

Partnership Commissioning and Delivery Group

Risk Champion: Annette Vacquier; Final Risk Rating is at or greater than Low Green 1, Final Risk Rating is at or less than High Red 9

Risk	Risk Description	Risk Rating	Existing Control Measure	Description	Final Risk Rating	Further Action Required	Description	Action Plan Owner	Target Date
<i>Items in Group: 16</i>									
Partnership Commissioning and Delivery Group [Risk Champion: Vacquier, Annette] [Risk Champion: Vacquier, Annette]									
Apathy of Providers	Providers in the marketplace fail to engage on receipt of the prospectus	9	Publicised Prospectus	The prospectus shows the intent of collaborative partners to commission services and be bound through the accountable body	5				
			Publicity	Partnership Commissioning and Delivery Group have publicised and launched the prospectus in the local media, and nationally.					
Business Failure	Successful Service Provider business fails.	6	Ongoing Contract Management to be implemented.	On award of contract officers will meet with the successful service providers agreeing KPIs that will be reported on a quarterly basis and agree a time table for ongoing contract management reviews.	6	Ongoing Contract Management and performance reporting.	On award of contract officers will meet with the successful provider to agree KPIs and a formal timetable for contract management reviews.	Cleary, Beverley (Business Improvement Officer (Performance & Procurement))	31/03/2015
			Prospectus outlines	The prospectus identifies the budget limit for requested service deliveries and available budgets for other areas of provision					
			Standard application process	Application form in a standard format with clear instructions					
Challenge Contract Award	Potential for challenge against the contract award by unsuccessful service providers.	9	Standard evaluation and subsequent moderation processes used.	Commissioning prospectus identifies the evaluation criteria officers will use to assess and award contracts. Submissions will be assessed by a panel of officers experienced in assessing such proposals. Moderation process will also be used following panel evaluation.	5	Monitor contract award process.	Administrative support in place to support the evaluation and moderation process. This support should also be utilised to monitor any challenges and the reasons for such utilising this information to reduce/minimise the chances of future challenges as part of the ongoing commissioning process.	Cleary, Beverley (Business Improvement Officer (Performance & Procurement))	31/03/2015
			Disputes & Complaints procedure in place.	An overview of the disputes & complaints procedure has been included as part of the commissioning prospectus.					
			Standard application process	Application form in a standard format with clear instructions					
			Prospectus outlines	The prospectus identifies the budget limit for requested service deliveries and available budgets for other areas of provision					

Risk	Risk Description	Risk Rating	Existing Control Measure	Description	Final Risk Rating	Further Action Required	Description	Action Plan Owner	Target Date
Conflict of Interest	Conflicts of interest may exist from members of the Newcastle Partnership and Officers of the Borough Council when bidding to deliver commissioned service contracts.	5	Standard application process	Application form in a standard format with clear instructions	2	Minimise the potential for conflicts of interest.	Officers to ensure as part of the evaluation process that any conflicts of interest are raised by evaluation team members and where this occurs take appropriate measure to minimise / eliminate such by substituting officers to offer an unbiased approach to evaluation. Each member of the relevant evaluation panel will be requested to complete and sign a conflict of interest statement prior to commencing evaluation.	Cleary, Beverley (Business Improvement Officer (Performance & Procurement))	20/03/2015
			Prospectus outlines	The prospectus identifies the budget limit for requested service deliveries and available budgets for other areas of provision					
Failure to Inform Members	Cabinet and relevant Scrutiny Members are not informed of the outcome of either the commissioning process or ongoing contract management and service outcomes.	5	Formal Constitution	Provides a formal framework for the group to work collectively in partnership	5	EMT & Cabinet Report	Report to both EMT & Cabinet following the successful conclusion of each commissioning process.	Bailey, Mark (Head of Business Improvement, Central Services & Partnerships)	31/03/2015
			Website	Dedicated web pages that shows who to contact with questions and details of how to engage		Report to appropriate scrutiny committee (FRAPS - Finance, Resources & Partnerships Scrutiny Committee)	Officers report to Finance, Resources & Partnerships Scrutiny Committee on the successful conclusion of the commissioning process, identifying the services commissioned and the service providers the contracts were awarded to.	Bailey, Mark (Head of Business Improvement, Central Services & Partnerships)	31/03/2015
			Publicity	Partnership Commissioning and Delivery Group have publicised and launched the prospectus in the local media, and nationally.					
Formal Contracts	Contract template is unacceptable or not proportional to the value / risk of the service being commissioned.	5	Tentative agreements for funding	The collaborative partners have tentatively agreed to provide funding for the commissioned services. Officers have mapped the allocated funding that supports the current published commissioning prospectus.	2	Review of Formal Contract Template	Assess if contract may be modified to support proportionality.	Cleary, Beverley (Business Improvement Officer (Performance & Procurement)) Johnston, Jackie (Secretary/Admin Assistant) Sowerby, Simon (Business Improvement Manager) Washington, Paul (Principal Solicitor)	30/06/2015
			Standard contract template	This template has been made available at the commencement of the process					
			Standard application process	Application form in a standard format with clear instructions					
			Publicised Prospectus	The prospectus shows the intent of collaborative partners to commission services and be bound through the accountable body					
			Prospectus outlines	The prospectus identifies the budget limit for requested service deliveries and available budgets for other areas of provision					
			Formal Constitution	Provides a formal framework for the group to work collectively in partnership					

