

SEND Capital Programme Risk Register

Risk No.	Project / Programme Name	Description	Risk Category	Risk Type	Raised On	Raised By	Impact (1-5)	Probability (1-5)	RAG Status	Proximity	Time to implement mitigating actions	Preventative/ Mitigating Actions	Update to actions	Updated By	Updated Date	Owner	Due Date	Status
R001	SEND Capital Programme	Schools withdraws from programme (may be due to desired accommodation not being provided, disruption to school and potential risk to outcomes, extent of school engagement)	Approvals/Authority to Proceed	Benefits (Efficiency Saving)	05/07/2021	NM	5	2	Amber	2	Close (2-4 months)	1. Ensure early engagement and agreement to scope of works, etc. 2. Enter into legal agreements as soon as possible to ensure school are committed 3. Ensure communication and consultation proposals are initiated to keep all parties updated		NM	05/07/2021	Heads of Service - Regen and C&YP	On-going	Open
R002	SEND Capital Programme	Governing Body does not agree to project following the outcome of consultation	Approvals/Authority to Proceed	Benefits (Efficiency Saving)	05/07/2021	NM	5	2	Amber	2	Approaching (5-12 months)	1. Ensure early engagement with stakeholders and ensure benefits/objectives are clear 2. Ensure robust defence of requirements are made 3. Provide support to GB throughout process to show LBB supports		NM	05/07/2021	School	On-going	Open
R003	SEND Capital Programme	Approval to expand is not granted by RSC/DfE	Approvals/Authority to Proceed	Benefits (Efficiency Saving)	05/07/2021	NM	5	2	Amber	2	Distant (12 months +)	1. Ensure early engagement with RSC/DfE 2. Robust figures and demonstrate support for expansion from stakeholders		NM	05/07/2021	School	TBC	Open
R004	SEND Capital Programme	Members do not support programme. Would crystallise at Cabinet approval of programme business case	Approvals/Authority to Proceed	Benefits (Efficiency Saving)	05/07/2021	NM	5	2	Amber	2	Approaching (5-12 months)	1. Ensure regular updates on school place planning requirements 2. Ensure robust information is provided showing need and progress made		NM	05/07/2021	Operational Directors - C&YP and R&E	28/02/2022	Open
R005	SEND Capital Programme	Site(s) is/are needed for other Council requirements and cause the project(s) to be stopped or revised after development work has begun.	Approvals/Authority to Proceed	Benefits (Efficiency Saving)	05/07/2021	NM	4	2	Green	2	Approaching (5-12 months)	1. Ensure break clauses are inserted into contracts 2. Ensure contracts only allow for payment of deliverables provided to date 3. Regular liaison with colleagues in Place Planning and Inclusion to understand risk and determine action(s)		NM	05/07/2021	Head of Service - R&E	On-going	Open
R006	SEND Capital Programme	Other Brent schools object to the programme during the consultation period.	Approvals/Authority to Proceed	External	05/07/2021	NM	3	1	Green	2	Approaching (5-12 months)	1. Communicate positively with all schools following Cabinet decision 2. As above when schools begin consultation		NM	05/07/2021	Operational Director - C&YP	TBC	Open
R007	SEND Capital Programme	Poor management of technical advisors leads to delays in project delivery	Programme/Time	Financial	05/07/2021	NM	3	3	Amber	2	Close (2-4 months)	1. Enact lessons learnt from previous commissions 2. Ensure scope of services reflect our requirements and we initiate robust T&Cs to protect Council 3. Incentitise and penalise contractor for good/poor performance, respectively		NM	05/07/2021	Head of Service - R&E	On-going	Open
R008	SEND Capital Programme	Planning conditions are onerous and difficult to agree meaning project takes longer to gain approval than planned (see below re. costs)	Programme/Time	Financial	05/07/2021	NM	3	4	Amber	2	Distant (12 months +)	1. Early engagement with stakeholders to identify potential risks 2. Work with Planning Consultant and other specialists to ensure proposals are in line with Planning Policies, etc. 3. Use of project/programme contingency to help unlock issues 4. Have clear policies for Contractors on what should be included in spec (based on knowledge of Brent policy position).		NM	05/07/2021	Head of Service - R&E	31/10/2022	Open
