

Leicester City Council BSF - Strategy For Change Risk Matrix (for Phase 2 and Future Phases)

Risk Categorisation Matrix		Probability		
Impact		Low	Medium	High
Low	1	Low	Medium	High
Medium	2	Low	Medium	High
High	3	Medium	High	High

PRJ	Risk Category	RISK DESCRIPTION	RISK RATING					PROPOSED COUNTERMEASURES	MITIGATION BY	PROGRAMME	RISK RATING AFTER COUNTERMEASURES				
			Impact if exposed (1-3)	Impact Rating	Probability of Risk (1-3)	Probability Rating	Risk Assessment				Actions / Outcomes Required	Risk Owner	Target date for completion	Impact if exposed (1-3)	Impact Rating
ED01	Education	Poor understanding of what 'transformation' means (i.e. how will we know if 'transformation' has been achieved?). Risk is that LCC won't be able to demonstrate that Transformation and improved outcomes have been achieved.	3	High	2	High	high	Extensive work on visioning complete, implementation of visioning work in development of school proposals now a key risk in realising the transformational potential of the individual school schemes.	Rachel Dickinson Strategic Director, Children	To start as early as possible and then part of the CPD and change management in schools at DMT/LCC level (DE).	2	Medium	1	Low	Low
								b. Align the LEP/LCC Collective Partnership Targets with the agreed SFC transformation targets. Ensure that these are well defined and measureable. Align with individual school EKPI's.	FM Service Manager	Ongoing					
								c. Monitoring programme and projects against LCC/LEP Collective Partnership Targets to ensure that each project and the overall programme remains on track to achieve these.	Jim Tebbutt	To form part of the Stage '1' submission					
ED02	Education	Links with other partners and agencies not made and therefore reduced potential for addressing needs of C&YP	3	High	2	Medium	High	a. Ongoing discussions at DMT and LCYPSP and beyond to ensure opportunities are not missed and education in the round is achieved. Appendix R review developing role for a strategy manager who will be responsible for engagement with all these partners.	Helen Ryan	HMR to attend LCYPSP and provide updates on progress identifying potential opportunities for colocation and shared facilities. This is happening and is ongoing. Current discussions at DCS level on the future structure and operation of the childrens trust might limit opportunities for joint planning. 30 plus partners - HMR has the list ACTION - HMR to provide the list with dates on it of when each was last seen.	2	Medium	1	Low	Low
								b. Discussions with potential partners and agencies (i.e. PCT, Social Services etc.) to discuss their involvement in the design development.	Helen Ryan	Specialist consultants commissioned to identify further opportunities for joined-up developments on school sites. This includes exploration with statutory, voluntary, community and private sector partners. Serco consultant (Jo Thackery) employed to do this. meeting planned for 17th August to meet with NHS and PCT.					
									Jim Tebbutt	LEP to meet with the local LIFT company.					
ED03	Education	Alignment of additional funding streams is not possible, therefore reducing aspirations and ambitions for the programme.	3	High	2	Medium	High	a. Rigorous pursuit of additional capital and revenue funds in order to expand the opportunities for co-located facilities on school sites.	John Garratt	To start as early as possible and then part of the CPD and change management in schools at DMT/LCC level (DE). To align with the LEP programme for phase design development. Interim report produced by Chris Brown reporting on opportunities for each BSF school site - identifying most likely areas for private sector investment (sports, SMEs etc.). Exploring the mechanisms by which cofunding might work. To be passed to the LEP once developed for them to further explore the opportunities. Jo Thackery work also feeds into this as public sector parties may well contribute funding for collocated facilities.	2	Medium	1	Low	Low
								b. Educational visioning to be decoupled from value of the build project at programme and project level.	Helen Ryan	Schools Strategy for Change to remain as a strategic vision for the improvement and development of schools over 25 years. Regular updates recommended (6 monthly). Build programme to match the vision with a phased approach planned and aligned to non-negotiables. Ongoing for Phase 2 schools. SSFC being developed for the rest of the BSF programme. Education vision is embodied in the OBC and in the Authorities Requirements.					
								c. Alignment of capital planning schemes with the BSF programme and vice-versa.	Emma Johnstone	Schools' Integrated Team Briefing, 10th Sept - will support consistency of messages from the team to schools. Head of 11-19 Programme - to provide a planned series of regular communications to schools over the course of the programme regarding estate options and finance to manage their expectations. - to be started from September 2009 (e.g. schools breakfast meetings due to recommence from Sept 09).					
								d. Designs to take account of possible additional funding after completion of BSF phase.	John Garratt	To gain an understanding of the programmes for potential additional capital spend and to review how this might best compliment the BSF programme (i.e. which schools, which areas etc.) Establishment of the new 11-19 governance arrangements is assisting with this. Some success achieved - ISH funding and kitchen funding for Crown Hills and Rushey Mead. Sustainability funding for Crown Hills. SFC must be kept aligned with all additional or reduced funding.					
ED04	Education	Change of political priorities (National and/or local) leads to shift in emphasis away from educational transformation and towards construction.	3	High	2	Medium	High	a. Commitment from LCC through One Leicester and CYPS to use BSF as the lever for educational transformation and improved outcomes.	Margaret Libreri	To start as early as possible and then part of the CPD and change management in schools at DMT/LCC level (DE)	2	Medium	1	Low	Low
									Helen Ryan	Schools Strategy for Change to remain as a strategic vision for the improvement and development of schools over 25 years. Regular updates recommended (6 monthly). Build programme to match the vision with a phased approach planned and aligned to non-negotiables. Integrated design team to include education advisors providing end to end consistency of approach and development of schools Strategy for Change.					
								a. Establish mechanisms to develop a transformational BSF culture across the Council and across the city.	Mike McPherson	Started recruiting people from schools and presentations to internal stakeholders ongoing. First meeting for Schools Transformation Group will take place before mid-July 2009.					

Leicester City Council BSF - Strategy For Change Risk Matrix (for Phase 2 and Future Phases)

Risk Categorisation Matrix

Impact	Probability		
	Low	Medium	High
1 Low	Low	Medium	High
2 Medium	Low	Medium	High
3 High	Medium	High	High

