

Shadow Dorset Council

Committee: Shadow Overview and Scrutiny Committee
Date: Thursday, 7 March 2019
Time: 6.30 pm
Venue: Committee Rooms A/B, South Walks House,
South Walks Road, Dorchester, DT1 1EE

Membership:

T Jones (Chairman), C Brooks (Vice-Chair), S Bartlett, K Brookes, R Bryan, M Byatt, S Christopher, C Finch, S Gibson, B Goringe, N Lacey-Clarke, R Nowak, J Sewell, J Somper, J Tanner and M Wiggins

Chief Executive (Designate) for the Dorset Council: Matt Prosser

For more information about this agenda please telephone Democratic Services on 01305 252209 or email lwatson@dorset.gov.uk

For more information about the scrutiny items please telephone Lee Ellis (Scrutiny Officer) 01202 795251 or email lellis@christchurchandeastdorset.gov.uk

This agenda and reports are also available on the Council's website at www.dorsetareacouncils.co.uk

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AGENDA

Page No.

7 PROGRAMME HIGHLIGHT REPORT

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To review the latest Programme Highlight Report to be considered by the Shadow Executive Committee on 11 March 2019.

The report will be published within the agenda for the Shadow Executive Committee for the meeting on 11 March 2019 and will be available to be viewed using the link below when the Shadow Executive Committee agenda has been published:

<http://shadowcouncil.dorset.gov.uk/ieListDocuments.aspx?CId=136&MId=131&Ver=4>

A copy of the report will be added to this agenda as a supplement when it is published with the Shadow Executive Committee agenda.

Shadow Dorset Council

Date of Meeting	11 March 2019
Lead Member	Rebecca Knox, Leader, Shadow Dorset Council
Officer	Keith Cheesman, Programme Director
Subject of Report	Programme Highlight Report
Executive Summary	This report provides an update on progress since the last Shadow Executive Committee meeting on 11 February, including the summary findings of the Gateway 2 Review.
Impact Assessment:	<p>Equalities Impact Assessment:</p> <p>None in relation to this report.</p>
	<p>Use of Evidence:</p> <p>This report has been written in consultation with Project Managers, Subject Matter Experts and other members of the Programme Team.</p>
	<p>Budget:</p> <p>The revised Programme budget was agreed at the 17 December 2018 Shadow Executive meeting.</p>
	<p>Risk Assessment:</p> <p>Having considered the risks associated with this decision using the LGR approved risk management methodology, the level of risk has been identified as Amber.</p>
	<p>Other Implications:</p> <p>None identified.</p>

Recommendation	That the Shadow Executive notes the progress made since the last Shadow Executive Committee meeting.
Reason for Recommendation	No decisions are required at this time in connection with this report.
Appendices	<ol style="list-style-type: none"> 1. Programme Highlight Report 2. SWAP audit report 3. Ameo summary report
Background Papers	Programme Highlight Report, 15 October 2018, appendix 3, SWAP Programme Governance Follow Up Report (1 October 2018)
Officer Contact	<p>Name: Keith Cheesman Tel: 01305 221227 Email: Keith.Cheesman@dorsetcc.gov.uk</p>

1. Summary and Progress

- 1.1 The full highlight report is attached at Appendix 1. I am very grateful for the extraordinary effort of the core programme team and the many managers and officers with the support of members from across the sovereign councils to make sure that Dorset Council starts life on time and to our brief of safe and legal with no break in continuity of services. At the time of writing, overall status remains at amber.
- 1.2 Key achievements in the last period include:
- The agreement of the budget at Shadow Dorset Council on 20 February
 - Agreement of an interim solution for Mosaic data disaggregation
 - Business requirements have been mapped for the new intranet and construction has started
 - Generic job descriptions have been drafted
 - Work on the Dorset Council policy library has begun
- 1.3 The last report highlighted the challenges around the data disaggregation for Social Care case data and associated files. Significant progress has been made, with officers from both programme teams working closely to agree a number of interim solutions for the safe transfer of Adults and Children’s social care data for Christchurch service users by 1st April 2019. The risk associated with the work has reduced from red to amber.
- 1.4 In this report, the only area of moderate concern is some outstanding work on agreeing some decision records about partnerships and contracts but this is in hand.

2. Risks and Issues

- 2.1 The key programme risk is currently around the data disaggregation plan for social care data described above. The severity level however has been downgraded as a result of agreed ways forward to resolve the issues and migrate the data.

- 2.2 The programme issue surrounding the Dedicated Schools Grant (DSG) has been closed following a response from the Department for Education.

3. Gateway 2 Review: January-February 2019

- 3.1 Members will be aware that Programme Board commissioned two independent assessments as part of a Gateway 2 review. The South West Audit Partnership (SWAP) was appointed to assess how well-placed the programme is in relation to overall operational readiness (following their previous review in September 2018). AMEO was engaged to undertake a delivery assurance review, to test and provide a level of confidence around “Day One” service preparations from a customer perspective.
- 3.2 While some of the initial findings from both SWAP and AMEO were positive, there were some areas in the AMEO reviews that needed further investigation and clarification, which has now been provided. The reports are attached at Appendixes 2 and 3.

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OVERALL PROGRAMME STATUS – DATE: 27 FEBRUARY 2019

Overall status 	Scope 	Budget 	Time 	Resource 	Stakeholder 	Risk & Issue 
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Entering the final five weeks; intensity continues to be on ensuring safe and legal for day one; daily team review process still in place, milestone reporting in this report is now at a weekly level with more granularity. A major milestone for Dorset Council was met on 21/2 with the budget being set. Two further significant milestones have been reached with the Full Council approval of members allowances and the calendar of meetings for the first year of Dorset Council.






The Transitional Structures workstream is recovering ground on unanswered queries raised with new resources applied; the change of consultation approach will enable the Corporate Director layer to be resolved, increasing the stability of the organisation, earlier on.

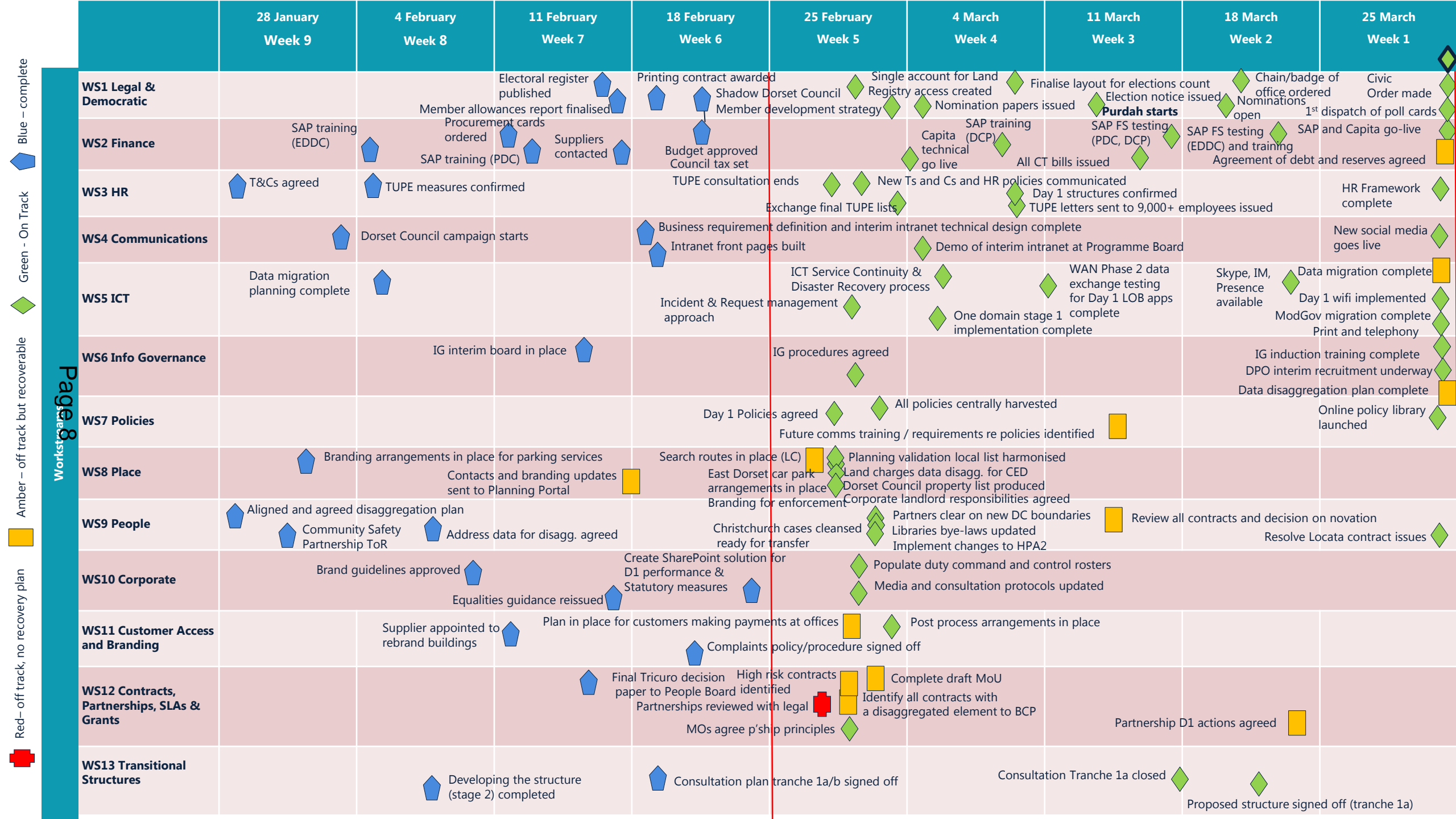
Data migration work continues, with an agreement on the solution to mitigate the difficulties for day one now in place.

Partnership activity now focussed on agreeing partnership Decision Records with BCP, at time of writing there are a few still outstanding.

Programme status remains at Amber

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Return to Green		Contracts and Partnerships resolving outstanding actions. Service Continuity implementations delivering against the plans.						
Change Requests		No new change controls in progress.						
Resources		Phase 2 resource requirements almost entirely met now						
Plan		A mandate and plan is required to ensure the transitional phase is mapped and resourced, particularly in light of the need to review and refine Phase 3 plans - underway						
Benefits		Part of the Gateway process being introduced is to enable the baselining and assessment of services, both external and internal, to understand any impacts of the transition and to be clear about the measures and metrics being applied to that assessment.						
This week		<table border="1"> <thead> <tr> <th></th> <th>Issue/Risk</th> <th>Mitigation</th> </tr> </thead> <tbody> <tr> <td>Top Risk</td> <td>5-3 15 Social Care IT system data disaggregation plan will not allow full data transfer for day one. A revised approach needs to be tested and agreed. If this plan is not in place and successful, DC and BCP will not be safe and legal on 1st April 2019 as BCP relevant social care teams will not have access to Christchurch Social Care data.</td> <td>Interim & contingency solutions agreed, interim solution currently on track. Work continues on permanent solution to disaggregate all Christchurch social care data to BCP..</td> </tr> </tbody> </table>		Issue/Risk	Mitigation	Top Risk	5-3 15 Social Care IT system data disaggregation plan will not allow full data transfer for day one. A revised approach needs to be tested and agreed. If this plan is not in place and successful, DC and BCP will not be safe and legal on 1st April 2019 as BCP relevant social care teams will not have access to Christchurch Social Care data.	Interim & contingency solutions agreed, interim solution currently on track. Work continues on permanent solution to disaggregate all Christchurch social care data to BCP..
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WS1: LEGAL AND DEMOCRATIC - STATUS UPDATE

Lead Member: Cllr Spencer Flower
 Workstream Sponsor: Jonathan Mair
 Project Manager: Andy Norman

Date: 27/02/2019

Workstream RAG

G



Overall Workstream Summary

Two significant milestones have been reached with the Full Council approval of members allowances and the calendar of meetings for the first year of Dorset Council. There are still ongoing discussions with the planners over the location of Area Planning Committees. The Elections plan has also taken a significant step forward with the appointment of Electoral Reform Society as the successful supplier for printing election material, which has allowed the level of risk to be ramped downwards..

Key Initiative Achievements (This Week)

- Approval of Members Allowances
- Approval of the calendar of meetings
- Appointment of Electoral Reform Services as supplier for election printing material
- Development of a strategy with the Monitoring Officers around partnerships and joint arrangements
- Dem Services managers drafting a communication to go to 190+ external bodies
- Contact with the College of Heralds on the process and timescale for transferring the Dorset arms – response from the College awaited.
- Quote obtained and accepted for modifications to the Chairman's Chain of Office
- Layout of council meetings finalised but there is still some unease over the limited public space and the relative easy access of members of the public to the floor of the council chamber.

Next milestones

Milestone	RAG	Due Date	Target Date
Electoral register published	C	February 2019	February 2019
Members Allowances report finalised	C	February 2019	February 2019
Calendar of meetings approved	C	20 February 2019	
Members Allowances approved	C	20 February 2019	
Printing contract awarded	C	18 February 2019	
Member development strategy	G	27 February 2019	
Create single account for Land Registry access	G	27 February 2019	
Issue nomination papers	G	4 March 2019	
Finalise count layout	G	4 March 2019	

Key Initiative Activities (Planned Next Week)

- Partnerships review with Monitoring Officers
- Follow up with College of Heralds
- Clarification of accounts for Land Registry and HM Court and Tribunal Service
- Revised date for meeting with Group Leaders on Member Development and Induction (postponed from 22nd February)

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Top Risk

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
			A snap General Election or Referendum could divert resource from the Programme to resource this at short notice.	Political situation could change forcing a general election or a second referendum and this would require Elections teams to focus on this rather than planning for the May elections. This would be more critical if either of these were called in the new year.	2	4	8	21/02/19 While the political climate remains volatile, the likelihood of a snap election reduces as we draw closer to the 1st April and therefore we have reduced the risk level.		

Top Issue

ID	Raised By	Date Raised	Issue Description	Impact Statement	S	Resolution Plan	Owner	Due Date	
			There are no live issues at present						

WS2: FINANCE- STATUS UPDATE

Lead Member: Tony Ferrari
 Workstream Sponsor: Jason Vaughan
 Project Manager: Rosie Dilke; Jason Pengelly

Date: 27/02/2019

Workstream RAG A 

Overall Workstream Summary

The 2019/20 Budget for Dorset Council, Council tax, Local Council tax support scheme and Capital & Treasury strategies were all approved at the Shadow Dorset Council meeting held on 20th February 2019.

Key Initiative Achievements (Last fortnight)

All suppliers were sent an e-mail telling them about Dorset Council and who they should invoice from 1st April 2019. Letters will follow shortly to the much smaller number of suppliers not on e-mail. The last of three all-Member seminars to explain the budget and answer questions was held in advance of the Shadow Dorset Council meeting.

Key Initiative Activities (Planned Next Fortnight)

The cash receipting system for Dorset Council – Capita - will complete testing and go-live for staff. Actual go-live for Capita won't happen until the end of March. Council tax bills will be sent to all residents of Dorset Council in batches – the process is due to start on 7th March and complete on 13th March 2019. Business rates bills are due to be sent out after Council tax bills. Training will complete on 5th March for all relevant staff on the e-requisition form used for the SAP system for ordering items and suppliers. Testing of the general ledger interfaces to SAP from the district systems have already started and are due to complete on 22nd March.

Next milestones

Milestone	RAG	Due Date	Target Date
E-mail to all suppliers	C	15/02/19	15/02/19
Budget approved	C	20/02/19	20/02/19
Treasury Strategy & practices approved	C	20/02/19	20/02/19
Capita cash receipting – go-live for staff	G	04/03/19	04/03/19
Council tax bills all sent	G	13/3/19	13/3/19
SAP "feeder systems" testing complete	G	22/03/19	22/03/19
All finance staff trained in SAP system	G	31/03/19	31/03/19
Actual go-live for SAP system	G	31/3/19	31/3/19
Actual go-live for Capita system	G	31/3/19	31/3/19
Agreement of debt and reserve percentages between Dorset & BCP	A	March '19	March '19

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Top Issue

ID	Raised By	Date Raised	ISSUE Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
106	Jason Vaughan	July 30th 2018	Dorset Council is unable to set a balanced budget for 2019/20	2019/20 budget approved				Budget proposals include provision of £4.8m of contingency and estimated general reserves of £25.5m. A base budget review of Children's Services is to be undertaken as a priority, but all areas will be subject to this once the new management structure is in place.	Jason Vaughan	Complete

WS3: HR WORKSTREAM - STATUS UPDATE

Lead Member: Cllr Peter Wharf
 Workstream Sponsor: David McIntosh
 Project Manager: John Ferguson

Date: 27/02/2019

Workstream RAG



Overall Workstream Summary

Recommendations communicated re structures for Day 1. HR Policies confirmed. HR Employee briefings being held.

Key Initiative Achievements (This Fortnight) | Next milestones

Key Initiative Achievements (This Fortnight)	Next milestones			
	Milestone	RAG	Due Date	Target Date
Recommendations made re appropriate line management structures for Day 1 for those where current reporting lines will cease (confirmation due w/c 4 th Mar). Final HR Policies confirmed by Programme Board HR briefings for managers and employees being delivered 25, 26, 27 Feb+1 Mar	New Terms & Conditions and HR Policies communicated to all employees	G	22 nd Feb	1 st Mar
	Exchange final TUPE lists with BCP	G	1 st Mar	1 st Mar

Key Initiative Activities (Planned Next Fortnight)

Key Initiative Activities (Planned Next Fortnight)	Milestone	RAG	Due Date	Target Date
	TUPE letters to 9000+ employees issued	G	8 th Mar	8 th Mar
	Day 1 structures confirmed	G	8 th Mar	8 th Mar
	TUPE consultation ends	G	28 th Feb	28 th Feb
	HR Framework for new council	G	29 th Mar	29 th Mar

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ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
11	HR Board	Jun '18	Some employees may choose to leave during period of major change causing further demand on remaining employees	Possible significant impact on service continuity.	3	4	12	Wellbeing and Resilience (People) Plan agreed by Programme Board Employee briefings in Oct/Nov '18. Further Managers' and Employee briefings Feb/Mar '19 Further Action: Ongoing Communications and Engagement with all employees (Newsletters, Intranet, etc). Employee survey issued Oct '18. Employee Forums established	Prog Board	Apr '19

Top Risk
Top Issue

WS5: ICT WORKSTREAM - STATUS UPDATE

ICT Member Lead: Councillor Tong
Workstream Sponsor: Sue Joyce
Project Manager: Jon Ashworth

Date: 27/02/2019

Workstream RAG:

A



Overall Workstream Summary

The ICT workstream work packages are currently reporting as follows: Collaboration, Day 1 Applications, ICT Service Delivery and Infrastructure - Green, Data Disaggregation - Amber.

The ICT workstream continues to report as Amber as, although there is an agreed Social Care data disaggregation interim solution which is currently on track to deliver, it is acknowledged on both sides that we are working to tight timescales.

