

# Draft Partnership Risk Assessment Guidance

## Introduction

This guidance supports officers with the risk assessment of partnership work.

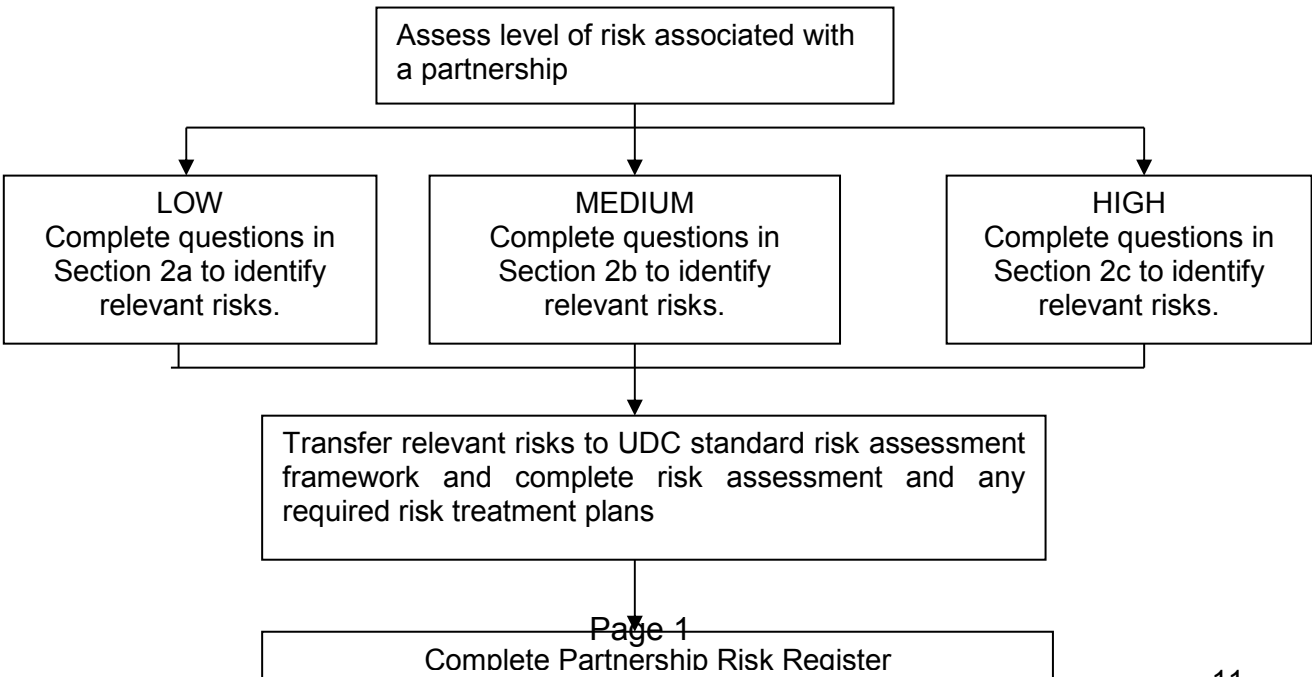
We have used the term ‘partnership’ to describe a joint working arrangement where the partners:

- are otherwise independent bodies;
- agree to co-operate to achieve a common goal;
- create a new organisational structure or process to achieve this goal, separate from their own organisations;
- plan and implement a jointly agreed programme, often with joint staff or resources;
- share relevant information; or
- pool risks and rewards.

The guidance is aimed at partnerships that do not involve contracts or service level agreements. It provides tools to identify the level of risk, and the type of risk associated with different partnership arrangements so that appropriate risk management action can be taken using Uttlesford DC standard risk assessment processes. Risk assessments will need to be undertaken with both existing partnership arrangements as well as those that are proposed or about to start.

The first section provides several tools to assess the level of risk associated with a partnership arrangement. This will help officers assess the type of questions to use from section two to assess the types of risk associated with the partnership. Section two is split into three areas: low, medium and high risk partnerships. Once the relevant area has been reviewed officers should have identified the key risks to assess using Uttlesford DC standard risk assessment framework.

Finally a partnerships register form is provided in the appendices. The Council is required under audit standards to maintain a centralised partnerships risk register. All officers involved in partnership work should ensure that a register form is completed for each partnership they are engaged in and that it is returned to Corporate Development.



