

Appendix 1 - Risk Register - Floyds Row - 10th April 2019 CEB

Polly McKinlay PM Project Manager - Senior Commissioning Officer (Rough Sleeping and Single Homelessness)  
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 Martin Shaw MS Property Services Manager  
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Title	Risk description	Opp/ threat	Cause	Consequence	Date Raised	Owner	Risk						Controls				
							I	P	I	P	I	P	Control description	Due date	Status	Progress %	Action Owner
Planning permission not approved	Planning permission not awarded or conditions unacceptable	Threat	Objections are raised against the application that lead members to vote against the proposal	Scheme cannot go ahead/appeal must be sought	11.3.19	PM	5	2	2	1	1	1	PM attending planning committee	Ongoing	Planning permission was granted 12.3, limited conditions were made but these have yet to be discharged.	90	PM
Building Control not approved	Building Control does not give approval to overall design concept	Threat	Design concept did not take into account building control	Unable to deliver concept and/or need to spend money/time reconfiguring	11.3.19	PM	4	2	4	2	3	1	Advance conversations were had with building control. Will seek to engage them with architectural consultants early.	Ongoing	To progress when architect appointed	25	PM
Design stage identifies further and currently uncosted build requirements	Additional and previously unidentified issues being identified during the build process that require additional works or spend	Threat	Build requirements not being thought through in draft design	Could increase time or cost	11.3.19	PM/DS	3	3	2	3	2	2	There is a 10% project contingency and a 10% build contingency, built into the costings. Feasibility work has been undertaken to ensure draft design is based on building requirements as far as possible. Process of co-design will help further ensure this.	Ongoing	Contingencies have now been built into budget and feasibility work undertaken. Planned co-design timeable being put together	50	PM/DS
Design stage identified further planning requirements	Design stage identifies further works that require further planning permission	Threat	Original planning application did not foresee additional requirements	This could create delays on process & further risk of no approvals	11.3.19	PM	2	3	2	2	2	2	We have liaised with planning to ensure that the initial correct planning application was made and we will be clear with the architectural team that external works should be avoided where at all possible	Ongoing	Original planning application approved, further discussion to be had with architect when appointed	50	PM
Further building control requirements	Building control identifies items required not currently costed - e.g. fire modifications, additional showers and toilets	Threat	Draft costings did not take into account building regulations	Would increase overall cost	11.3.19	PM/DS	3	3	2	3	2	2	There is a 10% project contingency and a 10% build contingency, built into the costings. We have done some initial work with building control, and will make it a priority when the architectural team is appointed. We will investigate similar projects to see how they navigated requirements.	Ongoing	Contingency built in, conversations had, and more still to have. Visits arranged to similar projects.	50	PM and DS
ODS costs excessive	Direct Services are not able to achieve (close to) the expected costs identified in the QS schedule of works from the architect.	Threat	Costs are unrealistically low or ODS charge is too high	Would make the project more expensive, or create delays if if meant we had to go to tender	11.3.19	PM/DS/MS	3	3	3	3	2	2	Architect has been made aware of limited cost envelope and overheads have been costed in project. Further discussions will be had with ODS about limited cost envelope	Ongoing	See description	50	PM/DS/MS
Phased approach	If project needs to have a phased approach in order that winter shelter can be delivered earlier than other parts of the service (for 2019/20 winter)	Threat	Increased costs of phasing (e.g. erecting barriers), risks to clients if building work taking place whilst building already being occupied.	If project needs to have a phased approach in order that winter shelter can be delivered by 1st October	13.3.19	PM/DS/MS	3	4	2	4	2	4	Ensure that phased approach is properly costed and that health and safety guidance is followed and given to architects/constructors as relevant.	Ongoing	Approval to undertake phased approach has been sought and so project team will actively proceed with mitigations. 20% project/build contingency included in costing should absorb cost of phasing	40	PM/DS/MS
Council governance delays	Council governance processes are unable to agree to move the project forward at exactly the point where this is needed	Threat	Council governance processes are slow and/or officers not understanding of processes and deadlines	Delay in award of and progression with build contract	11.3.19	PM/DS	2	3	2	2	1	1	A project timeline will be assembled so that the project team are aware of critical points and when submissions must be made	Ongoing	Key dates are being scheduled in and papers being prepared- e.g. the April CEB	50	PM
ODS build/supply chain delays	Direct Services cannot schedule the work to start as expected, nor can complete within the proposed contract length, or experience difficulties mobilising required suppliers - e.g. for a new boiler.	Threat	ODS not prepared and/or timeframe unrealistic and/or suppliers not mobilised quickly enough	Would create delays on the project and delay opening	11.3.19	PM/DS	4	3	3	3	2	3	Advance planning, consideration of a phased approach to delivery and internal discussions with ODS to make them aware of timeframe and prepare to deliver project. Advance planning for supply chain issues - e.g. being aware of lead in time required to source new boiler.	Ongoing	Initial discussions taken forwards with ODS. Phasing still being considered	30	DS/MS

