

NORTH STAFFORDSHIRE LOCAL AIR QUALITY PLAN

UNAPPROVED OUTLINE BUSINESS CASE
APPENDIX 20 - Risk Register - Benchmark CAZ D





Project Title

Clean Air Zone

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Risk ID	Area	Category	Risk Title	Risk: There is a risk that...	Cause: This is because...	Consequences: This will effect...	Date Raised	Probability	Probability Score	Impact	Impact Score	Project Risk	Certainty	Mitigation Response	Mitigation Measures	Assumptions	Consequence Assumption	Quantitative Data								
																		Mitigated Probability	Mitigated Impact	Mitigated Risk	Status	Minimum	Most Likely	Maximum	%	Model Type
2.001	CAZ D	Programme	Local Government Act	Court Cases - Local Government Act causes delay	Procurement roles were not followed and CAZ not delivered within the programme	Increase legal fees, delays, increase costs	04/02/2020	4 Almost Certain	4	4 High	4	16	Low	Mitigate	stakeholder engagement and ensure the procurement roles are followed	assume legal requirements will be met and CAZ delivered within programme	Client Earth, Friends of the Earth etc take the Local Authorities to court	3	4	12	Open	£1,000,000	£2,000,000	£10,000,000	75%	Triangular
2.002	CAZ D	Programme	JAQU, DfT, and HMT delays	There are delays in approvals from JAQU, DfT, and HMT.	JAQU/DfT work load, and issues raised by T-IRP and D-IRP not being resolved.	The scheme is not delivered on time	04/02/2020	2 Possibly	2	3 Moderate	3	6	Low	Mitigate	early engagement with JAQU, DfT, and HMT	assume JAQU, DfT, and HMT will deliver within programme	JAQU, DfT, and HMT delays	1	3	3	Open	£30,000	£70,000	£100,000	10%	Triangular
2.003	CAZ D	Programme	Insufficient funding	Delays in funding / insufficient funding from JAQU	Business case sign off	The scheme is not deliverable without additional funding	04/02/2020	3 Likely	3	3 Moderate	3	9	Low	Mitigate	ensure meaningful and acceptable costs are used to inform the business case	assume JAQU will deliver	delay while the authorities decide on a solution	2	3	6	Open	£20,000	£50,000	£100,000	50%	Triangular
2.004	CAZ D	Programme	Highways England (HE) Objection	HE objection on grounds of safety, network capacity impact, diversion route, and initial draft SRN signage strategy.	HE do not think the scheme is compliant	The scheme cannot move forward or is seriously delayed with additional costs to the scheme with redesigns and scope change	04/02/2020	2 Possibly	2	3 Moderate	3	6	Low	Mitigate	early engagement with HE to provide evidence of compliance	Assume HE don't object and respond within a suitable timeframe	increase in project length	1	3	3	Open	£0	£30,000	£60,000	10%	Triangular
2.005	CAZ D	Programme	Signage design	Problems with design, including agreement of signing strategy on local and SRN	The scheme is complex and requires multi stakeholder sign off	Delays to the project and inflationary costs	04/02/2020	3 Likely	3	3 Moderate	3	9	Low	Mitigate	stakeholder involvement in signage design and strategy	assume signage design is correct	project delay and redesign fees	2	3	6	Open	£20,000	£40,000	£60,000	50%	Triangular
2.006	CAZ D	Programme	RSA	RSA content causes delay	The design does not address RSA issues	There are additional costs and delays to address the findings	04/02/2020	3 Likely	3	3 Moderate	3	9	Low	Mitigate	ensure design development considers the content of the RSA	assume the design addresses RSA issues	may need to redesign scheme	2	3	6	Open	£5,000	£15,000	£30,000	50%	Triangular
2.007	CAZ D	Programme	Utility costs	Utility costs are higher than expected due to timescales available to do site investigations and estimate costs	No allowance for utility applications in the programme	Additional costs for utilities and delays programme	04/02/2020	3 Likely	3	3 Moderate	3	9	Low	Mitigate	ensure there is an allowance in the programme to obtain utility costs	assume utility costs can be obtained within the programme	costs for utility applications and extra over for the allowed supplies/diversions	2	3	6	Open	£60,000	£150,000	£1,000,000	50%	Triangular
