

1 **Undertaking Request (U-65)**

2

3 *Transcript Reference: July 24, 2018, Pg. 118, line 21 to Pg. 120, line 6*

4 **Re: Undertaking #42.**

5 Undertake to provide the Innovation and Productivity team execution plan.

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8 **Undertaking Response**

9 Please refer to U-65, Attachment 1.



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**Innovation and Productivity Team  
Execution Plan**

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*Newfoundland and Labrador Hydro*

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Version 1.0 (21 Feb 2018)

**DOCUMENT ACCEPTANCE and RELEASE NOTICE**

This is Version 1.0 of the Innovation and Productivity Team Execution Plan.

The Execution Plan is a managed document. For identification of amendments each page contains a release number and a page number. Changes will only be issued as complete replacement. Recipients should remove superseded versions from circulation. This document is authorised for release once all signatures have been obtained.

PREPARED: \_\_\_\_\_ DATE: \_\_\_/\_\_\_/\_\_\_  
(For acceptance) Anne McKim, Innovation and Productivity Team, Team Lead)

ACCEPTED: \_\_\_\_\_ DATE: \_\_\_/\_\_\_/\_\_\_  
(For release) (Project Sponsor, Lisa Hutchens, VP Financial Services)

**1. AMENDMENTS IN THIS RELEASE:**

Section Title	Section Number	Amendment Summary
		<i>This is the first release of this document.</i>

**2. DISTRIBUTION:**

Copy No	Version	Issue Date	Issued To
1	<1.0>	<26-February-2018>	<Lisa Hutchens, VP Financial Services>
2			
Electronic			

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# 1 Introduction

## 1.1 Document Purpose

The Execution Plan (EP) is the operational document for the project. It is owned, maintained and utilised by the Team Lead and Project Team to support the delivery of the agreed project outputs.

The EP is the responsibility of the Team Lead and is the ‘road map’ enabling the effective day-to-day (operational) management and control of the projects.

## 1.2 Intended Audience

The intended audience for this document is Newfoundland and Labrador Hydro Executive.

The scope associated within this EP is based on the Terms of Reference for the Innovation and Productivity Team based on 2018/2019. The Terms of Reference can be found in Appendix 1.

## 1.3 Work Plan Deliverables

**Table 1 Work Plan Deliverables**

<b>Deliverable</b>	<b>Responsible</b>
A. Develop a two(2) Year work plan	Innovation Team
B. Implement quick hit innovation and efficiency savings	Innovation Team

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C. Execute components of the 2 year work plan	Innovation Team
D. Identify initiatives/efficiencies that will produce long term sustainable cost savings of \$5M, or greater.	Innovation Team
E. Provide regular reporting to executive on plans, status, measures and progress.	Team Lead
F. Work with areas of business to establish and maintain an active inventory of innovation opportunities, actions and outcomes.	Innovation Team
G. Work with corporate communications to develop and execute communications plan for corporate wide innovation promotion.	Innovation Team
H. Identify operating budget for Innovation team activities.	Innovation Team
I. Achieve operating budget target	Innovation Team

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## 1.4 Current Initiatives

The current initiatives as prepared and provided to the Innovation and Productivity team to further develop and track progress can be found in Appendix 4: Work Plan, Schedule, Travel & Budget. This is a living document that will be updated on a regular basis throughout the life of the projects.

# 2 Management Plan

## 2.1 Management

The Innovation and Productivity Team will be managed by Anne McKim as the Team Lead with Co-Lead Lev Kearley. Other team members include John Poole and Jonathan Rose. The Team Lead is responsible to the Vice President of Financial Services, Lisa Hutchens for the delivery of the agreed work plan deliverables.

### 2.1.1 Introduction

This section expands the management of the Innovation and Productivity Team and their work plan deliverables.

**2.1.2 New Initiative Management**

As new initiatives are identified, the following steps will be taken:

1. The new initiative will be catalogued and further researched.
2. The initiative will then be developed further to show potential cost savings and presented to executive in the instance where the change could affect the company.

**2.1.3 Extended Team Management**

Several NL Hydro employees from different areas of the company have received Lean Six Sigma Yellow Belt training in December 2017. These individuals will be utilized as Champions in the further development of identified initiatives and in the execution of those initiatives.

**2.1.4 Consultants**

Consultants will be used for initiatives that are identified that require specialized knowledge to further develop to allow execution. Consultant work will be engaged and managed based upon agreement between the Innovation and Productivity Team and the department that will implement or benefit from the initiative.

**2.1.5 Working Groups**

Each initiative that is brought forward will have a department/division based owner of the initiative who is responsible for ensuring its execution and a champion connected to the initiative with the support of the Innovation and Productivity team. In the case where the initiative has a broad base, groups will be identified along with the associated departmental champions. Coordination will be managed through the Innovation and Productivity team.

