

Decision Risk Assessment [Version 1.0]

Title of Report	WE WORK for Everyone Phase 3: Risk Assessment Template
Report Author	
Date of Completion	
Purpose of this risk assessment	
<p>Risk Management supports good corporate governance which in turn supports effective decision making and improved performance. Applying risk management processes will help strategic decision makers make informed decisions about of policy decisions and service delivery options.</p> <p>Risk is the chance of something happening that will have an impact on achievement of the council's aims or objectives. Risk can be both Positive Opportunities (for example, pursuing a grant or changing a way of working to increase efficiencies) and Negative Threats (such as the risk of financial loss or reputational damage to the council).</p> <p>Risk management is the identification, evaluation, management and review of these opportunities or threats.</p> <p>This risk assessment is intended to:</p> <ul style="list-style-type: none">• Demonstrate that all significant risks related to the decision have been considered.• Provides evidence that the decision maker has been provided with sufficient information about risks in terms of probability and impact• Explain how the risks will be managed.	
Guidance	<p>The assessment requires the report author to record 'significant' risks identified in relation to the decision.</p> <ul style="list-style-type: none">•Section 1 – Threat Risks - Identify and record the threat risks in relation to taking the proposed recommendation(s) (including the risks of implementation), and the risks of not taking the recommended action.•Section 2 – Opportunity Risks - Identify and record the opportunity risks related to taking the proposed recommendation. <p>When identifying risks consider the type of risk – these can be related to finances, reputation, governance, technology, etc</p> <p>In addition, consider the actions and controls that serve to mitigate the risk or increase the opportunity.</p> <p>Please contact riskmanagement@bristol.gov.uk for further support.</p>
Further risk management guidance can be found on the Source	https://bristolcouncil.sharepoint.com/sites/Corporate/SitePages/risk-management.aspx

WE Work for Everyone Phase 3 Programme Risk Register 21052024

Updates automatically

Updates automatically

Threat Risks														
Risk Title	Risk Description	Key Causes	Key Consequences	Status Open / Closed	Risk Category	Key Mitigations	Current Risk Level				Monetary Impact of Risk	Council Risk Appetite for the risk type identified	Does the risk exceed the council's risk appetite?	Financial Risk Exposure
							Likelihood	Impact	Risk Rating	Risk Level	£k			
Delivery Risk	Delays in recruiting staff, key staff leaving (permanently or temporarily);	Lack of staff to deliver programme at launch date	Delays in delivery and consequent missed targets	Open	Programme/Project Management	Utilise and re direct existing staff who can provide cover while recruitment continues/takes place. Consider home working, temporary staff.	1	3	3	Minor		Open	#N/A	£0.00
Delivery Risk	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 participants and service level targets for referrals would be missed. Backlog of participants starting on programme. Delays in checking eligibility compliance	Open	Programme/Project Management	Staff will have participant's contact details to reschedule interviews for another day. Involve other staff in auditing paperwork.	2	1	2	Minor		Open	#N/A	£0.00
Delivery Risk	Delays in implementation;	Delays in implementation due to late signing of Grant Agreement or Committee sign off	Delays in delivery and consequent missed targets	Open	Programme/Project Management	Put systems and promotional materials in place before delivery starts. Have clear timetable with all dates forward planned from inception	1	1	1	Minor		Open	#N/A	£0.00
Delivery Risk	Too much demand	Too many people sign up to the programme at once	Overstretched staff leading to burnout or poorer quality employment support and project delivery	Open	Programme/Project Management	Close control on marketing enabling us to "turn on tap" when required. Maintain appropriate levels of caseload and keep a minimal waiting list	2	3	6	Medium		Open	#N/A	£0.00
Delivery Risk	Failure to engage enough participants	Not enough people coming onto the programme	Failure to meet targets leading to reduced income from WECA	Open	Programme/Project Management	Review marketing and comms plan. Review referral processes and work with agencies to identify potential participants.	2	3	6	Medium		Open	#N/A	£0.00
Delivery Risk	High rate of drop outs before completing programme	Drop out rate is higher than anticipated	Failure to meet target outcomes and results, leading to reduced income from ESIF	Open	Programme/Project Management	Review support measures and increase, intensify or adapt one-to-one support. Ensure the Employment Navigators get feedback and evaluative information from exit interviews	1	1	1	Minor		Open	#N/A	£0.00
Delivery Risk	Health and safety and safeguarding risks for users and staff;	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	Open	Programme/Project Management	Enhanced DBS checks of all staff in contact with vulnerable adults, close supervision, promotion of whistleblowing policy, robust health and safety and Safeguarding policies implementation	1	1	1	Minor		Open	#N/A	£0.00
Delivery Risk	Lack of co-ordination across supply chain partners	Unclear expectations regarding collaboration and joint working to reach and support target clients	Poor levels of referrals, competitive recruitment processes, mismatched participant solutions, lack of employment progression	Open	Programme/Project Management	Investment in good quality and frequent communications. Ensure good representation of delivery providers at delivery partner meetings.	1	1	1	Minor		Open	#N/A	£0.00

