

## SCR Transforming Cities Fund Tranche 2 Bid - Programme Level Risk Register (in priority order)

Date: 18/11/2020

Risk Number	Reported Date	Summary	Effect / Mitigation	Owner	Due Date	Priority	Days Left
16613	23/07/2019	Resources insufficient to deliver a large scale bid	<p><b>Effect</b> - Lack of resources may impact on the quality of the bid and/or delivery of the programme post-submission.</p> <p><b>Mitigation:</b></p> <ol style="list-style-type: none"> <li>1. Resources to be a standing item at Programme Board.</li> <li>2. Programme to be monitored by SRO, Programme Board and Project Boards.</li> <li>3. Effective resource planning to be implemented.</li> <li>4. Making use of frameworks - early engagement.</li> <li>5. Other 2019 funding being used to progress scheme before outcome of bid is known.</li> </ol>	Programme Board	01/04/2022	8	868
16626	23/07/2019	Inability to deliver within the allocated annual funding profiles	<p><b>Effect</b> - Schemes may have to be curtailed or dropped.</p> <p><b>Mitigation:</b></p> <ol style="list-style-type: none"> <li>1. Project Managers to be realistic about delivery of schemes in preparation of SOBC.</li> <li>2. Programme Management processes to maintain some flexibility in funding years.</li> <li>3. Flexibility of profile to be discussed with DfT.</li> </ol>	Programme Board	01/04/2023	8	1233
16635	23/07/2019	Designing at risk before confirmation of funding - lack of capacity within existing revenue funding streams i.e. IT block	<p><b>Effect</b> - If TCF not awarded costs may need to be covered by revenue funding. (A risk for partners but not a risk for bid)</p> <p><b>Mitigation:</b></p> <ol style="list-style-type: none"> <li>1. Discussion with DfT re early confirmation of funding post-submission.</li> <li>2. Confirmation that costs incurred after SOBC submission can be included in TCF.</li> </ol>	SRO	01/04/2020	8	138
16616	23/07/2019	Accuracy of cost estimates	<p><b>Effect</b> - Pressure on time and budget to produce pre-bid estimates could reduce accuracy. Most estimates at preliminary stage only, even when completed.</p> <p><b>Mitigation:</b></p> <ol style="list-style-type: none"> <li>1. Provision to be made in QRA.</li> <li>2. Estimates to be checked pre-inclusion in SOBC.</li> <li>3. Risk ownership to be identified for all project risks.</li> </ol>	Programme Board	01/04/2022	8	868
16618	23/07/2019	Accuracy of inflation forecasts	<p><b>Effect</b> - Final out-turn costs are higher than agreed programme budget.</p> <p><b>Mitigation:</b></p> <ol style="list-style-type: none"> <li>1. Provision to be made in QRA.</li> <li>2. To be monitored/managed by Programme Board.</li> </ol>	Programme Board	01/04/2022	8	868
16617	23/07/2019	Clarity of level of local contributions required - source and whether the committed levels are sufficient particularly in the latter years of the programme	<p><b>Effect</b> - Undermine strength of bid submission, effect deliveries.</p> <p><b>Mitigation:</b></p> <ol style="list-style-type: none"> <li>1. Discussion with DfT and Partners at Programme Board.</li> <li>2. Provision to be agreed by partners post-submission.</li> <li>3. Project leads to monitor and report back to Project Board.</li> </ol>	Project Manager(s)	01/04/2020	8	138

