Stage 2

Risk Potential Assessment

Epping Forest
District Council
www.eppingforestdc.gov.uk

Introduction	
This form helps determine whether a project, programme or policy should have formal Transformation Programme support. ***(You must complete this form if you completed a Stage 1 form and it indicated the project, programme or policy is potentially Medium or High Risk)***. Section E explains how to complete this form.	

Section A – Project, programme or policy details	
1. Is this a project, programme or policy?	**Project**
2. Project, programme or policy name *(Note previous name if changed since last review)*	**P033 Printer Migration**
3. Project, programme or policy type	Business culture *(see section E.5 for guidance on programme and project descriptors)*
4. The name of the Public Sector organisation responsible for the project, programme or policy's delivery.	**EFDC**
5. Lead Directorate or Sponsor Directorate if the delivery organisation is a partner.	Resources
6. Sponsor contact details for the project, programme or policy: Senior Policy Owner – for policy Senior Responsible Owner – project or programme	Name: Glen Chipp, Chief Executive Tel no: 01992564758 Email: gchipp"eppingforestdc.gov.uk
7. Project, programme or policy manager details *(If appointed)*	Name: David Newton, Assistant Director – ICT and FM Tel no: 01992 564580 Email: dnewton"eppingforestdc.gov.uk
9. If a project - name the overarching programme If a programme - list the key projects within the programme. If a policy - name of overarching programme and/or list of key projects.	
10. Estimated delivery cost and whole-life operational cost of the project, programme or policy initiative (if known at this stage).	Delivery cost £55,000 Whole life operational cost £TBC
11. Overall RPA-2 assessment *(Derived from Section D. * Delete as appropriate)*	High
13. RPA-2 Completed by	Name: Gareth Nicholas Date:26/05/2016
14. RPA-2 Approved by (Head of Transformation)	Name: David Bailey Date: 26.05.2016

15. **Background and information on the project, programme or policy to support the overall Complexity Assessment**

Section B – Consequential impact assessment

If we fail to deliver this project, programme or policy:

Strategic Area		VL	L	M	H	VH	
B1 **Political**	There will be no political impact.		X				A major policy initiative or manifesto commitment will be affected. Audit and the Audit Committee have a strong interest in this change initiative.
B2 **Public**	Public services will not be impacted. It will not stimulate interest from public pressure groups.			X			Public services will be affected and there will be significant interest from the media and key stakeholder interests.
B3 **Financial**	There will be little or no exposure of public funds or additional financial burden.				X		There will be very significant financial exposure of public funds, or an additional financial burden.
B4 **Security**	There will be no security or public data handling implications.			X			Significant security or public data handling issues or requirements will have to be addressed.
B5 **Business / Operational / Commercial**	There will be limited impact on the organisation's administration, operations or staff and no changes to regulatory requirements.				X		High profile business problem will remain unaddressed. There will be significant impact on the organisation or commercial markets placing additional regulatory burdens on them. Essential legislative requirements would not be met.
B6 **Dependencies**	There will be no impact on the successful delivery of any other project, programme or policy.				X		It will have a significant impact on other projects, programmes or policy, some of which are totally dependent on this project, programme or policy for their successful delivery. (Ensure you list these, as appropriate, at A9).
		VL	L	M	H	VH	
B7 **Summary assessment**	**Failure to deliver this project, programme or policy will have little or no impact on the delivery of public services or infrastructure. It will not undermine the ambition for the District. It will not impede the delivery of other projects, programmes or policies. Failure to deliver will not leave public finances over-exposed.**				X		**Failure to deliver this project, programme or policy will have a significant impact on the delivery of public services or infrastructure. It will undermine confidence in the District's ability to deliver on key commitments. It will have a high and detrimental impact on the District. It will have consequential impacts on the delivery of other key projects, programmes or policy initiatives and will leave public finances exposed or over-committed.**

[Note: Record summary assessment mark at B.7 at Section D below]

Section C1 – Delivery complexity assessment

The project, programme or policy is delivering in an environment where:

