

Appendix A – Improvement & Transformation Programme Risk Register – position as at 4 October 2024

Improvement & Transformation Risk Register

Generated on: 08/10/2024



Ref	Risk Description	Cause	Consequence	Inherent score		Mitigation	Current score		Target score		Risk Owner
				L	I		L	I	L	I	
ITP0001	Insufficient budget for redundancies	Lack of sufficient funding for the programme and no receipt of the Capitalisation Directive	<ul style="list-style-type: none"> • Cannot initiate redundancies without a budget to fund them. • Without redundancies, savings associated with workforce reduction will not materialise. • Inability to deliver the £40m savings targets in 25/26 or delay savings. Capitalisation Directive only approved in principle. • Take longer to deliver a leaner more efficient Council. 	4	5	Existing Controls	3	5	2	5	Nicola Hix
				20			Actions		15	10	
				 Likelihood Impact	Continued work to progress the Improvement and Transformation Plan setting out how we will deliver the Council's key objectives, secure a medium term financial position and the broader Productivity Plan.	100%	 Likelihood Impact	 Likelihood Impact			
					Programme Steering Group to regularly review actual receipt and projected quarterly forecast of capital receipts against quarterly profile of redundancy costs, to ensure sufficient budget is available or early escalation of any challenges.	50%					
						Continue dialogue with MHCLG to ensure progression on the capitalisation directive and the internal and external assurance measures outlined by DLUHC in February 2024, This includes the	60%				

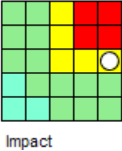
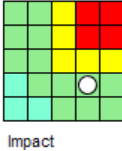
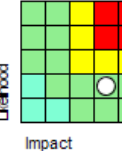
				<p>CIPFA review which is commenced in July 2024.</p> <p>Regular monitoring of the forecast of capital receipts from the disposal of assets including commercial properties that are actively managed through the Property and Investment Executive Sub Committee and Asset Management Group. 50%</p> <p>Ensure progression of action against the approved Strategy in place for disposal of assets to generate capital receipts that could be used via flexible use of capital receipts policy. 50%</p> <p>Finance to closely monitor the redundancies, their timing and cost against that forecast, and report regularly to Programme Steering Group. 80%</p>		
--	--	--	--	---	--	--

Ref	Risk Description	Cause	Consequence	Inherent score		Mitigation	Current score		Target score		Risk Owner
				L	I		L	I	L	I	
ITP0002	Redesign of the Council does not deliver the required workforce savings	<ul style="list-style-type: none"> Quality of blueprints Quality of SAP data Inconsistences between SAP & Finance data Capacity of HR & Finance staff Multiple DA panel queries Complexity and size of whole organisation redesign 	<ul style="list-style-type: none"> Savings requirements are not delivered Further restructuring is required Impact on staff morale 	4	4	Costings exercise completed before consultation	3	4	3	4	Alyn Jones
						Monitoring of process through tracker					
						Established weekly calls to run through progress, raise concerns and blockers has been set up with all HR and Finance Leads and Programme Leads on this work every Thursday.					
						Clear lines of accountability and responsibility identified for HR and Finance validation process					
				16		Actions	12	12			

	<ul style="list-style-type: none"> Service Director queries and concerns Lack of monitoring and oversight of the process 			Clarity on products required to launch consultation (including minimum viable product) 100% Regular checkpoints to ensure that prior to consultation, we have hit the required level of savings 100% Clarity on products required to deliver consultation, recruitment and appointment phases 55%		
--	--	--	--	--	--	--

Ref	Risk Description	Cause	Consequence	Inherent score		Mitigation	Current score		Target score		Risk Owner
				L	I		L	I	L	I	
ITP0003	Financial savings are counted twice so reducing the actual savings against the bottom line	No joined up financial tracking across all 'savings' activities which means the same savings may be being banked several times (re budget setting and development and validation of these new savings not tracking savings that are already committed)	Less savings achieved than expected.	5	5	A single financial tracker has been created which has been included in the budget monitoring reports. and is cross checked with workforce and business case to minimise double counting. Alignment with MTFP process to minimise double counting	3	5	2	4	Alyn Jones
				25			15		8		
					MTFS new savings proposals assurance process to include specific review to check no double counting against existing or other new savings 0% 						

