

STUDENT INFORMATION SYSTEM PROJECT RISK LOG

Owner: SIS Project Board

Title: SIS RISK LOG 2010 05 20

Version: 1

Date: 20 May 2010

Risk Assessment

Reference: SISRR/2010/05/20

Student Information System Project

Project

Title:



Urgent SISPB Action:



SISPB Attention:



No Action:

RISK SUMMARY

RISK #	RISK	Risk Probability: High=5 to Low=1	Impact: High=5 to Low=1	Risk Score = Probability X Impact	Change in Category	STATUS	SISPB Agree (Date)
1.	Project Governance.	2	3	6		G	
2.	College engagement	3	3	9		A	
3.	Decision making	3	4	12		A	
4.	Tribal resource availability	2	2	4		G	
5.	Duplicate system processing	3	3	9		A	
6.	Student portal	2	3	6		G	
7.	Benefits realisation	2	2	4		A	
8.	Staff training	4	4	16		R	
9.	Staff involvement in the implementation	2	5	10		A	
10.	Expectations of functional improvements	3	2	6		A	
11.	UAT planning	3	4	12		R	
12.	Failure to define suitable business process	4	3	12		A	
13.	<i>Continuing use of departmental systems</i>	4	3	12			
14.	Requirements analysis	3	3	9		A	
15.	<i>Business Process Ownership/Resource</i>	4	5	0		See log	
16.	Scope	3	3	9		A	
17.	New External Requirements	3	3	9		G	

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18.	E:Vision performance	3	5	15		A	
19.	Academic Model – SMD PGTs	4	5	20		R	
20.	Special Regulations	4	5	20		R	
21.	Adherence to College Deadlines	4	4	16		A	
22.	PBI	4	5	20		R	

Risk ID	Current Risk and Status	Risk Score (1 to 5)	Impact: High=5 Med=3 Low=1	Risk Management Approach/ Mitigating Actions	Owner	Cost of Resolution	Early Warning Signs
1.	<p>Project Governance </p> <p>There is a risk that the Governance of the project does not provide adequate control.</p> <p>Cause A lack of appropriate and timely information from the SISPM</p> <p>Result The SISPB is unaware about key project issues and risks.</p>	2	3	<p>SISPM to provide the following 5 days before each SISPB meeting:</p> <ul style="list-style-type: none"> Project Plan Risk Register Monthly Highlight Report Budget Statement PID (updated sections marked) <p>SISPB members to read the reports before the SISPB meeting.</p>	SISPM		<p>The SISPB unsure about the scope and progress of the project</p> <p>SISPB unable to make decisions</p>

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2.	<p>College Engagement </p> <p>There is a risk that the College remains uninformed about the progress of the SIS Project</p> <p>Cause</p> <p>A failure of communication by the SISPM</p> <p>A lack of an agreed Communications Strategy</p> <p>Result</p> <p>Academic and administrative departments are “in the dark” and therefore unable to plan ahead with regard to their own plans and allocation of resources.</p>	3	3	<p>Communications Strategy to be written and agreed with the SISPB</p> <p>Circulation of monthly Highlight Report at committees and working groups</p> <p>Presentations from the SIS PM at forums and working groups</p> <p>Use of College’s e-bulletin</p> <p>Re-vamp the SIS website and publish the link to the College</p> <p>UPDATE 22/4 – 20/5 2010</p> <p>A number of communications to staff via the e-bulletin and Bulletin as well as publications sent to students have been done.</p> <p>The SIS website will be developed in line with all other comms.</p> <p>Further publications is planned for May and June.</p>	SISPM		Key College committees are unaware about the scope and progress of the Project
3.	<p>Decision Making </p> <p>There is a risk that key decisions that will be required of senior management will not be made in a</p>	3	4	<p>Timely and relevant information to be provided by the SISPM to Senior Management with:</p> <p>Issue</p>	SISPM		SISPT remain unclear as to what is expected of them.

