challenge selective areas of the OBC, in particular the thoroughness of the research into selected models and those rejected models. This may be viewed as a bias in favour of a particular option and a failure to evaluate fully all relevant options. (Extract from 4P's review of OBC 16.08.05)	C	2	B2 ↓ C2	RK/ Sect.-151- Officer RK/SA/MP	R-Kershaw RK/SA/MP	Review Team comment 14.02.07: A review of the Business Case should be planned in following the Planning Away Day. Clear ownership for this is needed. JPMT comment Feb 07: To be included in appropriate Workstream. Work started on reviewing budgets for business case review. Should not underestimate effort of project team needs to spend on this. Should be planned in to complete before Gateway or QA review is considered. 16.05.07 Business cases for Councils and Police being refreshed/updated and included in programme plan 17/18 July 07: TDBC and SCC Executive Boards (Full Council for TDBC) approve latest business case. JMAP and JPB briefed and had sight of full business case content. Executive Boards agree to pass delegated authority to SROs and Portfolio Holders to sign contract at mutually convenient time for all parties. Maana Ltd reviewed business case and KPMG reviewing transformation supplements. Suggest reduce to C	March-07 May 07	Closed
C9		Failure to set up implementation team early. Client teams availability and transition teams not in place and supported adequately	Poor contract relationship management from the outset	C	2	C2 ↑ E3	JS MP	JS MP	4/06 It is likely shortlisted suppliers will want to know who the implementation teams will be. Core Team to discuss 16.05.07 Operations workstream making good progress in getting ready for transition - see weekly programme as of 15.05.07 July: Heads of Client functions either appointed or temporarily in place. Client teams being appointed to. August: Need to raise level of this risk to C2 due to lack of detailed planning for next phase of programme Jan 08: Closed - Client Team in place	March-07 May 07 mid/end Sept 07	Closed
C11		Supplier's bidding team is different to the delivery team	Poor contract relationship management from the outset	C	3	↔	CA MP	CA MP	Start planning Implementation as soon as possible. Start Communication Planning as soon as possible. 16.05.07 As part of the contract schedules IBM are having to identify their delivery team Aug 07: DG from IBM advises in most cases, certainly in transformation programme, the bid team will become delivery team. This will not be the case for operations but will hand over to F/T delivery team but some senior managers will still be around. This has become more of a risk because of delay in programme timescales. Any delay starting trans projects (eg Jan 08) will mean people working on bid currently will not be delivering. Continue to monitor - suggest current rating remains Jan 08 - transferred to risk JO7	March-07 April 07 mid/end Sept 07	Closed
C14		A Partner pulls out during Procurement Phase	If SCC pulls out the procurement programme would cease If TDBC pulls out then SCC would need time to replan and rework prior to procurement	E	2	↔	RK/SA/MP	RK/SA/MP	12/06 Post bid submission relationship meetings continued April 07: Memorandum of Understanding signed between SCC/TDBC. MoU yet to be signed between Councils/ASPA 16.05.07 MoU between Councils/ASPA being progressed, needs to be signed by 23.05.07 in good time for Police Authority meeting on 13 June Aug 07: Continue to monitor until contract closure - risk remains at low rating Jan 08: Closed - Procurement Phase complete	Ongoing	Closed
C14a		01/07 - reserve bidder is selected but declines offer 01/07 - failure to keep reserve bidder adequately informed of developments and progress	01/07 - project team are already at full capacity in handling preferred bidder issues and may not have capacity to deal with reserve bidder liaison/demands	F	2		MP	MP	16.05.07 Reserve bidder not appointed. Councils reserving their position on this until end May 2007. Aug 07: risk remains low. Suggest this risk is deleted mid September once Alcatel notice issued Jan 08 - Closed - Procurement Phase Complete	01/04/2007 mid/end Sept 07	Closed

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C16		In and out of scope services looking to their own internal partnerships to make Gershon and all budget savings	BPR savings will be made prior to the partnership forming, therefore diminishing the scope of what efficiencies can be achieved	D	3	C3 ↓ D3	RK/SA/MP	RK/SA/MP	Review Team comment 14.02.07: Assess the risk against the existing Business Case (Affordability) as appropriate. Is the Programme confident that current BPPE initiatives actually going to deliver any significant savings and how will these be measured? The structure and processes of the JVCo (governance) and Client Function should take this risk into consideration. April 07: the closer to contract sign the less risk this carries. Guidance had been issued across both Councils on the letting of contracts pre ISIS 16.05.07 SCC SMB, TDBC CMT and ASC COG updated weekly by SROs, would notify programme of any implications here Aug 07: continue to monitor as part of post contract risk to ensure that Councils do not realise benefits without the JVC, particularly with regard to procurement - reduce risk rating to D for now	Feb-07 April/May 07 ongoing	Closed
Q7 P14		Critical success factors and project performance measures inadequately defined, monitored, reported and managed Service Specifications and Measures are not fully and accurately documented.	Project ill-defined, focused and controlled The scope for benefits is not correctly understood. Service provision fails to meet expectations and requirements. Business Case benefits not delivered.	E	3	↔	JS MP	JS MP	09/06 Review Team comment: This should be included in any formal project quality review to be planned in soon. Service Heads authorised to devote sufficient time to the development of document set. Support provided from Project Team. 16.05.07 Within the contract schedules there is provision for defining performance measures. Also covered by the business case update Aug 07: covered in a number of different legal schedules, particularly Output Specs (MSDC2) which have been debated with Heads of Service and IBM; and elements of Payment Arrangements (MSDC4). Continue to monitor Jan 08: Transferred to risk CC3	Feb-07 April 07 ongoing	Closed
Q10		Defined QA strategy for programme potentially lacking post ITN and with new Workstreams. Particularly absence of Gateway Review could lay founding partners open to challenge or weaken any case brought against them	Evaluation process would require independent QA review Need to ensure no bias and objectivity is maintained QA Gateway review Quality component within each workstream/work package/programme deliverable lacking	D	3	C3 ↓ D3	JS MP	JS MP	KPMG acted as process controllers during evaluation and QA officers sat on segment panels and Plenary Panel. Internal QA carried out on evaluation process and proved satisfactory. Gateway Review 3 (pre investment decision) planned in after appointment of Preferred Bidder (April 07). S Coates from 4ps attending planning away day on 15 Feb April 07: JPMT to decide if Gateway Review 3 at investment decision stage will go ahead 16.05.07 Independent Strategic Investment Decision Review planned for June 2007 - see actions under PF10. July 07: Maana review carried out, report submitted to SROs and action plan devised. Executive Boards (via JMAP) agreed delegated authority to SROs and Portfolio Holder to sign contract, on approval of the business case. In terms of QA for contract schedules SROs need to agree to content and lock down each. Suggest this risk could be closed pre contract	Feb-07 April/May 07	Closed
PF5 Org2 P16		Lack of strong and integrated project management disciplines and programme management across SCC and TDBC and ASC. Integrated Programme Plan, Risk Register and commonly accepted set of deliverables should form the basis of controls. Insufficient Quality Assurance applied to project methodology.	Expectations of project teams. Project gets out of control. Project audit. Choose the wrong partner as a result lack of control, particularly over project timescales. Uncertainty develops over the effectiveness of Programme Governance and Roles & Responsibilities of various key stakeholders or stakeholder groups, conflicting or inconsistent views of Governance. 12/06 further complicated by readmission of ASC as founding partner The process is delayed and cost incurred in order to deal with a challenge from an unsuccessful bidder on the legality of the process.	E	2	C2 ↓ E2	JS MP	JS MP	09/06 Review Team comment: This area would benefit from a formal QA review and the Board should be informed of concerns. Ensure proper legal advice is received and all decisions are correct and defensible. 16.05.07 Programme Plan, risk register, governance structure, rolled out and adhered to. PMO centrally tracking updates. Workstream leads feeding in July 07: IBM and Councils PMO continue to track progress with legal schedules and escalate issues from workstreams as appropriate to Executive level. PMOs communicate daily. Suggest risk could be closed pre contract	Feb-07 April/May 07	Closed

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PMO1	risk added 21.05.07	Post 1st July PMO Set Up	Poor start to Transformation Programme	C	2	B2 ↓ C2	MP	MP/DG	Plan the development early, and get a dedicated resource to develop it. Aug 07: risk remains. All efforts being concentrated on content and agreement of legal schedules. Continue to monitor. Should be part of Transition activity/phase end Sept/early October. Likely JV will have a business office and there will be PMO for transformation projects - roles and tasks identified for this function. See transformation governance and overall governance plans. About to start transition planning at lock in 3. Suggest reduce to C rating Jan 08: Closed -Client Services team in place	18.05.07 mid/end Sept 07	Closed
PMO2	risk added 25.05.07	Programme plan uncertainty due to end date changes	Teams do not know what targets they are working to. Reduces effective progress monitoring	D	2	A2 ↓ D2	MP	DG	Executive team need to confirm end date, and workstreams need to reassess their individual plans 08.06.07 Executive team need to confirm impact of revised end date and what needs to be done to get to 18.07.07 and workstreams needs to reassess their individual plans July/Aug: all partners working towards contract being operational before end September 07 for Councils. All involved made aware of milestones required to get legal schedules complete on time. ASC timescales for signing clarified (end November). Suggest rating could be reduced to D Jan 08 Closed - Procurement phase complete	05.06.07 12.06.07 ongoing	Closed
PMO3	risk added 16.07.07	Insufficient resources to complete contract schedules which will be compounded by absences during the coming holiday period	Unable to close off sufficient contract schedules and contract issues to enable a contract to be signed end of September	C	1	B1 ↓ C1	SF	SF	Replanning started 10.07.07 but needs further work. Need to identify resource requirements, obtain additional resources 20.07.07 SCC/TDBC/ASC managers briefed on requirement for completion of legal schedules and timescales. Holiday cover arrangements requested to be put in place (for Councils, Police and IBM). Continue to monitor. Suggest reduce to C. Schedules being progressed via lock ins Jan 08: Closed - Procurement Phase Complete	w/c 16.07.07 mid/end Sept 07	Closed

1. = New items added since last Risk Review GREEN text has been added since last review
2. This Register is based fundamentally on risks pre-contract award
3. Cost analysis has not been included in the above record currently as there is no contingency budget available
4. Risk Movement -
 ↓ = Risk downgraded
 ↑ = Risk upgraded
 ↔ = No change

