Appendix B – FTP Risk Register - March 2024

Risk	Topic	Risk description	Original score	Mitigated approach	Actions taken	Mitigation Status	Mitigated score	Owner
1	Organisation Develop-ment	The Council will lose key staff that it would prefer to retain resulting in a further deficit of capability and capacity to deliver the Council's priorities.	12	Consider ways of retaining key staff and formulate a plan to prevent/reduce the loss of these key members of staff during the transition, this relates to the Organisational Development/change management stream of work in the FTP. Establish fast track training plans for high staff turnover areas that are due to staff progressing to other departments i.e. Customer Services. Introduce more apprenticeships and professional career grades with associated training and development plans. Determining resource requirements to create a People Plan which will include an approach to retaining and recruiting the right people.	February 24 – The next phase of appraisals/objectives is in progress which will focus on developing SMART objectives for all staff that link to the corporate plan objectives and ensure we are acknowledging people for their contribution. Key staff identified and approach to be developed HR/EMT. Key officer forum set up and meeting regularly. EMT developing a plan to address potential loss of these key staff during the transition. KOF working with EMT on improvement projects. Review of staff turnover and exit interview reasons for leaving. January 2024 - Review of scope in progress. Considering shared role. Scoping for an external piece of work to take forward key elements of the work including Pay and Reward and Recruitment & Retention Review.	In prog	9	David Ford - TOMDG

Risk	Topic	Risk description	Original score	Mitigated approach	Actions taken	Mitigation Status	Mitigated score	Owner
2	Stakeholder engagement	Members are not sufficiently engaged and/or will not support key issues which emerge from the FTP.	12	Engage Committee Chairs in service review emerging proposals.	Early engagement with Leader & S&R Chair / Vice Chair to seek feedback and answer questions in preparation for committee meetings.	Complete	8	David Ford-TOMDG
				Member engagement to be considered in each workstream activity in the FTP.	Prog Team to engage Committee Chairs in service review emerging proposals and consider Member engagement in each workstream activity in the FTP.	Complete		
				Based on the approach used in Tandridge Finance Transformation to member engagement, Identify representative group of members to be used for early engagement throughout the duration of the programme.	A Member reference Group has now been created consisting of a small group of members (agreed with the leader of the council). Since set up in October 2022, this group has attended focused briefings on specific areas of interest such as Digital/Customer services and Assets and FM and fortnightly meetings are set to continue. All member briefings will continue to be held on specific areas of interest and in advance of committee updates where required.	Complete (with engage-ment ongoing)		

Risk	Topic	Risk description	Original score	Mitigated approach	Actions taken	Mitigation Status	Mitigated score	Owner
10	Scope Management	Changes such as movement of functions across the Council, will be made without consultation with the TOM group which will impact on the planned changes. This would potentially weaken areas of service delivery internally or in the event of outsource opportunities.	16	Agree and publish scope - reinforce change review group and change log. Change requests to be raised for all additional pieces of work and changes that impact on agreed scope at committee.	Mitigated score reduced to 4 as FTP scope is now finalised and priorities will be designed into the next phase. Any proposed changes such as Team restructures are raised as change requests by Heads of Service and reviewed by the TOMDG.	In prog	4	David Ford EMT
14	Savings 2023/24	Service Reviews will not deliver the budget savings identified in 2023/24	16	Create delivery plan for each service area, whether part of the service improvement workstream, or Digital/Customers, Operations transformation and ensure that all milestones that relate to savings are clearly identified.	Delivery managers recruited into the Digital/Customer Services and Operational Services workstreams. Delivery plans put in place to deliver the savings/benefits. Other service reviews will be monitored by the programme project manager and PMO.	Complete	9	Mark Hak-Sanders Prog Delivery & benefits board
				Monitor plans and milestones closely in weekly meetings and monthly highlight reports, where a risk is arising, this is escalated to the project/ programme board to assess actions to mitigate.	Weekly 1-2-1 meetings with heads of service and/or delivery lead to ensure that the plan is in place and credible and is being followed and that any milestones at risk are addressed promptly to prevent slippage.	In prog		

