

ISC10D004

Title: Risk Registers
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Agenda: ISC10A001
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Risks associated with the overall ISD Programme of Work 2010/11

Methodology

Risks relating to projects and the overall programme are categorised by the likelihood and potential impact. The overall severity of the risk is summarised as per the matrix below:

| | | | | |
|------------|--------|------------|--------|----------|
| Likelihood | High | Medium | High | Critical |
| | Medium | Low | Medium | High |
| | Low | Negligible | Low | Medium |
| | | Low | Medium | High |
| | Impact | | | |

An exercise with ISD Heads of service was undertaken in tandem with developing the programme of work to identify overall risks associated with the programme, this set of risks will be considered by ISSC when it meets in November.

Project risks have been identified by the project teams- and in the majority of cases have already been considered by relevant project boards whose role it is to oversee the management of the risks.

Programme level risks 2010/11

| Category | Risk | Risk reduction strategy/contingency | Likelihood | Impact | Overall risk assessment |
|---------------------------------------|--|--|------------|--------|-------------------------|
| Communication | <p>It may not be possible to implement security improvements or changes to reduce cost without impacting the way that people work. This may cause frustration and lack of buy-in and support for projects causing delays or project failure.</p> <p>Key projects at risk are the Security Project, Records Management policy development and IT Integration.</p> | <p>Ensure a consistent message about why changes are being made is communicated. Need for ET level buy in and support for difficult decisions.</p> | H | H | C |
| Budget | <p>Insufficient budget for IT security project. The Security Project currently has a budget shortfall of £650K and a request for additional funding may be required.</p> | <p>Further work is required to develop the profile for this spend and negotiation is underway to further refocus the ISD capital investment plan. Ultimately additional funding may be required.</p> | M | H | H |
| External to programme, but within UEA | <p>Industrial action</p> | <p>Ensure that priority services are identified and well documented to allow support to continue. Use priorities in the POW to determine focus.</p> | M | H | H |
| External to UEA | <p>Library resources could decline dramatically if the current big deals fall through.</p> | <p>ISD and UEA lobbying via JISC collections. Consideration of shared services option appraisals.</p> | M | H | H |
| Budget | <p>Higher than normal journal inflation and exchange rate fluctuations impact the budget available for journals and we may have to withdraw some journals which would impact on research and teaching. There is little scope for further cuts in journals and e-resources without</p> | <p>Further journals review in consultation with schools and faculties from January 2011. Gathering and analysis of management information to inform decision-making and minimise impact.</p> | M | H | H |

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|---------------|--|---|------------|--------|-------------------------|
| | impacting directly on research and teaching and learning. In particular, titles from smaller publishers will be at risk, followed by bibliographic databases and possibly even big deals. | | | | |
| Budget | As part of considering cost saving the option of extending the lifetime of equipment needs to be considered, this may lead to increased risk of equipment failure or increase the overhead for support. | Work will be undertaken to extend the lifetime of equipment by reducing the time to deploy and by considering extending lifetime beyond the current 5 years, this will be restricted to non critical areas. | M | M | M |
| Budget | The impact of the comprehensive spending review is unknown and may result in a need to stop development activity in some areas. ISD is currently not well placed to decide which service can be stopped. | ISD needs improved management information about the services it provides in order to aid fleet decision making. This includes a better understanding of the costs of services provided, their utilisation and the priority that the University places on the services. ISD is progressing work on the development of its service catalogue and service costing model. Scenario planning rather than just reacting, leaving space to be flexible when need to react. | L | H | M |
| Communication | Communication by the IT helpdesk flagged as an issue in the NSS survey, customer dissatisfaction may increase and impact on perceived quality of other services. | Customer care training for all front line staff to be arranged. Structure for helpdesk to be reviewed. ITIL processes to be implemented | M | M | M |
| Communication | Lack of join-up between ISD teams and projects. | ISD management team and ISD Heads regularly review programme of work. Regular reporting on progress via the ISSC, ICTF, | L | H | M |

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| | | LLRF, ISD Education Board, ISD Research Board and Project Boards as appropriate. | | | |
| External to programme, but within UEA | The requirement to reduce costs may lead to silo based decision making outside of ISD that could impact the overall plan. In particular assumption may be made about efficiencies that can be achieved with the introduction of IT systems that are not reflected in the plan. | Appropriate consultation and communication process in place. ISD should have representatives on high level boards including the Administrative Integration project board. | M | M | M |
| External to programme, but within UEA | Changes in the external environment may mean that the Corporate Plan will need to be revised and the ISD POW will no longer be relevant. | Ensure that ISD staff understand the changes in the external environment and are able to plan for future changes. | L | H | M |
| Plan | The Programme of Work (POW) does not support the needs of the University community. In developing the annual POW we reference the ISD Strategy 2008/13 which is closely aligned with the Corporate Plan. There is a risk that the Faculty and Divisional Strategies are being developed and renewed and that there is a shift away from the original emphasis in the Corporate Plan. | In developing the POW we undertake quite wide consultation (attending Faculty Exec meetings, ICT forum, Library forum, ISD Research Board and ISD Education Board) to ensure that the ISD POW is aligned with work in other parts of the University | L | H | M |
| Quality | Unclear specifications for development | All new development projects include consideration of communication and consultation exercises | L | H | M |
| Reputation | Recurrence of CRU-style attack. | Immediate high priority security improvements have been put in place. Continue to work with Faculty teams to move systems to central provision with appropriate. Implementation of the Security Project. Revision of FOI Policies, development of | L | H | M |