Risk	Risk Description	Risk Rating	Existing Control Measure	Description	Final Risk Rating	Further Action Required	Description	Action Plan Owner	Target Date
Formal contracts not being signed	The formal contracts awarded are not signed prior to the commencement of the commissioned service by the successful party	9	Standard contract template	This template has been made available at the commencement of the process	6	Planned contract meetings	On formal award on the contract each provider will given a timetable for attendance at contact and performance meeting where the KPI's and future milestones will be identified and agreed for inclusion in the contract	Cleary, Beverley (Business Improvement Officer (Performance & Procurement))	31/03/2015
Insufficient interest from local funding partners	Of the local partners who are signed up to the Newcastle Partnership Commissioning and Delivery Group, only a few partners have currently engaged with the Commissioning and provided funding.	9	Formal Constitution	Provides a formal framework for the group to work collectively in partnership	6	Review of Roles & Responsibilities	Once Roles & Responsibilities are drafted in conjunction with Staffordshire County Council, legal to review and comment.	Washington, Paul (Principal Solicitor)	27/03/2015
Insurance of Partnership	The Newcastle Partnership Commissioning & Delivery Group as a body does not hold public liability insurance.	2	Roles & Responsibilities	Roles and Responsibilities (with the support of Staffordshire County Council) to be drafted, agreed and signed by collaborating partners enabling the Borough Council to be the accountable body. It is then envisaged that the Borough Council's insurance will then apply.	1	Roles & Responsibilities	Review and ensure that the Roles & Responsibilities clearly states the implications on Public Liability Insurance and the Accountable Bodies commitments to such.	Bailey, Mark (Head of Business Improvement, Central Services & Partnerships) Vacquier, Annette (Business Improvement Officer (Risk & Insurance))	31/03/2015
			NULBC Public Liability Insurances	The Borough Council of Newcastle-under-Lyme has appropriate levels of PL insurance in place.		Public Liability Insurance	Review with current insurers that the current schedules of insurance appropriately covers the undertakings of the Newcastle Partnership Commissioning & Delivery Group.	Vacquier, Annette (Business Improvement Officer (Risk & Insurance))	31/03/2015
			Standard contract template	This template has been made available at the commencement of the process					
			Formal Constitution	Provides a formal framework for the group to work collectively in partnership					
No formal approach to contract management agreed	No formal approach to contract management agreed by the collaborating partners following award of contracts.	6	Council account support	The council's accountants have identified service requirements and relevant financial codes for each project	2	Agree a formal approach to contract management.	On award of contract meet with the successful providers and establish and agree KPI's and contract management time table for review meetings.	Cleary, Beverley (Business Improvement Officer (Performance & Procurement))	31/03/2015
			Formal Constitution	Provides a formal framework for the group to work collectively in partnership					
			Prospectus outlines	The prospectus identifies the budget limit for requested service deliveries and available budgets for other areas of provision					
			Standard contract template	This template has been made available at the commencement of the process					