Risk	Topic	Risk description	Original score	Mitigated approach	Actions taken	Mitigation Status	Mitigated score	Owner
			 	Set up programme delivery and benefits board review savings milestones and where amber/red agree mitigation and next steps and assign ownership.	Each service to create a plan, with key milestones, which is collated for the programme plan. Fortnightly EMT delivery meetings held where exceptions and risks are discussed with the objective of resolving blockers to achieve the savings.	In prog	 	
16	Resources	Timelines will be missed if BAU issues require resolution and there is an assumption that programme resources will be used to fix the issues	15	Each service to set out savings delivery plan, including key milestones and dependencies, which will form the collated programme plan. Ensure resource requirements are clearly signposted where resources are required for 'change' work enabling them and their managers to plan ahead to accommodate the work. Where this is not possible, options are to replan the project work OR backfill roles where the 'change' is a priority. Where there are risks, such as Salesforce dependency, there are plans being developed to build up our internal knowledge base to reduce	Service review updates and milestones have been populated by Heads of Service/Stream leads. Planning meetings are being held with heads of service to ensure information is captured consistently to enable dependencies/ slippages to be trackable.	In prog	8	Mark Hak-Sanders Prog Delivery & benefits board

Risk	Topic	Risk description	Original score	Mitigated approach	Actions taken	Mitigation Status	Mitigated score	Owner
				the risk of stretching resources too thinly or losing valuable knowledge.				
				Individual plans to be baselined within the programme and used as drivers for savings delivery by the EMT / stream leads and Finance/Benefits Programme board. All risks to delivery identified by the plan owners are escalated to the Programme delivery board.	Individual plans are to be collated at programme level. Regular EMT delivery board meetings held where all savings at risk are raised and collectively resolved.	Complete		
				All plans will include resource requirements to ensure that where BAU/external resources are required, the demand is clear. Where resources are redirected at BAU, plans will need to be adjusted to show the revised schedule. If BAU resources are not sufficiently available, backfilling of roles will need to be considered to free up time.	Key external resources are identified and secured as early as possible, for example, expert advice on Operations workstream.	Complete		
19	People Plan	Organisation Development workstream will not progress as scoped	16	An OD / Change Mgr needs to be put in place to ensure new ways of working/behaviours, such	March 2024 Working group set up to agree scope and priorities and implement an action plan. Key areas	In prog	12	Mark Hak-Sanders

Risk	Topic	Risk description	Original score	Mitigated approach	Actions taken	Mitigation Status	Mitigated score	Owner
		and therefore Tandridge will not be ready for embedding the Transformed services and the new culture.		as Digital/ commissioning/continuous improvement are embedded properly across the whole council. Without this, there is a risk that after the programme ends, behaviour will revert to 'old ways' and future benefits/ efficiencies will not be met. Recruit an OD expert to create a delivery plan to embed the changes needed in behaviour to adopt the changes being introduced across the council. Review objectives including behaviours, ensure behaviours rolled out to all staff as well as EMT. Instigate KOF level - accountabilities and responsibilities	are recruit and retain and implementation of appraisals linked to service plans. A pay and reward review is also being planned, with scoping currently in progress. Quotes will be sought from three potential partners before the work goes ahead. January 2024 Look to secure support for organisation development and change management. Plan the adoption of systems throughout the organisation. Looking at the future model for services and the Council – August 2023			Prog & Benefits delivery board

| 20 | Digital Trans-formation | Progress in the Digital/customer services workstream will be slow/unsuccessful which will have a detrimental effect on delivering the business case, providing responsive customer services, and planning and delivery of savings and benefits. | 16 | Ensure there is an achievable plan - understand resource requirements up front, monitor progress.

Detailed plan required, with regular progress reporting against plan, with key milestones flagged and RAG rated.

Ensure scope pinned down in PID, any potential additions to scope need consideration via change control. | March 2024 - High level milestone plan walkthrough at Core Digital Programme board, this plan details the key activities for MyTandridge and chatbot implementations. Likelihood reduced from 4 to 3.

January 2024 - Detailed planning in place. Roles and responsibilities drafted for service SMEs to clarify ownership of tasks. Additional Customer Services resources approved.

November 2023 Review of wider Digital Transformation programme in progress to understand scope and resource requirements.

July 2023 Dependencies have been identified, programming the planning and resourcing of these activities. Planning in progress - plan with key milestones required, Monthly highlight reporting and fortnightly project board will monitor progress, spend and risks. | In prog | 12 | Mark Hak-Sanders

Prog & Benefits delivery board |

| 21 | Digital Trans-formation | There will be a delay in delivering Digital Transformation due to dependencies being out of scope of the project, such as data cleansing, chatbot knowledge data build | 16 | Analysis on all dependencies to understand resources/timings etc, needed for Digital:

Review and plan out any key dependencies not included in scope of Digital to ensure clarity on timeline from Digital lead. | Feb 2024 Score reduced from 12 to 8 due to sponsorship of plans and visibility of dependencies and overall plan in place.