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	<p>timely and appropriate manner</p> <p>Cause</p> <p>Conflict arising from other pressures and priorities. Staff involved in the decision making process lack the knowledge to make the decision</p> <p>Result</p> <p>Delays in implementation.</p> <p>A poor implementation resulting in re-work and possible difficulties in using SITS for depts.</p>			<p>Impact and Options</p> <p>Resolution Date</p> <p>Cost</p> <p>UPDATE 22/4 – 20/5 2010</p> <p>Outstanding decision on:</p> <p>ELQ rates and the SMD Institutes</p> <p>Chairs action on module approvals</p> <p>SCBS flag for Opt Out of Wed pm spots sessions and use for timetabling purposes. Conflicts with College policy? Very messy from a SITS perspective. What if a student changes their mind?</p>			
4.	<p>Tribal Resource Availability G</p> <p>There is a risk that Tribal are unable to meet the requirements for consultancy at critical times in the project.</p> <p>Cause</p> <p>Lack of planning ahead by the SISPM</p> <p>Tribal resources overstretched and unable to meet the College's needs</p>	2	2	<p>Planning and booking of Tribal consultants.</p> <p>UPDATE 22/4 – 20/5 201</p> <p>Nothing to report.</p>	SISPM		Difficulty in getting key consultants

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	<p>Result</p> <p>College might miss out on best use of SITS.</p> <p>There is a risk that the project will not deliver the expected improvements in functionality at the College.</p>						
5.	<p>Duplicate Processing </p> <p>There is a risk that the College is indecisive with the management of departments who insist in maintaining a local variant of a SITS function/process.</p> <p>Cause</p> <p>Existing operational system with functionality that is also in SITS.</p> <p>Result</p> <p>Functionality replicated in two systems with possible duplication and conflicting data.</p> <p>Business processes could become overly complicated</p> <p>Unnecessary interfaces and/or data transfers.</p>	3	3	<p>College management need to communicate that SITS is the primary and authoritative source of Student Record data, used for all external returns.</p> <p>Corporate processes such as Admissions, Enrolment, Registration, etc will be provided by SITS to the departments and it is expected that they will use SITS.</p> <p>However, many departments will continue to use their systems for processes not covered by SITS and specific to a department.</p> <p>A data feed to these departments will be set up so that they can continue to use their systems. This will be along the lines of EWS for the current SRS.</p>	SISPM		<p>Management Information being produced which does not tally with SITS MI.</p> <p>Requests for SITS data from depts will need to be challenged as to reason for the requirement. These will generally be in addition to the data extract service the SIS Project is offering depts.. .</p>

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				Oakleigh Consultancy has reviewed departmental IT to highlight possible areas of duplicate processing. UPDATE 22/4 – 20/5 201 1 comment back from SISPB regarding Oakleigh Report. Meetings have been held with a number of key Academic IT depts. Running sophisticated systems. There are no issues with regard to SITS being the central core system for Student records. Depts require data feeds from SITS to ensure continuity of non SITS functionality. J O’Meara has sent SEMS and EECS a “proto” version of the data feed for comment and analysis.			
6.	Student Portal Ⓞ There is a risk that the College will not be able to provide a Portal to students due to a lack of direction and/or agreement of content.	2	3	Corporate Affairs have set up a working group to look into the provision of a student portal (Chair, N Relph) “Towards a Student Portal”	SISPM		No working group set up to co-ordinate College requirements.

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	<p>Cause</p> <p>Portal owners not providing SISPT with requirements in a timely manner.</p> <p>Result</p> <p>Students do not get a portal with all information they require – a major objective of the SIS Project.</p> <p>Possible ramifications on the NSS.</p>			<p>Within SITS, the SISPT will provide a portal for SITS functionality as part of the deliverable.</p> <p>UPDATE 22/4 – 20/5 201</p> <p>Nothing to report.</p>			
7.	<p>Benefits Realisation </p> <p>There is a risk that the SIS Project does not realise its benefits</p> <p>Cause</p> <p>No pre-defined Business Benefits Plan and therefore no metrics to judge its success.</p> <p>Result</p> <p>Unable to judge whether the SIS Project is a success or otherwise.</p>	2	2	<p>A Benefits Management Plan to be written and approved by the SISPB and PSG.</p> <p>BMP to be reviewed at every other SISPB meeting</p> <p>UPDATE 22/4 – 20/5 201</p> <p>No action</p>	SISPB		No one knows what the benefits are.

