

Key Risk Area Number	Key Risks		Detailed Risks
1	Failure to inspire/develop a sustainable best class university	1.1	Failure to gain critical stakeholder support for the development and implementation of the university
		1.2	Failure to deliver an inspirational academic vision and appropriate PQM for the University
		1.3	Failure to build effective partnerships
		1.4	Failure to deliver inspiring and iconic university campuses aligned to the academic vision
2	Failure to achieve credibility due to poor conceptualization poor planning and ineffective communication.	2.1	Lack of alignment/support within spheres of government
		2.2	Lack of credibility of DHET/professional team/ project steering committee
		2.3	Communication by DHET and Ministry which is inadequate, inaccurate or poorly timed
		2.4	Failure to address stakeholder concerns and issues timeously
		2.5	Failure to secure buy-in of key national and provincial departments (e.g. National Department of Agriculture, National & Provincial Depts of Public Works, National Treasury, etc)
3	Delayed delivery in terms of key target dates: a) July 2012 – Announce Seats of Delivery b) Feb 2014 – Start Phase 1 Operation	3.1	Delays in key decisions and in intergovernmental coordination if reliant on other departments for performance (e.g. Public Works for land assembly, Treasury, Provincial and metro government)
		3.2	Failure to assemble land timeously (public, provincial and private)
		3.3	Delayed appointment, or performance of service providers
		3.4	Delays in bulk infrastructure (funding, approvals, delivery)
		3.5	Planning approval delays (environment, heritage, town planning)
		3.6	Delayed revision of legislation for announcement of seats and operational set up.
		3.7	Delays in approval of the academic programmes accreditation through CHE/HEQC
4	Failure to effectively mobilize funding for capital development and operational costs	4.1	Funding for infrastructure insufficient or delayed
		4.2	Start up operational funding insufficient or delayed
		4.3	Ongoing operational funding insufficient or delayed
5	Failure to achieve effective institutional design, leadership and operation - including structures and systems that support the early operation, institutional change & continuity.	5.1	Failure to appoint appropriate University leadership (Council and top management)
		5.2	Failure to recruit/appoint appropriate academic and senior management staff
		5.3	Failure to establish ICT and management systems that match staff capabilities from the outset and enable growth
		5.4	Failure to design/implement institutional arrangements that allow for continuity of early DHET supported management and a transition to full institutional autonomy.
6	Failure to effectively manage change with regard to existing academic institutions	6.1	Change management with following organisations - Northern Cape – NIHE, FET in Kimberley, Stockdale Nursing College, NWU, CUT,

**RISKS ANALYSIS AND MITIGATION
 YEAR 2012-13**

Key Risk Number	Key Risk	Detailed Risk Number	Detailed Risks Identified	Responsibility	Likelihood Risk Score 0 to 10	Impact Risk Score 0 to 10	Total Risk Score 0 to 20	Risk Mitigation
1	Failure to inspire/develop a sustainable best class university	1.1	Failure to gain critical stakeholder support for the development and implementation of each university a) Lack of support from Government and key institutions e.g. National Treasury /National and Provincial Public Works/ Municipalities/CHE/Existing Universities/Private Sector	DHET	8	8	16	A. Inspirational visioning, branding and engagements 1. High level political inputs regarding desired future state and support required 2. High level engagements with National Treasury, NDPW, CHE, PDPW, Sol Plaatje Municipality 3. Identify champions and engage with them regarding progress 4. Inspirational naming and branding of the universities 5. Ongoing communication of progress
		1.2	Failure to deliver an inspirational academic vision and appropriate PQM for the University a) Inability to attract appropriate university leadership, academic and management staff b) Inability to attract quality students	DHET	8	8	16	A. Inspirational visioning and academic programmes 1. High level academic and administrative input regarding desired future state 2. Academic focus groups to formulate responsive PQM 3. Choice of programmes for unique selling proposition 4. Adoption of forward looking ICT based academic delivery 5. Ongoing communication of progress
		1.3.	Failure to build effective partnerships a) Lack of support from National	Minister/DHET	7	10	17	Build effective partnerships through consultations, information dissemination and influence

			Treasury, NDPW b) Lack of support from the political parties c) Lack of support from private sector					1. High level political inputs regarding desired future state and support required 2. High level engagements with stakeholders 3. Issue appropriate, professional documentation with correct information 4. Ongoing communications with stakeholder
		1.4.1	Failure to deliver inspiring and iconic university campuses aligned to the academic vision a) Inability to attract appropriate university leadership, academic and management staff b) Inability to attract quality students	DHET/PMT	8	8	16	A. Iconic and correct spatial interpretation of Academic Architecture 1. Select iconic, well located sites in towns which will be attractive to staff and students. 2. Confirm academic architecture and confirm with spatial design team translation into spatial framework plan for each university 3. Create inspirational/iconic architecture. 4. Correct phase in approach. 5. Sign off of spatial framework for each university in terms of academic architecture. 6. Undertake architectural competition for selection of inspiring architectural designs 7. Incorporate forward thinking design for the digital world 8. Communicate spatial campus

