

H1725 Risk Register

KEY:
 Client Client Brief/ User Requirements
 Team Consultants, Contractors, Procurement
 External Third Parties, Statutory Bodies
 Design Consultant/ Contractor Design
 Construction Construction, Logistics, Decanting, Supply Chain
 Handover Project Closeout & Handover
 Operations Operations, Maintenance, Facilities Management

KEY:
 Critical
 Intermediate
 Minor

RISK IDENTIFICATION & MITIGATION						RISK ASSESSMENT - RESIDUAL RISK			ACTION PLAN - RESIDUAL RISK				COMMENTS
Date Identified	Date Updated	Category	Risk	Potential Impact	Completed Mitigation Action (to date)	Probability	Impact	Risk Score/ Category	Action Plan	Action Owner	Next Action Target Date	Date Achieved	
30.11.2021	10.01.2022	Client	Existing supplier Civica will be ceasing to provide OOH call handling services from 1st March 2022	OOH call handling service will cease to operate Failure to provide services	Contact Westworks Procurement Network to commence sourcing of alternative provider on available framework. Establishment of existing framework from which to procure equivalent services.	3	3	9	Identify and select supplier to carry out OOH call handling service.	AC	10.01.2022	10.01.2022	Closed: Orbis selected from the EEM Framework and contact made to commence mobilisation
19.11.2021	19.11.2022	Client	Legislative or Statutory Issues – Legal Requirement Change	Regulatory or statutory requirements change during the contract may have budgetary and timing impact		3	2	6	Our Health & Safety, Operational teams are always aware of any expected changes in legislation, where this has an impact on our business, we will be proactive in changing our system and procedure in readiness for their arrival.	AE	19.11.2021	19.11.2021	Closed - Update as required
25.11.2021	25.11.2021	Client	IT System Failure	Failure of IT/Phone system or Contractor Portal could cause delays and have a financial impact	OOH escalation Whatsapp group formed/Direct numbers shared with provider in event of failure	2	3	6	Business continuity arrangements should safeguard data history. Review plans periodically to ensure cover for such events.	AE	25.11.2021	25.11.2021	Closed - Whatsapp escalation group set up and working
19.11.2021	19.11.2021	Contractor		If site teams don't understand the specification and or product and don't apply correctly this will impact contractor and client financially and reputationally.	OOH escalation Whatsapp group formed/Direct numbers shared with provider in event of failure	2	4	8	At the outset of the contract we intend to review calls through to provider after hours with all parties ensuring the product is achieving the performance required by Stroud District Council.	HC	16.02.2022	01.03.2022	Closed: 2 Week Mobilisation period testing enabled and demonstrated working well. Review as required
30.11.2021	10.01.2022	Client	Phone/IT Systems failure Processes mapped clearly and understood	If processes and paperwork are not agreed, then this could cause delays, poor service and financial impact.	OOH escalation Whatsapp group formed/Direct numbers shared with provider in event of failure Mobilisation meetings scheduled for parallel running from 16th February to transfer 1st March 2022	3	3	9	Reviewed at regular Operational meetings, all new processes agreed and evidenced as appropriate. All new processes to be agreed and evidenced as appropriate by H1762 Contract Team.	HC	16.02.2022	01.03.2022	Closed: 2 Week Mobilisation period testing enabled and demonstrated working well. Review as required
30.11.2021	10.01.2022	Team	Personnel changes	If there are constant personnel changes during the contract term, this could cause service disruption, poor delivery, and reduced partnership working.	Expansion of escalation rota to include team leaders/lead engineers	3	1	3	To be reviewed at regular Operational meetings, project directory to be provided at contract commencement, standard item within progress reports, evidenced within the meeting minutes.	AC	30.11.2021	30.11.2021	Closed: 2 Week Mobilisation members confirmed. Review as required
14.12.2021	14.12.2021	Client	Clear roles and responsibilities	If roles and responsibilities are not agreed, then this will cause confusion and mismanagement.	Immediate confirmation for Civica and forward on to Mobilisation plan for new supplier	3	1	3	Reviewed at regular Operational meetings, project directory updated as necessary, and evidenced within the meeting minutes.	HC	14.12.2021	16.02.2022	Closed: Christmas cover provided and mobilisation plan agreed
30.11.2021	16.02.2022	Team	Customer satisfaction process in place	If the customer satisfaction process is not monitored in an appropriate manner, then we will not be able to measure our resident's satisfaction with the standard of work and the quality of the contractor.	Performance dataset agreed and outlined	2	2	4	Key performance indicators provided on a monthly basis, reviewed, challenged and evidenced at the Operational meetings as appropriate.	HC	14.12.2021	16.02.2022	Closed: Mobilisation plan and monitoring sheets
30.11.2021	16.02.2022	Client	Business continuity (SDC)	If offices were to be uninhabitable, then service provision, support and payments would not operate until the corporate BC plan had been implemented Contractor to supply support in these instances.	Existing arrangements with Civica to be replicated Teams and remote working in place	1	3	3	SDC has a Corporate business continuity plan to be implemented to ensure service provision is continued. This plan is flexible depending on circumstances and will be employed to ensure business continuity and provision of services.	HC	16.02.2022		Ongoing risk
30.11.2021	16.02.2022	Team	Business continuity (Contractor)	If Contractor offices were to be unusable, then service management and support would transfer to another office.	Existing arrangements with Civica to be replicated Teams and remote working in place	1	3	3	Contractors business continuity plan is referenced as part of their contract submission and will be reviewed at operational meetings to ensure it is kept up to date.	HC	16.02.2022		Ongoing risk
30.11.2021	16.02.2022	Team/External	Reputation	If works are not delivered satisfactorily, then there will be a loss of reputation publically and loss of trust from our tenants, Councillors, and other stakeholders.		2	3	6	Measurement of contractor performance using KPIs. Regular audit of performance at monthly operational meetings.	HC	16.02.2022		Ongoing task
30.11.2021	16.03.2022	Team/External	Reputation	If works are not delivered satisfactorily, then there will be a loss of reputation publically and loss of trust from our tenants, Councillors, and other stakeholders.	Plan for additional operative delivery to be implemented	2	3	6	Measurement of contractor performance using KPIs. Regular audit of performance at monthly operational meetings.	HC	16.02.2022	10.06.2022	Ongoing: Trial scheduled for PC operatives to join rota on trial basis from 20.06.2022
30.11.2021	16.02.2022	Team	Contractors financial standing	If a contractor becomes financially unstable this may lead to insolvency of the contractor and determination of the contract. This will affect SDC's ability to deliver the works, have financial implications and reputational repercussions.		2	4	8	Financial checks to be carried out at least annually, in line with insurance renewals, with contractor performance monitored via monthly operational meetings, KPIs. Consideration given to the viability of the other provider continuing delivery.	AC	16.02.2022		Ongoing task
19.11.2021	24.05.2022	Client	COVID 19	Outbreak of COVID 19 with workforce or a further lockdown could affect the clients ability to facilitate contract works	Joint service provision with Contractor. Partnership options explored with GCH	4	3	12	Spread the available pool of resources for emergency measures through escalation group	HC	16.02.2022		Ongoing risk
19.11.2021	24.05.2022	Contractor	COVID 19	A further Lockdown could lead to being unable to deliver contract. Outbreak of COVID 19 could lead to increased operatives who are unable to work putting pressure on service delivery	Joint service provision with Contractor. Partnership options explored with GCH	4	3	12	Spread the available pool of resources for emergency measures through escalation group	HC	16.02.2022		Ongoing risk
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Item 5 - Appendix C (i)