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				Likelihood	Impact							
PF2b DQ9		Failure to maintain continuity of third party suppliers Failure to maintain consistency of delivery from existing suppliers. Failure to identify all contractually applicable contracts.	Increase in costs due to transferring of licences etc In order to deliver savings (particularly procurement), it is likely that existing suppliers will be changed to those chosen by the supplier which could introduce risk and could disrupt service.	D	4	C3 ↓ D4	MJ	MJ	List of contracts for SCC and TDBC issued to bidders. Bidders asked to identify priority contracts for novation. Novation letters agreed. This piece of work if overdue and could hold up contract close if suppliers have issues to be resolved. Aug: as of 27 July 93% of contracts available in data room for IBM to view. Right To Use (RTU) letters to be sent. Suggest risk is reduced to D4, significant conversation already with 3rd party suppliers. If there were issues with this IBM would have let Councils know 03.09.07 VW input into text of RTU letters for Councils. Jan 08: Closed		June 07	Open
R2 DQ2		Basic service Performance inadequate. Output Specs do not accurately reflect expected minimum service for clients. The effect of changes to the specifications on performance following discussions with preferred bidder are not properly considered resulting in decline in performance	Existing service delivery standards fall resulting in low customer satisfaction. Failure to meet statutory requirements. Performance of in-scope services, and as a consequence out-of-scope services, is adversely affected.	D	2	C2 ↓ D2	In Scope HoS	MJ	All Output Specs to be refreshed (May 07) and tested with Directorate statements to ensure completeness. Comprehensive suite of PIs needed for every service line to ensure accuracy of base performance. Changes to output specifications to be identified, discussed with service managers and signed off by SROs. Suggest risk is upgraded to C2 July/August: Output Specifications revised following contractualisation and further joint discussions between Operations workstream, Heads of Service and IBM. Specs ready to be "locked down" as of 17 August subject to small amendments. Suggest risk is reduced to D. Jan 08: Transferred to Risk CC3		Jun-07	Closed
R11	risk links to Commercials workstream	Corporate commitment to the inclusion of additional out-of-scope areas within the partnership - Late additions of out of scope services	Business Case does not depend on these service areas but nevertheless wide support for the partnership is a necessary component in achieving Benefits Realisation.	D	3	B3 ↓ D3	MJ	MJ	09/06 Review Team comment: Retain this risk at current rating B3 and review in one month. 01/07 Standard bids based on in scope services. Variants include other services. Await Intelligent Client April 07: risk review team advise reduce risk rating August 07: suggest risk is closed as no further services identified as in scope		April 07	Closed
C3	risk links to Commercials workstream	Failure to accurately assess baseline data	Insufficient evidence to support need to transform. The underlying business need has not been fully formulated and agreed. Best and final bid fails affordability check and project is deemed uneconomic. The economics of the commitment to a strategic service delivery partnership have not been fully evaluated nor understood. There is potential for the Gershon savings to be higher than planned, for example FM 15% and ICT 10% in 2006; resulting in the need for baseline Stage 1 data to be re-assessed. Premier suppliers may feel that the model has been based largely on "guess-timation". They could either be turned off from bidding or will request detailed info to cost bid and we would then receive a massive set of questions resulting in potential delays on procurement. Performance data not used effectively to accurately inform baseline.	C	2	↔	MJ	MJ	12/066 Stage 1 evaluation highlighted problem areas of bids August 07: suggest risk is closed as information included as part of MSD2 Output Specifications		Feb-07 April 07	Closed
C15 P14		Risk of contract volume (reduction of certain part of a service) needing to be cut post contract award. Service Specifications and Measures are not fully and accurately documented.	If anything is left out of the SOR by either in or out of scope services then additional charges might be levied immediately on commencement of contract, thereby impacting the Affordability Model over the 10 year period. The scope for benefits is not correctly understood. Service provision fails to meet expectations and requirements. Business Case benefits not delivered. 'Corporate' work not covered adequately because it was inadequately described.	C	2	↔	MJ	MJ	01/07 subsequent bidder meetings with in scope managers and RFIS etc to be planned at Preferred Bidder due diligence stage - outcomes to be built into contract terms and conditions Service Heads authorised to devote sufficient time to the development of document set. Support provided from Project Team. July/August: suggest this eventuality should be covered by legal schedules other than MSDC 2 (Output Specifications), monitoring arrangements and change control processes will also cover mechanisms to reduce the price. Suggest risk can be closed		Ongoing	Closed
Q5 DQ3	risk links to Communications workstream	Strategy for Customer Access not tested on communities - Customer Access aspirations not realised Insufficient understanding of Enquiry Office function (and other customer access channels).	No evidence that Strategy matches what citizens of Somerset really want or need. The successful bidder fails to properly understand the nature and operation of the Enquiry Offices. In trying to make changes in this area (perhaps when merging with a similar Council function), they fail to ensure that the service meets all the needs of the Constabulary.	C	3	B3 ↓ C3	MJ	MJ	01/07 review as necessary, this is ongoing risk Ensure this service is properly documented within the Output Specification. Ensure the Constabulary's interests and represented and protected by the development of the Intelligent Clients. August 07: clarified work in Output Specs. IC in place to manage how Output Spec is conveyed to internal customers. Suggest rating reduced to C but continue to monitor post contract risk. Customer Access was an original driver/objective of ISIS. Should be monitored as benefit realisation from business case Jan 08: Closed: Detailed in Customer Access Initiation Supplement		Ongoing	Closed



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Q2 Org6 CP10	risk links to Transformation/New Business workstream	Failure to align service developments/improvements across the whole Partnership	Impact on existing services and partnerships. Interim developments and improvements (e.g. increased take-up of calls through SomersetDirect) still need to happen in the period before the partner comes on board. Management and delivery of change is not aligned to the Constabulary's needs.	C	2	↔	MJ	MJ	01/07 work with Preferred Bidder to cover this and monitor The role of CME must be correctly defined and aligned to the decision making and prioritisation process of the JVCo. August 07: risk remains particularly now Police timescale means later joining for partnership. Continue to monitor and keep them aligned	April 07 Nov 07	Closed
Ops 1	risk added 24.04.07	Confidentiality clauses in the Councils' third party contracts restrict IBM from completing novation assessment	Unable to complete third party contract verification – potential impact on solution (unable to novate contracts) and price (due to contract novation terms)	D	4	A2 ↓ D4	MJ	Matt Jones Richard Sealy	Required Action: Provide list of top 10 critical contracts for each service line. Mitigating Action: Council to ensure bidder access and facilitate novation work. July/August: IBM have had view only access to contracts in data room. Novation discussions with suppliers ongoing. Outstanding issues will be covered in change control clauses in the contract. Suggest risk is closed or remain at D4 level	27.04.07 ongoing	Closed
Ops 2	risk added 24.04.07 - links to Transformation/New Business workstream	Scope of Transformation projects	HBS/MP/IBM unable to agree dependenciescommit to prices, services levels or responsibilities etc	C	1		MJ	David Pye, Gunnar Maintzer, Hamish Henderson, John Geoghegan, Alex Clelland	Workshop to agree definition, solution, implementation of CRM, swing space for consolidated contact centre, PDM August 07: transformation workstream members populating project supplements, to form business cases (SPFA 13). Council supplements nearing completion. Further work required post contract sign to integrate ASC requirements. Jan 08: Closed - Supplements completed	24.04.07	Closed
Ops 3	risk added 24.04.07 - links to Commercial workstream	Lack of clarity on future ownership of third party contracts – JV Co, or IBM, HBS, MP?	Impact on price and risks	C	3		MJ	Hamish Henderson	Obtain confirmation from Commercial Stream August 07: update required Jan 08 - Closed	24.04.07	Closed
Ops 4	risk added 30.04.07	Unable to confirm if JVC can use third party contracts at service commencement - due to lack of physical copy of third party contracts	JVC (and Councils?) will be in breach of third party contracts or unable to deliver service	D	4	B4 ↓ D4	MJ	All	Focus on reviewing contracts that are required to deliver the service. Completion of contracts in data room. August 07: See comments under Ops 1 - suggest risk is closed or reduce to D4		Closed
Ops 5	risk added 08.05.07	JV Co may not be able to use some third party contracts to deliver services to ISIS	Legal (financial) implications, possible delay in service commencement	C	1		MJ	Matt Jones, Richard Sealy, Garry Collier, Alex Clelland, Tony Williams	IBM/HBS/MP to engage in direct discussions for solution critical third party contracts. Look into possibility of client 'holding' contracts and JVCo drawing down benefit on non-novatable contracts. August 07: update required Jan 08: Transferred to Risk JC9	asap	Closed
Ops 6	risk added 08.05.07	Unable to identify staff that are in-scope for delivering the services and to clarify with Service Heads capability of staff	Material impact on JV Co price to the Councils	C	2		MJ	Mark Tigwell	HR to deliver anonymous list of staff to JV Co 16.05.07 SCC issued staff list to Mark Tigwell with one or two outstanding pieces of info. Service heads to reconcile in-scope staff to budgets. July: In-scope staff lists issued to IBM August 07: In-scope staff lists provided as part of legal schedule MSD 19 (Workforce information). Suggest risk is closed	04.05.07	Closed
Ops 7	risk added 08.05.07	Misalignment of CYP Directorate schools services with JV Co delivery model	Loss of Schools business and subsequent damage to Council reputation	D	2		MJ	Matt Jones, Helen Stuckey, David Crichton-Miller, Tony Williams	Workshop with CYP Directorate to agree approach to Schools. Schedule to reflect Blue Book approach to form part of contract. July/August: Traded Services Output Specification being developed with CYPD staff (EK/SH) for inclusion in MSDC 2 to contract. IBM/HBS continued contact with Schools Client Group 03.09.07 Traded services contracting principles being discussed at lock in 3 (EK and SH). Suggest risk can be closed mid September	asap mid Sept 07	Closed
Ops 8	risk added 21.05.07	Risk that ISIS/SCC could be accused of granting an unfair advantage to an ISIS partner in the award of contracts. Specifically relates to the way Highways service operates and design contracts and any due diligence work that is currently being carried out by the Procurement Team and how available it is.		tba	tba		MJ		Mitigating actions involve Mouchel Parkman. Due Diligence information relating to this contract should not be uploaded to the online data room, Quickplace. August 07: update required	asap	Closed
Ops 9	risk added 05.07	Reconciliation of budgets	Not complete verification	B	1		MJ		Meetings with commercial, Heads of Service and HR August 07: this has been/is being done - via due diligence process as part of MSDC 4 - suggest risk is now closed	30.06.07	Closed

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ISIS PROGRAMME

STRATEGIC RISK REGISTER

Last Formal Review 03.09.07 (updated 03.09.07)

Risk Ref/s	Communications	Programme Risk	Consequences of Risk	Assessment of Risk @ April 07		Risk Movement	Lead Officer	Action Owner	Action Plan	Target Level	Target Date	Status
				Likelihood	Impact							
PF2a P12 P5 R5		Failure to maintain stability of existing customers Key stakeholders lose confidence	Existing customers, and partners, are concerned that quality/cost of service will be affected by new arrangements. Relationships are put under additional pressure. Existing partners seek to withdraw from current arrangements impacting on business case. Service directorates build stronger allegiance to external partners Loss of credibility. Loss of business and revenue. Key contributors (such as Senior Management for in-scope services) and beneficiaries (out-of-scope departments) lose confidence in the project. The rate of progress is impacted and milestones missed.	C	3	↔	RD-Heads-of-Service/ SB RJ	RD-Heads-of-Service/JS RJ	Communications Plan reviewed particularly with regard to schools and registered Authorities who will benefit from the Framework Agreement Stakeholder management 12/06 - various stakeholders included in evaluation of bids including a) Directorates/out of scope services b) Schools Client Group c) OJEU signatories d) Staff Forum e) Unions. All invited to feed back representations to Plenary Panel in Feb 07 Ensure stakeholder involvement at each stage. Communication plan engages at correct levels. Benefits for in-scope SMT and out-of-scope departments are addressed. May 07: Stakeholder matrix agreed. Focus on priority stakeholders including out of scope services, in scope services, schools, Members, OJEU signatories, unions and staff side. Ongoing communications, Collecting Q&A's. Presentations as appropriate. Communications plan being delivered. June-August 07: regular ISiS emails continue to be circulated within founding partners on progress. Continue to monitor until and post contract sign Jan 08 Transfer to risk JO1		Ongoing	Open
PF8	risk linked to Governance workstream	Failure to maintain stability of relationship with Schools	The impact of losing Schools business would be felt in particular by ICT and result in a loss of revenue. Impact may require more detailed analysis and assessment (e.g. the risk is to the unit cost of ICT services but is a risk to the authority overall, not just ICT)	C	2	↔	RK RJ	RK RJ	12/06 bidders have presented to Schools Client Group pre and post tender submission. SCG reps attended evaluation training, were sent copies of bids to evaluate and feed into process SCG asked to feedback to Plenary Panel in Feb 07. Schools eager to be involved in governance of JVC May 07: school stakeholder engagement plan being developed with IBM and partners. Anne Brayley is the lead at SCC. July/August: Traded Services Output Specification being developed by CYPD staff, to form MSD2; IBM/HBS continue to attend Schools Client Group meetings as appropriate and ISiS is regular agenda item. Continue to monitor until and post contract sign Jan 08: Closed. Traded Services Output spec agreed and will be monitored along with rest of contract		Ongoing	Open
R8		Failure to manage across the organisations the expectations of the Partnership	Unrealistic expectations of the partnership on day 1. Impact on existing services and partnerships. Uncertain start to new relationship.	C	2	↔	CB/SA RJ	CB/SA RJ	01.07 Transition and implementation with Preferred Bidder to be managed/monitored also involves communications May 07: This is being managed by all partners as part of the ongoing stakeholder engagement plan and preparation for launch of JVCo. August 07: update required Jan 08: Transferred to Risk JS1		April 07 ongoing	Open
R10		Unauthorised media contact	Negative press coverage Increased concern within wider community Negative effect on staff morale	C	3	↔	JG RJ	JG RJ	09/06 Review Team comment: This should be considered further by the Communications workstream and an approach included in the Communications Strategy. 01/07 not expecting media interest until announcement of Preferred Bidder. Press release to be prepared in advance for immediate release. April 07: Communications workstream to establish protocol for dealing with media May 07: Communications workstream establishing protocol for dealing with media. Work on launch, including PR to start week commencing 14 May. June/July : media protocol developed by comms workstream. Do not anticipate media attention until contract sign.		Ongoing	Closed
PT1 PT2 P15		Lack of Elected Member engagement Political environment changes during the course of the procurement process - External Dependency of LGR impacts the Programme (see PT4b) Lack of PA member involvement	Members understanding and therefore support. Possible consequences for indirect public understanding and consultation 08.08.06 TDBC and SCC financial requirements are different therefore this could cause potential issue of debate between the 2 Authorities Council Members who will have differing views regarding pricing and affordability of evaluation of bids Potential for political restructuring during the project lifetime. TDBC election in May07 will coincide with point at which partnership commences. The Police Authority members are not sufficiently engaged in the process to allow them to make informed decisions on the Constabulary's involvement with ISiS	E	3	↔	JG RJ	JG RJ	01/07 some JMAP attended evaluation training, site visits and acted as observers on segment panels and Plenary. Bidders presented to SCC Scrutiny and TDBC members on 30 Jan 07 01/07 Aiming for appointment of Preferred Bidder prior to TDBC elections May 07 April 07: JVC aiming to be up and running July 07. Proposing to hold weekly update meetings with JMAP between PB and contract close Ensure regular briefings of PA members. Involve in site visits, segment panels and plenary panel. May 07: Newly appointed TDBC and SCC members joined JMAP and are briefed by SROs May - August: JMAP continues to meet weekly, receiving updates on progress from SROs and workstream leads as appropriate on progress. JMAP given access to full business case prior to Executive Board sign off on 17/18 July. Suggest risk continues to be monitored Jan 08 Transferred to CO10		Ongoing	Open