Key Initiative Achievements (This Week)

- Sign off of testing for final plan to address Global Address List synchronisation
- Public Wi-Fi - a template for the new public wi-fi has been developed, awaiting agreement from Districts.
- M365 strategy update meeting (focus on core 365 settings & security)
- ICT asset Decision Request (DR) approved
- Mosaic Social Care DR signed off
- Priority review of applications to ensure day 1 critical applications are in hand

Key Initiative Activities (Planned Next Week)

- Day 1 Printing solution - further enhancement and testing of the Guest print solution
- Global Address lists synchronisation complete
- 14 Decision Requests progressing through governance to be complete by 21/02
Further 29 Decision Requests drafted and under review before moving through programme governance
- Moving to daily updates on DR and delivery progress in the Data Disaggregation update spreadsheet
- Confirming timeline for remaining Decision Requests through governance
- Complete DRs for CRM, commercial offerings, ICT service continuity & out of hours support

Next milestones

Milestone	RAG	Due Date
Data Migration Planning complete	C	6 Feb 19
One Domain Stage 1 implementation complete	G	5 Mar 19
Day 1 Print solution complete	G	1 Apr 19
Skype – IM & Presence complete	G	1 April 19
Incident & Request management approach	G	1 Mar 19
WAN Phase 2 data exchange testing for Day 1 LOB applications complete	G	11 Mar 19
All Day 1 apps live	G	1 Apr 19
Corporate & Public Wi-Fi solution implemented	G	1 Apr 19
Data Migration for Day 1 complete	A	1 Apr 19

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
259	Karen Perrett	2 Jan 19	BCP are working with their supplier to migrate Social Care data from DC to BCP. Their supplier is unable to deliver for 1 st April 2019. Interim solution is now	DC and BCP will not be safe and legal on 1 st April 2019 as BCP relevant employees will not have access to Christchurch Social Care data	5	3	15	Interim & contingency solutions agreed, interim solution currently on track. Work continues on permanent solution to disaggregate all Christchurch social care data to BCP.	Mark Smitton	28 Feb 19

WS6: INFORMATION GOVERNANCE - STATUS UPDATE

Lead Member: Cllr Simon Tong
 Workstream Sponsor: Steve Mackenzie
 Project Manager: Sue Howard

Date: 27/02/2019

Workstream RAG: G A

Overall Workstream Summary

Focus has been on data disaggregation and the Information Security review and sign off of the proposed solution. Additionally good progress has been made in identifying those migrations which may require a Data Protection Impact Assessment. Those identified will be signed off by the Data Protection Officer by the end of the month

Key Initiative Achievements (This Week)

- New IG Board agreed and signed off
- IG online training portal reviewed for training members and employees
- Cyber security requirements being awaiting review
- Intranet requirements for WordPress IG compliance agreed.
- Review and sign off of applications requiring data disaggregation progressing well.
- Review of applications requiring Data Protection Impact Assessments finalised and due for sign off by end of month
- Historical data retention for Christchurch residents being discussed and options reviewed

Next milestones

Milestone	RAG	Due Date	Target Date
Data disaggregation plan agreed	A	31/12/2018	31/3/2019
IG induction training complete	G	31/3/2019	
Information Commissioners Office (ICO) registration for members	G	2/5/2019	
Procedures agreed	G	28/2/2019	
DPO interim recruitment underway	G	31/3/2019	
IG Interim Board in place	C	14/2/2019	
IG member training complete	G	15/5/2019	

Key Initiative Activities (Planned Next Week)

- Finalise training material for both members and employees
- Progress with data disaggregation review and sign off
- Complete data breach process ready for intranet
- Complete Individual Rights process ready for intranet
- Meet Officers to discuss the induction day for member training

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Top Risk

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
92	IG Board	1/8/2018	Migrated data may be incorrect	Errors may occur with the data and in particularly the risk is greater around sensitive data which may result in erroneous decisions regarding children and vulnerable adults	5	3	15	Sign off required by all data owners to confirm the data is correct.	IG Board	TBC

WS7: POLICIES WORKSTREAM - STATUS UPDATE

Lead Member: **Spencer Flower**
 Workstream Sponsor: **Jonathan Mair**
 Project Manager: **John Alexander**

Date: 27/02/2019

Workstream RAG: A 

Overall Workstream Summary

Policies masterlist ready for Programme Board sign off on 27 Feb. Policy Library being created on ModGov. Current priority is for all the policies to be submitted to the Policy Workstream for upload, but this is happening very slowly – hence the Amber status. Reminders are being issued to Theme Boards and Workstreams.

Key Initiative Achievements (This Fortnight)

- Masterlist complete, for presentation to Programme Board.
- Policy library functionality scoped with the involvement of ModGov system administrators.

Key Initiative Activities (Planned Next Fortnight)

- Comms requirements for changed policies being identified.
- Theme Boards/ Workstreams being chased for copies of policies.
- Policy library being populated.
- Review/ harmonisation dates for policies being added to Dorset Council Cabinet Forward plan.

Next milestones

Milestone	RAG	Due Date	Target Date
Final policy master list/ online library proposal to Programme Board	G	27 Feb 2019	
All policies centrally harvested	A	28 Feb 2019	
Future comms/ training requirements re. policies identified	A	1 Mar 2019	15 Mar 2019
Online policy library launched	G	1 April 2019	

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ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
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167	Project Manager	Oct '18	Failure to communicate policy changes to staff and members leads to reduced "legal literacy" at service delivery level and risks non-compliant operational practice	Significant potential impact on delivering legal services.	3	2	6	Appropriate and timely communication and training plans for staff and councillors to be coordinated by Policies Workstream.	John Alexander	Mar - Apr 2019, according to priority
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ID	Raised By	Date Raised	Issue Description	Impact Statement	S	Resolution Plan	Owner	Due Date
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Top Issue

Top Risk

WS8: CUSTOMER AND SERVICE CONTINUITY - PLACE THEME - STATUS UPDATE

Lead Member: Cllr Mary Penfold, Cllr David Walsh, Cllr Daryl Turner, Cllr Anthony Alford
 Workstream Sponsor: John Sellgren and Bridget Downton
 Project Manager: Emily Hallett

Date: 27/02/2019

Workstream RAG:



Overall Workstream Summary

A raft of data disaggregation decision records for place systems are going through the governance process and being reviewed by Place Board. The final policies list has been reviewed and agreed by Place Board. Cover sheets are now being drafted by service workstreams. Services have reviewed duplicate generic email addresses and naming conventions for these have been agreed with ICT workstream, these addresses are now being used to update systems and templates in readiness for day 1. Gateway audit report has been reviewed by Place Board chairs and service leads, Project Manager will now meet with all Place workstreams to review end to end processes for day 1 and ensure key handoffs to support services are mapped. The TUPE lists have been scrutinised by Place Board Chairs to identify day 1 line management issues, proposals have been drawn up and sent to HR and Heads of Paid Service (HOP) to consider.

Key Initiative Achievements (This Fortnight)

- Agreement from Informal Shadow Executive to continue with existing East Dorset Concessionary bus pass scheme and defer decision to review the scheme until after elections
- Decision record on resourcing of local plan work has been approved by Place and is going to shadow executive in February
- TUPE options submitted to HR and HoPs
- Data disaggregation decision records agreed by Place Board, these include Travel and Transport Trapeze system, Moors Valley Country Park systems and various Dorset Waste Partnership (DWP) systems
- Harmonisation of regulatory fees and charges approved by Place Board and included in Budget report
- Guidance received by Legal workstream regarding correspondence and registered address. Services can now update templates for areas that could result in legal proceedings e.g. Planning notices with the correct legal wording
- Privacy notice templates and guidance received by Information Governance to allow services to draft statements to go on the Dorset Council website
- Local scheme of delegation for Development Management and Planning services drafted
- Environmental permits, discharge consents, trade effluent arrangements, exception certificates and waste carriers license have all been received in readiness for day 1

Next milestones

Milestone	RAG	Due Date	Target Date
Contacts and branding updates sent to Planning Portal	A	01/02/2019	11/02/2019
Harmonised non statutory activities Place fees	C	31/01/2019	
Agree harmonised Building Control and Planning notices and certificates	C	01/02/2019	
Planning validation local list harmonised	G	28/02/2019	
Land Charges data disaggregation for East Dorset and Christchurch	G	28/02/2019	
Branding arrangements in place for parking uniforms, PCNs, ticket rolls, machines and signs	C	31/01/2019	
Land Charges search routes in place	A	28/02/2019	
Responsibilities for grounds maintenance agreed with shadow Weymouth Town Council	C	31/01/2019	
Amalgamation of property records and production of list of Dorset Council property assets	G	28/02/2019	
Assets of community value register and guidance in place	C	28/02/2019	
East Dorset Car Park arrangements in place on day 1	G	28/02/2019	

Key Initiative Activities (Planned Next Fortnight)

- Continue to progress with car parking system including setting up two working groups from DCC and DCP to look at patrol routes and back-office protocols for day 1
- Options for dog control and out of hours service for regulatory services in the former East Dorset area to be reviewed by board
- Services are reviewing local schemes of delegation ahead of guidance and template being released by Legal and Democratic workstream
- Create communications plan for all Place services and review against other workstreams to ensure no overlap in audiences
- Corporate risk register and Brexit risk register to be reviewed by Place Board
- Place Board to agree approach for Partnerships with BCP impact

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
173	Bridget Downton/ Mike Harries	18/10/2018	Reduction in service levels due to outcome of TUPE and stranded costs	Outcome of TUPE and stranded costs from disaggregation results in insufficient capacity for Dorset Council to deliver some place services from day 1. This could lead to reduction in service levels until issues are resolved.	4	2	8	Place Chairs have completed line management arrangements for staff who will not have a manager on day 1. This has been shared with HR and HoPs to review	Place Board	
256	Bridget Downton	12/12/2018	Existing Council projects in relation to application changes (for example DCP's Development Management iDox project) have run late.	This has resulted in 'go live' for a new system coinciding with vesting day. This may impact on implementation activities and capacity of teams.	3	3	9		Place Board	

Top Issue
Top Risk

WS9: CUSTOMER AND SERVICE CONTINUITY - PEOPLE THEME - STATUS UPDATE

Lead Member: Cllr Jill Haynes, Cllr Steve Butler, Cllr Graham Carr-Jones, Cllr Andrew Kerby
 Workstream Sponsor: Helen Coombes and Nick Jarman
 Project Manager: Faye Brooks

Date: 27/02/2019

Workstream RAG: A 

Overall Workstream Summary

Focus continues to be on implementation plan actions, ensuring any items with an overdue date are mitigated or raised to the appropriate level based on impact of delay. Amber areas for milestone reporting assessed for impact to day 1 delivery, with no issues being identified. Communication plans for each service area are being either created or reviewed to harmonise across the theme and the corporate external communication campaign. Decision records for IT applications continue to progress through the people board. The Mosaic application for adults and children's services now has an agreed primary and contingency solution for the interim day 1 approach. Status remains amber linking to the IT workstream for delivery of mosaic, alongside overdue milestones as described below. Housing face to face service delivery for day 1 from Allen view House in progress, with a paper due to 28th February people board for approval.

Key Initiative Achievements (This Week)

- Mosaic interim solution agreed at programme board
- Duplicate generic email addresses agreed for the people theme
- Communication plans being completed by workstream co-ordinators
- Policy cover sheets being completed by workstream co-ordinators
- Cabinet forward plan feedback into legal workstream
- Customer journey changes feeding into customer access workstream
- EQIA screening templates for case transfer protocols completed
- Data cleansing for disaggregation of data commenced

Key Initiative Activities (Planned Next Week)

- Policy cover sheets deadline
- Communication plan & customer journey impacts deadline
- Data cleansing continuation
- HPA2 and locata changes confirmed
- Training for system changes
- Archiving position to be confirmed
- Tell Us Once position to be confirmed
- Forward planning for final board meetings

Next milestones

Milestone	RAG	Due Date	Target Date
Aligned and agreed disaggregation plan across services, IT, HR, Finance for people theme disaggregation	C	10/12/2018	
Resolve Locata contract issues	G	29/03/2019	
CQC and key partners are clear about administrative boundary of new council	G	28/02/2019	
Christchurch cases to be cleansed	G	28/02/2019	
Review all contracts and decision on novation to be made	A	31/01/2019	14/03/2019
Implement changes to HPA2	G	28/02/2019	
Implement housing software configuration changes	G	28/02/2019	
Disaggregation of data for Active 4 Health & Activate	A	31/12/2018	01/03/2019
EDDC data available on Gladstone	A	31/01/2019	23/02/2019
Library Bye-Laws updated	A	31/01/2019	28/02/2019
Ensure that lines of responsibility for Premises Related Persons and Directorate Duty Holders are clear for new Council and continue	A	31/01/2019	TBC – Waiting for Place Co-Ordinator to confirm

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
264	Faye Brooks	03 Jan 19	Links to IT workstream risk no: 259. Without a data disaggregation plan for 1st April 2019, there is a risk to service delivery/ continuity for Christchurch cases due to lack of access to data.	Service continuity/ safe and legal delivery of social care for adults and children's may be impacted for day 1.	5	3	15	Working with ICT workstream to understand and agree options available, impact and risks for day 1 delivery	Helen Coombes/ Nick Jarman	31 Mar 19

WS10: CORPORATE SERVICES & STAFF – CORPORATE- STATUS UPDATE

Lead Member: Cllr Tony Ferrari, Cllr Spencer Flower, Cllr Peter Wharf

Workstream Sponsor: Jonathan Mair

Project Manager: Nina Coakley

Date: 27/02/2019

Workstream RAG:

G

A

Overall Workstream Summary

Activity has been focussed on enhancing the equalities monitoring within the programme team. A review of equality impact assessments has been undertaken and a screening tool will now be required to ensure assessments are being undertaken appropriately and in liaison with Equality Leads. Further activity is underway in the development of measures for the new Council to measure the impact of transition on customers. A plan is in place to identify the changes and a workshop planned to develop daily, weekly and monthly measures for the first 90 days of Dorset Council

Key Initiative Achievements (This Week)

Emergency Response plan approved by Shadow Executive Committee 11/02/19
 -Programme Board approved revision to Command and Control Structure
 -Consolidated Risk Register developed with input from Theme Board and Workstreams
 -Implementation plan and scope for Communication Service Continuity workstream signed off
 -Workshop for Performance Management day 1 measures and statutory reporting held on 5th February
 -Customer and employee impact assessment developed for workstreams to add identified changes
 -Brand guidelines have been approved
 -Process for recruiting Local Authority Liaison Officer (LALO) for East Dorset agreed.
 Equalities policy drafted and approved by Corporate Board

Key Initiative Activities (Planned Next Week)

- Commence LALO recruitment for East/Purbeck areas.
- Develop interim Gold/Silver rota and roll out training dates.
- Corporate risk management strategy to be developed
- Out of Hours provision to be circulated to People and Place Boards following sign-off
- Statutory Reporting list to be finalised and mechanism for collecting & analysing data from day 1 agreed.
- Customer and employee impact assessment completed
- Day 1 measures to be drafted
- Resolve communications design service resource and charging issue for day 1.

Next milestones

Milestone	RAG	Due Date	Target Date
Brand guidelines approved	C	07/02/19	07/02/19
Review and reissue equalities process guidance	C	15/02/19	15/02/19
Create SharePoint Solution for day 1 performance and statutory measures	C	22/02/19	22/02/19
Populate Duty Command and Control rosters – including existing Gold and Silver Officers	G	28/02/19	28/02/19
Media protocol, Consultation Protocol, Social Media Protocols all updated for Dorset Council	G	28/02/19	28/02/19

WS12: CUSTOMER AND SERVICE CONTINUITY – CONTRACTS, PARTNERSHIPS, SLAS, GRANTS - STATUS UPDATE

Lead Member: Cllr Sherry Jespersen
 Workstream Sponsor: Matt Piles
 Project Manager: James Howie

Date: 27/02/2019

Workstream RAG A

Overall Workstream Summary

Partnership activity now focussed on agreeing partnership decision records with a BCP element. Contract analysis is progressing, a number of complex/high risk disaggregated contracts have been identified jointly by DCC / BCP by 31st January, there is still a handful more to identify to be completed by BCP by 28th February. Communication plan, externally (suppliers) and internally, re invoicing DC has been finalised. A memorandum of understanding is being drafted by BCP to focus on the all disaggregated contracts.

Key Initiative Achievements (This fortnight) Next milestones

- Draft memorandum of understanding is being reviewed by BCP and SDC monitoring officers and will confirm that this can be shared with procurement and services
- BCP continuing work with regards reviewing all contracts with a disaggregated element.
- Draft principles around the continuity of identified partnerships and working arrangements drawn up for agreement with the Mos.
- Communication to suppliers commenced.

Milestone	RAG	Due Date	Target Date
Identify all contracts with a disaggregated element to BCP	A	31/01/2019	28/02/2019
Monitoring officers to agree partnership principles	G	28/02/2019	
Complete draft memorandum of understanding	A	31/01/2019	28/02/2019
Final Tricuro decision paper to People board	C	27/02/2019	14/02/2019
Communication to suppliers commenced	C	18/02/2019	
High-Risk/Complex Contracts identified	A	14/12/2018	28/02/2019
Partnerships reviewed with Legal	R	31/01/2019	28/02/2019
Partnership day 1 actions completed	A	01/03/2019	23/03/2019

Key Initiative Activities (Planned Next fortnight)

- Monitoring officers to agree principles for the non disaggregated partnerships.
- Legal programme board to confirm actions on the ensuring that disaggregated partnerships are legal for day.
- Finalise contract list to indicate all complex and disaggregated contracts that would require the memorandum of understanding to be applied.
- Complete draft memorandum of understanding for agreement by programme boards.

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ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
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Top Risk

228	CL	24/10/18	Contracts for service provision missed	High value/complex contracts should all be captured. However, there is risk that lower value contracts could be missed	3	1	3	Collation of all contracts into Accord Engagement with Senior Procurement officers Spend checking with SAP to identify any 'non-compliant' spend	JH	
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Top Issue

ID	Raised By	Date Raised	Issue Description	Impact Statement	S	Resolution Plan	Owner	Due Date
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245	CL	23/11/18	Splitting or Transfer of DCC contracts with Christchurch element to BCP	Agreed advice from BCP & DC Legal expected w/e 01/02/2019	0	Confirm legal position regarding Consequential Orders and impact on contracts with a Christchurch element	CL	31/01/19
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WS12: CUSTOMER AND SERVICE CONTINUITY – DISAGGREGATION - STATUS UPDATE

Lead Member: Cllr Jeff Cant
 Workstream Sponsor: Sarah Parker
 Project Manager: James Howie

Date: 27/02/2019

Workstream RAG

G



Overall Workstream Summary

Disaggregation is working through a wide range of elements to date. The main focus is ensuring that structured and unstructured data, all assets are transferred in a safe and legal way. The final list of assets transferring has been collated and in the process of going through the final confirmation process. An analysis of the TUPE list has taken place with regards the team structures for day 1 and how this will impact service continuity, including staff based in offices within CED and the mitigation of gaps within services is now being solutioned

Key Initiative Achievements (This Week)

- Identify the changes in service delivery for East Dorset.
- Communication to Civic Centre staff delivered around the outcome of the decision record for East Dorset staff.
- Working with BCP to confirm the process in which case data is to be transferred
- List of laptops and ICT confirmed to be transferred to BCP.
- Agreed that no mobile phones will be transferring to BCP

Next milestones

Milestone	RAG	Due Date	Target Date
Understand all unstructured data requirements from each service that requires disaggregation	C	31/01/2019	31/01/2019
Service impact evaluation complete from TUPE lists	C	31/01/2019	31/01/2019
Case Transfer Commences	C	31/01/2019	22/02/2019
Confirm final list of all assets to transfer	A	15/02/2019	15/03/2019
Assets & Case Transfer complete	A	29/03/2019	29/03/2019
Service provisions for East Dorset confirmed	G	15/03/2019	15/03/2019
Day 1 Applications in place	G	01/04/2019	01/04/2019

Key Initiative Activities (Planned Next Week)

- Final list of assets to be transferred to BCP to be agreed
- Review and implement actions to ensure the new service delivery for East Dorset is achieved.
- BCP to confirm their requirements for Christchurch local office's ICT structure for day 1.
- Confirm requirements and timeframes for social care case transfer.
- Confirm with BCP their project plan around information transfer to their TECH FORGE.
- Ensure that all services are aware of the process that is required for transferring unstructured data.

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ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
259	Karen Perrett	2 Jan 19	BCP are working with Servelec to migrate Social Care data from DC to BCP. Servelec sent quote for work on 20 th Dec 18 but did not include a delivery plan.	DC and BCP will not be safe and legal on 1 st April 2019 as BCP relevant employees will not have access to Christchurch Social Care data	5	3	15	Interim & contingency solutions agreed, interim solution currently on track. Work continues on permanent solution to disaggregate all Christchurch social care data to BCP.	Mark Smitton	28 Feb 19

Top Risk

TRANSITIONAL STRUCTURES: STATUS UPDATE

Workstream Sponsor: Matt Prosser
 Lead Member: Cllr Rebecca Knox
 Project Manager: Leon Ainsworth

Date: 22/02/2019

Workstream RAG



Overview / Summary

Timeline for the split of Tranche 1 in 1a (Corporate Directors) and 1b (Heads of Service and Service Leads) approved by the workstream board and a plan to support the delivery is being built. Discussions with Trade Unions continue in terms of the Job Evaluation framework, Notice for Dismissal timeline and the Equalities Impact Assessment (EQIA). Resource concerns raised with the programme management to ensure capacity and availability of key resources in the upcoming weeks/ months to deliver the activities against the proposed timeline. The improved process and procedures for consultation feedback have produced the following statistics: Total number of queries 449, open queries 194, closed queries 255, responses sent in past fortnight 217. The Group feedback follow-up session with HR was cancelled due to half term and non-availability of attendees and has been re-scheduled for next week. Further documentation has been released to the Consultation SharePoint site to support feedback and understanding.