Delivery Risk	Lack of support from key strategic delivery organisations and partners	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.	Open	Programme/Project Management	Investment in good quality and frequent communications. Regular briefings held and	2	1	2	Minor		Open	#N/A	£0.00
Delivery Risk	Not meeting recruitment targets of participants	Failure to meet contracted recruitment targets for older people, BME and females	Reduced income from WECA	Open	Programme/Project Management	Regularly review participant recruitment and put in place Action Plans to address any under-recruitment of target groups.	2	3	6	Medium		Open	#N/A	£0.00
Delivery Risk	Loss of workspace for programme staff	No notice loss of access to usual workplaces for up to 5 days due to e.g. fire, flood	Appointments with participants may be unable to go ahead.	Open	Programme/Project Management	All appointments to take place in various locations. Staff will have participants' contact details to reschedule appointments for another day or move to another venue.	1	1	1	Minor		Open	#N/A	£0.00
Delivery Risk	Loss of delivery partner(s)	Contract breaches, failure of delivery partner to achieve contracted targets, failure of partner to properly deliver their contract	Participants will not either be engaged onto the programme or will not have full access to the programme.	Open	Programme/Project Management	Many alternative providers exist. Regular meetings will be scheduled with the Project Manager and Project Officer to ensure any problems are aired in a timely manner. Go out to tender.	1	1	1	Minor		Open	#N/A	£0.00
Delivery Risk	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. Issues with scheduling appointments, resources for project team, submitting timely data	Open	Programme/Project Management	Phone numbers from paperwork will still be available to workers to reschedule appointments. Ensure that all IT is backed up regularly. Provide a secure online portal for delivery partners and project team to store documentation.	1	1	1	Minor		Open	#N/A	£0.00
Delivery Risk	Service users unable to achieve paid employment	Participants will not be able to progress into paid employment	A lack of paid job opportunities, inadequate support in role, lack of parental support, transport issues	Open	Programme/Project Management	Actively research and engage with employers through channels including Disability Confident, Unions, Chambers of Commerce and employer networks.	2	3	6	Medium		Open	#N/A	£0.00
Financial Risk	Costs being higher than estimated;	Potential programme overspend	Consequent need to review budget lines and move money across budget lines.	Open	Financial Loss/Gain	Work closely with WECA and partner Local Authorities to reprofile. Move money from underspent budget lines to overspent ones. Identify and bid for other sources of funding. Consider potential early closure or redundancies	1	3	3	Minor	£100,000	Cautious	#N/A	£10,000.00
Financial Risk	Costs being lower than estimated	Potential programme underspend	Consequent need to review budget lines and move money across budget lines.	Open	Financial Loss/Gain	Commission additional activities to add value to the programme Seek permission from WECA to extend the programme	2	1	2	Minor		Cautious	#N/A	£0.00
Financial Risk	Poor management of match funding arrangements	Potential to exhaust one funding pot before others are maximised leading to matched funding issues	Consequent need to establish clear budget and projected timetable of spend against each funding stream. Need to review budget lines and move money across budget lines. Potential early closure due to lack of money.	Open	Financial Loss/Gain	Ensure that all programme management staff are familiar with the granular budget of the programme and maintain a managerial insight into whether the funding is being drawn and claimed from the correct pots within quarterly returns	1	1	1	Minor	£100,000	Cautious	#N/A	£10,000.00

Financial Risk	Audit of claims highlights ineligible expenditure	Risk of claims being delayed or programme expenditure not being financed through the funder	Clear written agreement of eligible expenditure against funding streams. Consequent need to review budget lines and move money across budget lines. Potential early closure due to lack of money.	Open	Financial Loss/Gain	Ensure that all programme comply with programme funding eligibility requirements and do not commit project funds to ineligible areas	1	3	3	Minor	£200,000	Cautious	#N/A	£20,000.00
Financial Risk	Delays in submitting financial claims	Risk of claims being delayed resulting in potential in financial year losses	Consequent need to review budget lines and move money across budget lines and financial years	Open	Financial Loss/Gain	Ensure that claims are prepared according to a timetable and that appointments with S151 Officer are pre booked for the entire life of the project from Inception stage	2	1	2	Minor	£100,000	Cautious	#N/A	£30,000.00

Opportunity Risks											Updates Automatically	Updates Automatically
Opportunity Risk Title	Risk Risk Description	Key Causes	Key Consequence	Status Open / Closed	Risk Category	Key Mitigations	Current Risk Level				Monetary Impact of Risk	Financial Opportunity Exposure
							Likelihood	Impact	Risk Rating	Risk Level	£k	
Programme Delivery	Over achievement 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 strategic partners and external funders. Furthermore, if any of the two partner local authorities underperform, BCC will be able to increase it's delivery capacity through the re allocation of grants by the funder.	Open	Programme/Project Management	Effective management of programme delivery staff and supply chain to ensure that they are performing to or above profile Incentivise supply chain through introducing Payment By Results, weighted more heavily on the into work success rate than enrollments	2	1	2	Minor		£0.00
Programme Delivery	Increase in number of people with learning difficulties in paid employment (ASCOP figures)	By getting 80 people with LD into paid employment in Bristol we shall see a 4% rise in this ASCOF indicator	Increased reputation, greater joined up work with Adult Social care Teams. Better national rankings	Open	Programme/Project Management	Ensure that all clients on programme that are known to Adult Social Care have their records updated on the LARS system	2	3	6	Medium		£0.00
Financial	Adult Social Care budget savings due to people with LD that are known to ASC Teams securing paid employment	By getting 80 people into paid employment that are known to Adult Social Care	Reduction in ASC Day care and other support budgets	Open	Financial Loss/Gain	Ensure that all clients on programme that are known to Adult Social Care have their records updated on the LARS system	2	3	6	Medium		£0.00
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£0.00