## Section 1

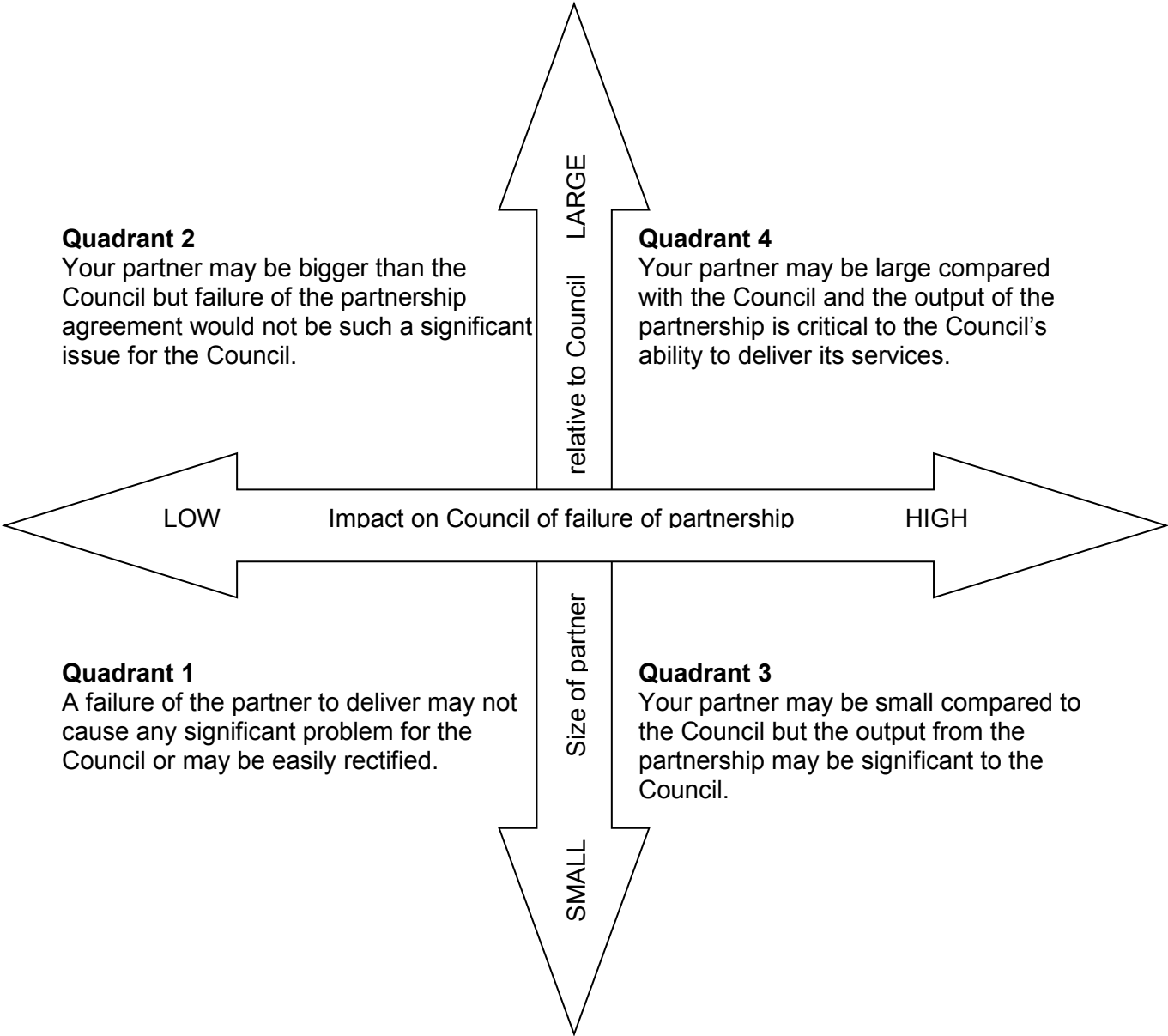
### Assessing the level of risk associated with a partnership

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Partnerships can range from small two party partnerships, to large complex multi agency partnerships. It is not necessary to spend the same resources and attention to every partnership in terms of risk management. This section provides some tools to assess the level of risk associated with a partnership so that the relevant screening questions can be identified that are proportionate to the scale of the partnership.