**2.2 Status Reporting**

The following are the report requirements for the Innovation and Productivity Team and related initiatives and groups. All templates for reports are located in Appendix 2:

<b>Report</b>	<b>Responsible</b>	<b>Recipient</b>
<i>Biweekly Progress Report- general overview</i>	<i>Team Lead- Innovation and Productivity</i>	<i>VP of Financial Services</i>
<i>Monthly progress reports- by initiative</i>	<i>Department Champion</i>	<i>Team Lead – Innovation and Productivity</i>
<i>Monthly Executive Progress Report</i>	<i>Team Lead- Innovation and Productivity</i>	<i>VP of Financial Services to share with</i>



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		<i>Executive</i>
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**2.2.1 Biweekly Progress Report- general overview**

The purpose of the biweekly progress report- general overview is to provide the sponsor an overview of the following:

- Date of report
- Initiative status
- New initiatives
- Upcoming travel
- Financial updates
- Issues and concerns
- Completion target and status

**2.2.2 Monthly Progress Report – by initiative**

The purpose of the monthly progress report – by initiative is to allow the Innovation and Productivity team updates on progress on execution of initiatives within different departments. This report will be supplied on a monthly basis by the champion responsible for helping to execute the initiative in their groups. The report will include:

- Date of report
- List of engaged employees
- Progress
- Issues, roadblocks, concerns
- Target completion dates

**2.2.3 Monthly Executive Brief**

The purpose of the monthly executive progress report is to provide up to date information on progress on the different initiatives being implemented across NL Hydro. This report will be supplied on a monthly basis by the Team Lead of the Innovation and Productivity Team. The report will include:

- Date of report
- List of engaged employees
- Initiative owner
- Progress showing title of initiative, stage of execution, original costs associated with initiative and potential savings
- Issues, roadblocks, concerns
- Target delivery/completion date

**2.3 Risk Management**

All initiatives will be put into a risk register and all risks will be identified based on the ability to execute. The risk register for all known initiatives is located in Appendix 3.

### 2.3.1 Risk Register

The Innovation and Productivity Team is responsible for:

- Performing a risk assessment and developing strategies to manage those risks for each initiative as identified.
- Providing the risk register to executive, and reporting in the biweekly report any changes to the risks identified during each phase of the execution and the strategies adopted to manage them.

*Examples of potential risks:*

- *Conflicts with any existing policies;*
- *Conflicts with collective agreements;*
- *Potential for lack of employee buy in;*

## 2.4 Provision of Facilities and Equipment

The following office accommodations are required for the team:

- Individual work stations
- Laptop, docking station, monitor and keyboard,
- Printer access required once team moves to more permanent space.
- Access to meeting space for collaborative activities.

### 2.4.1 Skills and Resources

The project resource requirements:

- Innovation and Productivity Team – Full time, 100% time commitment

Skills required:

- *managerial skills and knowledge;*
- *strategic and conceptual skills;*
- *sound communication, negotiation and consulting skills;*
- *capacity to develop innovative solutions;*
- *understanding of project and quality management principles and practices and an ability to use them;*
- Champions- Staff identified in 2017 from various departments who have completed Yellow Belt Training - 10 % time commitment. Resources

from this group will be expected to help execute work in their respective areas while being able to continue in their current capacity.

Skills required:

- *sound communication, negotiation and consulting skills;*
  - *capacity to execute innovative solutions;*
  - *understanding of project and quality management principles and practices;*
- 
- NLH Management – To undertake responsibility for developing and implementing innovation initiatives in conjunction with the Champions and Innovation and Productivity Team;
  - NL Hydro Executive – To have time available to review and approve ideas, projects, and initiatives as required.

#### **2.4.2 Training**

The training required is Green Belt Training for the core group and selected individuals who would benefit from this training to advance projects in their areas.

Training will be provided by an outside consultant who will provide the training locally. It will be an in class format training session.

There will be an amount budgeted for the team should other training be required to further assist the team in the execution of their mandate.

### **2.5 Travel Requirements**

Travel will be required for the core team for the following:

1. *Initial Roadshow/Introductions:* Team will be travelling to locations throughout the province meeting with different groups and providing an information session on the difference between value added vs non-value added activities, processes, etc. in the workplace as well as different types of waste. The intention of this trip is to speak with employees face to face and allow them the opportunity to ask questions they may have on the way forward.
2. *Individual site visits:* As work progresses and initiatives are identified and developed, the team will be travelling to the different locations around the province to assist further development of initiatives.
3. *Utility Site Visit:* The team may have representatives visit another utility to discuss their productivity and innovation initiatives and meet with the utilities different departments on how they effectively executed their initiatives and discuss any roadblocks they encountered.