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8.	<p>Staff Training Ⓡ</p> <p>There is a risk that staff will not be adequately trained in the use of SITS.</p> <p>Cause</p> <p>Staff not provided with adequate training</p> <p>Staff unable to agree to training sessions</p> <p>Result</p> <p>Low morale of staff using SITS</p> <p>Inability of staff to use SITS to its fullest capabilities</p> <p>Lengthy and time consuming exercise to re-train staff in SITS</p>	4	4	<p>Feedback forms from each session of training to be completed.</p> <p>Timing of training to be planned as to ensure optimal benefit for staff.</p> <p>UPDATE 22/4 – 20/5 201</p> <p>An initial training schedule has been written and is being discussed among the SISPT for:</p> <ul style="list-style-type: none"> feasibility resource requirements. 	SISPM		Staff raise Help Calls for basic issues.
9.	<p>Staff Involvement Ⓡ</p> <p>There is a risk that staff cannot get involved in the implementation and testing of SITS</p> <p>Cause</p> <p>Staff cannot attend working groups, meetings and training sessions due to other work pressures</p> <p>Result</p> <p>Key stakeholders are not included in the implementation and therefore configurations and</p>	2	5	<p>Forward planning and notice period for training.</p> <p>HODs to be approached and informed of training sessions to ensure adequate cover during training sessions.</p> <p>Communication Campaign to highlight critical importance of user involvement. HODs and other stakeholders will be targeted for</p>	SISPM		<p>Staff not turning up to meetings, demos, training sessions or claiming that they cannot get the time to attend.</p> <p>Key staff resigning.</p> <p>Key staff being taken off SISPT to deal with legacy systems.</p>

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	<p>solutions might differ from best practice.</p> <p>Delays in implementation.</p>			<p>regular communication.</p> <p>UPDATE 22/4 – 20/5 2010</p> <p>M Campbell-Davies (ARCS) will be leaving QM, end of June. She is a key resource with very detailed knowledge of all aspects of student administration. ARCS will be advertising the post but will be too late for the project.</p> <p>Sabia Tobias (SISPT) has had to leave the project to cover for maternity leave within ARCS – covering operational SRS work. Work being covered by M Ferris (SISPT)</p> <p>H McGeachy (SISPT) has resigned from the project. No replacement as yet. Recruitment in progress. A replacement has been advertised.</p> <p>Rhiannon Thompson (ARCS) will be on maternity leave. This will affect any work to be done in the area of Research Records. Sue Carrette is her replacement.</p> <p>Replacements for Chris Hopkins</p>			

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				<p>and Rachel Wilson, IT, will be advertised.</p> <p>As a consequence of the introduction of SITS, there is an additional risk that staff within IT might feel that their skill set is not being developed and might seek employment elsewhere.</p>			

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10.	<p>Functional Improvements </p> <p>There is a risk that the project will not deliver the expected improvements in functionality.</p> <p>Cause</p> <p>A lack of management of the College's expectations</p> <p>A lack of realistic and communicated deliverables to the College.</p> <p>Failure to get agreement on business processes results in a hybrid solution with minimal functionality.</p> <p>Result</p> <p>The project is perceived to be a failure and SITS is reluctantly used throughout the College.</p>	3	2	<p>SISPB and SISPT members to ensure that any message about the SIS Project is clear and consistent.</p> <p>Known deviations from expected functionality to be communicated to all relevant stakeholders</p> <p>Communications Plan to play key role in the expectation management.</p> <p>UPDATE 22/4 – 20/5 2010</p> <p>At demonstrations and meetings with departments, the SITS deliverables are communicated as a first stage and not a complete solution.</p> <p>Communications sent out to the College also make this point.</p>	SISPM SISPB		Number of complaints during demos, training sessions etc. that the system is less than expected.

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11.	<p>UAT </p> <p>There is a risk that the UAT plan is not robust or thorough enough to fully ensure that Go Live will be a success.</p> <p>Cause</p> <p>The UAT is written without key stakeholder involvement.</p> <p>Key stakeholders not sure or inexperienced about UAT.</p> <p>Result</p> <p>UAT Plan does not cover the requisite business areas with any degree of depth.</p>	3	4	<p>Production of UAT Plan to involve SISPT, ICT and key Stakeholders</p> <p>SISPB, ICT and key stakeholders to sign off the UAT Plan</p> <p>UPDATE 22/4 – 20/5 2010</p> <p>A UAT plan is being discussed and written.</p> <p>Extensive unit testing will take place upon build completion with key stakeholders involved.</p> <p>It is unlikely that a full UAT will be able to be organised at the depth the College would normally require. This will have to fit in with the Training schedule.</p> <ul style="list-style-type: none"> • build has taken much longer than was planned • main leave period for College staff • main period of preparation for new academic year. 	SISPM		Lack of business interest , participation with the UAT Plan