PRJ	Risk Category	RISK DESCRIPTION	RISK RATING					PROPOSED COUNTERMEASURES	MITIGATION BY	PROGRAMME	RISK RATING AFTER COUNTERMEASURES					
			Impact if exposed (1-3)	Impact Rating	Probability of Risk (1-3)	Probability Rating	Risk Assessment				Actions / Outcomes Required	Risk Owner	Target date for completion	Impact if exposed (1-3)	Impact Rating	Probability of Risk (1-3)
ED05	Education	Insufficient time to ensure all stakeholders are committed to the broader aims of the programme which is therefore seen as a build programme only, rather than a change management programme.	2	Medium	2	Medium	Medium	b. Visioning and change management programme to continue at a steady rate - no stop/start approach.	Emma Johnstone	Stakeholder engagement and involvement to become a systematic process managed through the communications workstream. In particular, parents and young people to be targeted. Monthly breakfast meetings with schools' core BSF teams.	2	Medium	1	Low	Low	
								c. Adequate resources allocated to ensure stakeholders informed, engaged and involved as appropriate.	Helen Ryan							
								d. Communications strategy and plan developed and updated regularly and stakeholder matrix revised.	Graham Pearse							Ongoing
ED06	Education	Building programme disrupts education delivery (including possible negative impact on standards, attainment and achievement).	2	Medium	3	High	High	a. Building programme to be planned around the schools requirements.	Jim Tebbutt	To form part of the Stage '1' submission. Phase 2a proposals will have minimum impact on education delivery (proposals for Crown Hills to be new build for instance).	2	Medium	2	Medium	Medium	
								b. Careful phasing required for schools which will be refurbished and/or remodelled. Possible decanting into temporary accommodation.	Jim Tebbutt	To form part of the Stage '1' submission						
								c. Authority and LEP to work with the schools (Head Teachers and Business Managers) to plan for the implementation and transition into the construction phase and then out of it into the new school. LEP to open up a dialogue with Schools to help them understand implications of the build/refurbishment. Schools must understand the implication on restrictions that they may put on the build programme.	Jim Tebbutt	To form part of the Stage '1' submission						
								d. Heads to provide sufficient information to LEP to enable most efficient programming and phasing.	LCC Programme Manager	Stage '2' and beyond into construction and commissioning.						
								e. Consider impact on schools during Stage 0 option appraisal.	Mike McPherson	Part of the Stage '1' and Stage '2' design development process.						
								f. PM to bring together appropriate stakeholders at the right time to gain agreement on phasing and decanting.	LCC Programme Manager	Phase 2a and 2b option appraisal completed. Phase 2c option appraisal due to be carried out in August 2009.						
ED07	Education	Schools are unable to engage with the programme due to a lack of capacity and timescales.	2	Medium	3	High	High	a. Engage with schools as early as possible to explain the process to them, where they sit in the programme and what resources they will need to engage properly.	Helen Ryan	Commences at educational visioning and continues right through to commencement of operations within the new/refurbished school. Monthly breakfast meetings being carried out now.	2	Medium	2	Medium	Medium	
								b. Ensure that the consultation schedule is appropriate and realistic to suit the schools resources and timetables and is discussed with them as early as possible to enable them to prepare.	Mike McPherson							Engaging now with all future phase schools. Toolkit created to outline what is needed from schools at each stage.
									Emma Johnstone							
ED08	Education	Failure to achieve transformation through BSF	3	High	1	Low	Medium	a. Implementation of the Leicester City Strategy for Change	Helen Ryan	Transformational team set up and meeting monthly. Ownership of the LCC SFC by these team members is critical as is chief officer ownership. 6 month updates of this document planned once sign off by PIS has been achieved.	2	Medium	1	Low	Low	
								b. Implementation of school specific Strategies for Change that align fully with the Leicester City Strategy for Change	Emma Johnstone							
								c. Ensure that proposals for (designs), and actual, school transformation and building refurb/new build align fully with the Leicester City Strategy for Change	Jim Tebbutt							To form part of the Stage '1' submission
								d. Effective engagement with schools.	Mike McPherson							BSF Champions group just established. First workshops before end of summer term.
ED09	Education	Schools fail to achieve their vision (no transformation at individual school level)	3	High	1	Low	Medium	a. Development of school specific Strategies for Change that align fully with the Leicester City Strategy for Change.	Emma Johnstone	Commences with the drafting of the school specific SFC at education visioning at each school and is only completed when Transformation has been achieved (measured one year after new schools have become fully operational). Note: refer to risk ED01 above regarding the definition of transformation.	2	Medium	1	Low	Low	
									Emma Johnstone							
								b. Ensure that proposals for, and actual, school transformation and building refurb/new build align fully with the school specific Strategies for Change	John Garratt							School EDB's and SSFC's included in the information provided to the LEP in the invitation for NPP letter for Phase 2a schools. To ensure LEP has responded to this in their submission of their Stage 1 proposals in August 2009.
									Jim Tebbutt							To form part of the Stage '1' submission
ED10	Education	Engagement with the schools is compromised due to a lack of capacity / skills within the Authority	2	Medium	2	Medium	Medium	a. Develop a programme for engagement with schools from education visioning right through to completion of bedding in period after the school has become fully operational.	John Garratt	Programme for Phase 2a Stage 1 engagement developed already. This is to be extended right through to completion of construction and commissioning before Stage 1 submission is submitted.	2	Medium	1	Low	Low	
									Emma Johnstone							
									Jim Tebbutt							To form part of the Stage '2' submission
		b. Identify skills and resources needed (roles and responsibilities) on the Authority side to deliver this workstream.	Helen Ryan	Completion of Appendix R review to establish new TLE structure and ensure sufficient capacity to support all schools. Skills transfer programme planned and delivered to ensure all TLE staff have confidence to work with schools. Regular (annual) updates and development days for TLE staff scheduled. Differentiated approach for schools so that those requiring most support are serviced adequately and those requiring least support receive appropriate help.												

Leicester City Council BSF - Strategy For Change Risk Matrix (for Phase 2 and Future Phases)

Risk Categorisation Matrix		Probability		
Impact		Low	Medium	High
1 Low	Low	Low	Medium	High
2 Medium	Medium	Low	Medium	High
3 High	High	Medium	High	High

PRJ	Risk Category	RISK DESCRIPTION	RISK RATING					PROPOSED COUNTERMEASURES	MITIGATION BY	PROGRAMME	RISK RATING AFTER COUNTERMEASURES				
			Impact if exposed (1-3)	Impact Rating	Probability of Risk (1-3)	Probability Rating	Risk Assessment				Actions / Outcomes Required	Risk Owner	Target date for completion	Impact if exposed (1-3)	Impact Rating
								c. Ensure that appropriate 'gaps' are filled either through Authority staff, contract staff or external consultants.	Helen Ryan	Completion of Appendix R review to establish new TLE structure and ensure sufficient capacity to support all schools. Skills transfer programme planned and delivered to ensure all TLE staff have confidence to work with schools. Regular (annual) updates and development days for TLE staff scheduled. Differentiated approach for schools so that those requiring most support are serviced adequately and those requiring least support receive appropriate help.					
								d. Ensure commitment from project owner and staff resources to 'stay the distance' as well as a skills transfer programme.	Rachel Dickinson (Director of Childrens Services)						
ED11	Education	The vision is not understood and / or bought into at Authority level. People working at cross-purposes - approach not coordinated.	3	High	2	Medium	High	a. Regularly communication / briefings required to all Authority stakeholders to explain the vision and the importance of buy-in and commitment from them (i.e. Design Principles workshop).	Helen Ryan	Communications and engagement strategy has been produced. Commences with the drafting of the Leicester City SFC and is only completed when new schools have become fully operational. Regular briefings with the leadership team, priority board and team leaders.	2	Medium	1	Low	Low
								b. Ensure that all relevant Authority stakeholders are kept abreast of the programme and key decision making points such that programme is not delayed through lack of approvals.	John Garratt	New TLE governance arrangements will help mitigate this risk.					
ED12	Education	The wrong number of schools are built, schools are built to the wrong size and/or schools are built in the wrong place.	3	High	2	Medium	High	a. Careful pupil place planning to ensure that the right number of schools are built to match forecast demographics.	Rob Thomas	Agreement with PFS on forecast pupil numbers will be achieved but written agreement awaited. Numbers have been independently reviewed. OBC proposals will align with the SFC.	3	High	1	Low	Medium
								b. Justification and negotiations with PFS to agree FAM.	John Garratt	SFC FAM agreed - OBC submission under development.					
								c. Ensure CYPs/TLE team member regularly reviews pupil place number requirements.	Rob Thomas	Ongoing. CYPs need to recruit to the forecasting post as a matter of urgency. Must complete the Appendix R review first.					
ED15	Education	Injury / abuse (H&S issues) occur due to lack of preparation for major construction on school sites	3	High	2	Medium	High	a. Engage with schools as early as possible to explain the process to them and the inherent hazards.	Jim Tebbutt	Should commence at education visioning and be completed once new schools have become fully operational.	3	High	1	Low	Medium
								b. Ensure that the phasing of construction is appropriate to suit the school timetables.	Jim Tebbutt	To form part of the Stage '1' submission					
								c. Develop risk strategy with LEP to identify possible issues and hazards at each school and measures to mitigate and/or eliminate these.	Jim Tebbutt	To form part of the Stage '1' submission					
ED16	Education	Implementation of the SEN/Inclusion strategy across the city and at a school level is not aligned with the BSF plans and timelines.	3	High	2	Medium	High	SEN strategy has been developed and approved and implementation is now required.	Penny Hajek	Implementation plan to be produced as soon as possible.	3	High	1	Low	Medium
ED17	Education	14-19 strategy is not fully implemented leading to an inadequate provision	3	High	2	Medium	High	a. 14-19 Strategy has been developed as part of the Leicester City Strategy for Change should ensure appropriate provision to support the strategy. This now requires implementation	Margaret Libreri	Required for inclusion in the Strategy for Change document due for completion late March / early April 2009. Due by end of Sept 2009	3	High	1	Low	Medium
ED18	Education	Post-16 strategy proves to be unworkable or becomes inadequate.	3	High	2	Medium	High	a. Post 16 Strategy to be reviewed as part of the six monthly SFC review.	Margaret Libreri	Review at next SFC review and as part of the ongoing planning around Machinery of Government.	3	High	1	Low	Medium
ED19	Education	Behaviour Support strategy is not implemented as planned.	3	High	2	Medium	High	a. Behaviour Support Strategy developed as part of the Leicester City Strategy for Change should ensure appropriate provision to support the strategy. To be monitored and reviewed.	John Broadhead	Review at next SFC review.	3	High	1	Low	Medium
ED20	Education	Authority and the school SFC's implementation fails to deliver maximum transformation. Potential for failure to achieve cohesion between schools leads to lack of buy-in from stakeholders. Schools do not deliver against local visions.	3	High	2	Medium	High	a. Strategy for Change must clearly articulate the education vision and be accepted by schools.	Helen Ryan	Stakeholder engagement and involvement to become a systematic process managed through the communications workstream. In particular, parents and young people to be targeted. Monthly breakfast meetings with schools' core BSF teams.	2	Medium	1	Low	Low
								b. Ensure that all school stakeholders understand and engage with the vision in the SFC.	Helen Ryan	Ensure schools involve stakeholders appropriately in the process of strategy development through briefings and workshops.					
								c. Schools understand SFC vision and are able to translate this into their own SSFC.	Emma Johnstone	All remaining BSF schools commence visioning in September 2009 to be completed by February 2010. Programme of support has already been developed and communicated to schools. BSF Ambassador to liaise with Learning Services on continuation of change management programme and CPD for schools to ensure continuity and a steady rate past February 2010. John Garratt to send out the latest version of the SFC2 to schools September with a covering letter to ensure they are fully aware of the corporate vision					
ED21	Education	The education vision captured fails to achieve transformation.	3	High	2	Medium	High	a. Careful strategy and support for implementing the vision during engagement.	Emma Johnstone	Individual School Project Plan prepared and submitted to schools as part of a written brief. To provide clarity and suitable notice of the programme going forward. Mike McPherson supporting schools to brief HTs on the programme of work ahead and the support available.	2	Medium	1	Low	Low
								b. Allow sufficient time to achieve this to suit the school resource requirements and timetable.	Emma Johnstone	Individual School Project Plan prepared and submitted to schools as part of a written brief. To provide clarity and suitable notice of the programme going forward. Mike McPherson to brief HTs on the programme of work ahead and the support available.					

