LGR Implementation Board - Risk Update

31st January 2023

Angela Farmer

Ask of LGR Implementation Board

- To note the amendments to the programme level risks including
  - The revised programme level risks
  - The new risks
  - Transitional risks
  - Risk that have been closed

- To give an update on the proposed approach to the Implementation Board meeting in March

Key points for discussion:

- The revised register

Programme Level Risk Register – January 2023

The revised register recognised the following changes

1. Review of the risks that remain relevant to the programme

2. Risks that are considered to be transitional, i.e. one that are currently being mitigated by products but will be a risk into the new Council

3. A review of the risks against business readiness and the 8 outcomes for day one success

What day one success looks like

Customer access the services they want and get the support they need

Ref	Risk Description	I	Controls and actions	R
PL23	The risk that non-delivery or late delivery of LGR products that other workstreams are dependent on	12	• Reliable critical path is available, with regular opportunities to monitor and course-correct when necessary • Regular opportunities for project managers to review with workstream an sub-workstream leads • Review of scorecards • Robust programme and project planning • Modelling interdependencies incorporated into work plans and must haves • Adequate resourcing of programme staff with appropriate capabilities and capacity to deliver workplan • Utilise lessons learned from other programmes • Dedicated LGR programme managers in post	12
New	The risk that services will not be fully ready on vesting day	12	• Service readiness checklist – initial overview and follow-up • Business Readiness group in place • Quality assurance monthly check ins	9

What day one success looks like

Staff and Members do their jobs, working well and staying safe

Ref	Risk Description	I	Controls and actions	R
PL12	The risk that there are insufficient resources to implement LGR Programme and deliver the approved business case	20	• Early definition of resource requirements (capability and capacity) as part of gateway • PMO Team in place • Monthly scorecard resource identification	9
PL13	Unforeseen emergency or business continuity interruption or rising tide situation that requires staff to be directed from day job into incident response	16	• Existing BC arrangements in each council to deal with unexpected emergencies prior to April 2023 • Wider BC work to deliver individual BC plans for new Council as well as a Corporate Plan for the new Council • Existing CCU unit supported by districts staff in place to support up to April 2023 • Gold structure in place	12
PL25	The risk that BAU activity within Councils is impacted by stretched staff resources balancing LGR and BAU work	20	• Recruitment protocol • Staff engagement at local level on a regular basis • BAU process at local level to ensure any additional work is scrutinised before agreeing to continue • Monitoring key performance indicators for any drop off in service provision/performance • Monthly scorecard resource identification	9

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What day one success looks like

Staff and Members do their jobs, working well and staying safe

Ref	Risk Description	I	Controls and actions	R
New	The risk that staff will be unclear who they report to on the 1st April	12	• Interim SAP structure (1274) in place to give that initial reporting structure • T2 in place • T3 to be in place by 1/4/23	9
New	The risk that staff moral and resilience will be at a low ebb, impacting their wellbeing	16	• Staff Surveys undertaken with further planned • Survey results analysed and outcomes to target particular group • Staff readiness group • Development of staff readiness directory • Staff network with a focus on particular aspects such as protected characteristics • Culture navigators • Wellbeing survey undertaken to support wellbeing strategy for new council	9
New	The risk that some staff will be unclear what the role will be in the new authority	12	• Interim SAP structure (1274) • Staff readiness directory • T2 positions in place • T3 to be in place by 1/4/23	12

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What day one success looks like

Somerset Council make effective and efficient decisions

Ref	Risk Description	I	Controls and actions	R
PL10	There is a risk of a significant budget gap for the new Somerset Council in 23/24 when Districts and County budgets combine, significantly impacting the financial sustainability of the new council	20	• Finance and asset protocol across 5 councils • S24 Notice from DHLUC effective May 2022 • Budget monitoring processes in the 5 councils • Balanced budget for 23/24 for Somerset Council to be agreed by Full Council Feb 23 • LGR Programme is being used as part of the vehicle to deliver MTFP to ensure that alignment, design and development of services across the programme within the budget envelope	9
PL15	Failure of workstreams/projects to achieve their expected financial benefits as described in business case	16	• Tranche 1 products agreed • Work on Tranche 2 products started • LGR Programme is being used as part of the vehicle to deliver MTFP to ensure that alignment, design and development of services across the programme within the budget envelope • Robust benefits realisation planning in place • Monitoring through programme reporting • LGA commissioned to deliver costed service structure • Contract analysis priorisation and related opportunities	12
PL26	The risk that the back office ERP system not sufficiently implemented to support new authority	16	• Implementation plan that delivers in excess of the minimum viable product • Continued close management of implementation partner against published programme • Clear governance and oversight • Independent governance oversight role by SOCITM • Training be undertaken in February • Change agents to be in place • Super users from across the councils • Business readiness to monitor progress	8