Activity	Next milestones			
<ul style="list-style-type: none"> Group feedback sessions continue (HR part II re-scheduled 27/02, Waste 05/03) Logging, tracking, assessing and responding to tranche 1 consultation queries continues Updating of Consultation documentation based on feedback continues Voluntary Redundancy queries being captured Walk-through and Budget Savings documents published to support proposed structure feedback Generic job descriptions drafts are complete these will enable Job Evaluations to take place. 	Milestone	RAG	Due Date	Target Date
	Consultation Timeline Tranche 1a/b Signed Off	C	19/02/19	19/02/19
	Consultation Tranche 1a Closed	G	18/03/19	18/03/19
	Proposed Structure Signed off (Tranche 1a)	G	22/03/19	22/03/19
	Consultation Tranche 1b Closed	G	25/04/19	25/04/19
	Interview Corporate Directors	G	26/04/19	26/04/19

Next Steps

- Set-up follow-on consultation feedback sessions as required (Ongoing)
- Support Consultation and respond to queries
- Begin set-up of Selection panel for Corporate Directors interviews (Will be determined through planning)
- Complete generic Job description framework (22/02/19)
- Define and agree resources for implementation of new structure.

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	R	S	Mitigation Plan	Owner	Date Due
257	Leon Ainsworth	22/11/2018	Delays to consultation due to the speed of delivery and the level of engagement in the design stage	The timelines available to deliver the Transitional Structures workstream have not allowed for in-depth validation and engagement of conceptual structures. A deep dive of the business for any robust analysis has not taken place.	3	4	12		21/02: Group feedback sessions are proving to be very effective in assisting the at risk roles and management to understand the structural proposals and the financial envelope that these proposals are based on. The extension to the Tranche 1b timeline will assist in creating greater clarity.	Leon Ainsworth	01/03/19
277	Leon Ainsworth	31/01/2019	Consultation queries that have been sent into the SDC Consultation mailbox cannot be answered in timely manner.	Frustration and credibility concerns as individuals are unable to understand elements of the proposed structure. Leading to escalations within senior management.	3	2	6		21/02: The positive impact has continued this week with a further 117 queries being answered. A total of 255 queries closed with 194 still open. The team continues to make good progress	Leon Ainsworth	01/03/19

1. Introduction

The Shaping Dorset Council (SDC) programme continues to progress towards operational readiness. As per the planned timescales of the programme, an operational readiness gateway review was scheduled for completion in January/ February 2019. SWAP have been commissioned to undertake this gateway review, to provide assurance to the Chief Executive of the new Dorset Council, as well as other programme stakeholders, that the SDC programme is on track to deliver the new Dorset Council from the 1st April 2019.

Whilst clearly, the SDC programme is constrained within a set timescale, the overall objective of this gateway review has been to assess how well placed the programme is in relation to operational readiness, as well as highlighting any opportunities that we believe could be taken to enhance the programme and/ or increase the chances of programme success.

2. Agreed Scope of our Gateway Review

The scope of our work was agreed by the SDC Programme Board and Shadow Executive, and specifically looked to assess/ provide confirmation that:

- Governance bodies (Programme Board and Shadow Executive Committee) are ready to facilitate and approve implementation, and responsibilities within these governance bodies are clear
- There are management and organisational controls to manage the programme through implementation and operation, including reporting lines before and during transitional structures are implemented
- Ongoing risks and issues are being effectively managed and do not threaten implementation. Furthermore, to evaluate the risk of proceeding where there are any unresolved issues
- There is adequate contingency planning within the programme in relation to operational readiness
- There is a level of confidence within programme stakeholders that the planned outcomes are likely to be achieved
- There is on-going sponsorship and stakeholder support for the programme
- There is confidence that the necessary Programme resources are in place
- The scope for the Programme post April 1st adequately supports ongoing service continuity changes and transition activities
- Recommendations made in previous programme assurance reports and gateway reviews have been effectively addressed and implemented

Agreed Scope Exclusions

- Confirmation that implementation plans are still achievable; including training, communication, cutover and support as required (*this aspect of the Gateway will be undertaken by AMEO, in conjunction with the Programme Team*)
- Review of convergence and transformation activity planning will not form a part of the scope for this work
- Similarly, the likelihood of achievement of the overall financial savings set out in the Local Partnerships Business Case will not be assessed as part of this review.

It should be noted that our gateway review provides a snapshot view of progress, at a point in time and, therefore, should be seen as complementary to other internal programme oversight and scrutiny processes, and not a replacement for them.

3. Methodology

Our review consisted of interviews with programme stakeholders, as well as liaising with the SDC programme team for information and confirmations. In addition, a range of programme activity and documentation was reviewed.

We undertook an electronic survey of 191 officers from across the Dorset authorities involved with the SDC programme, where we asked a series of questions asking respondents their views on the programme. We also surveyed all Members of the Shadow Executive and the Shadow Overview & Scrutiny Committee (36 in total).

We received 92 completed staff surveys (a response rate of 48%), and 15 completed Member surveys (a response rate of 42%). Whilst clearly, results from both the staff and Member surveys cannot provide definitive evidence in relation to the extent of operational readiness, the reasonable response rate helps to form an overall picture of confidence from a representative sample of those most closely involved in the programme.

4. Delivery Confidence Assessment

The SDC Programme continues at pace in the lead up to 1st April and operational readiness. Clearly there remains a significant amount of work to complete to ensure a smooth transition into the new authority, however programme stakeholders are working hard to ensure the necessary tasks and coordination is completed to ensure a ‘safe and legal’ Dorset Council.

We have provided a Delivery Confidence Assessment for each area within the scope of this review (see Section 6). The full Delivery Confidence Assessment criteria has been set out in Appendix D, but from this gateway review, our assessments fell into one of the following two criteria:

Assessment	Criteria Description
High	Successful delivery appears probable. However, constant attention will be needed to ensure risks do not materialise into major issues threatening delivery.
Medium	Successful delivery appears feasible but important issues exist requiring management attention. These appear resolvable at this stage and, if addressed promptly, should not present overruns.

5. Headline Conclusions

The overall headline conclusions of our gateway review were as follows:

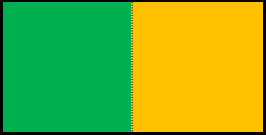
- Our work on this review has indicated that governance bodies (Programme Board and Shadow Executive Committee) are ready to approve implementation in the lead up to 1st April. In addition to this, there is a good level of confidence that the appropriate resources are in place to facilitate and approve implementation, with responsibilities clear. Risk and issue management has been developed, with confidence that programme risks are being appropriately managed.
- Management and organisational controls to manage the programme through implementation and operation have been developed and are largely operating effectively. As per our previous gateway report, we have identified several areas where reporting/ oversight could be improved to enhance assurance that implementation plans will deliver for Day 1. However, we appreciate that with the fast-paced nature of the SDC programme, the risk appetite in relation to certain aspects of control/ oversight is likely to be higher.
- The responses from our survey of officers involved in the SDC programme demonstrated a generally positive level of confidence that the programme will be able to deliver a safe and legal Council, that current plans would deliver a seamless service from 1st April, and that officers were confident in relation to their own respective responsibilities. Across all other officer responses, there was generally a positive level of confidence (*see Appendix B for full details*).
- Similarly, the responses from our survey of Members demonstrated broadly positive levels of confidence in relation to the SDC programme being able to deliver a safe and legal Council on the 1st April, along with the confidence that significant potential risks are being adequately managed. Across all other Member responses, there was generally a positive level of confidence (*see Appendix C for full details*).
- Work requirements for the period 1st April to 31st October 2019 which are emerging from the SDC programme have begun to be defined and agreed. This work will need to continue in order to confirm, scope and prioritise this work. This will likely need to include a range of non-critical Day 1 programme tasks where timescales may have slipped.
- Based on our assessment of the progress in implementing the recommendations of earlier programme assurance reports, there are a number of areas that we believe require further work/ enhancement (*see Appendix A for further details*).
- A key aspect of this gateway review (and operational readiness in general), will rest on whether implementation plans are still achievable. As highlighted in our scope exclusion section above, this aspect of the work is primarily being undertaken by AMEO in conjunction with the Programme Team, and therefore this report should be read in conjunction with the findings of that work.

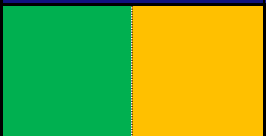
6. Delivery Confidence Assessments and Findings

Below are the key areas of our review, along with the individual assessments and respective key findings:

Assessment	Gateway Review Area
	<p>Governance bodies (Programme Board and Shadow Executive Committee) are ready to facilitate and approve implementation, and responsibilities within these governance bodies are clear</p>
<p>Our work on this review has indicated that governance bodies (Programme Board and Shadow Executive Committee) are ready to approve implementation in the lead up to 1st April.</p> <p>In terms of Programme Board decisions required before the 1st April, whilst there is no formal mechanism to ensure that all decisions are flagged, a forward planner is maintained for the Programme Board which schedules decisions as required. However, our testing identified nine decisions recorded on the decisions log as requiring a decision prior to 1st April that were not included within the forward plan; for example, within the HR decision log - 'sign off of Dorset Council TUPE measures'. Whilst these decisions may have been added to the forward planner at a later stage, we have recommended a cross-comparison check to ensure that necessary decisions are planned in/ scheduled where possible.</p> <p>Our survey of Members demonstrated a relatively strong level of confidence that key decisions required in run up to 1st April have been appropriately scheduled for resolution (<i>see Appendix C, Q.7</i>). Furthermore, our survey of officers indicated a strong level of agreement with regards to clarity in their role for operational readiness (<i>see Appendix B, Q.3</i>)</p> <p>As covered in previous SWAP assurance reports, there is now more established and embedded programme governance arrangements, including clear sponsorship, responsibilities and reporting lines of the programme.</p>	

Assessment	Gateway Review Area
	<p>There are management and organisational controls to manage the programme through implementation and operation, including reporting lines before and during transitional structures are implemented</p>
<p>Programme governance arrangements have continued to become more established and embedded, helping to develop a framework of management and organisational controls to manage the programme through to implementation and operation. This includes regular programme highlight reports, risk & exception reports, and regular reporting to/oversight from Members</p> <p>The introduction of 'Agile' daily stand-up meetings within the programme team has enhanced communication and cross-workstream awareness, as well as acting as a clear and effective visual of tasks completed, in progress, and still to do.</p> <p>Monitoring of implementation plans and programme milestones is undertaken via the respective Theme Boards. Ongoing oversight of plans is undertaken by project managers and through the daily stand-up meetings. A more detailed 'deep dive' review has recently been undertaken by the Project Management Office (PMO) which has identified a range of gaps and tasks still to be completed in relation to the plans.</p> <p>Our testing of Implementation Plans demonstrated that on the whole the tasks required for Day 1 are accurately reflected, but whilst some of the previously highlighted inconsistencies around priority levels/ target dates have been addressed, a significant number of inconsistencies still remain, most notably for those Implementation Plans within the People Theme. We have made a recommendation to strengthen the programme oversight controls in this area.</p> <p>Similarly, our testing of the reporting/ oversight of programme milestones has identified that whilst a summary of the key theme milestones are included in the programme highlight reports, not all milestones are included; specifically we identified milestones that had missed their deadline, which were not included in highlight reports, as well as milestones that had missed their deadline but were coded as Amber (further work required) as opposed to Red (high concerns/ missed deadline). We have therefore made a number of recommendations to enhance the management controls in these areas.</p> <p>In relation to reporting lines before and during transitional structures are implemented, new Dorset Council Senior Leadership Team directors will immediately join the programme board. As 1st April approaches the programme board is likely to merge into a Dorset Council corporate change/ programme board, however the exact arrangements have yet to be confirmed. Similarly, specific arrangements for reporting lines for the existing workforce post 1st April within the transitional structure will need to be clarified.</p>	

Assessment	Gateway Review Area
	<p>Ongoing risks and issues are being effectively managed and do not threaten implementation. Furthermore, to evaluate the risk of proceeding where there are any unresolved issues</p>
<p>Risk management arrangements within the programme are developed and include regular risks and exception reports presented to the Programme Board. These include all high impact, and high overall risks. Risk and issue information is also contained within programme highlight reports. Risk management discussions at workstream boards also offer the chance to review specific risks and any mitigating action in more detail. As part of our review, one minor area for enhancement identified, would be to ensure that the risk overview summary contained within the SharePoint risk management page accurately reflects the breakdown and profile of risks.</p> <p>Our survey of officers demonstrated a reasonable high level of confidence that all potential risks within services/ workstreams were being adequately managed at an appropriate level (<i>see Appendix B, Q.8</i>). Similarly, our survey of Members indicated a comparable level of confidence (<i>see Appendix C, Q.8</i>).</p> <p>Work on dependencies has progressed since our Gateway 1 review, with dependencies re-categorised and plans updated. Plans are co-ordinated by one person in the programme team and a report on critical dependencies has been reviewed by the programme board. Dependencies are also discussed and clarified where necessary at the programme stand-up meetings. We have made a recommendation to re-visit critical dependencies in the lead up to 1st April to confirm those requiring action.</p> <p>In relation to any unresolved programme issues, these would also be covered in the stand-up meetings, where a dedicated section of programme ‘blockers’ is captured. As part of our review, we were not made aware of any major, unresolved programme issues that would pose a risk to operational readiness. This was supported in our survey of officers and Members, where no concerns were raised in the open comments in relation to specific unresolved issues or programme blockers.</p>	

Assessment	Gateway Review Area
	<p>There is adequate contingency planning within the programme in relation to operational readiness</p>
<p>Our survey of officers involved in the SDC programme demonstrated a reasonable high level of confidence that adequate contingency or back up arrangements were in place, in relation to services/workstreams in the case of unforeseen problems arising in the run up to 1st April (<i>see Appendix B, Q.7</i>).</p> <p>With members of the new Senior Leadership Team starting/ due to start shortly, this will also provide some time for handover/ transfer of responsibilities, to assist with contingency.</p> <p>Views from the open question in officer survey highlighted a degree of concern/ level of uncertainty that once the consultation for the transitional structure had begun, there was likely to have an impact on focus in relation to operational readiness. This will likely increase the risk with regards to contingency planning and supports the need for effective communications throughout this period.</p>	

Assessment	Gateway Review Area
There is a level of confidence within programme stakeholders that the planned outcomes are likely to be achieved	
<p>Our survey of officers demonstrated that there was relatively strong agreement in the SDC Programme being able to deliver a safe and legal Council from 1st April (<i>see Appendix B, Q.1</i>).</p> <p>This was further supported by officer survey responses, that indicated reasonable confidence that all potential risks within Service/ Workstream plans are being adequately managed (<i>see Appendix B, Q.8</i>), confidence that Service/ Workstreams had appropriately communicated all dependencies to the appropriate level (<i>see Appendix B, Q.9</i>), and clarity in relation to reciprocal reliance on other Services/ Workstreams for dependencies (<i>see Appendix B, Q.10</i>).</p> <p>Our survey of Members also demonstrated relatively strong confidence in the SDC Programme delivering a safe and legal Council by the 1st April (<i>see Appendix C, Q.1</i>).</p>	

Assessment	Gateway Review Area
There is on-going sponsorship and stakeholder support for the programme	
<p>Our survey demonstrated that in the majority of questions, there appears to be ongoing stakeholder support and reasonably good confidence in relation to the programme (<i>see Appendix B & C for a full list of questions and results of the survey</i>).</p> <p>In particular, this was highlighted in staff reflecting reasonable confidence that they understood the current status of the SDC Programme and the issues involved, as well as reflecting strong agreement that they were clear about their own role in terms of operational readiness.</p> <p>Our survey of Members also indicated relatively strong agreement in relation to feeling adequately informed about the programme, including any issues encountered, to enable contribution to the political decision-making process.</p>	

Assessment	Gateway Review Area
There is confidence that the necessary Programme resources are in place	
<p>Our survey of officers demonstrated reasonable confidence that the necessary skills, experience and resources are being deployed on the programme to enable service delivery from the 1st April (<i>see Appendix B, Q.4</i>). Furthermore, there was reasonable officer confidence that adequate contingency or back up arrangements were in place in the case of unforeseen problems arising (<i>see Appendix B, Q.7</i>).</p> <p>The survey results from Members demonstrated a similar level of confidence in relation to the necessary skills, experience and resources being deployed on the programme to enable service delivery from 1st April (<i>see Appendix C, Q.5</i>).</p> <p>Clearly with the recent communications regarding transitional structures, there will be an increased risk of reduced engagement from key staff, as well as the possibility of staff leaving prior to 1st April. The risk of potentially reduced resources to call on from the respective authorities will need to be actively managed, and is likely to feature as an increasing programme risk in the lead up to 1st April.</p>	

Assessment	Gateway Review Area
	<p>The scope for the Programme post 1st April adequately supports ongoing service continuity changes and transition activities</p> <p>Work on clarifying the requirements for the period 1st April to 31st October, based on the issues which are emerging from the SDC programme has begun to be developed. This work will continue to be formalised to provide further clarity and structure.</p> <p>Specific projects to be included within this phase of the programme will need to be confirmed, scoped and prioritised. This is likely to need to include a range of non-critical Day 1 programme tasks where timescales may have slipped or were not fully defined/ included in scope.</p>

Assessment	Gateway Review Area
	<p>Recommendations made in previous programme assurance reports and gateway reviews have been effectively addressed and implemented</p> <p>As part of this review, we assessed whether actions had been taken to implement the recommendations from our Gateway 1 review (actions from any other assurance sources/ recommendations have not been assessed).</p> <p>A summary of our follow up of previous recommendations has been included in Appendix A below. Whilst action has been taken against each of the areas, we feel like there is further work that could be completed to improve the governance and control over certain areas highlighted.</p>

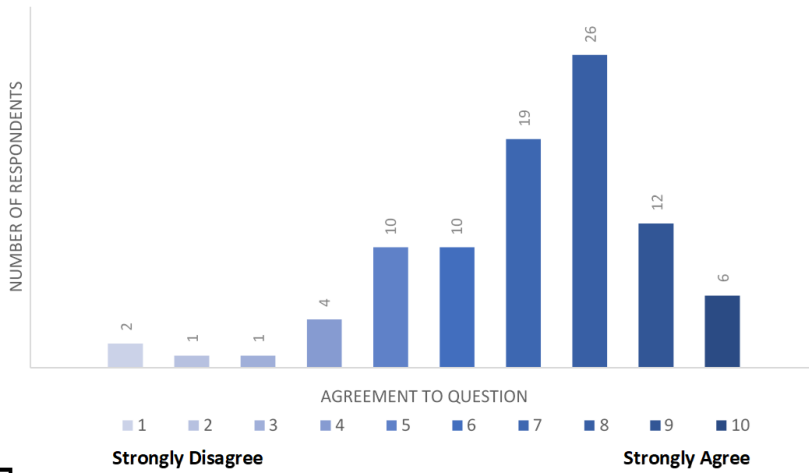
7. Recommendations

<ul style="list-style-type: none"> Following the recent ‘deep dive’ into the implementation plans undertaken by the Project Management Office (PMO), there is a need to complete any gaps or inconsistencies identified as part of this work. As plans evolve and change prior to 1st April there is a need to ensure that this review work continues on an ongoing basis
<ul style="list-style-type: none"> There is a need to develop a methodology for the PMO to maintain an effective oversight of all service/workstream implementation plans
<ul style="list-style-type: none"> A sense check of milestones included in the Programme Board Highlight Report should be undertaken to ensure that all key milestones are included, with a focus on those milestones where the deadline has been missed
<ul style="list-style-type: none"> A protocol should be adopted for coding of milestone progress to ensure consistency across all Themes, including the coding of milestones that have missed their deadline. In addition, there is a need to ensure that the overall RAG status of the Theme Board accurately reflects the overall position of the milestone planner
<ul style="list-style-type: none"> A formal mechanism for ensuring that all appropriate decisions are included in the forward plan of the Programme Board should be established. In addition, a review of the decisions log should be undertaken to ensure that all Day 1 critical decisions are included in the forward plan prior to 1st April.
<ul style="list-style-type: none"> A further review of the current status of the critical dependencies is required in order to confirm those still requiring actions and to ensure inclusion in service/workstream implementation plans and Programme Board forward plan where decisions are still required
<ul style="list-style-type: none"> There is a need to review previous recommendations where audit testing has identified gaps in order to confirm the necessary action required for implementation
<ul style="list-style-type: none"> Plans need to be further developed for the work required in the period 1st April to 31st October which are emerging from the SDC programme; including consideration of the non-critical Day 1 programme tasks that may have either slipped or were not fully defined/ included in scope

