

Dandelion Program Risk and Issue Management Plan

Version 1.0





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1. Terms and definitions

Term/acronym	Definition
DXC	DXC Technology



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2. Introduction

2.1 Purpose

The purpose of this Risk and Issue Management Plan (RIMP) details the responsibilities and methodology for managing of risks and issues associated with the Dandelion Program on client sites.

The Dandelion Program approach to risk management, as reflected in this RIMP, is based on the Australian and New Zealand Standard on Risk Management AS/NZS ISO 31000:2009.

This risk and issue management plan forms an umbrella under which risk to the project is managed. It performs the following major functions:

- Identifies the context of the Dandelion Program's objectives from a risk management perspective;
- Defines the organisational responsibilities for project management;
- Describes the timing of activities and interfaces to other management and control processes;
- Defines the methodology associated with risk management and reporting; and
- Provides details of the templates and processes to be used for risk management activities.

2.2 Key Concepts

A risk is the chance of something happening that will have an impact on objectives. In this document, the focus is on risks with negative impacts (i.e. threats) and not risks with positive impacts (i.e. opportunities). If a risk is identified, depending on the likelihood and consequence of this risk, mitigation may need to be implemented to guard against the risk eventuating or to limit the damage in the event the risk does eventuate and become an issue. The mitigation is called control or treatment.

The likelihood and consequence provide an assessment of how likely the risk will eventuate and what the impact will be if it happens. This forms the basis to determine the overall rating of a risk. The definitions of consequence, likelihood and control effectiveness criteria described in the Risk Assessment section of this plan.

Setting the context helps focus discussions and thoughts during risk identification, considerations of the tactical project level are found below:

- Strategy (e.g. project management and delivery methodology);
- Scope;
- Quality;
- Budget/cost;
- Timeframe;
- Resources;
- Stakeholder relationships; and
- Interdependencies.

An issue is an uncertain event or set of circumstances that has occurred which will have an effect on the achievement of the projects objectives and required management action. It could be a problem, query, concern, change request or a risk that has occurred.



2.3 Dandelion Program Risk Management Framework

The Dandelion Program RIMP forms part of any broader Client Internal Risk Management Framework. This RIMP provides responsibilities and processes to effect risk management in practice for specific roles specific to the Dandelion Program. These documents should be read together with existing Client risk management documentation, and where conflict or ambiguity occurs in an interpretation between two documents, the higher document prevails.

3. Risk Management Approach

Risk management involves identifying, assessing, treating, and monitoring risks that may have an effect on the project objectives. It includes the process of managing risks in a controlled and iterative manner, identifies the roles and responsibilities of the team members associated to the risks, and the methods to capture each risk.

Risks have been considered in a variety of areas. The following list outlines those related to this project:

- benefits, project (scope, objectives) and stakeholders (internal and external);
- commercial, communications and change;
- compliance, reputation and political;
- security and technology (ensuring that a robust solution is being developed); and
- defining resourcing and requirements

In order to properly identify, assess, evaluate and monitor each risk a process will be used which is detailed in the following sections.

3.1 Risk Identification

Risk identification involves understanding what factors could prevent the project from achieving its objectives. This includes identifying events that could occur that may prevent, degrade, delay, create, enhance or accelerate the achievement of the project objectives (i.e. risks).

Tools and techniques that the project will use to identify risks include:

- Brainstorming in the form of a group workshop with key stakeholders;
- “Lessons learned” and other documents from previous projects;
- Subject Matter Expert (SME) involvement;
- Use of checklists;
- SWOT analyse;
- Assumption analysis;
- Documentation review; and
- Individual interviews.

3.2 Risk Assessment

Risk assessment involves understanding the nature of the identified risk and its level and magnitude. This assists in informing decisions about whether risks need to be treated or monitored, and the types of treatment plans or strategies required. Each risk is analysed by determining the effectiveness of existing controls that could reduce and manage the identified risk, the consequences of the risk and the likelihood of the consequence occurring. This will give a current risk rating which can be used in the evaluation process.



The following table shows the measures of likelihood that are being used for the Dandelion Program implementation with the client, and the results from this table will be entered into the relevant section within the Risk Register.

Likelihood Rating	Description	Likelihood Description
5	Almost Certain	The risk event is highly likely to occur and/or is expected to occur frequently.
4	Likely	The risk event will probably occur and/or is not expected to occur frequently, rather from time to time.
3	Possible	The risk event may occur occasionally and/or is not expected to occur frequently, rather at some time.
2	Unlikely	The risk event is not expected to occur. It is not likely to occur under normal operating conditions, but could occur as a result of unusual circumstances.
1	Rare	The risk event is very unlikely to occur except under exceptional circumstances.

The risk manager, in consultation with stakeholders, will:

- Consider examples of impacts should each event occur; and
- Determine the event's equivalent level of impact based on the table below.

The results from this table are to be entered into the relevant section within the Risk Register.

Consequence Rating	Description	Consequence Description
5	Severe	Potentially catastrophic consequences on business or significant material adverse impact on a key area.
4	Major	Critical event that can be endured with proper management.
3	Moderate	Likely to cause significant disruption but can be managed under normal circumstances.
2	Minor	Event likely to cause consequences that requires management to minimise effect and can be absorbed.
1	Insignificant	Minor localised disruption that can be handled by existing controls and procedures.



Using the consequence and likelihood rating an overall risk rating can be assigned to each risk. The following matrix contains the likelihood ratings and consequence ratings that align to set the risk rating.

