

Customer Connect Risk Register - Close Down Report

Background

To deliver a transformation programme the size of Customer Connect the programme was split into three key areas: digital, people and place. As part of the day to day management of the programme each of these three key areas were broken down into manageable areas of activity called workstreams.

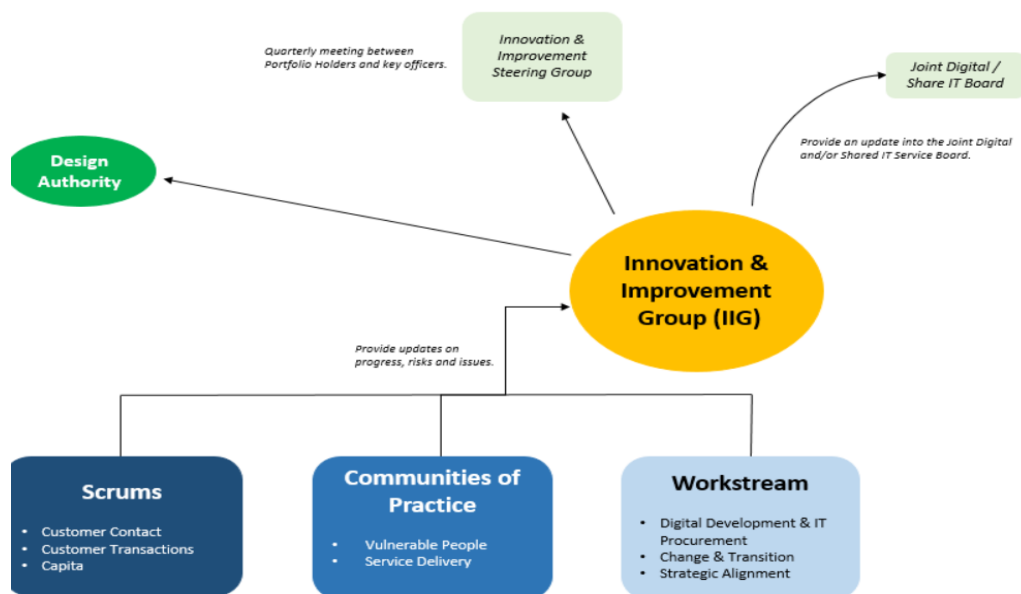
Each workstream was risk assessed at the start of the programme and a risk register was compiled, with each risk assigned an owner, a risk score and details of mitigating actions. Risks and issues were either reported at the weekly programme board or through 1:1s with the Programme Office Lead. The risk’s status, score and mitigations were also updated as part of these 1:1s. Risks and issues were reported through to the External Assurance and the Steering Group on a monthly bases and to Audit Committee quarterly.

In July 2020 the Customer Connect Steering Group agreed a change in the governance arrangements of the Customer Connect Transformation Programme. The new governance arrangements have been agreed following the implementation of the new operating model and the identification of the salary savings outlined in the Customer Connect business case. Whilst it is recognised that there is outstanding programme activity (which was partly paused due to the COVID_19 pandemic) and future innovation activity to be delivered the mechanisms of a full transformation programme are no longer required at the scale of the original programme. The move to the new governance arrangements ensure that continuous improvement is a focus for the organisation.

A new officer group, the Innovation & Improvement Group (IIG) has been established with the operating context of:

- supporting the council's work to meet the budget deficit,
- ensuring the completion of Customer Connect transformation business case,
- creating resource capacity to deliver change and innovation initiatives,
- distributing responsibilities and accountabilities for delivery

The diagram below shows how the group will operate and its responsibilities:



- prioritising ICT developments and making decisions on requests for new systems and/or software, liaising with the Joint Digital Board for co-production with Eden,
- prioritising digital service developments and understanding these requests from the business
- referring decisions to the Design Authority which relate to the integrity of the operating model,
- receiving updates from workstreams delivering change and innovation across the organisation and responsible for prioritising activities in these workstreams to meet the needs of the organisation,
- a place for escalating risks and issues relating to workstreams,
- address resourcing and budgeting issues relating to workstreams.

The Steering Group will provide Cabinet member oversight of innovation and improvement activity.