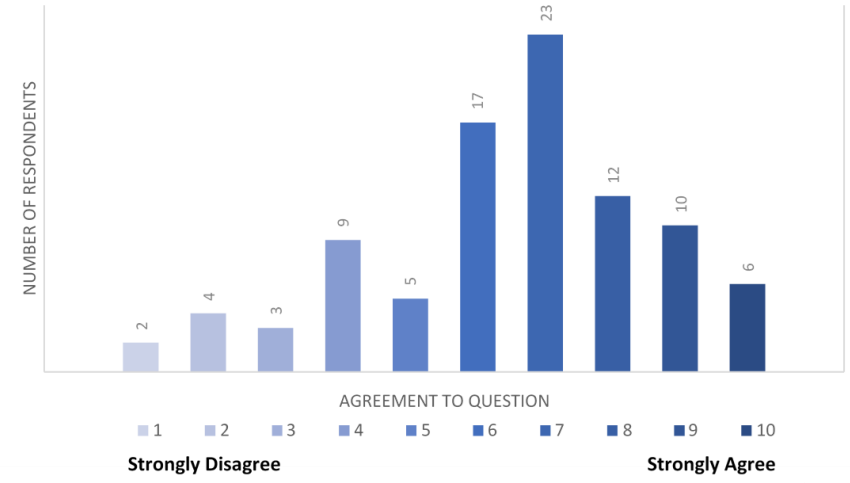
Previous Recommendations	SWAP Progress Assessment – January 2019
<p>Check back over Priority levels/ target dates contained within implementation plans to ensure they accurately reflect the tasks required for day 1</p>	<p>Ongoing monitoring of plans is undertaken by project managers and through the daily stand-up meetings. A more detailed ‘deep dive’ review has recently been undertaken by the PMO which has identified a range of gaps and tasks still to be completed in relation to the plans.</p> <p>Our follow up testing of Implementation Plans demonstrated that on the whole they do reflect the tasks required for Day 1, but whilst some of the previously highlighted inconsistencies around priority levels/ target dates have been addressed, a significant number of inconsistencies still remain, most notably for those Implementation Plans within the People Theme.</p>
<p>Confirm the agreed milestones for operational readiness for each Theme/ Workstream, as well as ensuring/ checking that these accurately reflect a summary of the key tasks within each Theme/ Workstream</p>	<p>It was confirmed by the PMO that milestone charts were all submitted/ confirmed by the end of November 2018. Our testing of the current Milestone Plans confirmed that they accurately reflect the summary of key tasks for each of the Themes.</p> <p>However, the coding of items on the Corporate Milestone Plan is not consistent with the other Milestone Plans in terms of their status. Therefore it is difficult to determine whether those items that have passed their deadline are complete or not. It was also noted that a number of milestones for the People Theme had missed their deadline but were coded as Amber (further work required) as opposed to Red (high concerns/ missed deadline).</p>
<p>Finalise the work on dependencies, ensuring that all necessary dependencies are captured and agreed, as well as ensuring that these dependencies are clearly communicated/ accessible to programme stakeholders</p>	<p>Work on dependencies has progressed since our Gateway 1 review, with dependencies re-categorised and plans updated. Plans are co-ordinated by one person in the programme team and a report on critical dependencies has been reviewed by the programme board.</p> <p>The Dependencies Log demonstrates the data cleansing exercise that has been carried out to capture all dependencies and on the whole, these map across to the respective Implementation Plans. However, our testing identified some inconsistencies with regards to incorrect reference numbers being used. Although the officer responsible for the Dependencies Log liaises closely with the Project Managers, it is understood that not all dependencies have a corresponding entry in Implementation Plans due to the fluid nature of the Implementation Plans.</p>
<p>Capture all decisions needed, ensuring that these are programmed into the forward plan or a mechanism for ensuring that these will be picked up at the appropriate time</p>	<p>The Programme Board now maintains a forward plan which clearly shows key decisions that are required between now and go-live. To support this, there is programme resource dedicated to fortnightly review of the decisions register, checking workstream plans for the decisions forward plan and scheduling in to the appropriate Programme Board.</p> <p>However, our testing identified some anomalies with this process, for example, a number of key HR decisions such as TUPE measures, car loans to staff and staff car parking (which is showing as overdue on the Place Milestone Planner) were found not to be scheduled on the Programme Board forward plan.</p>

<p>Ensure service implementation plans are revisited where necessary to fully capture information required, such as relevant policies, or details of implementation costs</p>	<p>As above, a detailed 'deep dive' review of implementation plans has recently been undertaken by the PMO which has identified a range of gaps and tasks still to be completed.</p> <p>Audit attended two of the daily stand-up meetings and at both meetings, reference was made to the need to ensure that the implementation plans are reviewed and to develop a process that will allow the PMO enhanced oversight of all the implementation plans.</p>
<p>Re-visit/ re-confirm the previous programme assumptions to ensure that these remain relevant and stakeholders are still committed to delivering these within their service implementation plans</p>	<p>It was confirmed by the PMO, that assumptions would be validated via progress updates, as well as at the daily stand-up meetings.</p> <p>As the 1st April approaches, some of the key assumptions may need to be re-confirmed to provide assurance in relation to operational readiness.</p>
<p>Determine how milestones/ service implementation plans will be managed and monitored going forwards</p>	<p>Milestones/ service implementation plans are monitored through programme board highlight reports and review at programme board meetings. This is supplemented by the daily stand-up meetings that help to track progress.</p> <p>Our testing of the reporting/ oversight of milestone plans has identified that whilst a summary of the key theme milestones are included in the programme highlight reports, not all milestones are included; specifically we identified milestones that had missed their deadline, which were not included in highlight reports.</p>

Q1. You are confident that the Shaping Dorset Council (SDC) programme will be able to deliver a safe and legal Council from 1st April

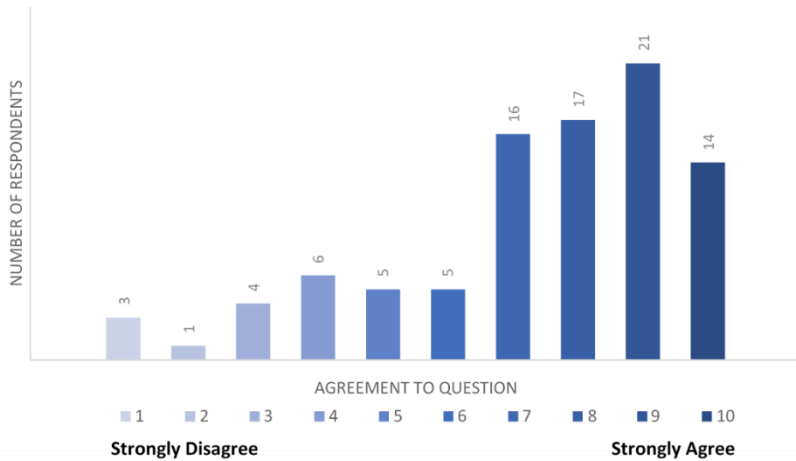


Q2. You feel like you understand the current status of the SDC Programme and the issues involved

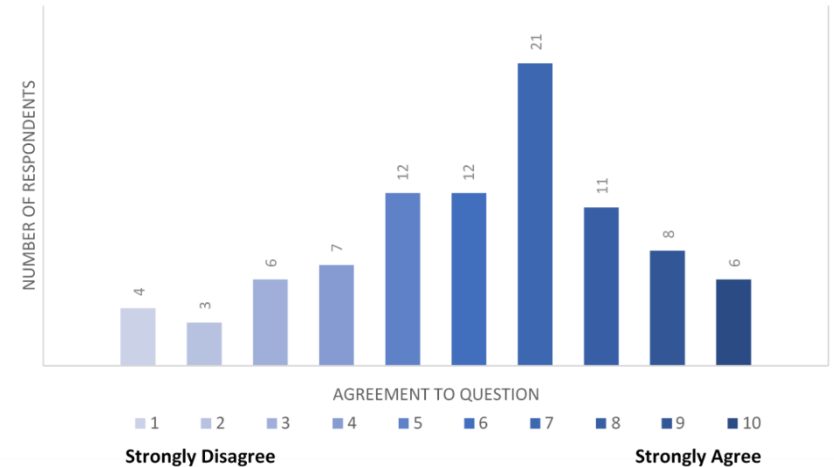


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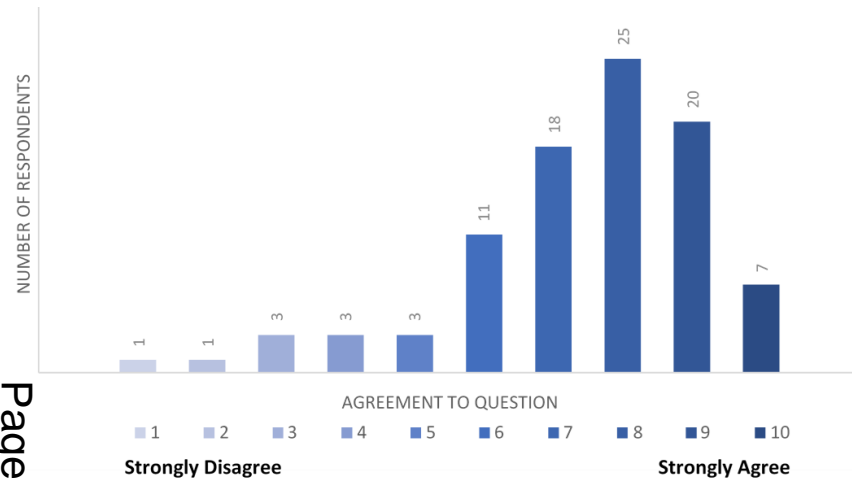
Q3. You are clear about your own role in terms of operational readiness



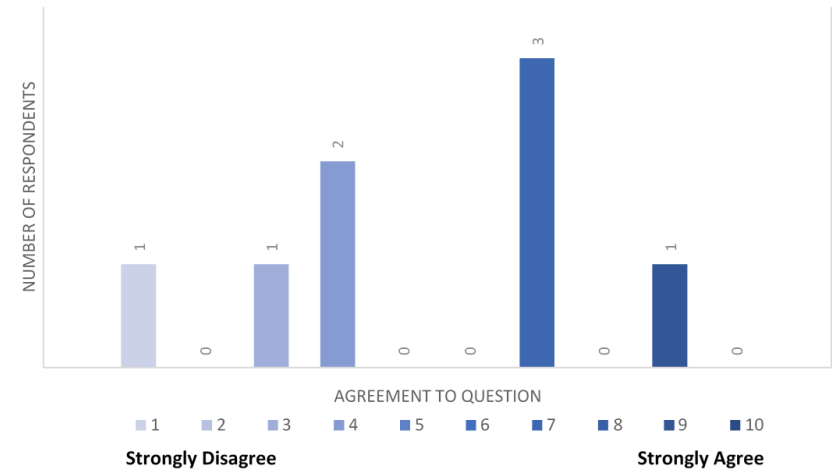
Q4. You feel like the necessary skills, experience and resources are being deployed on the programme to enable service delivery from the 1st April



Q5. Your Service / Workstreams Implementation plan (or one you have been involved in) is able to deliver a seamless service to the public from the 1st April

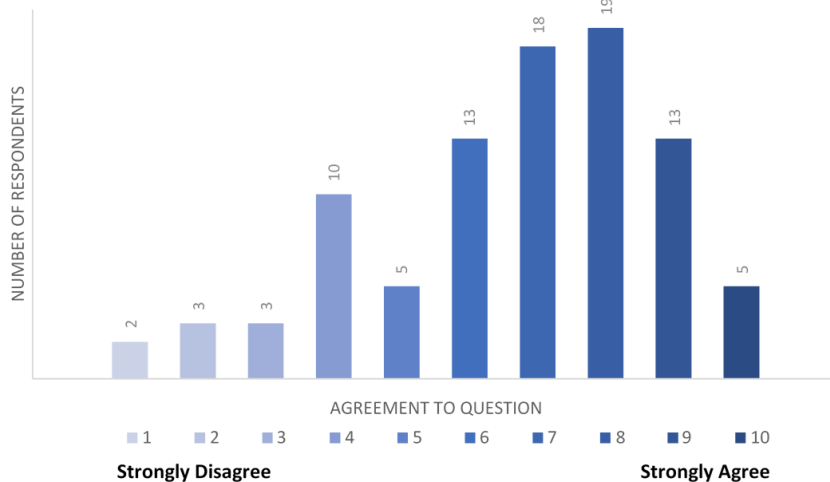


Q6. You feel like the reason for your Service/ Workstream being unable to deliver a seamless service on 1st April is because the Service/ Workstream Implementation Plan is not on track in terms of timescales?

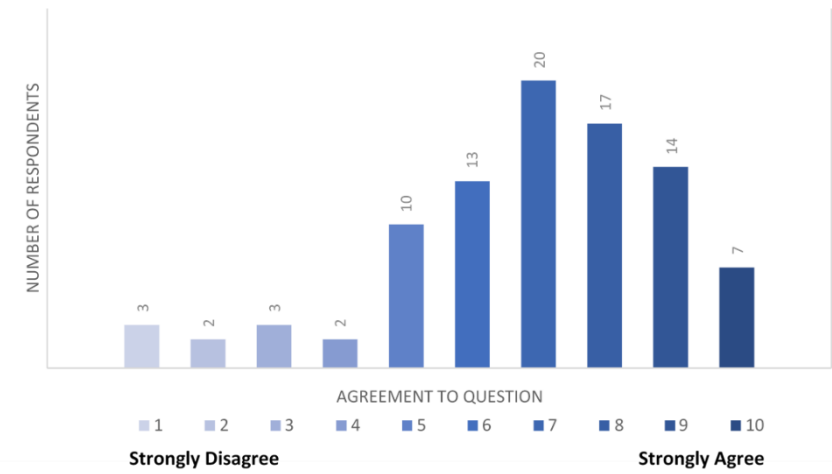


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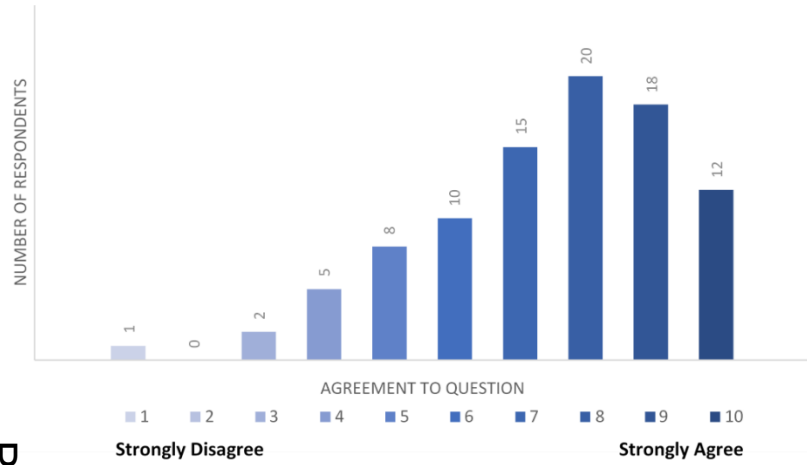
Q7. You are confident that you have adequate contingency or back up arrangements in place for your Service/Workstream area in case of unforeseen problems arising between now and 1 April



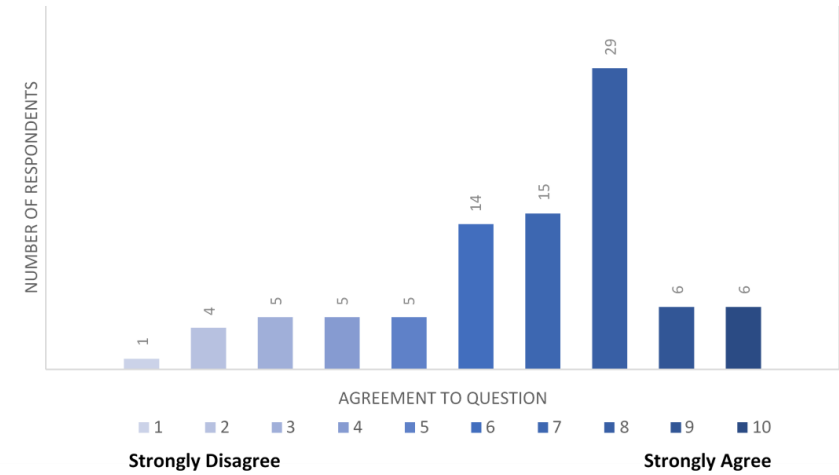
Q8. You are confident that all potential risks within your Service/ Workstream are being adequately managed at an appropriate level



Q9. You are confident that your Service/ Workstream has communicated all dependencies to the appropriate level

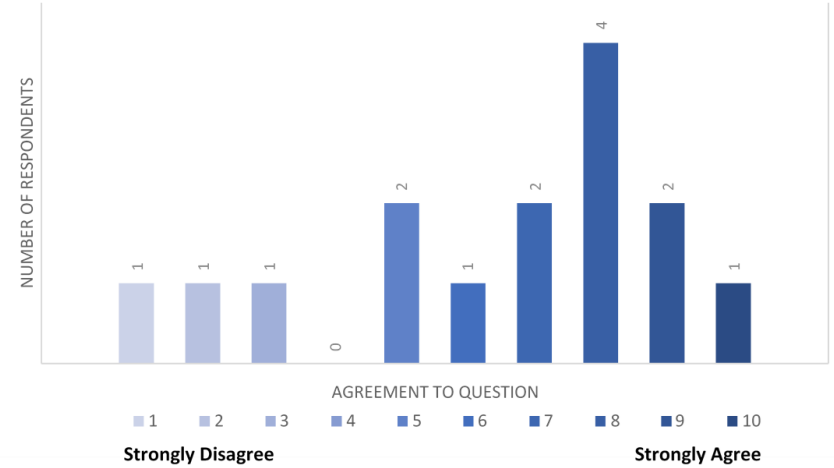
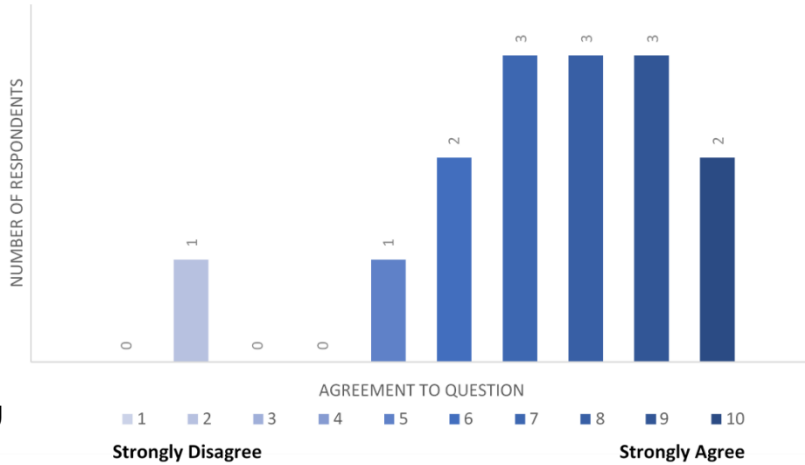


Q10. You are clear where other Services/ Workstreams are reliant on your Service/ Workstream for dependencies



Q1. You are confident that the Shaping Dorset Council (SDC) programme will be able to deliver a safe and legal Council on the 1st April

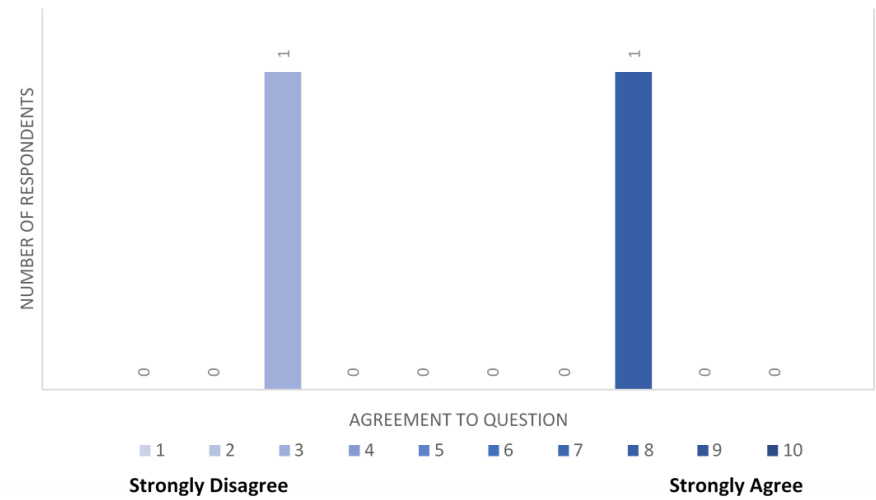
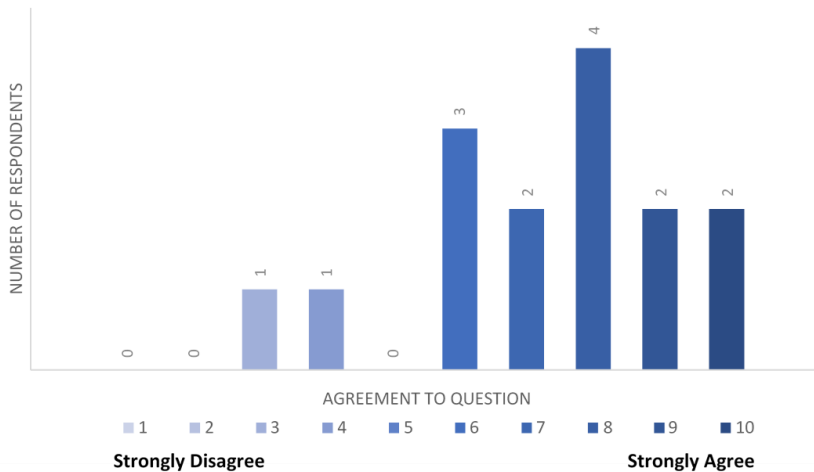
Q2. You feel like you are adequately informed about the programme, including any issues encountered, to enable you to contribute to the political decision-making process