QS delays	QS requires longer than a week to cost the works schedule	Threat	Timeline unrealistic or architect does not appoint QS with sufficient time and/or expertise	Would create delays on the project	11.3.19	PM/DS	2	4	2	3	2	2	The limited timeframe has been made very clear in the tender and will further be made clear to the architectural team who will be closely managed by the client to ensure that appointment of QS is not delayed	Ongoing	Further discussions to be had once architect appointed	50	PM/DS
ODS tender delays	Direct Services require more than a week to provide a costed tender	Threat	Timeline unrealistic or ODS do not have sufficient time and/or expertise	Would create delays on the project	11.3.19	DS/MS	2	3	2	3	2	2	Advance planning and internal discussions to make clear to ODS that timeframe is had	Ongoing	Further discussions to be had with ODS	30	DS/MS
Poor architectural quality	Architects firm does not complete the work to the required standard	Threat	Architects do not have sufficient expertise or time. Client does not instruct sufficiently	Could mean project of poor quality	11.3.19	PM/DS	4	3	4	2	2	2	A tendering process has been undertaken to ensure that a high quality firm is selected, and a draft specification written to ensure the brief is clear. They will be managed closely throughout the process by a client who has sufficient understanding of project requirements.	Ongoing	Bids are being evaluated on 13/3 and 14/3, draft spec has been given. Project timeline for first two phases is being constructed to ensure high client contact	50	PM/DS
Architectural delay	Architects firm does not complete the work in the required timeframe	Threat	Architects do not have sufficient time. Client does not manage sufficiently, or timeframe unrealistic	Would create delays on the project	11.3.19	PM/DS	3	3	3	3	2	2	The limited timeframe has been made very clear in the tender and will further be made clear when architects appointed, with a timetable laid out from the start. The client will manage the architects throughout the design process, to ensure they stay on track.	Ongoing	To progress further when architect appointed. Project timeline for first two phases is being constructed to ensure that tight timelines are stuck to	50	PM/DS
Procurement delay	Use of the portal creates delays in process	Threat	Portal has minimum time requirements	Would create delays on the project	11.3.19	PM	2	4	0	0	0	0	Solved - timeline reflects accurate speed of procurement which is not creating delays	Ongoing	Solved	100	PM/RL
Project not used by clients	Client refusal to use project/insufficient engagement	Threat	Poor reputation, design creates risks for clients	Project cannot reduce rough sleeping numbers as hoped	13.3.19	PM/RL	3	3	3	3	2	2	Clients are engaged in design of project, to ensure it reflects service user needs. All rough sleeping data indicated high levels of need for this service. Street engagement approaches will be amended to reflect this new provision, as will the relationship between this service and others in the adult homeless pathways/ other pathways.	Ongoing	Co-design and consultation being built into design process	50	PM/RL
HB income insufficient <b>154</b>	Insufficient income from housing benefit	Threat	Rate card is knocked back for being excessive. Claims are not made and/or clients are not followed up for payment	Scheme is forced to draw on reserves more than intended	13.3.19	PM/RL	4	4	3	2	2	2	Clients will not be asked to pay a direct service charge in the 72h SSTS service. The service specification will include making HB claims as a specific role requirement. Voids and bad debt provision have already been factored into calculations and HB Service Manager has been consulted on scheme and agrees with the concept/ HBV eligibility expectations	Ongoing	Further work to be done in determining rate card and spec, however positive foundations have been laid	75	PM/RL
Antisocial/harmful behaviour	Clients using project behave in a way that has impacts on other clients in the project and on the surrounding area/city centre	Threat	Antisocial behaviour of clients is not appropriately managed by service providers, design of building facilitates antisocial behaviour	Scheme gets a bad reputation amongst rough sleepers and amongst the public/neighbours which takes officer time to resolve and decreases project outcomes, clients are scared to use it and continue to sleep rough, major incidents happen which gives poor reputation and puts people at risk	13.3.19	PM/RL	3	4	3	3	3	2	Design will seek to include features that help provide a safe environment and reduce anti-social behaviour. Specification will include an anti-social behaviour management plan and stakeholder engagement	Ongoing	Architects spec includes concepts such as PIE, which will help to design a safe environment. ASB management plan will be based on work already undertaken at Bonn Square	50	PM/RL
Demand too high/Supply too low	Too many rough sleepers need to use the service and it does not have capacity, resulting in waiting lists	Threat	The number of rough sleepers increases more than anticipated or move-through the project is insufficient	The project does not have (or is perceived not to have) the expected impact on reducing numbers of rough sleepers, and members and public call for additional initiatives which cannot be funded.	13.3.19	PM/RL	2	4	2	4	2	3	Demand modelling for service, flexible capacity, flexible approach to commissioning of other services as required - subject to funding constraints. Tight management of adult homeless pathway, of voids etc, to ensure maximum throughput	Ongoing	Work has started on maximising effectiveness of services and adult homeless pathway - more to be undertaken	30	PM/RL
Demand too low/supply too high	There are not enough clients in need to fill the capacity of the service	Threat	Lower numbers of rough sleepers than expected. Particularly a risk in later years of the project, where we hope demand will decrease	Number of clients too low means insufficient housing benefit income	13.3.19	PM/RL	3	2	3	2	1	2	Other options for use of the space to be identified so that some space can continue to attract income without the entire service needing to be decommissioned. Staff numbers to be flexible, by some posts being awarded on temporary contracts	Ongoing	Other options for income generation/use of space are still being explored	30	PM/RL