R009	SEND Capital Programme	Local residents and consultees do not support the projects meaning delay in project delivery - could manifest in school consultation and/or planning approval processes	Programme/Time	External	05/07/2021	NM	3	3	Amber	2	Approaching (5-12 months)	1. Early engagement with stakeholders to identify potential risks 2. Work with Planning Consultant and other specialists to ensure proposals are in line with Planning Policies, etc. 3. Lessons learnt from previous expansion projects 4. Establish and maintain communications plan.		NM	05/07/2021	Head of Service - C&YP and R&E	TBC	Open
R010	SEND Capital Programme	Building Control and/or planning do not approve works causing a delay and/or additional cost	Programme/Time	Internal	05/07/2021	NM	4	2	Green	2	Distant (12 months +)	Early engagement with Building Control and Planning to gain information on what is acceptable design / specification and what is not.		NM	05/07/2021	Head of Service - R&E	31/10/2022	Open

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R011	SEND Capital Programme	Lack of interest from contractors through procurement resulting in increased cost and/or delay to programme. Could result in delay to delivery of school places.	Procurement	External	05/07/2021	NM	4	2	Green	2	Approaching (5-12 months)	1. Early engagement with market to ensure interest 2. Use of pipeline process to identify early 3. Line up back-up frameworks to move quickly if no interest 4. Obtain approval to waive CSOs to allow direct award or small tender process if frameworks are unsuccessful 5. Complete programmes to look at scenarios.		NM	05/07/2021	Senior Capital Programme Officer	03/06/2022	Open
R012	SEND Capital Programme	DfE framework and associated use of DfE specification documents etc does not give the level of quality LBB requires.	Procurement	Internal	05/07/2021	NM	2	3	Green	2	Approaching (5-12 months)	1. Develop LBB policy on derogations/abnormals to confirm and agree what is funded over and above DfE standard and why and show that in the project brief that goes to tender.		NM	05/07/2021	Head of Service - R&E	03/06/2022	Open
R013	SEND Capital Programme	Stakeholders not experienced in DfE framework requirements incurring delays and additional costs	Procurement	Internal	05/07/2021	NM	3	3	Amber	2	Approaching (5-12 months)	1. Full understanding of requirements of all stakeholders 2. Training and advice from DfE on how to operate the framework 3. Legal agreements in place to ensure sign up to timings		NM	05/07/2021	Head of Service - R&E	On-going	Open
R014	SEND Capital Programme	Planning conditions are onerous and require additional cost to be added to the project in order to proceed	Cost	Financial	05/07/2021	NM	3	4	Amber	2	Distant (12 months +)	1. Early engagement with stakeholders to identify potential risks 2. Work with Planning Consultant and other specialists to ensure proposals are in line with Planning Policies, etc. 3. Use of project/programme contingency to help unlock issues		NM	05/07/2021	Head of Service - R&E	31/10/2022	Open
R015	SEND Capital Programme	School(s) wants to change proposals/design during development causing impacts on time, quality and cost	Cost	Internal	05/07/2021	NM	4	2	Green	2	Approaching (5-12 months)	1. Ensure early engagement and agreement to scope of works, etc. 2. Enter into legal agreements as soon as possible to define roles and responsibilities 3. Ensure schools are fully aware of implications of decisions 4. Ensure communication and consultation proposals are initiated to keep all parties updated		NM	05/07/2021	Head of Service - R&E	31/01/2022	Open
R016	SEND Capital Programme	Reduction in available grant and/or inability to secure additional capital funding needed to deliver the programme.	Cost	Financial	05/07/2021	NM	4	1	Green	2	Approaching (5-12 months)	1. Coherent and open reports showing progress and need for project		NM	05/07/2021	Head of Service - R&E	09/01/2023	Open
