Committee:	OPERATIONS	**Agenda Item**
Date:	28 JUNE 2007	**8a**
Title:	**UTTLESFORD IN 2011 TRANSFORMATION PROGRAMME – PROGRAMME INITIATION DOCUMENT**	
Author:	Mike Brean, Director of Business Transformation 01799 510330	Item for information

Summary

1. The Uttlesford in 2011 programme initiation document is attached at appendix 1 to this report. It defines the overall programme, forms the basis for its management and the assessment for its overall success.

Recommendations

2. That the committee note and endorse the programme initiation document.

Background Papers

3. The following papers were referred to by the author in the preparation of this report and are available for inspection from the author of the report.

   ▪ The report to council on 12 December 2006;
   ▪ The report to council on 15 February 2007.

Impact

Communication/Consultation	A draft of this report was circulated to the Strategic Management Board for comments.
Community Safety	None
Equalities	None
Finance	None other than those already reported to Members on 12 December 2006 and 15 February 2007.
Human Rights	None
Legal implications	None
Ward-specific impacts	None

Workforce/Workplace	None other than those already reported to Members on 12 December 2006 and 15 February 2007.

Situation

4. The programme initiation document was discussed at the Strategic Management Board meeting on 22 May 2007 and is shown at appendix 1 to this report. It sets out the overall project plan including the key milestones.

Risk Analysis

5. A full risk register associated with the Uttlesford in 2011 Transformation Programme is set out at appendix B to this report.

Uttlesford District Council

Uttlesford in 2011 Transformation Programme

PROGRAMME INITIATION DOCUMENT

Programme name	*Uttlesford in 2011 Transformation Programme*

Release	Date:15/06/07

PRINCE2

Author:	Mike Brean
Owner:	Mike Brean
Client:	Uttlesford District Council
Document Number:	Version 1.0
Contact	Mike Brean 01799 510330

Purpose

To define the overall programme and individual projects, to form the basis for its leadership, management and the assessment of its overall success.

Contents

Document History

Document   This document is only valid on the day it was printed.
Location   The source of the document will be found in the Control section of the
                 Project File.

Revision   Date of next revision:
History

Revision date	Previous revision date	Summary of Changes	Changes marked

Approvals   This document requires the following approvals.
                 Signed approval forms are filed in the project files.

Name	Signature	Title	Date of Issue	Version

Distribution This document has been distributed to:

Name	Title	Date of Issue	Version
Strategic Management Board		22/05/07	1.0

Business case

The Chief Executive's vision for the council is to set new standards for excellence in service delivery and community leadership beyond anything yet achieved by any small district in England. Our ambition is for the council to be the pre-eminent small district in the country. It is vitally important that this vision is shared by staff and councillors and communicated to our partners, citizens and businesses in the district. Equally important is the delivery of the priorities required to turn the vision into reality.

The Uttlesford in 2011 Transformation Programme will enable the council to achieve that vision and illustrates the longer-term direction up to 2011. High-level action plans, including budget details, have been developed for each activity. In most cases, the budget has been considered by the appropriate committee as part of the 2007/08 budgetary process. The structured approach to delivering the transformation programme is covered in more detail later in this document.

The transformation programme is organic and its associated actions will be monitored, reviewed and updated as new ideas and initiatives arise. Transforming Uttlesford is about innovation and exploration, finding new ways of doing things and doing things more efficiently. The resources associated with the programme are shown where known. Any projects earmarked for inclusion in the programme will be subject to the council's business case methodology. Decisions on whether projects or initiatives proceed will be based on their relevance to corporate priorities and strategic objectives, plus the potential return on capital and revenue expenditure.

It is clear from the council's newly established medium term financial strategy that the organisation faces significant financial challenges over the coming years. The council is geared to deliver current services in a traditional way. The Integrated Customer Management initiative has already started to change the way we deliver services. The transformation programme will build on this and deliver true transformation through which true change is made. It will create sustainable, internal capacity and capability to tackle the many challenges facing the organisation.

The transformation programme has an ambitious and challenging target of delivering £1.5m revenue savings between now and 2011. This will not be achieved through the council's established organisational re-engineering programme alone and some important decisions will have to be made in the near future about the way we deliver our services. To this end, a strategic approach to shared services and collaborative working has already been developed which will provide a platform for moving this important initiative forward.

Programme definition

Programme objectives

Through the transformation programme, the council will create sustainable, internal capacity and capability. It will also take advantage of every opportunity to share services and work in collaboration with other organisations.

It is important that the council is able to demonstrate that it has achieved new standards of excellence and community leadership and fulfilled its ambition to be the pre-eminent council in England. To enable this to be done, a set of core marks of excellence are being established to review, monitor and assess how we have progressed. A key feature of the development of the marks of excellence has been the involvement and consultation with staff in the U2011 and council budget staff 'drop-in' sessions that have taken place over the last few weeks.

The core marks of excellence will be finalised shortly, but it is expected that they will at least cover the following areas: -

- Quality
  - European Foundation for Quality Management (EFQM)
  - Chartermark
  - International Organisation for Standardisation (ISO) 9001
  - Investors In People

- External assessment
  - Comprehensive Performance Assessment (CPA)
  - Best Value Performance Indicators (BVPI)
  - Key performance indicators (use of balanced scorecard)

- Cost
  - Cost per service
  - Value for money (VFM) reviews

- Performance
  - Service capability evaluations and performance improvement programmes

- Customer service
  - Satisfaction surveys
  - Customer service standards

- Sustainability
  - Exceeding government targets and standards
  - International Organisation for Standardisation (ISO) 14000