Ref	Risk Description	Cause	Consequence	Inherent score		Mitigation	Current score		Target score		Risk Owner
				L	I		L	I	L	I	
ITP0004	Payroll costs continue to increase despite of key lines of	Process, procedures and measure put in place are not followed by Managers.	Savings not achieved leading to the costs exceeding the available resources resulting	3	5	Resource planning to ensure adequate levels of resource to support the delivery of the Key Lines of Enquiry (KLOE) initiatives ELT to act as assurance forum to ensure savings are on target.	2	4	2	4	Dawn Bettridge

	enquiry (KLOE) to reduce workforce costs being implemented.		in the Section 151 Officer issuing a Section 114.			PMO to implement / support in benefits tracking process.				
						Data dashboard now in place to evidence and ensure oversight of the data is moving in right direction				
						Financial dashboard being produced to demonstrate reduction in paybill lines of enquiry are resulting in reduced spend for council				
						Financial dashboard to be presented to Workforce programme board monthly from October.				
						15				
 Likelihood Impact	Design Authority challenge panels scheduled for August 2024 to challenge KLOEs 100%	 Likelihood Impact	 Likelihood Impact							
	Agreement of aligned establishment list with data definitions (HR & Finance data) 60%									

Ref	Risk Description	Cause	Consequence	Inherent score		Mitigation	Current score		Target score		Risk Owner
				L	I		L	I	L	I	
ITP0005	Unmotivated workforce	Delay in release of level 4-6 structure details and the lack of clarity for individuals and teams paired with necessary volume of change. Also, depleting workforce which staff believe will increase their own workloads.	<ul style="list-style-type: none"> Drop in productivity, morale and engagement Potential increase in retention risks and higher turnover of staff Potential reduced responsiveness to customer needs (residents, members, staff, vulnerable etc) 	5	5	Supporting People through Change Workstream mobilised focusing on staff personas and providing targeted support to ensure motivation remains	3	5	3	3	Clive Mallon
						Regular management and staff briefings.					
						Monthly All Staff Q&As led by the Chief Executive.					
						Launch of Shout Out Page on Viva Engage set up where staff can recognise and celebrate colleagues/good work					
						Survey to benchmark staff wellbeing					
25	Actions	15	9								

			<ul style="list-style-type: none"> • Reputational damage • Higher sickness absence 		Release of Layers 4-6 structure in September to organisation as planned <input type="text" value="100%"/>		
					Total Reward offers/incentives to remind staff positives/benefits of working for somerset council <input type="text" value="10%"/>		
					Dedicated support to different staffing groups <input type="text" value="50%"/>		

Ref	Risk Description	Cause	Consequence	Inherent score		Mitigation	Current score		Target score		Risk Owner	
				L	I		L	I	L	I		
ITP0006	Council struggles to recruit and retain required talent and knowledge	<ul style="list-style-type: none"> • Strong competition nationally for hard to fill specialist roles • Less attractive to external candidates, impacted by known financial sustainability challenges facing Somerset Council • Volume of change, impact of change and ongoing uncertainty for existing staff 	<ul style="list-style-type: none"> • High turnover which might impact negatively on service performance • More difficult to recruit to and retain hard to fill roles • Increased costs due to use of agency staff • Reputational damage 	4	4	Knowledge Transfer and Retention Toolkit launched and in place	4	4	2	4	Dawn Bettridge	
						Utilising existing Pay Policies such as recruitment and retention allowances.						
						Conducted staff survey to understand how staff feel about working for Somerset Council, results will inform an action plan to address issues raised						
						Delivery of Job Evaluation Action Plan						
						Launched 'My Conversations' - replacing annual appraisals and promoting regular conversations between staff and line managers about the future						
						Recruitment and retention allowance being piloted across the council to mitigate services with hard to fill posts.						
				16		Actions		16		8		
						Progress pay & grading project to review opportunities with pay and grading for Somerset staff <input type="text" value="15%"/>						
						Contacting other authorities to ascertain their own approaches to pay and grading to establish benchmark to compare against <input type="text" value="40%"/>						