2.008	CAZ D	Programme	Judicial review	Successful challenge via judicial review from environmental organisations to type of CAZ	Legal processes are not followed	There are additional legal costs and delays	04/02/2020	2 Possibly	2	3 Moderate	3	6	Low	Mitigate	stakeholder engagement (Client Earth, Friends of the Earth, etc) and ensure legal processes are followed	assume there will be no judicial review challenge	6 month delay	1	3	3	Open	£30,000	£150,000	£300,000	10%	Triangular
2.009	CAZ D	Programme	Local Authority resources	Input from SCC, NulBC and SoTCC technical teams cause delay (due to lack of resources / competing workload)	There is insufficient resources at the Authority	The programme is delayed	04/02/2020	3 Likely	3	3 Moderate	3	9	Low	Mitigate	early engagement with the councils technical teams	assume the LA have sufficient resources	project delay and additional staff required	2	3	6	Open	£10,000	£80,000	£150,000	50%	Triangular
2.010	CAZ D	Programme	Turn-key procurement	SCC/SoTCC procurement teams concerned regarding method of securing 'turn-key' option and associated processes / systems	Due to complex contractual requirements	Increase legal fees, delays, increase costs	04/02/2020	3 Likely	3	3 Moderate	3	9	Low	Mitigate	early engagement with procurement teams	assume procurement teams approve method of securing turn-key option	procurement route is wrong and new route causes a delay	2	3	6	Open	£10,000	£20,000	£50,000	50%	Triangular
2.011	CAZ D	Programme	Amendment of order	Amendment of order leading to need to re-advertising	Objection to the scheme	The scheme cannot move forward or is seriously delayed with additional costs to the scheme with redesigns and scope change	04/02/2020	3 Likely	3	2 Low	2	6	Low	Mitigate	consultation with the public / stakeholders	assume there will be no objections to the scheme	1 month delay	2	2	4	Open	£10,000	£20,000	£100,000	50%	Triangular
2.012	CAZ D	Programme	Permit system	New permit system results in delay	There is a lack of familiarity with the permit scheme	Delays to the project and inflationary costs	04/02/2020	3 Likely	3	3 Moderate	3	9	Low	Mitigate	engagement with stakeholders and public regarding new system	assume the new permit system doesn't cause a delay	1 month delay	2	3	6	Open	£10,000	£20,000	£50,000	50%	Triangular
2.013	CAZ D	Programme	Turn-key insolvency	Risk of 'turn-key' supplier going into insolvency	The market is volatile	There are additional costs and delays	04/02/2020	1 Unlikely	1	4 High	4	4	Low	Mitigate	early engagement with turn-key supplier	assume turn-key supplier doesn't go into insolvency	cost of a new supplier and unnatural inflationary cost	2	4	8	Open	£500,000	£1,000,000	£2,000,000	5%	Triangular
2.014	CAZ D	Public/consultation	Objections	Public / stakeholder objections	Public are opposed to the charges for entering the CAZ and the boundary	The scheme becomes politically sensitive and is delayed	04/02/2020	4 Almost Certain	4	2 Low	2	8	Low	Mitigate	early engagement with the public	assume there will be no delays from public objections	Delay time likely to be short as public have little direct control	3	2	6	Open	£0	£30,000	£60,000	75%	Triangular
2.015	CAZ D	Public/consultation	Sunset period	Sunset periods change effectiveness and income	Public policy	Delays when the CAZ comes into effect	04/02/2020	3 Likely	3	3 Moderate	3	9	Low	Mitigate	allow for sunset periods in the programme	assume sunset period will change the effectiveness of the CAZ	Delay time likely to be short as public have little direct control	2	3	6	Open	£0	£30,000	£60,000	50%	Triangular