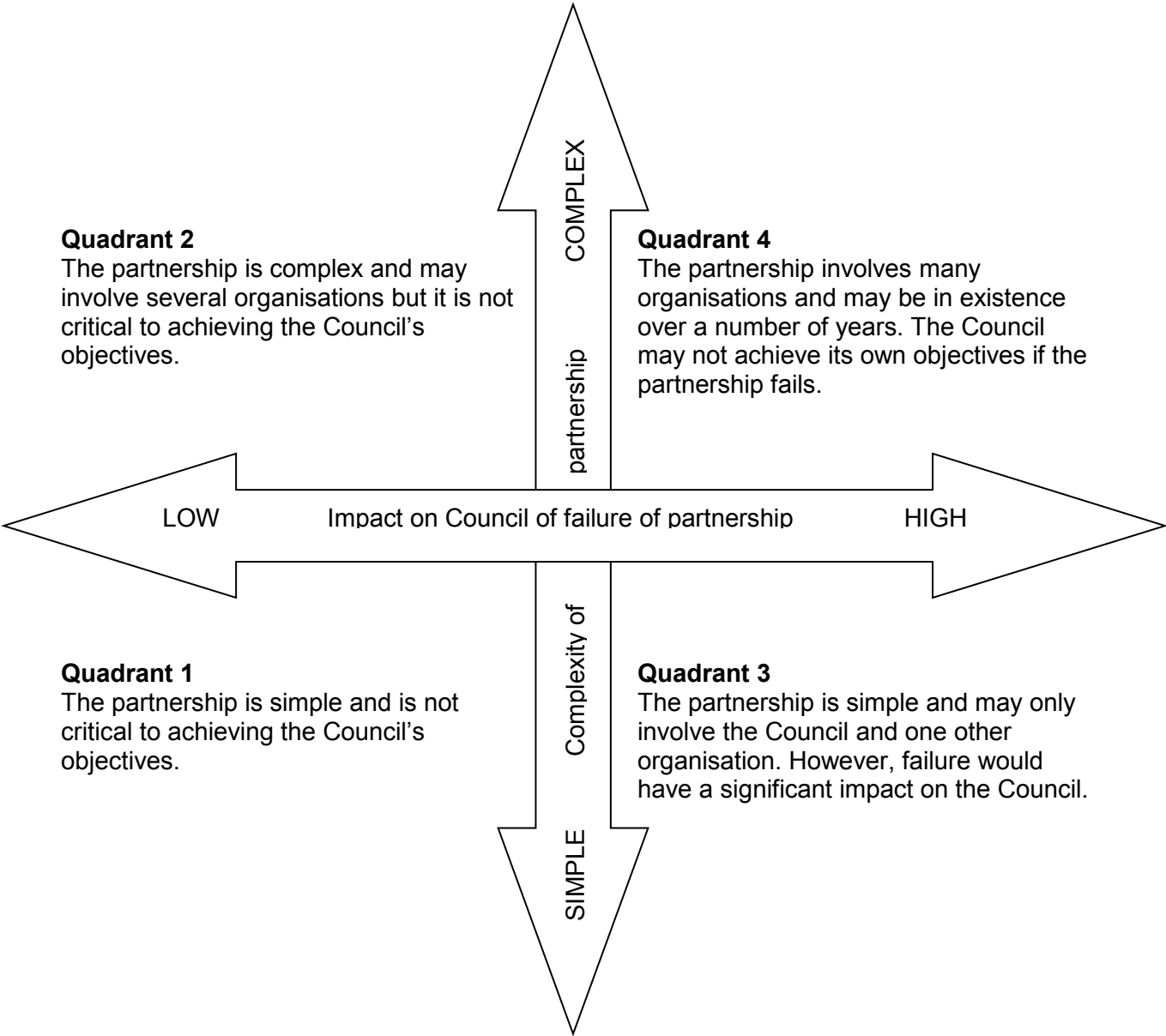
#### Assessment tool 1 – size of partner vs impact of failure

Using the diagram below assess which quadrant the partnership you are assessing falls into.



### Assessment tool 2 – Complexity vs impact of failure

Using the diagram below assess which quadrant the partnership you are assessing falls into.



## Identifying and assessing partnership risks

Based on the results of assessment tools 1 and 2 identify the level of risk for the partnership and the set of questions in Section 2 you should use to identify the possible risks associated with the partnership.