- Profile and reputation
  - Local Government Association reputations campaign
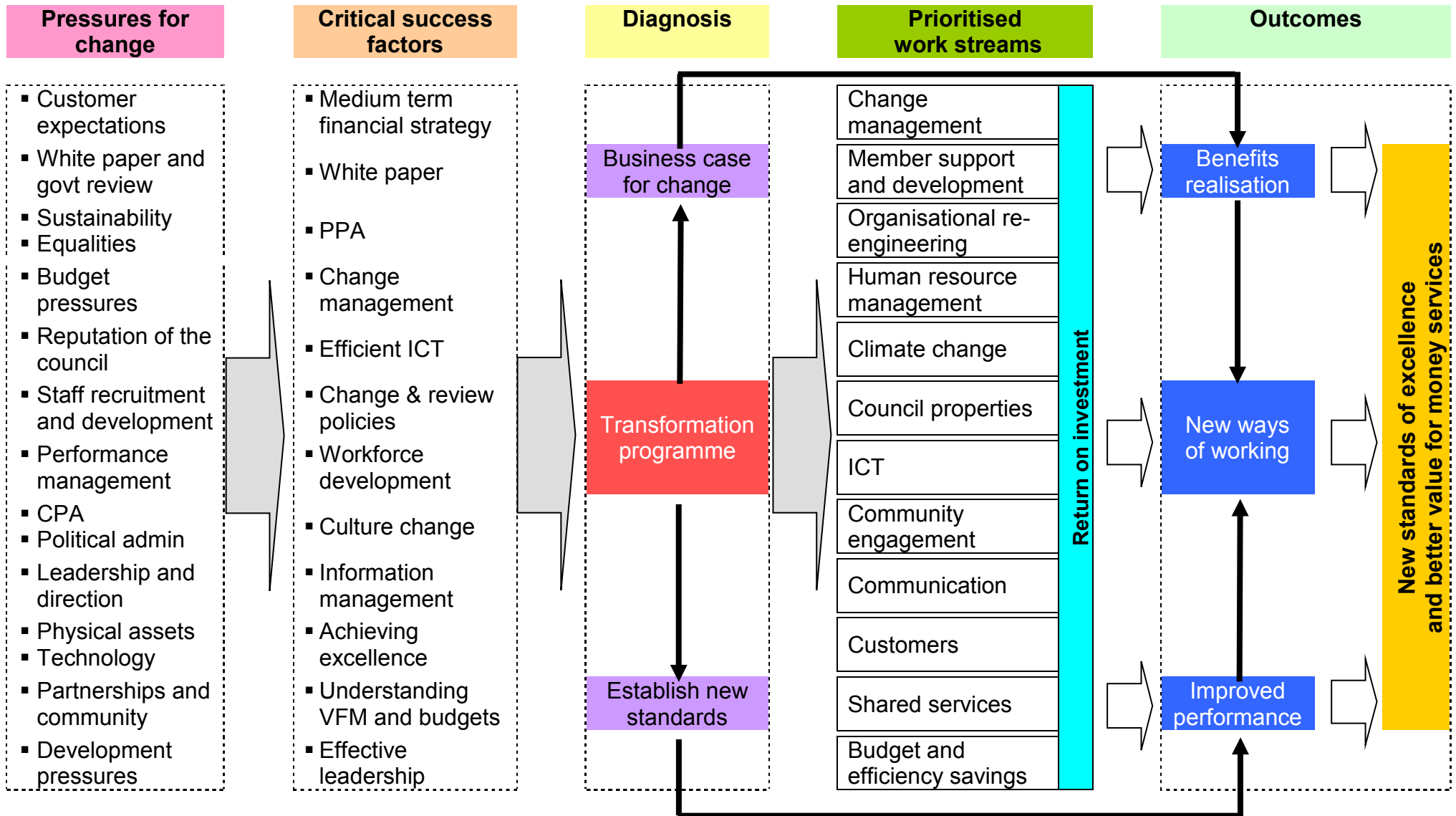 - National awards for service quality and excellence

Defined method of approach

There are a number of challenges and pressures for change facing the council over the next few years. The Strategic Management Board has developed these into critical success factors that the organisation needs to focus on and which have been incorporated into the transformation programme.

To manage the implementation and enable effective delivery, twelve major work streams have been developed within the framework of the programme to prioritise our efforts and allocate resources. The diagram on the next page helps to explain how all the elements of the programme fit together.

The approach to delivering the transformation programme is as follows: -

- Programme Design
  - Setting the clear direction of travel by way of whole programme design providing a four year activity plan, identified projects, identified resources, and summary work stream outcomes;

- Programme Management
  - Maintaining momentum, reviewing applicability of the programme, assuring benefits are realised, transition plans meet objectives and that quality of transformational delivery remains high;

- Project management & delivery
  - Directly managing individual project work streams ensuring joint teams deliver to programme and that appropriate professional assistance is provided by specialists at the right time.
  - Using the council's own toolkit to manage the projects, embracing the Prince2 methodology.

- Creating internal capability and building capacity
  - Comprehensive assessment and achievement of learning targets focused upon the creation of a self sustaining internal capability.

Pressures for change	Critical success factors	Diagnosis	Prioritised work streams	Outcomes

Pressures for change
- Customer expectations
- White paper and govt review
- Sustainability
- Equalities
- Budget pressures
- Reputation of the council
- Staff recruitment and development
- Performance management
- CPA
- Political admin
- Leadership and direction
- Physical assets
- Technology
- Partnerships and community
- Development pressures

Critical success factors
- Medium term financial strategy
- White paper
- PPA
- Change management
- Efficient ICT
- Change & review policies
- Workforce development
- Culture change
- Information management
- Achieving excellence
- Understanding VFM and budgets
- Effective leadership

Diagnosis
- Business case for change
- Transformation programme
- Establish new standards

Prioritised work streams
- Change management
- Member support and development
- Organisational re-engineering
- Human resource management
- Climate change
- Council properties
- ICT
- Community engagement
- Communication
- Customers
- Shared services
- Budget and efficiency savings

Return on investment

Outcomes
- Benefits realisation
- New ways of working
- Improved performance

New standards of excellence and better value for money services

Programme scope

Uttlesford in 2011 is a major change programme, which is wide ranging and cuts across the whole authority. It will impact on all staff and services within the organisation.

The twelve work streams have purposely been designed to ensure that the programme covers all relevant aspects of service delivery, especially those which are citizen focussed.

A key part of the programme is to drive service improvement and efficiency throughout the organisation so that it becomes second nature.

The outcomes that can be expected will be improvements in the provision of services to citizens in the district and a reduction in the costs incurred in the provision of those services.