## **2.6 Confidentiality**

All project members shall respect the confidentiality expected to be upheld around the information obtained to prepare and implement the different initiatives. The Innovation and Productivity Team, Management and Champions shall not reveal any sensitive or confidential information concerning any initiative to those not involved in that initiative.

## **2.7 Initiative Review and Acceptance**

As larger initiatives are identified, they will be developed and presented to NL Hydro Executive in a presentation format. Executive will review and ensure that the initiative is in line with the expectations of Newfoundland and Labrador Hydro. Once accepted, the initiative will be put forward to department manager that is responsible for implementing the initiative with the assistance of department champion and the Innovation and Productivity Team. Smaller initiatives and ‘quick hits’ will be implemented as identified when risk or sensitivity is deemed to be low.

## **2.8 Updating this Plan**

This plan shall be updated before the end of 2018. The updated plan shall be reviewed in accordance with the progress made throughout the year and will be accepted and issued. The update process includes acceptance by the Executive Sponsor.

Any changes to standards, procedures and processes specifically documented in this plan shall result in a new release of the plan being prepared and issued.

# **3 Implementation Plan**

## **3.1 Introduction**

The Implementation Plan includes the following:

- Methodology for execution
- Work plan, schedule, travel and budget;
- Monitoring initiatives and documenting progress and results
- Record Keeping
- Problem and issues management;

## 3.2 Methodology for Execution

The Innovation and Productivity Project will execute work using the following methodology:

- **Road Show:** Road show to commence in mid March. This will allow the team the opportunity to travel to all regions and provide an information session to employees on value added activities and how to identify waste in their workplace. This approach is to get employees thinking about how work processes can be improved. During the site visits, employees will also have the opportunity to ask questions and provide ideas to the team.
- **Work Plan Comparison:** As work plans are being finalized by all the groups within Hydro, the team will be comparing all innovation initiatives to ensure work is not being duplicated and that there is a consistent message across the company. It will also be identified what initiatives require policies to be changed or written to ensure success.
- **Hydro Initiatives Folder:** Once work plans are received, the innovation initiatives will be compared against what is located in the Hydro Initiatives folder. Those initiatives that are being executed as part of a work plan will be assigned to that department and will be monitored and tracked within that department. All others will be further defined and assigned to the appropriate initiative owner within Hydro. The Innovation and Productivity team will be utilizing champions in each area to assist in the execution and tracking of the success of each initiative. A monthly report will be forwarded by each champion to the Innovation and Productivity Team as per section 2.2.2 above.
- **New Initiatives:** As new initiatives are identified, and the Innovation and Productivity team identify the ‘quick hits’. The following are the steps taken for new initiatives:
  - When an initiative is identified either through employees bringing forward the idea or through team identification, the team will gather all available data including costs, schedules, staff numbers, processes, policies, guidelines and any union agreements and thoroughly analyse the information for practicality, productivity and efficiency improvement.
  - Potential cost savings will be identified through looking at costs for the previous three years (if available) and the new annualized potential save will be provided based on what’s expected by executing the initiative.
  - Initiatives will be categorized where applicable into groups with other similar initiatives for execution based on whatever makes the most sense from a practical application, use of

resources, the ability to effectively execute, and to maximize savings.

- All areas across the company that can benefit from the initiative will be explored to ensure consistency across the entire company.
  - Any initiative that requires more managerial support to ensure its success will have a policy developed.
  - Any initiative that the team finds to require work outside of our scope will be packaged and forwarded to the appropriate group for further development to allow the team to accurately define potential annualized savings. An example is the personal protective clothing (PPC) initiative that was identified. It has significant cost savings associated with it but in order to develop it and have potential annualized savings listed, work needs to be completed by the safety department. This would include having a list of staff with their work description and associated safety clothing noted based on work task.
  - Any initiatives that may significantly impact the company will be further developed and put before the executive prior to execution.
- **Additional Site Visits:** As employees begin to reach out to the team, additional site visits will occur to allow collaboration on ideas and assistance to the different areas to execute the initiatives.

The Innovation and Productivity team will be helping groups execute all identified initiatives planned for 2018. A list of initiatives to be executed in 2019 will be identified along with individuals responsible. The 2019 list will be made available to the different departments to allow them to include them in their work plans. It is expected that each group will identify two initiatives outside of those previously identified for innovation and productivity.

### **3.3 Work Plan, Schedule, Travel and Budget**

The Work Plan, schedule, travel and budget for the Innovation and Productivity Team can be found in Appendix 4.

### **3.4 Monitoring Initiatives and Documenting Progress**

Initiatives will be monitored on informally on a weekly basis with formal reporting occurring monthly to and by the Innovation and Productivity Team. See section 2.2. The template for reporting is available in Appendix 2.