		VL	L	M	H	VH	
C1.1 **Policy / legislation**	Policy and legal implications are fully understood. There are accepted precedents for any changes that need to be made.			X			Policy and legal implications are complex or involve cross-border jurisdictions. Legislative or cross-organisational policy is unclear or subject to change and legal challenge to its implementation is likely.
C1.2 **Business**	The business environment is stable, no significant changes are envisaged. Objectives are easily defined and measured.			X			There is a complex and changing business environment that is dependent on broader change initiatives. There are extensive changes to business operations.
C1.3 **Innovation**	The technologies and techniques are proven for the environment and require little if any adaptation.				X		Leading edge, novel or innovative technology or techniques will be introduced involving a high degree of design, build or implementation complexity.
C1.4 **Commercial**	Established contracts will be used. There will be a single supplier or short supply chain.				X		There will be complex or innovative commercial arrangements. The supplier market is limited and/or very specialist. There will be multiple suppliers or complex / volatile supply chain.
C1.5 **Governance**	A simple and stable governance structure and appropriately scaled project management will support delivery. The key post holders are easily identified and will remain in post.			X			A complex or multi-faceted governance or management structure will be required. Delivery partners may deploy their own methodologies. The governance and management structures will need to change during the life of the project programme or policy and key post-holders are likely to change.
C1.6 **Dependencies**	There are few dependencies on other projects, programmes or policies.				X		There are complex dependency relationships with other projects, programmes, policies or organisations. The planning consent process will be complex and may, for example, require careful management of architectural, historical or environmental issues.
C1.8 **Delivery approach and co-ordination**	There is a co-located project, programme or policy and supplier team operating. The transition from the existing to future state will be simple.		X				There is a complex local or national delivery environment involving the co-ordination of multiple sites and addressing differing cultural approaches. There will be complex testing and transition issues.
		VL	L	M	H	VH	
C1.9 **Summary assessment**	**The challenges to successful delivery are very low and the change is unlikely to threaten objectives.**				X		**There will be a very high degree of challenge and changes are highly likely to threaten achievement of objectives. The delivery environment is very complex and there are multiple dependencies.**

[Note: Record summary assessment mark at C1.9 at Section C4 below]

Section C2 – Capacity and capability complexity assessment

The project, programme or policy is delivering in an environment where:

		VL	L	M	H	VH	
C2.1 **Project / programme team**	The delivery team is fully resourced with the appropriate skills and experience.		X				Resources are not readily available and there will be disruption to key posts within the delivery team. Team members have no previous experience of the type of change or technology they are to implement. Delivery will require access to people with well developed skills and experience in a range of technical and professional disciplines.
C2.2 **Stakeholders / organisation**	The stakeholder community is small and well resourced, informed and knowledgeable. Stakeholders support the delivery of the intended outcomes, their requirements and relative priorities documented, agreed, and unlikely to change.				X		There is a complex stakeholder community that lacks the maturity, resources and skills to engage effectively with the project or programme. The stakeholder environment is continuously evolving and the changes delivered by this project or programme are low on their agenda. There are significantly differing priorities between stakeholder groups.
C2.3 **Suppliers (internal / external)**	There are experienced suppliers operating in a stable market. Supplier resources are skilled and available, with ongoing support and commitment.			X			There is a weak or overstretched market, suppliers will have difficulty sustaining an acceptable level of support for this project or programme and may either withdraw from the process or offer limited solutions to the requirements.
C2.4 **Delivery organisation's strategic leadership / business culture**	There is strong leadership driving this change. Those in leadership positions are experienced and knowledgeable. There are no unforeseen organisational pressures that would put successful delivery at risk.		X				The delivery organisation's strategic leadership is / will be subject to change and have little or no previous experience or responsibility for a implementing change of a similar magnitude or complexity. The project, programme or policy will have to deliver in a challenging cultural, staff or workload environment.
		VL	L	M	H	VH	
C2.5 Summary assessment	**The organisational and stakeholder capacity and capability to deliver this change is in place and unlikely to change in a way that would threaten the project, programme or policy outcomes and objectives.**			X			**There are significant capacity or capability issues to be addressed. Changes across the organisational and stakeholder environment are highly likely to threaten achievement of objectives.**

