

# Risk Assessment Form

Organisation/Department/Function/Project: **Primary Strategy for Change**

Objective: **Create primary schools equipped for 21st century learning with a range of children's services.**

Completed by: **Ben Wright, Education Planning Officer**

Date Completed: **8 May, 2008**

Risk (Threat to achievement of business objective)	Assessment of Risk (Assume CURRENT controls in place)			Risk Control Measures	Assigned To	Target Date (Priority)	Assessment of Residual Risk (With controls in place)		
	Impact (Severity)	Likelihood (Probability)	Risk Rating				Impact (Severity)	Likelihood (Probability)	Residual Risk Rating
<p><b>PSCC0001 - Insufficient staff resources/capacity</b> Increase in workload created by managing bulk of additional grant funding leads to lost funding, project failure, poor implementation or increased project delivery costs through use of consultants. PSfC involves £3M - £5M expenditure per annum on top of existing funding streams. Implementation must occur within DCSF designated timeframes.</p>	Catastrophic 4	Very Likely 4	High 16	<ul style="list-style-type: none"> <li><b>Recruit additional staff for Schools Accommodation and Buildings Services.</b> <i>Proposed (0% complete)</i></li> </ul>	Ben Wright	8/31/2008 (High)	Moderate 2	Unlikely 2	Low 4
<p><b>PSCC0003 - Failure to secure Govt funding</b> DCSF 'approve with modifications' the borough's PSfC, requiring moderate to minor amendments and resubmission of plan. Potential for some delay on projects. Major threats are: (i) failure to address 5% rebuild/refurbishment target and (ii) failure to provide sufficient information on 4 year investment priorities.</p>	Major 3	Likely 3	Medium 9	<ul style="list-style-type: none"> <li><b>Sufficient explanation in PSfC</b> <i>Proposed (0% complete)</i></li> <li><b>Obtain DCSF guidance</b> <i>Proposed (0% complete)</i></li> <li><b>Internal assessment of PSfC document against guidance</b> <i>Proposed (0% complete)</i></li> </ul>	Ben Wright  Ben Wright  Ben Wright	6/6/2008 (High)  5/9/2008 (High)  6/6/2008 (High)	Major 3	Unlikely 2	Medium 6

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<b>PSCC0005 - Govt policy/legislation changes</b> Future government abandons PSfC leading to local objectives unresourced.	Catastrophic 4	Unlikely 2	Medium 8	<ul style="list-style-type: none"> <li>• <b>None</b> <i>Proposed (0% complete)</i></li> </ul>	Ben Wright		Catastrophic 4	Unlikely 2	Medium 8
<b>PSCC0006 - Budget control failure</b> Failure to allocate PSfC funds appropriately - i.e. with reference to DCSF and local PSfC objectives - leads to failure of PSfC implementation and possible loss of funds in future spending rounds.	Major 3	Very Unlikely 1	Low 3	<ul style="list-style-type: none"> <li>• <b>Secure senior commitment to the programme</b> <i>Proposed (20% complete)</i></li> <li>• <b>Annual report to Cabinet or use existing regular capital reporting mechanism</b> <i>Proposed (0% complete)</i></li> </ul>	Ben Wright  Ben Wright	6/16/2008 (High)  8/1/2008 (Normal)	Moderate 2	Very Unlikely 1	Low 2
<b>PSCC0008 - Insufficient Financial Resources</b> Emergency capital works at a school - most likely condition related - impact on budgets otherwise set aside for PSfC projects	Moderate 2	Unlikely 2	Low 4	<ul style="list-style-type: none"> <li>• <b>Continue rolling review of Condition Surveys</b> <i>Proposed (0% complete)</i></li> <li>• <b>Contingency Fund within the borough's Capital Programme</b> <i>Proposed (0% complete)</i></li> </ul>	Ann Pfeiffer  Ann Pfeiffer		Moderate 2	Unlikely 2	Low 4

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<b>PSCC0010 - Insufficient Financial Resources</b> Modernisation Allocations and LCVAP capital grants are likely to be needed in order to implement the PSfC. This may reduce the monies available for secondary school projects, leading to delays in improving accommodation at these schools.	Moderate 2	Very Likely 4	Medium 8	<ul style="list-style-type: none"> <li>• <b>Develop priority matrix for capital programmes</b> <i>Proposed (0% complete)</i></li> </ul>	Ben Wright	3/1/2009 (High)	Moderate 2	Likely 3	Medium 6
<b>PSCC0011 - Loss of revenue/income generation</b> Failure to secure other sources of funding - e.g. Targeted Capital Funding Grants (federations/successful and popular schools); S106 Funds (particularly Badnell's Pit); Sustainability funding from the government - reduces overall amount of funding available, delaying or preventing implementation of PSfC objectives. Threat arises largely from failure to submit bids.	Moderate 2	Likely 3	Medium 6	<ul style="list-style-type: none"> <li>• <b>Recruit additional staff for Schools Accommodation Service</b> <i>Approved (0% complete)</i></li> </ul>	Ben Wright	8/31/2008 (High)	Minor 1	Unlikely 2	Low 2
<b>PSCC0013 - Failure of internal controls</b> Failure to manage role as commissioner	Moderate 2	Likely 3	Medium 6				Moderate 2	Unlikely 2	Low 4

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of services leads to delays and wasted resources.				<ul style="list-style-type: none"> <li>• <b>Specific ICT provision to develop Education plans.</b> <i>Withdrawn</i></li> <li>• <b>Use Children and Young People Plan (CYPP) as driver for implementation.</b> <i>In Progress (0% complete)</i></li> <li>• <b>School Asset Management Panel used to prioritise, plan and monitor delivery.</b> <i>Proposed (0% complete)</i></li> <li>• <b>Involve schools etc in consultation process.</b> <i>Proposed (0% complete)</i></li> <li>• <b>Annual report to Cabinet or use existing regular capital reporting mechanisms</b> <i>Proposed (0% complete)</i></li> </ul>	Ben Wright				

