



**HELSEPLATTFORMEN**  
for pasientens helsetjeneste

**Procurement of an  
EHR solution  
with adjacent systems and services**

**\*\*\***

**Invitation to Dialogue**

Appendix C2 Risk and Risk Management

**Case number: 2016/238**

## History

Version	Responsibility	Date	Comments/Changes
v1.0	Helseplattformen	02.02.2017	Version v1.0 sent to the Contractors

## Content

<b>1</b>	<b>Introduction.....</b>	<b>4</b>
<b>2</b>	<b>Purpose .....</b>	<b>4</b>
<b>3</b>	<b>Contractor’s approach to Risk Management.....</b>	<b>4</b>
<b>4</b>	<b>Responsibility for Risk.....</b>	<b>4</b>
4.1	General principles.....	4
4.2	Project roles and responsibility regarding risk management .....	5
4.2.1	Project manager.....	5
4.2.2	Risk manager .....	5
4.2.3	Sub-project managers, discipline leaders and the like .....	5
<b>5</b>	<b>Risk Management Plan .....</b>	<b>5</b>
<b>6</b>	<b>Risk register .....</b>	<b>6</b>
<b>7</b>	<b>Initial risk assessment.....</b>	<b>6</b>

## List of Annexes

*Annex 1 - The Contractor’s Response to Risk and Risk Management*

## 1 INTRODUCTION

This Appendix establishes the strategic guidelines and principles for the continuous risk management processes that the Contractor is expected to apply during the implementation project and during the maintenance and operations period, i.e., during the whole contract life cycle.

The Contractor shall respond to this Appendix by completing descriptions as necessary according to the requirements in *Annex 1*.

## 2 PURPOSE

The purpose with this Appendix is to outline the Customer's expectation of the Contractor's approach to risk management as of the start of the competitive dialogue throughout the whole delivery project and during the maintenance and operations period. Furthermore, this Appendix states the guiding principles on responsibility for identifying and handling risk within the project organisation. Finally, the Appendix states the expectation to the Contractor's initial risk assessment of the solution and how this should be catalogued in a risk register.

## 3 CONTRACTOR'S APPROACH TO RISK MANAGEMENT

The Contractor shall apply a risk management system complying with the ISO 31000:2009 standard or a risk management system applying similar principles as e.g., PRINCE2. Such a risk management system is expected to be defined as a part of the Contractor's Quality Assurance (QA) system and be utilised as an integrated part of the Contractor's programme management processes and reporting, cf. *T Appendix 5* and *V Appendix 6*. It is also expected that the Contractor pro-active applies such a risk management system for all its delivery projects and operations in general.

## 4 RESPONSIBILITY FOR RISK

### 4.1 GENERAL PRINCIPLES

Risk management is an integrated part of the project management processes.

Both the Contractor's and the Customer's personnel at all levels are responsible for identifying and reporting aspects of risk whenever recognised. Both parties are responsible for establishing relevant procedures for such reporting and operationalise relevant procedures and capacity for following up on risk reported in accordance with the offered risk management system. All reported risk should be listed in the Risk Register, cf. *Chapter 6*.

The parties will as a part of the standard agenda for periodical status meetings include a walkthrough of the risk overview, including status of active risk mitigating actions. This also includes an open and proactive discussion on assessments of risk elements identified since the previous meeting.

The parties should as a part of periodical status meetings agree upon the responsibility for handling risks in accordance with the set principles for risk handling strategies and actual assessment. The party that is best situated to handle a specific risk element should accordingly hold the responsibility for managing that specific risk element, herein plan and execute risk mitigating actions.

## **4.2 PROJECT ROLES AND RESPONSIBILITY REGARDING RISK MANAGEMENT**

The Contractor shall assign responsibility for risk management to its project organisation in accordance with the above mentioned principles. Some roles in the project organisation are expected to be assigned a more formal responsibility regarding risk management, cf. *T Appendix 5* and *V Appendix 6*.

### **4.2.1 Project manager**

The project manager shall have the overall responsibility for the establishment and execution of the risk management processes, as an integrated part of the project management processes. The project manager is responsible for establishing and maintaining the Risk Register, execution of risk assessments, assigning and following up on status for mitigating actions and for reporting on status for risk and actions to the Customer.

### **4.2.2 Risk manager**

The risk manager is a supportive role in the project organisation – normally a part of a project management office or the like – that assists the project manager with executing the risk management processes. The risk manager role will receive reports of potential risk elements, coordinate the risk assessments processes, maintain the Risk Register and help project manager to follow up on status and provide reports to the project manager and the Customer.

### **4.2.3 Sub-project managers, discipline leaders and the like**

Sub-project managers, discipline leaders and the like shall be responsible for handling, following up on and reporting the status on risks and mitigating actions within their own area of responsibility.

## **5 RISK MANAGEMENT PLAN**

The Contractor shall deliver and maintain a Risk Management Plan in accordance with requirements in *Annex 1*.

The Risk Management Plan shall, as a minimum, outline the strategy and methodology (cf. *Chapter 3*) the Contractor will apply for its risk management processes and state how this will be operationalised as an integrated part of the project planning and management processes, including descriptions of procedures for reporting and assessing risk and follow-up procedures on risk mitigating actions. The plan shall also describe the responsibility for risk management assigned to the different roles in the project organisation (cf. *Chapter 4*).

## 6 RISK REGISTER

The Contractor shall deliver a template or a concept for a Risk register in accordance with requirements in *Annex 1*.

The purpose of the Risk Register is to capture and maintain information on all of the identified threats and opportunities relating to the project. Each risk on the Risk Register is allocated a unique identifier as well as details such as:

- Who raised the risk
- When it was raised
- The category of risk
- Who's the risk owner
- The description of the risk (risk event and its potential positive or negative effect)
- Which of the objectives the risk element might impact, i.e., cost, time, scope/quality and/or the parties' reputation
- Probability, impact and expected value (the result of the risk assessment process)
- Risk mitigating actions (what to do), who's responsible and when it should be accomplished (deadline)
- Actual status for risk and mitigating actions.

The Risk Register should be supported by a suitable computer based tool such as e.g., a spreadsheet, integrated part of the project management tool or a standalone web based tool or the like. The Risk Register should present all active risk in a Probability/Impact Matrix ("Risk Matrix").

## 7 INITIAL RISK ASSESSMENT

Execution of Helseplattformen Main Project implies coping with risk, both related to the Contractor's area of responsibility and the Customer's area of responsibility. The more objects the Contractor has to develop and implement to its solution in order to comply with the set requirements, the more element of risk is expected to arise. Also the Customer's complex organisational environment has the potential to cause risk to Helseplattformen Main Project.

The Contractor shall deliver and maintain an initial risk assessment for Helseplattformen Main Project in accordance with requirements in *Annex 1*.

The risk assessment shall include elements of risk where both the Contractor and the Customer naturally, and in accordance with the above mentioned principles, will be the owner of the particular risk element. Further, the risk assessment is expected to include a relevant analysis of risk related to requirements where the Contractor has identified need of development to make it compliant with the Contractor's proposal. It is also expected that the initial risk assessment addresses risks related to the project and progress plan for Helseplattformen Main Project, cf. *T*



*Appendix 3.* Mitigating actions are expected to be assigned in a timely manner to any risk that is deemed to be at a certain level of criticality<sup>1</sup>.

For Customer Options the Contractor shall provide an Initial Risk Assessment when responding to Call Off Orders (cf. *Bridging Contract, Chapter 5*).

---

<sup>1</sup> Level of criticality = Probability of occurrence X Impact on ability to achieve goals