

## WY-FI Risk Register

completed 20th December 2017

Area of Risk and Impact		QUALITATIVE RATING					MITIGATION	RISK OWNER	REVIEW DATE	REVIEW COMMENTS AND ACTIONS
REF	RISK	IMPACT	PROBABILITY	IMPACT	RISK SCORE	RISK RATING				
1	Delivery Partners unable to meet their performance targets	Unable to achieve the outcomes and targets agreed with the Big Lottery Fund. Reputational risk.	3	3	6		Regular monitoring of partners through quarterly performance reviews.	Project Manager	Mar-18	Quarterly performance reviews scheduled until end of 2018. No action plans in place to address performance. Outcome 2 action plan remains in place for feedback to CPMB in January 2018. Peer Mentor training starts in line with target.
2	Information governance - Data is not collected and stored securely	Investigation by Information Commissioner. Reputational risk	3	3	6		Quality checks in place. Information Sharing Protocol in place. Partner's have policies and procedures in place and these have been assessed. Annual reviews in place.	DISC and WY-FI Data and Quality Analyst	Mar-18	All MIS users complete DISC IG-e-learning and access is agreed after sign off by their Ops manger and WY-FI Data and Quality Analyst. DISC's GDPR working group is now operational with WY-FI Data and Quality Analyst being an active member.
3	Data is not collected in a timely manner	MIS does not provide real time analysis. Frontline staff do not have the latest information about beneficiaries.	2	1	3		The MIS refresh has built in reminders for crucial data collation points. Monthly returns and quarterly reviews identify if data is up to date. As of December 2017, Navigator Team Administrators are self-auditing their MIS dataset in addition to audits by the Data and Quality Analyst.	DISC MIS Support and WY-FI Data and Quality Analyst	Mar-18	Data quality continues to improve and is continuously monitored.
4	Project does not effectively record the progress of Experts and Peer Mentors who are not direct beneficiaries	Information not shared across the partnership. Risk management of individuals.	1	1	2		Development of a system to track indirect beneficiaries.	Project Manager	Mar-18	Completed information about Peer Mentors can be shared with Partners. Reviewed Aug 17. New recording in place and positive impact reported from operational teams.
5	Procedures for management of partners aren't documented, or documented consistently - including performance management arrangements, process for storing key documents e.g. contracts	Potential for confusion around expectations to impact on ability to hold partners accountable in delivering a standardised service offer across West Yorkshire.	1	3	4		Partnership agreements in place. Quarterly performance reviews. Bi-monthly OMG meetings.	Project Manager	Mar-18	Partnership agreements signed off. Standard reporting formats for all meetings, Quarterly Qualitative reporting by partners
6	Delivery partners do not return financial information inline with reporting timeframes	Potential for financial risks to go un-identified - Cashflow / budget implications, can have significant implications for smaller partners as clawback could cause serious financial hardship.	2	3	5		Quarterly reporting deadlines are circulated in advance and opportunities to have face to face meetings. Budgets realigned annually. Financial audits with partner's by the end of May of each year	DISC Finance/ Project Manager	May-18	Financial Audit completed with all Delivery Partners in Yr3 Q4. Any actions to be followed up in Yr4 Q1. Audit reports sent to all partners with any outstanding actions noted. Q2 Finance return sent to BLF on 20/12
7	Staff retention across the delivery model, staff do not understand the complexity of the individuals the project supports or the complexity of the project	Turnover of staff in the Navigator teams reduces the capacity of frontline work. Loss of staff in specialist teams/ Hub means reduction in key outputs. Project morale decreases.	2	4	6		Clear statement in the recruitment process outlining complexity of beneficiary group. Roles clearly defined. Robust questioning and discussion at interview about the roles. 6 weekly PDGs, Full team meetings x3 per year.	Workforce Development Co-ordinator, Operational Managers, Lead Navigators	Feb-18	When key staff leave delivery partners submit proposals to DISC to be agreed in order to maintain delivery of all elements of service/locality support etc. Risk to be reviewed, revised and actions agreed in 02/18 (SN and LV)