## **3.5 Record Keeping**

### **3.5.1 Record Keeping**

The following is a list of records that will be maintained:

- Innovation and Productivity Management Records;
  - List of initiatives gathered by the Innovation and Productivity Team
  - Individual files on each initiative including correspondence, reports, and financial data
  - Work Plan
  - Risk register
  - Minutes of meetings
  - Policy, guidelines, and procedure revisions
  - Lessons learned

### **3.5.2 Records Required by NL Hydro Executive**

The Project Sponsor and NL Hydro Executive will be provided with copies of any records requested.

### **3.5.3 Retention of Records**

Records shall be retained in a file with restricted access for Hydro Executive and core Innovation & Productivity Team members only unless permission is granted otherwise. Additional retention or access requirements may be identified by the Executive Sponsor.

## **4 Appendices**

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# **Appendix 1: Terms of Reference**

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## Hydro Innovation & Productivity Team

### Terms of Reference

Hydro is facing a time of immense pressure both internally and externally from stakeholders and customers to manage the business more efficiently and help manage electricity rates in the province. Hydro has heard from employees that there are opportunities to improve its business, improve service and save costs for customers. Now is the time for Hydro to take action and move forward with a company-wide approach to embedding innovation as a core driver of how it does business. The Innovation and Productivity Team is being established to drive productivity improvements, find efficiencies, eliminate waste, add value to customers and embed innovation as a sustainable part of Hydro's culture.

#### Team Purpose:

The purpose of the Innovation and Productivity Team (the 'Team') is to identify ways to make the operations, management and administration of Hydro more innovative, efficient and productive. The Team's mandate will be very broadly defined in term of what constitutes 'increased efficiency, innovation or productivity'. For example, increased efficiency, innovation or productivity can encompass (but is not limited to) outcomes such as:

- Changes in policies, practices, processes and/or activities to improve outcomes;
- Changes in policies, practices, processes and/or activities to reduce the effort and costs required to achieve desired outcomes;
- Eliminating low value or duplicative tasks, processes or activities;
- Implementing technological solutions to reduce costs;
- Changes to organizational structures to streamline supervisory and managerial efforts;
- Make changes that take advantage of new functionality presented by the JDE upgrade;
- Recommending changes that will create a culture of productivity and efficiency at Hydro; and,
- Changes to work processes to improve productivity.

The expectation is that the improvements made as a result of the Team's work will be sustainable over an extended period of time, and not short term in nature.

#### Process

The Team will initially develop an *execution plan* that will be focused on both 'early hits' as well as identifying and assessing how to approach more difficult potential opportunities. The early hits are expected to be defined largely by the productivity work completed in 2017 by the leadership team as well as based upon executive assessments.

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The development of the work plan is expected to be accomplished through outreach to all parts of the business and active engagement of many of Hydro's employees by the Team.

While early hits are being worked, the team will also be building a work plan to realize the harder to reach, structural type issues. This work plan will be approved by the executive sponsor. Due to the underlying nature of innovation containing elements of change, newness and sometimes experimentation, it is expected that the work plan will continue to evolve and change as new knowledge becomes available and or priorities change.

For each productivity opportunity identified and worked by the Team, they will be expected to produce or obtain all information required to:

- define the specific opportunities;
- achieve executive support for the initiative;
- identify the processes and activities required to make the changes and work with the Initiative Owner on a plan to ensure the changes are achievable;
- identify measures to track the success of the initiative; and,
- identify reasonable timelines for execution.

In order to facilitate the work of the Team as well as follow on activities, it is expected that the Team will keep an active inventory of potential innovation/productivity ideas as they arise.

Execution of the approved recommendations of the Team will be the responsibility of an individual (or group of individuals with defined responsibilities) (the 'Initiative Owner'). The Team would not normally be responsible for implementing initiatives, however the Team will be responsible for obtaining and reporting regularly on the progress of implementation of initiatives. In many cases, it is expected that the Initiative Owner would be involved with the Team in the process of identifying and defining innovation and productivity initiatives.

### **Resources**

Core Team – a core team of 4-5 individuals who will be seconded full time to the Team.

Team Lead – the leader of the Team, responsible for project delivery and management of the Team's work, as well as leadership of the Team.

Team Co-Lead – leads the team in conjunction with the Team Lead.

Executive Sponsor - the executive sponsor for the Team will be the Vice President, Financial Services, however the team will regularly engage with other members of Hydro's executive team

Champions – consists of other individuals, primarily those trained in lean six sigma and go-productivity, who support the core team. The Team is expected to develop and utilize an active

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and engaged team of innovation champions who will individually work with their supervisors to ensure that they are able to maintain an adequate balance between the work of the Team as well as ensure satisfactory performance of that individual's normal job duties. Where appropriate, it is expected that departmental and/or personal work plans will reflect the expected involvement of the champions in Team work.