R017	SEND Capital Programme	Quotes/tenders from contractors are over budget for works	Cost	Financial	05/07/2021	NM	4	3	Amber	2	Approaching (5-12 months)	1. Ensure designs/specs and methodologies are financially analysed before issuing to market. 2. Liaise with market early to gauge projected costs 3. Identify potential value engineering options as a backup if needed 4. Use of DfE framework to ensure costs are in line with expectations within market		NM	05/07/2021	Head of Service - R&E	03/06/2022	Open

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R018	SEND Capital Programme	Not all required works are identified in feasibility report meaning costs increase	Cost	Financial	05/07/2021	NM	4	3	Amber	2	Distant (12 months +)	1. Thorough approach to feasibility study to ensure all areas are captured 2. All surveys are completed and to a suitable standard to allow for full costs to be captured 3. Assign project and programme contingency to cover should it be required 4. Appoint Arcadis to undertake a completion exercise on existing feasibility work to clarify accommodation issues on IPS early.		NM	05/07/2021	Head of Service - R&E	09/01/2023	Open
R019	SEND Capital Programme	Loss of school days due to new accommodation not being ready in time	School Operations	Internal	05/07/2021	NM	5	2	Amber	2	Distant (12 months +)	1. Early planning of works to identify potential risk timings 2. Temporary accommodation included in contract with contractor 3. Robust contract administration to ensure contractor delivers on time 4. Adequate and realistic programming of project tasks to manage expectations 5. Early warning notices discussed at monthly meetings in order to implement above if necessary		NM	05/07/2021	Head of Service - R&E	09/01/2023	Open
R020	SEND Capital Programme	Schools are unable to maintain or improve their Ofsted grading and/or outcomes for students during the period of the project as a result of the impact of the project preparation and works on site.	School Operations	Benefits (Efficiency Saving)	05/07/2021	NM	4	1	Green	2	Approaching (5-12 months)	1. School Effectiveness team engages with schools to ensure standards are maintained/enhanced 2. Specific support during expansion project		NM	05/07/2021	Head of Service - R&E	On-going	Open
R021	SEND Capital Programme	Poor quality workmanship from contractor during works	Construction	Internal	05/07/2021	NM	2	2	Green	2	Distant (12 months +)	1. Robust contract administration to manage contractors 2. Ensure contractors are provided with relevant surveys 3. Open communication channels with all parties so that issues can be resolved promptly 4. Regular meetings on site (H&S, finance, programme, quality)		NM	05/07/2021	Head of Service - R&E	11/06/2024	Open
R022	SEND Capital Programme	Loss of key programme personnel	Personnel	Internal	05/07/2021	NM	3	3	Amber	2	Close (2-4 months)	1. Understand personnel requirements. 2. Ensure service area recruitment is underway 3. Shadowing and other learning and development opportunities open. 4. Ensure appropriate handover documentation in place/good record keeping throughout life of programme.		NM	05/07/2021	Operational Directors - Regen and C&YP	On-going	Open
R023	SEND Capital Programme	Local residents and consultees do not support projects resulting in increased officer, school and consultant time required to deliver projects due to increased communications, reporting, response to queries and complaints.	Personnel	People	05/07/2021	NM	2	3	Green	2	Approaching (5-12 months)	1. Early engagement with stakeholders to identify potential risks 2. Work with Planning Consultant and other specialists to ensure proposals are in line with Planning Policies, etc. 3. Lessons learnt from previous expansion projects		NM	05/07/2021	Head of Service - R&E	31/10/2022	Open
R024	SEND Capital Programme	Change in headteacher and/or significant change in Governing Board and/or change in school representatives on project group causing delay in decision making and/or change in direction which could influence cost, programme and quality	Personnel	People	05/07/2021	NM	3	2	Green	2	Approaching (5-12 months)	1. Ensure legal agreements cover the roles and responsibilities of the organisation not the individuals		NM	05/07/2021	Head of Service - R&E	On-going	Open

