Barnet London Borough Council

21 February 2013

Risk Register

Risk Ref	Business Unit	Rating	Category	Nature of Risk	Risk Description	Control(s) In Place	Cause/consequence
OB0045	One Barnet Programme	12	Project Risk (To be used ONLY in project risk section)	Business Continuity	Stakeholders are not identified, communicated with or engaged effectively	Each project has a communications plan identifying stakeholders and setting out the communication strategy and approach Programme Stakeholder Engagement and Communications Plan Equalities Impact Assessments (Internal and external) completed to understand the impact of all changes Programme level member engagement plan	Cause: Project teams do not carry out effective stakeholder mapping Communications Plans are not comprehensive Stakeholders do not understand the importance and impact of their involvement in projects Consequence: Opportunities may be missed as they are not identified or understood Projects may be delayed if further discussion and engagement with stakeholders is required Incorrect decisions could be made if the views of all relevant stakeholders are not taken into account

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OB0046	One Barnet Programme	8	Project Risk (To be used ONLY in project risk section)	Business Continuity	Projects do not see the inter-dependencies between each other missing potential opportunities and increasing chance of unintentional negative impacts	Identification and documentation of inter-project dependencies through programme Dependency Maps Regular challenge sessions between the programme and individual project managers Regular programme team meetings to share risks, issues and learning Collaborative working between programme and project managers Use of Implementation Partners to provide subject matter expertise Programme Plan linked to individual project plans	Cause: Lack of regular engagement between project managers and sharing of key documents. Project manager focus on project delivery in isolation not as part of a wider programme Consequence: Potential opportunities are not recognised and exploited reducing the potential benefits of projects Projects not recognising where others are developing or delivering something, therefore potentially duplicating/wasting resources Projects could unintentionally negatively impact each other where key dependencies haven't been identified
OB0047	One Barnet Programme	8	Project Risk (To be used ONLY in project risk section)	Staffing & Culture	Lack of adequate resource available to support key elements of project and programme delivery	Project-level resource plans detail the required level of resource, profiled over the expected life of the project. Programme Resource Plan and a Programme Plan linked to the individual project plans to enable identification of potential gaps and pressures on available resource	Cause: Failure to effectively profile available resources across programme Lack of available resource due to problems with recruitment and/or retention of project staff Consequence: Lack of available recource to deliver projects resulting in delays to project delivery Shared resources such as HR and Finance could be unavailable at key points of projects resulting in delays to project delivery

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OB0048	One Barnet Programme	8	Project Risk (To be used ONLY in project risk section)	Reputational	Design and implementation of new forms of service delivery fails to meet organisational and customer needs	Use of output specifications to fully define requirements developed by service experts Flexibility built into contracts to allow changes and development Learning to be taken from other councils / private sector partners who have gone through similar changes Use of Implementation Partners to support programme and projects Effective stakeholder management to ensure that all requirements are fully understood and captured	Cause: Failure to properly understand requirements Failure to robustly document and contractualise requirements with new suppliers Consequence: Fundamental failure to deliver services Additional expense of corrective measures Pace of improvement in council performance may be slowed Reputational impact of not delivering stated outcomes Impact on business continuity
OB0049	One Barnet Programme	8	Project Risk (To be used ONLY in project risk section)	Reputational	Inadequate programme and project governance and management leads to failure of part or all of the programme	Project Management Toolkit and One Barnet Programme Mechanics documents clearly set out the expected governance and management arrangements for all projects Independent gateway reviews carried out at key milestones of projects Programme and Project Governance Regular reviews conducted by internal and external audit Reporting and escalation process clearly set out linking projects governance to programme board	Cause: Failure to follow established policies and procedures Failure to effectively manage project and programme teams Consequence: Failure to deliver projects and programme to time, budget and quality criteria

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OB0050	One Barnet Programme	8	Project Risk (To be used ONLY in project risk section)	Business Continuity	There is a risk that the NSCSO and DRS contracts developed through competitive dialogue will not capture and appropriately define the mutual interdependencies	Interdependency management processes through One Barnet Programme Design Authority approach ensuring interdependencies are identified and managed Interface agreements written and discussed in dialogue with all four DRS/NSCSO bidders	Cause: Two parallel competitive dialogue processes potentially diverging in their solutions Gaps in specification as requirements evolve through dialogue Potentially inconsistent assumptions Lack of co-ordination between project teams Consequence: Council potentially unable to deliver its aspirations, for example around customer services Potential increased costs in one or other contract as additional, non-dialogued changes are identified
OB0051	One Barnet Programme	12	Project Risk (To be used ONLY in project risk section)	Business Continuity	As DRS and NSCSO projects move towards finalisation there are risks around selection of the provider and the mobilisation period with potential for delay and business continuity over that time	Selection panels in place for the assessment of final bids. Training and development for panel members to ensure process is adhered to. Transition plan in place to move to new provider through senior management restructure process. Transition Board in place monitoring delivery of plans, escalating issues as appropriate.	Cause: The stage in the procurement process requires capacity and leadership to ensure smooth transition Consequence: Business as usual may suffer or delays occur if the process is not controlled well over the selection and mobilisation process

