

Worcestershire County Council Transformation Risk Register

The identification and categorisation of risks is based on the assessment of the Probability (likelihood) and Consequences (impact) of the potential risk using the criteria listed below.

The **Likelihood** is assessed on a continuum ranging from **Almost Impossible** to **Very High** dependant on the degree of probability.

Likelihood and Impact Matrix

Likelihood

Very High	9	19	21	24
High	8	12	20	23
Medium	4	11	15	22
Low	3	10	14	18
Very Low	2	6	13	17
Almost Impossible	1	5	7	16

Impact

High 19 – 24	Unacceptable Risk: Immediate control/improvement required
Medium 8 – 18	Acceptable Risk: Close monitoring and cost effective control improvements sought.
Low 1 – 7	Acceptable Risk: Need periodic review, low cost control improvements sought if possible.

The **Impact** should the risk occur can be assessed by using the consequence criteria below. It should be noted that this is a guide only and other considerations may be necessary.

Negligible	Substantial	Critical	Extreme
No injuries beyond 'first aid' level	Medical treatment required - long-term injury	Extensive, permanent injuries, long-term sick	Death
No significant disruption to service capability	Short-term loss disruption of service capability	Short-term loss of service capability	Medium term loss of service capability
Unlikely to cause any adverse publicity	Needs careful public relations	Adverse national/local publicity	Adverse national publicity
No more than 3 people involved	No more than 10 people involved	Up to 50 people involved	More than 50 people involved/affected
Unlikely to cause complaint/litigation	High potential for complaint, litigation possible	Litigation to be expected	Litigation almost certain and difficult to defend
Breaches of local procedures/standards	Breaches of regulations/standards	Breaches of the law punishable by fines only	Breaches of law punishable with imprisonment

Risk Appetite

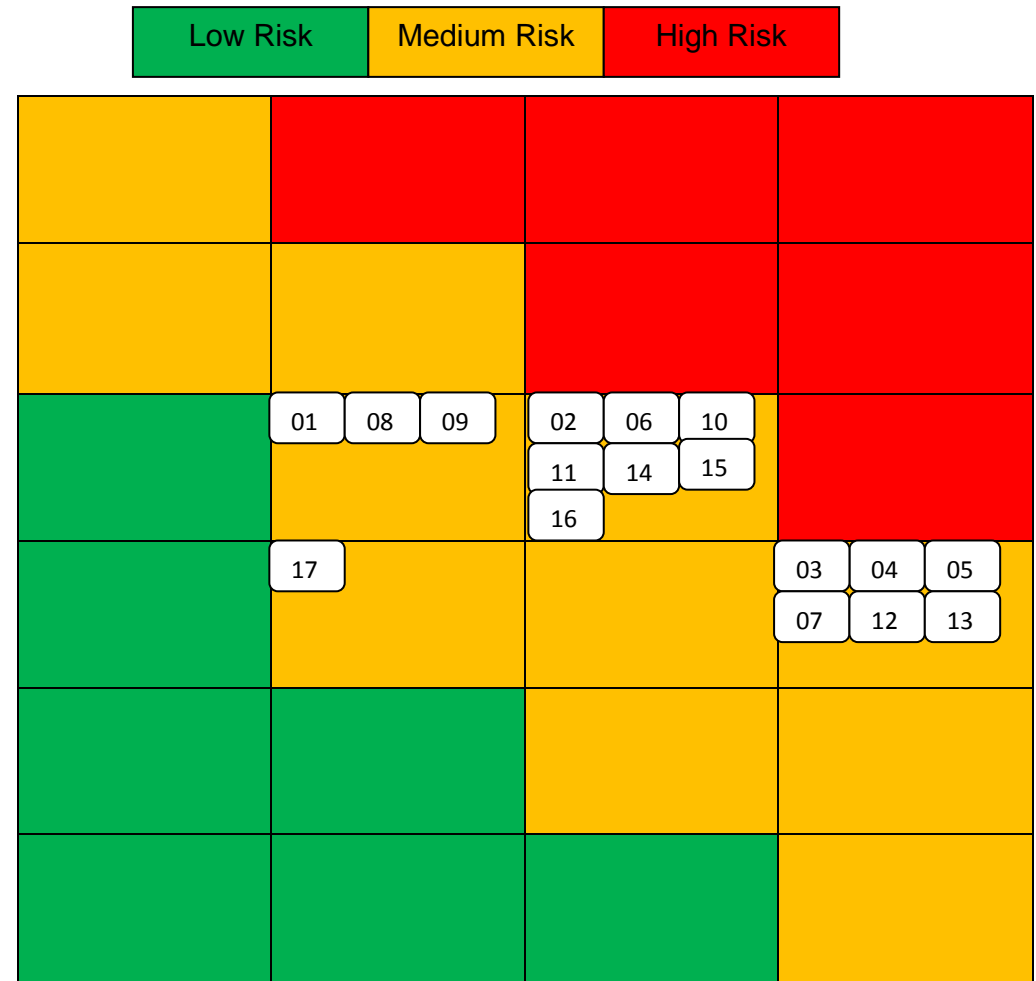
A Risk Appetite will set the levels of risk the organisation is prepared to accept in pursuit of its business objectives using the Risk Appetite Levels. The scale of Low to High refers to a willingness to accept risks.