ISIS PROGRAMME

STRATEGIC RISK REGISTER

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PT3 CP4		Council- Founding partners identity ISIS branding in relation to "in Somerset" is a reputational risk for ASC	SCC and TDBC working together may have implications for individual identities. The reputation of the Constabulary is damaged as entry into the JVCo is seen to benefit Somerset to the detriment of other areas of the Constabulary.	D	3	↔	JPB (RK) RJ	RK RJ	01/07 JMAP and JPB have agreed principles of branding. To take forward with Preferred Bidder Ensure an appropriate, new brand is chosen. Ensure that other partner members are aware and take account of this sensitivity. June-August: JVCo branding/logo workshops held with SROs. JMAP members involved and consulted in developing brand via Coley Porter Bell. w/c 27 August JVC logo awaiting final sign off from SROs. Continue to monitor but assume close risk on unveiling of logo. Ongoing work to develop the JVC website Jan 08 Closed - SW1 Branding has been launched	April 07 mid/end Sept 07	Closed
L3a		Judicial Review	Any challenge by a members of staff or public raising a significant number of FOIA requests leading to formal judicial review could halt the programme at a key point in the schedule, impacting on work with the preferred bidder and on internal resources to divert to addressing the review. This could all delay the programme. (See additional note under PT4b re potential need to sign contract prior to Central Government final decision on unitary authority and freeze on signing large contracts)	C	2	↔	SA/RK RJ	SH RJ	Review Team comment 14.02.07: The potential areas of risk or challenge should be identified and an appropriate outline tactical plan of action developed in order that the authorities might mobilise rapidly should a review or challenge occur. This should include consideration of resources. August 07: No JR raised as yet - continue to monitor but suggest this could either be closed mid September. Could also be a post contract risk	Feb-07 ongoing	Closed
PF4 Org1 CP7 CP8		Differing values and cultures of partners are recognised but prove insurmountable (I.e. SCC & TDBC initially). Cultural issues between county and districts - Need to change internal mindset The JVCo does not share the Constabulary's approach to Diversity. Differing cultures and values of partners cannot be transformed into common values.	Founding partners are unable to reach agreement regarding priorities. Resistance to being 'subsumed' within another organisation. Inability to reach a single joint contract. Founding partners have differing expectations. The Constabulary's reputation is damaged when its values are not represented by its strategic partner. The operation of the JVCo and its delivery of service is compromised by partners representing their own rather than a common interest.	C	3	↔	RK (PJ/AJ) RJ	CB/J-Reese RJ	12/06 joint evaluation process taking place including joint Culture and Partnership Panel evaluating and scoring bids co-chaired by SDG (SCC) and KT (TDBC). Joint scores to be agreed and fed to Plenary Panel The Constabulary ensures protection against this outcome via contract terms and development of common principles and practices. Joint working arrangements developed during evaluation process provide the foundation for closer working practice and the agreement of a "protocol" that agrees principles of collaborative working. The joint work around branding will pull all the work that values/culture together. Workshop on 14 May for Exec Team/representatives. April - August: HR/Governance workstream working on this. Council and ASC policies submitted to IBM for review. Update required Jan 08 - Closed	Feb-07 April/May 07 Sept 07	Closed
Comms 1	Risk added 24.04.07	ISIS Extranet perceived as 'static'	We lose the initial momentum and the opportunity for effective and broad communication of progress		3	A2 ↓ B3	RJ	Exec Team and Comms Team	Action on weekly exec meeting to determine key messages to add to site to keep staff engaged. SH/FB to update current content. August 07: top communications from PEB sent to R.J. What happens to them? Accept this risk will always be here. Suggest risk rating as B3. DG to find out how many hits per week on the site	17.04.07 to start ongoing	Open

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				Likelihood	Impact							
PF3a S1	risk linked to Communications workstream	Communications - - Lack of staff <i>understanding</i> of the need for the partnership and lack of a consistent view of the nature of the project Staff perceive the Partnership to be a threat to their job security and terms of service. Staff Associations promote risks. Transfer terms (i.e. TUPE vs. Secondment) are perceived as not in the best interests of staff.	Resistance to changes that are discussed/proposed. Low morale. Increased staff turnover/ retention of key staff. Staff deemed to be out of scope may not realise the impact of ISIS on them as they may feel it will not affect them 22.06.06 Evaluation model/process does not account for staff and schools informal feedback during ITN period in particular and the formal evaluation process should not include such feedback. Staff and schools may feel their feedback is irrelevant to evaluation of bids and could perceive an element of bias/objectivity to informal feedback submitted. NB evaluation model subsequently adapted to accommodate feedback from schools and staff representatives - refer to Evaluation Strategy Decrease in morale and performance. Staff may choose to leave the organisation. This could have a negative impact on service if they are "key" staff in specialised role Staff apply for out-of-scope posts.	C	3	↔	RKJS	RKJS	12/06 Staff Forum reps appointed to attend evaluation training, sign confidentiality agreements and included in site reference visits. Unions not included in evaluation process as they could not agree to terms of confidentiality letter. Staff Forum reps and UNISON invited to feedback views of bid teams during evaluation process. Outcomes of TDBC staff survey Nov 06 showed high %age of staff supportive of investigating ISIS option. Regular and effective communications with staff that address concerns. Benefits and opportunities of JVCs are promoted. Early clarification over transfer terms. Move towards secondment model. Preferred Bidder assumes risk of redundancies and promotes opportunities. June-August 07: regular email updates circulated to in and out of scope staff across all founding partners with progress updates; in particular in scope staff have attended briefings per service area with IBM to discuss respective service offerings and the future; in-scope staff were written to in detail regarding choice of secondment/TUPE for transferring to JVC. Continue to monitor. Communications need to go beyond contract signing, particularly post 1 October 03.09.07. As of now staff are still uncertain of what changes mean	E1	Ongoing	Open
PF3b S1	risk linked to Communications workstream	Communications - - Although staff may now understand the programme there may still be some reluctance to <i>accept</i> the outcomes, particularly if they feel there is a lack of transparency around the options and the OBC. Acceptance would be made easier through clear communication of key decisions and the rationale behind them.	Failure to achieve buy-in. Resistance to changes that are discussed/proposed. Low morale. Increased staff turnover/ retention of key staff.	D	3	B3 ↓ D3	RKJS	RKJS	12/06 Reps from various services and stakeholders fully involved in evaluation of bids should begin to win hearts and minds which outcomes are fed back to wider stakeholder groups. Likely that this will begin in earnest at appointment of Preferred Bidder June-August 07: see comments above re risk PF3a. Suggest this risk could be reduced in rating to D.		Ongoing	Open
PT6		Industrial action 22.06.06 Cultural disparities and conditions eg pay between SCC and TDBC could result in industrial action	Slow down/shut down of front line/back office functions	D	2	↔	JPB (RK) JS	RK JS	01/07 monthly JCC meetings ongoing to reduce likelihood of this occurring. Programme of interaction will be increased at Preferred Bidder stage June-August 07: continue to monitor risk. Regular meetings with Unions and Staff Forum reduce likelihood.		Ongoing	Closed
L2 P9 PA8		Changes in legislation to TUPE regulations resulting in many staff exercising TUPE rights A challenge is made to the legality of the Secondment Model for staff transfer or the law is changed and Secondment is no longer available NB No significant legislative changes to TUPE which would affect staff take up - amended risk "Larger numbers of staff than expected exercising option to take up TUPE"	Significant changes to TUPE law could affect both Councils preferred option of secondment model The Constabulary is required to make a contribution to the LGPS fund of an amount that impacts upon the financial case. An employee tribunal process may be called. If secondment is found to be unsustainable, the Constabulary could be liable for the retrospective costs of TUPE. Staff confidence in the process will be affected and losses may result.	D	3	↔	RCAN JS	MW/LW JS	Following outcome of Preferred Bidder and the model chosen this risk could be mitigated March 07: letters sent to in-scope staff across SCC/TDBC outlining options of secondment/TUPE asking for decision by [insert date] Ensure benefits of secondment model to staff are fully explained. Obtain suitable legal advice and ensure Secondment is fully legal before proceeding with process. June-August 07: Counsel's advice sought on legality of secondment route by founding partners; much work put into drafting and agreement of letters to staff setting out employment options. Letters sent to Councils in scope staff 14 June with return date of 4 July. Outcome is that 1 member of staff only has chosen TUPE option. Suggest risk continues to be monitored pending outcome of ASC staff employment choice		April 07 end Sept 07	Closed

ISIS PROGRAMME

STRATEGIC RISK REGISTER

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C8 Org3 DQ1 DQ11		<p>Failure to identify appropriate Client Management (Intelligent Client) structure and associated processes, and sufficient plans for subsequent phases post-procurement.</p> <p>Preparedness of Authorities to be ready for new partnership (Intelligent Client)</p> <p>Relationship between JVCo and out-of-scope services not well defined</p>	<p>Ability of partnership to influence change across the Council all partners</p> <p>In transferring from an in-house to external service provision, the relationship and delivery process to out-of-scope service areas is poorly defined and service delivery is impacted.</p>	A	1	↔	JS RK JS	JS RK JS	<p>Review Team comment 14.02.07: The Review Team recommend that this be raised to an "A" rating likelihood given that little appears to have been done about it to date. This is a critical function an urgent work is needed to define and deliver it. A dedicated workstream should be assigned to it.</p> <p>05.03.07 RK owns this work and will report to JPMT as appropriate. Head of Intelligent Client advert pending as at 04.04.07. Consider reducing impact rating.</p> <p>21.05.07 Arrangements in place in both Councils to appoint to Head of Client and client structures. TDBC ICF structure agreed; SCC structure to be advised once Head of ICF in post. Matt Jones appointed to SCC Head of Client</p> <p>A detailed SLA is developed that fully documents the products and delivery process. A regime of account management is established with the Intelligent Client to ensure services can evolve and issues can be managed.</p> <p>June-August 07: Details of these arrangements have been requested SROs, which are being discussed at SMB/CMT level. Paper on structure of Client teams for SCC/TDBC released to risk review team for further details awaited.</p> <p>03.09.07 risk discussed by risk review team. Major concerns still exist no visible progress made at this late stage pre contract - report drafted JPMT and for onward submission to Council Monitoring Officers</p> <p>Jan 08 Transferred to Risk CO3</p>	<p>Feb-07</p> <p>April/May 07</p> <p>ongoing</p>	Closed
Q4 Org5 CP2 CP9 CP1	risk links to Commercials workstream	<p>Failure to adequately define client/strategic services/ partnership organisational structure (See also C8)</p> <p>12/06 lack of agreement on JVC structure and ownership, shareholding split, particularly with ASC joining: - wider share ownership, governance and arrangements for late joiners</p> <p>The risk that the organisational structure of the JVCo is not suited to the Constabulary's needs. The Constabulary has insufficient influence within the management structure of the JVCo.</p> <p>Failure to adequately define client/strategic services/partnership organisational structure</p>	<p>Difficult to monitor and control the quality of the contract and meeting of SLAs and KPIs</p> <p>The delivery of service and benefits is not aligned to the Constabulary's needs. The expected benefits of the JVCo are not realised.</p> <p>Governance and contract management is ineffective. Quality of services received from JVCo is adversely affected.</p>	C	1	↔	JS	JS	<p>01/07 Fortnightly meetings with bidders July-Oct covered this element Governance and Compliance panel looking at this area of bids</p> <p>Review Team comment 14.02.07: Discussions are underway on this, including share issues. JPMT to update actions as required. The organisational structure and governance will require specific activity, perhaps within the Transition Workstream. 05.03.07 JPMT comment to be undertaken by Change/Transition workstream.</p> <p>The Constabulary must ensure that its late entry into this venture does not result in the other partners having a greater influence and opportunity to select the management team.</p> <p>Requirement is considered during due diligence phase with partners and Preferred Bidder. Arrangements are supported by written agreement.</p> <p>May 07: Commercial structure (shareholding split etc) being progressed through commercials workstream</p> <p>Structure of JV Company Boards tabled to SROs 15.05.07. SROs due to respond 29.05.07</p> <p>July 07: Separate Governance workstream created to deal with these issues; continuing part of contract negotiations. Governance arrangements form part of the JVA and legal schedules MSD12/SPF3</p> <p>03.09.07 discussed by risk review team, concerns re lack of visibility of governance arrangements - in scope staff do not know who management is or who customers will be. no evidence at present that whole project are involved in devising structure</p>	<p>Feb-07</p> <p>April/May 07</p> <p>ongoing</p>	Closed
Q40 Org8 CP11		<p>Lack of links to work of the founding partners internal Change Management Boards</p>	<p>The Corporate Change Management Board is not kept informed of ISIS development and may impact on CPA Action Plan</p> <p>Management and delivery of change is not aligned to the Constabulary's needs.</p>	C	4	B3 ↓ C4	RK JS	CB JS	<p>01/07 will become clear when we see proposed governance from Preferred Bidder. All bids include these proposals.</p> <p>The role of CME must be correctly defined and aligned to the decision making and prioritisation process of the JVCo.</p> <p>May 07: Transformation workstream now up and running and linking to both Councils and Police</p> <p>June-August 07: Suggest risk is reduced in likelihood to C4. FJC and KT members of Transformation workstream and can report in to Councils Change Boards. In addition SMB and CMT regularly updated by SROs. Will be Transformation Board post contract sign which will link to Councils. Continue to monitor and close when able to see Transformation Board ToR</p> <p>Jan 08: Closed - Transformation Board in place</p>	<p>April 07</p> <p>ongoing</p>	Closed

