

APPENDIX 4 – RISK REGISTERS FOR PROJECTS WITH MAJOR BUDGETARY IMPLICATIONS.

Date Last Reviewed	Risk Owner	Description of Risk	Gross Scores			Net Scores			Existing Controls	Additional Controls	Responsibility	Target Date	Status
			Likelihood	Impact	Total	Likelihood	Impact	Total					
ASSISTIVE TECHNOLOGY PROJECT (AC = Angie Carter - Strategic Development Manager)													
03/05/10	AC	Failure to realise revenue savings	4	5	20	2	5	10	Current financial monitoring arrangements	Evaluation Model under development (NHS Wirral)	AC	30/06/10	Open
03/05/10	AC	Failure to recruit to key posts	2	5	10	2	5	10	Interim secondment from NHS Wirral				Open
03/05/10	AC	Health and safety of equipment used	1	5	5	1	5	5	Contract with service provider (Eldercare)	Review contract	AC	30/06/10	Open
03/05/10	AC	Key staff remain in post	2	5	10	2	5	10	Monitor				Open
03/05/10	AC	AT does not become universal offer as part of SDA	1	5	5	1	5	5	Monitor				Open
MARKET MANAGEMENT PROJECT (MF = Mike Fowler – Head of Finance & Performance Branch)													
2/6/2010	MF	Failure to realise revenue savings due to Double counting savings in overlapping projects	4	5	20	2	5	10	Current financial monitoring arrangements	1. Engage with other DASS project managers 2. Develop and use suitable financial monitoring.	MF	1. 30/06/10 2. 30/06/10	Open
2/6/2010	MF	Risk of litigation under the Competition Act	4	5	20	2	5	10	80% of providers are engaged in co-production of framework agreement Legal advisor on steering group	Take legal advice	MF	Ongoing	Open
2/6/2010	MF	Failure to realise revenue savings due to providers being unwilling to contract with the council.	4	5	20	4	5	20	Market influence				Open

APPENDIX 4 – RISK REGISTERS FOR PROJECTS WITH MAJOR BUDGETARY IMPLICATIONS.

			Gross Scores			Net Scores							
2/6/2010	MF	Failure to realise revenue savings due to people with a personal budget not requiring the extended services from residential homes.	4	5	20	2	5	10		1. Marketing & awareness 2. Framework agreement	MF	1. Ongoing 2. 31/12/10	Open
2/6/10	MF	Failure to realise revenue savings due to lack of sufficient capacity to deliver project.	4	5	20	2	5	10	DASS Strategic Leadership Team (SLT) to allocate appropriate resources and support training programmes.	Report any issues to DASS SLT	MF	Ongoing	Open
2/6/10	MF	Failure to deliver the objectives because of the absence of key team or steering group members	4	5	20	2	5	10	DASS Strategic Leadership Team (SLT) to allocate appropriate resources and support training programmes. The use of the corporate project management framework and supporting documents.	Project manager to ensure that the corporate project management framework is being adhered to.	MF	Ongoing	Open
PEOPLE WITH LEARNING DISABILITIES PROJECT (PT = Peter Tomlin – Principal Manager - Access & Assessment Branch)													
2/6/10	PT	Failure to realise revenue savings due to accounting issues such as: <ul style="list-style-type: none"> ● Lack of precision in understanding current funding arrangements between Council & NHS. ● Double counting savings in overlapping projects ● A shift in funding, grants or benefits 	4	5	20	2	5	10	Current financial monitoring arrangements Joint Savings Group established for the Partnership	1. Create a Council Savings Group 2. Engage .with other DASS project managers 3. Develop and use suitable financial models.	PT	1. 30/06/10 2. 30/06/10 3. 30/06/10	Open

APPENDIX 4 – RISK REGISTERS FOR PROJECTS WITH MAJOR BUDGETARY IMPLICATIONS.