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12.	<p>Business Processes </p> <p>There is a risk that due to the lack of agreed business processes that are adhered to across the College, the SISPT will be unable to model them in SITS or will be seriously delayed, as key business issues are dealt with by the College.</p> <p>Cause Historical failure of management to enforce standard practices across the College.</p> <p>Result The SISPT unable to model process in SITS.</p>	4	3	<p>Possible use of committees such as the PSG where the SISPT is unable to progress.</p> <p>UPDATE 22/4 – 20/5 2010</p> <p>A number of working groups with key stakeholders have been set up to oversee and approve most of the work done by the SISPT.</p> <p>Committees such as the PSG and now QMSE are being used to consider and decide policy where the SIS project has unearthed contradictions, anomalies of practice etc.</p> <p>As summer approaches, investigations are under way to ensure that in some areas, Chair's Actions and/or sub groups can be set up to consider SIS requests for decisions concerning procedures and policies.</p>	SISPB		Delay in deciding how SITS will be configured.
13.	<p><i>Use of Departmental Systems</i></p> <p><i>There is a risk that departmental systems will continue to be used after the implementation of SITS.</i></p>	4	3	<p><i>College management need to communicate that SITS is the primary and authoritative source of Student Record data, used for</i></p>	SISPM		<p><i>Requests for data extracts from departments.</i></p> <p><i>Deviation of figures</i></p>

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	<p><i>Cause</i></p> <p><i>Departmental systems tailored to the specific needs of a department and SITS does not match the functionality.</i></p> <p><i>Result</i></p> <p><i>SITS not used in certain departments.</i></p> <p>See Risk 5.</p>			<p><i>all external returns.</i></p> <p><i>Corporate processes such as Admissions, Enrolment, Registration, etc will be provided by SITS to the departments and it is expected that they will use SITS.</i></p> <p><i>However, many departments will continue to use their systems for processes not covered by SITS and specific to a department.</i></p> <p><i>A data feed to these departments will be set up so that they can continue to use their systems. This will be along the lines of EWS for the current SRS.</i></p> <p>UPDATE 25/3 – 22/4 2010</p> <p><i>Meetings with key departmental IT staff to discuss this approach are in progress and feedback so far is that most departments do not have an issue with this approach.</i></p>			<p><i>at the local level from data and information held at the centre.</i></p>
14.	<p>Requirements Analysis </p> <p>There is a risk that the analysis phase of the project is not thoroughly completed and agreed with the stakeholders and this could result in a partial</p>	3	3	<p>Approval and sign off by Business Owners of spec and/or solution before going live.</p> <p>SISPM to exert as much pressure</p>	SISPM		<p>Amount of re-work being done due to lack of precision with requirement</p>

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	<p>solution that will require re-work further down the line.</p> <p>Cause Unclear statement of the problem domain. Lack of business input and/or due consideration.</p> <p>Result Re-work and/or solutions that do not match real requirement.</p>			<p>on business stakeholders to devote time and effort into all phases of the SIS project.</p> <p>UPDATE 22/4 – 20/5 2010 There is difficulty in this area. Much of the development is quite iterative and not something that is completely agreed up front. Generally, delivery against original specification is often supplemented by a number of iterations. This has caused problems with planning and deliverable dates.</p>			gathering.
15.	<p>Business Ownership/Resource</p> <p><i>There is a risk that the implementation will be threatened due to a lack of input and ownership from key stakeholders.</i></p> <p>Cause <i>Departments are too busy to play an active part in the development of the SIS solution.</i> <i>Stakeholders do not view SIS as their responsibility.</i></p> <p>Result <i>Implementation plan delayed.</i></p>	4	5	<p><i>Issue raised with principle stakeholders and Chairman of SISPB.</i></p> <p>UPDATE 25/3 – 22/4 2010 VARIANT OF RISK 12</p>	SISPB SISPM		<i>Implementation work stalls due to lack of business input.</i>

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	<i>Solution provided is not what the users require/expect.</i>						
16.	<p>Scope ⓐ</p> <p>There is a risk of scope creep.</p> <p>Cause</p> <p>The scope is not clearly defined due to the lack off a full process analysis up front.</p> <p>Result</p> <p>Changes to project plan and timings could delay the implementation.</p>	3	3	<p>Full analysis of reason for inclusion and possible effects on the plan.</p> <p>SISPB to inform SISPM when to increase the scope of the project. And the reasons behind it.</p> <p>UPDATE 22/4 – 20/5 2010</p> <p>For scope creep due to external requirements eg PBI, no choice for SIS Project. (see Risk 17)</p> <p>For scope creep within individual components, these are managed by ascertaining how critical they are or whether they are “nice to have”</p>	SISPB		Initiatives being requested by the business.
17.	<p>New External Requirements Ⓞ</p> <p>There is a risk that external constraints/legislation etc could result in extra work for the SISPT not originally planned for.</p> <p>Cause</p> <p>Government and regulatory bodies requirements for</p>	3	3	<p>Most external statutory and regulative initiatives will be dealt with by Tribal as they are obliged under contract to incorporate these into the solution.</p> <p>UPDATE 22/4 – 20/5 2010</p> <p>PBI separate risk.</p>	SISPM		