The Risk Appetite will help to determine the organisation's risk tolerance to individual initiatives, projects or programmes.

Appetite Levels	Description
Averse (Low)	Avoidance of risk and uncertainty is a key objective
Minimalist (Medium Low)	Preference for ultra safe options that have a low degree of inherent risk and only have a potential for limited reward
Cautious (Medium)	Preference for safe options that have a low degree of residual risk and may only have limited potential for reward
Open (Medium High)	Willing to consider all options and choose the one that is most likely to result in successful delivery while also providing an acceptable level of reward
Hungry (High)	Eager to be innovative and to choose options based on potential higher rewards (despite greater inherent risk)

Risk Heat Map

The risks listed in this register have been assessed based on the Likelihood and Impact Matrix. All risks based on their assessment are included in the following Heat Map to provide a graphical overview of the risk levels and to support priority setting where necessary.



Transformational Risk Register – November 2014

Transformation Risk Register – November 2014

No.	Risk Description (Accountable Officer)	Controls Currently in Place	Activity in the last quarter that demonstrates controls are effective	Risk Appetite	Assessment	Likelihood	Impact	Rank ¹
JOINT CORPORATE AND TRANSFORMATION RISKS								
CR 01/ TR 01	Failure to maintain business as usual / appropriate levels of service at the same time as transformation (Gail Quinton)	<ul style="list-style-type: none"> • Transformational programmes include processes to ensure the right staff with the right knowledge, skills and competencies are in place and retained for delivery of BAU and effective transformation • Appropriate level of staffing within individual projects in place to sustain bau and to deliver transformation • Where possible individual projects ensure that we have services up and running before we decommission others • Effective commissioning of high quality services • Robust contract management processes and procedures in place with further development of commercial skills planned • Service performance monitoring and 	Common Activity <ul style="list-style-type: none"> • SRD and 1-1 processes used as a mechanism for managing performance and identifying any skills/competency gaps. SRD completion monitored through Balanced Score Card: WCC. 95.19%. • 'Golden Handcuff' arrangements in some areas of organisation. • All Directorates monitor commissioning projects at least monthly and timescales whilst ensuring that bau and FTE numbers/skills remain appropriate. Exception reporting from HoS and Senior managers in place. • All Directorates have business plans in place. Some are structured to cover both "business as usual" objectives and transformational objectives. BEC <ul style="list-style-type: none"> • Future Fit Programme Plan reviewed at each BLT • Commissioning roadmap and timescales discussed at BEC LT to ensure delivery dates and FTE numbers remain accurate. • HoS & Senior managers rolling reports to BLT • Health & Safety and Safeguarding are regular items on BLT agenda • New HoS Structure resolved and Units working to the revised structure ChS	Open (Medium High)	Uncontrolled	High	Critical	20
					Current (DASH)	Medium	Critical	15

¹ Use Colours – Red, Amber or Green – with associated numbers 1 to 24 from Likelihood & Impact Matrix

