

Appendix 13 – OGC Risk Potential Assessment

4ps Project Assessment Spreadsheet - Version 9.0

Programme/Project Details

Programme/project name or title	A380 South Devon Link Road (Kingskerswell Bypass)
Programme/project description	5km two lane dual carriageway with linked public transport benefits
Programme/project type	Local Transport Plan Major Scheme
For programmes only, list name of supporting projects	
If a project, provide, where applicable, the name of the overarching programme	Devon County Council and Torbay Council Local Transport Plans 2006 - 2011
Local Authority name	Devon County Council as lead authority in partnership with Torbay Council
Total (whole life) costs of the programme/project to be reviewed	£130million
Proposed contract/service length (yrs)	Design and construction contract period four years from award to completion
Proposed procurement arrangements (e.g. conventional/PFI/PPP/strategic partnership)	Conventional
Expected Gate (0,1,2,3,4,5)	1
Gateway review requested for week commencing (6-8 weeks notice is required)	10th March 2007
Expected date of next 4ps Gateway Review	
Date of first issue of PAS	20-Dec
Date of current update/version number	N/A

Project Owner

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Programme/Project Director

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Programme/Project Manager

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Data Protection Act 1998

It is intended that the data collected via this form will be used by the Public Private Partnerships Programme (4ps) for its own purposes and also to inform other areas of Local Government Association (LGA) business. Issues related to the use of personal data within this form should be addressed to the 4ps Gateways Team on 0207 808 1474 or by email at gateways@4ps.gov.uk.

Risk Assessment

	Maximum Score	Allocated Score
Strategic Context	15	6
Business Impact	73	42
Delivery Capacity	43	9
Technical Factors	68	12
Total	199	69

Risk assessed as:

Medium

Strategic Context

Stakeholder Involvement

What is the complexity of stakeholder involvement?

Small number of stakeholders

Wide range of stakeholders

Stakeholders still to be identified

Comments

Stakeholder analysis undertaken.

External Drivers

To what extent is the project dependent on and connected to other projects and wider organisational changes?

Stand alone project

Supports another authority initiative

Dependent another authority initiative

Supports cross-cutting initiative

Dependent on cross-cutting initiative

Legislative requirement

Comments

Local Public Service Agreement

To what extent is the project linked to a Local Public Service Agreement target?

Not linked

Important

Essential

Comments

Business Impact

Potential Benefits

What is the total value of the anticipated business benefit that the project will deliver? (Advice on calculating business benefit is available in the Treasury Green Book)

- Less than £1 million
- £1 million to £5 million
- £5 million to £10 million
- £10 million to £50 million
- £50 million to £100 million
- More than £100 million

Comments

Costs

What is the whole life cost of the project, including all bought in and inhouse costs? (Advice on calculating whole life cost is available in the Treasury Green Book)

- Less than £1 million
- £1 million to £5 million
- £5 million to £10 million
- £10 million to £50 million
- £50 million to £100 million
- More than £100 million

Comments

Staff Affected

Number of people affected within organisation

- Less than 10 staff
- 10 to 25 staff
- 26 to 50 staff
- 51 to 100 staff
- 101 to 250 staff
- Over 250 staff
- Entire organisation

Comments

Business Process Change

What impact will the project have on the organisation's business processes both during its development and after implementation? (Select all that are applicable)

- Not significant
- New business process
- Significant re-training
- Significant organisational restructuring
- Significant staff & equipment move
- Transfer of staff / outsourcing

Comments

No change to business processes.

Impact on Service Users

What will the impact of the project be on service users?

- Internal impact only
- Some changes to an existing service
- Major changes to an existing service
- New service

Comments

Improvement to transport network.

Complexity of Contractual Arrangements

How complex are the contractual arrangements?

- Single supplier
- Multiple suppliers with prime contractor
- Multiple suppliers, no prime contractor

Comments

Empty box for comments.

Impact on Organisation

What will the project's impact on the organisation be?

- Single service area
- Multiple service areas
- Corporate

Comments

Empty box for comments.

Delivery Capacity

Authority Type

What is the type of authority conducting the project (County Councils, Big Metropolitan Authorities, London Boroughs, Unitary Authorities and Districts are likely to have different risk profiles)

- County Council
- Metropolitan Authority
- London Borough
- Unitary Authority
- District Authority
- Other

Comments

Comprehensive Performance Assessment

What is your council's Comprehensive Performance Assessment rating? (if n/a record as fair)

- Excellent
- Good
- Fair
- Weak
- Poor
- Not applicable

Comments

Three star authority and improving well.

Team Experience

What is the allocated project team's experience of successful delivery of this type of programme/project?

- Experienced team
- Team with some experience
- Team with limited experience

Comments

The delivery team has recently managed the successful Barnstaple Western Bypass, A38 Dobwalls Bypass and A30 Merrymeet Junction Improvement projects.

Team Resource

Has the authority allocated adequate resource to the project yet?

- Fully resourced
- Most key posts filled
- Posts to be allocated

Comments

Project management team in place and resources in place through a long term tripartite professional services contract.

Supplier Resource

Has the supplier allocated the agreed resource to the project?

- Supplier not involved at this stage
- Fully resourced
- Most key posts filled
- Posts to be allocated

Comments

Potential suppliers only engaged in early discussions at present. Strong market for highway construction scheme delivery.

Technical Factors

Innovative Approach

To what extent does the programme/project depend upon the implementation of an innovative solution to meet the business requirement?