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<b>PSCC0014 - Project Management Failure</b> Failure to ensure that all borough teams take projects forward in line with PSfC aims/programme, leading to diverging outcomes and wasted resources. Particularly important are Building Services, Early Years and Childcare Team, Extended Services, Strategy and Information (ICT) and Contract Management (kitchens).	Moderate 2	Likely 3	Medium 6	<ul style="list-style-type: none"> <li>• <b>Ensure senior commitment to objectives of the PSfC</b> <i>Proposed (0% complete)</i></li> <li>• <b>Ensure commitment of relevant RBWM teams</b> <i>Implemented</i></li> </ul>	Ben Wright  Ben Wright	5/22/2008 (High)	Minor 1	Very Unlikely 1	Low 1
<b>PSCC0016 - Conflict between national/regional agendas &amp; local priorities</b> Funding applied to Windsor Primary Schools wasted if RBWM changes Windsor's 3 Tier Education system to a 2 Tier system and no further funds are thus available to make future changes.									
<b>PSCC0017 - Breach of Legislation - Data Protection, Human Rights etc</b> Failure to meet provisions of "Every Child Matters" agenda leads to government criticism, impact on CPA.	Major 3	Unlikely 2	Medium 6	<ul style="list-style-type: none"> <li>• <b>Ensure Extended Schools Service has buy-in from schools</b> <i>In Progress (75% complete)</i></li> </ul>	Clare Barry-McAle er		Moderate 2	Very Unlikely 1	Low 2

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				<ul style="list-style-type: none"> <li>• <b>Ensure robust communication process between Extd. Schools/Schools/School Accommodation.</b> <i>Proposed (0% complete)</i></li> </ul>	Ben Wright				
<b>PSCC0018 - Insufficient Financial Resources</b> Some Church of England Voluntary Aided schools cannot find their 10% for PSfC capital projects, meaning that some projects are delayed or cancelled. RC schools do not currently have this challenge due to the way that the Portsmouth Diocese operates.	Major 3	Likely 3	Medium 9	<ul style="list-style-type: none"> <li>• <b>Communicate with VA CE schools</b> <i>Proposed (0% complete)</i></li> <li>• <b>Use School Asset Management Panel to prioritise, plan and monitor delivery.</b> <i>Approved (0% complete)</i></li> </ul>	Ann Pfeiffer  Ben Wright	4/1/2009 (Normal)	Moderate 2	Unlikely 2	Low 4
<b>PSCC0019 - Project Management Failure</b> Failure to manage expectations of PSfC project, particularly tensions between ensuring every school is improved and achieving (fewer) highest quality projects.	Moderate 2	Likely 3	Medium 6	<ul style="list-style-type: none"> <li>• <b>Ensure every school is sent the PSfC document</b> <i>Proposed (0% complete)</i></li> </ul>	Ben Wright	6/6/2008 (Normal)	Minor 1	Unlikely 2	Low 2

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				<ul style="list-style-type: none"> <li>Use School Asset Management Panel to prioritise, plan and monitor delivery. <i>Proposed (0% complete)</i></li> </ul>	Ben Wright	4/1/2009 (High)			
<b>PSCC0020 - Failure in procurement</b> Failure to procure projects in most economical, timely and accurate fashion leads to waste of scarce resources.									
<b>PSCC0021 - Budget control failure</b> Failure to account for cost inflation effects should the procurement process fail leading to shortfall of funds, increased short term borrowing, project delays/failures.	Moderate 2	Likely 3	Medium 6	<ul style="list-style-type: none"> <li>Early discussions and decisions on most appropriate method for procurement and approval by DCSF <i>Proposed (0% complete)</i></li> </ul>	Rob Packham	12/1/2008 (High)	Minor 1	Unlikely 2	Low 2

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<p><b>PSCC0022 - Failure to deliver services at agreed cost/specification/quality</b> Failure to ensure appropriate design means school projects - whether new buildings or minor improvements - do not meet range of PSfC objectives.</p>	Moderate 2	Likely 3	Medium 6	<ul style="list-style-type: none"> <li><b>Dedicated Design team created to follow agreed design requirements alongside external consultant/s.</b> <i>In Progress (0% complete)</i></li> </ul>	Ann Pfeiffer	8/1/2008 (Normal)	Minor 1	Unlikely 2	Low 2
<p><b>PSCC0023 - Failure to secure Govt funding</b> DCSF 'reject' the borough's PSfC, identifying it as having serious weaknesses. Borough required to resubmit entire plan by new deadline, and failure to do so may result in delay to funding. Major threats are: (i) failure to address 5% rebuild/refurbishment target and (ii) failure to provide sufficient information on 4 year investment priorities.</p>	Catastrophic 4	Unlikely 2	Medium 8	<ul style="list-style-type: none"> <li><b>Internal assessment of PSfC Document against DCSF guidance</b> <i>Proposed (0% complete)</i></li> <li><b>Sufficient explanation in PSfC doc</b> <i>Proposed (0% complete)</i></li> <li><b>Obtain DCSF guidance</b> <i>Proposed (0% complete)</i></li> </ul>	Ben Wright  Ben Wright  Ben Wright	6/6/2008 (High)  6/6/2008 (High)  5/9/2008 (High)	Catastrophic 4	Very Unlikely 1	Low 4