No.	Risk Description (Accountable Officer)	Controls Currently in Place	Activity in the last quarter that demonstrates controls are effective	Risk Appetite	Assessment	Likelihood	Impact	Rank ¹
		management processes in place.	<ul style="list-style-type: none"> Each of the 3 key transformational Programmes within ChS has its own dedicated project manager, who is managed by the Programme Manager for ChS. Each workstream project manager is part of the relevant DMT and works with the HoS on tracking both transformational change and business as usual risks CHS projects within the Future Fit Programme continue to be tracked monthly by Next Steps Programme Board. Risks are assessed and discussed at the Board, and RAG rated. Plans are in place to address the red and amber projects. Interim Head of Provider Services and Transformation now appointed in line with the new operating model for Children's Social Care alongside the Transformation Manager for Fostering The following projects continue to have the potential for the greatest impact in terms of this risk - Commissioning of Learning and Achievement; Recruitment and Retention of social worker posts; Achievement of financial action plan within the LAC strategy and contract tendering opportunities within Transforming Early Help Services. Ensuring delivery of BAU is part of this process and is tracked through the Next Steps Programme Board. <p>DASH</p> <ul style="list-style-type: none"> DASH business planning process for 2014-15 completed. Plans are deliberately structured to cover both "business as usual" objectives and transformational objectives. Plans identify actions to deliver these objectives. Plans have been produced at Directorate and Service level (x5), and will be monitored during the year. A comprehensive review has been undertaken of the Directorate's major transformation programme - Future Lives. This has included a detailed exercise to specify what additional capacity is needed to 					

No.	Risk Description (Accountable Officer)	Controls Currently in Place	Activity in the last quarter that demonstrates controls are effective	Risk Appetite	Assessment	Likelihood	Impact	Rank ¹
			<p>support the transformation work so that business as usual functions can be maintained. Resources are being identified for this.</p> <ul style="list-style-type: none"> Resources have been recruited where necessary and backfill arranged The Directorate is continuing to monitor overall capacity within services both formally through metrics such as timeliness of work, and is continuing to recruit to key vacancies <p>Resources</p> <ul style="list-style-type: none"> All transformational change projects have a HoS sponsor, supported by boards and steering groups as appropriate. Resource capacity and risks are monitored to ensure BAU is not adversely affected. Full review across all commissioning and change activity and requirements from support services. Successful transformation fund bid made in July to secure £140,000 for additional professional resource and external expertise in Legal, ICT, HR and Finance. Resource requirements being reviewed quarterly. 					
CR 02/ TR 02	Failure to deliver financial savings (John Hobbs)	<ul style="list-style-type: none"> Processes in place for identification of Future Fit savings Governance arrangements in place to report and monitor realisation of savings through FFPB Monitoring of existing budgets and identification of budget where savings will come from once progressed to DBC Early warning of areas where identified savings 	<p>Common Activity</p> <ul style="list-style-type: none"> Monthly review of financial savings at FFPB and reported through dashboard. Directorate Leadership Teams monitor financial position monthly, identifying the projected year end position, an assessment of future pressures and other financial issues which may affect the year end outturn Managers supported in monthly budget monitoring by Finance staff Preparation work and challenge sessions for CSP underway over the summer months Alternative methodology for critically appraising 	Cautious (Medium)	Uncontrolled	Very High	Extreme	24
					Current (DASH)	Medium	Extreme	15

No.	Risk Description (Accountable Officer)	Controls Currently in Place	Activity in the last quarter that demonstrates controls are effective	Risk Appetite	Assessment	Likelihood	Impact	Rank ¹
		<p>may not be realised (either amount or on time), including unintended consequences.</p> <ul style="list-style-type: none"> • Review of financial forecasts at MTFP and CSP • Effective project management to realise savings and ensure appropriate staffing levels within projects. 	<p>budgets (Bottom Up Budgeting) and corporate income areas established providing an increased level of transparency</p> <p>BEC</p> <ul style="list-style-type: none"> • Future Fit Programme Plan reviewed at each BLT • Monthly Budget Monitoring Reports to BLT. • Finance Team and Unit/Team managers monthly meetings • Savings target gap reviewed as necessary • Corporate Strategy Planning process 2014 has identified new proposals to help meet the financial gap. Draft proposals will be presented at CSP 2014. <p>ChS</p> <ul style="list-style-type: none"> • Financial information included within all monthly highlight reports & overall ChS summary reviewed by Next Steps Programme Board monthly • ChS savings tracker reviewed in real time via accountant liaison with Programme Manager and issues escalated where required. • The directorate receives monthly budget monitoring reports to the leadership team which identifies the projected year end position, an assessment of future pressures and other financial issues which may affect the year end outturn <p>The directorate now has a weekly update on the cost implications of starters and ceases that week</p> <ul style="list-style-type: none"> • Report to Future Fit Programme Board for ChS indicates that there are no financial savings currently rated as red for 2104/15. Those rated as amber are being monitored and tracked robustly, however there are issues within the LAC strategy which has meant that an overspend is being reported for the end of 2014/15 with regular reviews being undertaken by cabinet members and the Chief Executive following the approval of a transformational fund investment of £1.5m over 2014/15 – 2015/16 					