<b>IMPACT</b> Of failure of partnership	<b>SIZE</b> Of partner relative to Council	<b>COMPLEXITY</b> Of partnership	<b>RISK</b>	<b>QUESTION SET FROM SECTION 2</b>
High Risk	Large	<b>HIGH</b>	<b>HIGH</b>	Set A
		Low		
	Small	<b>HIGH</b>	<b>MEDIUM</b>	Set B
		Low		
Low Risk	Large	<b>HIGH</b>	<b>LOW</b>	Set C
		Low		
	Small	<b>HIGH</b>		
		Low		

## Section 2 – Key Risk Assessment Questions For Partnerships

Now you have identified the relative risk of the partnership use the appropriate set of questions from below to identify specific risks that you can transfer to the standard UDC risk management framework.

## Set A – High Risk Partnerships

For each of the questions below consider whether:

- It is needed?
- Has it been signed off / agreed?
- Who is responsible?
- What is its current status?

<b>1</b>	<b>Preparation, set-up and engagement</b>	<b>Response</b>
1.1	Have the needs, aims and objectives of the partnership arrangement been determined, defined and documented?	
1.2	Is a partnership the most effective way to meet the objectives? Has a business case and cost/benefit analysis been undertaken?	
1.3	Is the partnership arrangement approved by members?	
1.4	Are the partnership structure and responsibilities clearly defined?	
1.5	Are the timescales of the partnership, including key gateway reviews, clearly defined and agreed?	
1.6	Is there an agreed exit strategy from the partnership?	
1.7	Are clear governance arrangements defined for the partnership and have these been agreed?	
1.8	Have arrangements for managing, monitoring and evaluating the performance of the partnership been agreed by all partners?	
<b>2.</b>	<b>Finance</b>	
<b>2.1</b>	<b>Finance – this section applies to the Partnership and/or the partners involved</b>	
2.1.1	Which partner holds any joint funds for the partnership?	
2.1.2	How is expenditure committed and agreed?	
2.1.3	Will Partnership staff/partner staff be able to commit authority funds and resources?	
2.1.4	Are there full details of the funds, funding, grants and concessions provided to the partnership.	
2.1.5	What are the internal and external audit and non-financial audit arrangements for the partnership?	
2.1.6.	Which is the accountable body?	
2.1.7	Have the following been determined, defined and documented: capital, leasing, expenditure and income plans; all sources of income; the conditions of any grants; on-going revenue liabilities where the grant was capital; procedures for the return of funds not spent; procedures for over-spends; match funding; and responsibility for compliance with all funding and grant conditions.?	
2.1.8	Does the Partnership have a financial plan, (a) specifically outlining the expenditure and income over the next financial year, (b) consistent with the delivery plan?	
2.1.9	What are the arrangements for petty cash and reimbursement?	
<b>2.2</b>	<b>Finance – this section applies to Partnerships that are companies and applies to contractors</b>	
2.2.1	Have full details of the company's registered office address, dates of registration, registration number, and full details of all Directors, Partnership, Associate and Company Secretary been obtained?	
2.2.2	Is the company a sole trader, partnership, private limited company, public limited company or other?	