Programme deliverables

1. The key deliverable is the achievement of the council's aspiration of being the pre-eminent small district in the country.

2. Services that are citizen and business, not provider led which are high quality and offer value for money.

3. Citizens can expect to receive their enquiries answered in a joined up way so that they are not only speaking to 'one council' but 'one government'.

4. The community can expect the council to be a community leader on climate change and carbon emission reductions.

5. A council that is able to evolve and equipped to deal with constant change.

Programme Dependencies

- Leadership and support from SMB to the transformation programme.

- Commitment of time resources from work stream SMB sponsors and lead officers.

- The transformation programme represents a major change programme for the council and will impact on the way services are delivered in the future. This change will affect all staff and services within the organisation and will have to be led and managed effectively.

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Interfaces

For the successful delivery of this programme, the Strategic Management Board will provide leadership and SMB Sponsors will closely with work stream leads. Individual project team leaders and members will be working closely with staff from all Directorates within the Council. Members will also be regularly consulted and informed.
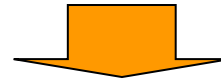
There will also be a need to work and consult both internally with staff and Members and externally with partners and stakeholders. The overall communications plan for the transformation programme will ensure that this happens effectively.

Assumptions

1. The transformation programme has the full commitment of Members and the Strategic Management Board.

2. That the council's budgetary position will be regularly reviewed and the medium term financial strategy updated accordingly.

3. That the organisation is capable of achieving significant change.

4. Sufficient resources are committed to the programme.

5. Senior management are committed to investigating and implementing new ways of working, improving services and delivering efficiency gains.

Governance Model

Operations Committee	
Purpose	High level direction Political and citizen perspective
Membership	Councillors Chief Executive (Programme Sponsor) Director of Business Transformation (Programme Lead)

| Strategic Management Board	
Purpose	Ensure programme vision is realised
Membership	Chief Executive (Programme Sponsor) Director of Business Transformation (Programme Lead) Work stream sponsors (Directors) Other Directors Assistant Chief Executive (risk management)

Director of Business Transformation (Programme Lead)	
Responsibility	Accountable for successful delivery of the transformation programme

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OR and Change Management
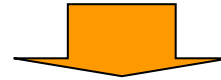
Work Stream Sponsors

Responsibility   'Owners' of the work streams and responsible for delivery of all the work stream actions, within timescale and budget.
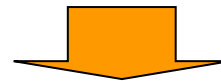
Work Stream Lead Officers

Responsibility   Management and coordination of each of their work stream projects and project managers.
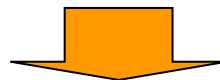
Access to expertise and capacity	
External	Internal
Expertise	Legal, internal audit, ICT, property, communications, consultation

Task and divisional user groups
e.g. communications, sustainability, continued cohort groups

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Work stream	SMB sponsor	Lead officer
Change management	Mike Brean	OR & Change Manager
Member support and development	Tracy Turner	Andrea Oram
Organisational re-engineering	Mike Brean	OR & Change Manager
Human resource management	Phil O'Dell	Andrea Oram, Jo Ware & Bronwen Stacey
Climate change	Mike Brean	Jake Roos
Council properties	Mike Brean	Simon Martin
Information and communications technology	Mike Brean	Adrian Webb
Community leadership	Tracy Turner	Alaine Clarke
Communication	Tracy Turner	Richard Auty
Customers	Tracy Turner	Richard Auty
Shared and collaborative services	Mike Brean	Alaine Clarke
Financial management and efficiency savings	Phil O'Dell	John Dyson

**Uttlesford in 2011
Transformation Programme**

2011 Programme Management

2011 Project Management

2011 Change Management

2011 Project work streams

2011 PROGRAMME MANAGEMENT

INITIATE → **DESIGN** → **EXECUTE** → **REVIEW**

INITIATE	DESIGN	EXECUTE	REVIEW
Develop Mandate	Authorise PID and Project	Monitor and review progress	Project effectiveness review
↓		↓	
Assign roles and responsibilities		Process change requests	
↓		↓	
Appoint project board		Update programme plan risks and budgets	
		↓	
		Escalate issues	
		↓	
		Project board design review	
		↓	
		Project closure	

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2011 PROJECT MANAGEMENT

INITIATE	→	DESIGN	→	EXECUTE	→	REVIEW
Develop project brief		Develop business case		Project plan implemented		Post project report and evaluation
↓		↓		↓		↓
Build project team		Risk assessment		Monitor and report plan, budget and risks		Quarterly benefits realisation
↓		↓		↓		
Kick off meeting		Design project plan		Report exceptions		
		↓		↓		
		Draft and submit PID		Review project parameters		
				↓		
				Project completed		

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2011 CHANGE MANAGEMENT

INITIATE	→	DESIGN	→	EXECUTE	→	REVIEW

INITIATE	DESIGN	EXECUTE	REVIEW
Identify key stakeholders	Conduct change impact assessment	Plan changes to performance and job roles	Learn and share
↓	↓	↓	↓
Develop and communicate vision	Conduct stakeholder analysis	Plan transition	Ongoing communication and stakeholder management
	↓	↓	↓
	Develop communication overview and plan	Ongoing communication and stakeholder management	Conduct review of learning
	↓	↓	
	Ongoing communications and stakeholder management	Training design and development	
	↓	↓	
	Review supporting organisational structure	Training delivery and evaluation	
	↓	↓	
	Conduct TNA and strategy	Implement new structure and changes to roles etc	

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INITIATE PHASE

| PROGRAMME | Develop Mandate | → | Assign roles and responsibilities | → | Appoint project board |

| PROJECT | Develop project brief | → | Build project team | → | Kick off meeting |

| CHANGE | Identify key stakeholders | → | Develop and communicate vision |

DESIGN PHASE

PROGRAMME				Authorise PID and Project

PROJECT	Develop business case	→	Risk assessment	→	Design project plan	→	Draft and submit PID

CHANGE

Conduct change impact assessment	→	Conduct stakeholder analysis	→	Development communication overview and plan	→	Review supporting organisational structure	→	Conduct TNA and strategy