- Proven solution, proven application
- Proven solution, new application
- New solution, proven application
- Unproven approach

Comments

IT Related Criteria

Scope of IT Services and Supply

Which of these activities will be undertaken by the IT supplier? *(Select all that are applicable)*

- Not applicable
- Deliver infrastructure
- Packaged software
- Bespoke application
- Packaged software & some bespoke work

Comments

IT Integration Issues

To what extent will the project need to develop interfaces to existing IT systems and processes?

- Not applicable
- Standalone - no integration
- Data migration
- Some links to legacy systems
- Extensive links to legacy systems

Comments

Construction Related Criteria

Scope of Construction Elements

What do the property and construction elements of the programme/project involve? *(Select all that are applicable)*

- Not applicable
- Acquiring/disposing of assets (including lease renewal)
- Acquisition of services including managed workspace
- Acquiring assets involving construction
- Construction procurement eg, Design & Build

Comments

Construction procurement to be by NEC3 Option A design and build contract.

Nature of Construction

What is the nature of the construction? *(Select all that are applicable)*

- Not applicable
- New construction
- Extension
- Refurbishment

Comments

Site Occupation

What will the status of the occupation of the site be during the project?

- Not applicable
- Unoccupied site
- Occupied site but segregated
- Involves phased decants
- Occupied and remaining in use
- Occupied, in use and open to the public

Comments

Land to be delivered through compulsory purchase. Some modifications to existing highway.

Type of Facility

What are the features of the facility that impacts on its complexity?

- Not applicable
- New or existing facility, standard construction
- New or existing facility, non-standard construction
- Facilities with planning or heritage sensitivities

Comments

New highway scheme, which although complex is of standard construction.

Site Constraints

Are there any constraints that will affect the site development? *(Select all that are applicable)*

- Not applicable
- Limited site knowledge
- Site access
- Environmental issues
- Location

Comments

All site issues and constraints are thoroughly understood and planning permission is in place.

Scoring

	Max. Score	Allocated Score
Strategic Context		
Stakeholder Involvement	6	4
External Drivers	6	1
Local Public Service Agreement	3	1
Subtotal	15	6
Business Impact		
Potential Benefits	18	18
Costs	18	18
Staff Affected	7	1
Business Process Change	15	0
Impact on Service Users	6	2
Complexity of Contractual Arrangements	3	1
Impact on Organisation	6	2
Subtotal	73	42
Delivery Capacity		
Authority Type	10	3
Comprehensive Performance Assessment	18	6
Team Experience	6	0
Team Resource	6	0
Supplier Resource	3	0
Subtotal	43	9
Technical Factors		
Innovative Approach	8	2
IT Related Criteria		
Scope of IT Services and Supply	4	0
IT Integration Issues	4	0
Construction Related Criteria		
Scope of Construction Elements	16	4
Nature of Construction	12	2
Site Occupation	10	2
Type of Facility	6	2
Site Constraints	8	0
Subtotal	68	12
Total Project Score	199	69

Risk assessed as:

Medium

Risk Thresholds for Projects

High	70
Medium	60
Low	50
Routine	Less than 50

Guidance

Purpose of the Project Assessment Spreadsheet

The Project Assessment Spreadsheet (PAS) provides a set of criteria against which Project Owners (PO) can assess a project's core characteristics and the level of risk associated with its delivery. It is a high level indicator rather than an exhaustive project risk analysis model, although it can form the basis of a fuller risk analysis.

The completion of a PAS is the first step in assessing a project's suitability for Gateway Review. All information contained in the PAS will be treated as confidential by the 4ps Gateway Team

Using the PAS

The PAS requires the PO to answer a number of questions about the project. These questions focus on strategic context, business impact, delivery capacity and technical issues. The individual scores for each section are combined to provide an overall assessment of project risk:

- a total score of **49 or less** indicates the project is of **Routine Risk** and the use of a "4ps Readiness to Proceed" assessment by the authority is likely to be more appropriate than a 4ps Gateway Review. Readiness to Proceed documentation is available on the 4ps website.
- a total score of **50 to 59** indicates that the project is relatively **Low Risk** (Level 1). 4ps Gateway Reviews and other project controls should be managed from within the authority's Regional Centre of Procurement Excellence (when the Regional CoPE has access to adequate resources). In the interim please contact the Gateways Team.
- a total score of **60 to 69** indicates that the project is **Medium Risk** (Level 2). Gateway Reviews will require a Review Team Leader nominated by the 4ps Gateway Team and independent of the authority. In the future the Regional CoPE are likely to provide the team members in consultation with the 4ps Gateway Team.
- a total score of **70 or greater** indicates that the project is **High Risk** (Level 3). The 4ps Gateway Team will nominate both the Review Team Leader and Review Team.

The questions are designed to be self-explanatory. Where a precise response to a question is not available the individual completing the PAS should use their best estimate in light of their knowledge and experience.

Please note that the PAS is designed as a guide to help POs come to an initial assessment of project risk and that there may be important issues that are not explicitly covered by the model. Some of these issues may increase project risk and mean that it warrants a higher overall risk assessment. If in any doubt, the PO should discuss these issues with the 4ps Gateway Team.

What should you do next?

Regardless of the outcome of the PAS, POs should email a completed copy of the document to gateways@4ps.gov.uk. Whilst the Gateway Team will only have a direct role to play in Medium or High risk projects, the 4ps would like to record information on Low and Routine risk projects to develop its knowledge base.

For High and Medium risk projects, POs should approach the 4ps to discuss the options for using the Gateway process. The 4PS Gateway team needs six to eight weeks advanced notice of a review in order to undertake the necessary review planning and team selection.

For enquiries about the use of the PAS please contact the Gateway team by telephone on 0207 808 1474 or by email at gateways@4ps.gov.uk.