ISIS PROGRAMME

STRATEGIC RISK REGISTER


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S4		Supplier "poaches" key Constabulary and Councils staff prior to, or after, formation of JVCo.	The supplier may identify that they will gain more benefit with the best of the Constabulary's staff working on other business than the JVCo's. The JVCo's capacity to deliver the highest levels of service may be compromised.	D	4		JS	JS	Early involvement of the Constabulary with the formation of the structure and roles of the JVCo. Active participation by senior officers to support the interests of the Constabulary and its staff. May 07: HR workstream currently identifying and agreeing retention plan for key personnel July/August 07: key personnel info form part of legal schedules MSD21/SPF3. In addition Staffing Agreement details may cover this. VW advise element of legal schedule covers this possibility. Continue to monitor Jan 08: Transferred to risk CO7	Ongoing	Closed
HR 1	risk added 24.04.07	Pension provision for any in scope staff that choose to transfer under TUPE not agreed yet - Delay in agreeing pension scheme may in turn delay employee decision over TUPE /secondment - 17.05.07 Follow on risk from JPB decision - DC scheme unacceptable to staff and/or unions	If Pensions scheme is not set up by July 1st, contract signature may be delayed - Potential delay in setting up employment arrangements, plus potential cost implications	B	1		JS	Mark Tigwell/ Tim Richens Jill Sillifant /Catrin Oliver	Ongoing work between IBM Pensions and Councils' Pension staff - now have potential solution with Councils/Police for approval - meeting being arranged for week ending 11.05.07 to progress - Either reduce time period staff have to absorb information about new scheme, or - Delay date of decision making from 18 May to 25 May 16.05.07 Joint Programme Board agreed to offer TUPE with Defined Contribution scheme Solution now dependent on commercials workstream 08.06.07 meeting held on 05.06.07 to agree way forward - still subject to resolution of commercial negotiations 15.06.07 Basic details for pension scheme agreed and details sent to staff. Scheme now needs to be set up by 15.10.07 16.07.07 Document drafted to procure scheme provider 6 July August 07: suggest risk rating be reduced to C but only on assumption that contract gets signed in September or scheme will change post 1 October Pension Act. DC scheme not challenged by in-scope staff following release of employment choice letter Tim Richens agreed plan with IBM for setting up DC scheme. Due to time slippage for ASC they will take into account legislation and will offer DB scheme. Continue to monitor	24.04.07 04.11.05.07 15.10.07	Closed
HR 2	risk added 24.04.07	Delay in agreeing appointments protocol	May delay employee decision over TUPE /secondment	C	1		JS	Jill Sillifant /Catrin Oliver	Either reduce time period staff have to absorb information about new scheme, or - Delay date of decision making from 18 May High level organisation structure and suggested timeline for interim arrangements and permanent appointment process tabled at Exec team on 15.05.07. Responses from SROs due back on 29.05.07 04.06.07 Have agreed that there will be interim period from July-Oct where IBM hold JV Director roles while appointment process takes place. Awaiting outcome of commercial discussions on JVC. Joint Programme Board to discuss 05.06.07 15.06.07 Dependent on commercial agreement on control of JVC August 07: following discussions at lock-in 20-22 Aug agreement on key principles reached and JS drawn up note setting out agreed position and awaiting for SF and SROs to sign off before going to IBM. Review mid September	24.04.07 04.11.05.07 29.05.07 15.09.07	Closed
HR 3	risk added 08.05.07	Delay in availability of anonymised payroll data for in scope staff	May delay completion of due diligence and therefore staffing schedules	C	1		JS	Jill Sillifant /Catrin Oliver	SCC payroll to provide information 4/5 - Complete as at 16.05.07. TDBC data sent to IBM/HBS - RISK CLOSED 04.06.07 04.06.07 Service line heads to agree with IBM/HBS/MP the in scope staff and Council HR leads to confirm staff costs by 08.06.07. Analysis of discrepancies underway to be completed by 08.06.07 08.06.07 basic payroll data completed but still need additional information such as training budgets relating to in scope staff	08.05.07 11.05.07	Closed
HR 4	risk added 08.05.07 - risk links to Commercial workstream	Delay in agreeing solution to secondary TUPE issue will delay sending out of TUPE/secondment letters. 25.05.07 The commercial proposal incorporates secondary TUPE. This is a change from expectations and may not be attractive to staff: secondary TUPE is removed the commercial proposition changes	Decreases time available between staff responses and July 1st - could delay contract signing As the expectation of staff was that they were to be TUPE'd to the JVCo a change to this may hit morale significantly. The IBM proposition will be significantly altered if secondary TUPE is removed	B	1	A1 ↓ B1	JS	Mark Tigwell/ Catrin Oliver/ Mark Lambert/ Simon Humberstone	Revisit whether there is an alternative and quicker solution through changing the Commercial constructs. Resolution now outside HR workstream and in commercials 25.05.07 Negotiations have been taking place and IBM are expected to submit proposals for a resolution on 25.05.07 04.06.07 Police w/s reports Secondary TUPE removed from proposals. Risk Closed? 08.06.07 Potential resolution - dependent on outcome of commercial negotiations 15.06.07 This is complete and letters were issued to staff 15.06.07. Risk rating reduced to B1 16.07.07 subject to commercial agreements, this is complete and letters have gone to staff. Suggest risk is now closed	08.05.07 11.05.07 asap 01.06.07	Closed

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P4		JVCo model inhibits police collaborative work	The Force finds itself unable to work on collaborative opportunities with other police forces as the responsibility for a service (or an aspect of its delivery) has been transferred to the JVCo.	C	3		TH	TH	Seek agreement from associated (ACPO?) bodies that the JVCo can be enabled to act as the Force's agent on such matters. August 07: no active investigation on this; risk still applies; continue to monitor, probably post contract	D4		Closed
P7		Failure to determine and align investment strategy	The Constabulary must determine how the investment offered by the private sector partner is to be used in order to satisfy the strategic objectives of the Constabulary. This may need to be aligned with the investment strategy of the other partners. Failure to agree an appropriate strategy could impact on the benefits expected from partnership involvement.	D	3		TH	TH	Need to seek early agreement with the PA and the partners (both private and public) on an investment strategy that satisfies the Force's objectives. August 07: Transformation pricing received. Should be resolved pre end of September when Councils sign contract.	D4		Closed
S2		SMT Transfer or Retention adversely impacts on service delivery.	The retention of SMT resources to provide strategic guidance and Intelligent Customer (Client) services for the Constabulary leaves the in-scope activities with insufficient leadership to maintain service levels. Conversely, the transfer of the SMT function to the JVCo leaves the Constabulary exposed without an internal function capable of providing strategic direction and Intelligent Customer and regulatory functions for the service provider.	C	3		TH	TH	Early agreement of the resources required to satisfy both of these needs. August 07: Due Diligence report highlights this, now determining cost impact of SMT retention. Will be resolved as part of due diligence. Continue to monitor	D4		Closed
S5	risk links to HR/Governance workstream	Late involvement of Constabulary into the process reduces the opportunity for ASC staff to apply for key JVCo posts.	The influence of the Constabulary's staff within the JVCo, and therefore the capacity for JVCo to deliver the highest levels of service, is limited. Key staff may perceive they have been denied career opportunities, become de-motivated and seek employment elsewhere.	C	3		TH	TH	Early involvement of the Constabulary with the formation of the structure and roles of the JVCo. Active participation by senior officers to support the interests of the Constabulary and its staff. August 07: structures not yet defined but PA should not be disadvantaged - continue to monitor	D4		Closed
DQ4		Will supplier understand key strategic requirements for the future; NPIA standards, UPSA, MOPI, etc.	The full cost of supporting these initiatives may not have been included within the bidders proposal. The Constabulary may find it incurs further un-budgeted costs in implementing these programmes.	C	3		TH	TH	Ensure that allowance is made in the contract terms for the supplier to absorb all reasonable costs. Ensure that the pricing arrangement for service enhancements is fixed and cannot be exploited by a company in a position of a sole supplier. August 07: PA to ensure that information is contained in the legal schedules and addressed. continue to monitor	C2		Closed
DQ7		A single network infrastructure for both the Constabulary and ISIS members may not be in the interests of the Constabulary.	The supplier may see financial benefit in having a single network. However the Constabulary may feel this approach will threaten its security accreditation and make an exit from the JVCo extremely difficult.	C	3		TH	TH	Ensure that the full cost of new systems implementation is understood before agreement to proceed. Ensure that full training and BPR takes place to minimise any adverse impact on out-of-scope areas. August 07: PA discussed security solution for SAP - there will be a separate network for PA SAP with secure connection between PA network and SAP network. Satisfies Police needs - Can close risk	D4		Closed
DQ8		Service delivery quality varies throughout the Constabulary (a "postcode lottery") due to a concentration of JVCo services in the southern part of the Constabulary.	Citizens become aware of a variation in service quality and the Constabulary suffers damage to its reputation.	D	4		TH	TH	Ensure through negotiation of service levels that these shall be consistent throughout the force area. August 07: Single Output Spec for all District Offices which ensures cannot have variety of service provision. This enables risk to be closed	D4		Closed
DQ10	risk links to HR/Governance workstream	Supplier proposals to multi-skill staff result in reduced service quality.	In order to reduce staff numbers but provide the full breadth of service, the supplier may wish to train staff to provide for a broader range of disciplines (e.g. Admin staff supporting Enquiry Offices). This may cause issues with staff job descriptions and may result in a reduced service in areas that require significant skill and experience.	D	4		TH	TH	Ensure a full impact assessment is undertaken of any such proposals. Ensure that full staff consent is obtained and appropriate training given. August 07: Likely to be post contract risk - monitor in 6-9 months	D4		Closed
CP3		Changes to the working practices of the Enquiry Offices and other routes for Customer Access increase the call volumes to the Force Service Centre.	The Constabulary becomes liable for some of the resource and cost implications of changes made by the JVCo for Customer Access channels that are under the JVCo's control.	D	4		TH	TH	Ensure the Constabulary has an appropriate influence over process and operational changes to aspects of service that have an impact on Force performance. Ensure that the Intelligent Client has the required authority under the terms of the contract. August 07: Will not know until JVC starts to deliver the service - monitor in 6-9 months.	D4		Closed
Police 1	risk added 24.04.07 risk links to HR/Governance workstream	Pensions – the issue around pensions needs to be resolved in order that we can engage with both staff and the trade union and be able to provide them with a satisfactory response.	We will not get the buy in that we need in order to make progress over the next few weeks	C	1		TH	Caitrina McCusker	Cat will liaise with Mark Tigwell to establish where discussions have got to in relation to the Council staff. 27.04.07 Dreictor of HR Allan Johnston overseeing issue for ASC. Councils have made decision. ASC still to take decision. Decision required before any issue of notice to staff. HR workstream to monitor process 16.05.07 Joint Programme Board agree to offer DC scheme to staff who wish to exercise TUPE option. Letter to staff to be shared with SCC/TDBC UNISON before release August 07: letter has been shared with Police UNISON - letter due to be sent early September. Mitigating actions in hand - suggest risk is closed mid September once letters to staff are sent		27.04.07 15.09.07	Closed