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2	Failure to achieve credibility due to poor conceptualization poor planning and ineffective communication.	2.1	Lack of alignment/ support within spheres of government	Minister/ DHET	6	8	14	A. Engagement and obtain buy in 1. Identify key stakeholders 2. Engage with the stakeholders 3. Provide appropriately packaged information 4. Follow up and confirm alignment and support, and take corrective action 5. Facilitate workshops to allow engagement with stakeholders
		2.2	Lack of credibility of DHET/professional team/ Project Steering Committee	DHET/PMT/ PSC	5	7	12	A. Ensure credibility through appropriate performance and communications 1. Compile timely appropriate professional documentation and communications 2. Communicate with key stakeholders with appropriate information 3. Monitor response and take corrective action
		2.3	Communication by DHET and Ministry which is inadequate, inaccurate or poorly timed	Minister/ DHET	7	9	16	A. Ensure credibility through appropriate performance and communications 1. Compile timely appropriate professional documentation and communications 2. Communicate with key stakeholders with appropriate information 3. Monitor response and take corrective action
		2.4	Failure to address stakeholder concerns and issues timeously	DHET/PMT/ PSC	8	9	17	A. Ensure credibility through appropriate performance and communications 1. Identify and monitor key issues being raised by stakeholders 2. Compile timely appropriate professional documentation and communications in response to the issues being raised 3. Communicate with key stakeholders with appropriate information

								4. Monitor response and take corrective ac
		2.5	Failure to secure buy-in of key national and provincial departments (e.g., National & Provincial Depts of Public Works, National Treasury, etc)	DHET/PMT/PSC	7	7	14	A. Ensure credibility through appropriate performance and communications 1. Identify and monitor key issues being raised by stakeholders 2. Compile timely appropriate professional documentation and communications in response to the issues being raised 3. Communicate with key stakeholders with appropriate information 4. Monitor response and take corrective ac

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3	Delayed delivery in terms of key target dates: c) July 2012 – Announce Seats of Delivery Feb 2014 – Start Phase 1 Operation	3.1	Delays in key decisions and in intergovernmental coordination if reliant on other departments for performance (e.g. Public Works for land assembly, Treasury, Provincial and municipal government)	Minister/DHET	8	9	17	A. Manage key decisions process effectively 1. Map key decisions required, the linkages/relationships between the decisions, the timing and critical path 2. Communicate to the responsible level the key decisions required and provide supporting information to support the decision making 3. Monitor decisions made and timing and assess the impact on the critical path program 4. Activate appropriate correction actions if blockages/delays occur 5. Establish working groups within the PMT to address the working relationships with the various departments listed.
		3.2	Failure to assemble land timeously (public and private)	Minster/DHET/NDPW/PMT	9	9	18	A. Secure Public Sector land timeously 1. Identify the public sector land required and the current ownership 2. Timely consultations with key stakeholders regarding release of the land for the universities (NDPW, Premier, Mayor, PDPW, Municipal Manager) 3. Confirm commitment to allocate land 4. Confirm that land is not under review of the Land Restitution and Reform Laws Act 5. Prepare plan of action with each public sector land owner for release of the land 6. Monitor plan and take corrective action. B. Identify and secure private sector land timeously 1. Identify the private sector land required and the current ownership

								<ol style="list-style-type: none"> 2. Undertake covert independent land valuations 3. Propose land parcels to make offers on 4. Obtain approval to make 6 month options to purchase 5. Confirm options secured or not 6. Confirm funding for purchase of land within the 6 month options period 7. Monitor plan and take corrective action if required.
		3.2.1	Northern Cape – Oppenheimer Memorial Park, NIHE building, FET Residences, Transnet Land, Privately owned properties		8	9	17	<ol style="list-style-type: none"> 1. <p>A. Oppenheimer Memorial Park</p> <ol style="list-style-type: none"> 1. Obtain and review conditions of land title to confirm any restrictions 2. Prepare action plan with timing if restrictions confirmed to be able to utilise the park. 3. Implement action plan 4. Monitor and report progress against plan 5. Further interventions if blockages remain <p>B. NIHE Building (old provincial legislature)</p> <ol style="list-style-type: none"> 1. Engage with NC DPW to clarify usage allocations to other provincial functions, conditions and term 2. Prepare action plan for allocation of NIHE building space to the university 3. Implement action plan 4. Monitor and report progress against plan 5. Further interventions if blockages remain <p>C. Transnet Land Hoffe Park</p> <ol style="list-style-type: none"> 1. Engage with Transnet at a regional level to clarify usage allocations and proposed future developments on the land 2. Implement action plan 3. Monitor and report progress against plan 4. Further interventions if blockages remain <p>C. FET College Sports Ground</p> <ol style="list-style-type: none"> 1. Engage with DHET & FET to clarify further