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			DASH <ul style="list-style-type: none"> Directorate review of the Future Lives programme has included revisiting savings targets. The £13.2 efficiency target for 14/15 has been evaluated as follows - £11.732M Green, £1.255 m Amber and £215K red (this will be met from reserves for 14/15 whilst alternative plans are established. Regular monthly monitoring of delivery of savings is being undertaken via the Future Lives Programme Board. Resources <ul style="list-style-type: none"> Full review completed and inputs to deliver target savings identified along with required savings to deliver the gap for 2015/16. Quarterly review at RLT 					
CR 03/ TR 03	Failure to deliver a major project leading to increased costs, reputational damage to the Council and/or failure to realise savings (John Hobbs)	<ul style="list-style-type: none"> Project management processes and governance in place to ensure project delivery Key risks identified and monitored for major projects Effective procurement and contracting processes in place Effective governance and review mechanisms for Programmes and projects in place The right staff with the right knowledge, skills and experience are in place to complete transformational projects. 	Common Activity <ul style="list-style-type: none"> Risk registers maintained for all projects and reviewed monthly. Monthly FFPB and FFSG review and development of focused corporate and transformational risk approach. Project milestones tracked through Directorate programme management and fed into Future Fit Dashboard. BEC <ul style="list-style-type: none"> Integrated Transport Programme Board approving and monitoring all Transport schemes Libraries remodelling project Joint review of museums, including Hartlebury Castle Energy from waste project, Hartlebury Incinerator project Waste Services contract monthly meetings Highways & Fleet Maintenance, Design Contracts monthly progress meetings 	Open (Medium High)	Uncontrolled	Very High	Extreme	24
					Current (DASH)	Low	Extreme	18

No.	Risk Description (Accountable Officer)	Controls Currently in Place	Activity in the last quarter that demonstrates controls are effective	Risk Appetite	Assessment	Likelihood	Impact	Rank ¹
			ChS <ul style="list-style-type: none"> Risk register maintained for all projects and reviewed monthly with automatic update to directorate risk register where applicable Projects monitored monthly through Next Steps Programme Board and through Next Steps Programme Manager. Contract management processes in place, including Payment By Results. Active performance management of contracts is in place with the contracts staff from the JCU having transferred back to ChS on 1 September DASH <ul style="list-style-type: none"> Major projects within DASH are primarily managed via the Future Lives programme board and tracked monthly. Programme risks are assessed and discussed by the Director and at the board. Progress is reported to the Future Fit Board. At end of April, Future Lives projects were overall rated as 'amber' in terms of planned milestones. A revised and strengthened structure for managing the programme has been introduced, and there are plans for additional resources to support the programme, and for strengthened monitoring. Risk registers maintained for individual projects and reviewed monthly Resources <ul style="list-style-type: none"> Project milestones tracked through Directorate programme management and fed into Future Fit Dashboard Monthly review at RLT 					
CR 04/ TR 04	Serious harm or death due to a failure on the part of the Council	<ul style="list-style-type: none"> Workforce appropriately trained to mitigate risk of injury Statutory requirements are fulfilled and monitored 	Common Activity <ul style="list-style-type: none"> Relevant staff are DBVS checked BEC <ul style="list-style-type: none"> Staff are DAB checked 	Open (Medium High)	Uncontrolled	Very High	Extreme	24
					Current (DASH)	Low	Extreme	18