Leicester City Council BSF - Strategy For Change Risk Matrix (for Phase 2 and Future Phases)

Risk Categorisation Matrix		Probability		
Impact		Low	Medium	High
1 Low	Low	Low	Medium	High
2 Medium	Medium	Low	Medium	High
3 High	High	Medium	High	High

PRJ	Risk Category	RISK DESCRIPTION	RISK RATING					PROPOSED COUNTERMEASURES	MITIGATION BY	PROGRAMME	RISK RATING AFTER COUNTERMEASURES				
			Impact if exposed (1-3)	Impact Rating	Probability of Risk (1-3)	Probability Rating	Risk Assessment				Actions / Outcomes Required	Risk Owner	Target date for completion	Impact if exposed (1-3)	Impact Rating
ED22	Education	Schools lose confidence in BSF programme and disengage.	3	High	2	Medium	High	a. Need to establish support from each school to the BSF programme and the works proposed at their individual schools. b. Maintain support through continued engagement with schools and up dates regularly. Answer all concerns promptly.	Helen Ryan Helen Ryan	Commences at educational visioning and continues right through to commencement of operations within the new/refurbished school. Repeated communication of the process and programme to schools such that they understand what is required of them and when. Employment of SDO's dedicated for each school who is responsible for this communication. Holding regular breakfast meetings with key school stakeholders. Ongoing - to restart in Sept. 09.	2	Medium	1	Low	Low
ED25	Education	The preferred option for Babington has not been agreed (i.e. should this be retained on the existing site or relocated to a new site). This affects the overall estates strategy for pupil place planning and the phasing programme.	3	High	2	Medium	High	a. Engage with the school. Conduct a formal option appraisal. Review pupil place planning assumptions in light of the Babington preferred option proposal.	John Garratt	Babington to be retained - work with school to maximise transformational opportunities during redevelopment.	1	Low	1	Low	Low
ED26	Education	Inability to achieve future BSF funding due to lack of an acceptable response to national challenge.	3	High	2	Medium	High	Keep cabinet aware of the implications of decisions in this regard on the BSF programme and the achievement of future funding. Cabinet to review decisions once the SFC has been accepted or rejected by PIS.	Helen Ryan	Has been done. Need to use every opportunity to reinforce this issue. Current proposals supported by Government and risk of rejection of approach is falling	3	High	1	Low	Medium
ST01	Stakeholders	Stakeholders do not understand their roles and responsibilities leading to working at cross purposes and delay to the programme. Misunderstandings lead to errors and omissions.	2	Medium	3	High	High	a. Identify the stakeholders (communication mapping plan) as part of the Communications Plan review process.	Graham Pearse	Stakeholders should be identified in the Strategy for Change and the Communications plan in the PID. Engagement required with all relevant stakeholders as each phase comes on line right through until construction complete and operations well underway.	1	Low	2	Medium	Low
								b. Brief stakeholders on the process and desired outcomes. Use tools such as responsibilities assignment matrix to ensure stakeholders are aware of their roles and responsibilities with regard to each identified task and when and how much commitments will be required.	Helen Ryan	Holding regular breakfast meetings with schools stakeholders and in-school briefings.					
									John Garratt	Determine the responsibilities of each stakeholder for each school in a phase and ensure that these are fully understood. On a phase by phase basis.					
									Project PM	Once appointed, ensure that stakeholders continue to understand their responsibilities and undertake these in accordance with the programme.					
									Helen Ryan	Holding regular breakfast meetings with schools stakeholders. Monitor stakeholder feedback to ensure that communication is happening effectively and in-school briefings.					
									John Garratt	Involved in the schools consultation on a phase by phase basis to ensure the project team and LEP are communicating effectively with the schools.					
ST02	Stakeholders	BSF agenda changes due to political changes nationally and / or locally - scope of project changes	3	High	3	High	High	a. Develop a strategy for implementing programme as quickly as possible to achieve budget commitments before political changes are made.	John Garratt	Underway. Portfolio board has agreed to plan to take all schools forward at the same time. The project team cannot impact on changes of government nationally or locally but being aware of impending programme and budgetary changes will enable the BSF team to act more quickly and effectively.	3	High	2	Medium	High
								b. Progress the LCC BSF programme (signing of contracts) as quickly and efficiently as possible such that budget is ring-fenced as soon as possible for future schools phases.	John Garratt	Ongoing. Strategy to be generated as soon as possible for proceeding with all phases at once.					
ST04	Stakeholders	Trade union dispute causes project delays	2	Medium	2	Medium	Medium	a. Continuous engagement with all relevant trade union representatives to keep them fully aware of the BSF programme and the implications for their members. Ensure that all union feedback and concerns are adequately dealt with.	Helen Ryan Stephen Trebble	Regular meetings with Trade Unions set up to ensure these key stakeholders are fully engaged and involved in TLE developments.	2	Medium	2	Medium	Medium
ST05	Stakeholders	Strategic level stakeholders are not adequately engaged to ensure buy-in and efficient reaction to programme.	2	Medium	2	Medium	Medium	a. Once stakeholders have been identified (stakeholder mapping), brief them on the process and desired outcomes. Use tools such as responsibilities assignment matrix to ensure stakeholders are aware of their roles and responsibilities with regard to each identified task and when and how much commitment will be required.	Graham Pearse	Stakeholders should be identified in the Strategy for Change and the Communications plan in the PID. Engagement required with all relevant stakeholders as each phase comes on line right through until construction complete and operations well underway.	2	Medium	1	Low	Low
								b. Ensure regular communication with stakeholders.	Helen Ryan	Stakeholder engagement and involvement to become a systematic process managed through the communications workstream. In particular, parents and young people to be targeted. Monthly breakfast meetings with schools' core BSF teams.					
									Graham Pearse	Insight web page, briefing consultation documents, consultation process etc. - all ongoing.					
									Graham Pearse	Several feedback mechanisms currently available for stakeholders to feedback. Schools Forum meets every month to enable questions to be raised and answered. All communication of this kind is currently logged. Communications officer to ensure that all communications of this nature is dealt with.					
ST06	Stakeholders	The project is delayed or the scope changed as a result of PIS engagements (approvals) and/or poor communications.	2	Medium	1	Low	Low	a. Engage regularly with PIS to ensure that they know exactly what the BSF team are doing and are up to date with strategy and programme but also to understand what PIS process/strategy changes might be coming.	Helen Ryan	PIS attend the TLE Portfolio Board meeting monthly. PIS representatives to attend a monthly meeting with HMR, John Garratt and LEP.	2	Medium	2	Medium	Medium
								b. Discuss deliverables in good time with PIS such that they are aware of contents and will accept the format and such that they can plan to be ready to review and approve when the deliverable is issued.	John Garratt	Format for Stage '0' report for Phase 2a is to be discussed with PIS when this is ready - before end June 09.					