Capital costs shortfall	The funds required to build the project cannot be met from income sources and so need to be covered by housing reserves.	Threat	Unsuccessful bid to MHCLG and failure of fundraising attempts	Housing reserves reduce significantly and by the end of the current MTFP period, the Council would need to assess homelessness risks against the size of the reserves and potentially make financial adjustments to improve the position	13.3.19	PM/RL		3	3	3	2	3	1	Bid being submitted to RRP Fund. Advice of RS advisor will be sought prior to submitting bid to ensure maximum chance of success. External trusts (e.g. OCF) pursued for fundraising opportunities.	Ongoing	Waiting to hear from OCF. Will be making bid fo RRP by end of March	50	PM/RL
Provider (revenue) costs increase	A service provider cannot be identified to provide the service specified within the cost envelope envisaged	Threat	Unrealistic demands from service provider, poor relationship and/or negotiation between client and service provider, unrealistic cost estimates from client	Service revenue costings increase without income to meet them and/or reduced service offer must be put in place	13.3.19	PM/RL		4	4	3	3	3	2	Advice of initial service provider is being sought, so they can provide input into costings which appear realistic and appropriate. Cost information from comparable services have been used, with the staff team required and FTEs considered	Ongoing		50	PM/RL
Revenue cost shortfalls	The funds required to keep the service running cannot be met from income	Threat	Other services (e.g. SWEP, sit-up) cannot be decommissioned as expected. Limited income can be sourced using outdoor space.	Required service costs cannot be met meaning that service offer needs to be reduced or increased draw on housing reserves	13.3.19	PM/RL		4	4	3	4	2	2	Alternative options to be identified for raising income. Only limited assumptions made about services that can be decommissioned (e.g. sit-up will continue for all of 19/20). Detailed financial modelling has already been undertaken through the outline business case and project management processes	Ongoing	Further options to be explored for raising income, especially given that it has now been identified that the number of car parking spaces will likely need to be reduced according to planning conditions	50	PM/RL/DS
Poor service outcomes	The service does not succeed in moving people off of the street and into sustained positive outcomes	Threat	Poor performance by service provider, insufficient enablers (e.g. poor systems, limited availability of move-on options, staffing issues)	Service attains a poor reputation and only has limited success in ensuring that nobody has to sleep rough on streets of Oxford	13.3.19	PM/RL		3	3	3	3	3	2	Tightly specified service specification with clear monitoring arrangements in place to ensure outcomes are achieved. Broader transformation programme of work to ensure that enablers are in place - e.g. expansion of move on accommodation	Ongoing	Further work to do on wider transformation programme and on specifying and defining service outcomes and measurements but we have a good base to progress from	30	PM/RL
Difficulty in mobilising service provider	Service Provider does not have staff and sufficient logistics in place in order to open service by early winter.	Threat	Service Provider is unable to mobilise sufficiently in order to provide service specified, and on time, due to poor time management and planning, any legal difficulties (e.g. TUPE implications), or unrealistic demands from the Client	Service cannot be provided on time	13.3.19	PM/RL		4	4	4	3	3	2	Early and consistent consultation with service provider, quick resolution by Client to any issues that arise, advice sought promptly and as needed, Client to provide realistic timeframe and mitigations for delays in getting to full staffing capacity	Ongoing	Early discussions have been had with service provider who are aware of timeframe. Advice being sought on legal implications e.g. TUPE	30	PM/RL
Dissatisfaction from other local stakeholders	Other providers may challenge the approach of Client not initially procuring the service	Threat	Initial service provision will not be procured - instead, existing contract will be modified	Other providers service performance in other projects declines. RS&SH team members time is taken up in resolving disputes. Potential (though unlikely) challenge.	13.3.19	PM/RL		2	3	2	3	1	2	Maintain good relationships with other service providers and give them some input into project. Seek legal/procurement advice on likelihood and basis for any challenge. Seek to tender the new contract from year 2 on.	Ongoing	Other service providers being made aware of approach to be taken and being included in discussions about other ways they can contribute	40	PM/RL

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