2.2.3	Have any of the Directors, Partners or Associates been involved in any firm, which has been liquidated or gone into receivership?	
2.2.4	Has any director, partner or associate been employed by the Council?	
2.2.5	Does any director, partner or associate have a relative who is employed by the Council, or who is a Councilor?	
2.2.6	Do any of the directors, partners or associates have any involvement in other firms who provide services to the Council?	
2.2.7	Is the company a member of a group of companies. If so have the details of the ultimate holding company and all subsidiaries been obtained?	
2.2.8	Has the company suffered a deduction for liquidated and ascertained damages in respect of any contract within the last 3 years?	
2.2.9	Has the company ever had a contract terminated or their employment under the terms of a contract?	
2.2.10	Has the company ever not had a contract renewed for failure to perform to the terms of a contract?	
2.2.11	Are there clear details of the person in the company responsible for financial matters?	
2.2.12	Have the name and address of the banker been provided.	
2.2.13	Has a copy of the Certificate of Incorporate for the Company under the Companies Act 1985 (if applicable), and any certificate of change of name been provided?	
2.2.14	Have copies been provided of the company's audited accounts and annual reports for the last three years?	
2.2.15	If the accounts are for a year ending over 10 months ago, has confirmation that the company is still trading being received, and has a statement of turnover since the last set of published accounts been received?	
2.2.16	Have details of outstanding claims or litigation against the company been provided?	
2.2.17	Have copies of the company's policies for Employers Liability Insurance, and Public Liability (Third Party) Insurance been provided?	
<b>3.</b>	<b>Compliance and regulatory matters</b>	
3.1	Are the partners/Partnership regulated ? If so by which body?	
3.2	Who is responsible for compliance and who is responsible for following up actions?	
3.3	Is the Partnership vires?	
3.4	Has the Partnership been subject to a complete risk assessment?	
<b>4.</b>	<b>Human resources</b>	
4.1	Does the partnership employ any staff directly, or otherwise?	
4.1.1	Are the procedures for this documented?	
4.2	Does any partners employ staff on behalf of the partnership? If so are financial procedures for this clearly documented?	
4.3	Are clear details available of the number of staff involved in the delivery of the partnership available?	
4.4	If the partnership work brings staff into contact with vulnerable groups such as the elderly, young persons, physically or mentally disabled persons have appropriate criminal records checks and interviews been conducted?	

4.5	Have there been any findings in the last three years of unlawful discrimination against the partnership by any court or tribunal?	
<b>5.</b>	<b>Performance</b>	
5.1	Have performance targets and outcomes been set for the delivery of the service? Have they been reviewed?	
5.2	Have the performance targets, performance indicators and outcomes been reported? Who receives and reviews the performance? Who decides on action in response to reports?	
<b>6.</b>	<b>Equal Opportunities</b>	
6.1	Does the partnership have an agreed equal opportunities policy statement and procedures for both employment (where relevant) and service delivery? Is this compliant with that of the Council?	
6.2	Has the partnership or any of its partners been subject to an investigation by any of the equality commissions on grounds of alleged unlawful discrimination?	
6.3	Are all contractors of the partnership compliant with the Equal Opportunity duties of the Council and of the commitments of its policy?	
6.4	Are clear procedures and monitoring systems in place for the partnership? Has an equality impact assessment been undertaken?	
<b>7.</b>	<b>Health and Safety</b>	
7.1	Are joint health and safety procedures in place for the partnership? Has a copy of the health and safety policy been provided?	
7.2	Are health and safety procedures conveyed to relevant staff? Do all staff receive training in them before undertaking work?	
7.6	If less than 5 staff involved are there copies of procedures for: emergencies; reporting and recording accidents and dangerous occurrences; first aid and welfare provision; and provision of protective clothing and equipment	
7.7	Has the partnership or any of the partners been prosecuted or served notices by the Health and Safety executive?	
7.8	Has the partnership / partners agreed to allow Council Officers access to sites for the purposes of health and safety inspections?	
<b>8.</b>	<b>Other</b>	
8.1	What are the procedures for dealing with conflicts of interest?	
8.2	Are regular Partnership meetings held?	
8.3	Are meetings minuted?	
8.4	How are members of staff chosen to represent the authority on the Partnership?	
8.5	Do the partners/partnership have a website? Who is responsible?	
8.6	What are the procedures for press releases?	
8.7	Does the Partnership have specific information security policies and procedures? Are they adequate?	
8.8	Do the partners/does the Partnership have a disaster recovery and business continuity plan? Is it adequate? Have they been tested?	
8.9	What business processes has the Partnership defined that should be tested before “go live” of the arrangement? Have they been tested and signed off before “go live”?	

## Set B – Medium Risk Partnerships

For each of the questions below consider whether:

- It is needed?
- Has it been signed off / agreed at member level?
- Who is responsible?
- What is its current status?