Risk Number	Reported Date	Summary	Effect / Mitigation	Owner	Due Date	Priority	Days Left
16614	23/07/2019	Forecast outcomes are not correct or that some schemes cannot progress as planned	<p><b>Effect</b> - Reduced outcomes and lower BCR/VfM. (Likelihood - High as details of forecast outcomes not known at present)</p> <p><b>Mitigation:</b></p> <ol style="list-style-type: none"> <li>1. Sifting process to test robustness of schemes VfM/BCR.</li> <li>2. Appraisal process to be scoped and agreed with DfT.</li> <li>3. Business case(s) to be tested with appropriate level of optimism bias.</li> <li>4. Outcome delivery (forecast and actual) to be managed by Project Board.</li> <li>5. Contingency plan to be prepared to make up any shortfall in outcomes.</li> <li>6. Appraisal workshop by Task and Finish Group to ensure consistent approach by partners with standard approach and consistent assumptions.</li> </ol>	SRO	01/04/2021	7	503
16630	23/07/2019	Whole life costs not accurately forecast	<p><b>Effect:</b></p> <ol style="list-style-type: none"> <li>1. Could impact on VfM.</li> <li>2. Inability to fund future maintenance. (Likelihood - High as no estimates at present). Risk for post bid period.</li> </ol> <p><b>Mitigation:</b></p> <ol style="list-style-type: none"> <li>1. Early and ongoing engagement with Asset Managers.</li> <li>2. To be escalated to board to ensure consistent treatment across programme.</li> </ol>	Bid Manager	01/04/2023	7	1233
16615	23/07/2019	Securing necessary powers/consents for individual schemes by the time the bid is submitted and subsequent impact on programme delivery and outcomes	<p><b>Effect</b> - Individual schemes cannot be delivered to programme and/or achieve agreed outcomes. General risk re TROs. Specific Risks include:</p> <ul style="list-style-type: none"> <li>- Barnsley Rail Bridge</li> <li>- iPort Bridge</li> <li>- Works around M1 Junction 34 (Highways England)</li> <li>- Magna Tram Stop</li> </ul> <p><b>Mitigation:</b></p> <ol style="list-style-type: none"> <li>1. Have some replacement schemes in reserve to fill gaps in outputs/outcomes.</li> <li>2. Programme management to be discussed with DfT/Project Board.</li> <li>3. To be transferred to project level risk.</li> </ol>	Programme Board	01/04/2022	6	868
16619	23/07/2019	SCR Assurance Framework not signed off by DfT	<p><b>Effects</b> - Delay to draw down of funding. Impacts on partners costs.</p> <p><b>Mitigation:</b></p> <ol style="list-style-type: none"> <li>1. SCR to work with MHCLG and DfT to ensure any issues resolved and framework signed off.</li> </ol>	SRO	01/04/2020	6	138
16641	23/07/2019	Input from SCR AT Advisory Panel not captured/delivered	<p><b>Effect</b> - Could delay delivery of schemes and / or outcomes. (Financial impact of changes to schemes captured in risk 16640) Reputational risk (£0 finance input)</p> <p><b>Mitigation:</b></p> <ol style="list-style-type: none"> <li>1. Could transfer to project level risk.</li> </ol>	Bid Manager	01/04/2020	6	138