		Consequence				
		Insignificant	Minor	Moderate	Major	Severe
Likelihood	Almost Certain	Medium	High	High	Extreme	Extreme
	Likely	Medium	Medium	High	High	Extreme
	Possible	Low	Medium	Medium	High	Extreme
	Unlikely	Low	Medium	Medium	Medium	High
	Rare	Low	Low	Medium	Medium	High

Risk Level	Risk Acceptability	Risk Description
Extreme	Immediate response needed and detailed action/plan required.	Requires ongoing Strategic-level oversight. The level of risk warrants that all possible mitigation measures be analysed in order to bring about a reduction in exposure. Countermeasures should be allocated priority scheduling and funding.
High	Requires senior management attention.	Action plans and resources are required. The level of risk is likely to endanger a significant amount of the Project capability and/or funding and should be reduced through mitigation strategies where possible.
Medium	Determine if existing controls are adequate and specify management responsibility.	Prioritisation required. This level of risk should not automatically be accepted for active mitigation; however the allocation of priority and funding for the implementation of additional countermeasures may be determined on a cost-benefit basis.

As part of working group meetings the risk manager will raise risks and issues to determine which risks and issues need to be prioritised and if the appropriate treatment/mitigation plans are used.

3.3 Risk Treatment

Risk treatment involves comparing the outcomes of the risk analysis (i.e. rated risks) to identify and develop options to either enhance or reduce the level of risks identified. Risks identified and assessed as above tolerance thresholds require an accompanying risk treatment plan, which is routinely monitored and updated. The client may consider risks rated as ‘high’ or extreme’ to be risks that are above its tolerance levels. The following treatment options have been considered:

- **Risk avoidance:** involves deciding to stop either the project or the activity, or selecting an alternative activity.
- **Risk reduction:** involves aiming to reduce either the likelihood of the risk occurring or the impact of the consequence by applying treatment actions.



- Risk sharing: involves sharing the risk with a third party either through the use of contractors or an outsourcing arrangement. However, risk sharing creates a new risk and that is the failure for the responsible party to manage the risk appropriately.
- Risk acceptance: involves retaining the risk through an informed decision and developing a contingency to deal with the consequences should the risk materialise.
- Risk increase: involves increasing the risk exposure to pursue an opportunity to either deliver a project below budget or in advance of schedule.

Subsequent to a treatment being identified, risks will be further analysed to assess the impact of the proposed treatment option on the risk rating. An assessment of the potential effectiveness of the treatment action and target risk rating will be established.

3.4 Monitor and Review

Risk monitoring and review activities will be undertaken on a regular basis to manage any unplanned changes to the project operational context and to reflect any changes to the effectiveness of controls and the impact of current treatment actions, this will be captured in the Risk and Issue Register.

4. Issue Management Activities

The issue management process is event driven. Issue management is only performed as required and the process is only initiated once an issue has been identified or when a risk has been realised.

4.1 Capture

Issues are raised to the Risk Manager either via email or at working group meetings. The Risk Manager will capture the issues in the Issue Register.

4.2 Assessment and Proposal

The Risk Manager will work with the issue owner to determine the consequences to understand the impact on the project and possible strategies to resolve the issue. This allows staff to make an assessment as to whether it requires immediate attention and escalation through the exception reporting process.

Consequence assessments include the following areas for consideration:

- Impact on customer, supplier, and business;
- Impact on project objectives and
- Impact on dependant project or projects.

4.3 Implementation

Based on the action identified in the previous stage, the issue will either be treated or monitored. The Risk Manager will assign responsibility to the issue owner who will take responsibility to implement the treatment action. If the issue owner is outside the project, then the Risk Manager will ensure that the progress of the treatment is regularly monitored.

The Risk Manager will update the issue register with details of the treatment action and monitor progress. The Risk Manager will work with the DXC Project Manager to update the lessons learned log for issues considered to be significant (high and extreme rated issues)



5. Risk and Issue Management Roles and Responsibilities

The following is a **Responsible, Accountable, Consulted and Informed (RACI)** matrix which outlines roles and responsibilities for risk and issues management on this program/project:

Project Risk and Issue Management	Project Manager	Program Manager or Program Director	DXC Project Manager	Working Group	Steering Committee	Project Team Members
Develop and maintain RIMP and Risk and Issue Register	R	A	C	C	I	I
Report and escalate risks and issues	R	A	R	C	I	R
Identify risks and issues	R	A	R	R	R	R
Assess, review and evaluate risks and issues	R	A	R	R	I	C



Appendix 1: Example Risk and Issue Treatment Plans

Risk and Issue Management Treatment Plan							
Risk ID	R001						
Risk Title	Role definitions and skill set undefined						
Risk Description	Currently there is no clear definition of the roles to be undertaken or the skills required for the Program as the specific area of work is new for the AS community. Therefore potential candidates could be recruited with the wrong skills and there could be delays in the recruitment and assessment process.						
WBS (Work Breakdown Structure)	TBA						
Rating	Consequence		Likelihood		Risk rating		
	Major		Possible		High		
Current Controls	No existing controls are in place						
Overall control effectiveness	Partially Effective						
Treatments							
Treatment ID	Treatment Actions recommended	Responsibility	Resources required	Timing	Risk associated with implementation	Reporting	References
1	During Program Initiation, the Client and DXC will validate assumptions and scope.	Role Operations Manager	DXC Project Manager and Client Project Manager	The treatment will be incorporated into the Program Schedule. It is estimated to take 1 week.	By implementing this treatment, the overall Program success will be higher, therefore this risk will be lower	Updates provided in weekly Program Status Report	DXC Statement of Work
2	DXC to work with the Client to define the right skill set and roles for the new model.	DXC Role Manager	DXC Project Manager and Client Project Manager	The treatment will add three weeks to the Program delivery.	The Program will not be able to select the appropriate candidates to fulfil the roles.	Updates provided in weekly Program Status Report	DXC Statement of Work