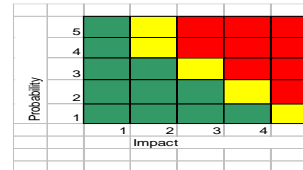
8	Due to the success of the Navigator model we are drawn into supporting high risk beneficiaries e.g. MAPPA level 3	Staff working with a higher level of risk. Taking on beneficiaries who may not be appropriate for the programme but who are referred because Navigators can 'find them'.	2	4	6		Regular support and supervision in place. Robust lone working procedures implemented. Clear remit of the role of Navigators communicated to referring organisations. Information sharing and shared risk assessments with CJS services re: referrals. At risk workers have GPS tracker systems.	Lead Navigators/ MARBs/ CPMB	Mar-18	Training on managing working with complex trauma available and Training for Managers who manage staff working with complex trauma delivered in July. Introduction to PIE (Psychologically Informed Environments) piloted in 11/2017 and future dates arranged for January and March 2018. Regular attendance at PDGs continues to be encouraged.
9	Impact of caseload on Navigator's contracted hours	Ad-hoc out of hours working responding to beneficiary recorded on MIS casenotes. The intensity and volume of work means that Navigators may be working in excess of contracted hours. TOIL agreements in place.	3	3	6		Navigator Teams capacity increased through increased pool of Peer Mentors. Trainees also in post.	Operational Managers/Lead Navigators/ Hub/	Mar-18	Caseload monitoring report completed for October and December OMG and to continue quarterly in line with BLF reporting
10	Beneficiaries become dependent on Navigators	Beneficiaries do not move on in their journey to independence. Reduces team capacity to take on new beneficiaries	3	3	6		Navigator teams continue to identify any training needs and are managed by Lead Navigator (supervision and PDGs) to enable them to transition their professional relationship from high support to independence.	Lead Navigators/ OMG/ Workforce Development Co-ordinator	Mar-18	Independence & access to ETE opportunities/meaningful activities encouraged. MIS records 'in parking bay'. Monthly case load levels monitored monthly for quarterly reporting. PDGs continue to address this. A navigator competency framework piece of work is being developed across all FL programmes.
11	Services become dependent on Navigator Teams	Services do not offer the flex needed. Expectation that Navigators provide an outreach service to support Beneficiaries.	3	3	6		Reflect learning back into the services multi-agency practice development groups. Build Services capacity to work with individuals with multiple and complex needs. MARBs and Locality system change plans enable shared learning and developing service flex locally.	Operations Managers/ Lead Navigators/ Pol icy and Network Officer/ Workforce Development co-ordinator	Mar-18	Use CRESR review of MARB effectiveness report. Beneficiary progress reviews at MARBs, MDT meetings, shared learning opportunities and reporting to Hub and WY-SCAN of Locality challenges. Local system change plans monitored, reviewed and actioned -locality Group led. Navigator teams identifying local priorities and commitments for system change, and reporting back at WY-FI wide meetings quarterly.
12	Core Partnership Management Board fails to sustain positive relationships within the Partnership	Governance and leadership of the project is fragmented and delivery becomes affected	1	3	4		Clear processes and procedures, excellent communication, shared understanding of ethos and common goal. Annual review of the delivery and governance processes	DISC	Mar-18	Reviews in Localities of effectiveness of MARB and Locality models of governance to meet locality need. CPMB meeting 10/1/18, CEO meeting 18/1/18. review of years 5 and 6 delivery plan/partnership agreements etc in Q3.
13	Commissioners do not recognise the value of the programme	Individuals with multiple and complex needs are not recognised in service design	3	3	6		Sustain and develop relationships with key commissioners. continue to present evidence/case studies to influence commissioners. Continue to develop the role and influence of the strategic stakeholder group. CPMB Review locality system change plans annually. West Yorkshire Criminal Justice Network developed which meets bi-monthly.	DISC/CPMB	Feb-18	Strategic Stakeholder group replaced by WY-FI SCAN group. Review of key regional priorities and membership being carried out. Commissioner event held in August, next meeting in February 2018. Roundtable meeting to agree priorities and actions for the Criminal Justice Network in January 2018.

14	Insufficient communication between partners, commissioners and with experts by experience	WY-FI Governance structures are not fit for purpose	2	2	4		Terms of reference are reviewed annually; Core Partner Management Board, Locality Group, Regional Experts' Group, Annual business review meeting and annual conference/learning event.	DISC/CPMB	Mar-18	change to Bi-monthly Newsletter-onward circulation by CPMB members e.g DWP. CPMB members invited to lunch with Network opre their meeting. Co-production Champions to facilitate beneficiary engagement on Locality Governance structures.
15	Maintaining the flow of starts when navigator Teams reach capacity	Unable to achieve the outcomes and targets agreed with the Big Lottery Fund. Reputational risk.	3	3	6		Lower the Chaos index threshold, look at underspend to increase workforce, renegotiate starts with Big Lottery Fund. Review ToC and yrs 5 and 6 delivery plans	Project Manager/ Operational Managers	Mar-18	Discuss quarterly with FRM and evidence and explanations for any underachievement accepted as part of National Learning Programme
16	WY-FI is seen by agencies as an additional service, not as linking people into existing services.	Services become dependent on WY-FI	3	2	5		Annual Locality Events to remind services about the remit of the Project	Operational Managers	Feb-17	Yr 4: Leeds Q1, Kirklees Q2 with Wakefield, Bradford and Calderdale/bc,
17	Experts not coming from the pool of WY-FI beneficiaries are not seen as part of the project.	Experts are seen as an add on not part of the model	3	3	6		Develop the role of the Experts and embed their expertise across all parts of the model	Development and Engagement Lead	Mar-18	Engagement team work plan in place and on track. Network continues to use own space at Hub. Two Network members developing volunteer placements in Hub team. 4 ben Network has monthly lunch meetings with CPMB. Fixed term paid Co-production Champions embedded in Q2, resulting in marked increase in beneficiary participation in Network. Barriers around benefits taken to Valuing Lived Experience in the Workforce group and DWP. 4 beneficiaries have completed Peer Mentor training in Q2

Risks are prioritised by determining their probability and impact level – both on a scale of 1 to 5 (5 being the most severe). There are guidelines which can help assess this, as follows re probability:

Level	Probability
1	Less than 10% chance of risk occurring
2	10%-35% chance of risk occurring
3	35%-65% chance of risk occurring
4	65%-90% chance of risk occurring
5	More than 90% chance of risk occurring

Risks are then mapped onto a grid as follows:



Any risks which fall within the yellow and red areas must have full control measures which are risk responses, contingency plans, identification of conditions/events that may trigger these risks.