Ongoing communications and stakeholder management

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EXECUTE PHASE

PROGRAMME	Monitor and review progress	→	Process change requests	→	Update programme plan risks and budgets	→	Escalate issues	→	Project board design review	→	Project closure

PROJECT	Project plan implemented	→	Monitor and report plan, budget and risks	→	Report exceptions	→	Review project parameters	→	Project completed	→	Go live

CHANGE			Plan changes to performance and job roles	→	Plan transition	→	Training design and development	→	Training delivery and evaluation	→	Implement new structure and changes to roles etc

Ongoing communications and stakeholder management

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REVIEW PHASE

PROGRAMME		Project effectiveness review

PROJECT	Post project report and evaluation	→	Quarterly benefits realisation

CHANGE	Learn and share	→	Conduct review of learning
	Ongoing communications and stakeholder management		

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Transformation programme Roles and Responsibilities

The Governance model above summarises the programme organisational structure. The following sets out in more detail the roles and responsibilities of all those involved in the Transformation programme.

1. Operations Committee

   The Council's Operations Committee will ensure that the Uttlesford in 2011 transformation programme is properly directed and managed. The Committee will provide high level direction for the entire programme. It will provide the Strategic Management Board (SMB) with direction from both a political and citizen perspective. The Operations Committee will focus on: -

   - Ensuring that the strategic and political imperatives are agreed and delivered;
   - Communicating with other Members;
   - Monitoring the progress of the programme;
   - Evaluating the benefits to ensure that they meet key strategic priorities;
   - Providing strategic support and guidance to the Strategic Programme Board;
   - Monitoring key milestones for programme delivery;
   - Approval of (and where necessary to request) fundamental changes to the programme.

2. Strategic Management Board

   The Strategic Management Board will ensure that the transformation programme vision is realised. It is responsible for the overall direction and management of the project and has responsibility and authority for the project within the remit set by corporate management. It is the level at which key decision making and direction setting takes place. The membership of SMB is as follows: -

Role	Name	Responsibility
Programme Board Members	▪ Alasdair Bovaird (CE and chair)	▪ Programme Sponsor
	▪ Mike Brean	▪ Programme Lead and work stream sponsor
	▪ Phil O'Dell	▪ Work stream sponsor
	▪ Tracy Turner	▪ Work stream sponsor
	▪ Diane Burridge	▪ Board member
	▪ John Mitchell	▪ Board member
	▪ Michael Perry	▪ Board member and responsible for risk management

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SMB is responsible for: -

- Ensuring the programme vision is realised;
- Assessing the performance of the programme management and taking management decisions;
- The allocation of resources between component programmes and projects;
- Giving direction on individual programme and project issues;
- Providing overall responsibility and authority for the Change Programme;
- Ensuring alignment of the Transformation programme with the Council's strategic objectives;
- Accountability for the Transformation programme's success;
- Addressing and removing any barriers affecting the Transformation programme;
- Sponsoring the actions required to ensure corporate commitment to the Programme;
- Allocation of the Programme budget;
- Providing direction regarding issues raised by the Strategic Programme Director;
- Monitoring the performance of the component programmes and projects;
- Ensuring effective risk management and legal compliance;
- Approving (and where necessary requesting) changes to programme management procedures, programme plans, stages, programme deliverables and funding;
- Commissioning external support, if required, to maximise Programme success;
- Formally closing component programmes and commission their review.

3. Programme Sponsor

The Programme Sponsor is the Chief Executive. He has overall responsibility for the programme and represents the council's interests. As a member of SMB, reviews and approves throughout the project.

4. Programme Lead

The Director of Business Transformation is accountable for successful delivery of the Transformation programme. In consultation with the Chief Executive, he has ultimate decision making authority to challenge the progress of the Programme, and also to provide support and guidance to the SMB sponsors responsible for each of the programme work streams. This role acts as both the internal and external champion of the Transformation Programme, facilitating buy-in through effective communication, demonstrating clear leadership and ensuring effective decision making.

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5. <u>User Representatives</u>

   Ensure that the programme and work stream activities are comprehensive and fit for purpose. Also, any projects meet the needs of the users within the constraints of budget and business case. As members of specific project teams, review and approve throughout the project.

6. <u>Supplier Representatives</u>

   Where involved in transformation programme activity, ensure sufficient resources are available to meet project commitments and solutions.

7. <u>OR and Change Manager</u>

   Co-ordinate, manage and report on change management issues. In relation to OR, ensure the programme delivers outcomes on time and to budget.

8. <u>Work Stream Lead Officers</u>

   Management and coordination of each of their work stream projects and project managers. Responsible for coordinating communication of progress of work streams that they are responsible for.

9. <u>Project Assurance</u>

   Assurance covers all interests of the project, including business, user and supplier. Programme assurance has to be independent of the programme lead.

   This role is usually a subject matter expert and is focussed on reviewing/challenging programme and project deliverables and advising the programme board.

   Work stream leads

   Each work stream will comprise a number of projects, actions and tasks. These will be managed by individual project leads. Reporting to the Work Stream Lead Officer, their prime responsibility is to ensure delivery of the projects.

   Team members

   Team members will often be a combination of technical staff (i.e., have specific competencies) and service specialists (i.e., have a deep service knowledge).

   The U2011 Risk Management Group will also provide the programme with assurance, challenge and scrutiny.

10. <u>Advice</u>

Council staff involved in legal, internal audit, ICT, property, communications and consultation work may be required to provide advice on specific aspects of the transformation programme.

11. <u>Task and Divisional User Groups</u>

Their role is to act as an interface between projects and services. They will help communicate project progress to service colleagues, provide guidance to the team and may challenge the quality of project assumptions or deliverables. However, user groups do not have decision making authority and do not work on the project. Issues and risks that they identify should be escalated to the Project Lead.

Programme and project management

Management and control of the transformation programme and associated projects will follow the council's project management methodology, which has been developed in line with PRNCE2.

Project quality plan

There will be a fully auditable trace of the programme identifying methodologies, results and recommendations.

The methodology and results will be reviewed by the U2011 Risk Management Group and by the council's audit team.

