

City of London: Projects Procedure Corporate Risks Register

Project Name:			Social Care Case Management System				PM's overall risk rating:		CRP requested this gateway				Average unmitigated risk		0.0				Open Risks		0										
Unique project identifier:			TBA				Total estimated cost (exc risk):		£ -		Total CRP used to date		£ -		Average mitigated risk score		0.0				Closed Risks		6								
General risk classification																						Ownership & Action									
Risk ID	Gateway	Category	Description of the Risk	Risk Impact Description	Likelihood Classification pre-mitigation	Impact Classification pre-mitigation	Risk score	Costed Impact pre-mitigation (£)	Costed Risk Provision requested Y/N	Confidence in the estimation	Mitigating actions	Mitigation cost (£)	Likelihood Classification post-mitigation	Impact Classification post-mitigation	Costed Impact post-mitigation (£)	Post-Mitigation risk score	CRP used to date	Use of CRP	Date raised	Named Departmental Risk Manager/ Coordinator	Risk owner (Named Officer or External Party)	Date Closed OR Realised & moved to Issues	Comment(s)								
R1	2	(4) Safeguarding	The system does not support the social work best practice, City of London workflows and is not compliant with statutory requirements or regulatory compliance (for Ofsted and Care Quality Commission) nor IT requirements	The City of London could not fulfil its statutory obligations leading to safeguarding risks for children and adults within the City of London and those receiving social care support from the City of London. This would also be a reputation risk for the City as regulatory bodies (e.g. Ofsted) would downgrade the City of London's rating	Unlikely	Extreme	16	£0.00	N	A – Very Confident	Steering group consisting of representatives from DCCS Social work teams, IT, Comptroller and City Solicitor who are involved in developing the specification . Specifications and good practice from other boroughs will be used to inform the specification and will include flexibility to meet future identified requirements. Use of framework ensures the system can meet requirements	£0.00	Rare	Major	£0.00	4	£0.00		12/03/2021	Sarah Greenwood		05/01/2022									
R2	2	(4) Contractual/Partnership	Limited/no market for the project and no bids are received for the invitation to tender.	no system available for use at the end of the current contract, leading to a reputation and safeguarding risks (see R1 above)	Unlikely	Extreme	16	£0.00	N	A – Very Confident	Pre tender market engagement to scope the likely interest in the tender. Current provider is one of the market leaders in a small national market . Explore use of framework to ensure a suitable pool of potential bidders. Use of framework has confirmed two potential providers with costings	£0.00	Rare	Extreme	£0.00	8	£0.00		12/03/2021	Sarah Greenwood		05/01/2022									
R3	2	(8) Technology	Data not migrated to potential new system in time or accurately	Data within the system is not accurate, which could lead to a safeguarding risk (see R1) or migration of data is not completed before the end of the current contract, leading to a potential gap in service. The mobilisation period would not be required should the current provider be the winning bidder for the new contract.	Unlikely	Serious	4	£0.00		B – Fairly Confident	6 months mobilisation factored into project timetable and project management costs factored into budget estimation. A dedicated systems support manager is employed by DCCS who would support the data migration process. Following the procurement report, the current provider is the recommended supplier.	£0.00	Rare	Serious	£0.00	2	£0.00		12/03/2021	Sarah Greenwood		05/01/2022									
R4	2	(8) Technology	system is not sufficiently flexible to meet future needs (e.g. statutory, City of London) within the lifetime of the contract	the system becomes obsolete and does not allow for mobile working or future changes to statutory or recognised good practice social work	Likely	Major	16	£0.00	N	B – Fairly Confident	requirement for provider/system to meet statutory requirements during the lifetime of the contract is built into the specification through IT involvement. Contract will be performance managed to ensure that roadmap and upgrades include statutory changes and that user groups are a feature of the contract	£0.00	Rare	Serious	£0.00	2	£0.00		12/03/2021	Sarah Greenwood		05/01/2022									
R5	2	(2) Financial	insufficient funding a) The contract is won by a new supplier requiring capital funding at the start of the contract for system purchases, system setup and data cleansing/mobilisation or b) insufficient revenue funding due to increase in contract costs	potential for the contract to not be awarded if sufficient funds cannot be allocated. This could lead to safeguarding and reputational concerns (see R1). Capital funding would only be required should the current provider not be the new provider	Unlikely	Major	8	£0.00	N	A – Very Confident	risk raised to DCCS DLT for information and included within Gateway risk register. A capital bid will be submitted prior to the tender process. No commitment to enter into a contract will be made until the outcome of the capital bids. Following the procurement process, the budget is confirmed and available.	£0.00	Rare	Major	£0.00	4	£0.00		12/03/2021	Chris Peiham		05/01/2022									
R6	3	(4) Contractual/Partnership	Supplier does not meet the City's financial requirements for the contract	contractor does not have sufficient financial capability to assure city of their capability to deliver on the contract	Possible	Major	12	£0.00	N	A – Very Confident	Comptrollers and Chamberlain assessment of risk and assurances can be requested	£0.00	Possible	Serious	£0.00	6	£0.00		05/10/2021	Chris Peiham		05/10/2021									
R7								£0.00				£0.00				£0.00	£0.00														
R8								£0.00				£0.00				£0.00	£0.00														
R9								£0.00				£0.00				£0.00	£0.00														
R10								£0.00				£0.00				£0.00	£0.00														
R11								£0.00				£0.00				£0.00	£0.00														
R12								£0.00				£0.00				£0.00	£0.00														
R13								£0.00				£0.00				£0.00	£0.00														
R14								£0.00				£0.00				£0.00	£0.00														
R15								£0.00				£0.00				£0.00	£0.00														
R16								£0.00				£0.00				£0.00	£0.00														
R17								£0.00				£0.00				£0.00	£0.00														
R18								£0.00				£0.00				£0.00	£0.00														
R19								£0.00				£0.00				£0.00	£0.00														
R20								£0.00				£0.00				£0.00	£0.00														
R21								£0.00				£0.00				£0.00	£0.00														
R22								£0.00				£0.00				£0.00	£0.00														
R23								£0.00				£0.00				£0.00	£0.00														
R24								£0.00				£0.00				£0.00	£0.00														

[illegible]