Risk Number	Reported Date	Summary	Effect / Mitigation	Owner	Due Date	Priority	Days Left
16627	23/07/2019	Revenue funding needed to support schemes not available as anticipated	<p><b>Effect</b> - Infrastructure schemes not reaching target usage / outcomes due to inability to deliver supporting behavioural change activities due to lack of funding.</p> <p><b>Mitigation:</b></p> <ol style="list-style-type: none"> <li>1. Confirm budget before bid. (complete but position could change)</li> <li>2. Sourcing other funding.</li> <li>3. Lobbying potential funders using evidence from other programmes i.e. LSTF.</li> <li>4. Escalate to SCR Mayor/Active Travel Commissioner.</li> </ol>	Project Manager(s)	01/04/2020	6	138
16623	23/07/2019	Consultation - user groups	<p><b>Effect</b> - Objection to schemes delay delivery.</p> <p>To be transferred to project level risk.</p> <p><b>Mitigation:</b></p> <ol style="list-style-type: none"> <li>1. Early and ongoing engagement with user groups.</li> <li>2. Schemes to be redesigned to suit without effecting outcomes.</li> </ol>	Project Manager(s)	01/12/2020	6	382
16621	23/07/2019	Consultation - political and public (including businesses)	<p><b>Effect</b> - Objection to schemes delay delivery or consultation changes scope/costs/outcomes. (Likelihood - Medium)</p> <p><b>Mitigation:</b></p> <ol style="list-style-type: none"> <li>1. Delivery partners to maintain project risk register and address potential issues with early and ongoing consultation.</li> </ol>	Project Manager(s)	01/12/2020	6	382
16622	23/07/2019	Consultation - bus operators/TOCs	<p><b>Effect</b> - Objection to schemes delay delivery and reduce match funding in fleets by public transport operators.</p> <p><b>Mitigation:</b></p> <ol style="list-style-type: none"> <li>1. Discussions on an ongoing basis with operators.</li> <li>2. Engagement with Bus Partnership Steering Groups</li> <li>3. Discussions re other schemes</li> <li>4. Engagement with Northern Rail.</li> </ol>	SYLTE	01/04/2020	6	138
16624	23/07/2019	Adverse impact on Clean Air Zone/AQMAs	<p><b>Effect</b> - Potential conflict with CAZ proposals and or impact on AQMAs. Impact likely to be small and mainly delays.</p> <p><b>Mitigation:</b></p> <ol style="list-style-type: none"> <li>1. Consideration of air quality impacts of schemes.</li> <li>2. Co-ordination with leads of CAZ work.</li> </ol>	Project Manager(s)	01/04/2021	6	503
16628	23/07/2019	Communications	<p><b>Effect</b> - Inconsistent messages, potential undermining schemes and/or delivery.</p> <p><b>Mitigation:</b></p> <ol style="list-style-type: none"> <li>1. Develop Communications Plan for delivery of programme.</li> </ol>	SRO	01/04/2023	6	1233
16632	23/07/2019	Skills to deliver innovative scheme design	<p><b>Effect</b> - Inability to design and therefore deliver schemes.</p> <p><b>Mitigation:</b></p> <ol style="list-style-type: none"> <li>1. Recognise skills needed and engage with Consultants where appropriate.</li> <li>2. Planned for shared learning and workshops.</li> </ol>	Programme Board	01/04/2021	5	503

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16625	23/07/2019	Conflict with other SCR and Partner workstreams - Mass Transit etc.	<p><b>Effect</b> - Impact could delay delivery.</p> <p><b>Mitigation:</b> 1. Work with other project leads to programme works and manage potential conflicts and demand on resource. Leads to be identified (known schemes checked, risk is unknown/future schemes)</p>	Project Manager(s)	01/04/2023	5	1233
16629	23/07/2019	Construction phasing - traffic management and co-ordination with other dependencies such as Highways England and TOCs	<p><b>Effect</b> - Potential for negative congestion impacts if scheme delivery not coordinated. Discussions held with Network Managers Group. No significant issues identified.</p> <p><b>Mitigation:</b> 1. Early and ongoing engagement with Network Managers, Highways England, TOCs etc. 2. To be transferred to be a project level risk.</p>	Project Manager(s)	01/04/2023	4	1233
16637	23/07/2019	Increased competition for resources across all TCF programme (contractor) - lack of availability	<p><b>Effect</b> - Reduced ability to deliver within TCF timescales.</p> <p><b>Mitigation:</b> 1. Early contractor engagement.</p>	Programme Board	01/04/2022	4	868
16636	23/07/2019	Increased competition for resources across all TCF programme (contractor) - increased prices	<p><b>Effect</b> - Reduced ability to deliver within funding available.</p> <p><b>Mitigation:</b> 1. Early contractor engagement.</p>	Programme Board	01/04/2022	4	868
16634	23/07/2019	Authorisations - traffic signs and deviation from standards from DfT	<p><b>Effect</b> - Scheme delivery.</p> <p><b>Mitigation:</b> 1. Work with other areas i.e. TfGM/TfL they may have resolved this already.</p>	Project Manager(s)	01/04/2021	4	503
16631	23/07/2019	Co-ordination with WYCA on A61 corridor interventions	<p><b>Effect</b> - Benefits of SCR scheme eroded if WYCA do not proceed with their scheme.</p> <p><b>Mitigation:</b> 1. Early and ongoing engagement with WYCA.</p>	BMBC	28/11/2019	3	13