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	HEIs. Result Implementation plan delayed. Solution provided is not what the users require/expect.						
18.	E:Vision Performance ⓐ There is a risk that the current hardware configuration set up to cater for delivering e:Vision solutions will not be meet performance requirements. Cause E:vision more inefficient than expected. Result User experience of SITS compromised.	3	5	SITS load testing to be undertaken. Migration to more scalable hardware. UPDATE 22/4 – 20/5 2010 SISPT and IT preparing data for Load Testing J O’Meara (SISPT) and K Hollings (IT) attended a Tech Group run by Tribal where hardware strategies to minimise failures and spread the load were discussed. SISPM has agreed IT strategy to purchase additional hardware to spread the load. A Tribal consultant did a full review of the hardware set up and the recommendations are being acted	SISPB		Load test gives results that indicate slow response times.

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				upon.			
19.	<p>Academic Model – SMD PGT Data Collection</p> <p>R</p> <p>There is a risk the SMD PGT information will not be collected and QA'd in time for Go Live.</p> <p>Cause</p> <p>Failure of Institute Managers to realise the impact of not supplying the SISPT with the data required for the Academic Model.</p> <p>Result</p> <p>The Institutes run the risk of losing funding from HESA, students not being able to enrol and all other SITS processes unable to run for the Institutes.</p>	4	5	<p>UPDATE 22/4 – 20/5 2010</p> <p>Warden of School of Medicine and Dentistry has sent an email requesting that the outstanding data for PGTs is returned.</p> <p>If this is not, then there are implications for HESA funding as students will not be able to enrol at the College.</p>			
20.	<p>Special Regulations</p> <p>R</p> <p>There is a risk that the SISPT will not be able to build award and progression rules accurately without the knowledge of exceptions. The Special Regulation document in use is for 2007/2008 which is out of date and not a reflection of College practice.</p>	4	5	<p>UPDATE 22/4 – 20/5 2010</p> <p>W Appleby in process of finding out why this is the case.</p>	ARCS		

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	<p>Cause</p> <p>College unable to allocate resource to bring Special Regulations up to date.</p> <p>Result</p> <p>Award and progression rules inaccurate for some programmes.</p>						
21.	<p>Adherence to College Deadlines ⓐ</p> <p>There is a risk that College deadlines set down for the transition year are not kept to.</p> <p>Cause</p> <p>No perceived benefit for keeping to them.</p> <p>No penalties for not keeping to them.</p> <p>Result</p> <p>Significantly disrupt the initial use of SITS at the College and tarnish the image of the project.</p> <p>Significantly increase the workloads for staff during an already busy period.</p>	4	4	<p>Senior Management to enforce deadlines with suitable penalties if they are not met.</p> <p>UPDATE 22/4 – 20/5 2010</p> <p>Paper to go to QMSE 18 May 2010.</p>	SISPB		
22.	<p>PBI Ⓡ</p> <p>There is a risk that the College will not be ready to discharge its responsibilities to the UKBA.</p>	4	5	<p>UPDATE 22/4 – 20/5 2010</p> <p>Liz Smith has asked the Agresso team to look into ways of automating what is currently a</p>			

Risk Assessment

Reference: SISRR/2010/05/20

Student Information System Project

Project

Title:



Urgent SISPB Action:



SISPB Attention:



No Action:

Risk ID	Current Risk and Status	Risk Score (1 to 5)	Impact: High=5 Med=3 Low=1	Risk Management Approach/ Mitigating Actions	Owner	Cost of Resolution	Early Warning Signs
	<p>Cause</p> <p>Difficulty with core systems not being able to provide the data at the right level for SITS to use in reporting to the UKBA. Essentially :</p> <p>Agresso is not able to apportion payments against individual courses of study or distinguish between payments made for fees or accommodation for the current year or for a future year.</p> <p>Result</p> <p>QM could lose its most trusted status.</p>			manual process.			