Appendix 2- Risk Assessment

				Date Raised	Owner	Gross		Current		Residual		Comments	Controls				
Risk description	Opp/ threat	Cause	Consequence			1	Р	1	Р	1	Р		Control description	Due date	Status	Progress %	Action Owner
CEB fail to approve Executive Director role to appoint principal contractor	Threat	Un-desired appointment of single officer decision	Delayed contractor appointment and increase costs	6th May 2014	J Bradley	5	3	4	2	4	2	Director role to appoint	,	2nd July 2014	Active	50%	J Bradley
Suitably qualified contractors do not submit tenders		engagement with	Poor workmanship, high costs and a lack of project understanding	6th May 2014	J Bradley	5	3	4	1	4		partnership with contractors has already	contractor engagement	Ongoing until completion of Tender phase	Active	100	J Bradley
Multiple contractor do not bid for works		5 5	High costs and failed project deliverables	6th May 2014	. J Bradley	4	3	3	1	3		partnership with contractors has already	contractor engagement	Ongoing until completion of Tender phase	Active	75	J Bradley
Tender returns exceed the budget envelope making the scheme unaffordable		assessment of forecast costs by design team and mis understood tender documents by	Delayed project commencement and potential re-tender	6th May 2014	J Bradley	4	3	3	1	3	1			Post Tender design	Active	75	J Bradley
	CEB fail to approve Executive Director role to appoint principal contractor Suitably qualified contractors do not submit tenders Multiple contractor do not bid for works Tender returns exceed the budget envelope making the scheme	CEB fail to approve Executive Director role to appoint principal contractor Suitably qualified contractors do not submit tenders Multiple contractor do not bid for works Tender returns exceed the budget envelope making the scheme unaffordable Threat	CEB fail to approve Executive Director role to appoint principal contractor Suitably qualified contractors do not submit tenders Multiple contractor do not bid for works Tender returns exceed the budget envelope making the scheme	CEB fail to approve Executive Director role to appoint principal contractor of single officer decision appointment and increase costs contractor. Suitably qualified contractors do not submit tenders Multiple contractor do not bid for works Threat Lack of preparation and engagement with Contractors project understanding. Lack of preparation and engagement with Contractors. All the project deliverables costs and a lack of project understanding. Threat engagement with Contractors. Delayed project deliverables costs by design team and mis understood tender documents by	CEB fail to approve Executive Director role to appoint principal contractor appoint principal contractors do not submit tenders Threat Lack of preparation and engagement with Contractors Multiple contractor do not bid for works Tender returns exceed the budget envelope making the scheme unaffordable Threat Lack of preparation and engagement with contractors Lack of preparation and engagement with contractors Delayed contractor appointment and increase costs 6th May 2014 costs and a lack of project understanding High costs and failed project deliverables 6th May 2014 commencement and project deliverables Obligation Threat Cause Costs by design team and mis understood tender documents by	CEB fail to approve Executive Director role to appoint principal contractor appoint principal contractor do not bid for works Threat Lack of preparation and engagement with Contractors Multiple contractor do not bid for works Tender returns exceed the budget envelope making the scheme unaffordable Threat Lack of preparation and assessment of forecast costs by design team and mis understood tender documents by Cause Consequence Coth May 2014 J Bradley J Bradley Coth May 2014 J Bradley Commencement and potential re-tender Commencement and potential re-tender	CEB fail to approve Executive Director role to appoint principal contractor Suitably qualified contractors do not submit tenders Multiple contractor do not bid for works Tender returns exceed the budget envelope making the scheme unaffordable Threat Lack of preparation and engagement with costs by design team and mis understood tender documents by Cause Consequence Consequence Consequence Consequence Consequence Consequence Contractor Belayed contractor appointment and increase costs 6th May 2014 J Bradley 5 Sthaw 2014 J Bradley 5 Sthaw 2014 J Bradley 5 Contractors Ceth May 2014 J Bradley 5 Contractors Ceth May 2014 J Bradley 4 Contractors Ceth May 2014 J Bradley 4	Risk description Opp/ threat Cause Consequence Consequence I P CEB fail to approve Executive Director role to appoint principal contractor contractor Suitably qualified contractors do not submit tenders Contractors Multiple contractor do not bid for works Threat Lack of preparation and engagement with Contractors Contractor Co	CEB fail to approve Executive Director role to appoint principal contractor of single officer decision and engagement with Contractors Multiple contractor do not bid for works Tender returns exceed the budget envelope making the scheme unaffordable Threat Lack of preparation and engagement by design team and mis understood tender documents by Cause Consequence Consequence Consequence Consequence Consequence Consequence Consequence Contractor Coth May 2014 J Bradley J J Bradley J Bradle	Risk description Opp/ threat Cause Consequence I P I P CEB fail to approve Executive Director role to appoint principal contractor contractor Suitably qualified contractors do not submit tenders Threat Lack of preparation and engagement with Contractors High costs and falled project deliverables Tender returns exceed the budget envelope making the scheme unaffordable Threat Lack of preparation and assessment of forecast costs by design team and mis understood tender documents by	CEB fail to approve Executive Director role to appoint principal contractor appointment and increase costs Suitably qualified contractors do not submit tenders Multiple contractor do not bid for works Threat