#### Budgets

- The labour budget for the core team members will continue to reside in their home BU and division in 2018, and operating projects will be set up to capture the work activity. Team members will charge their time to the operating project using work orders.
- Non-core team members who are actively engaged in the work plan are expected to continue to charge to their home business unit, but will charge their time to a tracking work order
- Non-Labour - in addition to the labour budget, training and travel related budgets will be established for the team by the executive sponsor, and actual costs will be charged to the operating project business unit, or in the case of training to the HR training budget.
- Managers whose budgets are affected as a result of the re-allocation of their budget to a separate operating project business unit will have their annual performance assessed without reference to operating project business units.

#### Timelines

The Team will be established in early 2018 for an initial 18-24 month period, which may be extended or reduced base on the discretion of the executive.

#### Reporting

The Team will report regularly to Hydro's full executive team on plans, progress, activities and outcomes. This reporting is currently expected to be both determined by the work plan as well as a regular quarterly output, and is expected to include reporting on both progress against the work plan as well as innovation/productivity outcomes.

Reporting frequency to the executive team will be determined by the work plans. The Team will be expected to track both quantitative and qualitative results of their work so that outcomes are regularly reported and measured.

#### Definitions:

**Innovation** can be defined as the application of better solutions and can be accomplished through the application of either new or existing products, processes, services, technologies, or business models that are more effective than what is currently used.

**Productivity** is the ratio of output to the resources consumed or costs incurred.

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# **Appendix 2: Reporting Templates**

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**Innovation and Productivity Team Bi-weekly Report - Week Ending- dd/mm/yyyy**

Initiative	Work completed to date	Next Steps	Potential Annualized Savings
<b>Transportation- Fleet Utilization</b>	<ul style="list-style-type: none"> <li>Draft policy completed and sent to Ron LeBlanc for comments</li> </ul>	Incorporate any comments and implement new policy with communication plan and plan for follow up audit.	~\$270k + annually (plus additional immediate cost savings of \$190 K )

**New Initiative Status:**

New Initiative	Work completed to date	Next Steps	Potential Annualized Savings
<b>IT Opportunities</b>	Information session held with IT Group.	IT Group to have a brain storming session within their own group to identify opportunities	To be determined.

**General Updates:**

Update	Comment
Grid page for Innovation and productivity group to be up and ....	<b>Page to include:</b> <ul style="list-style-type: none"> <li>○ Submission forms for ideas</li> <li>○ Success stories</li> <li>○ .....</li> </ul>

**Upcoming Travel:**

Purpose of Travel	Date	Location	Number of days	Employee(s) Travelling
Information sessions	Week of April 27th	Hydro Place- 2 Sessions Engineering Services	2	0

**Financial Updates:**

Cost Type	Description	Budgeted Cost	Actuals to Date
6010	Salaries		
6105	Materials		
6505	Travel		
6264	Consultants		
6605	Training		
6840	Vehicle Rental		
6820	Fuel		
6725	Safety Equipment		
	<b>Total</b>		

**Issues and Concerns:**

- Availability of data required for some initiatives to allow for more accurate indication of savings.

**Completion Target and Status:**

Target	Expected Completion Date	Status
2 year Innovation Work Plan	dd/mm/yyyy	Underway



# EXECUTIVE BRIEF

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## INNOVATION AND PRODUCTIVITY

EXAMPLE

MARCH 2018




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**INNOVATION AND PRODUCTIVITY CORPORATE QUILT OBJECTIVES**

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- Develop a two year strategy and action plan.
- Complete a minimum of 90% of 2018 identified initiatives.
- Identify initiatives/efficiencies with a projected annual documented savings of \$5M.

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**INITIATIVE STATUS**

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**ORIGINAL EXECUTIVE INITIATIVES**

INITIATIVE	CURRENT STATUS	NEXT MILESTONE	MILESTONE DATE	POTENTIAL ANNUALIZED SAVINGS
Corporate Communication Devices	High level savings potential captured for various opportunities. ( includes cell phones, computer replacements)	-Establish who requires cell phones, sat phones, VHF - Draft policy for cell phones based on guidelines prepared in 2017.	May 31st	Savings: \$450K + (More savings expected once all data has been analyzed) Revenue: \$320K
Transportation- Fleet Utilization				
Overtime				
Conferences and Training				
Travel				
Postage- E-Billing				
EFT				
P-Cards				



AREA	DATE	NUMBER OF SESSIONS	NUMBER OF ATTENDEES	COMMENTS
Bay D'Espoir, Exploits,	March 19-21	7	67	
TRO				
Holyrood				
Whitbourne				
Happy Valley -Goose Bay				
Deer Lake				
Port Saunders/ St.Anthony				
Springdale				
Stephenville				