No.	Risk Description (Accountable Officer)	Controls Currently in Place	Activity in the last quarter that demonstrates controls are effective	Risk Appetite	Assessment	Likelihood	Impact	Rank ¹
	(Richard Harling)	<ul style="list-style-type: none"> • Effective engagement by Council in partnership working via WSCB and WSAB • Learning processes in place (e.g. from SCRs, complaints) • Processes in place for safeguarding adults and children and monitoring to ensure processes are complied with. 	<ul style="list-style-type: none"> • Person specifications include relevant qualifications for the post and are reviewed as necessary <p>ChS</p> <ul style="list-style-type: none"> • Mandatory training to all ChS Social Care workforce • Children's Social Care Workforce development Plan in place alongside CPD online database. • Staff health check and SRDs undertaken to highlight any training and development gaps • Learning from SCRs implemented and embedded. • Service development plan in place in place via Directorate business planning cycle • Performance management process in place via Children's Services Performance Board • Robust review of performance information and case file audit to ensure that no child is at risk of significant harm • Incremental appointment of social care staff is reducing use of agency staff leading to practice improvement. <p>DASH</p> <ul style="list-style-type: none"> • Revised arrangements for Worcestershire Safeguarding Adults Board have been put in place in advance of the Care Bill and in response to the Peer Challenge undertaken recently. • A detailed Safeguarding Adults Plan 2014/15 has been put in place. Actions identified include: <ul style="list-style-type: none"> - The re-design of the operational safeguarding adults process - The embedding of the Large Scale Investigation process - Remit of Specialist Teams - Development of a competency based approach to safeguarding training - Develop developing person centred, outcomes-focused practice and measures 					

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			<p>for safeguarding</p> <ul style="list-style-type: none"> There is continuing development of Quality Assurance processes for adult services. The Joint Commissioning Unit has an established monthly reporting process for externally commissioned services and a top level indicator has been worked up for the 2014/15 Corporate Scorecard. Adult Social Care has developed a proposed dashboard which will be implemented in 2014/15. Time taken to complete initial Safeguarding processes has been sustained at a significantly improved level (84% within target timescales compared to 55% in 2012/13). <p>Resources</p> <ul style="list-style-type: none"> Adults and Childrens social workers still have access to safeguarding e-learning module which is currently being reviewed in relation to take up. Preferred providers selected for social care and health and safety training and procurement to secure relevant supplier for Care Act training is ongoing 					
CROSS-CUTTING/CROSS DIRECTORATE TRANSFORMATION RISKS								
TR 05	Implementing change programmes within timescale and at the desired pace. (Gail Quinton)	<ul style="list-style-type: none"> Robust programme management and governance arrangements in place. Effective communication with all stakeholders to secure commitment and 'win hearts and minds' Staff with appropriate skills and competencies in place 	<ul style="list-style-type: none"> Governance and scrutiny of transformational programme through monthly Programme Boards – Average of 20K per employee, mitigation through formal financial commercial models ahead of cabinet decisions – none made last quarter. Monthly briefing goes out to all WCC staff updating on main developments and progress also available through website to external stakeholders. Individual programmes communicate externally with stakeholders on progress either monthly or every other month. 	Hungry (High)	Uncontrolled	High	Extreme	23
					Current (Resources)	Medium	Extreme	18

No.	Risk Description (Accountable Officer)	Controls Currently in Place	Activity in the last quarter that demonstrates controls are effective	Risk Appetite	Assessment	Likelihood	Impact	Rank ¹
		<ul style="list-style-type: none"> • Process in place for dealing with non-compliance and performance management • Strong and effective leadership from SLT, DLT and Senior Managers 	<ul style="list-style-type: none"> • Monthly review at FFPB of red and amber milestones and savings projects/programmes. • Recruitment to additional project managers and project support officers to work across the Council has been completed to increase pace of change in all areas 					
TR 06	Cost of redundancies (being understood and accounted for in initial business case development) (John Hobbs)	<ul style="list-style-type: none"> • Redundancy proposals and potential redundancy costs calculated / forecasted at an early stage • Redundancy costs included in savings plans, and calculated as best guess. This should 'delay' savings and ROI until 'paid back' rather than be treated as an unaccounted cost. • Early escalation to relevant programme boards • Early identification of best / worst / most likely case for redundancy costs for inclusion in project plans at an early stage with HR sign off. • Peer challenge processes for all VR applications 	<ul style="list-style-type: none"> • Future redundancy costs included in total cost of projects.- • Business cases and commissioning projects within BEC and Resources are financially assessed with redundancy costs included in the assessment to inform the Corporate Financial position • Finance preparing redundancy/cost modelling for support services and other programme commissioning activity. • Review of redundancy costs in ChS has identified a reduction in requirement for use of reserves as it is expected that the new provider for L&A services will manage the costs within their contract price – all other redundancy implications are being managed as part of the forecast outturn within ChS 	Open (Medium High)	Uncontrolled	Very High	Extreme	24
					Current (Resources)	Medium	Critical	15
TR 07	Ineffective/lack of capacity in commissioning, procurement and contract	<ul style="list-style-type: none"> • Ensure that commissioning of services is based on a robust assessment of need. • Ensure that procurement 	<ul style="list-style-type: none"> • Providing up front notifications of what commissioning and procurement support is required as far as possible ahead within project timescales. • Commercial and procurement sponsors assigned to key projects • Corporate Programme Team resources assigned to 	Open (Medium High)	Uncontrolled	High	Extreme	23
					Current (Resources)	Medium	Extreme	18

