

RISK REGISTER - Children's Social Care ADM Programme

Ref	Category	Risk	Probability	Impact	RAG	Response Action	
						Control in Place	Additional Action Planned
1	Governance	There is a risk that, due to the short timescales and complex nature of the programme, information is not able to be provided. This may impact on the time, quality and cost of the programme	High	Critical		Mitigation is full engagement with Scrutiny and other Members throughout the Options Appraisal and Detailed Business Case process. Service and financial data has been requested and reviewed early in the process to mitigate this risk	Project team now in place to support the programme
2	Governance	There is a risk that the move to a Company and the perception of 'privatisation' will make it more difficult to recruit and retain staff to the Company than to WCC	High	Critical		Investment secured to accelerate the recruitment campaign and give Worcestershire a better visibility and understanding of the job market	Careful consideration is being given to the communication of this change. Communication plan is being developed for implementation phase of the programme - this will include a stakeholder engagement plan. Regular updates provided to front line staff on the development of the ADM
3	Finance	There is a risk, that due to the Company's inability to recruit and retain staff the additional costs associated with agency and interim staff will increase	High	Critical		This will be considered as part of the Workforce Development strand of the Improvement Plan	Careful consideration is being given to the communication of this change. Communication plan is being developed for implementation phase of the programme
4	Finance	There is a risk that additional resources currently not planned for will be required through implementation phase, therefore increase cost to the programme	High	Critical		Effective planning and design through the implementation phase. Issues escalated through steering group and programme board to ensure there are sufficient resources in place	The programme team have tried to consider as many possible resource requirements to minimise the impact of this risk
5	Finance	There is a risk that throughout the implementation phase of the ADM the improvement plan activity will be disrupted and/or delayed	High	Critical		Effective planning and design through the implementation phase. There are programme teams working on both Improvement and ADM, the teams are closely aligned	Communication to staff has been clear around the twin track approach to service improvement and the development of the ADM
6	Governance	There is a risk that the recruitment campaigns for new Board members and Executive Directors are unsuccessful or take longer and this impacts on the implementation timescales	High	Critical		Further investment secured to accelerate the recruitment campaign and give Worcestershire a better visibility in the job market	

7	Resources	There is a risk that key stakeholders will not be available who are essential to the Implementation Phase	Medium	Critical		Strong staff, partner & union engagement/communication will be planned throughout implementation phase of the programme	Weekly messages from DCS to continue. Weekly staff drop in sessions organised (at different locations/times in an attempt to engage with as many people as possible)
8	Communication	There is a risk that the DfE will not fund the programme fully and this will make the implementation unaffordable	Medium	Critical		Regular communication with the DfE about funding costs	Implementation costs compared to other authorities who have completed implementation phase to ensure our bid is realistic
9	Communication	There is a risk that Social Care is currently (and for the past few years) significantly over spending – any additional over spend is not accounted for in the ADM budget transfer	Medium	Critical		Benchmarking undertaken with regional network on growth in numbers of children requiring social care support and corresponding increase in budgets	
10	Finance	There is a risk that HMRC could make changes or issue differing advice that may change the VAT treatment. This could mean that the council may have to pay higher VAT contributions	Medium	Critical		Mitigation would be reversion to a directorate operating as a business unit. This would need to be included within the contract and also inform any contingency planning around exit planning built into the Company business plan	Department for Education discussing VAT issues with HMRC and relaying discussions back to the Worcestershire County Council
11	Finance	There is a risk that the implementation of the ADM creates greater fragmentation between Council corporate support services and wider Children's Services both within WCC and across partners	Medium	Critical		Effective planning and design through implementation phase. Issues escalate through steering group and programme board to ensure there are sufficient resources in place	This risk is discussed at Corporate Business Board meetings where members have committed to ensure that this fragmentation will be mitigated against
12	Finance	There is a risk that throughout the implementation of the ADM there is increased service user dissatisfaction given the increased level of change and staff anxiety	Medium	Critical		Good communication planning and engagement with Children and Young People throughout the implementation phase. Communication channels being established at detailed business case stage to mitigate this risk	
13	Resources	There is a risk, that following implementation there is insufficient corporate support service provision due to council restrictions including that from major contracts which may restrict the ADM accessing fit for purpose services	Medium	Critical		Effective planning and design through implementation phase. Issues escalate through steering group and programme board to ensure there are sufficient resources in place	Regular updates to front line staff on the development of the Alternative Delivery Model
14	Finance	There is a risk that the timeline for final decision on implementation of an ADM, as set by the DfE, could be delayed by processes such as a Call in by Scrutiny	Medium	Substantial		Mitigation is full engagement with Scrutiny and other Members throughout the Options Appraisal and Detailed Business Case process	

15	Finance	There is a risk around mind-set of officers in corporate support services believing/behaving in a manner that considers the ADM as 'another company' and therefore ADM potentially receives an inferior / less timely service	Medium	Substantial		Effective planning and design through implementation phase. Issues escalate through steering group and programme board to ensure there are sufficient resources in place	Risk raised at Corporate Business Board who agree that this should not be the case
16	Finance	There is a risk around poor staff and wider stakeholder engagement in the ADM programme, which may lead to a lack of contribution from these parties in the design of the ADM, which in turn may have a negative effect on the implementation of an ADM	Medium	Substantial		Strong staff, partner and union engagement/communication will be planned throughout the implementation phase of the programme	Regular updates to front line staff on the development of the Alternative Delivery Model. There will be a detailed staff/stakeholder engagement plan developed for the implementation phase
17	Resources	There is a risk of increased confusion of the brand and identity of the ADM and the council, given will be a new autonomous organisation	Medium	Substantial		Good communication planning with the union and staff throughout the implementation phase. The ADM will establish its own resources early in implementation to mitigate this risk	Regular updates to front line staff on the development of the Alternative Delivery Model. New posts created in the ADM that would lead on brand development and which could manage the buy back of communication services
18	Governance	There is a risk that costs will increase following a more detailed analysis of corporate support services	Medium	Substantial		Effective planning and design through implementation phase. Issues escalate through steering group and programme board to ensure there are sufficient resources in place	
19	Governance	There is a risk of reduced control and governance by the Council if appropriate contractual documentation and mechanisms are not in place	Low	Critical		Mitigated through setup and a schedule of reserved decisions, plus a robust client side for strategic commissioning and contract management	There will be a governance and commissioning framework put in place
20	Governance	There is a risk that following implementation of the ADM improvement is not sustained	Low	Critical		Effective planning and design through implementation phase. Issues escalate through steering group and programme board to ensure there are sufficient resources in place	Improvement planning and ADM will be dual tracked projects
21	Communication	There is a risk that suppliers may be unwilling to agree to novate contracts	Low	Substantial		Good communication planning and engagement with suppliers throughout the implementation phase. Communication channels being established at detailed Business Case stage to mitigate this risk. Parent organisation to provide some kind of guarantee to the supplier	Commercial contracts team to communicate with suppliers to explain ADM and what this means to them
22	Governance	There is a risk that due to TUPE there is an increased risk of industrial action that may lead to service disruption and costs being incurred to ensure service cover and dispute resolution	Low	Substantial		Strong staff, partner & union engagement / communication will be planned throughout implementation phase of the programme	Communication to staff will be clear - engagement with trade unions built into stakeholder engagement plan

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