

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

												DATE LAST REVIEWED:	29/01/2019
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"	<b>Cause(s):</b> <ul style="list-style-type: none"> <li>- Unclear (or lack of) commissioning strategies</li> <li>- Poor commissioning activities</li> <li>- Inability to undertake full commissioning cycles</li> <li>- Failure to engage and develop markets</li> </ul> <b>Effect(s):</b> <ul style="list-style-type: none"> <li>- Service cuts required if balanced budget is not met</li> <li>- Reputational damage</li> </ul>	Procurement & Contracts	5	4	20	1. Commissioning Work Plan agreed and reported to COE as part of Performance Management. 2. Contract Register established with regular reports on actions required and alerts issued to Officers 3. Commissioning Team represented at senior level across the Council. 4. Commissioning Work Plan & Contracts Register reported to COE quarterly and also Commissioning & Contract Sub Committee – with alerts from Director of Commissioning (or delegate). 5. Review of Commissioning Work Plan through Commissioning Board (or equivalent) and/or ongoing monitoring through the Assistant Director Governance & Contracts 6. Training for members and officers rolled out and published on Managers Toolkit. 7. All Guidance Notes available to officers on the Managers Toolkit – covering the commissioning and contracting cycle. 8. Lessons Learnt from all commissioning and contracting proposals covered at mandatory training with staff.	3	4	12	1. Ongoing maintenance, monitoring and review of Commissioning Work Plan through Commissioning Board (or equivalent) and/or through the Assistant Director Governance & Contracts 2. Transformation Programme (through Chief Executive) embedded and projects progressed. 3. Regular review of accuracy and completeness of Contracts Database to ensure effectiveness as a tool. 4. Ongoing effective use of Contracts Database via shared knowledge, alerts etc. 5. Lessons Learnt from all commissioning and contracting proposals covered at mandatory training with staff.	Service Directors supported by Director of Commissioning (or delegate)
2	Commissioning	Effective governance and management of contracts	<b>Cause(s):</b> <ul style="list-style-type: none"> <li>- Lack of clear management across contracts</li> <li>- Capacity and capability</li> <li>- Contract management processes ineffective</li> <li>- Organisational culture and understanding</li> </ul> <b>Effect(s):</b> <ul style="list-style-type: none"> <li>- Financial losses</li> <li>- Service disruptions</li> <li>- Poor quality services</li> </ul>	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	3	4	12	1. Contract Management guidance on toolkit to be reviewed. 2. Ongoing monitoring of compliance with Contract Procedure Rules requirements with Practice Notes issued as required. 3. Improvement in production and scrutiny of Annual Contract Monitoring reports. 4. Staff training - repeat sessions arranged regularly. 5. Contracts Database authorisation function tested, embedded and reviewed.	Service Directors supported by Director of Commissioning (or delegate)

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