			Gross Scores			Net Scores							
2/6/10	PT	Failure to realise revenue savings due to lack of political, corporate, management & staff engagement	4	5	20	2	5	10	Approval of the SCP	1. Suitable communication plan 2. Report any issues to SCPB	PT	1. 30/06/10 2. Ongoing	Open
2/6/10	PT	Failure to realise revenue savings because of overlap with Wirral NHS summit projects	4	5	20	2	5	10	DASS Transformation Board	1. Suitable communication plan 2. Define the project parameters as part of the PID and ongoing project controls.	PT	1. 30/06/10 2. Ongoing	Open
2/6/10	PT	Failure to realise revenue savings because of delivery timetable is not achievable for 2011/12	4	5	20	2	5	10	DASS Transformation Board	1. Suitable project plan 2. Initial Financial Assessment	PT	1. 30/06/10 2. 30/06/10	Open
2/6/10	PT	Failure to realise revenue savings due to public misinterpretation of the project impact, objectives and benefits.	4	5	20	2	5	10	Highlight reports to SCPB Press and Communications represented at SCPB	1. Suitable communication plan 2. Report any issues to SCPB 3. Stakeholders engaged & represented in project	PT	1. 30/06/10 2. Ongoing 3. Ongoing	Open
2/6/10	PT	Failure to realise revenue savings due to providers being unwilling to reduce unit costs of placements.	4	5	20	4	5	20	Ability to terminate contracts				Open
2/6/10	PT	Failure to realise revenue savings due to lack of capacity and/or appropriate skills	4	5	20	2	5	10	DASS Strategic Leadership Team (SLT) to allocate appropriate resources and support training programmes. Dedicated training resources within DASS	1. Suitable training plan 2. Report any issues to DASS SLT	PT	1. 30/06/10 2. Ongoing	Open
PROCUREMENT PROJECT (RW – Ray Williams - Corporate Procurement Manager)													

APPENDIX 4 – RISK REGISTERS FOR PROJECTS WITH MAJOR BUDGETARY IMPLICATIONS.

			Gross Scores			Net Scores							
2/6/10	RW	Failure to realise revenue savings due to double-counting elsewhere.	4	5	20	2	5	10	Current financial monitoring arrangements	1. Specific contract re-let financial appraisal monitoring & reporting (Yr 1&2) 2. Year 3 & 4.	RW	1. 30/06/10 2. 24/08/10	Amber
2/6/10	RW	Failure to realise revenue savings due to lack of political, corporate, management & staff engagement	4	5	20	2	5	10	Approval of the SCP	1. Suitable communication plan 2. Establish Procurement Programme Board. 3. Report any indiscipline as issues to SCPB	RW	1. 30/06/10 2. 20/07/10 3. Ongoing	Amber
RE-PROVISION OF IN-HOUSE SERVICES PROJECT (JR = Jenny Ricketts – Head of Service - Direct Locality Support Services)													
2/6/10	JR	Project does not deliver savings due to lack of member approval	2	5	10	1	5	5	Agreement in principle November 2009 Cabinet Agreed as part of the strategic change programme COMT approval in place SLT/Transformation Board approval	PID to be approved by SLT/SCPB Cabinet reports seeking approval	JR	Ongoing	Open
2/6/10	JR	Project does not deliver savings due to adverse reaction from service users	4	5	20	3	5	15	Consultation process undertaken August-November 2009	Communications and marketing plan	JR	Ongoing	Open
2/6/10	JR	Project does not deliver savings due to adverse reaction by staff	5	5	25	3	5	15	Consultation process undertaken August-November 2009 Regular JCC to keep staff representatives updated.	Communications and marketing plan	JR	Ongoing	Open

APPENDIX 4 – RISK REGISTERS FOR PROJECTS WITH MAJOR BUDGETARY IMPLICATIONS.