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What day one success looks like

Somerset Council make effective and efficient decisions

Ref	Risk Description	I	Controls and actions	R
PL111	The risk of overspend on the £16.5m LGR implementation budget	16	• The approved commitments are being challenged if the funding has not be fully committed to ensure the bid is still required, if it is not or can be reduced this will make more funds available for the programme. • Work is underway to revisit the redundancy figures] • Programme board monitoring	12
PL139	Inter-dependencies between workstreams not managed effectively	12	• Programme tranches developed • A process/approach for management of dependencies to ensure impacts of change (time/cosy/quality) are easily understood at both workstream and programme level. • PMO providing assurance against delivery of programme capabilities • Dependency management tool in central list (sharepoint) • T1 products dependencies to be assessed are T1 sign off (Date: ongoing • Management of dependencies and interdependencies are part of monthly assurance meetings between PMO and workstream	6
PL367	The risk that the 5 councils will overspend in 22/23 and have to use reserves	25	• Regular budget monitoring	16

What day one success looks like

Somerset Council make effective and efficient decisions

Ref	Risk Description	I	Controls and actions	R
New	The risk that decision making will be unclear and confused	12	• Decision overview produced to be clear what needs to do to what committee • Internal Governance will be reviewed after Vesting Day • New constitution (10) • Service readiness checklist	9
New	The risk that there is a lack of clarity of vision and priorities	12	• New Member, new panels – training planned • Training of constitution • Corporate plan (1178)	9

What day one success looks like

Staff and Members are positive ambassadors

Ref	Risk Description	I	Controls and actions	R
New	The risk that there is a lack of clarity of vision and priorities	12	• New Member, new panels – training planned • Training of constitution • Corporate plan (1178)	9
New	The risk that there will not be visible and active leadership on vesting day and beyond	12	• T2 appointed • T3 in place by 1/4/23 • Interim SAP structure (1178) • Staff readiness directory in place	9

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What day one success looks like

Staff are uniting as one team

Ref	Risk Description	I	Controls and actions	R
New	Lack of clarity of what teams look like on Day One – inability to complete readiness activities to manage that change	16	• Interim SAP Structure (1178) • Aligned base budgets for Somerset Council	12
New	The risk of capacity and resource issues leading up to Vesting Day	16	• Interim SAP Structure (1178) • Aligned base budgets for Somerset Council • Regular prog resource review	12
New	The risk that staff will not work together as teams	12	• Service readiness checklist • Bringing of district and county service teams together to form one team • Interim SAP structure (1178)	9

What day one success looks like

Customers have a positive experience

Ref	Risk Description	I	Controls and actions	R
PL19	Design/products to create new unitary council will not have the community as a central focus in the design of the new operating model	12	• Programme and workstream checkpoint review criteria • Ensure LGR Advisory Board remains effective, inclusive, transparent and accessible (PSG) • Embody community focus as a critical requirement of operating model development through workshops, research and engagement (CCP) • Ensure TOM development reflects emerging customer strategy and principles (CCP) • Engagement with all workstreams to secure agreement/recognition that communities focus goes beyond safe and legal (CCP) • Ensure interdependencies are identified and managed through iterative discussion and collaboration (CCP) • Specifically, engage with People workstream to support as ethos and culture of communities and customers first (CCP/People) • Involve customers and communities in the design of products and services (CCP) • Learn from customer experience and feedback (CCP) • Develop sound business case to underpin sufficient resourcing to deliver communities focused objectives (CCP/Finance)	12
New	The risk to continuity of service	16	• Service readiness checklist • Business readiness framework • Business continuity arrangements in place (484) • Planning for stable BAU on day one (1179)	12

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What day one success looks like

