Annex 3
Lincolnshire County Council - PROJECT TITLE: CSSC Programme Payroll & Pension Project

Lincolnshire COUNTY COUNCIL

Risk No	Risk Type	Risk Description	Impact Type	Risk Owner	Raised By	Date Raised	Existing Controls	Current Risk Score Probability	Impact	Score	Developing Controls	Action Owner	Due Date	Status	Risk Progress	Target Risk Score Probability	Impact	Score	Date of last update	Comment	Actual closure date
001	Organisational / Management / Human Factors	Insufficient LCC capacity and capability within the payroll project team	People/Resources	Wendy Henry	Jane Maddison	26/03/18	Service Leads to identify known capacity risks, seeking to utilise existing resource of the commercial project team wherever possible. Engagement of a payroll 'expert' to support the project Looking at Serco requirements and liaison with Sophie Reeve on who and when required	2	3	6	Resource plans being developed in conjunction with Hoople resource plans. Hoople Project Manager to be appointed by September 18. Ongoing dialogue with Serco in respect of resource requirements (BAU & Project)	Jane Maddison Jason Davenport	30.09.18	Active	Improving	2	2	4	08.08.18	Hoople proposal currently under review. Detailed plans expected August 18	
002	Organisational / Management / Human Factors	Insufficient time to deliver the project	Time	Wendy Henry	Jane Maddison	26/03/18	High level timeline in place Project plan in place	2	3	6	Project plan to be refined based on Hoople requirements. Hoople initial plan indicates sufficient time to deliver all requirements within the timeline	Jane Maddison	30.09.18	Active	Improving	2	2	4	08.08.18	Hoople proposal currently under review. Detailed plans expected August 18	
003	Strategic / Commercial	Serco do not release the appropriate resources to the project	Quality	Wendy Henry	Jane Maddison	26/03/18	Commercial discussions in place and on-going with Serco. Resource plan developed to identify resource requirements from Serco for workshops - Letter issued to Mark Bennett, Serco requesting resources 6.4.18. Agreed process where Serco resources are identified and requested.	2	3	6	Further Serco resources may be required following the review of Hoople resource requirements.	Sophie Reeve Jane Maddison Jason Davenport	31.03.20	Active	Improving	2	2	4	08.08.18	Dialogue ongoing with Serco through existing relationships	
004	Organisational / Management / Human Factors	Key resources at Serco are diverted to the project which has a direct impact on quality of BAU services	Quality	Fiona Thompson	Jane Maddison	26/03/18	Agreed to recharge to Serco for resource to cover back fill requirements Know requirements at present identified	2	3	6	Review of plan regarding Serco resources and back fill requirements Looking at Serco requirements and liaison with Sophie Reeve on who and when required	Jane Maddison	30.03.20	Active	Improving	2	2	4	08.08.18		
005	Organisational / Management / Human Factors	Insufficient contingency plans built within the project for the successful implementation of a payroll system	Time	Wendy Henry	Jane Maddison	26/03/18	Hoople aware of requirements of contingency to be build in their plans	3	3	9	Project plan will include contingency Planned 3 months dual running of payroll as an additional contingency Potential fall back position could be Serco	Jane Maddison	30.09.18	Active	Improving	2	2	4	13.08.18		
006	Strategic / Commercial	In the absence of a signed Section 101 agreement with Hoople, they are under no obligation to provide future services to LCC	Scope	Wendy Henry	Andrew McLean	26/03/18	Active dialogue between LCC / HCC & Hoople	4	3	12	Continued dialogue on the Section 101 agreement Regular calls taking place between both parties	Sophie Reeve Andrew Mclean	30.09.18	Closed	Improving	2	2	4	08.08.18	This risk is on the CSSC programme No 023.	
007	Technical / Operational / Infrastructure	Lack of system to process retained fire pay as Spitfire is at "end of life" and at risk of fall over / failing	Scope	Wendy Henry	Fiona Thompson	09/04/18	Positive meeting with Fire on 15.6.18 D Yeates member of Payroll & Pension Board	3	4	12	Revised fire solution / proposal being considered Hoople working on solutions for Fire pay and engaged individuals with fire expertise	Jason Davenport	30.09.18	Active	Improving	2	2	4	08.08.18		
008	Organisational / Management / Human Factors	Lack of appropriate levels of investment in developing the Council's intelligent client capacity in relation to payroll systems and matters.	People/Resources	Fiona Thompson	Andrew McLean	17/04/18	Organisational structure to include Intelligent Client Function.	2	3	6	Document and draft proposals currently being worked up with Jason Davenport together with support on structure from Adam Davey.	Fiona Thompson	30.09.18	Active	Improving	2	2	4	13.06.18		
009	Organisational / Management / Human Factors	Key resources at Serco are not retained and leave to secure more secure employment creating disruption to the existing service.	People/Resources	Fiona Thompson	Andrew McLean	17/04/18	Commercial discussion of potential financial retainer of key staff within the payroll function. Costing now provided for consideration. Early engagement with Unions to ensure staff are kept informed.	2	4	8	Communication issued to Unison on 23/7 and a meeting is planned for 13/9 to provide an update on developments.	Sophie Reeve Jane Maddison	31.03.20	Active	Improving	2	3	6	08.08.18		
010	Organisational / Management / Human Factors	Hoople are unable to recruit sufficient, suitability skilled payroll staff to deliver the function from January 2020 and beyond	People/Resources	Fiona Thompson	Tony Warnock	24/04/18	Part of Hoople proposal	2	4	8	Hoople already assessing resource requirement. Looking to engage their experience workforce on the LCC payroll. Recruitment to take place later in 2018	Jason Davenport	01.10.19	Active	Improving	2	3	6	13.08.18		
011	Technical / Operational / Infrastructure	Relevant balance sheet 'control accounts' won't be reconciled immediately prior to April 2020	Quality	Tony Warnock	Tony Warnock	24/04/18	This work forms part of the pay statement project	3	4	12	Rectification workstream within pay statement project should be completed by December 18	Tony Warnock	31.03.19	Active	Static	2	2	4	08.08.18		
012	Technical / Operational / Infrastructure	Hoople may decline to take on HR admin and payroll function when the full extent of the payroll issues with the current payroll system and data are known	People/Resources	Andrew Mclean	Jane Maddison	24/04/18	Disclosure to Hoople of all current issues (May 2018) including workshops	2	3	6	Section 101 agreement	Andrew Mclean	31.07.18	Active	Improving	2	2	4	13.06.18		
013	Technical / Operational / Infrastructure	Not all manual work arounds are known which could have an impact of the future configuration and delivery	Quality	Wendy Henry	Jane Maddison	24/04/18	Reported that either system fix in place or manual work around operational	3	3	9	Initial summary reviewed by Internal Audit. Further work scheduled for audit review in August 2018	Jason Davenport Julie Castledine	31.8.18	Active	Static	2	2	4	08.08.18		

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