No.	Risk Description (Accountable Officer)	Controls Currently in Place	Activity in the last quarter that demonstrates controls are effective	Risk Appetite	Assessment	Likelihood	Impact	Rank ¹
	management. (Richard Harling)	process meet legal requirements and are adhered to <ul style="list-style-type: none">• Ensure that contracts are fit for purpose• Ensure that contracts are Framework based and payable on results where possible	commissioning projects <ul style="list-style-type: none">• Review of JCU, including strengthening of capacity and commissioning skills development• Recruitment to vacant lead commissioner posts, including interim appointments• New internal and external specialist legal commercial capacity enabled• Appointment of Director for Commercial and Change• Appointment of Commercial Commissioning Manager and establishment of Commercial Team					
TR 07 A	Pensions impact when commissioning services being understood early in projects and consistently across the organisation (Steph Simcox)	Pensions toolkit on SID Contract with actuary to provide advice Finance leads in place to provide advice	<ul style="list-style-type: none">• Training sessions held with 40 managers and commissioning staff to alert them of the issues• Report to SLT, FFSG and FFPB on issues arising• Project sponsors actively seeking advice and guidance from finance and payroll / pensions service• Project timetables amended to ensure that the need to consider pensions implications are scheduled• Included within the revised procurement code and commissioning strategy• Detailed sessions being held with Mercers and the actuary as and when required with Strategic Commissioners to ensure we understand the financial implications and risks associated with pensions issues for each potential contract• A pension toolkit has been developed and a workshop with the pensions advisors was undertaken to provide commissioners with an understanding of pensions related issues for staff transferring under TUPE.• Each commissioning lead is having 1:2:1 conversations with actuary and pensions advisors to discuss risk share and pension liability impact for contract negotiations	Open (Medium High)	Uncontrolled	High	Critical	20
					Current (All services)	Medium	Substantial	11
KEY DIRECTORATE TRANSFORMATIONAL RISKS: BEC								

No.	Risk Description (Accountable Officer)	Controls Currently in Place	Activity in the last quarter that demonstrates controls are effective	Risk Appetite	Assessment	Likelihood	Impact	Rank ¹
TR 08	Open for Business Programme – lack of management buy-in prevents coordination, decision-making and communication across WCC and DCs. (Ahmed Goga)	<ul style="list-style-type: none"> OfB Governance established at the outset of the programme with communications lead appointed 	<ul style="list-style-type: none"> Head of Economic Development and Planning is meeting with all WCC Services Leads to establish OfB as one of the key priorities of the organisation. Additional session held with the Wider Leadership Team on 9th July 2014 as part of activities to embed OfB across the directorates The Open for Business Board and Steering Group continue to meet on a bi-monthly and fortnightly basis respectively. 	Open (Medium High)	Uncontrolled	High	Substantial	12
					Current	Medium	Substantial	11
TR 09	Social and Community Transport - dependency with decision-making in other directorate policies not taken into account. Impact on service delivery (Paul Smith)	<ul style="list-style-type: none"> New contracts in place from 1st September 2014. Contract monitoring of performance in place and communications team monitoring public reaction via press and social media. 	<ul style="list-style-type: none"> Cabinet report presented in June 2014 for political steer. Approval given, new contracts in place from 01/09/14. Next action is to monitor contracts and also the response from public and press following the publishing of new bus timetable and routes. Potential reputational risk if the new contracts bring about widespread criticism once advertised and/or in operation. 	Cautious (Medium)	Uncontrolled	Very High	Extreme	24
					Current	Medium	Substantial	11
TR 10	The failure to achieve community-led solutions at the libraries could lead to their potential closure, leading to challenge under the Public Libraries and Museum Act 1964	<ul style="list-style-type: none"> Community led solutions developed in partnership with Libraries 	<ul style="list-style-type: none"> Project Manager and project plans in place to continue progressing these solutions Consultation on library service at home and mobile libraries continues. Community led solution libraries are; Broadway - community group in place and formally set up – all on track. RAG status Green Bewdley - interim solution is to have a static mobile library for approx. 1 yr and work with town council whilst medical centre development is built and library moves. RAG status Amber Hagley - Community group being established and 	Open (Medium High)	Uncontrolled	High	Extreme	23
					Current	Medium	Critical	15