Leicester City Council BSF - Strategy For Change Risk Matrix (for Phase 2 and Future Phases)

Risk Categorisation Matrix

Impact	Probability		
	Low	Medium	High
1 Low	Low	Medium	High
2 Medium	Low	Medium	High
3 High	Medium	High	High

PRJ	Risk Category	RISK DESCRIPTION	RISK RATING					PROPOSED COUNTERMEASURES	MITIGATION BY	PROGRAMME	RISK RATING AFTER COUNTERMEASURES				
			Impact if exposed (1-3)	Impact Rating	Probability of Risk (1-3)	Probability Rating	Risk Assessment				Actions / Outcomes Required	Risk Owner	Target date for completion	Impact if exposed (1-3)	Impact Rating
ICT01	ICT	ICT doesn't deliver transformation due to a lack or underdevelopment of vision	2	Medium	2	Medium	Medium	a. Task the ICT transformation and learning group to draft an ICT vision which builds on the CYPs ICT Strategy and outlines an action plan to ensure the Strategy for Change becomes a reality. This vision and action plan to be consulted on with all Stakeholders. b. Allow sufficient time for full engagement with individual schools to generate school specific visions for ICT that align with the Schools SFC's.	Helen Wright - Chris Springett Helen Wright - Chris Springett	Commences with the drafting of the school specific SFC at education visioning at each school.	2	Medium	1	Low	Low
ICT02	ICT	Transformation through ICT is impeded due to an inadequate transformation plan, or inadequate implementation of that plan	3	High	2	Medium	High	a. Detailed ICT project planning, with agreed milestones and appropriate project controls including risk management and reporting. a. Develop an ICT based transformation strategy with each school in good time prior to the completion of construction of the new/refurbished facilities. b. Integrated project planning between ICT, construction, FM, LA and schools to ensure a joined up approach. c. Ensure school commitment to release Staff for training is obtained c. Use Prince 2 project management d. Develop a change strategy with each school in good time prior to the completion of construction of the new/refurbished facilities. e. Enact change in accordance with strategy and programme - ensure sufficient skilled resources are committed on both sides to achieve this.	Helen Wright Helen Wright - Chris Springett Jim Tebbutt Helen Wright Ian Colledge Helen Wright - Chris Springett Ian Colledge	Commences with the drafting of the school specific SFC at education visioning at each school. Most important stages are in determining the ICT strategy for the school during Stage 1 and then during construction works before completion is due. Commences with the drafting of the school specific SFC at education visioning at each school. Most important stages are in determining the ICT strategy for the school during Stage 1 and then during construction works before completion is due.	2	Medium	1	Low	Low
ICT03	ICT	Transformation is impeded due to insufficient ICT funding	3	High	3	High	High	a. Ensure that the maximum amount of funding achievable for each school is firstly achieved and then determine what extra over 3rd party funding might be achievable such that maximum budget is realised for each school. b. Ensure that the budget is used in the best way possible to achieve transformation at each school. c. Re work with schools the total cost of ownership to give accurate assessment of funding required for service	Jill Craig Colin Sharpe Douglas Cook	PIS budget determination for each school is defined by the SFC/FAM. Once this is determined, other budget sources should be investigated. TCO is understood by schools.	3	High	3	High	High
ICT04	ICT	Sustainability of ICT solution after 5 years is jeopardised	2	Medium	2	Medium	Medium	a. Ensure that the most sustainable solutions are developed for each school and that solutions are flexible such that technological advancements in the next five years can be applied without significant modifications to the solutions chosen. b. ICT contractor, LA and schools to agree, up front, an appropriate refresh policy to ensure that, over the five year period, technology is refreshed to ensure that it does not go out of date and it is simply too old c. Re-use of older equipment in less business critical areas (i.e. re-use of PCs are thin client "dumb terminals" for internet access in communal areas) d. ICT Contractor to define their long term strategy and road map for ICT solutions	Helen Wright Jim Tebbutt FM Service Manager Jim Tebbutt Jim Tebbutt	Commences during the selection of the most appropriate strategy for each school but also, for the LEP, in the development of the solution during Stage 1 and Stage 2 design. To form part of the Stage '1' submission	2	Medium	1	Low	Low
ICT05	ICT	Failure to take advantage of new opportunities (technological risk)	2	Medium	2	Medium	Medium	a. Relates to the risk above. Ensure sufficient flexibility in the solution chosen such that new opportunities can be added without significant cost. b. Use best value clauses of the ICT Contract (clause 12) to ensure the LEP continues, over the period of the contract, to demonstrate vfm c. Ensuring ICT Contractor continues to provide a standards-based solution (i.e. a solution to government and industry de facto standards to ensure easier interoperability in the future - whilst this can never be guaranteed, a standards based provision will mitigate the risk to a certain extent).	Helen Wright Jim Tebbutt FM Service Manager Helen Wright	Commences during the selection of the most appropriate strategy for each school but also, for the LEP, in the development of the solution during Stage 1 and Stage 2 design. To form part of the Stage '1' submission	2	Medium	1	Low	Low
ICT06	ICT	ICT is not integrated with the Capital works at design level - solution is not 'joined up'	2	Medium	2	Medium	Medium	a. Council to ensure that Stage 1 solutions demonstrate full integration of the ICT solution into the building design. b. good communications required between the capital works design and construction team and the ICT solution designer.	Helen Wright Jim Tebbutt	Commences during the selection of the most appropriate strategy for each school but also, for the LEP, in the development of the solution during Stage 1 and Stage 2 design. Part of the Stage '1' submission process	2	Medium	1	Low	Low
ICT07	ICT	Phasing of ICT implementation does not mesh with the capital works	2	Medium	2	Medium	Medium	a. ICT implementation to be carefully programmed into the overall programme for capital works new build or refurbishment. Suitable allowance to be made for training for the implementation of new ICT solutions.	Helen Wright Jim Tebbutt	LEP needs to be aware of programme requirements for ICT implementation and so this must be factored in during the development of the programme in Stage 2. To form part of the Stage '2' submission	2	Medium	1	Low	Low
								a. Overall BSF programme to be planned with the LEP.	David Lockhart	Council to involve LEP now in the decisions on future phasing that goes in the SFC.					

Leicester City Council BSF - Strategy For Change Risk Matrix (for Phase 2 and Future Phases)

Risk Categorisation Matrix		Probability		
Impact	Low Medium High	Low	Medium	High
		1	Low	Low
2	Low	Medium	High	
3	Medium	High	High	