INITIATIVE	CURRENT STATUS	NEXT MILESTONE	MILESTONE DATE	POTENTIAL ANNUALIZED SAVINGS
IT Opportunities				
Freight				
PPC (control and quality)				
Improving Field Productivity				
Monthly Readings				
ERT Services				
Capital Contingency Control and Reduction				
PPE Allowance				
Substitution Pay				
Cooking and Accommodations				
Utilization of Local Staff for Capital Work				
AP Invoicing				

**GENERAL UPDATES**



UPDATE	COMMENTS
Addition of Grid page for Innovation and productivity group	Write access will be for John Poole and Janine McCarthy. This page will allow employees to see progress, travel dates for the group, new initiatives, success stories, contact information, presentation material, etc.
Communications Plan	Received Communication Plan.,

**ISSUES AND CONCERNS**

- Resources available to the group with the implementation of JDE.
- Business Analyst shortage within the groups who are able to manipulate the data.

**EXECUTIVE ASSISTANCE REQUIRED**

- List of staff positions that will keep cell phones based on work requirement.

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## **Appendix 3: Risk Register Template**

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# Project Risk Register

## Template & Guide

*This Guide is intended to be read in conjunction with the following Template for the development of a Project Risk Register.*

*As such, the Guide should be removed from the front of your final document.*

### What is a Risk Register?

The *Risk Register* records details of all the risks identified at the beginning and during the life of the project, their grading in terms of likelihood of occurring and seriousness of impact on the project, initial plans for mitigating each high level risk, the costs and responsibilities of the prescribed mitigation strategies and subsequent results.

It usually includes:

- a unique identifier for each risk;
- a description of each risk and how it will affect the project;
- an assessment of the likelihood it will occur and the possible seriousness/impact if it does occur (low, medium, high);
- a grading of each risk according to a risk assessment table (refer to *Table 1*);
- who is responsible for managing the risk;
- an outline of proposed mitigation actions (preventative and contingency); and
- in larger projects, costings for each mitigation strategy.

This Register should be maintained throughout the project and will change regularly as existing risks are re-graded in the light of the effectiveness of the mitigation strategy, and new risks are identified. In smaller projects, the *Risk Register* is often used as the *Risk Management Plan*.

### Why would you develop a Risk Register?

A *Risk Register* is developed to:

- provide a useful tool for managing and reducing the risks identified before and during the project;
- document risk mitigation strategies being pursued in response to the identified risks and their grading in terms of likelihood and seriousness;
- provide the Project Sponsor, senior management with a documented framework from which risk status can be reported;
- ensure the communication of risk management issues to key stakeholders;
- provide a mechanism for seeking and acting on feedback to encourage the involvement of the key stakeholders; and
- identify the mitigation actions required for implementation of the risk management plan and associated costings.

### When would you develop a Risk Register?

Initial risks must be identified and graded according to likelihood and seriousness very early in the Project. This initial risk assessment will form part of the *Project Business Case* for the project. Once the project is approved the *Risk Management Plan* and *Risk Register* should be fully developed. In the case of smaller projects the *Risk Register* may serve both purposes.

#### What you need before you start:

- Knowledge and understanding of the project.
- Knowledge and understanding of the Key Stakeholders.
- Knowledge and understanding of appropriate types of risk management activities, or where to obtain them.

#### What you will have when you are finished:

A complete *Project Risk Register* that is ready to be given due consideration by the Project Sponsor.

#### How to use this template

The template consists of some headings and a table that reflects the nature of the information that is to be addressed.

The completed *Risk Register* should be brief and to the point, so it quickly conveys the essential information. It should be updated on a regular basis, at least monthly.

The description of the risk should include the associated consequences or impact where these are not obvious. These consequences can be useful in identifying appropriate mitigation actions. In larger more complex projects, a separate column may be required.

Mitigation actions should include such things as:

- Preventative actions - planned actions to reduce the likelihood a risk will occur and/or reduce the seriousness should it occur. (What should you do now?)
- Contingency actions - planned actions to reduce the immediate seriousness of the risk when it does occur. (What should you do when?)

- Recovery actions - planned actions taken once a risk has occurred to allow you to move on. (What should you do after?)

The column for work breakdown structure (WBS) indicates that the mitigation action has been added to the WBS; that is, it is being acted upon.

A number of **different text styles** have been used within the template, as follows:

- Text in *blue italics* is intended to provide a guide as to the kind of information that can be included in a section and to what types of projects it might be applicable. It should be deleted from the final document .
- Text in normal font is intended as examples.
- Text enclosed in <angle brackets> is intended to be replaced by whatever it is describing.
- This document has been formatted for duplex printing. If you intend to print single sided, you may need to delete some page breaks.

#### Checklist

##### Have you remembered to remove:

- The versioning statement from the front cover of your document?
- This guide and checklist from the front of your document?
- All *blue italic* instructional text and <prescriptive text enclosed in angle brackets> within the template?