			Gross Scores			Net Scores							
2/6/10	JR	Project does not deliver savings because the homes cannot be disposed of	1	3	3	1	3	3	Supply & demand for property	Seek advice from Asset manager	JR	Ongoing	Open
2/6/10	JR	Project does not deliver savings due to non-identification of all associated costs of de-commissioning services	4	5	20	1	5	5	General support from finance section	Specific research to develop a robust financial model	JR	Ongoing	Open
2/6/10	JR	Project does not deliver savings due to commercial failure of the Local Authority Trading Company	2	5	10	1	5	5	Feasibility study seeking best practice undertaken Legal advice sought	Ensuring sufficient business skills exist within the company Further work on the feasibility study	JR	Ongoing	Open
2/6/10	JR	Project does not deliver savings due to the inability of the market to respond to the needs of service users thus prohibiting closure of services	2	5	10	1	5	5	Current market analysis suggests capacity is available within the independent sector	Further market testing	JR	Ongoing	Open
2/6/10	JR	Project does not deliver full savings as these have been attributed to other transformation project (double counting)	5	5	25	4	5	20	General support from finance section	Specific research to develop a robust financial model Robust integrated project planning for all related projects within DASS	JR	Ongoing	Open
2/6/10	JR	Project does not deliver full savings as some work streams are dependent on partner activity and requires sign up.	3	5	15	1	5	5	Wirral Health representation on SLT NHS summit Wider representation on DASS Transformation Board	Communication plan	JR	Ongoing	Open

APPENDIX 4 – RISK REGISTERS FOR PROJECTS WITH MAJOR BUDGETARY IMPLICATIONS.

			Gross Scores			Net Scores							
2/6/10	JR	Project does not deliver savings due to the capacity to deliver the project as well as day-to-day operations.	5	5	25	3	5	15	Extra capacity being sought from reform Unit	Request made for sufficient resources to manage the project (£100k) Temporary assistance from Assurance team	JR	22/06/10	Open
LOOKED AFTER CHILDREN PROJECT (JH – Julia Hassall - Head of Branch - Children's Social Care)													
2/6/10	JH	Failure to realise revenue savings due to increase in demand for children's social services.	4	5	20	4	5	20					Open
2/6/10	JH	Failure to realise revenue savings due to a lack of political, corporate, management & staff engagement	4	5	20	2	5	10	Approval of the SCP	1. Suitable communication plan	JH	1. 30/6/10	Open
2/6/10	JH	Failure to realise revenue savings due to lack of dedicated capacity to run the project.	4	5	20	2	5	10	Part of the current workplan Delivery mechanisms already in place	1. Identify potential problems as part of the initial project planning and refer to SCPB.	JH	1. 30/6/10	Open
TRANSPORT REVIEW (JR = Jenny Ricketts – Head of Service - Direct Locality Support Services)													
2/6/10	JR	Project does not deliver savings due to lack of member approval	2	5	10	1	5	5	Cabinet approval Agreed as part of the strategic change programme COMT approval in place SLT/Transformation Board approved PID	Cabinet reports advising on progress and issues	JR	Ongoing	Open
2/6/10	JR	Project does not deliver savings or service due to adverse reaction from service users to proposals	3	5	15	2	5	10	Communications and marketing plan.	Review feedback and revise communications and marketing plan or take corrective action	JR	Ongoing	Open

APPENDIX 4 – RISK REGISTERS FOR PROJECTS WITH MAJOR BUDGETARY IMPLICATIONS.

			Gross Scores			Net Scores							
2/6/10	JR	Project does not deliver savings or service due to adverse reaction by staff to proposals	2	5	15	1	5	5	Communications and marketing plan Regular JCC to keep staff representatives updated.	Review feedback and revise communications and marketing plan or take corrective action	JR	Ongoing	Open
2/6/10	JR	Project does not deliver savings or service due to adverse reaction of providers to proposals	5	5	25	3	5	15	Meetings with providers Procurement processes ensure open competition	Review feedback and revise communications and marketing plan or take corrective action Evaluate tender responses Seek advice from Procurement	JR	Ongoing	Open
2/6/10	JR	Project does not deliver savings or service due to proposals being inappropriate or unworkable.	5	5	25	1	5	5	Business Planning, Gateway processes and governance structure	Ensuring sufficient business skills exist within the team Specific research to develop robust proposals Support from other departments	JR	Ongoing	Open

APPENDIX 4 – RISK REGISTERS FOR PROJECTS WITH MAJOR BUDGETARY IMPLICATIONS.