2.016	CAZ D	Public/consultation	ANPR	ANPR perceived negatively	People object to ANPR cameras	The scheme becomes politically sensitive and is delayed	04/02/2020	3 Likely	3	3 Moderate	3	9	Low	Mitigate	Inform the public about ANPR cameras at consultation events, and make a allowance for damages	assume the ANPR cameras will be accepted	Delay costs and replacement of cameras due to damage from them being perceived negatively £25k per camera.	2	3	6	Open	£0	£50,000	£250,000	50%	Triangular
2.017	CAZ D	Political	Approval from Local Authorities	Approval delay due to there being 3 Local Authorities making decisions	Differences in political views from the 3 Local Authorities	The scheme becomes politically sensitive and is delayed	04/02/2020	3 Likely	3	3 Moderate	3	9	Low	Mitigate	early engagement and involvement from all 3 Local Authorities	assume the Local Authorities agree to the scheme	3 month delay, greater delay won't be accepted by JAQU	2	3	6	Open	£30,000	£60,000	£150,000	50%	Triangular
2.018	CAZ D	Political	Political power	Lack of political backing including due to change of national / local leadership	Result of elections	The scheme is not supported and is delayed with funding being lost	04/02/2020	1 Unlikely	1	3 Moderate	3	3	Low	Mitigate	engage with all political parties	assume political support is continued	project development delay costs and inflation	1	3	3	Open	£30,000	£50,000	£100,000	5%	Triangular
2.019	CAZ D	Political	Income	Income estimation inaccurate	System will be expensive to run and is offset by income	Additional funding required	04/02/2020	4 Almost Certain	4	3 Moderate	3	12	Low	Mitigate	undertake a feasibility study	assume income estimate is accurate	additional funding required	2	3	6	Open	£100,000	£500,000	£1,000,000	75%	Triangular
2.020	CAZ D	Scope	CAZ area	Mis-match with stated preference surveyed area (different CAZ area assumed)	Incorrect surveys	Delay to project and increase costs	04/02/2020	3 Likely	3	3 Moderate	3	9	Low	Mitigate	CAZ area to be confirmed before surveys are carried out	assume the correct CAZ area is surveyed	redesign costs and delays to the project, may need to tweak the model or remodel on a larger area	2	3	6	Open	£10,000	£50,000	£150,000	50%	Triangular
2.021	CAZ D	Legal	Terms and Conditions	Terms and Conditions and Back Office Agreements take longer to resolve than programmed	Legal agreements can be complex and take time	Delays to the project and inflationary costs	04/02/2020	2 Possibly	2	3 Moderate	3	6	Low	Mitigate	include time risk allowance in the programme	assume Terms and Conditions and Back Office Agreements are resolved within programme	few months delays - 3 authorities legal fees and resources	1	3	3	Open	£80,000	£200,000	£500,000	10%	Triangular
2.022	CAZ D	Legal	Data protection	Data protection / GDPR issues arise and retention periods are longer than anticipated	There will be a large amount of data produced from the cameras and Authority policy requires additional storage	Delays to the project and inflationary costs	04/02/2020	3 Likely	3	3 Moderate	3	9	Low	Mitigate	ensure the data storage procedure is efficient and adheres to policy or outsource the storage	assume there will be no data protection / GDPR issues	extra data storage costs	2	3	6	Open	£120,000	£240,000	£600,000	50%	Triangular
2.023	CAZ D	Legal	Enforcement	Enforcement fails	Due to poor signage design	The scheme does not generate the anticipated fees	04/02/2020	3 Likely	3	3 Moderate	3	9	Low	Mitigate	early engagement with stakeholders to ensure the signage design will not result in enforcement fails	assume signage is adequate to enforce the CAZ	additional staff required to respond to enforcement fails	2	3	6	Open	£10,000	£80,000	£150,000	50%	Triangular
2.024	CAZ D	Design	Traffic Management (TM) issues	TM issues, in particular on the SRN	TM clashes	Delays to project and increase costs	04/02/2020	3 Likely	3	3 Moderate	3	9	Low	Mitigate	include time risk allowance in the programme	assume this will be managed by the road space booking process	working in part of the network is delayed - 3 months	2	3	6	Open	£30,000	£60,000	£200,000	50%	Triangular