				Managing people's exit ensuring it is made pleasant, and using the intelligence from exit interviews to inform retention policies	50%		
--	--	--	--	---	-----	--	--

Ref	Risk Description	Cause	Consequence	Inherent score		Mitigation	Current score		Target score		Risk Owner			
				L	I		L	I	L	I				
ITP0007	Insufficient resource in Data and Tech skills to deliver requirements of Innovation & Change Programme and DDAT capabilities that enable service redesign and sustainable change	<ul style="list-style-type: none"> more committed activity organisationally requiring digital and data skills / resource than there is resource to deliver. potential restructure reduction in resources Additional deliverables and resource requirements expected to be identified to deliver Innovation & Change Programme which will further exacerbate the resource gap. mechanism for strategic prioritisation of projects requires review & approval. Volume of existing pipeline and current projects is also impacted by pending introduction of new Procurement Legislation which will accelerate re-contracting required for Council Applications and Systems. Risk will become greater if these skills are lost / reduced due to org resizing. 	<ul style="list-style-type: none"> Inability to deliver the existing outputs and capabilities Inability to deliver innovation and change programme outcomes. Non delivery of associated financial savings 	4	4	12 month DDAT Action Plan developed.	4	4	3	3	Sara Cretney			
						Regular monitoring via Transformation Board								
						16		Actions		16		9		
				 Likelihood Impact		 Likelihood Impact		 Likelihood Impact		 Likelihood Impact		 Likelihood Impact		
				Develop DDaT Project Register to baseline current position mapping existing Projects (live and pipeline with business cases)		100%								
				Create a Prioritisation Matrix and approach to be applied across the whole council		55%								
				Recruitment of additional staff, initially ICT		0%								

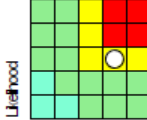
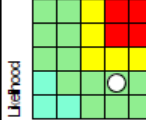
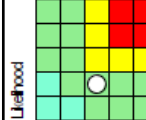
Ref	Risk Description	Cause	Consequence	Inherent score		Mitigation	Current score		Target score		Risk Owner	
				L	I		L	I	L	I		
ITP0008	Insufficient resource to deliver business as usual (to the same standard) following permanent exit of resource	Permanent exit of people through voluntary and compulsory redundancy reducing head count.	<ul style="list-style-type: none"> Inability to achieve KPI's Inability to meet demand Reputational damage Impact on health and wellbeing Higher levels of sickness Annual leave cancelled Unable to meet the need of our customers (residents, members, staff, vulnerable etc) 	4	4	Manage voluntary redundancy with phased exit, e.g. Knowledge retention toolkit	3	4	2	3	Alyn Jones	
				16		Existing Controls		12		6		
						Review corporate priorities with members	<input type="text" value="80%"/>					
						Understand impacts of organisational change by reviewing service standards and performance with SDs and ensure appropriate decisions taken where required	<input type="text" value="60%"/>					
						Strategic approach to prioritisation and resourcing to effectively sequence and execute change	<input type="text" value="60%"/>					
						Manage compulsory redundancy with phased exit, e.g. knowledge retention toolkit	<input type="text" value="60%"/>					
						Defining council priorities and associated business plan	<input type="text" value="60%"/>					