# <Project Title>

Risk Register as at <Date>

EXAMPLE



REPORT FOR: (Optional) eg <Project Name>  
 PROJECT MANAGER: <Name>  
 PROJECT OBJECTIVE:

Rating for Likelihood and Seriousness for each risk			
L	Rated as Low	E	Rated as Extreme (Used for Seriousness only)
M	Rated as Medium	NA	Not Assessed
H	Rated as High		

Grade: Combined effect of Likelihood/Seriousness					
		Seriousness			
		low	medium	high	EXTREME
Likelihood	low	N	D	C	A
	medium	D	C	B	A
	high	C	B	A	A

Recommended actions for grades of risk	
Grade	Risk mitigation actions
A	Mitigation actions, to reduce the likelihood and seriousness, to be identified and implemented as soon as the project commences as a priority.
B	Mitigation actions, to reduce the likelihood and seriousness, to be identified and appropriate actions implemented during project execution.
C	Mitigation actions, to reduce the likelihood and seriousness, to be identified and costed for possible action if funds permit.
D	To be noted - no action is needed unless grading increases over time.
N	To be noted - no action is needed unless grading increases over time.

Change to Grade since last assessment			
NEW	New risk	↓	Grading decreased
—	No change to Grade	↑	Grading increased



<Project Title> - Risk Register (as at dd-mm-yyyy)

Id	Description of Risk (including any identified 'triggers')	Impact on Project (Identify consequences)	Assessment of Likelihood	Assessment of Seriousness	Grade (combined Likelihood and Seriousness)	Change in Grade since last review	Date of Review	Mitigation Actions (Preventative or Contingency)	Responsibility for mitigation action(s)	Cost	Timeline for mitigation action(s)	Work Breakdown Structure
<Id>	<A "newspaper headline" style statement. Also identify relevant triggers that may cause the risk to be realised.>	<Describe the nature of the risk and the impact on the project if the risk is not mitigated or managed>	Assessment of Likelihood	Assessment of Seriousness	Grade (combined Likelihood and Seriousness)	<Change in Grade since last review>	<Date of last review>	<Specify planned mitigation strategies: • Preventative (implement immediately) • Contingency (implement if/when risk occurs).>	<Specify who is responsible for undertaking each mitigation action(s)>		<Specify timeframe for mitigation action(s) to be completed by>	This is to indicate that the identified mitigation action has been included in the WBS (workplan).
1	Resources unavailable. Identified triggers: • Project meetings repeatedly rescheduled due to lack of availability; • Members do not attend despite prior confirmation of attendance.	Lack of availability will stall progress (ie. delayed decisions will defer output finalisation, extend project timelines and staff resources will be required for longer than anticipated)	H	H	A	NEW	Feb 21, 2018	Preventative: • Highlight strategic connection - link Project Objective to relevant Company strategic objectives • Confirm 2019 meeting schedule in January • Widen	Project Manager	NA	Feb 21, 2018	Y

<sup>1</sup> In larger projects, the consequences of the threat may not be evident, and noting them under each risk or in a separate column can be useful in identifying appropriate mitigation actions.

<Project Title> - Risk Register (as at dd-mm-yyyy)