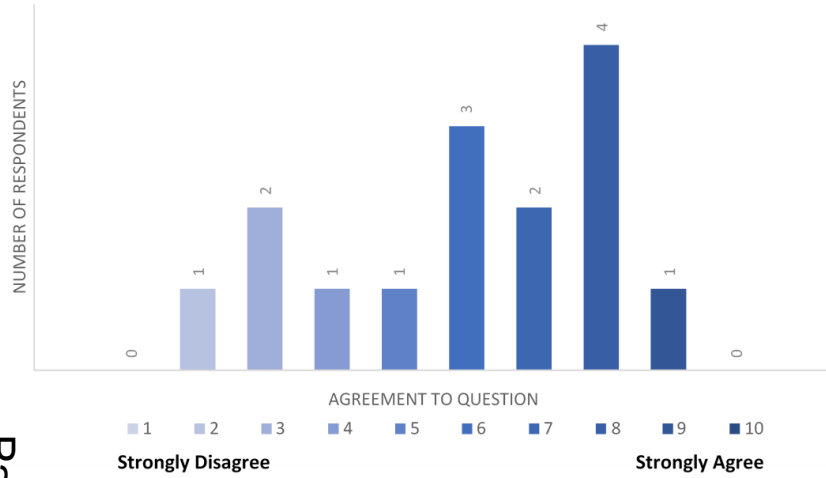
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Q3. You feel knowledgeable and informed about your key Dorset Council service areas of responsibility

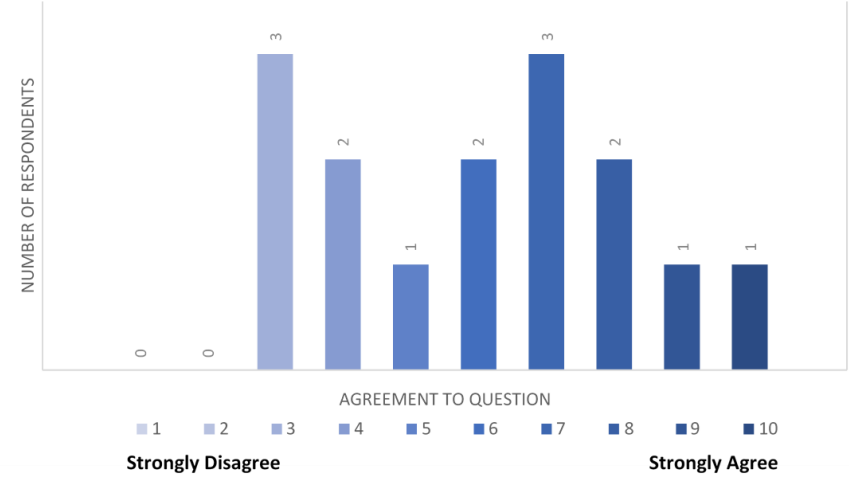
Q4. You have taken action to improve your knowledge in these areas



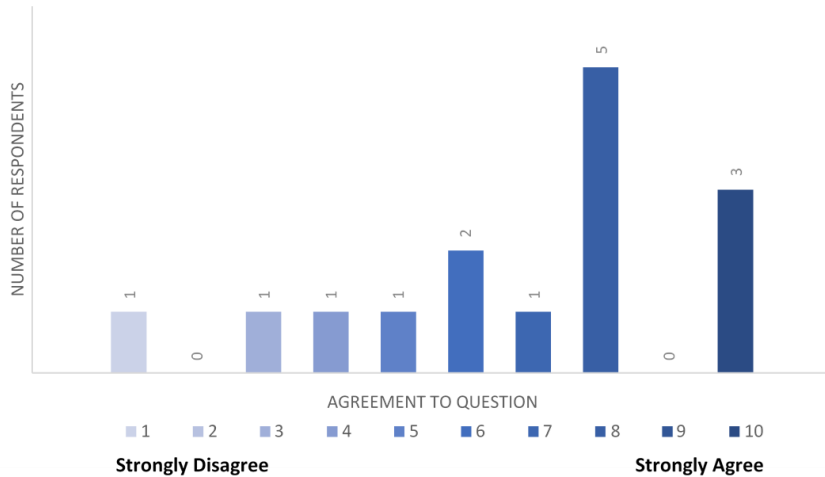
Q5. You feel like the necessary skills, experience and resources are being deployed on the programme to enable service delivery from 1st April



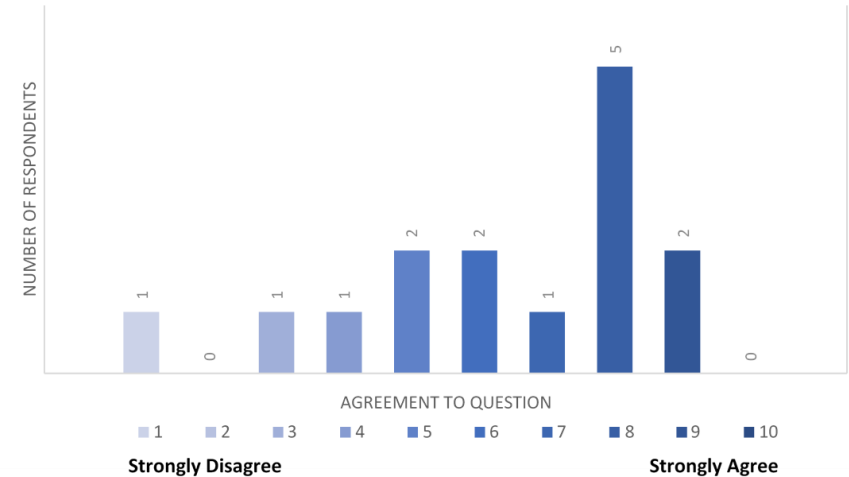
Q6. You are confident in the programme’s ability to deliver a seamless service to the public from 1st April


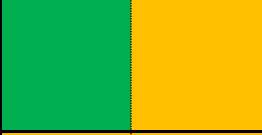
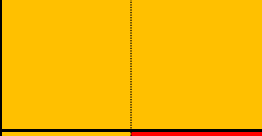
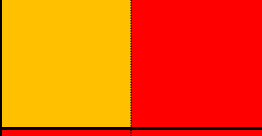
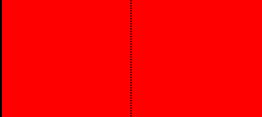


Q7. You are confident that key decisions required in run up to 1st April have been appropriately scheduled for resolution



Q8. You feel like you are being adequately informed that all significant potential risks are being adequately managed



Assessment	Criteria Description
	Successful delivery of the programme to time, quality and cost appears highly likely and there are no notable outstanding issues at this stage that appear to threaten delivery.
	Successful delivery appears probable. However, constant attention will be needed to ensure risks do not materialise into major issues threatening delivery.
	Successful delivery appears feasible but important issues exist requiring management attention. These appear resolvable at this stage and, if addressed promptly, should not present overruns.
	Successful delivery of the programme is in doubt with major risks or issues apparent in a number of key areas. Urgent action is needed to ensure these are addressed, and establish whether resolution is feasible.
	Successful delivery of the programme appears to be unachievable. There are major issues which at this stage do not appear to be manageable or resolvable. The programme may need to be redefined and the impacts of non-delivery in certain areas assessed.

SWAP's Delivery Confidence Assessments in Sections 4. and 6. above reflect:

- Evidence of specific programme issues or risks that threaten delivery to time and/or quality, and jeopardise the delivery of successful outcomes
- Results from the programme survey coordinated (92 completed staff surveys returned out of a total of 191, representing a response rate of 48%, and 15 completed Member surveys returned out of a total of 36, representing a response rate of 42%.)
- SWAP's professional judgement of the likelihood of the programme succeeding if there is no definitively clear evidence either way

When providing our Delivery Confidence Assessments, SWAP has not considered every scenario that might affect the programme's progress and outcomes, but has looked to reasonably extrapolate from the programme's past progress, current status and documented plans as to whether a successful outcome will be achieved.

Shaping Dorset Council Programme – Delivery Assurance Review

1. Exec Summary

Ameo has been engaged to undertake a delivery assurance review in order to test and provide a level of confidence around “Day One” service preparations within the Shaping Dorset Programme. The approach used by the team has been to test several front-line services using the customer journeys as a basis to assess any process change up to the point at which existing back end process start.

Four specific customer journeys have initially been reviewed through meetings with Service Leads and where necessary, supporting areas of the programme e.g. Customer Access, ICT, etc. have been explored to provide additional information and further context.

The findings for each process have been assessed against the ‘Safe and Legal’ requirement for “Day One” (1 April 2019) and the process has been given a confidence factor using the South West Audit Partnership’s (SWAP) Delivery Confidence Assessment Rating to provide a complementary assessment against the Gateway reviews undertaken.

This review has highlighted that, although reasonable progress is being made by services to change their back-end processes, there remains some significant issues to resolve. These issues can be grouped into emerging themes arising with the front-end customer journeys.

As a result, a more detailed analysis was done with the service areas and the PMO. The follow up has resulted in a series of recommended actions and resolutions which are shown in Annex A.

Key themes have been used to categorise the findings to enable the Programme team to make decisions and implement any actions quickly. Our recommendations are that:

- Specific issues raised in the individual reports in Annex B and C are followed up as soon as possible by the relevant Service Lead. Resolution may already be planned or arranged, but checks need to be made to gain confidence that Safe and Legal can be achieved for Day 1.
- Common themes should be used by the Programme teams (particularly those in Annex B) to follow up with the appropriate workstreams, to ensure issues have been resolved. Some good work has already begun with this.
- The checklist should be used with service leads, to ensure they are checking that all issues have been raised and addressed.

In conclusion the overall Delivery Confidence assessment rating of the four processes is:

Assessment	Criteria Description
	Successful delivery appears feasible but important issues exist requiring management attention. These appear resolvable at this stage and, if addressed promptly, should not present overruns.

In addition to the findings arising from the four customer journeys, some over-arching areas of concern became clear. These are of high priority and will need urgent further investigation.

2. Introduction

The Shaping Dorset Council (SDC) programme continues to progress towards operational readiness. As such, a second gateway review (SWAP Gateway 2 review) has been commissioned by the SDC Programme Board to provide a level of assurance to the Chief Executive of the new Dorset Council and key programme stakeholders, that the SDC programme and associated services will be operationally ready on “Day One”, 1st April 2019.

Ameo, acting as a critical friend, have designed this review to complement the Gateway 2 review. This is not an audit. Instead, using our existing knowledge of the authorities and the programme, we have worked with the programme team and service continuity workstream to develop a robust approach which specifically looks at the customer journey, and to test the level of assurance around it.

Each customer journey has been assessed as to whether it will be ‘Safe and Legal’ on “Day One” using the Council’s own definition as follows:

“To deliver a safe and legal new unitary council, with no break in continuity in services, with the eligible workforce transferred to their new employer and with clear plans in place for the convergence of services where duplicated. ‘Safe & legal’ includes having a legal and balanced budget and with appropriate plans in place to deliver the convergence savings outlined from 2019 onwards”.

3. Objective & Scope

3.1 Objective:

The objective of this review is to provide assurance for each of the processes reviewed and to provide a sense of confidence around the proposed service. Alongside this, we have highlighted any activities, along with any further opportunities and risks associated with the proposed process.

3.2 Scope:

We have selected and “tested” four key frontline service processes. This was a practical and challenging investigation of the proposed final-state process flow, its hand-offs and its system dependencies. The scope of our work covered the following customer journeys:

- A Children’s Safeguarding Referral
- An Emergency Planning Scenario (Real time agency referral & advance warning weather referral).
- A Domestic Planning Application
- An On-road Penalty Charge Notice

Further complimentary discussions have also been held with supporting workstreams such as ICT, Finance and Customer Access. This has added additional detail and context to the understanding of each customer journey.

There may be other Service areas identified during our review that will benefit from further assessment. These will be highlighted to the Programme Director and agreed as required.

In identifying issues in this report, we expect this to be a flag to clarify the issue. In many cases it may be that there is a solution already in place, but that the reviewee was not aware of it. The only action therefore in these instances would be communication follow up.

3.3 Scope Exclusions:

Reviews have been limited to a single customer journey within each service and will not include wider aspects of the service deliverables in relation to “Day One” operations.

Whilst the reviews may identify and highlight programme issues outside of the customer journey, the review of the programme and its governance arrangements are excluded and we understand have been covered by the stage 2 gateway review undertaken by SWAP.

This review provides a view of progress, at a point in time, and should be viewed as complementary to other programme assurance and scrutiny processes, and not a replacement for them. This is not an audit but is a robustness test of how prepared the customer journeys are for the processes we reviewed.

4. Review Approach

Face to face meetings have taken place with service and/or project leads for each of the four customer journeys selected. The basis of each review was a step by step walk through the customer journey from the point of entry/

access to the council (email/web pages/phone/f2f) through to a point where any changes interfaces with existing back end processes and business as usual prior to “Day One”.

We have used each of the four identified customer journeys to review specific progress within each service. This has also allowed us to make wider assumptions about the readiness of each service to deliver a ‘safe and legal’ service on “Day One”.

Following our findings in the first four journeys, it was agreed we would follow up with two further journeys, and those were also reviewed. The purpose was to ensure that the main themes identified were confirmed in other subsequent journeys. The review confirmed the main themes.

5. Delivery Confidence Assessment

Our assessment of Delivery Confidence will be based on the following definitions. These have been replicated from SWAP who are performing the Gateway reviews. This is to provide a degree of familiarity and consistency to the programme. The criteria adopted by SWAP are largely derived from the Infrastructure and Projects Authority and Cabinet Office guidance:

Assessment	Criteria Description
High	Successful delivery of the customer journey to time, quality and cost appears highly likely and there are no notable outstanding issues at this stage that appear to threaten delivery.
Medium-High	Successful delivery appears probable. However, constant attention will be needed to ensure risks do not materialise into major issues threatening delivery.
Medium-Low	Successful delivery appears feasible but important issues exist requiring management attention. These appear resolvable at this stage and, if addressed promptly, should not present overruns.
Low	Successful delivery of the customer journey is in doubt with major risks or issues apparent in several key areas. Urgent action is needed to ensure these are addressed and establish whether resolution is feasible.
Very Low	Successful delivery of the customer journey appears to be unachievable. There are major issues which at this stage do not appear to be manageable or resolvable. The process may need to be redefined and the impacts of non-delivery in certain areas assessed.

Delivery Confidence Assessment will reflect:

- Evidence of specific process issues or risks that threaten delivery to time and/or quality, and jeopardise the delivery of successful outcomes
- Our professional judgement of the likelihood of the process working effectively if there is no definitively clear evidence either way
- The resilience of the programme to overcome identified shortcomings or threats

When setting out our Delivery Confidence Assessment, we have not considered every scenario that might affect the progress and outcomes of *all* processes. Instead we have looked to extrapolate from the process reviewed, based on progress to date, current status and documented plans, as to whether a successful outcome will be achieved.

6. Timescales and Resources

The reviews were conducted over a period of seven working days during the period 10 January to 16 January using two experienced consultants from our Consultancy practice. The additional two reviews were carried out 12

February as agreed with the Programme Director.

7. Review and Findings

A summary of our key findings is outlined in 7.1 (Page 5), organised by the common themes which have emerged throughout the four reviews undertaken. The summary findings have allowed the Programme Team to quickly understand the common issues which have arisen and be used as a tool to direct wider conversations with other workstreams to quickly assess any further impact.

The PMO has responded to the findings, and we have then further responded. Where we are satisfied that no additional action is required, these items have been shaded and noted accordingly. Where issues remain, they are noted as such.

The detailed output and findings against each of the customer journeys reviewed have been included in Annex B.

Several additional findings have been identified throughout this exercise which are external to the customer journeys reviewed. For completeness, we have held some additional exploratory meetings with these areas to clarify issues. Detailed findings from those meetings are included within Annex C.

8. Conclusions

In relation to the customer journey reviewed, the findings conclude there was a good general understanding of the impact and requirements required for “Day One” (safe and legal) operation by each of the service areas. Individuals appear broadly prepared for the changes ahead. However, the use of the Customer Journey to push the boundaries of the end to end process identified areas which had been overlooked. Similarly, it also identified areas where assumptions were being made that the scope was the responsibility of others (which on investigation was not always the case). This leads to a degree of risk around the safe and legal delivery for “Day One”.

Overall, the Delivery Confidence Assessment is therefore summarised as:

Assessment	Criteria Description
	Successful delivery appears feasible but important issues exist requiring management attention. These appear resolvable at this stage and, if addressed promptly, should not present overruns.

9. Recommendations

Recommendations from the findings are that:

- Proposed actions and mitigation are followed up and implemented urgently
- Specific issues raised in the individual reports in Annex B and C are followed up as soon as possible by the relevant Service Lead. Resolution may already be planned or arranged, but checks need to be made to gain confidence that Safe and Legal can be achieved for Day 1.
- Common themes should be used by the Programme teams (particularly those in Annex C) to follow up with the appropriate workstreams, to ensure issues have been resolved. Some good work has already begun with this.
- The checklist should be used with service leads, to ensure they are checking that all issues have been raised and addressed.

Theme	Description	Strategic Issue/Actions	Programme Board Response	Ameo Follow up Response	Closed down/Issue Remains
1) Customer Access	How customers are signposted to a relevant service and the gateways through which customers can contact the service.	<p>Using the customer journey as a basis for review has identified gaps in the understanding and ownership of the end to end customer journey/process.</p> <p>Services need to consider how their customers are signposted to them e.g. D4U, Advertising, literature and referrals, etc. and identify how these need to change for Day One. Service leads need to own and incorporate these actions in their implementation plans, even when delivery is dependent on other supporting areas of the programme.</p> <p>The PMO need to review the potential additional workload on supporting workstreams and ensure there is sufficient capacity to deliver.</p>	<p>Noted and a welcome pointer to additional assurance work to be conducted within the programme.</p> <p>a) A review with the Customer Access workstream of end-to-end processes will assist with this.</p> <p>b) Some of the component parts of the customer signposting are slightly behind schedule and so as these come up to speed, many of these and similar concerns will be met.</p> <p>c) Through the Corporate theme board, the PMO have recently commenced activity to understand customer and staff impacts across the programme to feed into the customer workstream, this work was not complete at the time of the assurance work but will resolve the gap between the services and customer gateways.</p> <p>d) The implementation coordinators will be asked</p>	<p>a) When will the review with the customer access workstream take place? What is the process and outcomes?</p> <p>b) What are the actions and timetable for this?</p> <p>c) As mentioned in a) above, sight of the process and outcomes is required to check approach and potential resolution</p> <p>d) Who will ask them and how will this be assured? How have line managers of service leads been involved to ensure end to end</p>	<p>ISSUE REMAINS</p> <p>Though work is planned in there is a lot still to cover. This therefore remains an issue until reassured that services are picking this up fully</p>

Theme	Description	Strategic Issue/Actions	Programme Board Response	Ameo Follow up Response	Closed down/Issue Remains
			to review their plans with customer access “as-is” and any required changes in mind so that we can ensure there are no gaps.	walk through to check a robust approach?	
2) Customer Support	How customers contact the Council to make an enquiry or complain about a service, and any FAQ’s, action cards and scripts to support consistent communications.	Reviews have identified gaps in the understanding and ownership of the end to end customer journey/process. Services need to consider how customers who may contact the Council direct (to make an enquiry or complaint) will be directed to the correct person or team. E.g. District Council helpdesks may be required to direct an enquiry regarding a County Council service (or vice versa) by a person without knowledge of that service. Consideration must be given to the need for updated scripts or action cards to ensure consistent communication and efficient handling. Service leads need to own and incorporate these actions in their implementation plans, even when delivery is dependent on other supporting areas of the programme.	a) A review with the Customer Access workstream of end-to-end processes will assist with this. b) Customer access workstream has in scope ensuring there is a process in place for ensuring soft handover of calls. c)The customer impacts work will also assist with this issue. d)The PMO will carry out a cross-check of services to ensure this is completed where relevant and there is an action in relevant implementation plans	a) When will the review take place? What is the process and outcomes? b) What is the process, who is involved, how are we ensuring that actions will be taken as appropriate eg updated scripts, clear communication? c) Please clarify how this will assist d) Who is doing the cross check and when will it be completed?	ISSUE REMAINS Though work is planned there is a lot still to deliver. This therefore remains an issue until reassured that services are picking this up fully
3) Communications	How the communications team supports/ interfaces with a workstream.	Reviews have highlighted a general issue around corporate and programme communication such as the dissemination of key	The information is available through the normal programme SharePoint and a weekly newsletter to teams	Response is noted and understood. More work is needed though regarding standard responses for use	ISSUE REMAINS Though work is planned there is a lot still to cover.