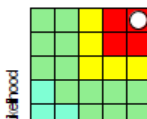
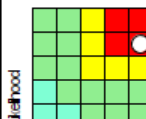
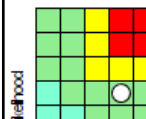
Ref	Risk Description	Cause	Consequence	Inherent score		Mitigation	Current score		Target score		Risk Owner	
				L	I		L	I	L	I		
ITP0009	Excessive loss of staff with talent and organisational knowledge	People leave the organisation ahead of the process or without proper handover	<ul style="list-style-type: none"> Loss of key talent and skills Loss of organisational memory Inability to deliver the Improvement 	3	5	Knowledge Transfer and Retention Toolkit launched and in place	4	5	2	4	Dawn Bettridge	
				15		Existing Controls		20		8		
						Continued promotion of the Knowledge Transfer toolkit	<input type="text" value="80%"/>					

			and Transformation Plan		managed through central comms plan Managers guidance to support managers who have staff leaving the authority			
--	--	--	-------------------------	--	--	--	--	--

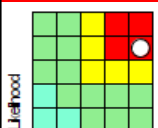
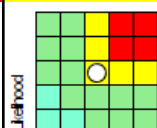
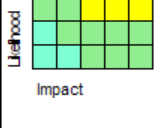
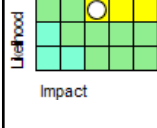
Ref	Risk Description	Cause	Consequence	Inherent score		Mitigation	Current score		Target score		Risk Owner
				L	I		L	I	L	I	
ITP0010	Non delivery of the organisational restructure by 31st March 2025	<ul style="list-style-type: none"> Inconsistences between SAP & Finance data Capacity of HR & Finance staff Volume and complexity of HR, Finance , Executive & Service Director and DA panel queries Complexity and size of whole organisation redesign• Lack of monitoring and oversight of the process Impact of parallel restructuring for LGR and Layers 2&3 Consultation on Layers 4-6 is delayed beyond September '24. Structure proposals do not meet required reductions and design principles Volume and complexity of consultation responses Tight timelines 	<ul style="list-style-type: none"> Impact on savings delivery for both 24/25 and 25/26 Impact on staff morale and uncertainty could negatively impact service delivery Continued issues with unaligned Finance & HR data Reputational damage 	4	5	Project plan reviewed daily by the Programme Manager	3	5	3	5	Alyn Jones
						Weekly updates on programme performance DA highlighting any early indicators of slippage					
						Weekly review of programme performance via the Programme Steering Group					
						Enhanced assurance processes in place include: weekly SME review sessions					
						Enhanced assurance processes in place include: four weekly Design Authority query review sessions					
						Enhanced assurance processes in place include: weekly review of comms & engagement plan					
				20		Actions	15		15		
						Validation of data to be carried out by Finance team					
					Dedicated Finance and HR resource in place until 30th March 2025						

Ref	Risk Description	Cause	Consequence	Inherent score		Mitigation	Current score		Target score		Risk Owner
				L	I		L	I	L	I	
						Existing Controls					

ITP0011	Damage to Trade Union relations and risk of industrial action	<ul style="list-style-type: none"> Failure to consult and engage Failure to reach agreement on the VR scheme/CR details in regards to criteria/approach 	<ul style="list-style-type: none"> Loss of trust Loss of confidence in management 	3	4	Engagement with Trade Unions on a regularly basis throughout the process	2	4	2	3	Dawn Bettridge
				Timeline now includes lead in time for sufficient engagement with Trade Unions between Business Case being completed and consultation starting							
				12		Actions		8		6	
					As part of the informal engagement, have agreed to share the 'material' with TUs in advance of staff and members. <input type="text" value="100%"/>						
				As part of formal consultation, we will share the consultation material a week in advance of sharing with staff and managers to ensure they are comfortable with what's being presented before formal consultation can commence. <input type="text" value="40%"/>							

Ref	Risk Description	Cause	Consequence	Inherent score		Mitigation	Current score		Target score		Risk Owner
				L	I		L	I	L	I	
ITP0013	Devolution programme does not have a sufficient number of lead officers with the required knowledge and experience to lead devolution projects	<ul style="list-style-type: none"> Knowledgeable and experienced staff leaving the organisation due to VR/CR Knowledge transfers not taken place 	<ul style="list-style-type: none"> Devolution programme is ineffective, inefficient and fails to deliver the best outcomes possible Failure to deliver related financial savings Reputational damage Loss of services and assets locally 	5	5	Knowledge transfers taken place	4	5	2	4	Sara Skirton
				Upskilling of remaining staff to replace those leaving							
				25		Actions		20		8	
					Reduce single points of failure through resourcing plans and gain identified lead officers for allocation to projects. <input type="text" value="0%"/>						
					Develop clear processes and policies based on best practice to alleviate the workload required by building on what work has come before. <input type="text" value="0%"/>						