[Note: Record summary assessment mark at C2.5 at Section C4 below]

Section C3 – Scale complexity assessment

The project, programme or policy is delivering in an environment where:

		VL	L	M	H	VH	
C3.1 **Time**	The delivery timescale is not challenging and is not expected to change. There are no external drivers that impact it. Business continuity and contingency plans have been successfully tested.			X			There are immovable and/or imposed deadlines. Major changes to timescales are likely to occur and there are limited or no contingency options available.
C3.2 **Budget**	Funding is secured. It is within the delivery organisation's budget and delegated limits. The budget is not expected to change and an appropriate and established financial management system is in place. In comparison to the delivery organisation's overall portfolio the costs of this particular project, programme or policy are relatively small.				X		Funding is outside the delivery organisation's spend delegations and will involve complex cross-organisational arrangements. Financial estimates are likely to be subject to significant pressures from ongoing or expected change. External economic conditions will have an affect on funding options or availability. An innovative financing model may be needed to secure project, programme or policy funds. The costs of this particular project, programme or policy are significant, relative to the organisation's overall project or programme spend. An appropriate financial management system is not in place, or the existing system has not been recently audited.
C3.3 **Benefits**	The benefits to be delivered are relatively small, easy to define and measure. Ownership of the benefits is clear.		X				The magnitude of benefits is significant and there will be a complex and changing environment in which they have to be realised. The benefits will be delivered over time, they will be difficulty to identify, communicate and measure.
C3.4 **Quality**	Quality requirements are clear, easily achievable and stable.			X			Quality requirements are extremely challenging, likely to change significantly or will be hard to achieve.
		VL	L	M	H	VH	
C3.5 **Summary assessment**	**The project, programme or policy environment is stable; any changes are likely to be relatively small, easily managed and should not affect the delivery outcomes.**			X			**It is highly likely the project, programme or policy will have to deal with significant and large scale change during its lifecycle. The management of change will need to be very sophisticated and is likely to draw resource and leadership capacity to maximise the likelihood of a successful outcome.**

[Note: Record summary assessment mark at C3.5 at Section C4 below

Section C4 – Complexity assessment summary

Insert the marks allocated for each of the four summary assessments from Sections C1-C3 above.

Complexity areas summary assessments	VL	L	M	H	VH
Delivery challenge (C1.9)				X	
Capacity and capability (C2.5)			X		
Scale (C3.5)			X		
C4.1 - Overall complexity assessment			X		

[Note: Overall summary assessment mark at C4.1 above to be used in Section D]

Section D - Risk Potential Assessment

Plot overall summary assessments from B7 and C4.1 and mark with a X in grid below to give an overall assessment – the area your X falls within is indicated as Low, Medium or High.

(From Section B7) **Overall consequential impact assessment**						
	Very High		Transformation project			**HIGH**
	High✔			✔		
	Medium		Project management best practice			
	Low	**LOW**		**MEDIUM**		
	Very Low	Minimal need for project management				
		Very Low	Low	Medium✔	High	Very High

(From Section C4.1)

Overall complexity assessment

Transfer the overall Risk Potential Assessment above (**LOW / MEDIUM / HIGH**) to box A.11 on the page 1 of the RPA-2.

Section E- About this form and what to do next

1. Who should complete the RPA-2 assessment?

Projects, programmes and policies assessed as potentially Medium or High Risk in their Complexity or Strategic Importance through Stage 1 (RPA-1 form). The project manager should complete the RPA-2 as early in the life of the project, programme or policy as possible, i.e. at project charter / project mandate.