Project tolerances

Variations against the many projects and actions will appear and it is essential for progressing these that the Programme Lead, SMB Sponsors and Work Stream Lead Officers do not have to get agreement from SMB for additional minor variations. However, SMB will not want progress to deviate wildly from the Work Stream plans without being informed of any variations.

Tolerances will be permissible deviation from the plans. The two standard tolerance elements will be: -

1. Time
2. Cost

Tolerance figures will be developed for those two elements.

Project controls

There are various levels of control in the programme. The programme will be reviewed monthly by SMB, which will receive information from the Work Stream Sponsors via their Work Stream Lead Officers. The Work Stream Lead Officers will inform the Programme Lead and SMB on an exception basis. The Operations Committee will receive regular progress reports. The programme and project controls are detailed in the council's project management toolkit.

Communication Plan

The transformation programme communications plan is being developed. It will be complementary to and form part of the council's overall communications plan.

Overall objective is to provide effective internal and external communications on the transformation programme.

Aims:
- Raise awareness
- Increase understanding
- Secure engagement
- Achieve commitment

A model communication plan is shown at appendix A.

Programme and project plans

The high level action plans for each work stream can be found in the report to council on 15 February 2007 at appendix 2. They have not been reproduced here due to the number of pages contained in the appendix.

Projects and actions within individual work stream plans are being monitored through Covalent, the council's performance management system. The reports will shortly be accessible on the council's intranet.

Appendices

      A Model communications plan
      B Risk register

Stakeholder	Interest	Preferred / Initial Means of Communication / Notes	Channels to be Used	Frequency	Deliverer
Public	Interest in a service that affects all people living in the district. Need to know if means of accessing the service changes	Press Releases Advertisements	Briefing Document Advertisements	As required	Work stream Lead Officer and Comms Team

UTTLESFORD IN 2011 TRANSFORMATION PROGRAMME INITIAL RISK REGISTER
(Prepared in accordance with guidance issued by the Office of Government Commerce)

This risk register has been prepared by the risk management team comprising Simon Martin, Christine Oliva, Lynn Rusling, Jitendra Patel, Michael Perry, Bronwen Stacey & Geoff Smith. It has been prepared in thirteen sections. Sections 1 – 12 examine the risks involved in each individual project stream. Thereafter is an overarching risk assessment for the project as a whole. In each of sections 1 – 12 risks have been identified, the probability of the risk occurring assessed, the consequences arising from the risk occurring identified and mitigating measures suggested. For the overarching risk assessment the interaction of the project streams with each other have been considered and the consequences of failure of each of the individual streams identified. Some additional generic risks have been highlighted. In each case the probability and impact of the risk has been assessed and again mitigating measures have been suggested.

Risks have been graded from 1 – 4 as follows:-

1 = Little or no risk or impact

2 = Some risk or impact – action may be necessary.

3 = Significant risk or impact – action required

4 – Near certainty of risk occurring, catastrophic effect or failure of project.

Each risk assessment is supported by a graph plotting each of the numbered risks showing the probability of the risk occurring and the impact if this should happen. The graph shows a thick line which represents the group's risk appetite. Risks within the line are tolerable and require no special attention although proportionate mitigation has been suggested in some cases. Risks outside the

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line require managing and efforts should be made to reduce the probability of the risk, the impact of it occurring or both to bring the risk within the line or at least closer to it.

Members of RMG will meet with risk owners at least quarterly to discuss progress on the work stream. They will then report back to a meeting of RMG. If there are serious concerns the risk owner will be invited to attend the meeting to discuss these. RMG will reassess the risks at their quarterly meetings and will report any changes to SMB.

UTTLESFORD IN 2011 TRANSFORMATION PROGRAMME INITIAL RISK REGISTER

(Prepared in accordance with guidance issued by the Office of Government Commerce)

Work Stream 1: Change Management
Risk Owner: OR and Change Manager

	Risk	Consequence	Probability	Impact	Response
1	Absence of a project plan	Cannot monitor/gauge success or slippage	1	3	Prepare detailed project plan
2	Change of political direction	Project may be under resourced	2	2	Review change management programme and re-program as necessary.
3	Lack of Resources, financial and staff time	Delays in delivering project	2	3	Identify necessary resources in project plan
4	Poor project management	Failure to delivery project on time if at all	1	3	Project manager should have adequate training. Project should be monitored by SMB.
5	Lack of training/ability to do what expected	Failure to delivery project on time if at all.	1	3	Project manager should have adequate training. Project should be monitored by SMB.
6	Absence of clear targets or outcomes	Inability to measure progress or success of project.	1	3	Needs to be clearly built into project plan with milestones.
7	Resistance to change	Delays in delivering the project	2	3	Consult and engage with staff.
8	Unreasonable expectations	Unrealistic targets and outcomes	2	3	Analyse project to ensure targets deliverable within timescale.

UTTLESFORD IN 2011 TRANSFORMATION PROGRAMME INITIAL RISK REGISTER
(Prepared in accordance with guidance issued by the Office of Government Commerce)

Work Stream 2: Member Support and Development
Risk Owner: Andrea Oram

	Risk	Consequence	Probability	Impact	Response
1	Absence of a project plan	Cannot monitor/gauge success or slippage	1	3	Prepare detailed project plan
2	Poor timetabling – members trying to juggle other work activities/jobs etc	Lack of member engagement. Potential breach of legislation by members	3	3	Prioritise training. Spread options and opportunities.
3	Members resistance (inertia – 'I don't need training')	Lack of member engagement. Potential breach of legislation by members.	1	3	Prioritise training. Spread options and opportunities.
4	Member training/development needs not identified or prioritised	Lack of member engagement. If not trained not able to contribute at same level. Possibly acting in breach of legislation.	2	2	Evaluating training needs of individual members and drawing up a programme to address individual training needs and monitor development plan. Take into consideration individual learning styles. Monitor and review.
5	Lack of finances/resources	Members fail to receive training they need.	1	3	Identify necessary resources in project plan

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6	Lack of understanding by members of their role and the roles of officers and the Council	Unrealistic expectations from members which may have possible damaging effect on the view of the electorate.	2	3	Explanation of role to be built into initial member training.
7	Inadequate training of chairs of committees	Poor perception by public of meetings. Inefficient conduct of meetings. Flawed decision making.	2	2	Give dedicated training to chairmen of committees.
8	Failure to keep members up to date	Ultra vires decisions. Poor customer relations. Missed opportunities	2	3	Officers need to have a protocol disseminating information to members. If taking delegated decision relating to members ward ensure that member is told.
9	Failure to induct new members introduced at by-elections.	Member unable to fully fulfil their role	3	3	Ensure proper induction plan is available for incoming members.