January 2024 - Digital programme set up with workstream leads identified, regular catch up and overall plan for review, risk monitoring.   Mitigated score reduced from 16 to 12, due to likelihood changing from 4 to 3, due to programme workstreams being owned and managed by sponsor and workstream leads

TOM review/discussion on in scope/out of scope for Digital held on 19th July, further discussion 8th August.

Confirm priorities for Digital Transformation or TDC generally at that meeting.

Knowledge scripts required for Chatbot - Customer Services scripts to be reviewed for this purpose.

Business Analyst to progress the data cleansing project, to understand objective, scope and create a plan. | In prog | 8 | Mark Hak-Sanders

Prog & Benefits delivery board |

					Revised resources to be reviewed with Digital PM.			

Risk	Topic	Risk description	Original score	Mitigated approach	Action taken	Mitigation Status	Mitigated score	Owner
24	Operations - Grounds Maintenance	There is a risk associated with timescales to deliver the Grounds Maintenance plan since the implementation date cannot be delayed. July 2024 has been agreed as a go/no-go decision point at which point costs should be clear and next steps will be agreed, however this does not leave much time for contingency/overruns and implementing of an alternative model if needed.	16	Review whether any of the tasks can be run in parallel or shortened leading up to July. Ensure timelines provided by Operations, Legal and Procurement team are reviewed when developing the overall delivery plan. If costs are higher than expected, alternative approach on service specifications may need to be considered.	January 2024 - Detailed plan in place - to be agreed with all owners - i.e. procurement and legal suppliers and ensure all resources are aware of their responsibilities. Regular project board meetings to continue to be held to review progress, risks and issues. Likelihood reduced from 4 to 3. Monthly highlight report summarising progress, risks and actions to be owned and reviewed with sponsor and project board. Owners of activities in plan clearly defined and monitored. All slippage addressed. The plan has been reviewed and there are no tasks that can be run in parallel or delivered by other resources.	In prog	12	Simon Mander Prog & Benefits delivery board

| 26 | Operations - Grounds Maintenance | Operations grounds maintenance tender prices submitted may be above budget envelope | 12 | Revisit budget envelope and review service specifications. Post award, consider contract length and conditions. Look at funding of equipment as an option. Looking for flexibility i.e. specifications and cost in the contract. | Contingency planning at early stages and alternate options will be developed as a fallback if bids are significantly outside the approved budget envelope.

Review all submitted bids - we are aware of how much each of the lots should cost for resources and equipment, therefore TDC will have an expectation of the costs of each bid. | In prog | 12 | Simon Mander

Operations Project board |

New Risks raised since last Committee paper

Risk	Topic	Risk description. There is a risk that……	Original score	Mitigated approach	Actions taken	Mitigation Status	Mitigated score	Owner
27	Operations - Grounds Maintenance	Tenders are not received for all bids offered - if structure of lots means that suppliers do not bid across each work package.	12	Review lot structures for maximum efficiency and least risk. Review cost relating to specifications with Finance relating to savings in GM and impact on other areas. Multiple lots introduces more overheads such as higher number of suppliers and contracts and more time spent on day to day monitoring and management.	Review of lot structures is currently underway. if no sensible bids received, alternatives would be considered.	In prog	12	Simon Mander Operations Project board

Risks closed raised since last Committee paper

Risk	Topic	Risk description. There is a risk that……	Original score	Mitigated approach	Actions taken	Mitigation Status	Mitigated score	Owner
25	Resources	It will not be possible to recruit a Transformation director resource in the required timeframes. Without this role there is a risk that robust development, scrutiny and challenge of the next phase of organisational change over the	16	Advertise the role in the appropriate publications, such as the MJ (Management journal) for maximum exposure. Ensure that the role is advertised on	Job advertised in MJ and usual recruitment channels in early November, with three-week run for the advert.	March 2024 - Propose to close this risk in March risk review. January 2024 - Reduced likelihood	4	David Ford TOMDG

		medium-term will not be developed.		suitable publications such as the MJ and forums such as LinkedIn are cascaded to people's professional networks.		from 3 to 1 due to recruit-ment being well prog-ressed. New risk raised in November 2023	