Customer Connect Risk Register

As part of the change in governance the Customer Connect risk register has been reviewed. This appendix provides the committee with a final update on the status of the programme's risks.

There are 10 risks which remain open and these are being managed through either the Innovation and Improvement Group or other mechanisms within the council.

There were no outstanding issues included in the workbook.

Overall Programme

An 'overall programme' risk referred to risks where the impact could potentially effect the whole programme, not just a specific workstream.

Risk Description	Risk Status	Update
There is a lack of capacity due to vacancies in leadership roles within the Customer and Commercial Services directorate to implement new ways of working.	Closed	The risk was closed in June 2020 following the successful recruitment to the vacant post for the Operational Lead for Locality and Customer Services. Full recruitment to team leader roles in Case Management was completed in May, strengthening the ability to implement new ways of working.

Programme Management Workstream

The programme management workstream was responsible for establishing the programmes governance structure and ensuring risks, issues and change control request were managed appropriately and mitigations where actioned by other workstreams.

Risk Description	Risk Status	Update
Risks and issues are not reported correctly and mitigating actions are not recorded or followed up.	Closed	Outstanding risks will be managed through the Innovation and Improvement Group. Workstream leads understand where and how to raise risks.

Place Workstream

The places workstream was responsible for the creation of the business case for the redevelopment of South Lakeland House.

Risk Description	Risk Status	Update
The financial costings obtained for the works are potentially unrealistic and not market tested.	Closed	This risk was closed following the Council approval for the building works in February 2020.

There is a failure to understand the needs and constraints of users including; employees, customers and partners.	Closed	This risk was closed following the Council approval for the building works in February 2020.
The project plan for implementing the scheme ineffective which potentially leads to a loss of productivity from employees who are disrupted by on-going work.	Closed	This risk was closed as due to the pandemic the majority of staff are working from home, resulting in a significant reduction in employee numbers in the building. Communications to employees on building works are shared regularly.
A lack of communication or failure to communicate effectively could affect employees' morale.	Closed	This risk was closed as employees and building users were consulted through the design phase of the project. Employees receive regular updates on building works via the intranet and team meetings.
The council is unable to secure lettings of the surplus, refurbished space leading to lower income and consequent impact on business case.	Open	This risk remains open but is being managed through the Capital Programme and by Leadership Team.

Human Resources Workstream

The Human Resources work stream focussed on the development of the fundamental principles of an organisation restructuring process relative to the human factor elements.

Risk Description	Risk Status	Update
Changes in job roles impacts some areas of service delivery.	Open	This risk will remain open as the period of transition for colleagues in phase two was impacted by COVID pandemic. This work restarted in October and is being reported on at the Innovation & Improvement Group. Leadership Team is also continually reviewing the operating model to ensure it continues to meet the demands of service delivery.
There is a risk of absence or loss of productivity where colleagues are transitioning into new roles.	Open	This risk will remain open. Transitioning of activity has occurred in some areas of the business, particularly Customer Service and Locality. Some transition was impacted by the COVID pandemic and in line with the above risk work has resumed and will be reported at Innovation & Improvement Group.
Vacancies impact on service delivery, loss of key skills and impacts on customer experience.	Closed	This risk was closed as since January 2020 the council has undertaken a successful programme of recruitment to fill the vacancies remaining in the operating model. There are two outstanding vacancies in specialist services, as there are some national shortages for specialist skills, but the council is working with specialist agencies to recruit to these roles.
Lack of capacity to deliver the workstream and undertake its activity to the standard required.	Closed	This risk is closed as the Human Resources workstream has delivered the activity set out in the programme plan and is moving into business as usual activity.
There is a risk that the organisation sees an increase in the number of leavers/vacancies as the period for paid protection comes to an end.	Open	This risk will remain on the log until the end of the calendar year, when those affected in phase two come to the end of their paid protection. The risk is relatively low, based on our experiences of phase one.

Transition Workstream

The transition workstream was responsible for ensuring that the transition from the old way of working to the new is successful.

Risk Description	Risk Status	Update
Lack of capacity and/or capability internally to deliver the transition management activity required.	Open	Transition, particularly for staff in Phase 2 was impacted by the COVID pandemic. Transition is a workstream that will continue under the new Innovation and Improvement Group.
Transition management lead/staff do not fully understand the operating model.	Open	The next training session with the Leadership Team is set to identify where issues are occurring in relation to staff understanding the operating model. Plans to address this are to be produced from this work and implemented by the Transition workstream.