Risk	Risk Description	Risk Rating	Existing Control Measure	Description	Final Risk Rating	Further Action Required	Description	Action Plan Owner	Target Date
Non-agreement of Roles & Responsibilities	There is a possibility that interested collaborative partners find the content of the roles & responsibilities unacceptable and fail to comply	6	Formal Constitution	Provides a formal framework for the group to work collectively in partnership	5	Review of Roles & Responsibilities	Once Roles & Responsibilities are drafted in conjunction with Staffordshire County Council, legal to review and comment.	Washington, Paul (Principal Solicitor)	27/03/2015
			Publicised Prospectus	The prospectus shows the intent of collaborative partners to commission services and be bound through the accountable body					
Quality of Submissions	Submissions received are poor and or unacceptable	9	Standard application process	Application form in a standard format with clear instructions	6				
			Publicised Prospectus	The prospectus shows the intent of collaborative partners to commission services and be bound through the accountable body					
			Website	Dedicated web pages that shows who to contact with questions and details of how to engage					
Submissions exceed proposed service budget	Risk that applicants costings exceed the identified budget available for each service	6	Prospectus outlines	The prospectus identifies the budget limit for requested service deliveries and available budgets for other areas of provision	2				
			Website	Dedicated web pages that shows who to contact with questions and details of how to engage					
Transfer of Partner Funds and rejection of Newcastle Borough Council as the accountable body	Failure to of collaborative partners to transfer agreed funds to the accountable body in a timely manner.	6	Formal Constitution	Provides a formal framework for the group to work collectively in partnership	5	Review of Roles & Responsibilities	Once Roles & Responsibilities are drafted in conjunction with Staffordshire County Council, legal to review and comment.	Washington, Paul (Principal Solicitor)	27/03/2015
			Tentative agreements for funding	The collaborative partners have tentatively agreed to provide funding for the commissioned services. Officers have mapped the allocated funding that supports the current published commissioning prospectus.					
			Council account support	The council's accountants have identified service requirements and relevant financial codes for each project					
			Publicity	Partnership Commissioning and Delivery Group have publicised and launched the prospectus in the local media, and nationally.					

Risk	Risk Description	Risk Rating	Existing Control Measure	Description	Final Risk Rating	Further Action Required	Comment	Action Plan Owner	Target Date
TUPE Implications	Transfer of Undertakings (Protection of Employment) may apply to certain services being commissioned. Whilst the onus is on potential service providers to review such implications, prior to submitting applications to deliver services, the collaborating partners need to be aware that such issues have been compliantly addressed	5	Formal Constitution	Provides a formal framework for the group to work collectively in partnership	2	TUPE - Transfer of Undertakings (Protection of Employment)	Review applications from prospective service providers to ensure that they have reviewed and addressed TUPE implications.	Cleary, Beverley (Business Improvement Officer (Performance & Procurement)) Moore, Sarah (Partnerships Manager) Sowerby, Simon (Business Improvement Manager)	31/03/2015
			Prospectus outlines	The prospectus identifies the budget limit for requested service deliveries and available budgets for other areas of provision		Strategic Support - TUPE	Staffordshire County Council to support officers in any review of TUPE as part of the Roles & Responsibilities which are in the process of being drafted, legal to review and comment on completion.	Bailey, Mark (Head of Business Improvement, Central Services & Partnerships) Johnston, Jackie (Secretary/Admin Assistant) Moore, Sarah (Partnerships Manager) Sowerby, Simon (Business Improvement Manager) Washington, Paul (Principal Solicitor)	31/03/2015
			Standard application process	Application form in a standard format with clear instructions					
			Standard contract template	This template has been made available at the commencement of the process					
Withdrawal of funding	One or more of the collaborating partners is unable to sustain or withdraws supportive funding.	5	Tentative agreements for funding	The collaborative partners have tentatively agreed to provide funding for the commissioned services. Officers have mapped the allocated funding that supports the current published commissioning prospectus.	5	Newcastle Partnership Delivery and Commissioning Group	Newcastle Partnership Delivery and Commissioning Group meets regularly, ongoing performance monitoring (by exception) is likely to form part of the agenda. This will allow any issues of funding sustainability to be raised.	Bailey, Mark (Head of Business Improvement, Central Services & Partnerships) Moore, Sarah (Partnerships Manager) Sowerby, Simon (Business Improvement Manager)	30/06/2015
			Standard contract template	This template has been made available at the commencement of the process					
			Formal Constitution	Provides a formal framework for the group to work collectively in partnership					
			Council account support	The council's accountants have identified service requirements and relevant financial codes for each project					