								<p>usage and long term operations of the college</p> <ol style="list-style-type: none"> 2. Prepare action plan for allocation of the FET Sports ground for incorporation into the spatial plan for the university 3. Implement action plan 4. Monitor and report progress against plan 5. Further interventions if blockages remain <p>D. Identify and secure private sector land timeously</p> <ol style="list-style-type: none"> 1. Identify the private sector land required and the current ownership 2. Undertake covert independent land valuations 3. Address areas with land claims through appropriate representation 4. Propose land parcels to make offers on 5. Obtain approval to make 6 month options to purchase 6. Confirm options secured or not 7. Confirm funding for purchase of land within the 6 month options period 8. Monitor plan and take corrective action if required.
		3.3	Delayed appointment, or performance of service providers	DHET/PMT	7	7	14	<p>A. Develop and implement a Procurement Plan linked to the overall programme of works</p> <ol style="list-style-type: none"> 1. Formulate procurement plan linked to the overall programme of work 2. Develop appropriate tender documents, contracts and scopes of work 3. Monitor performance against the Procurement Plan and take corrective action if required <p>B. Manage performance of service providers</p> <ol style="list-style-type: none"> 1. Monitor delivery against the scope and work and timetable weekly

								<ol style="list-style-type: none"> 2. Review and sign off of deliverables 3. Take corrective action if required in terms of the contract.
		3.4	Delays in bulk infrastructure (funding, approvals, delivery)	PMT/ Service Providers	7	8	15	<p>A. Actively focus on confirming funding for bulk services</p> <ol style="list-style-type: none"> 1. Establish extent IDP plans for infrastructure development in Sol Plaatje 2. Formulate a bulk services delivery plan for each site 3. Estimate costs, cashflow and source of bulk services required 4. Make timely application to appropriate funders for funding 5. Confirm funding and take corrective action if funding blockages experienced. <p>B. Identify and monitor key approvals required for bulk services (e.g. town planning, environmental etc)</p> <ol style="list-style-type: none"> 1. Identify key approvals required, application information needed, procedure and timelines 2. Package information and application for timely approvals 3. Monitor approval and take corrective action if required. <p>C. Monitor delivery of bulk services in relation to the overall delivery program</p> <ol style="list-style-type: none"> 1. Prepare delivery program for each service 2. Monitor delivery against the program and take corrective action if required.
		3.5	Planning approval delays (environment, heritage, town planning)	PMT/ Service Providers	8	8	16	<p>A. Develop and implement a Key Approvals Plan linked to the overall program of works</p> <ol style="list-style-type: none"> 1. Identify key approvals required, application information needed, procedure and timelines

								<ol style="list-style-type: none"> 2. Package information and application for timely approvals 3. Monitor approval and take corrective action if required. <p>B. Develop and implement a processing Plan linked to the programme of works</p> <ol style="list-style-type: none"> 4. 1. After the identification of approvals, establish with the municipality a system to be implemented to fast track approvals. 5. 2. Monitor approval processes and take corrective action if required 6. 3. Long lead approvals such as Heritage & EIA will require specific procedures to document their process
		3.6	Delayed legislation for announcement of seats and operational set up.	Minister/ DHET	8	8	16	<p>A. Develop and implement a Legislation Plan linked to the overall program of works</p> <ol style="list-style-type: none"> 1. Identify the process, actions and steps required and consultations needed 2. Timely consultations with key stakeholders regarding legislation requirements 3. Prepare plan of action to achieve the announcement of the seats 4. Monitor plan and take corrective action if required
		3.7	Delays in approval of the academic programmes accreditation through CHE/HEQC	DHET	8	8		<p>A. Develop and implement an Implementation Plan linked to the overall program of works</p> <ol style="list-style-type: none"> 1. Identify the process, actions and steps required and consultations needed 2. Timely consultations with key stakeholders regarding legislation requirements 3. Prepare plan of action to achieve approvals by the required date 4. Monitor plan and take corrective action if required 5. Formulate intermediate plan forging agreements with existing universities