PRJ	Risk Category	RISK DESCRIPTION	RISK RATING					PROPOSED COUNTERMEASURES	MITIGATION BY	PROGRAMME	RISK RATING AFTER COUNTERMEASURES				
			Impact if exposed (1-3)	Impact Rating	Probability of Risk (1-3)	Probability Rating	Risk Assessment				Actions / Outcomes Required	Risk Owner	Target date for completion	Impact if exposed (1-3)	Impact Rating
PSC01	Partners / Supply Chain	LEP / Supply Chain becomes insolvent	3	High	1	Low	Medium		Jim Tebbutt	By completion of the SFC	2	Medium	1	Low	Low
PSC02	Partners / Supply Chain	LEP / Supply Chain becomes subject of a takeover and this affects quality of services provided.	3	High	1	Low	Medium	a. LCC to continue to attend LEP board meetings as these will provide the information that indicates that such a risk might occur.	FM Service Manager	Ongoing - last Tuesday of every month.	2	Medium	1	Low	Low
								b. Ensure that PA and contracts are kept in place, updated and adhered to.	FM Service Manager	Ongoing					
PSC03	Partners / Supply Chain	Refinancing risk - relationship risk with new partner, different supply chain, future procurement problems	3	High	2	Medium	High	a. This may not be prevented for the PFI schools but the services providers should remain the same. The issue is if the new partner changes the operating regime of the service providers which affects performance. This can be mitigated through comprehensive performance specifications.	FM Service Manager	Performance specifications to be kept up to date and to reflect fully the stakeholder requirements.	2	Medium	2	Medium	Medium
PSC04	Partners / Supply Chain	Roles and responsibilities not clearly defined between Council and LEP leading to inefficiency and delays in the programme.	2	Medium	2	Medium	Medium	a. SPA and Partnering Services specification kept updated and regularly referred to.	FM Service Manager	PID produced for the SFC and Phase 2a onwards. To be updated regularly. NPP letters required for every phase and sub-phase.	2	Medium	1	Low	Low
								b. Careful Project Management and PM procedures required such that roles and responsibilities are clearly understood.	David Lockhart	PM procedures and Council team roles and responsibilities are defined in the newly updated PID (end Feb 09). Ongoing responsibility of PM team to resolve who is responsible for each task both within the broader Council team and between the Council team and the LEP.					
								c. New Project Proposals to be clear and concise as to what is required of the LEP and are to contain the Councils PID document that defines Council roles and responsibilities.	John Garratt / David Lockhart	NPP request letter for Phase 2a works issued and was carefully thought out to make clear what the LEP was to be responsible for.					
PSC05	Partners / Supply Chain	Succession Planning is not undertaken leading to lack of continuity of staff causing inefficiencies.	2	Medium	2	Medium	Medium	a. Careful definition of roles and responsibilities and skills gaps.	Strategic Director, Children	This should be undertaken now and kept up to date.	2	Medium	1	Low	Low
								b. Both LEP and Council should undertake succession planning to ensure there is continuity of experienced management in these roles throughout the programme delivery phase and beyond.	Stephen Trebble						
PSC07	Partners / Supply Chain	Failure to agree new contracts (changes to SPA and other contract docs) jeopardises partnership.	2	Medium	2	Medium	Medium	a. Use the existing contract wherever possible.	FM Service Manager	As and when any changes to the contract are required.	2	Medium	1	Low	Low
								b. If changes are required, discuss these as early as possible with the LEP such that implications and issues can be ironed out.	FM Service Manager	Prior to Stage '1' submission					
PM01	Programme Management	TLE team does not have sufficient skills / capacity to deliver the programme	2	Medium	2	Medium	Medium	a. Carry out TLE organisational review to identify where additional staff/resource needs occur.	Helen Ryan	Completion of Appendix R review to establish new TLE structure and ensure sufficient capacity to support all schools. Skills transfer programme planned and delivered to ensure all TLE staff have confidence to work with schools. Regular (annual) updates and development days for TLE staff scheduled.	2	Medium	1	Low	Low
								b. Fill gaps through internal/external recruitment and/or employment of contract staff or external consultants.	Helen Ryan	PID produced for the SFC and Phase 2 identifies key roles within the programme. Resources are to be monitored against this and a schedule produced detailing the required resources for future phases.					
								c. Succession planning at BSF team level required in order to train in-house resources to take up positions in the team later in the programme.	Helen Ryan	Review of high-level TLE resource review and Phase 2 resource needs schedule to determine staff needs for future phases in order to develop a succession plan. Commence training of those identified internally for future posts as soon as possible.					
PM02	Programme Management	Roles and responsibilities not clearly defined causing work at cross-purposes and/or duplication of tasks	2	Medium	2	Medium	Medium	a. Project structure and job descriptions produced for BSF team members to ensure that roles do not overlap and everyone is clear on their responsibilities (PID).	John Garratt / David Lockhart	Links to risk PM01 - once resource needs are required, new job descriptions are to be produced immediately after for any new positions. Those already produced should be reviewed and updated as required.	2	Medium	1	Low	Low
								b. Tasks to be defined and delegated carefully to avoid overlaps (HR - Education Vision, JG - Estates Strategy).	Helen Ryan	Links to risk PM01 and job descriptions above and also to the phase programme. Once job descriptions have been finalised, individual programme tasks are to be assigned to each person filling these job descriptions.					
									John Garratt	Links to risk PM01 and job descriptions above and also to the phase programme. Once job descriptions have been finalised, individual programme tasks are to be assigned to each person filling these job descriptions.					
PM03	Programme Management	Impact of LCC internal and ongoing single status review and corporate support services transformation programme on the project	2	Medium	1	Low	Low	a. Requirements of the BSF programme should be communicated to cabinet members and Strategic Directors Board prior to reorganisation such that this doesn't negatively affect the programme.	Helen Ryan	Prior to the reorganisation.	2	Medium	1	Low	Low
PM06	Programme Management	Current phasing proposals may not be viable if City of Leicester is the only school in Phase 2c that could be delivered as a PFI.	3	High	2	Medium	High	a. Seek advice from the LEP as to the commercial viability of PFI in Phase 2c with only one school suitable for this.	John Garratt	City of Leicester to be accelerated and developed with CH as a two school PFI.	3	High	1	Low	Medium
								b. Determine which other school(s) might be brought into Phase 2c as PFI schools to improve the viability of this Phase as a PFI.	John Garratt	City of Leicester to be accelerated and developed with CH as a two school PFI.					
PM07	Programme Management	Change across the Programme is not managed properly due to inadequate planning or a lack of a robust change management process	2	Medium	3	High	High	a. Ensure that Programme management is appropriately lead and adequate change management process is established and performance monitored.	John Garratt	Ongoing		#N/A			

Leicester City Council BSF - Strategy For Change Risk Matrix (for Phase 2 and Future Phases)

Risk Categorisation Matrix

Impact	Probability		
	Low	Medium	High
1 Low	Low	Medium	High
2 Medium	Low	Medium	High
3 High	Medium	High	High