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Police 2	risk added 24.04.07	Out put Specifications – availability of the Heads of Service over the next 2 – 3 weeks is crucial if we are going to meet our deadline of being able to produce draft Output Specification by the 18th May. Update 20th April –In addition to the formal reviews with Heads of Service also need to kick off familiarisation programme to meet staff in the service areas	If the milestone is missed this could impact on both the development of the business case and the ongoing programme of work post 13th June. IBM/HBS may not get such a comprehensive understanding of activities within the service areas. Miss an opportunity to engage with staff and develop relationships	D	1		TH	RAMC	Jackie Jagger to work closely with Richard Allen / Matt Coates through the course of next week to ensure we have a complete schedule of meetings after the kick off meeting with the Service Heads on the 20th April. Sarah to liaise with Tracey Hayler and Rod to get these visits set up as soon as possible 27.04.07 Service heads have made themselves available for the duration and see no issue with the proposed timetable. By 01.05.07 HBS will have met with each service head and commenced production of the output specs. Familiarisation visits are being organised as required 22.05.07 Advised this risk can be closed as Output Specifications are now nearing completion	27.04.07	Closed
Police 3	risk added 24.04.07 risk links to Transformation workstream	Transformation – we need to agree on what the key transformation initiatives that are to be included in the business case will be.	Unless we can identify 3 or 4 key areas to include within the business case there is a danger that we provide too much information that doesn't properly describe what we are trying to achieve through the transformation agenda.	D	2		TH	Sarah Remington Linda Gerrard	Based on initial discussions this week we have now identified 6 potential transformation themes that we will work through during the course of the next 2 weeks to agree the final shape of the transformation proposition. 27.04.07 DCC Rob Beckley now leading the Transformation aspect of the Police workstream with ACC Mortimore leading estates element. Chief Officer Group meet 30.04.07 to finalise the transformation priorities for inclusion within the contract. Additionally Police specific initiatives are being explored. Section on transformation to be included in Business Case for 23.05.07 04.05.07 update: Joint initiatives agreed. Meetings taking place next week (w/c 07.05.07) to progress transformation section for the business case. RISK CLOSED	27.04.07 01.05.07 (decision on 5 key projects required for JPEB)	Closed
Police 4	risk added 02.05.07	IBM and partners fail to identify and /or fail to take account of the specific characteristics of Constabulary work compared to that of the councils (law enforcement) .Eg front office service treated as transactional only and does not take account of associated characteristics ie a piece of lost property relating to a crime scene with an offender linked to it : there is a threat to the reputation of constabulary and quality of service provision to the public .		C	2		TH	TH	A & S to facilitate full briefing of IBM & partners on the nature of the police business through access to all relevant parties in the preparation of the service briefs and familiarisation with the process in practice ; output specifications to reflect specific nature of the police business August 07: Briefings to IBM throughout due diligence. Until Service Delivery Plans and Method Statements are seen cannot see whether this risk has been taken into account. Monitor in October	ongoing October	Closed
Police 5	risk added 16.05.07 - risk links to HR/Governance workstream	Consequences of timing of Job Evaluation in relation to announcement with TUPE/secondment decisions for staff	Staff could get confused with results of JE and TUPE/secondment decision and the similar notice periods required	tba	tba		TH	LP/JS	Similar 90 day notice periods which require sequencing of announcement. Jill Sillifant and Linda Pope to consider risk, consequences and any mitigating actions. 16.05.07 JS advises the questions around impact of JE have been covered in answers to FAQs so staff should be aware of the position. ASC (and TDBC, JE results to be notified on 2 July) need to make clear in each communication that the 2 issues of notice periods for choice of TUPE/secondment and JE results are separate. August 07: JE not complete yet and not clear how results will be taken into JVC. Risk ongoing - continue to monitor	ongoing	Closed
Police 6	risk added 22.05.07	Councils fail to agree terms with IBM, resulting in the collapse of the procurement process. Unable to identify mechanism for Police convergence to main ISIS programme	Police would have to commence their own procurement process if they wished to consider strategic partnering	D	2		TH	TH	ISIS work to date would accelerate Police procurement programme if ISIS deal fails to materialise Police still developing convergence mechanism with lawyers and ISIS SROs August 07: continue to monitor until end September	ongoing	Closed
Police 7	risk added 08.06.07	Resource availability - major phase of work to be conducted during summer holiday period	Potential slippage against timescales	C	1		TH	RH, TH	Adequate resources need to be identified now to ensure delivery of key products 29.06.07 Team been strengthened; plan and resources will be tightly monitored to ensure delivery 13.07.07 Finance team to be strengthened - 2 additional staff from w/c 16.07.07. Regular weekly checks August 07: resources continue to be tightly monitored weekly. Because Police timescales have slipped this will negate risk of holiday period causing problems. Agreed risk can be closed	22.06.07 - in line with next phase plan and team structure	Closed
Police 8	risk added 10.07.07	The overall timescale may not be reconcilable to the objectives to ASC	The tight timescale and the impact of any delays may: - reduce the opportunity to develop innovative solutions; - increase the risk of IBM not being able to release a prie with the level of certainty required	C	1	A1 ↓ C1	TH	Commercial workstream	IBM/ASC to review timescales/objectives to ensure that the timescales are balanced against the need for "fixed" prices and innovative solutions August 07: IBM late with pricing therefore Police timescales re-planned - setting aside October for negotiation. Amend likelihood to C rating in response to new timescales for Police. Continue to monitor.	20.07.07 (end of data gathering stage) ongoing	Closed
Police 9	risk added 10.07.07	3rd party contracts will not be fully reviewed within current timescales	Either the time to complete the exercise needs to be extended or a mechanism devised to reflect price/risk implications	C	2	A2 ↓ C2	TH	Jeremy Newman/ Charles Garbett	IBM/ASC to prioritise contracts to be reviewed on the basis of materiality. Reconsider the balance between the need for firm prices for contract signature vs short timescales and prices with caveats August 07: ongoing beyond due diligence stage. More time now to look at the contracts and to confirm assumptions. Suggest rating is lowered to C	06.07.07 ongoing	Closed
Police 10	risk added 10.07.07	The DPR service may be uninsurable	The risk of some events occurring may need to remain with ASC or the cost of service provision may need to rise	A	3	A1 ↓ A3	TH	Jackie Jagger/ Commercial workstream	JJ to report on findings once agreeing a PoV and report to the commercial workstream August 07: Likelihood is likely to be 3; impact is that DPR may not be in scope. Have addressed insurance issue with IBM	20.07.07 (end of data gathering stage) ongoing	Closed
Police 11	risk added 10.07.07	The service impacts of the new DPR system cannot be quantified before contract signature	The service is not taken on in the "first tranche" or taken on without any performance measures	B	3	A2 ↓ B3	TH	Richard Allen (advice on plans) Jackie Jagger (service impact)	ASC to advise on plans for new DPR system (which system, when implemented, when will "business as usual be achieved) in order to assess the service impacts August 07: no movement here. Continue to monitor. Suggest risk is reduced to B3 due to slipped dates	20.07.07 (end of data gathering stage) ongoing	Closed



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Police 12	risk added 10.07.07	There is a risk that volumes and KPTIs will not be available for input to the contract	The service performance cannot be managed against empirical targets until these established	B	2		TH	ASC Service Heads	Service heads to identify key volumetric data and key KPIs by week commencing 30.07.07 August 07: New KPIs submitted to IBM. Risk can be closed.		03.08.07 (before verification report is completed)	Closed				
Police 13	risk added 17.08.07	UNISON have several concerns about the proces and relations with the Constabulary/PA. Discussion with Director of HR continue	Potential impact on wider staff relations and consultation process	C	1		TH		Discussions continue		ongoing	Closed				
Police 14	risk added 17.08.07	Contract schedules - Police workstream timeline; no flexibility for slippage - delivery of contract schedules and firm pricing is key to production of business case draft for 11/9	Phase 1 schedules must be complete to enable firm prires to be released. Potential slippage against timescales	D	1	C1 ↓ D1	TH	TH/SH/SK	Involvement of key parties in progressing and monitoring delivery of contract schedules. August 07: Revised Police timescales; business case not relying on schedules - business case being prepared Oct 07. Reduce rating to D		w/c 23.07.07 Oct 07	Closed				

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Risk Ref/s	Transformation	Programme Risk	Consequences of Risk	Assessment of Risk @ April 07		Risk Movement	Lead Officer	Action Owner	Action Plan	Target Level	Target Date	Status
				Likelihood	Impact							
RTS Org4 CP1		Lack of Council's ability to self-generate innovation and ability to change Lack of transformational strategy and programme to deliver framework/governance change/effective change management boards Readiness and capacity of Constabulary founding partners to accept change/transformation.	Will affect relationship management and confidence of supplier. The process re-engineering and transformation of in-scope services brought about by the JVCo will have a substantial impact on the whole of the Constabulary. All staff will have to accommodate new systems and ways of working. Unless introduced with care, planning and training, many aspect of force performance could be adversely affected.	D	3	B3 ↓ D3	JPB (RJC) FJC	CB FJC	01/07 Transformation Plan to be worked up with Preferred Bidder and contractual arrangements Ensure proper Change Management practices are introduced. Communication and training needs are fully addressed. June-August 07: Transformation workstream meets weekly to take forward development of 5 major transformation enabling projects as platforms to remaining 34 projects. Resource planning in development. Suggest risk is reduced to D.		April 07	Closed
DQ5		The Preferred Bidders proposal for significant systems enhancement (e.g. SAP) proves costly and time consuming for out-of-scope areas.	Partners finds that expected efficiency savings are not delivered as the use of new systems transfers tasks from in-scope administrative staff to out-of-scope staff using self-service functions.	D	4		FJC	FJC	Ensure that the full cost of new systems implementation is understood before agreement to proceed. Ensure that full training and BPR takes place to minimise any adverse impact on out-of-scope areas. 24.05.07 Pre contract processes will assess cumulative resourcing impact across all wave 1 projects as well as on a project by project basis. June-August 07: Iterations of SAP Back Office, SAP CRM and SAP Enablement project supplements being devised, in conjunction with Simon Kirkham and team. Resource plans in place and resources being identified. Jan 08: Transferred to ID3		ongoing	Closed
DQ12		Capacity of JVCo to deliver, and Councils to accommodate, transformational change is insufficient.	The benefits received from the JVCo are reduced as the full extent of the intended business transformation cannot be achieved.	C	4		FJC	FJC	Detailed transformational plans must be developed. Change Management practices are adopted by both the JVCo and the Councils. 24.05.07 Both Councils have clear transformation plans in place and are clear about how the JVCo transformation programme will deliver council objectives. ASC has scoped their transformation vision which clearly links to agreed wave 1 projects. June-August 07: Transformation workstream addressing this risk. Resource planning in place and SROs being asked to identify adequate resources to get initial 5 transformation projects off the ground. Project phasing likely over initial 18 months of JVC Jan 08: Transferred to ID3		ongoing	Open
TR1	Risk added 24.04.07	Confirmation of project priority is delayed	Unable to complete activities to get to contract	C	1		FJC	FJC	Ensure that projects are debated and agreed between founding partners via SMB, CMT, COG and are prioritised as appropriate. 24.05.07 Wave 1 priority projects confirmed by all partners June-August 07: Initial 5 major Wave 1 projects being taken forward as supplements/business cases to form part of the ISIS contract. Other projects will be phased over duration of contract. Legal schedule SPF13 applies. Suggest risk is closed once SPF13 locked down		02.05.07 Sept07	Closed
TR2	Risk added 11.05.07 - risk links to communications & change workstream	Sufficient and consistent engagement of key stakeholders in construct of project supplements/business cases	Lack of ownership / understanding of the projects commissioned.	D	2	C2 ↓ D2	FJC	All Transformation Project Leads	All efforts are being taken to engage relevant stakeholders, but there is a limit to what can be achieved in the time available. SAP Back Office project most at risk due to breadth & complexity. 21.05.07 Engagement improving but ICT capacity affected this week due to competing pressures from Operations workstream to sign off output specifications. Leave arrangements over half term (28.05-01.06) will also impact on progress 25.05.07 Improving. Workshops and briefing meetings have filled key gaps over the last week 08.06.07 Suggest risk rating reduced to D2 15.06.07 Acknowledgement that some gaps will still exist in July. Opportunity remains to close gaps before final contract sign in September August: continue to monitor risk up to contract close		23.05.07 ongoing	Closed
TR3	Risk added 11.05.07 - risk links to commercials workstream	Standard of business cases	At worst time pressures result in business cases not being considered of sufficient robustness to be included in Wave 1.	C	1		FJC	Transformation workstream / commercials workstream	Mid stage review of business cases to be well structured. 25.05.07 Risk to be reviewed when draft business cases issued on 8 June 08.06.07 Business cases now expected 22.06.07 15.06.07 Acceptance that status of business cases likely to be 'outline' in July. Focus is to complete Procurement business case to high standard August 07: Risk can be closed for due diligence phase. Construct of business cases now changed. The commercial aspects for Wave 1 projects will now appear within Schedule 13. There will be a single overarching document which sets out the transformation benefits of Wave 1. Formal detailed business cases for individual projects will be refined at blueprint phase once projects go live.		23.06.07 22.06.07	Closed