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UTTLESFORD IN 2011 TRANSFORMATION PROGRAMME INITIAL RISK REGISTER
(Prepared in accordance with guidance issued by the Office of Government Commerce)

Work Stream 3: Organisational re-engineering
Risk Owner: OR and Change Manager

	Risk	Consequence	Probability	Impact	Response
1	Absence of a project plan	Cannot monitor/gauge success or slippage	1	3	Prepare detailed project plan
2	Impact on service delivery during OR process	Reduced service delivery and failure to meet PIs	2	3	Ensure adequate resources and time table for OR. Plan OR session with the team at mutually convenient times.
3	Unreasonable expectations	Objectives and targets not met.	2	3	Clear communication from senior management in respect of OR aims.
4	Failure to keep to timetable	Slippage in whole timetable delaying final efficiency savings	2	3	Regular monitoring to address issues of slippage promptly.
5	Activities viewed vertically but horizontal cross-cutting operations not reviewed	Missed opportunities	2	3	Where an operation involves more than one service unit the entire process needs to be reviewed not just the part relating to service under review.
6	Staff resistance to process/OR outcomes	Inability to delivery on change.	2	3	Refer to Work stream 1. Adopt change management programme.
7	OR outcomes not being actioned/OR outcomes not achieving desired result	Missed opportunities, targets not fully met. Decline in staff morale. Efficiencies not achieved.	2	2	Action Plan to be prepared for actioning the outcomes. Plan to be monitored and reviewed.

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8	Over-reliance on agency staff	We are unable to retain good staff as looking for jobs elsewhere. Budgetary implications and additional costs Inefficiencies	4	3	Review the policy as a priority.
9	Failure to engage with team being OR-ed	Missed opportunities and staff morale	2	3	Pre-commencement meeting between key players from both OR Team and Team being OR-ed and jointly developed work plan.

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Work Stream 4: Human Resource Management
Risk Owner: Jo Ware, Bronwen Stacey, Andrea Oram

	Risk	Consequence	Probability	Impact	Response
1	Absence of a project plan	Cannot monitor/gauge success or slippage	1	3	Prepare detailed project plan
2	Lack of resources, financial and staff	Inability to delivery on project	3	4	Identify sufficient resources to deliver project as part of project plan.
3	Lack of buy-in to goals by management/councillors	Delay of delivery of project	1	3	Ensure shared commitment among SMB and members.
4	Lack of clarity of workforce 2011 vision	Mismatch of available staff to the needs of the Council	1	3	Assign ownership of project to responsible person.
5	Change of political direction	Possible reduction in resources.	1	3	To engage politicians in strategy.
6	Lack of HR expertise to achieve some goals	Failure to deliver project	3	4	Ensure fully staffed HR department properly trained.
7	Failure/lack of commitment to achieve IIP	Reputational damage	1	2	Prepare an action plan to achieve accreditation and implement Action Plan.
8	Lack of corporate commitment to achieve Equality Standard	Reputational damage	1	3	HODs to actively engage in impact assessments relating to Equalities Policy.

9	Decline in good industrial relations	Diversion of HR resources strategic issues causing slippage.	2	3	Ensure consultation and liaison with union.
10	Resistance to change	Slippage.	2	2	Communication and engagement.
11	Existing terms and conditions do not continue to be fit for purpose	Lack of flexibility/control	3	2	Draw up and agree new terms and conditions.
12	Lack of capacity to deal with change at all levels	Slippage and policies not being fully implemented.	3	3	Prioritise introduction of changes.
13	Difficulty in recruiting/retaining suitable staff	Slippage or failure of project, poor service delivery	2	3	Anticipate staff needs, ensure UDC is an employer of choice

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Work Stream 5: Climate Change
Risk Owner: Jake Roos

	Risk	Consequence	Probability	Impact	Response
1	Absence of a project plan	Cannot monitor/gauge success or slippage	1	3	Prepare detailed project plan
2	Lack of financial support/resources	Lack of funds may cause project to fail	3	4	Where possible spend to save. Ensure cost benefits. Make maximum use of grants. Ensure proper financial planning.
3	Risk of loss of expertise	Delay	2	3	Provide training to other staff to share expertise. Identify where to get expertise from if required.
4	Lack of clarity council-wide	Lack of commitment. Missed opportunities.	3	3	Campaign of communication.
5	Unrealistic expectations	Unjustified perception of failure	1	1	No response required. Risk/consequence tolerable
6	Lack of commitment	Missed opportunities and slippage	2	3	Communication and engagement.
7	Staff relations, staff resistance	Missed opportunities.	2	2	Communication of benefits and engagement
8	Failure to balance the benefits of proposals with the consequences to the environment	Additional costs for small/no benefit or even environmental detriment	2	3	Carry out environmental cost benefit and environmental impact assessment in respect of each project.

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Work Stream 6: Council Properties
Risk Owner: Simon Martin

	Risk	Consequence	Probability	Impact	Response
1	Absence of a project plan	Cannot monitor/gauge success or slippage	1	3	Prepare detailed project plan
2	Financial Resources	Failure of project	2	1	Proposals are properly budgeted and costed.
3	Political will	Missed opportunity	2	1	Ascertain views of Members before examining options
4	Public Pressure	Poor public relations which could result in member pressure	3	1	Engage in public consultation.
5	Lack of suitable sites	Not being able to implement plan	1	1	No response required. Risk/consequence tolerable
6	Inability to find suitable buyer or use	Not have funds to undertake move	3	1	Early market research to establish best uses to secure a sale and obtaining any necessary consents
7	Failure of new sites to deliver	Impact on working conditions and service provision.	1	3	To investigate any potential sites thoroughly. Proper project plan.
8	Failure to predict/anticipate future needs	Accommodation may become too large/small	3	3	To ensure that any accommodation had a degree of flexibility and would allow sub-letting and expansion

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9	Staff retention	Need to recruit replacement staff. Temporary reduction in service	2	3	To provide disturbance allowance for staff that have been relocated.