Theme	Description	Strategic Issue/Actions	Programme Board Response	Ameo Follow up Response	Closed down/Issue Remains
		<p>decisions impacting progress within workstreams, and wider corporate communications leading to anxiety for staff.</p> <p>Service leads need to review the communication and decision-making requirements within their workstreams. They need to own and incorporate these actions in their implementation plans, even when delivery is dependent on other supporting areas of the programme.</p> <p>The PMO need to ensure that decisions are captured and effectively communicated back to services to avoid unnecessary delay.</p>	<p>sets out any significant changes.</p> <p>Teams will be reminded of where the detail is and the PMO will ensure the right content feeds in the newsletter and SharePoint site. The programme decision log will continue to be the primary source of communications.</p> <p>Project managers and service leads have been reminded of the requirement to forward plan their communications.</p>	<p>across all councils, particularly in relation to the new Unitary and the impact of that. Complaints will be one area this is needed. This may fall under another workstream so will validate first.</p>	<p>This therefore remains an issue until reassured that services are picking this up fully</p>
4) Programme Governance	How the LGR Programme supports/ interfaces with a workstream.	<p>Reviews have identified different interpretations of 'safe and legal' which is impacting clarity around what is required of services for "Day One".</p>	<p>The Programme Board is very clear on the Safe and Legal definition and reinforces this with the workstream boards they are responsible for</p> <p>The programme team are challenging all work items that do not appear to be day 1 critical, the daily stand up meeting also checks this. The PMO is collating all post-day 1 activities for the next stage of the programme.</p>	<p>This has reassured the board, but some service leads are still unclear. A clear message and definition needs to be passed to them with some practical examples.</p>	CLOSED DOWN
5) Branding	How the workstream is prepared to meet	<p>Reviews have highlighted that not all services have taken ownership of Branding within the scope of</p>	<p>Branding guidelines have been issued and confirmation of the scope of rebranding is</p>	<p>Who is doing the cross check and when will it be</p>	ISSUE REMAINS

Theme	Description	Strategic Issue/Actions	Programme Board Response	Ameo Follow up Response	Closed down/Issue Remains
Page 44	the new Council branding.	<p><i>the workstream under the assumption this is being picked up by others.</i></p> <p>Services need to consider their branding requirements for Day One. Service leads need to own and incorporate these actions in their implementation plans, even when delivery is dependent on other supporting areas of the programme.</p> <p>The PMO need to understand where services have dependencies in relation to third parties /external agencies updating branding information and the lead times required to implement e.g. Planning Portal system has a two-month lead in for updating corporate logos, emails etc.</p>	<p><i>due for decision 23/01/2019. A cross check of all implementation plans will be carried out for rebranding activities and current status.</i></p>	<p><i>complete? What will be the actions and outcomes?</i></p> <p><i>No robust plan exists so a new one is being set up – branding didn't have a dedicated lead until 2 weeks ago. Structure is being put around this now – 'cross check' referred to not done yet</i></p>	
6) Project Documentation	How the project documentation e.g. implementation plans, RAID logs, etc supports the workstream objectives.	<p><i>Reviews have highlighted differences in the quality, accuracy and timely completeness of programme documentation.</i></p> <p>Service/Workstream leads should be updating programme documentation in line with Programme reporting cycles and PMO should be holding leads to account. Risk that detailed knowledge and understanding is inside the heads of key people.</p>	<p><i>A review of all project plans has been carried out and all gaps highlighted. A summary is included in the Gateway 2 report.</i></p> <p>All project managers are instructed to enforce the message to keep all plans fully up to date in the run up to go live</p>	<p><i>What is happening with gaps highlighted, who is actioning these and following them up?</i></p> <p><i>The biggest issue here is the lack of risk identification by service leads/co-ordinators and that consequently not being escalated if/when needed. There is a need to walk through process risks and challenge processes to pull out all risks.</i></p>	ISSUE REMAINS

Theme	Description	Strategic Issue/Actions	Programme Board Response	Ameo Follow up Response	Closed down/Issue Remains
7) Decision Making	How corporate or programme decision making impacts the workstream.	<p>Reviews have highlighted a general issue around programme dissemination of key information/decisions impacting progress within workstreams.</p> <p>The PMO need to ensure that decisions required are captured and effectively communicated back to services to avoid unnecessary delay.</p>	<p>Weekly email to all co-ordinators includes all programme decisions. Fortnightly newsletter to all staff picks up key programme decision. Consideration required for the distribution list of the co-ordinator email to ensure all relevant officers are in receipt of the relevant emails.</p>	<p>If this process was already in place, what has caused this issue to occur? Or is this process new to take into account what is needed?</p> <p>Process has been tightened and appears to work once decisions are escalated and known. Getting decisions raised by services has been an issue.</p>	CLOSED DOWN
8) External Agencies	How external agencies/organisations e.g. Police, Health interface with the service.	<p>Using the customer journey as a basis for review has identified gaps in the understanding and ownership of the end to end customer journey/process.</p> <p>Services need to consider how their processes interface with external agencies and identify how these need to change for Day One. Service leads need to own and incorporate these actions in their implementation plans and ensure external agencies understand and update their processes and procedures as a result of the change e.g. Weather warning and alerts are emailed to the Emergency Planning coordinators by the Met Office.</p>	<p>Co-ordinators will be asked to ensure this is considered in implementation plans where relevant.</p>	<p>Whilst this is a helpful reminder, of itself it does not appear to be sufficient to support the service leads in their thinking on this. Coordinators need to walk through key processes with them to ensure they have covered every step, and to reassure themselves that checks are in place, and support is there.</p>	ISSUE REMAINS

Theme	Description	Strategic Issue/Actions	Programme Board Response	Ameo Follow up Response	Closed down/Issue Remains
9) Policies & Procedures	How the workstream impacts the Councils retained policies and procedures.	<p>Using the customer journey as a basis for review has identified gaps in the understanding and ownership of the end to end customer journey/process.</p> <p>Services need to consider how their processes interface/link to other retained policies and procedures e.g. service business continuity plans and arrangements may become out of date due to changes. Service leads need to own and incorporate these actions in their implementation plans.</p>	<p>PMO will ensure the workstream teams are aware of the new policy library and its contents, and that they cross check their procedures against it</p>	<p>Whilst this is a helpful reminder, of itself it does not appear to be sufficient to support the service leads in their thinking on this. Coordinators need to walk through key processes to ensure they have considered review of relevant policies, and to reassure themselves that checks are in place, and support is there.</p>	<p>ISSUE REMAINS</p> <p>Though work is planned in there is a lot still to cover. This therefore remains an issue until reassured that services are picking this up fully</p>
10) ICT Systems & Data	How the workstream impacts the Councils retained IT systems and data.	<p>Reviews have highlighted that not all services have taken ownership of systems within the scope of the workstream under the assumption this is being picked up in full by ICT or D4U.</p> <p>Services need to consider their ICT requirements for Day One. Service leads need to own and incorporate these actions in their implementation plans, even when delivery is dependent on other supporting areas of the programme.</p> <p>The PMO need to understand where services have dependencies in relation to ICT e.g. some confusion exists with service leads, regarding who they should contact</p>	<p>Project managers are now instructed to ensure implementation plans include hand offs and other links to back office processes and systems to ensure all changes join up</p>	<p>How has this instruction been provided (are project managers the service leads?) What support has been offered? Service Leads need to know specifically who to contact in IT if they want to review their end to end process.</p> <p>IT lead has commented that this is a timing issue as they are only just starting to look at configuration and it is all in hand. Keen to make sure that the service is seeing the end to end and</p>	<p>ISSUE REMAINS</p>

Page 46

Theme	Description	Strategic Issue/Actions	Programme Board Response	Ameo Follow up Response	Closed down/Issue Remains
		in relation to ICT and whether it is the web team or indeed themselves who are the owners of the issue.		<i>taking responsibility for IT queries and questions, rather than lead by IT. Looks like getting resolved but remains until then.</i>	
11) Contingency Planning	How adequately the workstream is prepared to respond to risks and issues.	<p><i>Reviews have highlighted a general issue around services assuming 'nothing is really changing' and therefore not always identifying risks and issues, impacting progress within workstreams.</i></p> <p>Service leads need to determine all risks and issues, and own and incorporate these in their implementation plans, even when delivery is dependent on other supporting areas of the programme. The PMO need to ensure that risks and issues are captured and effectively communicated back to services to avoid unnecessary delay.</p>	<i>Further reviews of the workstream risk registers are carried out and where relevant escalated to Programme Board</i>	<i>Who is carrying out this review – programme office or Service Leads? Conversations with Coordinators and Service Leads need to take place to include discussion regarding the biggest ongoing risks. These then need to be captured for the PMO to see and escalate as appropriate. Lack of process flow diagrams or end to end process guides is making identification of issues more difficult.</i>	ISSUE REMAINS
12) Finance	How the workstream impacts the Councils financial policies and procedures	<p><i>Using the customer journey as a basis for review has identified gaps in the understanding and ownership of the end to end customer journey/process.</i></p> <p>Services need to consider their Finance related requirements for Day One. Service leads need to own and incorporate these actions into their implementation plans,</p>	<i>Project managers are now instructed to ensure implementation plans include hand offs and other links to back office processes and systems to ensure all changes join up</i>	<i>How has this been done, what are the outcomes? Whilst this is a helpful reminder, of itself it does not appear to be sufficient to support the service leads in their thinking on this. Need to walk through key processes to ensure they</i>	ISSUE REMAINS

Theme	Description	Strategic Issue/Actions	Programme Board Response	Ameo Follow up Response	Closed down/Issue Remains
		<p>even when delivery is dependent on other supporting areas of the programme.</p> <p>The PMO need to understand where services have dependencies in relation to Finance e.g. there is a lack of clarity regarding the cash receipting process and the steps, and what is to change. There is also lack of clarity for some service leads who believe Finance are taking actions, when in fact they are not.</p>		<p><i>have covered every financial issue, and to reassure themselves that these are being discussed with finance colleagues and resolved. Any escalation of issues arising should also be through the risk register by the coordinators.</i></p>	
<p>13) Location</p> <p>Page 48</p>	<p>How the workstream is impacted by location/ building related issues</p>	<p><i>Reviews have highlighted a general issue regarding team relocation, and the impact on progress within workstreams.</i></p> <p>The PMO need to understand where services have dependencies in relation to Location issues, and where these could be impacting on the ability of Service leads to deliver on time e.g. Parking are being asked to relocate in the same time frame as Day 1.</p>	<p><i>This has been resolved and confirmed that no relocation activity will take place for go-live</i></p>	<p><i>Satisfactory response and closed down</i></p>	<p><i>CLOSED DOWN</i></p>

Annex A: Proposed Actions and Mitigation

No.	Theme/work area	Issue	Day 1 Safe and Legal Risk?	Risk Level and Type	Potential Solution
1	Customer Service and Access	It remains unclear how customers will find the right phone number for the service they need, via our web pages.	Day 1	High – Customer	Meetings have been planned with the relevant services. It is urgent that this is resolved, and outcomes communicated to all services.
2	Customer Services and Access	It remains unclear how customers who don't know their postcode will locate the right phone number for the service they need, via our web pages.	Day 1	High - Customer	Further meetings have been arranged for next week. It is urgent that this is resolved, and outcomes communicated to all services.
3	End to end process ownership by services	Evidence that some services are not owning the end to end process, and instead focussed on their own part of the service. As a result, ownership of dependencies and support functions is not always being taken.	Day 1	Medium - Process	A session at Managers Forum to walk through some example journeys. A Checklist (Appendix A) to be provided to help services think about areas to walk through. Longer term, service process maps are needed to ensure transformation does not have the same issues. A reminder of the roles of the co-ordinators and the PMO could assist further with this.
4	Identification and escalation of risks	Evidence that some services are aware of and identifying risks, but not documenting them through the project structure. As a result, these are not known by the PMO and not checked or escalated.	Day 1	Medium	To be included in the Service Manager checklist for services to challenge themselves to identify issues or questions
5	I.T. testing and support	There is no current intention to provide additional support for any queries on	Day 1	Medium – Support for Employees	Feedback to be requested from Services regarding any support they

No.	Theme/work area	Issue	Day 1 Safe and Legal Risk?	Risk Level and Type	Potential Solution
		Day 1. There is also no UAT planned for ICT changes other than on new systems.			require. Review of I.T. changes to be done and assess whether UAT should be done (in conjunction with services).
6	Finance	Evidence that some services are identifying finance elements to their processes and assuming finance are dealing with them, without following up to confirm.	Day 1	Medium - Payments	To be included in the Service Manager checklist for services to challenge themselves to identify issues or questions.
7	Finance parking payments	It remains unclear how Finance are resolving the allocation of parking payments to the correct individuals and budgets. Each finance lead thought the other was dealing with it.	Day 1	Medium - Payments	This has been identified to the Project Managers and being followed up urgently.
8	Response to emergency scenarios from Gold/Silver	Ongoing concern regarding the commitment of individuals to respond to incidents, as existing staff are rota'd for the first two months after Day1 (due to new post holders not being confirmed).	Day 1	Medium – Emergency Planning	Discussions with individuals concerned need to take place, regarding their commitment to respond appropriately. Reassurance to be provided back to Emergency Planning.
9	Branding	There has been a lack of a robust plan and a dedicated lead has only recently been set up. As a result, work has fallen behind schedule.	Day 1	Low - Consistency	Work needs to be caught up. In addition, a cross check of implementation plans needs to be carried out to ensure all branding issues have been picked up. To be included in the Service Manager checklist for services to challenge

No.	Theme/work area	Issue	Day 1 Safe and Legal Risk?	Risk Level and Type	Potential Solution
					themselves to identify issues or questions.
10	Third parties and external agencies	Evidence that some services are picking up issues in their processes which relate to third parties, late or not at all.	Day 1	Low - Process	To be included in the Service Manager checklist for services to challenge themselves to identify issues or questions.
11	Cash payments (branding)	It remains unclear how branding related to receipts for cash and card face to face payments will be done.	No	High – Consistency and Reputation	Finance PM has been asked to follow up with Customer Services to resolve this and confirm who is dealing with it.
12	Complaints	The process for complaints has only just started to be looked at.	No	Medium - Customer	D4U and customer services are meeting to progress this. Services need to be informed as soon as decisions have been made.
13	Finance budget training	This is planned but not communicated yet. It remains unclear whether the services needs have been fully considered, regarding the way budget information is being provided.	No	Medium – Support for employees	Representatives of services (who rely most heavily on budget information) to liaise with Finance to get the training and support at the right level.
14	Corporate standard templates and replies	Work is being done centrally but services are not aware. Some are consequently creating their own templates.	No	Low - Reputation	Services need to be informed that these templates are on their way. A generic approach to services finding these should be set up.
15	Disaggregation responsibility of Christchurch work	Evidence that some services are passing responsibility to BCP without having a clear view that their process works. There is a danger that we are giving away responsibility without reassuring	Not Day 1 for ourselves but still a reputational issue.	Low - Reputation	It is acknowledged that in principle BCP have responsibility for the ongoing processes once they take them over. However, care needs to be taken that in our hurry to do so, we are still assisting to

No.	Theme/work area	Issue	Day 1 Safe and Legal Risk?	Risk Level and Type	Potential Solution
		ourselves that those residents will be supported.			<p>ensure it is a smooth handover.</p> <p>To be included in the Service Manager checklist for services to challenge themselves to identify issues or questions.</p>

Annex B: Review Findings

Customer Journey 1 - Children's Safeguarding Referral

Title	Description
Review Date:	Thursday 10 th January 2019, follow up 5 February 2019
Service area Reviewee/s:	Children's Social Care Stuart Riddle – Work package Lead
Implementation Plan:	V2.1 dated 13/11/2018
RAID Log:	Included in above implementation plan.
Assurance Level:	Successful delivery appears feasible but important issues exist requiring management attention. These appear resolvable at this stage and, if addressed promptly, should not present overruns.

Overview of the Service

The general impression (excluding the customer journey), is that there is a good handle of what is involved in the workstream. Stuart talked confidently about the activity being undertaken to migrate Christchurch and broadly mentioned the key activities involved i.e. HR (TUPE transfer of staff), buildings, assets etc. He also advised that there are good working relationships through business led stakeholder meetings with BCP and discussions with joint delivery partners i.e. MASH. An implementation plan was available and issued.

In terms of risks around safeguarding, the fact that the two [future] MASH groups will be co-located with Police and Healthcare in the same building means that if a Christchurch referral is made to the Dorset team, they can communicate with colleagues in the same building.

The main area of concern is where other areas of the business interface with the service itself, and how well joined up and understood that is. This is highlighted in the limited information provided about the customer journey and what processes require amendment as part of customer access.

Findings:

Those areas shaded grey have now been completed, or resolution clear and in train. Those areas unshaded remain as issues outstanding.

Theme/Area	Finding
Customer Access	The overarching perception is that as all ASIS social care provision is currently handled by DCC, all processes remain the same from Day One as there is no integration across the District Councils. However, the separation of Christchurch to Bournemouth & Poole changes the customer journeys for residents in that area.
Customer Access	No visible provision to review and test changes to communications collateral i.e. changes to signposting and gateway data.
Customer Support	No visible provision within the social care workstream to ensure that customer call centre procedures for referrals/complaints are updated to reflect Day One. Risk that helpdesk scripts are inaccurate, and referrals are delayed getting to the correct teams. There is an assumption that this is picked up elsewhere.
LGR Programme	Generally, it is unclear how workstreams and scope is organised. It appears that customer journeys have not been considered in this workstream and that there is an underlying assumption that communications and customer related activity is the responsibility of other workstreams.

Theme/Area	Finding
LGR Programme and Customer Access	There is an underlying assumption that internal and external communication related activity (information and signposting) is being picked up by other responsible workstreams and third-party organisations and is outside the scope of the social care workstream.
Branding	The implementation plan contains a branding log. Identified branding covers ID cards for staff and letterheads only. This suggests other areas requiring branding have not been identified.
Project documentation	Implementation Plan was last dated 13/11/18. There is no date in the risk log to identify when risks were last reviewed/updated. We would expect risks to be reviewed/updated at least weekly at this stage.
Project documentation	Deliverables & Outcomes has a column to record related workstreams. Some deliverables are shown as "Cross Cutting" which we assume to mean there is more than one workstream involved in supporting the deliverable. There is also no status column to identify the current status. The task lead column is also blank.
Project documentation	Implementation Plan is out of date. There are tasks flagged as out of date. PMO section has dependencies and actions assigned with no owner or date assigned. Confirmation has been received from the service lead that this is the most up to date version.
Programme Board response	There are no day one changes proposed as the number to the MASH (the place where referrals are made) is not changing. Regarding the comment made in the LGR programme and customer access it should be borne in mind that it is for the service making the change to notify customer services if they need to update scripts or procedures. Reminders will be made to all workstream leads that if they make changes to a process, they must notify the relevant customer services team.
Ameo Follow up Response	The service lead/coordinator had not seen the report. When items above were discussed, most remain outstanding although some progress is being made. Branding and some customer services areas picking up tasks for this service, but the service lead is unclear regarding progress. He hasn't seen this report or looked at issues and hasn't updated project documents although has been asked to. Remains unclear about end to end processes and is leaving to someone else – remains unclear how this will happen. Understand the priority from his point of view is current cases and that is the focus – however this review is the customer journey and specifically for the lead this is not really registering as an important issue.
Closed down or issues remain?	ISSUES REMAIN

Customer Journey 2 – Emergency Planning - Planned and live scenario process

Title	Description		
Review Date:	Friday 11 th January 2019, follow up 6 February 2019		
Service Area Reviewee/s:	Emergency Planning Marc Eyre Nigel Osborne		
Implementation Plan:	V3 dated 12/9/18		
RAID Log:	N/A		
Assurance Level:	<table border="1" style="display: inline-table; vertical-align: middle;"> <tr> <td style="width: 20px; height: 20px; background-color: yellow;"></td> <td style="width: 20px; height: 20px; background-color: yellow;"></td> </tr> </table> Successful delivery appears feasible but important issues exist requiring management attention. These appear resolvable at this stage and, if addressed promptly, should not present overruns.		