PRJ	Risk Category	RISK DESCRIPTION	RISK RATING					PROPOSED COUNTERMEASURES	MITIGATION BY	PROGRAMME	RISK RATING AFTER COUNTERMEASURES				
			Impact if exposed (1-3)	Impact Rating	Probability of Risk (1-3)	Probability Rating	Risk Assessment				Actions / Outcomes Required	Risk Owner	Target date for completion	Impact if exposed (1-3)	Impact Rating
PM 08	Programme Management	Co-ordination of the Projects within the Programme is inadequately managed, leading to mismatches on decision making timelines and delivery to each school.	2	Medium	2	Medium	Medium	a. Ensure adequate communication and reporting structures are built into the programme management plan	David Lockhart	Ongoing		#N/A			
COM02	Communication	BSF receives adverse publicity leading to political damage and loss of credibility.	2	Medium	2	Medium	Medium	a. Regular communications with stakeholders and the media (relationship building and management) to ensure that any issues are not left unresolved and news stories are reported correctly and fairly.	Helen Ryan	Appointment of Communications Lead Officer for TLE and Learning Services is critical (joint appointment). To be in post by September 09	2	Medium	1	Low	Low
								b. Learn from bad press and take immediate corrective action.	Helen Ryan	Ongoing					
COM04	Communication	Historical issues hinder positive support for BSF	2	Medium	2	Medium	Medium	a. Engage with stakeholders to understand any concerns they might have regarding Phase 1 issues. Resolve these issues going into Phase 2 and subsequent phases through reference to lessons learnt and amendments to the process.	Mike McPherson	Evaluation has been completed. Amendments and additions currently ongoing. Plan developed to alleviate problems that occurred during Phase 1 (toolkit produced plus other measures).	2	Medium	1	Low	Low
								b. Establishment of a BSF 'Champions' group to help generate a positive BSF culture.	Mike McPherson	Being established now and will meet for the first time before the end of summer term 2009.					
HR01	Human Resources	Compensation claims from Council staff.	2	Medium	2	Medium	Medium	a. Engagement with Council staff regularly such that they understand how the BSF programme impacts on them.	Louise Pinnock	Should commence during initial engagement with schools during Stage 1 development.	2	Medium	1	Low	Low
								b. Early engagement with staff identified as having possible cases for compensation.	Louise Pinnock						
								c. Early engagement with Trade Unions.	Louise Pinnock						
HR02	Human Resources	TUPE issues - trade union dispute and impact of adverse publicity caused by trade union dispute.	2	Medium	2	Medium	Medium	a. Engagement between Council, Council staff to be transferred to private sector provider, Trade Unions and LEP as soon as possible once operational solutions for each school have been agreed.	Helen Ryan	Should commence during initial engagement with schools during Stage 1 development. HR workstream lead to form part of the programme management team and provide regular reports on risks and mitigations.	2	Medium	1	Low	Low
									Louise Pinnock						
HR03	Human Resources	Unfair dismissal claims (associated with TUPE transfers)	2	Medium	2	Medium	Medium	a. Careful planning for future operational resource needs such that staff are dismissed with good reason and not unfairly. b. Careful record keeping and probity. c. Engagement with Trade Unions.	Louise Pinnock	Should commence during initial engagement with schools during Stage 1 development.	2	Medium	1	Low	Low
D&C01	Design / Construction	Abortive design due to new requirements / changes in visions and objectives	2	Medium	2	Medium	Medium	a. Review and challenge vision and objectives for each school prior to design work commencing.	Emma Johnstone	Commences for each phase and sub-phase after the LEP has agreed to submit a New Project Proposal.	2	Medium	1	Low	Low
								b. Whenever possible LEP to carry out design work only after Council and PFS have signed off and approved previous stage/report.	John Garratt	Following PFS protocols for NPP, Stage '0', Stage '1' and Stage '2' approvals for Phase 2a and all future phases.					
								c. If work must be carried out 'at risk' then ensure close communication and monitoring of design work to ensure designs are in accordance with Council and stakeholder needs. Seek agreement from cabinet to 'at-risk' working.	John Garratt	Cabinet papers submitted already to make clear the nature of 'at-risk' work in Phase 2a. Regular monitoring required of Phase 2a development and updates to cabinet.					
D&C02	Design / Construction	Data and information is not provided in a timely manner resulting in delay.	2	Medium	2	Medium	Medium	a. Plan with the LEP what information is required and when.	John Seed	Brainstorming between LEP and Council team to identify phase information requirements. Commences for each phase and sub-phase before a New Project Proposal letter is issued to the LEP by the Council. Phase 2a and 2b information requirements identified. Phase 2c to commence once issue regarding which schools go in this phase is resolved.	2	Medium	1	Low	Low
									Jim Tebbutt	By issue of appropriate NPP letter					
								b. Produce a schedule for this and determine who is the best person in the Council/LEP team to retrieve the information required.	John Seed	Information required schedules produced for phases 2a and 2b. Schedule to be produced for 2c once schools issue is resolved.					
								c. Hold regular full team meetings (monthly) to monitor information retrieval and issue to LEP.	David Lockhart	Meetings are currently being held every two weeks at which information requirements for each phase are discussed. Meetings attended by Council team and LEP.					
D&C03	Design / Construction	Designs are rejected as not fulfilling the brief leading to delay in the programme.	2	Medium	1	Low	Low	a. LEP and Property Services to be involved in schools engagement for visioning and SSFC and EDB.	Emma Johnstone	Commences for each phase and sub-phase after the LEP has agreed to submit a New Project Proposal.	2	Medium	1	Low	Low
								b. Communicate design requirements clearly to the LEP.	John Garratt	NPP request letter for Phase 2a works issued and was carefully thought out to make clear what the LEP was to be responsible for in terms of design. Council involved in Stage 1 design development.					
								c. LEP to work with stakeholders, Council BSF team and Property Services throughout the Stage 1 & 2 development processes such that designs are developed with inputs from all concerned parties.	Jim Tebbutt	To be agreed in line with agreement of consultation / design programme for Stage '1'					
D&C04	Design / Construction	Errors / omissions in the reviewable design data (RDD) leading to schools/Council not getting what was required.	2	Medium	1	Low	Low	a. Minimise the amount of RDD in the first place - design solutions to be fully developed at the end of Stage 2.	Jim Tebbutt	Commences for each phase and sub-phase after the LEP has agreed to submit a New Project Proposal and continues right through design and construction stages.	1	Low	1	Low	Low
								b. LEP to work with stakeholders, Council BSF team and Property Services post Financial Close and right through construction such that designs and construction are carried out to the satisfaction of all concerned parties. RDD should largely be resolved prior to Financial Close. One of the major difficulties within Phase 1 was that RDD was carried forward into the construction phase across too broad a spectrum of items. The mitigating action is to reduce significantly the extent of RDD included within the contract documentation.	Stephen Trebble	Design Development meetings pre-Financial Close					
									Helen Ryan	Sign-off of LEP proposals at Stage '1' and Stage '2' following sign-off by the Authorities Rep. Also ensure an integrated and effective design team and reduce the adversarial nature of some interactions.					

Leicester City Council BSF - Strategy For Change Risk Matrix (for Phase 2 and Future Phases)

Risk Categorisation Matrix		Probability		
Impact	Low	Low	Medium	High
		1	Low	Medium
Medium	2	Low	Medium	High
		Medium	High	High
High	3	Medium	High	High