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Work Stream 7: Information and Communications Technology
Risk Owner: Adrian Webb

	Risk	Consequence	Probability	Impact	Response
1	Absence of a project plan	Cannot monitor/gauge success or slippage	1	3	Prepare detailed project plan
2	Insufficient resources	Project not being delivered	2	4	Identify sufficient resources to deliver project as part of project plan.
3	Skilled staff shortage e.g. IT staff	Missed opportunity/slippage	2	3	Build training into project plan.
4	Impact on service during transition	Decline in performance affecting PIs and customers	3	3	Ensure proper change over period. All systems fit for purpose and adequate time allowed for change over and backup. Temporary staff support services in transition.
5	Lack of proper evaluation of system needs capacity and capability	Reduction in service delivery	3	3	Ascertain service requirements and involve teams in selection and investigation of the system.
6	Failure or take-over of the suppliers	Service disruption. Lack of backup.	2	3	Proper vetting of supplier. Contract needs to be robust. Consider availability/cost of insurance.
7	Lack of proper/adequate staff training of new system	Service delivery and missed opportunities. Damage to staff morale	2	3	Adequate training to be built into project plan.

8	Failure of new systems to deliver promised results	Missed opportunity and slippage. Poor performance	2	3	Ensure thorough investigation of the system before buying. Thorough testing before going live and having back up.
9	Over reliance on one system	Can lose all services in one go.	1	3	To ensure adequate back up and business continuity plan in place.
10	Inability to negotiate suitable contract terms	Council may have an unfavourable contract.	2	2	Vet terms of the contract being offered.
11	Inability of systems to cope with ongoing changes	Financial impacts	3	3	Thorough vetting of systems and cost of additional systems and how they integrate. Check availability/costs of updates.
12	Staff resistance	Missed opportunities/slippage. Potential loss of service	2	2	Staff engagement and adequate training.

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Work Stream 8: Community Leadership
Risk Owner: Alaine Clarke

	Risk	Consequence	Probability	Impact	Response
1	Absence of a project plan	Cannot monitor/gauge success or slippage	1	3	Prepare detailed project plan
2	Failure to ascertain aspirations of the community	Don't know what community wants	2	3	Early effective consultation.
3	Lack of related internal communications	Missed opportunity/slippage	2	3	Ensure staff aware of results of public consultations and staff are aware of what other people are working on.
4	Creation of false expectations	Reputational damage.	1	2	Evaluate all proposals before putting in public domain.
5	Lack of resources	Slippage. Unable to delivery what we promised.	2	2	Resources to be identified as part of the project plan.
6	Community apathy/over response to influence of pressure groups	We deliver what those people who shout the loudest want and not what the majority needs.	3	3	Need to ensure that our consultation is based across a broad spectrum of community.
7	Lack of understanding of council role by members of community	Poor public satisfaction	3	2	Try and raise awareness of the council's responsibilities.

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Work Stream 9: Communication
Risk Owner: Richard Auty

	Risk	Consequence	Probability	Impact	Response
1	Absence of a project plan	Cannot monitor/gauge success or slippage	1	3	Prepare detailed project plan
2	Failure to identify what constitutes effective communication	Lost opportunity	3	3	Use all available communication methods and evaluate responses.
3	Lack of communication skills	Poor communication	2	3	Train staff in communication skills
4	Lack of resources	Slippage of project	2	2	Identify key areas and prioritise, select most cost effective communications methods
5	Change of political/top management focus	Slippage and lack of resources	2	3	Involve Members and senior management involved in drawing up the communications strategy.
6	Failure to maintain ongoing updated information	Information given out of date.	2	3	Designate officers to be responsible for updating information for their areas of responsibility. Training in procedures for introducing updates
7	Communication overload	Public/staff disengagement	3	3	Co-ordinated approach so that a message is only conveyed once

| 8 | Failure of staff to engage in cross-cutting | Repetition of communication | 2 | 3 | Co-ordinated approach so that a message is only conveyed once. Group similar messages together. |

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Work Stream 10: Customers
Risk Owner: Richard Auty

	Risk	Consequence	Probability	Impact	Response
1	Absence of a project plan	Cannot monitor/gauge success or slippage	1	3	Prepare detailed project plan
2	Lack of resources	Poor customer services	2	3	Prioritise resources
3	Customer focus group not being representative of community	We deliver what those people who shout the loudest want and not what the majority needs.	2	2	Ensure customer focus group is representative of the community by profiling
4	Systems failure	Inability to provide service	1	3	Ensure business continuity plan is in place and robust
5	Customer resistance to change	Poor take up of service. Customer dissatisfaction.	3	2	Adequate communication in advance of change to educate the public of the advantages of change. Transitional arrangements to introduce change gradually.
6	Failure to ascertain the aspirations of customers in a timely fashion	Poor take up of service. Customer dissatisfaction. Poor customer relations and waste of money.	2	3	Ascertain customer views prior to introducing change. Ascertain best practice and reaction to change from other authorities.
7	Failure to manage customer expectations	Poor customer relations	3	3	Adequate and accurate communication

8	Failure to monitor change in/and respond to, customer expectations	Customer dissatisfaction and failure to provide services required.	2	3	Expand central complaints system to capture comments and ideas from customers and evaluate the same.
9	Staff resistance to change	Slippage – poor customer services	2	2	Consult and engage with staff

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Work Stream 11: Shared and Collaborative services
Risk Owner: Alaine Clarke

	Risk	Consequence	Probability	Impact	Response
1	Absence of a project plan	Cannot monitor/gauge success or slippage	1	3	Prepare detailed project plan
2	Failure to identify suitable partners	Won't happen at all. Anticipated benefits not realised.	2	4	Seek other methods of service delivery
3	Failure to identify an appropriate partnership model	Partnership fails to deliver	1	3	Examine other local authority partnerships and carefully evaluate all options
4	Conflicts of interest	Inability for partnership to provide service.	1	2	Have contingency plans for outsourcing work where conflicts arise
5	Staff resistance to change	Missed opportunities	3	3	Consult and engage with staff
6	Customer resistance to change	Poor public perception	2	2	Consult and engage with customers
7	Failure to evaluate the potential advantages/disadvantages	Service provision at greater cost/lower service level. Inadequate service provision	1	3	Prepare full business case for consideration. Consult with customers and staff.
8	Lack of flexibility if tied to a contract	Could delay in us improving service delivery	1	3	Endeavour to negotiate flexible contracts and appropriate "get out" clauses.