Staff and Members have a positive experience

Ref	Risk Description	I	Controls and actions	R
PL309	The risk that there is insufficient capacity to manage the people side of change	16	• Change management approach, quality framework and tools established and in use • Supplementary offer to strengthen change capabilities started and will continue to evolve, e.g. targeted interventions and coaching, high risk, high need products in T1 • Validation of approach and priorities with PwC and our Unitary partners • Working closely with comms and People workstream • Plans in place to identify and collaborate with wider change assets across all organisations • Mobilisation of tactical change management resource to work alongside and support existing network of change management across all organisations • Engagement with programme and WS leads to unite thinking and drive profile of people side of change as core competence of programme • Evidence based approach to defining extent and impact of T1 products to define level of need and target resource where needed most • Application of data and insight from across WS to build programme change plan and EIA support • Embedding change management within current assurance practice and reporting • Nominated lead for People change	12

What day one success looks like

Staff and Members have a positive experience

Ref	Risk Description	I	Controls and actions	R
PL358	The risk that the process of appointments to TS/T3/T4 roles could result in an employment claim if process is not followed properly	16	• Incoming new Chief Executive taking ownership of the risk • SSDC Chief Executive taking on sponsor role for People workstream • Regular reporting back to PB by People workstream • Consultation with PB • Consultation with Trade Unions on the procedures • External legal advice being taken • Member engagement in T2 appointments and T3 appointments	12
New	The risk that staff and Members don't have a positive experience which has a detrimental impact in building a new Council for the residents for Somerset	16	• Staff readiness directory • Staff networks in place for support • Culture navigators in place • Member training	12

Transitional risks

Ref	Risk description	Inherent	Residual	Actions and controls
12	Loss of staff from County and District Councils	20	16	• Use of interim staff • Redeployment • Recruitment Protocol • Staff engagement to support development of culture (building on existing culture) throughout the lifetime of the programme • Mutual Aid process agreed • Analysis of staff on fixed term contracts to 31/3/23 • Working on T2/T3 appointments
14	Loss of opportunity to align public and VCSE services to new operating model and outcomes as defined in the Business Case	16	12	• Complete partner and stakeholder mapping exercise (CCP) • Targeted engagement with all strategic partners (CCP) • Effective ongoing communications with all stakeholders about LGR programme and its objectives (Comms) • Effective LCN's • Services thinking about the relationship with the public and VCSE in design and delivery (SA) • Ensure LGR Advisory Board remains inclusive, transparent and accessible (CCP) • Stakeholder management plan(s) for critical products and across workplans (CCP) • External communications on purpose and benefits of the LGR programme (Comms) • Senior officer engagement with VCSE and partners (CCP) • Use of customer panel to hear voice of the public and users
22	The risk that delivery of ICS implementation is not effectively joined-up with LGR implementation	9	9	• Understanding of interdependencies incorporated into LGR work plans and must haves • Adequate staff resource across both programmes with appropriate capabilities and capacity to address the work
228	Lack of a decision around contracts that are reaching the end of their life between now and April 2024	20	9	• Engage with finance and procurement sub workstreams to ensure that decisions are made that allow sufficient time to put contracts/arrangements in place and to mobilise.

Risks that have been closed

Ref	Description	Reason
21	The risk that the LGR programme negatively impacts service provision and improvement activities of Children's services and Adult Social care	Adult Social Care, Children Social Care and Public Health are engaged in the programme
27	Uncontrolled change to the scope of the LGR programme	Programme fully controlled and change managed to date
103	Agreement not reached with Trade Unions on pay scales/terms and condition for new Council staff	

Overview

Programme Level risks review

- 13 are considered as remaining risks to the programme considered against the day one success outcomes

- 4 are considered to be transitional risks

- 3 are recommended for closure

Transitional register

- New 'transitional' workstream created within register

- Workstream updated and review under way to consider any workstream risks that would be considered transitional

- Will build into wider risk work - aligning the councils risk registers

Business readiness risks – new programme level risks

- 13 risks identified based in day one success outcomes

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Implementation Board 14ᵗʰ March 2023

- Concluding report on the risks to the programme and whether

  1. They have been mitigated

  2. If not, where the risk will sit within the new Council

- The process that will follow from April 2023

  1. The risks that Somerset Council will manage at Strategic level

  2. Overview of the risks as the Council moves in the transition

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Decisions/recommendations

1. To note the amendments to the programme level risks including
   - The revised programme level risks
   - The new risks
   - Transitional risks
   - Risk that have been closed

2. To note that a concluding report will be presented to Implementation Board on the 14th March 2023