Change and Engagement

The Change and Engagement workstream was responsible for ensuring that effective communication and employee engagement was achieved during the programme.

Risk Description	Risk Status	Update
The risk is that low staff morale leads to a lack of engagement, lower productivity performance and feeling of disempowerment.	Open	Morale is a factor across the organisation which has been greatly impacted by the pandemic. This will remain open on the risk log. Mitigations include; new Mental Wellbeing at Work policy and extensive use of our Employee Assistance Programme including counselling support.
Lack of training and development for Team Leaders leads to the model not being formed and teams not functioning correctly.	Closed	This risk is now closed. Team Leaders are attending HR Bitesize sessions and will be attending a course (supported by Kendal College) to gain an ILM Level 3 qualification.

Communications

The Communications workstream was responsible for effectively communication the activity of the programme to staff, members, customers and partners.

Risk Description	Risk Status	Update
Lack of capacity within the communications team to deliver programme activity v. business as usual.	Closed	A case management resource was recruited in April 2020 to support the work of the Communications Specialists.
Communications activity and the key role it plays isn't fully understood by the programme team.	Closed	Senior Communications Specialist is part of the Innovation and Improvement Group and will be responsible for a communications plan that informs the organisation, partners and residents of innovation and improvement activity.
The risk is a lack of clarity around the date for the launch of My Account makes it difficult to plan and resource an effective communications and marketing plan.	Closed	There is clarity from the business on the type of marketing campaign that will be used. This activity is reported into the Innovation and Improvement Group and shared with Cabinet Members as the Steering Group.
Communications activity isn't strategic resulting in reactive action and lack of coherent approach to audiences.	Closed	Senior Communications Specialist is part of the Innovation and Improvement Group and will be responsible for a communications plan that informs the organisation, partners and residents of innovation and improvement activity.

Digital

The digital workstream was responsible for the delivery of the technology that will underpin the operating model.

Risk Description	Risk Status	Update
There is a risk that the timetable for enablement could be delayed, due to the live environment requiring several upgrades to bring it up to the current version 19.10.	Closed	My Account was enabled on 18 th May 2020. The live environment was upgraded prior to this switch on of the account functionality.
There is a risk that the timetable for enablement could be delayed as Eden intend to go live the week before SLDC and this could impact resources from both the shared IT service and Meritec.	Closed	This risk was closed in April, following Eden's decision to go live with their account in July. My Account was enabled at SLDC on 18th May 2020.
Eden and SLDC independently change systems that make up the digital platform causing additional work and delays.	Closed	Whilst this is still as risk for the councils to manage it is now the responsibility of the Joint Digital Board to monitor and mitigate this risk. A digital prioritisation piece is has been carried out by the Innovation and Improvement Group which includes where joint working can occur.
The risk is that elements of the digital project not delivered on time.	Open	To be managed through the Innovation and Improvement Group and monitored against the digital prioritisation plan.
Elements of the Digital Platform do not conform to the Enterprise Design.	Closed	Enterprise Design developed and agreed in both Councils. The governance about how this is implemented and developed are being developed. All configuration of the digital platform and all systems that connect to it, will be guided by the Enterprise Design. Enterprise Solution Design signed off in December 2018.
Elements of technology not able to meet requirements.	Open	The technology we have procured can be developed and configured in a variety of ways to ensure our requirements are met. A development plan will be created to document functionality that we want but the technology can't deliver right now. A great deal of this has been captured in the review of technology performed by Ignite as part of the business case. Subject matter experts will be involved in the design of the processes and solutions. Should a component of the technology not deliver requirements then we'll replace with alternate systems, components.
Data Quality issues result in systems that do not operate effectively.	Open	Resources are allocated to improve the quality of data prior to it being migrated from existing systems into the new systems.
Cost of building and delivering the technology is more than expected.	Open	All budget decisions for spend that is outside of the original estimates, are agreed by the Senior Responsible owners in both Eden and SLDC. Costs for joint elements of the programme are split between the two councils.