No.	Risk Description (Accountable Officer)	Controls Currently in Place	Activity in the last quarter that demonstrates controls are effective	Risk Appetite	Assessment	Likelihood	Impact	Rank ¹
	and the Public Sector Equality Duty. (Neil Anderson)		working with parish council, looking at autumn implementation. RAG status Green • Upton – as per Hagley but slightly further ahead which will be summer implementation. RAG status Green • Wythall – as per Hagley. RAG status Green					
KEY DIRECTORATE TRANSFORMATIONAL RISKS: ChS								
TR 11	Inability of Children's Social Care to deliver savings targets due to pressures on placements and staffing budgets whilst maintaining safeguarding of children and young people (Siobhan Williams)	<ul style="list-style-type: none"> Service re-design implemented with focus on improving key outcomes Recruitment and Retention Strategy in place to reduce agency spend LAC Action Plan Steering Group to lead all savings, projections and costing work to track progress. 	<ul style="list-style-type: none"> Investment Transformation fund of £1.5m approved for 2014/15 – 2015/16. Work is underway in all areas of the plan, KPI's have been agreed and progress is being monitored through monthly Senior manager meetings and NSPB Interim Head of Provider Services and Transformation now appointed in line with the new operating model for Children's Social Care alongside the Transformation Manager for Fostering LAC Action Group meeting monthly and LAC Panel meeting weekly to track spend on placements and identify opportunities to improve outcomes for children/young people whilst delivering efficiencies e.g. EBD Units. Fortnightly CMR/Cabinet LAC meetings to track spend and monitor progress Rolling recruitment campaign to appoint permanent posts with a target of 15% agency staffing by Dec and 10% by March 2015. Progress being tracked through NSPB/Performance Board Overspend being reported within LAC placements due to increased demand and also cost of staffing is increasing due to over-reliance on agency staff 	Cautious (Medium)	Uncontrolled	Very High	Extreme	24
					Current	Medium	Critical	15
TR 12	The risk of a drop in performance and standards due to the scale of the change of	<ul style="list-style-type: none"> Comprehensive market testing and procurement process undertaken to identify the best placed 	<ul style="list-style-type: none"> ICU structure approved and costed the process of recruitment to the ICU has been put on hold until there is clarity regarding the quality of the tender received. A request to extend the ITT was granted and it will 	Open (Medium High)	Uncontrolled	High	Extreme	23
					Current	Low	Extreme	18

No.	Risk Description (Accountable Officer)	Controls Currently in Place	Activity in the last quarter that demonstrates controls are effective	Risk Appetite	Assessment	Likelihood	Impact	Rank ¹
	moving from a large provider of Learning and Achievement services to commissioning services from the market whilst maintaining service delivery. (John Edwards)	<ul style="list-style-type: none">providerServices have been bundled together to allow flexibility in commissioning to ensure market readinessRobust contract and QA functions will be maintained internallyGood communications with staff and focused management on identified areas of risk.	<ul style="list-style-type: none">now close on 12 Dec 14Ongoing dialogue with the remaining provider, including setting up a meeting with Senior L&A/ChS managers.Options plan being drawn up should the submitted tender not meet the required standard It has been agreed that external challenge will be procured to support the process					
TR 13	Continued saving reductions from commissioned early help provision whilst work still developing may make it unviable and ineffective as a service (Hannah Needham)	<ul style="list-style-type: none">Updated Early Help strategy being drafted to re-define remit of early help for future commissioningCloser alignment with both internal and external services to maximise resourcesSavings plan to best manage current savings targets	<ul style="list-style-type: none">Savings Plans have been agreed with all providers and approved at Next Steps Programme Board. Work continue with Providers to minimise impact on frontline delivery of servicesOngoing negotiations with providers to ensure more targeted support is given to high risk families rather than universal supportFurther work is being undertaken to assess the impact of funding reductions on other services (including social care) and on the Providers' ability to meet demand. Wider Early Help Needs Assessment being undertaken to identify cohorts of children and families currently being supported though wider early intervention services and to understand key characteristics in order to inform future commissioning intentions of all early intervention services	Open (Medium High)	Uncontrolled	High	Extreme	23
					Current	Low	Extreme	18
KEY DIRECTORATE TRANSFORMATIONAL RISKS: DASH								
TR	Inability to	<ul style="list-style-type: none">Prevention & Early Help - Plans are in place to	<ul style="list-style-type: none">Prevention & Early Help - Staff & Service User involvement in communications to develop an	Open (Medium	Uncontrolled	Very High	Critical	21