2.025	CAZ D	Design	HE signage objection	New schemes on HE network resulting in re-design of signage required	HE have other projects on the network	The scheme cannot move forward or is seriously delayed with additional costs to the scheme with redesigns and scope change	04/02/2020	2 Possibly	2	3 Moderate	3	6	Low	Mitigate	early engagement with HE	assume other projects will not impact the signage design	3 month delay in response	1	3	3	Open	£10,000	£50,000	£100,000	10%	Triangular
2.026	CAZ D	Design	Electrical connections	Electrical connection issues	The site information is still unknown	There are additional costs and delays	04/02/2020	3 Likely	3	3 Moderate	3	9	Low	Mitigate	carry out surveys to determine electrical connections	assume site information will be known	project delay and survey costs	2	3	6	Open	£40,000	£70,000	£150,000	50%	Triangular
2.027	CAZ D	Procurement	Legislation	PCR 2015 and procurement timescales missed	There is a need to comply with procurement regulations	Delays to the project and inflationary costs	04/02/2020	1 Unlikely	1	2 Low	2	2	Low	Mitigate	make an allowance (time and cost) for complying with procurement regulations	assume this will not cause a delay	procurement fees	1	2	2	Open	£10,000	£15,000	£25,000	5%	Triangular
2.028	CAZ D	Procurement	Procurement	Communication with other authorities	Lack of communication with other Local Authorities regarding procurement	There are additional costs and delays	04/02/2020	2 Possibly	2	2 Low	2	4	Low	Mitigate	ensure the Local Authorities procurement share information and are engaging with each other	assume Local Authorities communicate with each other	1 month delay	1	2	2	Open	£10,000	£20,000	£50,000	10%	Triangular
2.029	CAZ D	Procurement	Specification	The Specification is not correct or sufficient	There is limited timescales for the development of detailed design	Additional funding required to address the shortfall from incorrect pricing	04/02/2020	2 Possibly	2	4 High	4	8	Low	Mitigate	ensure there is sufficient time in the programme for detailed design	assume the specification is correct	re-write specification - project delay and fees	1	4	4	Open	£50,000	£100,000	£4,000,000	10%	Triangular
2.030	CAZ D	Procurement	IT	Data storage capacity and flexibility, hosting issues	The system is more complex than anticipated	Delay to project increase costs	04/02/2020	4 Almost Certain	4	3 Moderate	3	12	High	Mitigate	ensure the system is understood by those implementing the scheme	assume there will be no IT issues	extra data storage costs	3	3	9	Open	£250,000	£500,000	£1,000,000	75%	Triangular
2.031	CAZ D	Procurement	ECl	Very little ECl on project and lack of input from turn key supplier	Due to a tight programme there is not the time to get sufficient ECl	Increased project costs	04/02/2020	2 Possibly	2	4 High	4	8	Low	Mitigate	engagement from technology and suppliers	assume the risk can be managed and ECl is possible	turn-key is wrong	1	4	4	Open	£2,000,000	£10,000,000	£20,000,000	10%	Triangular
2.032	CAZ D	Resource/Technology	4G	The cameras do not run off 4G and need to be wired	The cameras need to be wired	Increase costs and delays to project	04/02/2020	1 Unlikely	1	3 Moderate	3	3	Low	Mitigate	make an allowance for having wired in cameras or a mixture with 4G	assume cameras can run off 4G	The cost of a wired connection will be location specific and will vary depending on multiple factors, highest costs will be incurred with excess construction charges to actually run the cable to the camera. Assumption is that no camera will be more than 100m from a suitable FTTC location	0	3	0	Open	£100,000	£250,000	£500,000	5%	Triangular