Lack of preparation and engagement with Contractors Delayed contractor appointment and increase costs Sit May 2014 J Bradley 5 3 4 2 4 4 5 5 3 4 1 1 4 5 5 5 5 5 5 5 5 5 5 5 5 5 5 5 5	CEB fail to approve Executive Director role to appoint principal contractor Suitably qualified contractors do not submit tenders Multiple contractor do not bid for works Threat Lack of preparation and engagement with Contractors Delayed contractor Delayed contractor appointment and increase costs Costs and a lack of project understanding For workmanship, high costs and a lack of project understanding For workmanship, high costs and a lack of project understanding Multiple contractor do not bid for works Threat Lack of preparation and engagement with Contractors Delayed contractor appointment and and engagement with contractors For Multiple contractor do not bid for works Threat Lack of preparation and engagement with Contractors Delayed contractor do project deliverables For May 2014 J Bradley J Bradley	CEB fail to approve Executive Director role to appoint principal contractor submit tenders Multiple contractor do not bid for works Threat Lack of preparation and engagement with Contractors and alled project deliverables Threat Lack of preparation and engagement with Contractors and alled project deliverables Threat Lack of preparation and engagement with Contractors and alled project deliverables Threat Lack of preparation and engagement with Contractors and alled project deliverables Threat Lack of preparation and engagement with Contractors and alled project deliverables Threat Lack of preparation and engagement with Contractors and alled project deliverables Threat Lack of preparation and engagement with Contractors Delayed contractor do not bid for works Tender returns exceed the budget envelope making the scheme unaffordable Tender returns exceed tender documents by	CEB fail to approve Executive Director role to appoint principal contractor with contractors do not submit tenders Multiple contractor do not bid for works Threat Lack of preparation and engagement with Contractors Threat Lack of preparation and engagement with Contractors Director role to appoint principal contractor with contractors do not submit tenders Threat Lack of preparation and engagement with Contractors Director role to appoint principal contractor will result in failed delivery engagement and partnership with contractors has already enabled an improved working relationship Multiple contractor do not bid for works Threat Lack of preparation and engagement with Contractors Director role to appoint principal contractor will result in failed delivery engagement and partnership with contractors has already enabled an improved working relationship Early and continuing contractor engagement with Contractors Contractors Threat Lack of preparation and engagement with Contractors Director role to appoint principal contractor will result in failed delivery engagement and partnership with contractors has already enabled an improved working relationship Early and continuing contractor engagement with Contractors Contractors Contractors Threat Lack of preparation and engagement with Contractors Director role to appoint with care accurate and partnership with contractors has already enabled an improved working relationship Early and continuing contractor engagement contractor engagement with Contractors has already enabled an improved working relationship Early and continuing contractor engagement with the design team has challenged the scope and specification ensuring cost enders through tender strong has already engagement and polemical re-tender strong has already enabled engagement with contractor engagement with contractor engagement with contractor engagement engagement with contractor engagement engagement engagement engagement engagement engagement engagement engagement engagement engag	CEB fail to approve Executive Director role to appoint principal contractor of single officer decision ortractors Suitably qualified contractors Threat Lack of preparation and engagement with Contractors Multiple contractor do not bid for works Threat Lack of preparation and engagement with Contractors Threat Lack of preparation and engagement with Contractors has already enabled an improved working relationship with contractors has already enabled an improved working relationship contractor engagement contractor engagement with Contractors has already enabled an improved working relationship contractor engagement with Contractors has already enabled an improved working relationship contractor engagement with Contractors has already enabled an improved working relationship contractor engagement contractor engagement with Contractors has already enabled an improved working relationship contractor engagement contractor has already enabled an improved working relationship contractor engagement contractor will result in failed delivery targets Threat Lack of preparation and assessment of free cast costs by design feam has challenged the scope and specification ensuring cost enders tage, clear communication with tenders through tender documents by contractor engagement contractor will result in failed delivery targets Threat Lack of preparation and alack of properation and engagement with contractors has already enabled an improved working relationship contractor of engagement with the design tender of engagement with the design tender of	CEB fail to approve Executive Director role to appoint principal contractor of single officer decision contractors do not submit tenders Threat Contractors Threat C	CES fail to approve Executive Director role to appoint ment of single officer decision or appointment and increase costs and a fact of project understanding or not bid for works Threat contractor of the diagrament with Contractors Multiple contractor of the first of the budget envelope making the scheme unaffordable Threat Lack of preparation and engagement with Contractors Threat Lack of preparation and engagement wit