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9	Impact on corporate capacity (e.g. in emergency situations, general cross cutting working group etc)	We have insufficient staff to deal with emergency situations. Cross cutting corporate issues re emergencies	1	3	Ensure all staff are available to be emergency responders. Seek volunteers for emergencies (e.g. Members, parishes etc). Engage partnership staff in working groups.
10	Failure of partnership to deliver	Heavy financial consequence and lack of service	1	3	Monitor and benchmark service performance. Endeavour to negotiate flexible contracts and appropriate "get out" clauses.
11	Failure to have an adequate fallback position in the event of dissolution of partnership arrangement	Unable to provide service.	1	3	Ensure business continuity plan is in place and robust

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Work Stream 12: Financial Management and Efficiency Savings
Risk Owner: John Dyson

	Risk	Consequence	Probability	Impact	Response
1	Absence of a project plan	Cannot monitor/gauge success or slippage	1	3	Prepare detailed project plan
2	Change of political direction	Revise priorities	1	1	No mitigation required
3	Lack of resources	Increased costs and failure to deliver the project	3	3	Monitor progress against the medium term financial strategy and take early action to redress any deviances.
4	Stansted – financing of Inquiry	Finances need to be diverted from other areas	4	3	Consider and evaluate level of representation necessary
5	Insufficient financial information	Inability to manage	1	3	Ensure staff adequately trained on the Council's financial management system.
6	Lack of training	Staff unable to manage their budgets	2	3	Ensure staff adequately trained in budget management
7	Emergencies	Funds being diverted from elsewhere	2	3	Maintain reserves at adequate levels. Ensure that emergencies are dealt with in the most cost effective manner. Recover contributions from government/other agencies where possible.
8	Reductions in Government funding	Inability to provide services	3	3	Need to find funds elsewhere or reduce expenditure or services

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| 9 | Procurement savings not identified/or realised | Missed opportunities | 2 | 3 | Train staff with responsibilities for procurement in the use of the procurement hub and marketplace |
| 10 | Additional responsibilities flowing from central Government. | Additional resources will be needed | 4 | 3 | Lobby Government to provide adequate funds/charging structures |

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Overarching Risk Register
Risk Owner: Mike Brean

	Risk	Consequence	Probability	Impact	Response
1	Failure of Work Stream 1 - Change Management	Severe delay in achieving the overall aim of being the pre-eminent small council	2	3	Change management team to work with all other teams to ensure smooth transition
2	Failure of Work Stream 2 – Member Support and Development	Poor relations between staff and Members. Members unable to perform their functions effectively.	2	2	Make available adequate training opportunities for Members to ensure full participation.
3	Failure of Work Stream 3 – Organisational Re-engineering	Severe impact on streams 4, 7, 10, 11 & 12 in terms of delay and not making best use of resources	2	4	Ensure effective and adequately staffed OR team with a planned work programme to investigate and change where appropriate all processes in advance of 2011
4	Failure of Work Stream 4 – Human Resource Management	Failure of service delivery and slippage of overall project	2	3	Provide an adequate management structure for HR. Achieve relevant standards for the authority (i.e. equalities, IIP etc). Forge close links with the change management team.
5	Failure of Work Stream 5 - Sustainability	Loss of opportunity	2	2	Assess all future projects for sustainability options and carry out an audit of current resources/practices to see where sustainability can be enhanced.
6	Failure of Work Stream 6 – Council Properties	Loss of opportunity	1	1	No mitigation required other than that set out in the risk register for this work stream.

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7	Failure of Work Stream 7 – Information and Communications Technology	Severe impact on all other work streams in terms of delay and not making best use of resources	2	3	Ensure effective and adequately staffed IT team able to introduce new systems, support staff in using those systems and dealing with data transfer as required
8	Failure of Work Stream 8 – Community Engagement	Poor customer relations, failure to target resources to needs/aspirations.	2	3	Ensure timely consultation in advance of change. Research the needs and aspirations of the community
9	Failure of Work Stream 9 – Communication	Severe impact on all other work streams – risk of streams not achieving their aims	3	3	Ensure effective joined up communications strategy
10	Failure of Work Stream 10 - Customers	Poor customer relations. Reputational damage	2	3	Monitor customer service levels and anticipate and provide for changing needs
11	Failure of Work Stream 11- Shared and Collaborative Services	Loss of opportunity – impact on stream 12	2	2	Identify services which are suitable for partnership working. Try to identify opportunities for partnership working.
12	Failure of Work Stream 12 – Financial Management and Efficiency Savings	Inability to fund other work streams and provide discretionary services	2	4	Monitor progress against the medium term financial strategy and take early action to redress any deviances.
13	Bad timetabling of overall project	Delay/slippage of streams and delivery of overall project.	2	3	Ensure that there is an overall co-ordinated project timetable and timetables for each work stream identifying when resources are needed.
14	Legislative change	Diversion of resources.	2	2	Monitor proposed legislative changes for impacts
15	Poor project management	Failure/delay in the delivery of the individual work streams or the whole project. Waste of resources.	2	4	Monitor each stream and the project on a regular basis.

| 16 | Loss of key staff | Project may be under resourced | 1 | 2 | Review change management programme and re-program as necessary. |
| | | | | | Ensure responsibility for project spread across SMB |