2.	<p>Staff reject new procedures Triggers include</p> <ul style="list-style-type: none"> <li>• Staff don't participate in training (not prepared for new roles);</li> <li>• New procedures not applied (work-arounds still used).</li> </ul>	<p>Rejection means additional time and resources required to achieve successful implementation - ie. outputs languish; more training is required (additional cost, time delays); potential for 'falling back into old ways' (more change mgt required); loss of credibility for project (perception of failure).</p>	H	H	A	NEW	Feb 21, 2018	<p>Preventative: High level reinforcement of policy changes; Provide opportunity for staff feedback prior to policy/procedure finalisation; Develop Training Plan that allows for repeat attendance (perhaps 2 stage training?); Identify staff 'champions' to promote adoption of new procedures (buddy system); Circulate information to staff that</p> <ul style="list-style-type: none"> <li>• promotes how new procedures have improved processes (eg. 10 steps reduced to 4 steps etc);</li> <li>• proportion of staff that have successfully</li> </ul>	<p>Sponsor</p> <p>Project Manager</p> <p>Consultant</p> <p>Project Manager</p> <p>Project Manager</p>	<p>NA</p> <p>NA</p> <p>\$3,000</p> <p>NA</p> <p>NA</p>	<p>Feb 21, 2018</p> <p>Feb 21, 2018</p> <p>Feb 28, 2018</p> <p>March 3, 2018</p> <p>March 4, 2018</p>	<p>Y</p> <p>Y</p> <p>N</p> <p>N</p> <p>N</p>
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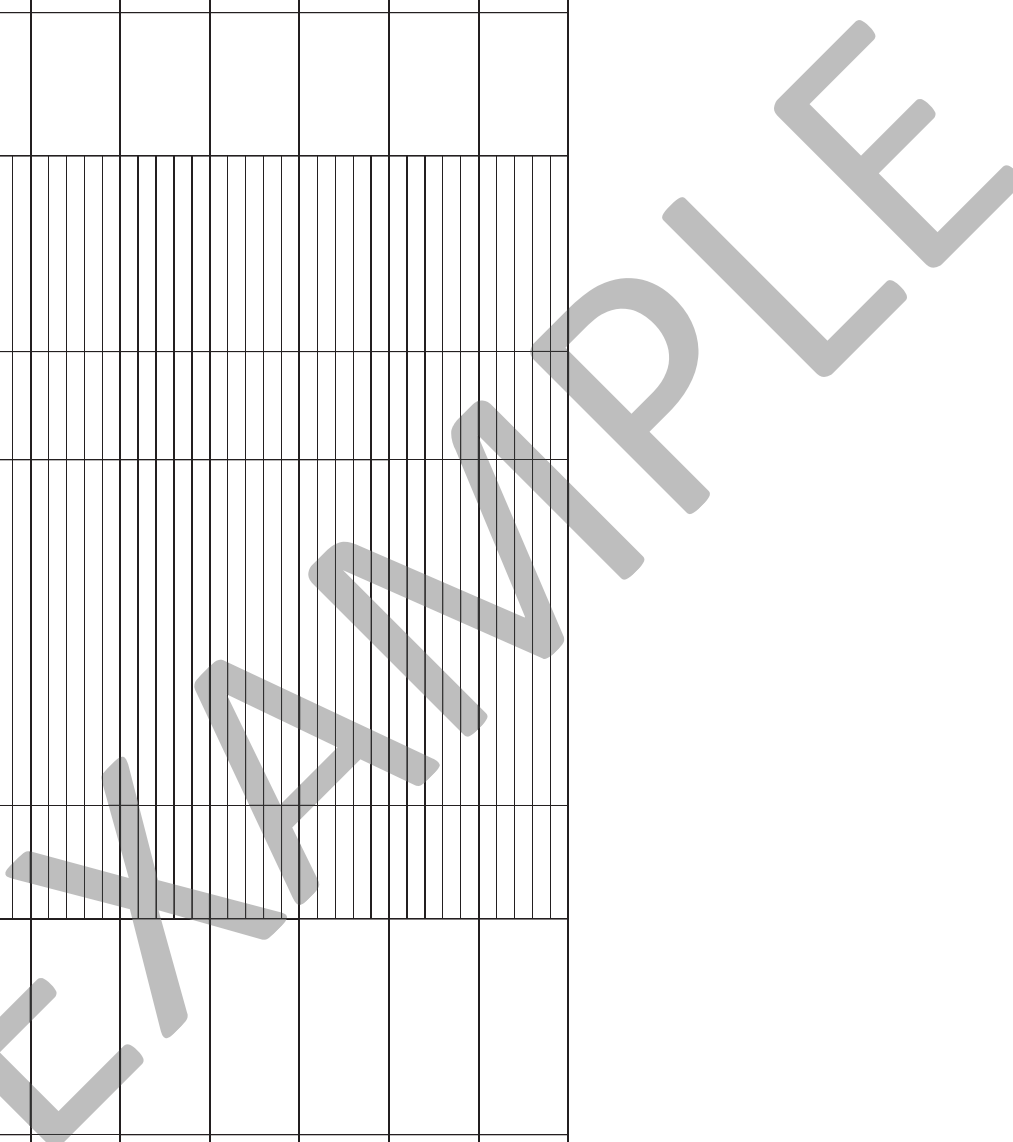


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## **Appendix 4: Work Plan, Schedule, Travel & Budget**

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Innovation and Productivity 2018-2019 Work Plan									
Initiative	Department Responsible	Expected Outcomes	Milestone(s)	Description	Time Frame	Responsible Persons	Fund Sources	Budget Amount	Projected Annualized Savings



2018 Innovation and Productivity Budget



Cost Type	Cost Description	Budgeted Cost	Budgeted Cost Without Salaries
6010	Salaries	\$ 671,500.00	XXXX
6105	Materials	\$ 5,000.00	\$ 5,000.00
6505	Travel	\$ 53,450.00	\$ 53,450.00
6264	Consultants	\$ 16,090.00	\$ 16,090.00
6605	Training	\$ 37,200.00	\$ 37,200.00
6840	Vehicle Rental	\$ 3,236.00	\$ 3,236.00
6820	Fuel	\$ 6,000.00	\$ 6,000.00
6725	Safety Equipment	\$ 500.00	\$ 500.00
	<b>Total 2018 Budget</b>	<b>\$ 792,976.00</b>	<b>\$ 121,476.00</b>