Threat Risks	
Number of Open Risks	19
CRITICAL	0
HIGH	0
MEDIUM	2
LOW	0
Cost Risk Exposure	£0.00
Number of risks exceeding risk appetite	0
Number of risks within risk appetite	0

Opportunity Risks	
Number of Open Risks	3
SIGNIFICANT	0
HIGH	0
MEDIUM	2
LOW	0
Cost Opportunity Exposure	£0.00

LIKELIHOOD AND IMPACT RISK RATING SCORING CRITERIA

Likelihood Guidance

Likelihood	Likelihood Ratings 1 to 4			
	1	2	3	4
Description	Might happen on rare occasions.	Will possibly happen, possibly on several occasions.	Will probably happen, possibly at regular intervals.	Likely to happen, possibly frequently.
Numerical Likelihood	Less than 10%	Less than 50%	50% or more	75% or more

Severity of Impact Guidance (Risk to be assessed against all of the Categories, and the highest score used in the matrix).

Impact Category	Impact Levels 1 to 7			
	1	3	5	7
Service provision	Very limited effect (positive or negative) on service provision. Impact can be managed within normal working arrangements.	Noticeable and significant effect (positive or negative) on service provision. Effect may require some additional resource, but manageable in a reasonable time frame.	Severe effect on service provision or a Corporate Strategic Plan priority area. Effect may require considerable /additional resource but will not require a major strategy change.	Extremely severe service disruption. Significant customer opposition. Legal action. Effect could not be managed within a reasonable time frame or by a short-term allocation of resources and may require major strategy changes. The Council risks 'special measures'. Officer / Member forced to resign.
Communities	Minimal impact on community.	Noticeable (positive or negative) impact on the community or a more manageable impact on a smaller number of vulnerable groups / individuals which is not likely to last more than six months.	A more severe but manageable impact (positive or negative) on a significant number of vulnerable groups / individuals which is not likely to last more than twelve months.	A lasting and noticeable impact on a significant number of vulnerable groups / individuals.
Environmental	No effect (positive or negative) on the natural and built environment.	Short term effect (positive or negative) on the natural and or built environment.	Serious local discharge of pollutant or source of community annoyance that requires remedial action.	Lasting effect on the natural and or built environment.
Financial Loss / Gain	Under £0.5m	Between £0.5m - £3m	Between £3m - £5m	More than £5m
Fraud & Corruption Loss	Under £50k	Between £50k - £100k	Between £100k - £1m	More than £1m
Legal	No significant legal implications or action is anticipated.	Tribunal / BCC legal team involvement required (potential for claim).	Criminal prosecution anticipated and / or civil litigation.	Criminal prosecution anticipated and or civil litigation (> 1 person).
Personal Safety	Minor injury to citizens or colleagues.	Significant injury or ill health of citizens or colleagues causing short-term disability / absence from work.	Major injury or ill health of citizens or colleagues may result in. long term disability / absence from work.	Death of citizen(s) or colleague(s). Significant long-term disability / absence from work.
Programme / Project Management <i>(Including developing commercial enterprises)</i>	Minor delays and/or budget overspend but can be brought back on schedule with this project stage. No threat to delivery of the project on time and to budget and no threat to identified benefits / outcomes.	Slippage causes significant delay to delivery of key project milestones, and/or budget overspends. No threat to overall delivery of the project and the identified benefits / outcomes.	Slippage causes significant delay to delivery of key project milestones; and/or major budget overspends. Major threat to delivery of the project on time and to budget, and achievement of one or more benefits / outcomes.	Significant issues threaten delivery of the entire project. Could lead to project being cancelled or put on hold.

<p>Reputation</p>	<p>Minimal and transient loss of public or partner trust. Contained within the individual service.</p>	<p>Significant public or partner interest although limited potential for enhancement of, or damage to, reputation.</p> <p>Dissatisfaction reported through council complaints procedure but contained within the council.</p> <p>Local MP involvement.</p> <p>Some local media/social media interest.</p>	<p>Serious potential for enhancement of, or damage to, reputation and the willingness of other parties to collaborate or do business with the council.</p> <p>Dissatisfaction regularly reported through council complaints procedure.</p> <p>Higher levels of local or national interest.</p> <p>Higher levels of local media / social media interest.</p>	<p>Highly significant potential for enhancement of, or damage to, reputation and the willingness of other parties to collaborate or do business with the council.</p> <p>Intense local, national and potentially international media attention.</p> <p>Viral social media or online pick-up.</p> <p>Public enquiry or poor external assessor report.</p>
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