			Gross Scores			Net Scores							
2/6/10	JR	Project does not deliver savings or service due to policy changes reducing demand.	4	5	20	3	5	15	Cabinet engagement Agreed as part of the strategic change programme COMT approval in place SLT/Transformation Board approval	Assess impact of policy change Monitoring changes Sensitivity testing Flexible planning	JR	Ongoing	Open
2/6/10	JR	Project does not deliver savings or service due to the inability of providers to provide contingency plans.	3	5	15	1	5	5	Procurement processes to include clear specification for planned contingencies	Evaluate tender responses Seek advice from Procurement	JR	Ongoing	Open
2/6/10	JR	Project does not deliver full savings as these have been attributed to other transformation project (double counting)	5	5	25	4	5	20	General support from finance section	Specific research to develop a robust financial model Robust integrated project planning for all related projects within DASS	JR	Ongoing	Open
2/6/10	JR	Project does not deliver savings due to the capacity to deliver the project as well as day-to-day operations.	5	5	25	2	5	10	Project managed by the operational staff delivering the service.	Temporary assistance from Assurance team	JR	Ongoing	Open
BENEFITS REVIEW PROJECT (MJF – Malcolm Flanagan - Head of Service - Benefits Revenues & Customer Services)													
2/6/10	MJF	Failure to realise revenue savings due to the predicted assumption that best practice used elsewhere will apply to Wirral	4	5	20	2	5	10	DWP have experience of successful implementation elsewhere	1. Engage totally with DWP 2. Apply DWP advice and methodology	MJF	1.30/6/10 2.20/12/10.	Open

APPENDIX 4 – RISK REGISTERS FOR PROJECTS WITH MAJOR BUDGETARY IMPLICATIONS.

			Gross Scores			Net Scores							
2/6/10	MJF	Failure to realise revenue savings due to lack of political, corporate, management and staff engagement	4	5	20	2	5	10	Approval of the SCP	1. Suitable communication plan 2. Establish project board 3. Report any issues to DOF	MJF	1.30/6/10 2.30/6/10 3. Ongoing	Open
2/6/10	MJF	Failure to realise service improvement due to the predicted assumption that best practice used elsewhere will apply to Wirral	4	5	20	2	5	10	DWP have experience of successful implementation elsewhere Customer satisfaction intelligence gathering	1. Engage totally with DWP 2. Apply DWP advice and methodology	MJF	1.27/4/10 2.20/12/10	Open
2/6/10	MJF	Failure to realise savings due to unexpected caseload increase (ongoing recessionary impact)	3	5	15	3	5	15	Performance measurement systems Trend analysis				Open
2/6/10	MJF	Cultural and organisational fears and barriers about change	4	5	20	2	5	10	Divisional team briefing process, management meetings, TU briefings	1. Staff awareness workshops and TU consultation 2. Key selection of project team members, include operational staff, consistent and comprehensive communication throughout project.	MJF	1.29/7/10. 2. Ongoing	Open
2/6/10	MJF	Organisation and individuals not able to cope with the demands of the new way of working and the speed of developments	2	5	10	1	5	5	Appropriate organisational skills and resource	Excellence of DWP's proven techniques/processes. Training. Robust testing	MJF	Ongoing	Open

APPENDIX 4 – RISK REGISTERS FOR PROJECTS WITH MAJOR BUDGETARY IMPLICATIONS.

