

Employment Support Innovation Fund (ESIF) Risk Register																											18th January 2018			
Negative Risks that offer a threat to ESIF and its Aims (Aim - Reduce Level of Risk)																														
Ref	Risk Description	Key Causes	Key Consequence	Status Open / Closed	Strategic Theme	Risk Category	Risk Owner	Key Mitigations	Direction of travel	Current Risk Level			Monetary Impact of Risk	Risk Tolerance				Actions to be undertaken			Escalation			Portfolio Flag	Audit Trail					
										Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating	Date	(Include dates as appropriate)	Resp. Officer	Escalated to: Escalated by:	Date	Date risk identified	Directorate Flag		Date Risk Closed	Closed by:	Amends / Updates Completed Date:	By:		
					£k								Escalated to: DRR/CRR																Escalated by:	Date
1	Delays in recruiting staff, key staff leaving (permanently or temporarily);	Lack of staff to deliver programme at launch dare	Delays in delivery and consequent missed targets			Service Provision / Programme Management	Paul Gaunt	Utilise and re direct existing Work Zone delivery staff who can provide cover while recruitment continues/takes place		1	3	3			0															
2	Staff shortage	Loss of up to 50% of staff at short notice due to, e.g., transport issues, severe weather or Pandemic flu.	Appointments with clients and other professionals would be missed. Scheduled training may not go ahead.			Service Provision	Paul Gaunt	Staff will have clients' contact details to reschedule appointments for another day.		1	1	1			0															
3	Delays in implementation;	Delays in implementation due to late signing of Grant Agreement or Cabinet sign off	Delays in delivery and consequent missed targets			Service Provision / Programme Management	Paul Gaunt	Put systems and promotional materials in place before delivery starts		2	3	6			0															
4	Too much demand	Too many people whichto sign up to the programme at once	Overstretched staff leading to burnout or poorer quality engagement/job coaching			Service Provision	Paul Gaunt	Close control on marketing enabling us to "turn on tag" when required. Maintain appropriate levels of caseload and keep a waiting list		1	1	1			0															
5	Failure to engage enough participants	Not enough people coming onto the programme	Failure to meet targets leading to lower grant payment for second year			Service Provision	Paul Gaunt	Work with social landlords and Council's Housing and Temporary Accomodation teams to undertake creative outreach measures and marketing push		1	3	3			0															
6	High rate of drop outs before completing programme	Drop out rate is higher than anticipated	Failure to meet targets leading to lower grant payment for second year			Service Provision	Paul Gaunt	Review support measures and increase, intensify or adapt one-to-one support		1	3	3	£125,000		0															
7	Health and safety of users and staff; safeguarding;	Failure to adhere to safeguarding policies	Damaged reputation and possible insurance claim - potentially very high impact if staff accused of failing to protect or safeguard vulnerable adults			Personal safety	Paul Gaunt	Enhanced DBS checks of all staff in contact with vulnerable adults, close supervision, promotion of whistleblowing policy, robust health and safety policy implementation		1	1	1			0															
8	Disagreement between partners;	Fall out between partners or stakeholders	Poor levels of referrals, mismatched participant solutions, lack of employment progression			Service Provision	Paul Gaunt	investment in good quality and frequent communications		1	1	1			0															
9	Lack of support from other organisations	Failure of other support agencies and organisation to collaborate	Places barriers on reaching and working with potential participants with consequent possible failure to reach targets.			Service Provision	Paul Gaunt	investment in good quality and frequent communications		1	1	1			0															
10	Costs being higher than estimated;	Potential programme overspend	Consequent need to renegotiate funding			Financial Loss	Paul Gaunt	Prevent through extremely tight budget controls, contracted, defined outcome procurement and regular review of spend, mitigate by renegotiate funding package		1	1	1			0															
11	Lack of diversity amongst service users	Failure to support groups with protected characteristics	Failure to reflect diversity of the local community			Service Provision	Paul Gaunt	Prevent through creative outreach to minority groups, regular review of equalities data, mitigate by extra effort to reach under-represented groups.		1	3	3			0															
12	Loss of workspace	No notice loss of access to usual workplaces for up to 5 days due to e.g. fire, flood	Appointments with clients may be unable to go ahead.			Service Provision	Paul Gaunt	All appointments take place in various community locations. Staff will have clients' contact details to reschedule appointments for another day or another community venue.		1	1	1			0															
13	Loss of contracted / commissioned service provider	No notice loss of contracted / commissioned service provider due to, e.g., fire, flood, business failure	Clients will not either be engaged onto the programme or will not have their job coaching services provided.			Service Provision	Paul Gaunt	Many alternative providers exist. Regular meetings will be scheduled with the Project Manager to ensure any problems are aired in a timely manner.		1	3	3			0															
14	Loss of IT Services	No notice loss of IT services due to, e.g. systems failures, fire, flood, cyber attack	Loss of access to all data on IT systems. Appointments or resources for job coaching may be unavailable.			Service Provision	Paul Gaunt	Phone numbers will still be available to workers to reschedule appointments.		1	3	3			0															
Positive Risks that offer an opportunity to ESIF and its Aims (Aim - Increase Level of Risk / Opportunity)																														
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15	Over acheivement of targets	By effectively managing provision, there is the possibility of overachieving targets whilst remaining within budget	Increased reputation of the Council, making it more attractive to external fuders to do business with. Furthermore, if any of the other two participating local authorities underperform, BCC will be able to increase it's delivery capacity through the re allocation of grants by the funder.			Service Provision	Paul Gaunt	Effective management of providers and staff		1	3	3			0															
												0			0															