Question	Response
1. Is there a formal partnership agreement in place? Does it specify the duration of the partnership and/or key timescales for reviews?	
2. Is there an agreed list of (potential) partners?	
3. Are the roles and responsibilities of each partners clearly defined?	
4. Have all relevant partners formally entered the partnership?	
5. Are clear governance arrangements in place and defined?	
6. Are the aims and objectives of the partnership clearly set out?	
7. Has a business case and cost/benefit analysis been undertaken?	
8. Are clear performance monitoring arrangements (including budget and VFM) in place?	
9. Are clear performance reporting arrangements (incl. budget & VFM) in place?	
10. Have arrangements for managing, monitoring and evaluating the performance of the partnership been agreed by all partners at member level?	
11. Has there been a formal decision to deliver by all relevant partners?	
12. Have insurance and risk sharing requirements been assessed?	
13. Have business continuity arrangements been identified?	
14. Have human resource implications (health and safety, equality, pay and conditions, diversity and data protection and so on) been identified and agreed?	
15. Has there been consideration of how to deal with under or over achievement against targets?	
16. Has an exit strategy and handover processes been agreed?	
17. Are clear risk management arrangements in place?	



## Set C – Low Risk Partnerships

For each of the questions below consider whether:

- It is needed?
- Has it been signed off / agreed at officer level?
- Who is responsible?
- What is its current status?

Question	Response
1. Is there a formal partnership agreement in place? Does it specify the duration of the partnership and/or key timescales for reviews?	
2. Are the roles and responsibilities of each partners clearly defined?	
3. Are clear governance arrangements in place and defined?	
4. Are the aims and objectives of the partnership clearly set out?	
5. Are clear performance monitoring and reporting arrangements (including budget and VFM) in place?	
6. Have insurance and risk sharing requirements been assessed?	
7. Have business continuity arrangements been identified?	
8. Have human resource implications (health and safety, equality, pay and conditions, diversity and data protection and so on) been identified and agreed?	
9. Has there been consideration of how to deal with under or over achievement against targets?	
10. Has an exit strategy and handover processes been agreed?	
11. Are clear risk management arrangements in place?	

## Partnership Register

### Instructions

For each partnership your service is involved in please complete a copy of this register and forward it with any attachments to Corporate Development in Strategic Services.

Partnerships requiring completion of this register should include all work involving other agencies/organisations (whether or not they are formally defined). These may range from small dual party arrangements to large complex multi-agency partnerships. Examples include: a procurement consortium; multi-agency protocols; child protection; Community Safety; protection of vulnerable adults; Local Area Agreement partnerships; joint working arrangements

Do not complete this form for contracted or procured partnerships.

Name of Partnership:	
Lead Officer / Department:	
UDC Representatives at Partnership:	
Is a copy of the partnership's terms of reference available?	Yes / No If yes attach a copy.
Has any risk assessment been carried out in relation to the partnership?	Yes / No If yes please identify where this is held:
How does the partnership link to the priorities in the strategic plan?	
Has UDC engaged in any formal agreements through the partnership? E.g. though agreement to deliver an action plan.	Yes / No If yes please detail:
What links does this partnership have to any others?	
What funding implications are there for UDC in relation to the partnership? Financial and human resources.	

**Completed forms should be sent to Corporate Development, Strategic Services**

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High Risk	Large	<b>HIGH</b>	<b>HIGH</b>	Set A
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Low Risk	Small	<b>HIGH</b>	<b>MEDIUM</b>	Set B
		Low		
Low Risk	Large	<b>HIGH</b>	<b>LOW</b>	Set C
		Low		
Low Risk	Small	<b>HIGH</b>	<b>LOW</b>	Set C
		Low		

<b>IMPACT</b> Of failure of partnership	<b>SIZE</b> Of partner relative to Council	<b>COMPLEXITY</b> Of partnership	<b>RISK</b>	<b>QUESTION SET FROM SECTION 2</b>
High Risk	Large	<b>HIGH</b>	<b>HIGH</b>	Set A
		Low		
Low Risk	Small	<b>HIGH</b>	<b>MEDIUM</b>	Set B
		Low		
Low Risk	Large	<b>HIGH</b>	<b>LOW</b>	Set C
		Low		
Low Risk	Small	<b>HIGH</b>	<b>LOW</b>	Set C
		Low		

<b>IMPACT</b> Of failure of partnership	<b>SIZE</b> Of partner relative to Council	<b>COMPLEXITY</b> Of partnership	<b>RISK</b>	<b>QUESTION SET FROM SECTION 2</b>
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		Low		
Low Risk	Small	<b>HIGH</b>	<b>MEDIUM</b>	Set B
		Low		
Low Risk	Large	<b>HIGH</b>	<b>LOW</b>	Set C
		Low		
Low Risk	Small	<b>HIGH</b>	<b>LOW</b>	Set C
		Low		