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TR4	Risk added 11.05.07 - risk links to HR & Governance workstream	Lack of clarity over governance arrangements	No clear arrangements for formal/final sign off of business cases. Pricing negotiations unstructured. Need to clarify as part of governance arrangements who is/will coordinate/ensure compliance of the Las with their contracted liabilities and ensure funding where additional resources is needed. Links in with need for clarity around the organisation of retained and client services and the role of transition managers.	B	1		FJC	SROs	Governance model to be confirmed as a matter of urgency. There is a need to keep timelines for approvals within individual organisations aligned. 13.07.07 Action in hand to establish separate Governance workstream. August 07: JS will be asked to comment and provide update version of the Governance supplement. Suggest rating is left and ask JS to clarify Jan 08: Transferred to JS2	15.05.07 awaited 24.08.07	Closed
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Risk Ref/s	Property	Programme Risk	Consequences of Risk	Assessment of Risk @ April 07		Risk Movement	Lead Officer	Action Owner	Action Plan	Target Level	Target Date	Status
				Likelihood	Impact							
Prop 1	new risk added 24.04.07 risk links to Operations/Service Readiness workstream	Property – Option for Somerset Direct staff moving from County Hall to temporary accommodation is no longer available. New accommodation option required	ISIS has no short term accommodation for staff prior to JV Co contract. JV Co may not have a solution Day 1 of contract	B	3			Sam Monger, Claire Yabsley Matt Jones Simon Hurrell	IBM to review interim transitional accommodation arrangements & provide recommendation to ISIS ISIS to make a decision May 07: Quantock House options agreed by all parties. Heads of Terms/lease arrangements being finalised. RISK CLOSED - SEE PROP2		20.04.07 24.04.07	Closed
Prop 2	new risk added 30.04.07	Failure to agree terms for Quantock House	PMO/IBM cannot relocate PMO/IBM team have to look elsewhere	D	2			Simon Hurrell Claire Yabsley Vic Freir	Appropriate leadership in place 04.05.07 Pursue negotiations with Donaldsons/DEFRA 29.05.07 advice is that Councils will get possession of Quantock House on or around 14 June with 10 days required for sorting IT/telephony connectivity, and various decoration works. Anticipated move in date of 2 July August 07: Main terms now agreed. Possible possession mid September 2007, occupation late October 2007		08.05.07 14.05.07	Closed
Prop 3	new risk added 21.05.07	Failure to resource move to Quantock House adequately (base costs plus enabling expenditure)	Move ineffective	C	1		C1 ↑ D2	Julie Burnett- Louise Cook- Chris Emin Vic Freir	Project planning by partnership August 07: No project plan or manager in place now following recent decision to proceed 03.09.07 SH advises VF taken over management of move to Quantock House but RK has asked that IBM manage it		18.06.06 02.07.07 17.07.07 (date of occupation)	Closed
Prop 4	new risk added 04.06.07	Risk management - workstream has first draft risk register for accommodation on basis of pre contract, contract and delivery - this will be monitored weekly	Existence and regular management of risk register is key project success factor	F	3	F3 ↑ F1		Simon Hurrell Post contract lead	Application of world class programme management August 07: amend action owner; suggest risk is raised to F3		18.06.06 Oct07	Closed
Prop 5	new risk added 08.06.07	Risk that wider stakeholders are not fully engaged enough in the process (of preparing the transformation supplements) by the workstream	Do not get right level of buy in by stakeholders	C	3	B2 ↓ C3		Jake Ree/- Simon Hurrell Derek Tate (IBM)	Develop stakeholder map and engagement plan August 07: amend action owner; Continues to be reviewed by workstream Jan 08: Transferred to JO1		22.06.07 ongoing	Closed
Prop 6	new risk added 08.06.07	Out of scope stakeholders not adequately briefed	Do not get right level of buy in by stakeholders	C	2	B2 ↓ C2		Jake Ree/- Simon Hurrell Derek Tate (IBM)	Develop stakeholder map and engagement plan August 07: amend action owner; Will form part of engagement plan post-contract		22.06.07 ongoing	Closed
Prop 7	new risk added 08.06.07	Major challenge (to Taunton) over application from any proceeds of sale	Inability to proceed or delays in accommodation proposals	A	1		SH	Post contract lead	Seek clear political guidance as between the Authorities (will come to a head once final business cases proposed). Discuss and agree as part of Accommodation Strategy post contract.		Oct-07	Closed
Prop 8	new risk added 08.06.07	Lack of available decant space in Taunton	Lack of suitable space delays timescales and impacts on operations	B	1		SH	Post contract lead	Review decant possibilities with all ISIS partners. Review with wider public sector and private accommodation providers. Quantock House solution to decant space for initial phase. Continue to monitor. Suggest reduce to D rating once Quantock House occupied		Oct-07	Closed

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				Likelihood	Impact							
Proc1	new risk added 21.05.07	Failure to complete due diligence by 8th June	Delay to plan; Contract not signed on time	D	3			TT/ME/ISiS	Produce detailed project plan and manage jointly June/July 07: Due Diligence report drafted, discussed and delta discussions ongoing. CA confirms risk can now be closed		ongoing	Closed
Proc2	new risk added 21.05.07	ISiS staff have insufficient time to support Due Diligence activities	Delay to plan; contract not signed on time	D	3			TT/ME/ISiS	Weekly meetings between ISiS and IBM Procurement June/July 07: meetings arranged and managed with appropriate personnel, in order to provide sufficient information for due diligence report. CA confirms risk can now be closed		ongoing	Closed
Proc3	new risk added 21.05.07	Ability to recruit Procurement IBM/ISiS resources in time for 1st July 31 August 07: reworded risk "ability to recruit suitably qualified and capable Category Managers and Chief Procurement Officer"	Severe delay to Transformation plan	A	2		Post contract risk	TT/ME/ISiS	ME to discuss with Catrin Oliver August 07: Suggest risk reduced to D rating or closed because of amendments to longer timescales. The risk is not just around being able to recruit the right calibre of person but also refers to where these posts will sit (ie. IBM, JVco, Council) but this is operational decision. CA has a meeting with IBM 30/8 and will ask what progress has/is being made. 31 August 07: Discussions ongoing as to where this resource will be placed ie IBM or JVC. Recruitment process will not commence until contract has been signed. Continue to monitor Jan 08: complete		29.05.07 Oct07	Closed
Proc4	new risk added 21.05.07	Ability to raise meetings with key stakeholders in the DD timescales	Reduced effectiveness of Due Diligence activity – increased risk around conclusions	B	3			TT/ME/CA/SL	Prioritise key meetings. Escalation of issues as and when June/July 07: meetings arranged and managed with appropriate personnel, in order to provide sufficient information for due diligence report. CA confirms risk can now be closed		ongoing	Closed
Proc5	new risk added 21.05.07	Access to Financial Budget info to support spend analysis	Reduced effectiveness of Due Diligence activity – increased risk around conclusions	C	1			LP/ME	Item to be monitored and escalated if necessary June/July 07: Councils Procurement personnel working with IBM to provide sufficient information on spend analysis. CA confirms risk can now be closed		ongoing	Closed
Proc6	new risk added 21.05.07	Insufficient data of sufficient quality available/accessible to carry out due diligence	Contract not signed	C	2			TT/ME/ISiS	Co-ordination with ISiS colleagues – escalation of issues when they arise June/July: Councils working with IBM to provide timely and accurate information to inform due diligence report and subsequently negotiate delta position. CA confirms risk can now be closed		ongoing	Closed

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Risk Ref/s.	Commercial	Programme Risk	Consequences of Risk	Assessment of Risk @ April 07		Risk Movement	Lead Officer	Action Owner	Action Plan	Target Level	Target Date	Status
				Likelihood	Impact							
F1 P11		Initial underestimation of funding required - complex funding calculation esp. legal costs. - Sub-risk: there is no Contingency fund. - Sub-risk: No allowance for Programme Director (SCC & TDBC) - Significant additional costs have been identified; extra consultancy/BPR costs not yet known - 22.06.06 It is planned that Independent Process Controllers for the Evaluation workstream will be KPMG therefore raising their costs beyond initial estimates. - 01/07 Overuse of advisers, not adhering to agreed protocols and channels to commission work 01/07 - lack of budgetary control and cost overruns 05/07 - additional resources from KPMG acting as commercial negotiators and extra project management support	Inadequate budgets are identified resulting in the need to return to respective Executive Boards for further funding part way through programme. Inability to access quality specialist support. Stability of the programme and project teams is undermined. 01/07 - escalating costs will have an impact on the business case The project overspends, resulting in a requirement to seek other sources of funding to complete the project. Potential impact on other projects and activities if funding has to be taken from alternative sources.	B	2	B2 ↓ C3	RK/SA CG/AH	R-Kershaw- (lead)/A-Hall AH/LW/SH CG/AH	09/06 Review comment:- Escalating costs undermine the business case - a review of the business case should be planned in. Assessment level B2 probably relevant Review Team comment 14.2.07: No change. Project funding is understood even though overspent; registered as an issue and it is currently being monitored. JPMT comment Feb 07: This risk is recognised and continues to be monitored Detailed accounting at all stages of project to control costs. Agree payment to Councils to compensate for their early project work. Andy Hall working on this. April 07: ASC have contributed towards the Councils procurement costs July 07: SROs requested further project funds at Exec Boards 17/18 July - Suggest risk rating reduced to C3	C3	Ongoing	Closed
F4 PA7		Uncertainty over who owns the savings that arise out of out-of-scope BPR activity. To be restated: Out of scope savings from BPRE are not captured by ISiS and affordability model does not stack up The supplier takes benefit from out-of-scope efficiency gains.	Controlling the programme savings and Benefits Realisation (who gets to keep them & who manages what). Problems encountered in achieving BPR efficiencies and savings and lack of ability to manage the required level and commitment to BPR across the organisation as a whole. Affordability model depends on 7-15% (check figures) BPR savings The savings achieved in out-of-scope areas are not fully realised as the supplier takes a share of the savings rather than returning these to the Constabulary.	B	2	↔	RK/SA RK/SA CG	R-Kershaw- (lead)/A-Hall CG	12/06 Savings or efficiency gains to be stated in bids relating to the affordability model. Cash savings to support variant bids have been stated in tender prices It is expected that the Price & Affordability Segment Evaluation team will have considered this and concluded accordingly within their report. This should be clarified by JPMT. JPMT comment Feb 07: This is a policy issue.BPRE was removed from the Business Case.However ISiS Financial advisors advise that bids do include significant BPPE savings in o-o-s areas which should not be ignored. Ensure that the contractual arrangements for out-of-scope benefits are clearly defined and that the costs of the supplier are fixed with benefit returning to the Constabulary. July/August 07: update required Jan 08 - Closed	E2	Feb07 ongoing	Closed
PF6b CR7 CR8 CR9 CR17		Project lacks any formal Exit/withdrawal strategy post-procurement At the end of the contract term, the Constabulary does not wish to renew the Contract with the current private sector partner. Early term re-negotiation of contract (years 3-5) Cost and implication of contract termination is excessive. The Constabulary fails to ensure an adequate exit strategy from the JVCo.	Potential financial impact Uncertainty over what to do should the situation arise The process to exit the contract may cause considerable service disruption and financial loss. The arrangements for ownership of assets do not benefit the Constabulary, requiring replacement or purchase at above market values. The terms of the contract are not found to suit the interests of the Constabulary. There is a need to renegotiate the terms of the contract. The Constabulary may not be in a strong negotiating position and relations with other partners could be damaged. The Constabulary finds that the JVCo is not appropriate to its needs, but the cost and impact of exiting from the arrangement precludes this course of action. Due to the failure of the JVco to deliver the required benefits and the Constabulary deciding that its best interests will be served by terminating its membership of the JVco, it is unable to do so without incurring significantly penalties.	E	2	D2 ↓ E2	SB CG	SB CG	12/06 this may be highlighted from the Contract and Risk and Governance and Compliance evaluation panels Sufficient expert attention is given to this matter and contract terms are agreed which address all aspects to suit the interests of the Constabulary. Ensure exit implications are properly considered within the Business Case and addressed within the contract. The Constabulary exerts appropriate influence during the negotiations. Ensure appropriate agreement on exit is reached. May 07: Exit strategy in course of preparation as part of commercial negotiation. Suggest risk is reduced in rating to E2 June-August 07: this should be covered in contract/legal schedules - MSD0/MSD18 - being progressed in lock-ins. Continue to monitor Jan 08: Transferred to Risk JC6		Feb07 April/May 07 end Sept 07	Closed
R6 CP1 Q8	risk links to Programme workstream (business case)	Programme benefits/objectives agreed at the outset but support is not sustained Benefits Realisation model yet to be defined. 12/06 Failure to define BR model Readiness and capacity of Constabulary to accept change/transformation.	Failure to realise the benefits. Potential delay to delivery. The underlying business need for undertaking the Programme is unclear or misunderstood. Involvement of relevant parties in the BR process from the outset. 12/06 If no benefits model defined by Councils at outset this will make it difficult to monitor performance of JVC in this regard The process re-engineering and transformation of in-scope services brought about by the JVCo will have a substantial impact on the whole of the Constabulary. All staff will have to accommodate new systems and ways of working. Unless introduced with care, planning and training, many aspect of force performance could be adversely affected.	C	3	C3 ↑ D3	JPB-(RK) CG	RK- CG	09/06 Review Team comment: The risk assessment score is too low - suggest raising to C3 (Significant likelihood with Marginal impact) Although it is recognised that the key ISiS objectives and Key Results paper issued as part of ITN were based on the objectives stated in the OBC, there is no formal Benefits Realisation Plan as such. Bidders still need to see some form of clarification paper on what is expected from their bids (in hand) around benefits. Also, there has been no Gateway or quality review recently, and there is a need to review the business case at some point. 12/06 all bids should contain proposals where benefits can be made and produced via a benefits realisation plan - to be expanded with Preferred Bidder Review Team comment 14.02.07: A Business Case review is needed. This should comment on the status of the benefits specified and any benefits realisation plans that bidders might be proposing. Plans should be put in place to ensure that benefits are monitored in line with plans. JPMT comment Feb 07: To be included within the Negotiation workstream. Ensure proper Change Management practices are introduced. Communication and training needs are fully addressed. May 07: Suggest risk rating is increased to C3. June-August 07: Partly covered via legal schedules to the contract MSD3, MSD33, SPF2, SPF32. Further update required		April 07 ongoing	Closed

