

Commissioning Risk Register - Gross 'High' (Red) Risks Extract. Appendix B

												DATE LAST REVIEWED:	04/12/2018
REF	DIVISION	RISK TITLE & DESCRIPTION (a line break - press alt & return - must be entered after the risk title)	RISK CAUSE & EFFECT	RISK CATEGORY	GROSS RISK RATING (See next tab for guidance)			EXISTING CONTROLS IN PLACE TO MITIGATE THE RISK	CURRENT RISK RATING (See next tab for guidance)			FURTHER ACTION REQUIRED	RISK OWNER
					LIKELIHOOD	IMPACT	RISK RATING		LIKELIHOOD	IMPACT	RISK RATING		
1	Commissioning	Failure to deliver the Council's Target Operating Model as a "Commissioning Organisation"	Cause(s): <ul style="list-style-type: none"> - Unclear (or lack of) commissioning strategies - Poor commissioning activities - Inability to undertake full commissioning cycles - Failure to engage and develop markets Effect(s): <ul style="list-style-type: none"> - Service cuts required if balanced budget is not met - Reputational damage 	Procurement & Contracts	5	4	20	1. Commissioning Work Plan agreed and reported to COE as part of Performance Management. 2. Commissioning Reviews linked to 4 year Financial Forecast to ensure all growth in services are supported by service reviews/proposals to help mitigate growth. 3. Contract Register now produced using new database including automatic alerting to officers etc. 4. Commissioning Team represented at senior level across the Council. 5. Commissioning Work Plan & Contracts Register reported to COE quarterly and also Commissioning & Contract Sub Committee – with alerts from Director of Commissioning. 6. Weekly Commissioning Board meetings. 7. Training for members and officers rolled out and published on Managers Toolkit. 8. All Guidance Notes available to officers on the Managers Toolkit – covering the commissioning and contracting cycle. 9. Lessons Learnt from all commissioning and contracting proposals covered at mandatory training with staff.	4	3	12	1. Proposals relating to the individual services to be submitted to the respective PDS Committees for scrutiny and approval in a timely manner linked to four year financial forecast. 2. Growth pressures identified as part of the four year forecast to allow service reviews/redesign to help mitigate cost pressures	Service Directors supported by Director of Commissioning
2	Commissioning	Effective governance and management of contracts	Cause(s): <ul style="list-style-type: none"> - Lack of clear management across contracts - Capacity and capability - Contract management processes ineffective - Organisational culture and understanding Effect(s): <ul style="list-style-type: none"> - Financial losses - Service disruptions - Poor quality services 	Procurement & Contracts	4	4	16	1. Review of contract management and Commissioning & Contract monitoring controls including any issues identified by internal audit 2. Database alerts to assist in monitoring 3. Contract Sub Committee 4. Member scrutiny	4	4	16	Mandatory Training in place for all contract managers and commissioners along with quarterly mandatory meetings chaired by Director of Commissioning to cover any new guidance issued, lessons learnt and internal audit issues. Once the Director of Commissioning is confident that practice is embedded in the organisation, the current risk rating will reduce. Detailed and worked up Business Cases around service redesign, identifying four year forecast, will turn the 'Net' (Current) Risk to Amber, depending on robustness of the process.	Service Directors supported by Director of Commissioning

Remember to consider current Internal Audit priority one recommendations when identifying, assessing and scoring risks.