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| | | separate EIR policy and EIR training course. | | | |
| Resources | Recruitment freeze | Ensure that impact of failure to release posts is clearly and honestly articulated. Reprioritise POW. | M | M | M |
| Resources | Our staff are operating in highly uncertain times and this may lead to a higher than normal turnover of staff / increased sickness. | Ensure that appropriate staff support structures are in place. Try to reduce uncertainty by ensuring that staff have regular communication about key issues. Ensure that all service documentation is up to date so that support can be picked up by other staff. | M | M | M |
| Scope | Wide reaching nature of the IT security project has unforeseen consequences. | Ensure project communication plan is in place and followed. Consider scenario plans for major changes. | L | H | M |
| External to programme, but within UEA | There are 3 building projects taking place in ITCS building and these may impact service delivery. | The ICT Systems Director will work closely with Estates and agree the building development plan. | L | M | L |
| Budget | Any mid-year (2010/11) reduction in acquisitions budget would lead to a significant decline in money available for books (journals already committed for 2010/11). | Community alerted. Faculty Librarians contain book spend and prioritise. | L | M | L |
| External to programme, but within UEA | Room moves associated with the Administrative Integration Project may not be flagged early enough and key work over the summer will suffer. | Ensure that time is retained over the summer in teams that support room moves. Provide early indication of planned moves if possible. Focus roll out of VOIP phones to areas that are likely to be impacted. | L | M | L |

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| External to programme, but within UEA | The Administrative Integration Project will change the way that services are delivered and structured. The current POW is predicated largely on how the University currently operates. Decisions may be made within development projects that may not be valid in the new structure and there is a risk that time and money will be wasted | Ensure high level ISD representation the Administrative Integration project boards. Ensure that effective local liaison takes place. | L | M | L |
| External to programme, but within UEA | The IT Integration Project will change the way that IT support is delivered: the current ISD POW is predicated on current modes of operation which may not work in the new structures. | New structures will not be implemented until August 2011, overall responsibility within ISD for the structure and content of the POW rest with the Director of Information Services who is also leading the IT Integration Work. Ensure that the ISD management team and Heads of Service are briefed on development from the IT Integration Project as soon as possible and include a midyear review of the POW. | L | M | L |
| External to UEA | Environmental issues (e.g. power failures, floods, weather) | Ensure that appropriated DR and BC plans are in place and aligned with wider University plans. | L | M | L |
| External to UEA | Volatility in the supplier market - mergers, bankruptcy, etc | Continue to ensure that adherence to standards for third party suppliers is maintained. Review contractual arrangements for major suppliers. | L | M | L |
| External to UEA | The comprehensive spending review coupled with the outcome of the Browne review will most likely see a shift in HE funding with less money coming from funding councils and more coming directly from students. | Ensure close engagement with the Student Union and seek their involvement in major ISD projects and development activities. Maintain close monitoring of output from NSS | L | M | L |

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| | The expectation of students coming to University will increase and ISD services may not be able to meet them and the POW will need to be changed this year. | Attendance at student experience committee. | | | |
| External to UEA | The comprehensive spending review coupled with the outcome of the Browne review will most likely see a shift in HE funding with less money coming from funding councils and more coming directly from students. The power of funding councils will reduce and cross sector collaboration project may well be withdrawn or cease. | Continue to build strategic partnerships with other HEIs and suppliers Try to leverage greater value from existing partnerships | L | M | L |
| External to UEA | Rapidly changing technology and new developments may leave UEA following an incorrect development path with a need to switch direction. | Heads of Service are responsible for monitoring external developments in their area. Senior management in the division attend relevant conferences, including engagement with JISC, UCISA and SCOUNL. | L | M | L |
| Plan | The plan may be overly ambitious or unplanned work of a higher priority may divert resources | All items in the plan are prioritised with the agreement of ISSC. ISD will concentrate on priority areas of work and seek agreement to defer lower priority areas of work if necessary. | L | M | L |
| Quality | Ongoing service suffers from focus on development projects | Service development and service monitoring is undertaken through service team plans. These are reviewed on a monthly basis by Heads of Service with relevant members from the ISD management team. Issues are escalated to ISDMT. | L | M | L |
| Resources | Growth in demand for services within context of declining resource, (as a result of other departments cutting investment) | Clear Service Level Definitions to set expectation need to be developed. | L | M | L |

| Category | Risk | Risk reduction strategy/contingency | Likelihood | Impact | Overall risk assessment |
|-----------|--------------------|---|------------|--------|-------------------------|
| Resources | Long term sickness | Ensure that priority services are identified and well documented to allow support to continue. Use priorities in the POW to determine focus of work should the POW need to be revised. Use of consultancy if required. | M | L | L |