Overview of the Service Reviewed

Our impression is that there is a good overall understanding of the back-office processes and changes required, which appear to be planned.

The main findings are around the customer access and what changes will be needed, as well as identifying where updated information needs to be sent to ensure consistency of service for all parties.

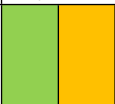
Findings

Theme/Area	Finding
Customer Support	Existing out of hours contact numbers for each Council are retained at Day 1. There is a need to ensure that action cards/call scripts are updated where relevant to ensure that event calls are directed to the right person/teams (particularly for DC's). Out of Hours has been agreed to remain as is for Day 1, resolved.
Customer Support	The policy to supply and distribute sandbags differs across Councils. Existing policies are to remain in place until a new community scheme can be introduced. Action cards for call centres need to be updated to reflect different policies.
Project Documentation	Cross over and continuity of IT systems, and asset transfer data, still needs to be worked through. Knowledge transfer instead. New people still need access, which has been arranged.
Project Documentation	Implementation plan version control shows the last change as 12/9/18. Implementation plan sheet only present, no reference to Phase 3/risks/policies/branding/decision required (this may have been uploaded to the PMO on Share-point). There is an apparent lack of consistency with the instructions shown, regarding how the project documentation should be completed. It was also noted that instructions on the implementation plan appear different to those seen in Children's Services.
Project Documentation	The implementation plan contains high level more strategic actions and minimal detail, suggesting that a large amount of the detail must be held within key individual's heads. Is being updated.
Decision Making	There was a high degree of confidence that the Service Lead has a solid and robust understanding of what needs to be implemented for this workstream on Day 1. This is helped by the fact that there are existing emergency planning arrangements within DCC and DCP already which is being used as the basis for Day 1.

Theme/Area	Finding
	<p>Incidents usually come from other agencies rather than the public. Incident and response planning are already working well. Key issues are around the Command & Control structure which is based around Gold and Silver coordinators (selected from the senior leadership team and executive). The team are waiting to be advised on specific appointments, in order to progress with this.</p> <p>This has moved on, the structure has now been provided. Agreement to go down to Heads of Service was given at board. Emergency planning responsibilities have been written into JD's and there is a three-phase training programme in place following appointment.</p> <p>Biggest issue for this service is that the Corporate Directors and Heads of Service will not be in place for Day 1. As a contingency, existing staff have been put on the rota for the first few months. There is a concern regarding commitment to respond from all individuals in this group.</p> <p>Waiting feedback of names in roles when decided.</p>
External agencies	The Civil Contingency Unit may be a route to initiating an event. They operate a system called Operation Link to auto-contact all parties. The service lead needs to ensure the contact details on this system are up to date.
External agencies	<p>Events are usually triggered by a 3rd party agency. Police/Fire etc. can page the Emergency Planning Liaison Officer for live events, early warnings e.g. bad weather warnings come in via email from the Met Office. Work is needed to identify all 3rd party agencies and communicate changes to contact names, emails and phone numbers as necessary, to ensure alerts and communications links are not delayed or broken.</p> <p>Added to implementation plan.</p>
External agencies Policies and Procedures Customer Access	<p>Impacts from disaggregation of Christchurch are mainly understood, however there is a need to ensure that both in-house and 3rd party procedures reflect the change and direct Christchurch incidents to the new BCP Council. There is a need to ensure that any existing Business Continuity Plans and Emergency Procedures are migrated to BCP, as well as making historic data regarding Christchurch incidents, accessible.</p> <p>New issue raised regarding old email addresses and how emails will get through to the new council. Unclear how this will be resolved yet.</p>
Policies and Procedures	No review has been undertaken on internal BCP plans to see how these might be impacted by changes for Day 1 (and beyond as a result of procedural harmonisation later in the programme). The new plan is done; most changes on existing plans are on track.
Contingency Planning	A combination of Brexit preparations and associated work pressures, alongside potential weather issues, are all potential impacts on delivery of Safe and Legal for Day 1.
ICT	The Share-point site and Resilience Direct (National Multi-Agency Database) are both used by the County Council to record incidents and decision making. There is a need to check if officers in DC's can access and update the system from Day 1.

Theme/Area	Finding
Location	A further issue has arisen regarding the need for any changed assets (mainly buildings) to be identified to the team so that plans can be updated.
Programme Board response	The sponsor has reviewed the customer journey for emergency planning and believe Ameo to have provided a fair analysis of progress and what remains to be done. Emergency planning is less likely than the other areas reviewed to involve direct contact with service user customers. Instead our contact is more likely to be with other professional agencies like the CCU who are likely to initiate a multi-agency response to which we are one responder. Whilst there is more work to be done around updating contacts there is not a customer journey of the sort experienced by a member of the public accessing a service personal to them. PMO will ensure these actions are built into the implementation plan.
Ameo Follow up Response	It is encouraging to see that all findings are being picked up and included in plans. The point regarding customer contact is understood but we must be clear about what the process is, if a customer was to report an incident, for Day 1. This is in addition to the more obvious resolution of a clear process for following up incidents once they are reported. For consideration for transformation, it is suggested that a similar Risk and Resilience Group is set up for the new organisation. This would include cross cutting themes and include service reps.
Close down or issues remain?	ISSUES REMAIN – though anticipate further analysis will provide confidence needed to close down.

Customer Journey 3 - Domestic Planning Application

Title	Description
Review Date:	Friday 11 th January 2019 and 6 February 2019
Service Area Reviewee/s:	Planning Control Naomi Macklin – work package lead Alan Davies - Purbeck Mike Garrity - DCC Jean Marshall - DCP Linda King – CED
Implementation Plan:	V1.12 dated 19/12/18
RAID Log:	N/A
Assurance Level:	 Successful delivery appears probable. However, constant attention will be needed to ensure risks do not materialise into major issues threatening delivery.

Overview of the Service

Our impression is that there is a good overall understanding of the back-office processes and changes required, which appear to be planned. Planning is a statutory process. Gateways to submit planning applications are by email, post, hand delivery and via the Planning Portal. Signposting to the planning process is via the D4U website and the Planning Portal (which holds forms for each Council). The 3rd party owner of the Planning Portal requires two months lead in to update branding and contact details. Some harmonisation has already taken place across DC's so that residents see consistency. Each DC has a unique planning reference number so there is no duplication across teams.

The main findings are branding issues to be followed up, and the need for FAQ or a consistent script for service teams and call handling teams.

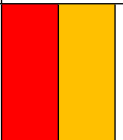
Findings

Theme/Area	Description
Customer Access	East Dorset planning team lose their current base of operations as the building goes to BCP as a result of the ED/Christchurch split. New contact details are required for ED residents for postal/walk in applications once this is resolved.
Customer Support	Need to ensure that call centres are provided with up to date details to handle planning queries/complaints. Consistency of approach is required when handling a complaint from residents. A Desk Aid (FAQ's / consistent comms script) will need to be written and provided to all planning teams.
Customer Support	The statement of community involvement identifies how planning applications and decisions are communicated to the public/applicants (or their agents). Different policies exist across each Council. FAQ will need to be drafted and included with the desk aid for officers, to ensure consistency of approach.
Project Documentation	The workstream has a plan in conjunction with D4U to update the main planning pages on the website. There is an activity to review the pages/information and to test the links prior to go-live. A degree of harmonisation has already taken place on the site to promote and direct users to the Planning Portal which is the preferred gateway for all applications. Branding just received so ok to send now.

Theme/Area	Description
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Theme/Area	Description
Project Documentation	Review of the implementation plan and other documentation shows that overall the standard of documentation is much better than previous services reviewed. Each tab has been completed using the approach as per instructions in the main plan. Two issues are not as well covered in the documentation, which are the Branding tab only showing reference to ID cards, and the Implementation Plan having some missing information. These areas are mainly around action information and owners, mostly left blank.
Decision making	Planning [statutory] process relies on a scheme of delegation to identify officers who can approve planning decisions. The team will not know who the Authorising Officer is until appointments within the new Council are concluded. A potential workaround has been proposed and is being tested with Legal.
Contingency planning	East Dorset have lost/are losing officer capacity for Day 1 due to staff leaving. There is a risk that applications cannot be dealt with and a backlog occurs. Planning backlogs are difficult to overcome due to the time required to recruit and train staff. Identified as a risk. Reputational issue for the new Council if applications are not turned around within the statutory period. A meeting has been arranged 8/2 with John Sellgren to see what can be done.
Programme Board response	Generally agree with findings but unclear about the point about deficiencies in implementation plan in relation to branding as tab does include additional items e.g. in relation to planning portal.
Ameo Follow up Response	It is encouraging to see that all findings are being picked up and included in plans. With reference to deficiencies regarding branding, although the planning portal is referred to in comments, there is no detail regarding dates, implementation, owners or other information to determine whether it is on track, progressing or owned by anyone.
Close down or issues remain?	ISSUES REMAIN – though anticipate further analysis will provide confidence needed to close down.

Customer Journey 4 – Parking on street PCN

Title	Description
Review Date:	Monday 14 th January 2019
Service area Reviewee/s:	Parking Enforcement Paul Hutton – work package lead Cassie – D4U
Implementation Plan:	V1.4 dated 3/11/18
RAID Log:	N/A
Assurance Level:	 <p>Successful delivery of the customer journey is in doubt with major risks or issues apparent in several key areas. Urgent action is needed to ensure these are addressed and establish whether resolution is feasible.</p>

Overview of the Service Reviewed

Parking manage on-street and off-street parking enforcement as well as car parks and resident parking permits. Parking is governed by legislation which dictates the process for managing enforcement. The on-street team manages parking enforcement across the whole of the County whereas car parking is split. Parking enforcement occurs when a Parking Enforcement Officer witnesses a contravention of the legislation. There are strict rules applied in terms of timescales etc. as to when a PCN can be issued.

Our impression is that the tasks that need to be done are understood but not the size and complexity of them and the dependencies on other workstreams. There does not appear to be any end to end process flow diagram to reflect current as-is processes, resulting in some confusion over detailed steps of the process. There is a risk that many of the tasks will not be completed prior to Day 1. The additional pressure of relocation at the same time adds to the scale and complexity of Day 1 preparations.

Findings

Theme/Area	Description
Customer Access and Finance	<p>D4U is the main gateway for customers to manage payments or to follow the appeals process. The site needs to change to reflect the changes in systems, the new PCN reference numbers, the disaggregation of Christchurch and legacy PCN's. There are some complex issues to resolve to ensure that the site directs customers to the correct pages. This work is on the plan but has not yet started.</p> <p>Meeting has now taken place with web editor, clear what web address needs to be used. Waiting for other elements to be resolved.</p>
Customer support and Finance	<p>The customer in receipt of a PCN has two choices a) Pay or b) appeal. Payment options are via an automated phone system; on-line payment accessed via D4U; a manned phone service or by post. The automated payment system will require updated scripts. It is unclear how the end to end process of the online payment system works (is it part of the Chipside/Imperial360 system or another provider?) The service leads comment was that 'it just happens'. Postal payments will be impacted by the office move which is not finalised.</p> <p>There is no clarity regarding what finance system will collect payments (SAP/Capita) and how cash receipting will be affected. IT is aware of issues, and have put in a fix so that both systems will be continuing to allow people to pay. A different phone number will be provided for new tickets to</p>

Theme/Area	Description
	imperial. There will continue to be two budgets, and told by finance that the service will be able to allocate what needs to go where. Accountants will decide when sorted. Needs follow up to ensure that service leads get what they need to manage budgets effectively.
Customer Support	The on-street parking team uses auto-scripts (pre-written text) to cut and paste into customer communications. There is a requirement for a script to be generated and signed off by legal to countenance the argument that legacy Councils who issue PCN's no longer exist after the 1st April. There is a working group looking at this area and the harmonisation across the teams, but a lack of clarity regarding ownership.
Branding	Details of the contravention are recorded on a mobile hand-held device and the ticket is printed to a blue-tooth connected device. The ticket is branded and contains contact details which will require updating. The envelope which is affixed to the windscreen is also branded and will require updating. This activity is included on the implementation plan but not progressed. All ordered now.
Branding and External providers	The system follows the appeals process to either a Traffic Penalty Tribunal (TPT) or collection of penalties via the Warrant County Court or Bailiffs. Discussions are still ongoing with suppliers regarding this aspect of the process. There is a need to ensure that all contracts can be novated to the new Council and that updated branding/contact changes are picked up and issued as well as any payment collection changes (see finance comments above). Meetings are arranged with suppliers but have yet to take place. Advice from procurement is to leave contracts as is, and during the next twelve months they need to harmonize contracts, including considering new options for back office.
Branding	Car Parking signage is to be rebranded as it is a statutory requirement to display the car park owner. A plan is in hand to do this across car parks using stickers over old logos. It is not clear if this is a Day 1 requirement or is part of the two year transition period given by central government.
Branding and ICT	The parking app (Just Park) will need to be advised of any changes including payment information. The intention is to bring 6 car parks in Purbeck into the Just Park system. East Dorset also don't appear to be currently using the system. It is unclear what the plan for this is. Tomorrow, ed finished.
Policies and Procedures	There is a need to revisit the policy for Parking to ensure it is consistent and up to date. This will need to reflect the new Imperial system and process.
ICT	The appeals process is a statutory process which is driven by set events and timescales. These are built into the back-office systems (Chipside/Imperial). There are slight differences in process for on-street and off-street appeals. On-street will need to be built within Imperial as part of the change. Appeals can be submitted by letter (post) which is scanned and attached to the PCN record on the relevant system, via an e-form through the D4U site. Letters are auto-generated by the system, checked and issued as part of the appeals process. Rebranding of these are included in the plan. There is an additional 3 rd party system (self-serve) inbuilt into the website (Barbour Logic) to manage FAQ's around on-street appeals enquiries. This will need to be

Theme/Area	Description
	<p>reviewed to check if any branding/contact information requires updating. A decision has been made to extend this system to include off-street as part of harmonisation which adds to the workload. It is unclear whether this is expected for Day 1.</p> <p>A Project manager has been appointed for Imperial. They now know the requirements. Streets are starting to be put into the system, this is the biggest challenge. Template letters form part of the system, they will do branding. Barbour Logic meeting has taken place and agreed they will remain on chipside with no feed to imperial yet. They will look to move later.</p>
ICT	<p>Currently On-Street parking use a system called Chipside whereas Off-Street use Imperial. The decision has been made to harmonise the parking enforcement systems and use Imperial from Day 1. Discussions have commenced with the supplier but the scope and timescales are unclear. The contingency is to retain Chipside (up to 18months) to close down legacy PCN's issued to 31st March if Imperial will not be ready. It is not clear at this stage if blue-tooth printers and new hand-held devices used by on-street team are compatible with Imperial, or will have been tested end to end before Day 1.</p>
Finance	<p>From Day 1, Christchurch will be part of BCP and there is an agreement how legacy PCN's for both on-street and off-street will be managed. There is confusion around the process post Day 1 but we understand that legacy on-street PCN's will continue to be managed by the team and income received by the new Council. There is complexity around the off-street process. Legacy PCN's in East Dorset Car Parks will be managed by Christchurch and BCP will get the income. There is a need to ensure that this approach has been signed off by Finance as all income from East Dorset and Christchurch PCN's prior to Day 1 should belong to Dorset Council. The strategy needs to be clarified as there are no staff moving to BCP.</p>
Finance	<p>There is no apparent finance partner linked to this workstream which is primarily income generating. The service lead is not clear who to speak with. There are clear risks around not understanding how income will be collected and managed from Day 1. Finance arrangements are also not understood by D4U. There is an urgent requirement to understand the financial process associated with payment collection and processing at both County and District level for Day 1 and the implications on the web front end links to the back-office payment systems.</p>
Location	<p>The suggested relocation of parking teams to co-locate in a new building is also underway. The new location will impact PO addresses used for PCN communications. It is not clear this will happen in time for Day 1 which may require multiple changes of address/contact details with suppliers/systems.</p>
Noted	<p>Residents permits – there is a data migration project with ICT to migrate Christchurch data to BCP. There will be a rebranding exercise for retained areas.</p>
Programme Board response	<p>A solution has been agreed to enable payments of PCN's via a dedicated telephone number. The message has been signed off by the customer access project group and passed to the finance workstream. Once the scripts are finalised these will be passed onto the customer services team the implementation plan will be updated to ensure this happens.</p>

Theme/Area	Description
	<p>NB after PJ met with the Project Manager, further investigation was done by her with the service lead Paul. It transpires that he had provided a detailed response to this original report but it was not shared with Ameo. The details are below and where these have resolved issues now, they have been shaded and closed down accordingly.</p> <p>‘Since this meeting took place on 14th January there has been significant progress in all areas identified above.: Back Office System and ICT Implications * Full engagement with the back-office provider (Imperial) has commenced, a project manager appointed, and a high-level project plan put together. All indications from the provider is that the new database will be ready prior to the 1st April, with testing of the new hand-held devices and printers during March. * Because the Imperial system is already in use by the Dorset Councils Partnership continuity of service provision for Penalty Charge Notices could be maintained * Because the Imperial back-office system is already being used, the input from ICT is relatively minimal for this part of the project. * New hand-held equipment and printers which are compatible with the new system for the current DCC CEO’s have already been ordered</p> <p>Collection of PCN Revenue * All revenue from PCN’s are processed through the Imperial Database. * Meeting has since taken place with the Web-portal manager * Collection issues via Capita and into SAP were discussed and resolved during the meeting on 25 January (see next paragraph) * Meeting with Barbour Logic is taking place on 27 January.</p> <p>Customer Access, Support and Finance * Key personal from IT at DCC and DCC, and the Finance Teams met on Friday 25 January 2019. The participants reached a clear agreement and understanding of the process flow for how Penalty Charge Notice</p> <p>Theme/Area Description payments will be collected via Capita, and then re-assigned into SAP whilst separate Parking Budgets still exist. Reassurance was provided and work is linked with the creation of the Imperial back-office database. * This group included finance partners from both existing organisations (DCC and DCP) * Customer access is currently being worked on but could not progress before relevant web-site links were agreed, and corporate email contact addresses identified. These links and email addresses have now been agreed.</p> <p>Branding, ICT and External Providers * Branding for uniforms, Penalty Charge Notices and Car Park Tickets has been approved and orders have been placed with existing suppliers. * Branding as part of the new back-office database has been discussed and is included as part of the high-level implementation plan with Imperial * Car Park audit has taken place and there is a local plan in place for relevant signage to be updated with the new council name and logo. * Branding within the Just Park cashless app will be ready for 1 April. Ongoing discussions with Just Park regarding this.</p> <p>Policies and Procedures * The current on and off street parking policies are fit for purpose and since they cover different aspects of parking legislation will remain in place. The project plan has recorded that a review to assimilating the two polices will take place within 6 – 9 months of convergence.</p> <p>Location * Discussions are taking place with the respective ICT providers. Although a date has not been formalised to move both back-office parking teams</p>

Theme/Area	Description
	into a single building, this is not critical or dependent on the abilities of both teams to trade safely and legally on day one.'
Ameo Follow up response	<p>It is encouraging to hear that a payment resolution has been arrived at, for residents to phone in. However, there are other issues raised for which we can see no initial response from the service. These issues therefore remain a concern.</p> <p>Following further meetings, it became clear that further updates had been provided (not seen by Ameo). In light of the progress now being made, there is more confidence that this can be delivered, and the issues resolved have been closed down.</p>
Close down or issues remain?	ISSUES REMAIN – though progress has been significant since issues were identified. View is that this remains a service to support through the changes as a lot still to do.