			<ul style="list-style-type: none"> Unable to progress tranche 2 and complete tranche 1 				
--	--	--	---	--	--	--	--

Ref	Risk Description	Cause	Consequence	Inherent score		Mitigation	Current score		Target score		Risk Owner
				L	I		L	I	L	I	
ITP0014	Devolution process does not have sufficient draw on resources in key service areas (such as Assets, Legal etc.) to support and deliver the programme	<ul style="list-style-type: none"> Lack of sufficient resource in key supporting services Competing priorities for subject matter expert capabilities. 	<ul style="list-style-type: none"> Devolution programme is ineffective, inefficient and fails to deliver the best outcomes possible. Failure to deliver related financial savings. Reputational damage Loss of services and assets locally Unable to progress tranche 2 and complete tranche 2 	5	5	Dedicated resources to deliver in flight projects	4	5	3	3	Sara Skirton
						600k EMR strategically utilised to fund additional resource					
				Local service agreements around prioritisation of competing workloads							
				25	20	9					
				Actions							
						Clearer formal prioritisation of devolution activity over other work <input type="text" value="0%"/>					
						Resourced pipeline allowing for clear articulation of required resources and timescales <input type="text" value="0%"/>					
						Additional prioritised draw on the 600K EMR <input type="text" value="0%"/>					

Ref	Risk Description	Cause	Consequence	Inherent score		Mitigation	Current score		Target score		Risk Owner
				L	I		L	I	L	I	
ITP0016	Devolution process does not have	Lack of resource assigned to deliver the devolution programme.	Devolution programme is ineffective,	5	4	Dedicated resources to deliver in flight projects.	4	4	3	3	Sara Skirton
						600k EMR strategically utilised to fund additional resource.					

	sufficient project management resource capacity to assist the lead officers to support and deliver the programme.	<ul style="list-style-type: none"> Competing priorities for project management capabilities. 	inefficient and fails to deliver the best outcomes possible. <ul style="list-style-type: none"> Failure to deliver related financial savings. Reputational damage Loss of services and assets locally Unable to progress tranche 2 and complete tranche 3 	20	Actions	16	9
					Resourced pipeline allowing for clear articulation of required resources and timescales <input type="text" value="0%"/>		
				Clearer formal prioritisation of devolution activity over other work <input type="text" value="0%"/>	Additional prioritised draw on the 600K EMR <input type="text" value="0%"/>	Impact	Impact
				Impact	Impact	Impact	

Ref	Risk Description	Cause	Consequence	Inherent score		Mitigation	Current score		Target score		Risk Owner
				L	I		L	I	L	I	
ITP0017	Somerset Council is unable to deliver the desired outcomes of the devolution programme	<ul style="list-style-type: none"> Devolution process is inefficient The approach to devolution is not joined up or managed across functions adequately Insufficient organisational prioritisation Lack of strategic aims for devolution and localisation 	<ul style="list-style-type: none"> Failure to deliver related financial savings. Reputational damage Loss of services and assets locally Failure of delivery of key aims Missed opportunities 	5	4	Ongoing review by service directors and devolution working group	4	4	3	3	Sara Skirton
				20	Actions		16	9			
					A clear strategic agreement around devolution and localisation of services <input type="text" value="0%"/>						
				Impact	'Boilerplate' agreed T&Cs for devolution types e.g. Open Spaces to aid delivery and reduce admin costs <input type="text" value="0%"/>	Impact	Impact				
						Agreed clear devolution programme and related policy decisions to establish the future for asset and service delivery <input type="text" value="0%"/>					