PRJ	Risk Category	RISK DESCRIPTION	RISK RATING					PROPOSED COUNTERMEASURES	MITIGATION BY	PROGRAMME	RISK RATING AFTER COUNTERMEASURES					
			Impact if exposed (1-3)	Impact Rating	Probability of Risk (1-3)	Probability Rating	Risk Assessment				Actions / Outcomes Required	Risk Owner	Target date for completion	Impact if exposed (1-3)	Impact Rating	Probability of Risk (1-3)
D&C05	Design / Construction	Customer quality expectations not realised (design development, defects, project delivery, fitness for purpose, disruption during construction)	2	Medium	2	Medium	Medium	a. Requires full engagement with stakeholders during the design development stages such that quality expectations are realistically set.	Jim Tebbutt	Commences for each phase and sub-phase after the LEP has agreed to submit a New Project Proposal and continues right through design and construction stages.	1	Low	1	Low	Low	
								b. Stakeholders continue to be consulted and involved throughout construction period such that the quality aspirations match actual quality achieved. Continuity of the school vision throughout the design process will be monitored.	Stephen Trebble							
D&C06	Design / Construction	Delays / rethinks as a result of planning issues	2	Medium	2	Medium	Medium	a. Include LCC planners as stakeholders. Consequently, LCC Planners should be engaged from the earliest point in consultation for each phase and then right through the design development process such that they are aware of, and can comment on, proposed designs.	Jim Tebbutt	Commences for each phase and sub-phase before a New Project Proposal letter is issued to the LEP by the Council and then right through design development stages.	2	Medium	1	Low	Low	
D&C07	Design / Construction	Design and construction not delivered on time (against programme agreed with the schools)	3	High	2	Medium	High	a. LEP set realistic programmes for the schools design and construction periods in the first place and aim to complete schools at times to suit school decant requirements.	Jim Tebbutt	Programming commences for each phase and sub-phase before a New Project Proposal letter is issued to the LEP by the Council and then right through design development and construction.	2	Medium	1	Low	Low	
								b. Monitor design and construction progress and instigate acceleration measures if falling behind.	Stephen Trebble							
D&C08	Design / Construction	Sustainability targets are not achieved	2	Medium	2	Medium	Medium	a. Council to set realistic sustainability targets in the first place that are achievable within the budget allowance for each school.	John Garratt	Sustainability targets should be set for the LEP in the New Project Proposal letter. LEP to work to these throughout design development stages. Meetings being held now between the Council and LEP to agree on sustainability targets for Phase 2a schools.	2	Medium	1	Low	Low	
								b. LEP to develop designs during Stage 1 and 2 that achieve sustainability targets.	Jim Tebbutt							To form part of the Stage '2' submission
D&C09	Design / Construction	Inadequate specs provided (Authorities Requirements) - lack of clarity / definitions	2	Medium	2	Medium	Medium	a. Council to review lessons learnt from Phase 1 schools development and amend specifications where necessary.	Maurice Brice	Commences for each phase and sub-phase before a New Project Proposal letter is issued to the LEP by the Council and then right through design development stages.	2	Medium	1	Low	Low	
D&C10	Design / Construction	Inadequate change process established	2	Medium	2	Medium	Medium	a. Change process to be reviewed and agreed internally within the Council for desired Council initiated changes (i.e. approvals, justifications etc.).	FM Service Manager	Ongoing - for review on appointment of new FM manager	2	Medium	1	Low	Low	
								b. Change process to be reviewed and agreed with the LEP for instigating such changes at various points in the design and/or construction phases.	FM Service Manager	By Financial Close of each phase						
D&C11	Design / Construction	Value Engineering activities lead to failure in achieving aspects of the education vision.	2	Medium	2	Medium	Medium	a. Develop a LCC/LEP value engineering process for pre-contract value engineering that involves necessary stakeholders in decision making.	John Garratt	Value engineering workshops to be held during Stage 1 and 2 for the development of solutions for each school. Schools and educational stakeholders to be included.	2	Medium	1	Low	Low	
								b. Involvement of necessary stakeholders in the value engineering process such that the implications of decisions made is fully understood not just in terms of money saved but also in terms of impacts on education transformation.	Jim Tebbutt							To form part of the Stage '2' submission
C&L01	Contract / Legal	Contracts are not signed / agreed	2	Medium	2	Medium	Medium	a. LEP to identify any project specific derogations required for future phases.	Jim Tebbutt	By Financial Close of each phase	2	Medium	1	Low	Low	
								b. LEP to initiate early engagement with Council legal team regarding proposed derogations.	Jim Tebbutt							To form part of the Stage '2' submission
C&L02	Contract / Legal	funder requires LCC and LEP to use the new PFS form of contract (rather than the agreed Phase 1 contract previously used).	2	Medium	2	Medium	Medium	a. Confirm the proposed contract as soon as possible with LEP.	Joanna Bunting	Needs to be agreed in writing prior to the issue of the NPP letter for each new phase of work. Original contracts to be used for Phase 2a. To be made clear for future phases in the Stage '0' submission and resolved if problematic before the Stage '2' submission is due.	2	Medium	1	Low	Low	
C&L03	Contract / Legal	LEP don't comply with the contract requirements	2	Medium	2	Medium	Medium	a. New Project Proposals to comply with the New Project request and SPA.	John Garratt	Ongoing. Council involved in Stage 1 design development process for Phase 2a schools and so can monitor this.	2	Medium	1	Low	Low	
								b. Construction to comply with the agreed contract.	Authority's Rep							Authority's Rep to be appointed by Financial Close.
								c. Monitoring of service delivery (FM and ICT contracts)	FM Service Manager							Monthly
C&L04	Contract / Legal	Phases are delayed / altered due to judicial review (e.g. planning, footpaths, trees, statutory proposals etc.)	2	Medium	1	Low	Low	a. Ensure that all interested parties that could instigate such a review are identified and included as far as possible in the process from the outset of every phase such that a judicial review is not required.	John Garratt	Engagement required with all relevant stakeholders as each phase comes on line right through until designs completed and approved.	2	Medium	1	Low	Low	
								b. Ensure that all Governors are familiar with the proposed solution for each school.	Jim Tebbutt							By Financial Close of each phase
C&L05	Contract / Legal	Delays caused by Governors' Agreement	2	Medium	1	Low	Low	a. Ensure that all Governors are familiar with the basic Governor's Agreement	Joanna Bunting	Should be factored into the programme for each phase at Stage 0 development stage before the NPP letter is prepared.	2	Medium	1	Low	Low	
								b. Ensure that all Governors are familiar with the proposed solution for each school.	John Garratt							Brief Governors at the Phase 2a schools as soon as possible.
								c. Firm up what we expect from schools in terms of schools contribution.	Colin Sharpe							Review existing Governors contributions and table amended funding following the Funding Review to commence April 2010.
								d. Inform Governors of Councils external legal panel.	Joanna Bunting							Required when the LEP confirms that they are going to submit a Stage 1 proposal.
C&L06	Contract / Legal	Funding Structure becomes unworkable within PFI deals	3	High	1	Low	Medium	a. LCC/LEP to structure programme such that PFI's are attractive to the market.	John Garratt	Should be agreed at SFC stage and then agreement reached for each subsequent phase. Phase 2c is the next phase where this risk could occur.	2	Medium	1	Low	Low	
								b. LEP to carry out due diligence for funders in PFI deals	Stephen Trebble							
									Stephen Trebble							

Leicester City Council BSF - Strategy For Change Risk Matrix (for Phase 2 and Future Phases)

Risk Categorisation Matrix		Probability		
Impact	Low	Low	Medium	High
	Medium	1 Low	2 Medium	3 High
	High	2 Low	3 Medium	High

PRJ	Risk Category	RISK DESCRIPTION	RISK RATING					PROPOSED COUNTERMEASURES	MITIGATION BY	PROGRAMME	RISK RATING AFTER COUNTERMEASURES				
			Impact if exposed (1-3)	Impact Rating	Probability of Risk (1-3)	Probability Rating	Risk Assessment				Actions / Outcomes Required	Risk Owner	Target date for completion	Impact if exposed (1-3)	Impact Rating
C&L07	Contract / Legal	Sub-contractor and interface agreements are not finalised.	2	Medium	2	Medium	Medium	a. LEP to engage with proposed sub-contractors/suppliers early in the process in order to finalise contracts without delay to the programme.	Jim Tebbutt	By Financial Close of each phase	2	Medium	1	Low	Low
FIN01	Finance (Construction Programme)	Capital is insufficient for enhanced programme aspirations (increased pupil numbers and estate asset requirements) in order to achieve transformation. Affordability gap cannot be bridged.	2	Medium	1	Low	Low	a. Ensure that the maximum amount of capital is justified and achieved from PFS following the submission of the SFC.	John Garratt	Funding Allocation Model in the SFC needs to be carefully developed. From SFC development onwards throughout programme.	2	Medium	1	Low	Low
								b. Investigate all other potential sources of capital to supplement this.	Helen Ryan	Look at DCSF, other Govt. And external private sector sources of funding as soon as possible and make enquiries.					
								c. Perform value management exercises on options for each project to ensure that best value is achieved.	John Garratt	Part of the Stage '0', '1' and '2' engagement and design development process.					
								d. Adjust the programme to reflect the capital available. Scale back to an affordable level.	Helen Ryan	After PFS have advised what funding will be approved for the SFC. Requires careful and timely dialogue with Key stakeholders eg members and schools. Ensure that expectations are managed.					
FIN02	Finance (Construction Programme)	Unplanned costs undermine project funding	3	High	1	Low	Medium	a. Project risk register to be developed for each and every phase and costed such that an appropriate budget can be allocated for unplanned costs.	John Garratt	To be carried out for each phase immediately that the phase comes on-line. Phase 2a and 2b risk registers to be developed now.	2	Medium	1	Low	Low
								b. Affordability / funds available reviewed ahead of each phase and before Financial Close.	Colin Sharpe	To be carried out for each phase immediately that the phase comes on-line and just before Financial Close.					
FIN03	Finance (Construction Programme)	Contingency is inadequate	3	High	2	Medium	High	a. Design risk management carried out by LEP to ensure sufficient contingency to resolve design risks.	Jim Tebbutt	To form part of the Stage '1' submission	2	Medium	2	Medium	Medium
								b. Assess the required Council contingency prior to Financial Close for each phase and seek approval.	Colin Sharpe	Prior to Cabinet Approval (before Financial Close) for each phase.					
FIN04	Finance (Construction Programme)	Funding approval / release is not aligned with programme	2	Medium	2	Medium	Medium	a. Understand from the overall BSF programme when funding will be required for the various phases and ensure that release and approvals are aligned.	John Garratt	Should be undertaken once the final BSF programme has been agreed post-SFC approval and kept under review.	2	Medium	1	Low	Low
								b. Adjust the BSF programme to reflect the capital available.	John Garratt	Funding release should align with the programme in the SFC. If the programme changes or funding release changes then adjust to suit.					
FIN05	Finance (Construction Programme)	Loss or late approval of funding from PFS	3	High	2	Medium	High	a. Ensure that PFS are aware of the efforts being made by the Council, and the LEP to progress the BSF programme as quickly and efficiently as possible.	Helen Ryan	Communication with PFS happening now and to be continued on a regular basis.	3	High	3	High	High
								b. Attempt to ring-fence funding as soon as possible for future phases through approval of the new SFC (refer to FIN01).	John Garratt	SFC to be issued to PFS as soon as possible (due in May) in order to ring-fence budget for future phases.					
								c. Bring future phases on-line as soon as physically possible (refer to FIN01).	John Garratt	Strategy to start all future phases at once is being developed now and is in consultation.					
FIN06	Finance (Construction Programme)	PFI finance is not readily available	3	High	2	Medium	High	a. Ensure PFI packages are attractive to the market place (i.e. right size of package, new build schools etc.)	John Garratt	Starts at the commencement of each PFI package within each phases. See other risks on issue of Phase 2c PFI package above.	2	Medium	2	Medium	Medium
								b. Engage with the market and PFS ASAP as new PFI projects come on-line.	Jim Tebbutt	By Financial Close of each phase					
								c. Ensure that the site specific risk is apportioned in such a way that projects do not become unattractive. LEP to advise on options.	Jim Tebbutt	By Financial Close of each phase					
FIN07	Finance (Construction Programme)	Funding implications of fluctuations in interest rate, inflation, pubsec indices values	3	High	3	High	High	a. Make allowance for these fluctuations in the funding affordability and financial contribution models such that there is sufficient budget available for increases in costs.	Colin Sharpe	Risk analysis to be carried out for each phase immediately that the phase comes on-line.	3	High	3	High	High
FIN08	Finance (Ongoing revenue affordability)	Schools can not afford ongoing revenue requirements for operating costs	3	High	3	High	High	Conduct a comprehensive affordability analysis. Engage with schools regarding the necessary revenue contributions for the provision of enhanced services such that they understand the revenue requirements from an early stage. Also review the funding formula required from the schools.	Colin Sharpe	By January 2010	3	High	3	High	High
FIN09	Finance (Ongoing revenue affordability)	LCC can not afford ongoing revenue requirements for operating costs	3	High	3	High	High	Conduct a comprehensive affordability analysis. Engage with schools regarding the necessary revenue contributions for the provision of enhanced services such that they understand the revenue requirements from an early stage.	Colin Sharpe	Should be undertaken once the final BSF programme has been agreed before SFC approval.	3	High	3	High	High
FIN10	Finance (Client Side Support)	Client side affordability problems caused by resourcing requirements (i.e. outside consultants) and unexpected workload (i.e. for the whole programme and/or at a particular school).	2	Medium	2	Medium	Medium	a. Programming and succession planning for internal resources such that LCC builds up a sustainable team (to reduce reliance on external consultants).	Helen Ryan	To commence immediately and to be reviewed regularly. Completion of Appendix R review to establish new TLE structure and ensure sufficient capacity to support all schools. Skills transfer programme planned and delivered to ensure all TLE staff have confidence to work with schools. Regular (annual) updates and development days for TLE staff scheduled.	2	Medium	1	Low	Low
								b. Careful role and responsibilities descriptions to ensure no overlaps (i.e. no duplication of jobs/tasks) across CYPs, LCC Corporate and the LEP.	Helen Ryan	PID developed for the SFC contains role descriptions and team hierarchy. Review current job descriptions and create new ones if required and assign tasks against these to ensure no overlaps. To commence immediately and to be reviewed regularly. Completion of Appendix R review to establish new TLE structure and ensure sufficient capacity to support all schools. Skills transfer programme planned and delivered to ensure all TLE staff have confidence to work with schools. Regular (annual) updates and development days for TLE staff scheduled.					
									Stephen Trebble						