2. What is the RPA-2 for?

The form helps assess whether a project, programme or policy must be formally supported by the authority's Transformation Programme. The assessment is an indicator of risk potential; it is not a risk analysis model but can be an input to one. The assessment may enable discussion about the risks to and responsibilities for delivery of the project, programme or policy. It may also help identify areas where specific skills, commensurate with the level of complexity, may be required.

3. How to complete the RPA-2 Form

Section A - captures basic information about the project, programme or policy. Most boxes are self-explanatory. At question 2 please use one of the following descriptors for the project, programme or policy type:
- Customer experience;
- Business culture;
- Resources, accommodation and technology; and
- Major projects.

Section B & Section C are completed in the same way. Section B comprises 6 Strategic Areas (B1-B6). Section C comprises 3 sub-sections (C1-C3). In each strategic area / sub-section there are 5 columns covering assessments from Very Low (VL) to Very High (VH). Alongside each strategic area / sub-section are statements that correspond with the extremes of VL and VH. Using your knowledge and judgement consider each strategic area / sub-section and mark an **X** in the column that best indicates the level of Impact (strategic area) or Complexity (sub-sections) associated with that particular topic.

At the end of each Section (or sub-sections in Section C) is a summary assessment. You should use this summary to record the overall assessment for that particular section (or sub-section). There is no 'formula' for calculating this summary – you should take a holistic view when determining the overall assessment.

Section C4 - 'Complexity Assessment Summary' takes the summary outputs from Section C1 to C3 and allows you to determine an overall summary for Section C. Again, there is no 'formula' for calculating this summary – you should take a holistic view of the summary results from Section C1-C3 in arriving at an overall assessment. Record it at C4.1. At C4.2 provide a narrative that explains the background to the project, programme or policy, the main outcome or objectives, the intended benefits, a high-level time-line and summaries significant impacts facing successful delivery.

Section D - records the summary results from Section B and C and gives an overall RPA for your project, programme or policy. Plot the overall results from Sections B and C on the respective axis in the table in Section D by marking an **X** in the appropriate cell where the respective assessments intersect. This now gives an overall indication of the associated RPA for the project, programme or policy. Your **X** will lie in an area of the table that is either High (red shaded), Medium (amber shaded) or Low (green shaded). This overall RPA should be recorded at Box A.11 on page 1 of the RPA-2.

You must now agree your overall assessment with a member of the Programme Management Office for the project, programme or policy initiative. Both you and the Head of Transformation must record your agreement in boxes A.13 and A.14 on the front page of the RPA-2.

4. What do I do with the completed form?

If Box A-11 is Medium or High Risk – send the completed form to the Programme Management Office. The Programme Management Office will arrange an Assessment Meeting for the project, programme or policy.

The completed form will be reviewed as part of the Assessment Meeting. The outcome of the meeting may mean that a project, programme or policy assessed as Medium Risk in the RPA-2 is re-categorised as High Risk (or vice-versa). The authority's policy is that all High Risk projects, programmes and policies must be supported by the authority's Transformation Programme.

Where, as the result of the Assessment Meeting your project, programme or policy remains (or is re-assessed as) Medium Risk you should consider what other forms of internal assurance process should be used to help you track and ensure the successful delivery of its outcomes or objectives.

If Box A-11 is Low Risk - you should ensure that your project, programme or policy conducts regular self-assessments to ensure it is on track to successfully deliver its outcomes or objectives.

5. Who will use the information provided in this RPA-2?

In accordance with the Data Protection Act 1998 - It is intended that the data collected in this form will be used by the authority for its own purposes and also to inform other areas of authority business. The data may also be used to make you aware of services, advice and guidance. Please direct any issues related to the use of data within this form to the Programme Management Office.

6. Is the information contained in the RPA-2 releasable under the Freedom of Information Act?

The project manager is responsible for considering any Freedom of Information request in relation to the RPA-2. Please advise the Programme Management Office of any such request.

7. Who can I contact about completion of this form?

If you wish to discuss this form please contact the Programme Management Office.

Stage 2 Risk Potential Assessment v1.1 01.03.16