			Gross Scores			Net Scores							
2/6/10	MJF	Ongoing service delivery demands/ requirements may impact on the progress of the project	4	5	10	3	5	15	Project plan is regularly monitored	Discuss resource issues with Project sponsor/ divisional operational managers	MJF	Ongoing	Open
CYPD MANAGEMENT REVIEW (DA = David Armstrong – Head of Branch Planning and Resources, AR – Andrew Roberts - Principal Manager-Finance in Planning and Resources)													
2/6/10	DA	Failure to realise revenue savings due to not establishing the baseline staffing establishment, revenue and grant funding arrangements: Or capture all relevant savings such as car allowances & subsistence	4	5	20	2	5	10	Existing budgetary arrangements	1. Initial validation of the savings set out in the SCP. 2. Validation of the baseline	AR	1. 30/06/10 2. 01/08/10	Open
2/6/10	DA	Failure to realise revenue savings due to not lack of political, corporate, management & staff engagement	4	5	20	2	5	10	Approval of the SCP	1. Suitable communication plan 2. CYPD service managers conduct the branch reviews. 3. SCPB approval of the final implementation plan.	DA	1. 30/06/10 2. 31/08/10 3. 23/11/10	Open
2/6/10	DA	Failure to realise revenue savings due to unsupportive HR policies	4	5	20	2	5	10	Existing HR policies including the 2010 EVR experiences	1. Identification of potential improvements to HR policies as part of the initial project planning.	DA	1. 30/06/10	Open
2/6/10	DA	Failure to realise revenue savings due to lack of dedicated capacity to run the project.	4	5	20	2	5	10	Part of the current workplan	1. Identify potential problems as part of the initial project planning and refer to SCPB.	DA	1. 30/06/10	Open
2/6/10	DA	Failure to evidence revenue savings due to growth of services.	4	5	20	2	5	10	Current financial monitoring arrangements	1. Specific financial modelling, monitoring & reporting.	AR	1. 01/08/10	Open
2/6/10	DA	Failure to realise revenue savings in 2010/11 due to long lead in resulting in 4 month delivery window.	4	5	20	2	5	10	Appropriate project & financial planning	1. Minimise delay in start up 2. Adjust the financial model.	AR	1. 30/06/10 2. 01/08/10	Open

APPENDIX 4 – RISK REGISTERS FOR PROJECTS WITH MAJOR BUDGETARY IMPLICATIONS.

			Gross Scores			Net Scores							
2/6/10	DA	Failure to realise revenue savings due to double-counting elsewhere.	4	5	20	2	5	10	Current financial monitoring arrangements	1. Specific financial modelling, monitoring & reporting.	AR	1. 01/08/10	Open
SAR: Office Review (IB = Ian Brand Head of Asset Management) Note that the risks of Implementing the review's approved findings will be detailed as part of planning that part of this project)													
3/6/10	IB	Project Start delayed awaiting planning and resources	2	3	6				None	<ul style="list-style-type: none"> Develop plan, allocate staff and initiate project 	IB	Done	Closed
3/6/10	IB	Staff and industrial unrest affecting services and project	5	5	25				None	<ul style="list-style-type: none"> Engage TU and HR Develop suitable HR policies Design and use communications that mitigate problems 	IB	As required	Open
3/6/10	IB	Inadequate skills and resources to deliver project	2	5	10				None	<ul style="list-style-type: none"> Employ Project Management techniques and skills. Develop clear plans. Use proven experience and knowledge 	IB	Done	Closed
3/6/10	IB	ICT not delivered on time	3	3	9				None	<ul style="list-style-type: none"> Develop plan, Engage ICT 	IB	Ongoing	Open
3/6/10	IB	Un-coordinated actions by DASS and CYPD	4	5	20				None	Engagement of DASS and CYPD	IB	Ongoing	Open
3/6/10	IB	Budgetary impact not as expected	3	5	15				Budget Monitoring	Revise and report on financial plans in light of changing circumstances	IB	Ongoing	Open
3/6/10	IB	Staff and managers resisting open plan offices and intense occupancy	3	3	9				None	Develop a clear corporate standard supported by COMT and Cabinet	IB	As required	Open