ISIS PROGRAMME

STRATEGIC RISK REGISTER

Last Formal Review 03.09.07 (updated 03.09.07)

C5 PA2		Partner fails to deliver expected benefits within the contract Not selecting a robust partner 11/06 failure of evaluation process - too long, too complicated 12/06 evaluation process fails to identify optimal bidder	Contract not viable resulting in escalation procedures. Price performance mechanism. The Constabulary fails to realise the financial and/or performance benefits expected.	C	2	↔	JS CG	JS CG	Review Team comment 14.02.07: Subject to Evaluation selection and effective contract negotiations. No specific actions at this point other than continued monitoring. JPMT comment Feb 07: This is about us failing to ensure the partner delivers what we want. Build into negotiations. A comprehensive due diligence is undertaken. Robust contract terms provide an incentive to the supplier to maintain the required service levels. A strong Intelligent Client function needs to be in place. June-August 07: Due Diligence reports produced and discussed - delta price negotiated. Continue to monitor - being discussed as part of negotiation discussions and lock ins Jan 08: Transferred to Risk JO3	Feb07 April/May 07 ongoing	Closed
C7 CR21 PT4a PT4b GC3 PT4c		Project fails due to an issue preventing closure eg LGR 12/06 failure to close or reach definitive agreement during commercial negotiations, complicated by 4 parties agreement and their respective political dimensions National policy changes result in services and partnership being amended by statute e.g. Social Services with Primary Care Trusts, National Revenues and Benefits (including specifically Housing Benefits Reform programme launched in October 2002, Direct Grants to schools. Local Government Reorganisation is a potential policy change Potential impact on Revenues & Benefits (TDBC) Service as a result of any reorganisation brought in by central government	Issue arises with the partner previously un-foreseen but which has serious impact. Contractual issue Affects the affordability & viability of the contract 4Ps advised that Revs & Bens should be out of scope in future strategic partnerships due to this impending change in HM Gov. policy on Revs. & Bens. (Note: Comment refers to DO email 9.09.05) (Note: Refer to DO email 21.09.05 regards Schools Funding) Could have impact on potential bidder interest in a positive or negative way. Should the Government announce its intentions for LGR this risk will need to be formally assessed and may become a risk in its own right (see article from Western Morning News 15.11.05 and front page of LGC 01.1205) LGR may result in the imposition of a freeze on any major new contracts, and there is a risk that this might coincide with the schedule for ISIS forming the contract with the preferred bidder 01/07 see also R4 re timetable becoming unsustainable Could negatively affect TDBC business case with worst case scenario that TDBC could withdraw from the partnership.	C	2	C1 ↓ C2	CG	RK/SA/CA CG	Review Team comment 14.02.07: No change. Clarification meetings and commercial discussions continue and issues have been identified. Management of these issues will continue throughout the Preferred Bidder stage and form part of any "conditions" for successful closure. JPMT comment Feb 07: Project will continue to pursue key issues right up to the point of Preferred Bidder. Continue to monitor and manage. Stakeholder management 01/07 keep watching brief Review Team comment 14.02.07: A key risk is around the relationship between SCC and TDBC, and this should be managed through the Stakeholder Engagement stream. However links should be made with the LGR project to ensure that the delivery of ISIS is not impacted by that project or that ISIS is included at the appropriate point within any unitary structure. JPMT comment Feb 07: There is a risk to the project from a "rival" submission. This risk should be monitored around timing and JPMT asked that RK keep the group informed accordingly. 01/07 R Sealy reports TDBC are awaiting the outcome to the Lyons review of local govt funding. The rumours are that nothing radical is being considered. May 07: Liaison with DCLG suggests that whatever the outcome of LG this will not prevent closure. Suggest risk rating is decreased to C2. July 07: LGR announcement that SCC unitary bid not successful. Continue risk and monitor - issues being discussed during lock-ins and negotiations with SROs	April 07 Sept/Oct 07	Closed
C10	risk links with Operations/Service Readiness workstream	Partner and/or sub contractors go out of business (in period between shortlisting and contract award)	Contractual issue	E	2	RISK RE-OPENED APRIL 07	CA CG	CA CG	April 07: suggest risk is re-opened and remains separate to C7. Due Diligence of Preferred Bidder and sub contractors still required August 07: Announcement that Mouchel Parkman have acquired HBS Communicated to all staff. Continue to monitor throughout contract negotiations	E3 04/10/2006 April/May 07 Sept 07	Closed
C10B	NEW RISK 03.09.07	Commitment of sub contractor post contract. Risk raised as lack of visibility of Mouchel Parkman pre contract	IBM would have to find new sub contractor to deliver services which could result in dip in service performance	tba	tba	NEW RISK			continue to monitor throughout negotiations and post contract. Provisions for this eventuality should be made within content of schedules to contract	Ongoing	Closed
L3		Judicial Review	Any challenge by a bidder via formal judicial review could halt the programme at a key point in the schedule, impacting on work with the preferred bidder and on internal resources to divert to addressing the review. This could all delay the programme. Bidders have 13 weeks from the date of decision of Preferred Bidder within which to make a claim (ie just prior to scheduled contract sign). (See additional note under PT4b re potential need to sign contract prior to Central Government final decision on unitary authority and freeze on signing large contracts)	D	3	C2 ↓ D3	SA/RK CG	SH CG	Review Team comment 14.02.07: The potential areas of risk or challenge should be identified and an appropriate outline tactical plan of action developed in order that the authorities might mobilise rapidly should a review or challenge occur. This should include consideration of resources. JPMT comment Feb 07: Veale Wasbrough will be asked to advise on "Alcatel" – SH to follow up with them. 23.03.07 Alcatel letters written to all who requested ISIS info pack Dec 05 re PB announcement. Need to write again within 10 days of contract close - MIDJULY-SEPTEMBER 07 April/May 07: BT and Capita debriefing meetings arranged and completed. Suggest risk is reduced to D3. June-August 07: Continue to monitor. No indication of JR received. PMO getting advice on timing of sending Alcatel letters from Veale Wasbrough	Feb-07 April/May 07 ongoing	Closed

ISIS PROGRAMME

STRATEGIC RISK REGISTER

Last Formal Review 03.09.07 (updated 03.09.07)

Q3 Org7 GC5		<p>Failure to align service developments/improvements to other existing or potential strategies and objectives, Lack of policies/strategies including areas:-</p> <ol style="list-style-type: none"> 1. Customer Access Strategy 2. Property Strategy 3. ICT Strategy 4. Information Management Strategy 5. Other Council projects and efficiency improvements 6. Corporate Planning and Strategic Planning driving the SSP, and the LAA 7. Other Central Government initiatives not included specifically in plans (e.g. Priority Outcomes, GovConnect) <p>Failure to fully understand and integrate to the Customer Access Strategy and where they should reside</p> <p>The Constabulary loses corporate governance and control over in-scope areas (e.g. property)</p>	<p>Lack of Information Management Strategy and Information Asset register could affect the project in a number of ways:-</p> <ul style="list-style-type: none"> - Delivery of a single log of all relevant council services - Suppliers to be able to cost streamlining. <p>Lack of Customer Access Strategy outputs restricts the ability to define scope</p> <p>Detail of integrated customer access strategy</p> <ul style="list-style-type: none"> - Prospective partners at point of procurement - Cross county future partners <p>Any non-compliance on Priority Outcomes (PSOs) could affect the CPA inspection. The target for delivery of the PSOs will be pre-partner but there is potential for the partner to deliver some of these, so do the authorities act now, in which case there is potential for wasted investment, or wait and risk non-compliance?</p> <p>We end up asking the partner to deliver the contract objectives until we know what we are transferring to them</p> <p>The JVCo is able to make decisions and exert influence over strategic matters that may not suit the needs of the Constabulary</p>	E	3	C3 ↓ E3	RK/SA CG	GB/SA CG	<p>01/07 Information and Knowledge management strategy not formalised - still relevant risk</p> <p>The Constabulary must ensure that it retains ownership and/or control over those matters where delivery is critical to the objectives of the organisation.</p> <p>May 07: Authorities policies have now been issued; IBM see a need for harmonisation. Reduce risk rating to C3</p> <p>August 07: SCC/TDBC/ASC policies forming legal schedule MSD22 sent to IBM for review. Continue to monitor but can reduce rating of risk to E3 or close</p>	Feb-07 April/May 07 end Sept 07	Closed
PA3 CR18		<p>The Constabulary does not receives an appropriate share of savings made in the delivery of its services. Share of savings distributed and identifying where they are achieved so partner has fair proportion and there is no cross subsidy</p> <p>The Constabulary carries a level of risk for Council services.</p>	<p>Where the benefit is obtained by the supplier in reducing the cost of delivering Constabulary services, these savings are then distributed to the partners as a profit share, diluting the benefit that the Constabulary receives for its contribution of services to the JVCo.</p> <p>A failure to deliver a high-risk Council service requires that the Constabulary bear a share of the financial penalty.</p>	D	3		CG	CG	<p>Ensure that the pricing and contract arrangements entitle the Constabulary to an appropriate share of the JVCo profit.</p> <p>Legal advice should be taken in how to protect the Constabulary's interests in this event. Contingency measures are drawn up.</p> <p>May 07: This is currently subject to negotiation</p> <p>August 07: likely to be resolved prior to contract sign. Leave open</p>	April/May 07 Oct 07	Closed
PA5		<p>The scope of services that the Constabulary will take from the JVCo will evolve during the period of the contract. As a single supplier of existing services, the JVCo may be able to exploit this position and charge high rates for new services.</p>	<p>The savings achieved through involvement with the JVCo are diminished by having to pay higher than market rates for the provision of new services.</p>	D	2	C2 ↓ D2	CG	CG	<p>Ensure that contract terms are in place that ensure fair pricing for contract enhancements and variations.</p> <p>May 07: detailed negotiation on core services and transformation projects suggests that fair pricing will be achieved. Reduce risk rating to D2</p> <p>August 07: part of ongoing negotiation, part of legal schedules. Continue to monitor</p>	April/May 07 Sept/Oct07	Closed
CR4		<p>Insufficient allowance for asset and systems refresh</p>	<p>During the period of the contract there will be a need to refresh and replace many of the assets and systems used to deliver services. If the responsibility for this task is not unequivocally placed with the JVC, the Force may find itself with continuing liabilities which it had intended to divest.</p>	D	3	C3 ↓ D3	CG	CG	<p>Ensure this requirement is adequately documented with the service specifications and contract terms.</p> <p>May 07: detailed negotiations on core services and transformation projects are including assets refresh. Reduce risk rating to D3</p> <p>August 07: asset principles locked down by SROs. Suggest risk is closed once MSD10 is closed</p>	April/May 07 end Sept 07	Closed
CR10		<p>The private sector partner seeks to recover consequential costs from members when they exercise their right of veto.</p>	<p>When choosing to veto a proposal of the JVCo board in order to protect its organisational interests, the Constabulary finds itself liable for costs that the JVCo incur (or savings it fails to make) as a consequence of not being able to pursue a course of action.</p>	D	2	D3 ↑ D2	CG	CG	<p>Ensure that appropriate contractual protection is in place.</p> <p>May 07: subject to current commercial negotiations. Suggest raise of risk rating to D2</p> <p>August 07: discussions ongoing with IBM/SROs on reserved matters - will be resolved prior to contract signing</p>	April/May 07 end Sept 07	Closed
CR11		<p>Some of the supplier's efficiency savings presume that they will supply equipment from their own supply channels without competing the procurement under local authority regulations.</p>	<p>Is this arrangement legal under the terms of the JVCo OJEU? If not, can all the required savings be delivered?</p>	D	4		CG	CG	<p>Ensure legality of procurement arrangements.</p> <p>May 07: subject to current commercial negotiations</p> <p>August 07: ongoing discussions with IBM re procurement savings. Standing Orders are a schedule to MSDC0 and procurements should be according to Standing Orders.</p>	April/May 07 ongoing	Closed
CR16 CP6		<p>The main supplier or its sub-contractors are sold or taken over during the term of the contract and is unacceptable to the founding partners</p>	<p>The Constabulary may determine that the new owner is unacceptable to the organisation (e.g. foreign ownership raising security concerns). An untested supplier may not be able to deliver the level of service required.</p>	D	4		CG	CG	<p>Ensure appropriate contractual safeguards.</p> <p>August 07: being discussed in the context of reserved matters</p>	April/May 07 ongoing	Closed
DQ14		<p>Incidental costs of service transformation fall to the Constabulary.</p>	<p>Where the supplier receives benefit from transforming in-scope services, out-of-scope services may incur (possibly unforeseen) incidental costs that will not be absorbed by the JVCo (e.g. VoIP will require investment in ICCS equipment).</p>	C	4		CG	CG	<p>Ensure that a process is established where the full costs of any JVCo initiated change are captured. Determine who will be liable for these costs.</p> <p>August 07: should be covered in legal schedules. Continue to monitor. Who/where is this being picked up? ASC to investigate</p>	April/May 07 ongoing	Closed