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4	Failure to effectively mobilize funding for capital development and operational costs	4.1	Funding for infrastructure insufficient or delayed	Minister/DHET	9	10	19	A. Actively focus on confirming funding for bulk services 1. Formulate a bulk services funding and delivery plan for each site 2. Estimate costs, cashflow and source of bulk services required 3. Make timely application to appropriate funders for funding 4. Confirm funding and take corrective action if funding blockages experienced.
		4.2	Start up university establishment funding insufficient or delayed	Minister/DHET	9	10	19	A. Actively focus on confirming funding for Start up and Establishment 1. Formulate a funding plan for each university 2. Estimate costs, cashflow and source of start up/establishment costs required 3. Make timely application to appropriate funders for funding 4. Confirm funding and take corrective action if funding blockages experienced.
		4.3	Ongoing operational funding insufficient or delayed	Minister/DHET	9	10	19	A. Actively focus on confirming funding for Ongoing Operations 1. Formulate a funding plan for each university 2. Estimate costs, cashflow and source of start up/establishment and ongoing operational costs required 3. Make timely application to appropriate funders for funding 4. Confirm funding and take corrective action if funding blockages experienced.

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5	Failure to achieve effective institutional design, leadership and operation - including structures and systems that support the early operation, institutional change & continuity.	5.1	Failure to appoint appropriate University leadership (Council and top management)	DHET	6	10	16	A. Prepare and implement Recruitment Plan to identify and recruit best available leadership and top management 1. Prepare a Selection/Recruitment Plan including appropriate job specifications and leadership qualities required, remuneration packages, etc. with required timing of appointments linked to the overall program and in particular the announcement of the Seats of the universities as prescribed by legislation 2. Create excitement around the establishment of the new universities to attract strategic people. 3. Identify suitable candidates 4. Implement a transparent selection process including an independent selection panel 5. Communicate appointments
		5.2	Failure to recruit/appoint appropriate academic and senior management staff	DHET/ Interim Council	7	8	15	A. Prepare and implement Recruitment Plan to identify and recruit appropriate academic and senior management staff 1. Prepare a Selection/Recruitment Plan including appropriate job specifications and leadership qualities required, remuneration packages, etc. with required timing of appointments linked to the overall program and in particular the announcement of the Seats of the universities as prescribed by legislation 2. Create excitement around the establishment of the new universities to attract strategic people. 3. Identify suitable candidates 4. Implement a transparent selection process including an independent selection panel

							5. Communicate appointments	
		5.3	Failure to establish Information and Communications Technology (ICT) and management systems that match staff capabilities from the outset and enable growth	DHET/PMT	7	7	14	A. Develop and implement a ICT and Management Systems Selection and Procurement Plan linked to the overall programme of works <ol style="list-style-type: none"> 1. Formulate selection and procurement plan linked to the overall programme of work 2. Formulate appropriate selection criteria for systems including formulation of focus groups/key expert inputs 3. Investigate and identify appropriate systems, strategic partners and suppliers 4. Develop appropriate tender documents, contracts and scopes of work 5. Monitor performance against the Selection and Procurement Plan and take corrective action if required
		5.4	Failure to design/ implement institutional arrangements that allow for continuity of early DHET supported management and a transition to full institutional autonomy.	DHET/PMT	6	7	13	A. Formulate a Transitional Institutional Development Implementation Plan which facilitates institutional establishment and continuity <ol style="list-style-type: none"> 1. Prepare Transitional Arrangements Plan linked to the overall programme of work 2. Prepare and implement a suitable and sustainable change management plan to be discussed with NIHE NC & the staff to be consulted extensively. 3. Obtain approval of all key stakeholders 4. Implement the Transitional and Change Management Plan 5. Monitor performance against the plan and take corrective action if required

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6	Failure to effectively manage change with regard to existing academic institutions	6.1	Change management with following organisations – NIHE, NC, Prov Dept of Public Works, UFS, NWU, CUT, FET in Kimberley, Stockdale Nursing College, Teachers Training College	DHET/PMT	6	7	13	<p>A. Formulate a Change Management Plan which facilitates institutional changes required with continuity</p> <ol style="list-style-type: none"> 1. Identify and engage key institutions affected in each province 2. A clear Change Management and Stakeholder interaction policy with i. NIHE and ii. Prov Dept Public Works regarding other users in the old legislature building (i.e. nursing & emergency services is to be determined and implemented 3. Prepare in consultation and Change Management Plan linked to the overall programme of work 4. Prepare sub plans for each institution affected by change management 5. Formulate as part of the plan and communication plan to engage with stakeholders and update on progress 6. Obtain approval of all key stakeholders 7. Implement the Change Management Plan and sub plans 8. Monitor performance against the plan and take corrective action if required