Leicester City Council BSF - Strategy For Change Risk Matrix (for Phase 2 and Future Phases)

Risk Categorisation Matrix		Probability		
Impact	Low	Low	Medium	High
	Medium	Low	Medium	High
	High	Medium	High	High

PRJ	Risk Category	RISK DESCRIPTION	RISK RATING					PROPOSED COUNTERMEASURES	MITIGATION BY	PROGRAMME	RISK RATING AFTER COUNTERMEASURES				
			Impact if exposed (1-3)	Impact Rating	Probability of Risk (1-3)	Probability Rating	Risk Assessment				Actions / Outcomes Required	Risk Owner	Target date for completion	Impact if exposed (1-3)	Impact Rating
OP12	Operational	equipment/infrastructure. Insurance could cover this but damages could cause disruption to teaching.		Medium		Low	Low	b. Schools are to brief third party users on their responsibilities and the consequences of any damages caused.	Adam Doohan	Ongoing requirement.		Medium		Low	Low
OP13	Operational	Vandalism costs - during normal school hours	1	Low	3	High	Medium	a. Design schools in such a way that enables more and better direct observation of teaching and social spaces (i.e. less nooks and crannies). Work with schools stakeholders to better achieve this.	Adam Doohan	Ongoing during the Stage 1 and Stage 2 design development process for each phase.	1	Low	2	Medium	Low
								b. Make schools aware of the cost of repair/replacement of furnishings and FF&E to incentivise to take appropriate measures to avoid vandalism.	Adam Doohan	Schools stakeholders involved in Stage 1 and Stage 2 design and submission evaluation including cost review.					
								c. Instill a sense of pride in the newly developed school such that students take ownership and do not vandalise premises.	Adam Doohan	Pre and post handover of the completed facilities.					
OP14	Operational	Technology risks (equipment and/or systems become outdated and redundant in the future or spares can't be procured)	1	Low	1	Low	Low	a. Ensure that 'designed-in' technology is latest available (i.e. cutting edge BUT tried and tested) when installed (including ICT). Ensure flexibility in design and ease of repair/replacement for whole units or spares. Technology should not be 'end of production run'.	Adam Doohan	Review of proposed technology during the Stage 1 and Stage 2 design development process and then again during construction immediately before procurement.	1	Low	1	Low	Low
OP15	Operational	Utilities risks - supply disruption or capacity problems including continuity of 'green' power.	3	High	1	Low	Medium	a. Ensure capacities are more than adequate during the design stage (i.e. design-in redundancy into the system).	Adam Doohan	Review of utilities designs during Stage 1 and Stage 2 design development processes.	2	Medium	1	Low	Low
								b. Annual meetings with the LEP to discuss utilities performance and strategy for provision.	Adam Doohan	Ongoing meetings with LEP.					
OP16	Operational	Events causing loss not covered by insurance	3	High	1	Low	Medium	a. Ensure that insurance policies cover all eventualities or that Council is happy to self-insure for specific eventualities should these occur.	Adam Doohan	Ongoing	2	Medium	1	Low	Low
OP17	Operational	Incorrect forecast of the operating phase FM costs (including utilities costs)	1	Low	1	Low	Low	a. Review of the cost of the Phase 1 operating phase FM costs against the original cost estimate to establish how accurate these were. Then, use Phase 1 FM costs as a benchmark starting point for the establishment of future phase FM costs.	Adam Doohan	Ongoing now. Benchmarking Club established to compare benchmark costs from various Authorities.	2	Medium	2	Medium	Medium
								b. Determine any school specific physical or operational requirements that might affect the operating FM service and factor these into the cost estimates.	Adam Doohan	Part of the Stage 1 and Stage 2 design development process.					
OP18	Operational	Escrow plan proves to be insufficient to pay for FM services in the future	2	Medium	3	High	High	a. Following on from mitigation measures for OP17 above, ensure that schools can commit sufficient funds to escrow account to cover all FM services costs throughout the LEP life-span.	Colin Sharpe	Part of the Stage 1 and Stage 2 design development process. Discuss with schools the amount they will need to contribute to the escrow account in order to meet the FM services requirements.	2	Medium	1	Low	Low
								b. Monitor FM costs and amount in the escrow account yearly to establish if the account is running low. If so either look to vary the nature of the FM services provided or source a budget top-up either from Council or elsewhere.	Colin Sharpe	Ongoing					
OP19	Operational	Lack of understanding by schools as to what FM actually is - leading to service compromised due to wrong expectations.	2	Medium	2	Medium	Medium	a. Brief schools stakeholders as early as possible during the Stage 1 process to ensure they understand the exact nature of the FM services that will be provided.	Adam Doohan	Discussions between Council, LEP and schools stakeholders to take place during the Stage 1 design development process for each phase.	2	Medium	1	Low	Low