ISIS PROGRAMME

STRATEGIC RISK REGISTER

Last Formal Review 03.09.07 (updated 03.09.07)

Comme rc1		Unknown how we will contract with external customers (£6m pa schools, £1m pa others)	There will be no service in place for external customers post contract award, without these revenues the commercial deal may be unworkable	D	2	C2 ↓ D2	CG	CG/SH	Authorities to clarify proposed contracting method and way of operating these services going forward May 07: subject to current detailed negotiation. Suggest risk rating is reduced to C2 August 07: Traded Services Output Specification created as part of legal schedule MSD2 by Emma Kennedy/Shari Hallet/Matt Jones, subject to discussions and agreement with IBM. Continue to monitor but could reduce rating of risk or close as actions are in hand Jan 08: Closed: Traded Services Output Spec in place	04.05.07 ongoing	Closed
Comme rc2	risk added 04.05.07	Legal teams may slip into an adversarial way of working	May not make the 29th June 27th September signature date	C	2	C1 ↓ C2	CG	CG/SH	May 07: current negotiations not unduly adversarial. Suggest risk rating is reduced to C2 July/August: to move on negotiations 3 weeks of "lock-in" arrangements made for 20-22 Aug, 27-29 Aug, 3-7 September, together with personnel from Councils. Continue to monitor but suggest risk is reduced to D post lock in	end Sept 07	Closed
Comme rc3	risk added 03.09.07	Authorities poorly represented during contractual negotiations, negotiations being driven by consultants or advisers	Should any Court action be taken post contract (ie Judicial Review) the Court will want to look at the intent of the parties at the time of negotiation. If Council Officers were not involved during negotiations the Authorities will be at a disadvantage. Consultants and advisers will no longer be on hand and the Authorities will have no recourse.	tba	tba				discussed at risk review 03.09.07. SH has raised this issue with SROs and SCC Monitoring Officer. RK acknowledges concern and advises KPMG are seconded to SCC, acting on their behalf	ongoing	Closed

1. = New items added since last Risk Review *GREEN* text has been added since last review
2. This Register is based fundamentally on risks pre-contract award
3. Cost analysis has not been included in the above record currently as there is no contingency budget available
4. Risk Movement -
↓ = Risk downgraded
↑ = Risk upgraded
↔ = No change

Risk No.	Assessment of Risk @ 12.04.07		Apr-07
	Likelihood	Impact	
F1	B	2	2 B
F2	C	2	2 C
F3			
F4	B	2	2 B

Risk No.	Assessment of Risk		#REF!
	Likelihood	Impact	
PF1			3 C
PF2a	C	3	
PF2b	B	3	
PF8	C	2	2 C
PF3a	C	3	3 C
PF3b	B	2	2 B
PF4	A	2	2 A
PF5			
PF6a	E	2	2 E
PF6b	E	2	2 E
PF7	A	2	2 A
PF9			
PF10	C	3	3 C

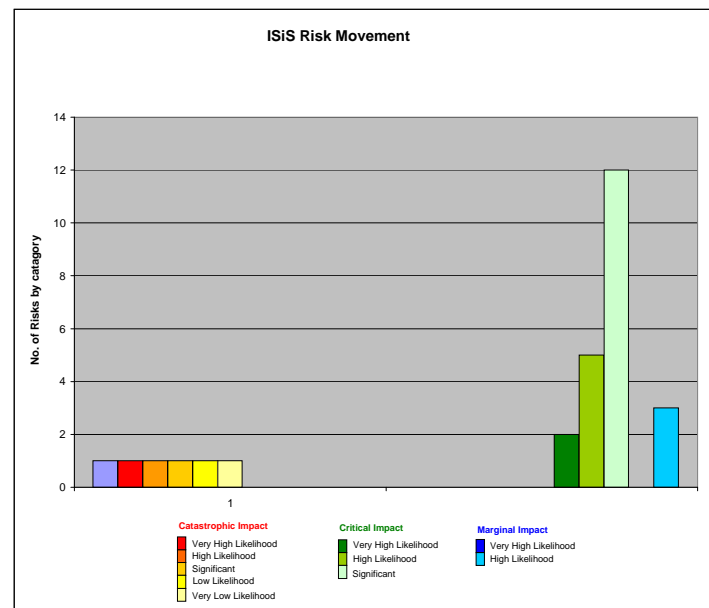
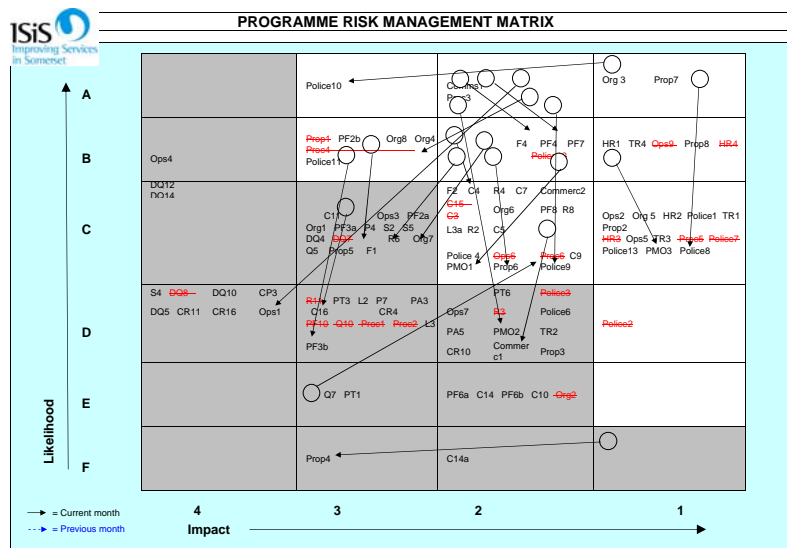
Risk No.	Assessment of Risk		
	Likelihood	Impact	
R1			
R2	D	2	2 D
R3	C	2	2 C
R4	C	2	2 C
R5			
R6	D	3	3 D
R7			
R8	C	2	2 C
R9			
R11	D	3	3 D
R10	C	3	3 C

Risk No.	Assessment of Risk		
	Likelihood	Impact	
C1			
C2			
C3	C	2	2 C
C4	B	2	2 B
C5	C	2	2 C
C6			
C7	C	1	1 C
C8			
C9	C	3	3 C
C10	E	2	
C11	C	3	3 C
C12			
C13			
C14	E	2	2 E
C15	C	2	2 C
C16	C	3	3 C

Risk No.	Assessment of Risk		
	Likelihood	Impact	
PT1	E	3	3 E
PT2			
PT3	D	3	3 D
PT4a			
PT4b			
PT4c			
PT5			
PT6	D	2	2 D

PT7				
Assessment of Risk				
Risk No.	Likelihood	Impact		
Q1			#REF!	
Q2			#REF!	
Q3			#REF!	
Q4				
Q5	B	3	3 B	
Q6				
Q7	E	3	3 E	
Q8				
Q9			#REF!	
Q10	C	3	3 C	
Q11			#REF!	
Assessment of Risk				
Risk No.	Likelihood	Impact		
L1				
L2	D	3	3 D	
L3	C	2	2 C	
L3a	C	2	2 C	
Assessment of Risk				
Risk No.	Likelihood	Impact		
Org1	C	3	3 C	
Org2	C	2	2 C	
Org3	A	1	1 A	
Org4	B	3	3 B	
Org5	C	1	1 C	
Org6	C	2	2 C	
Org7	B	2	2 B	
Org8	B	3	3 B	
Org9				

1A	2
2A	2
3A	2
4A	2
2B	5
2C	12
3A	0
3B	3



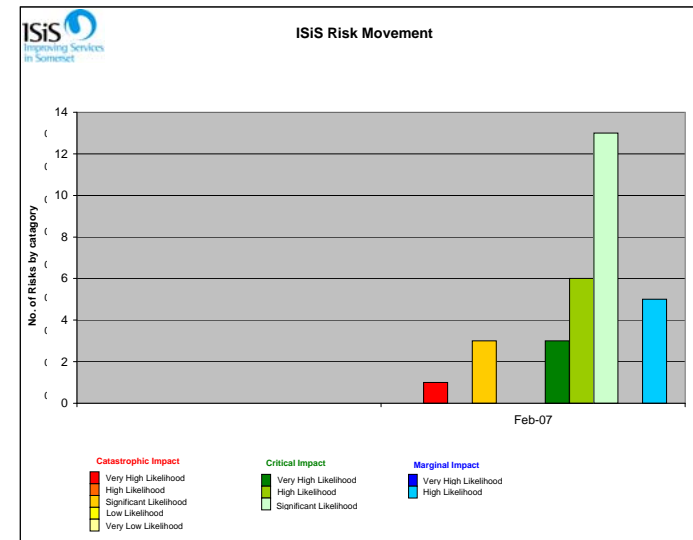
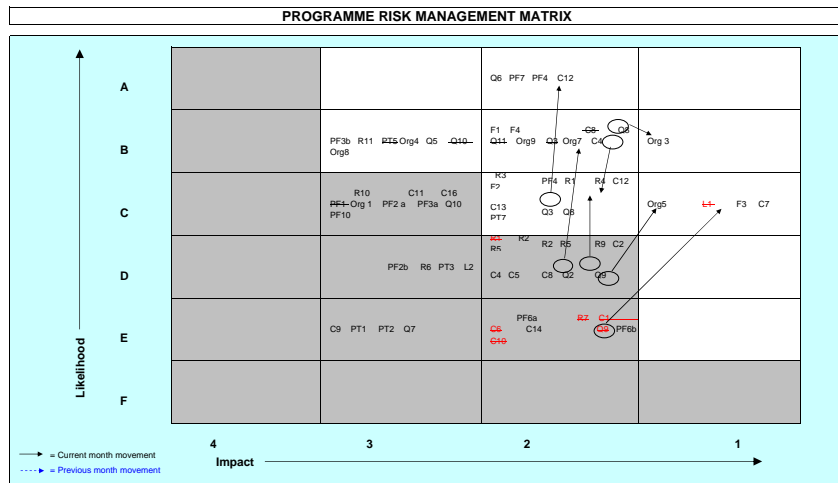
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2D	2C	2C	2C	2C	2C	2C	2C	2C	2C
3B	3B	3B	3B	3B	3B	3B	3B	3B	3B
2A	2A	2A	2A	2A	2A	2A	2A	2A	2D
3E	3E	3E	3E	3E	3E	3E	3E	3E	3E
2B	2B	2B	2B	2B	2B	2B	2B	2B	2B
		3C	3C	3C	3C	3C	3C	3C	3C

3D	3D	3D	3D	3D	3D	3D	3D	3D C2	3D 2C	3D 2C
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[illegible]

TOTALS	April	May	June	July	August	Sept	Oct	Nov	Dec	Jan-07	Feb-07
1A	0	0	0	0	0	0	0	0	0	0	1
1B	0	0	0	0	0	0	0	0	0	1	0
1C	1	1	1	1	1	1	1	1	1	3	3
1D	0	0	0	0	0	0	0	0	0	0	0
1E	0	0	0	0	0	0	0	0	0	0	0
2A	1	3	3	3	3	3	3	3	3	4	3
2B	8	7	7	7	7	7	7	7	7	6	6
2C	6	9	9	9	9	10	10	10	10	13	13
3A	0	0	0	0	0	0	0	0	0	0	0
3B	4	4	4	4	4	5	5	5	5	5	5



ISIS PROGRAMME

Corporate Standards for Risk Management

RISK MATRIX INDICATORS

LIKELIHOOD

- A** Very High
- B** High
- C** Significant
- D** Low
- E** Very low
- F** Almost impossible

IMPACT

- 1** Catastrophic
- 2** Critical
- 3** Marginal
- 4** Negligible

RISK MANAGEMENT MATRIX