**Customer Journey 5 – Housing Register Application
Follow up Review**

The following two processes were identified for review, following initial findings of the first four journeys.

Title	Description		
Review Date:	Tuesday 12 February 2019		
Service area and Reviewee/s:	Housing Clive Milone, Sarah How, Shelley Hayes, Kathy Spawton		
Assurance Level:	<table border="1" style="display: inline-table; vertical-align: middle;"> <tr> <td style="width: 20px; height: 20px; background-color: yellow;"></td> <td style="width: 20px; height: 20px; background-color: yellow;"></td> </tr> </table> Successful delivery appears feasible but important issues exist requiring management attention. These appear resolvable at this stage and, if addressed promptly, should not present overruns.		

Overview of the service reviewed

Our impression is that there is a good overall understanding of the back-office processes and changes required, which appear to be planned.

The main risk is the systems updates on Locatar. The other main findings are around the customer access and what changes will be needed, as well as identifying where updated information needs to be sent to ensure consistency of service for all parties.

Findings

Theme/Area	Description
Customer access	Within the new web pages there is an assumption by the service that residents will be able to do a postcode search to find out which area to click on, if they aren't sure what area their address fall within. Needs clarification and details of the customer journey.
Policies and Procedures	Existing Councils have different complaints systems – some are 2 stage and some 3 stage. Unclear whether there is going to be a standard way for new complaints to be dealt with as currently have DCP standard templates. Unclear how or if this is being done by a corporate complaints team.
Resource	Knowledge gaps exist within ED staff, as a result of the Christchurch split and staff with knowledge moving across to BCP. Concerned that there will not be enough knowledge left in those staying which will put pressure on other staff and potentially impact SLAs. Unclear what support is being provided to resolve this issue or to recruit.
Customer support	There is a current requirement for residents to provide documents and evidence before they can be banded. Documents are emailed or physically handed in and scanned and put on the system against their application. East Dorset have just had this member of staff leave (the only person who does that role) Unclear whether there will be support to fill this role or assistance provided. Customer experience likely to be affected if no action is taken.
IT	Ongoing generic emails – corporate guidance has been received but causes further issues for the service. They have made suggestions to amend the email addresses but were told they didn't meet corporate guidance. The service are waiting for the PMO and IT to discuss and resolve this issue. Unclear how or when this will be resolved, as service urgently needs the email details to advise all contacts and customers and update web pages.
Policies and Procedures	From 1/4 it is unclear how FOIs will be responded to, in particular with requests regarding data in say in the last 3 years - does that mean they need to provide information for all councils merging as part of Dorset, or just DCC? Further clarity and corporate guidance is needed from the FOI team regarding how to respond from Day 1.

Theme/Area	Description
IT/3rd parties	Locatar is the system used by the service. Discussions have been taking place for some time but work has been delayed. Locatar originally asked for a 12 week run in to make changes but they have only being sent to them 13/2/19 (giving a 6 week run in). Locatar wouldn't start on the work until all changes were received. Unclear whether Locatar will meet the Day 1 deadline for changes, nor whether sufficient time for testing will be provided.

Customer Journey 6 – Register Births Deaths and Marriages

Title	Description
Review Date:	Tuesday 12 February 2019
Service area and Reviewee/s:	Registrars Service Vivien Robson
Assurance Level:	Successful delivery appears feasible but important issues exist requiring management attention. These appear resolvable at this stage and, if addressed promptly, should not present overruns.

Overview of the service reviewed

The service is very aware and organised regarding the activities required. However due to having to deal with consultation issues as well as LGR, some issues are still being worked on. DWP and GRO issues remain high on the list to be resolved urgently.

Findings

Theme/Area	Description
3rd Parties	BCP working relationship is very good – have been meeting for 8 months and working well. Unclear whether there is a full understanding of the implications of taking over the work. Appears to be a lack of structure to deal with smooth handover of the Christchurch area.
Customer access	On line booking for Christchurch will be removed a week before Day 1 – these customers will need to ring, and then Dorset will put them through to BCP. Suggest they add a note to the web page that Christchurch residents need to ring BCP to avoid this happening. Follow up is required with D4U to investigate this.
IT	When the resident meets the registrar F2F, they input data to RON system which the General Register Office owns. GRO are updating the RON with information on Day 1 so the office has decided to close whilst it is done. Unclear how much assurance has been provided that there is no risk to the service beyond this day. The service will use manual options if the system is not accessible. In addition, GRO need to do a cleanse of the data before it updates on Day 1. This will involve them sending the cleanse outcomes to the service and them amending data, before they can go live. No information provided yet from GRO regarding the potential volume of cleansing required so unclear of the task required and time to complete it. Risk to be flagged and escalated.
IT	Printers will need to still be linked up after the cleanse has taken place – check with IT that printers will remain functioning.
IT	The service has its own dedicated call centre and phone calls are all currently through skype. It is unclear to the service how or if any changes need to be made to this. Urgent follow up is required with IT to check this.
IT	The service is still waiting to hear regarding what generic email addresses they will be using. Follow up with IT is urgently needed. The service is also keen to sort out inconsistencies which currently exist in emails, as part of this. These include the use of ‘registry office/registrars office/registrars’ all separately being used rather than one common term.
IT	The service wants to change its name (to ‘Dorsetregistrarsandceremonies@dorset council’), but is unclear who is making the decision. Urgent follow up is needed with IT whether this is being dealt with for Day 1.
Customer access	The service are monitoring the on line bookings diary for any Christchurch resident who pay prior to Day 1 but have an appointment after Day 1. The service will then be refunding the money back to the customer. It is unclear

Theme/Area	Description
	how rest of process is being resolved. Unclear whether an alternative option has been considered to update web pages with advice about the service change rather than taking residents payments and then refunding.
Branding and Finance	Receipts are provided via printing from the system, the service can change the branding easily so will do it themselves. However it is unclear whether card payment system receipts will be updated and if so how that will be done.
Branding	Signage for all offices (9) needs to change but this is not considered a priority for Day 1. Confirmation required that this approach has been taken by other publicly accessible locations.
Branding	There are 'folders' which customers are given with other services information in, when births or deaths are registered. Further work is needed to check with other services whether their leaflets are still able to be used as is.
IT/3rd parties	The service provides a free 'tell us once' service via DWP. This is offered to the customer and details are put on to the system. DWP then arrange for all government and council related departments to be contacted to advise of the death. This includes passport office, DVLA, council tax etc. Until last week DWP said this was a small change to their system. However they have started to realise it is much more than they first thought, specifically regarding the disaggregation. This risk needs to be noted and escalated, that the 'tell us once' service may not be available Day 1. Whilst this is not a safe and legal issue, it is a considerable reputational issue as all customer feedback refers to how helpful and important this service has been to them.
Customer access and Branding	Registering a marriage can't be done or paid for on line – the only method is to ring or email. Face-book pages also refer to the service, so the service will need to ensure that pages are updated. This also applies corporately and confirmation is needed from the Branding workstream that all council face-book pages are being updated.
Customer access	A resident can book a marriage if they live anywhere, but the location of the venue dictates which council to contact – e.g. if you get married in Dorset, Dorset Council is the contact. There are 9 venues which will be moving to BCP. Many of these are promoted on other company web sites and the service say they can do nothing about that. Recommend that some contact is made with these companies to request they update the contact details to improve service to the residents.
Finance	<p>Fees reconciliation needs to be done for Christchurch residents payments. This has been raised with finance and they have advised the service to complete a decision record. Scenarios are:</p> <ul style="list-style-type: none"> - Booked and not paid – Dorset Council to take an admin fee - Booked and ceremony appointment made and paid in full – Dorset Council to take an admin fee and the remainder to go to BCP - Paid in full and no appointment made– Dorset Council to take an admin fee and the remainder to go to BCP <p>The service have determined that this is not an urgent Day 1 issue as they will simply keep a tally of the amounts due and agree the method to pay across to BCP. Clarity is required from Finance regarding how this process will work.</p>
IT	Both BCP and Dorset use the same software system and a data extract is being taken for Christchurch cases and moved across to BCP. They are however on two different versions of the system. Confirmation is needed that there are no potential issues with this.

Annex C: Additional Findings

1. ICT

Title	Description
Review Date:	Thursday 10 January 2019
Over-arching work area	ICT
Reviewee/s:	Karen Perrett – ICT Strategic Lead

Findings

Theme/Area	Description
Decision Making	Decision making – There is potential to make simple decisions more complex than they need to be e.g. the new DC email address required for each planning team. The proposal is to give each planning department a team email i.e. Team 1,2 etc. This decision apparently requires a written proposal to agree how team names will be allocated and then discussed and approved before implementation. This appears to be an over-complicated approval process for a low impact decision.
Contingency Planning	There is an issue with Christchurch social care records digital migration to BCP. The initial plan submitted by BCP Mosaic consultants cannot meet the Day 1 deadline (currently end April). There are several alternative options available if it cannot be delivered, however there is no apparent agreement on which Plan B option will be implemented.
Contingency Planning	Cash receipting is flagged as a high priority workstream within the ICT programme as it involves changes to point of sale infrastructure and changes to back end finance processes. It is noted that there is no separate finance specific workstream from an ICT perspective. It is assumed that the new authority will need a new accounting structure from Day 1.
Contingency Planning	There is no specific Day 1 support plan to provide post Day 1 support. No anticipated issues are foreseen by the Strategic Lead in relation to ICT support call volumes on Day 1. No provision is therefore being made to put in additional resources for post Day 1 support i.e. centralised or common communications or resources for coordination of cross team/cross system issues.
Programme	It is unclear what provision/strategy has been put in place for robust systems and user acceptance testing of any process and system infrastructure changes.
Programme Board response	<p>The decision for generic email addresses was not a decision to be made in isolation by ICT – the paper was written recommending a naming convention and signed off at an SDC Weekly Implementation meeting. The issue regarding Mosaic has now been resolved with an agreed interim solution, a contingency and a fall-back plan.</p> <p>There is an SDC Finance ICT PM in place who is co-ordinating the Finance day 1 requirements and has confirmed all services have been engaged with where this an impact. The ICT Service Delivery work package is looking at how ICT support will be provided from Day 1. There will be no change in the way users currently contact their ICT helpdesks, however shadowing is currently taking place across the sovereign councils where additional resource has been</p>

	<p>identified as needed for day 1. The Dorset Council ICT Support desk software has been agreed, subject to Governance ratification, this software will be rolled out from February onwards and will provide a centralised view of ICT issues. There are a number of LOB applications that will be converged on Day 1, robust system and user testing is included in the individual implementation plans. The main day 1 infrastructure change is being implemented and project managed by a Microsoft Gold Partner, this project will include user acceptance testing.</p>
Ameo Follow up Response	<p>The full response is very helpful. Those areas fully addressed have been shaded and closed down accordingly. Issues which remain are:</p> <ul style="list-style-type: none"> - Finance have been referred to as already engaged with services where they are impacted. However, some of the services spoken to remain unclear about specific ownership of actions within the end to end process. More needs to be done by Finance and Service Leads to discuss the end to end process and agree who is resolving which part of the process. - User acceptance testing. This is planned but only for areas changing systems. Where changes to existing systems are taking place UAT is not planned. Confirmation will be sought from services whether this provides sufficient reassurance
Close down or issues remain?	ISSUES REMAIN

2. Customer Services/Support – Call Centre

Title	Description
Review Date:	Wednesday 16 January 2019
Over-arching work area Reviewee/s	Customer Services – Telephony/call centre Emma Parry DCP Debbie Cliff CED Gemma Haydock DCC Sharon Attwater Purbeck DC

Findings

Theme/Area	Issue Raised
Customer Access	Clarity is required around how the web site uses postcodes to find the right phone number.
Communications	There is a lack of understanding from Service Leads of how call handling is changing, and a belief in some areas that teams are joining up.
Communications and Programme	There is a risk in assuming services have no changes impacting CS, as is the current assumption (unless the Service Lead has advised)
Communications	Consistency of diversion messages as part of the customer greeting, is needed across all councils.
Communications	One standard response is needed regarding the approach to the new Unitary Authorities.
Programme and Communication	There is a risk of Service Leads and their teams not being supportive with difficult front- end queries. There is a concern that services will regard the CS delivery as ‘not good enough’ as there will be no converging of teams. Programme support has been provided very late. There is a need for a clear message to staff regarding culture and behaviours expected, to support CS in promoting the new Council. Standard proactive messages and reactive responses need preparation to be consistent across all CS teams.
Programme	Customer Services are often left with issues which don’t appear to fit anywhere else, e.g. resolution of the out of hours issue. They are currently impacted by other Service Leads needing help with their own plan, diverting them away from their own.
Finance	Customer requirements are being considered late. It is unclear how cash payments will be taken and processed. Resolution is needed.
Finance	The team is working together with finance on cash receipting now but there is a lack of clarity over how it will work in practice and who has responsibility for different tasks in the process.
Programme Board response	Effective communications including the suggested standard messages are part of the implementation plan and work will commence in early February engaging with communications colleagues to ensure appropriate messages are issued. Communications are part of the customer access workstream to ensure

	messages will be delivered to the wider workforce where required. Corporate board has recently been restructured and additional resource allocated to support a number of the issues identified in this review.
Ameo Follow up Response	The full response is very helpful. Those areas fully addressed have been shaded and closed down accordingly. More also needs to be done to communicate with services regarding what is being done centrally to help them, to prevent them 'doing their own thing'.
Close down or issues remain?	ISSUES REMAIN

3. Customer Access - Web

Title	Description
Review Date:	Wednesday 16 January 2019
Over-arching work area Reviewee/s:	Customer Access Laura Hall D4U

Findings

Theme/Area	Description
Customer Access	Some services have still not completed the web survey so D4U are unaware of what work needs doing.
Customer Access	Small to medium services have had to tell D4U what web changes they want – there is a risk that some services may not have done so, or not accurately identified the areas for change.
Customer Support	There is a lack of clarity over how residents find the right phone number – would they have to put their postcode in? D4U doesn't understand the plan from customer services regarding this.
Communications	There is a concern that a lack of understanding of digital functions and processes could cause wrong decisions and lack of questioning. Communications need to be improved so that everyone understands terms used, and decisions required.
Communications and Programme	There is confusion amongst some staff regarding what functions are IT/web/communications and are therefore not contacting the appropriate colleagues.
Programme	Some services do not have web pages - these should be noted for Transformation.
Programme	Work is split into Dec/Jan/Feb/Mar and allocated according to which service asks first. There is a risk that services who are struggling or unsure about web changes will delay work required and have resource implications for the D4U team, putting further pressure on nearer Day 1.
Programme	There is concern regarding some contractors not agreeing to update branding until their contract renewal date.
Programme	There is a lack of clarity over future decision making from Day 1 as currently there is a D4U board that is expected to be removed.
Decision Making	There is expectation that Service Leads will talk to third party providers regarding web links and liaise with ICT themselves – confirmation is needed for all Service Leads that they should be doing this.
Decision Making	A decision is still to be made regarding the lead in time for the old web address – a year is preferred by D4U but it is unclear when this decision will be made, and it has dependencies and high impact to other workstreams.

Theme/Area	Description
Decision Making	The domain name protocol has still not been determined or communicated. Further consideration is needed that if the proposal is to include numbers, e.g. Planning Team 1, how clear this is when verbally providing the details (1 or one).
IT and Customer Access	There is a lack of clarity regarding the process of look up if the customer doesn't know their postcode.
Programme Board response	<p>Some work has taken place to transfer content and resolve some of the issues raised. The project manager is meeting with work stream leads to bring forward decision records to the Corporate Board regarding some of the issues identified.</p> <p>The process for the website is that business services are the owners of their service pages and are the allocated web editors in each business area they are responsible for updating their contact and/or informing the D4U team of any changes required. This remains the same process for the Shaping Dorset Council programme. All co-ordinators and web editors have been advised of this process.</p> <p>Web pages have been reviewed by the D4U team and the web editors (and any other required business decision makers) through the process of "Discovery sessions" focused around the customer journey through the website. Based on information identified through these, or if the service areas were not yet ready to confirm their requirements, they were prioritised into 3 tranches for development. The Project team are currently mid-way through the second tranche as well as confirming the requirements with services for the final tranche and are on track for completion.</p> <p>In relation to the third-party applications and any updates required, these are the responsibility of the services which has been communicated during the discovery sessions. The PM will initiate an assurance piece of work with the other programme areas to ensure this has been picked up as part of the service plans where required.</p> <p>Information updates on the processes within the website and updates on progress are being planned by the team which will hopefully resolve some of the lack of understanding reported. Decisions that are due are also currently being drafted and will be fed to the relevant governance points.</p>
Ameo Follow up Response	It is encouraging that significant further work is being planned to resolve the findings. On the face of it these actions appear to work towards resolution of some of the issues. However there remains reassurance needed from actions taken, that appropriate work is done.
Close down or findings remain?	ISSUES REMAIN

4. Finance – Payment Processing

Title	Description
Review Date:	Wednesday 16 January 2019
Over-arching work area Reviewee/s:	Finance Project Managers Jason Pengelly/Rosie Dilke

Findings

Theme/Area	Description
Customer Support and Finance	If a location does not currently take cash from customers and there is no finance officer based there, the Customer Service (CS) Lead needs to decide if they will take cash or not if asked. Whilst Finance are clear that this is a decision for the CS Lead, there is a lack of clarity from both areas regarding ownership of the end to end customer journey/process.
Customer Support	When the customer asks to pay by card face to face– if the office already provide that, it remains the same. If not, they will be unable to do so from Day 1. Whilst Finance are clear that rebranding will be needed by the CS lead, there is a lack of clarity from both areas regarding ownership of the end to end customer journey/process.
Communications	Capita are the cash receipting delivery company. Feeds from the systems are not daily, some are weekly and monthly so payments will not appear until later in April. Finance have a list of those who need to know about the changes. It is unclear where this list has originated and will need validation to ensure all relevant Service Leads are contacted.
Programme	With reference to payments on line, Finance are liaising with D4U to show a seamless process. This interfaces with the cash receipting process. There is a risk that the end to end processes have not been checked to ensure they deliver the required outcomes. Processes such as PCN payments and planning applications would be appropriate examples to check. It is unclear whether any testing has been planned.
Policies and Processes	With reference to cash payments, if customers can currently go to a location and pay cash, then they can continue to do so in the same way. The officer logging the payment will still see the same process. Service Leads will though need to re brand receipts if they give them, and any other related items (e.g. chip and pin machines, receipts). Whilst Finance are clear that rebranding will be needed by the CS lead, there is a lack of clarity from both areas regarding ownership of the end to end customer journey/process.
Policies and Processes and Finance	If a customer takes cash to the ‘wrong’ building due to teams relocating, the front facing member of staff can still take the cash (rather than send the customer somewhere else) The process required is that they pass it to the finance officer in the back office. The CS Lead will need to prepare templates to record all customer details, reference numbers etc and pass this to the finance person. Whilst Finance are clear the CS lead is responsible for this, there is a lack of clarity from both areas regarding ownership of the end to end customer journey/process. The Finance Officers group has sponsors and it is their responsibility to tell each of their finance teams of this new role. It is unclear

Theme/Area	Description
	whether this has been done. There is a risk that this has not been done, due to the lack of end to end process discussions.
Policies and Processes	Service Leads have often referred to Finance related issues all being dealt with by Finance, and as a result have not taken responsibility. Finance confirm they have confirmed this to Service Leads. There is a risk that Service Leads therefore don't think they need to take action on any finance related processes. Issues regarding branding and checking functionality of end to end payment processes may not therefore have been followed up.
Finance	Implementing a cash receipting system in 3-4 months is a concern due to the short timescale involved. A test system is being used by Capita and they have full confidence in delivery – it is unclear how this has been evidenced.
Programme Board response	Finance workstream are confident in the plan and the ability to test and deliver within the timescales set out. Meetings with key stakeholders have taken place since the assurance work and they now have clarity. Generic comms to cover the end to end processing piece and what will change from day 1 are due out w/c 28/01/19 covering accounts payable, cash receipting, and accounting. There will also be further detailed cash receipting comms which will be going out w/c 28/01/19. The issue regarding cash payments at front of house has also been resolved since the report was produced.
Ameo Follow up Response	It is encouraging that finance workstreams are confident in planning and delivery. However most of the issues raised are around the confidence of the service leads and clarity for them regarding how processes work in practice. Follow up will be needed with Services to confirm this. General view is that more has been picked up, training is starting. Focus though is far more on internal working and less on customer services – leaving them more responsibility to pick up their own issues.
Close down or issues remain?	ISSUES REMAIN