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OB0052	One Barnet Programme	9	Project Risk (To be used ONLY in project risk section)	Information Governance	Failures in the flow of information impacts service delivery	All relevant projects to carry out Data Flow Analysis which will help capture key information required for contractual arrangements and/or information sharing arrangements	Cause: The flow of information between internal LBB services has historically been implicit and needs to be explicitly understood and captured as appropriate in contractual arrangements and/or information sharing arrangements Project managers need to scope and plan for information elements and engage with wider programme and manage interdependencies Consequence: There is a risk that information flows between LBB services and other bodies responsible for delivery of Barnet services are not well understood; lack of understanding could potentially impact service delivery
OB0053	One Barnet Programme	3	Project Risk (To be used ONLY in project risk section)	Financial	Programme Management Office budget proves to be inadequate or is overspent	Regular monitoring and challenge session with Finance team Current budget is fully costed against programme staffing structure Current budget includes contingency amount to account for any unforeseeable costs	Cause: Unforeseeable requirements causing unplanned expenditure Inadequate monitoring and management of budget Consequence: Failure to deliver part or all of the project Additional draw-down on reserves

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OB0054	One Barnet Programme	8	Project Risk (To be used ONLY in project risk section)	Reputational	Commercially sensitive and/or confidential information is released either deliberately or inadvertently to the public domain	All staff working directly on the One Barnet Programme and within the wider Corporate Programmes Team have signed confidentiality and non-disclosure agreements in addition to normal terms of employment Full review of electronic information management systems access structures has been undertaken to ensure that security measures are reflected in electronic systems	Cause: Inadequate security at the council and failure of staff to follow information management and security procedures Consequence: Legal challenge and the failure of one or more of the procurements Unable to take disciplinary/legal action against parties responsible for confidential information reaching the public domain or otherwise managing data improperly
OB0055	One Barnet Programme	4	Project Risk (To be used ONLY in project risk section)	Reputational	Project and programme officers may use their position to influence outcome of procurements for personal gain	Council officers involved in the procurement process are required to declare conflicts of interests and sign Conflict of Interest declarations prior to involvement in projects involving procurement All council staff are required to complete Corporate Anti-Fraud Training to identify the signs of fraud within and outside of the organisation The council's Corporate Anti-Fraud Team are in place to investigate potential cases of fraud	Cause: Officers involved in the procurement of suppliers will be in a position where they can influence the outcome of the procurement exercise for their personal gain Consequence: The Council could award contracts which may not be the most appropriate or value for money choice The Council could be challenged for awarding contracts following a flawed procurement process This would cause a negative reputational impact for the Council

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OB0056	One Barnet Programme	6	Project Risk (To be used ONLY in project risk section)	Information Governance	Challenge from ICO on process that the council is following to transfer data to new service providers	An information governance work stream has been defined to assure a compliant transfer. Information audits are being carried out to capture information types, lifecycle management and prepare/facilitate cleansing exercise Resources are being agreed to manage the process, support services through the cleansing exercise and transfer An on going process for the management of data post transfer is being defined	Cause: Underdeveloped information management practice in services and lack of time allocated to remediate information Consequence: Could lead to intervention by the ICO in the form of a fine and/or the stoppage of the data transfer process which would in turn impact the delivery of services.

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OB0057	One Barnet Programme	8	Project Risk (To be used ONLY in project risk section)	Reputational	There is a risk that the expected benefits of the One Barnet Programme will not be realised	One Barnet Benefits Realisation Strategy in place to ensure all benefits are identified in the initial stages of projects, developed and expanded through project lifecycles and then handed over to responsible owners with clear plans to ensure the actual benefits are realised and tracked Programme and project governance processes in place to ensure robust scrutiny of benefits at all stages of the project lifecycle	Cause: Assumptions around benefits in the original One Barnet Framework were invalid Delays in projects leading to delays in benefits realisation Unforeseeable external factors such as legislative changes Inadequate programme and project controls around the definition and delivery of benefits Delays in individual projects Consequence: Medium Term Financial Strategy requirements to be implemented through the One Barnet Programme may not be delivered Expected gross financial savings may not be delivered Pace of improvement in council performance may be slowed Reputational impact of not delivering stated outcomes Possible impact on business continuity