Appendix 3- Initial Equality Impact Assessment

1. Within the aims and objectives of the policy or strategy which group (s) of people has been identified as being potentially disadvantaged by your proposals? What are the equality impacts?

As part of the PQQ process to enable contractors to be accepted on to the HCA framework, the contractors must show due regard and competence in complying with the Equality Act 2010.

Oxford City Council places additional onuses on the contractor as part of the competitive tendering process and contract documents to ensure equality is achieved.

2. In brief, what changes are you planning to make to your current or proposed new or changed policy, strategy, procedure, project or service to minimise or eliminate the adverse equality impacts?

Please provide further details of the proposed actions, timetable for making the changes and the person(s) responsible for making the changes on the resultant action plan

A review will be undertaken by the Oxford City Council Procurement project team member of the procedures and clauses contained within the proposed tender and contract documents to ensure compliance with the Equality Act 2010.

3. Please provide details of whom you will consult on the proposed changes and if you do not plan to consult, please provide the rationale behind that decision.

Please note that you are required to involve disabled people in decisions that impact on them

All residents will be consulted in regard to the works and particular attention will be provided towards disabled and at risk groups or individuals. Oxford City Council constantly updates details of persons who may require additional assistance and this data will be provided to the principal contractor to enable his consultation and coordination with those groups or individuals.

4. Can the adverse impacts you identified during the initial screening be justified without making any adjustments to the existing or new policy, strategy, procedure, project or service?

Please set out the basis on which you justify making no adjustments

Proposed works and coordination between parties can and will ensure that the appointed Contractor will be able to comply with the Equality Act 2010 as part of their routine and experienced handling of projects of this nature. Contractor will be experienced in matters of this kind.

5. You are legally required to monitor and review the proposed changes after implementation to check they work as planned and to screen for unexpected equality impacts.

Please provide details of how you will monitor/evaluate or review your proposals and when the review will take place

No changes are proposed to the existing policy, strategy, procedures or service as part of this scheme.

Lead officer responsible for signing off the EqIA: Mr Jack Bradley

Role: Project Lead for the Tower Block Refurbishment Scheme

Date: 19.05.14