2.033	CAZ D	Resource/Technology	H/A D/R	System will need H/A and D/R with guarantee of high up-time	As the system will need to run the majority of the time	Increased costs to allow for back up	04/02/2020	1 Unlikely	1	4 High	4	4	Low	Mitigate	make an allowance for H/A and D/R in the specification	assume this will be include for in the specification	Assumption is that system will need to be highly available and therefore resilient. It is very difficult to cost this without a specification but based on a mid-range server platform in Azure and appropriate back-up technology costs would be in the regions stated	1	4	4	Open	£600,000	£840,000	£1,200,000	5%	Triangular

2.034	CAZ D	Resource/Technology	Resilience	ICT network / comms infrastructure will need to be very capable with built in resilience	As the system will need to run the majority of the time	Increased costs to allow for back up	04/02/2020	3 Likely	3	4 High	4	12	Low	Mitigate	use two different networks (e.g. O2 and ee) to run system	assume the ICT network / comms infrastructure is resilient	Assumption is that system will need to be highly available and therefore resilient. It is very difficult to cost this without a specification but based on a mid-range server platform in Azure and appropriate back-up technology costs would be in the regions stated	2	4	8	Open	£600,000	£840,000	£1,200,000	50%	Triangular
2.035	CAZ D	Resource/Technology	Skills shortage	Skills shortage in operating organisation results in system failure	There is a lack of skills in organisations	There are additional costs and delays	04/02/2020	2 Possibly	2	4 High	4	8	Low	Mitigate	early engagement with operating organisation	assume skilled operators are available	By outsourcing or procuring a cloud based platform, a lack of organisational skill in the software layer could be removed.	3	4	12	Open	£1,000,000	£4,000,000	£8,000,000	10%	Triangular
2.036	CAZ D	Resource/Technology	High workload	Non-compliant vehicle numbers higher than anticipated resulting in workload issue for supplier	There are more people not using the scheme as anticipated	Additional funding required	04/02/2020	4 Almost Certain	4	4 High	4	16	Low	Mitigate	update model with correct stats for non-compliant vehicle numbers	assume non-compliant vehicle numbers are known	Assumption is that PCN's will not account for a large proportion of the data storage costs, so even if PCN numbers grow more than anticipated, it should not adversely affect the overall storage requirements. (staff cost and IT costs)	3	4	12	Open	£30,000	£100,000	£150,000	75%	Triangular
2.037	CAZ D	Other	Coronavirus	Design build and procurement risk to Coronavirus	Due to Coronavirus	Delays to the project and inflationary costs	05/02/2020	4 Almost Certain	4	3 Moderate	3	12	Low	Mitigate	follow government advice and engage with contractor	assume the project can continue	6 months programme delay and associated design costs	3	3	9	Open	£100,000	£200,000	£500,000	75%	Triangular
2.038	CAZ D	Other	Changes due to Coronavirus	A change in national policy as a result in the changes in travel behaviour caused by the Coronavirus	Due to Coronavirus	Project is delayed while the scope is updated	06/02/2020	2 Possibly	2	4 High	4	8	Low	Mitigate	include a time and cost risk allowance to update the scope	assume a change in travel behaviour will only be temporary and the scheme is still required	New project scope and new traffic and air quality modelling	1	4	4	Open	£250,000	£750,000	£1,000,000	10%	Triangular
2.039	CAZ D	Political	Government/local authority criticised	Government / Local Authority criticised for progressing delivery of the scheme following an international pandemic and global recession	Public / businesses oppose the scheme following the impact of the pandemic	The scheme becomes politically sensitive cannot move forward or is seriously delayed with additional costs	07/02/2020	4 Almost Certain	4	2 Low	2	8	Low	Mitigate	Project review and engagement with stakeholders and public following the pandemic	assume there is no criticism and the scheme is supported	The scheme would be shelved (no cost to project delivery) or there would be a delay for a few months to gain public support	3	2	6	Open	£5,000	£10,000	£25,000	75%	Triangular