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14	extract from current service model resulting in cost pressures. In order to make changes required we will need to disinvest in services/structures and processes. This may become challenging from a financial/contractual and operational perspective. (Richard Harling)	cease/extend then cease contracts which come under the Prevention heading to allow time to transform future service delivery. £2M additional corporate resources secured together with £1.1m already identified within DASH.	<p>understanding of and support for the new model</p> <ul style="list-style-type: none"> Assessment and Case Management - Engagement with staff through Staff Reference Group to ensure co-design and ownership of new processes. Plans are on track for delivery of Prevention and Early Help savings and for the new ways of working in NMoC Recommissioning of Housing related support has been completed and recommissioning of other Prevention and Early help contracts are on track for delivery in April 2015. Extensive communication and engagement is being planned for NMoC following the business cases. This starts with staff events in early December. 	High)	Current	Medium	Critical	15
TR 15	The Future Lives programme doesn't incorporate legal change effectively and new models of care are not Care Act compliant – The Care Act impacts directly on the Future Lives programme, resulting in additional change and complexity. A	<ul style="list-style-type: none"> The Council is participating in the ADASS West Midlands network of local authorities. Care Act Compliance Project underway - Templates drafted for each Act clause, assigned and being completed by officers across DASH and partners to assess impact and define any actions required by the council and their 	<ul style="list-style-type: none"> Regulations to be analysed when published. The draft regulations have now been analysed. Final regulations to be analysed (published 22nd October – and they will then be subject to an assurance process. Ongoing oversight by the Future Lives Programme Board Further analysis of the legal implications of the Care Act for each project to be completed via regular round table discussion between Legal and DASH. Assurance to be provided to Cabinet in January 2015 Further briefings for Cabinet, wider council and partners have started 	Open (Medium High)	Uncontrolled	High	Substantial	12
					Current	Medium	Substantial	11

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	number of these changes may have a negative impact on financial resources. (Frances Howie)	timescale. Monthly reports on progress to Programme Board.						
TR 16	Inability to secure cultural change and engagement for the Future Lives programme – (Charles Huntington)	• Significant communication and engagement plan in place	• Paper for Cabinet June 2014 to verify FL Programme. • Monthly presentations and/or newsletter for key partners, staff and service user/carer forums • A further round of comms events is starting to roll out in early October with the final events planned for early December. This will include staff stakeholders and Service Users and Carers.	Open (Medium High)	Uncontrolled	Very High	Critical	21
					Current	Medium	Substantial	15
KEY DIRECTORATE TRANSFORMATIONAL RISKS: Resources								
TR 17	Inability to re-engineer processes and systems so that they are fit for a lean and transformed council (John Hobbs)	• Benchmarking 'as is' situation and highlighting pinch points prior to introducing changes • Ensure that process re-engineering takes place for all projects and programmes on an ongoing basis.	• Modernising Finance and Modernising HR work streams have been re-scoped to ensure appropriate re-engineering • Regular highlight reports to Finance Programme Board which tells us that the recent boost in focus on the programme is building Preferred Supplier chosen for Executive Information System (EIS), engaging with service managers, finance, HR and performance staff to design requirements • Work progressing to develop budget principles which will mitigate this risk by enabling less resource requirements to give bespoke advice to managers. • Dependencies across modernising and commissioning workstreams being tracked through RLT.		Uncontrolled	Very High	Substantial	19
					Current	Low	Substantial	10