RISK REGISTER - Glasfryn Road (Road Works)

Risk Ref	Risk Management Toolkit — Risk Category	
PR.	**Programme Risks**	General risks associated with development and delivery of LTF programmes
1.0	**Strategic Risks**	General influences and factors from external sources that could affect individual project
2.0	**Procedural Risks**	General influences and factors from internal and external sources that could affect individual project
3.0	**Design & Environmental Risks**	Risks and uncertainties affecting individual projects
4.0	**Project Construction Risks**	Risks and uncertainties affecting individual projects
5.0	**Supervision Risks**	Risks and uncertainties affecting individual projects
6.0	**Land Availability and Costs**	Risks and uncertainties affecting individual projects
7.0	**Statutory Undertakers**	Risks and uncertainties affecting individual projects

Risk Scoring
Probability
1-3 (Unlikely)
4-6 (Likely)
7-9 (Very Likely)
Impact
1-3 (low)
4-6 (Medium)
7-9 (High)

Risk Categorisation		Probability: Unlikely	Likely	Very Likely
Impact	High	Amber	Red	Red
	Medium	Green	Amber	Red
	Low	Green	Green	Amber

Risk ID / Category Ref	Description	Direct Consequence	Mitigation	Cost of Mitigation £	Stage Risk Occurs	Stage Risk Impact	Risk Impact Range Estimates £: Minimum	Most Likely	Maximum	Change since last review	Impact: Impact Rating (A)	Probability: Probability Rating (B)	Probability of Occurrence %	Combined Risk Matrix Score (AxB)	Risk Owner	Action By	Action By Date	Review Date	Comments/Decisions
PR	**Programme Risks**						Estimates to be provided for Schemes at or over £250k												
	Strategic																		
PR.1	Changes/additional elements to WG requirements. Inreases management time and potentially deflects attention away from Delivery.	Deflects attention away from Scheme Delivery and compromises budget control.	Greater collaboration between WG and PCC								3	3		9	WG/PCC				
PR.2	Late confirmation of available budget.	Less than optimum programme delivery	Timely confirmation of allocated budgets by WG								2	3		6	WG/PCC				
PR.3	Late delivery of Terms and Conditions (Guidance)	Less than optimum programme delivery	Timely confirmation of Guidance by WG								1	3		3	WG/PCC				
PR.4	Funding previously awarded for initial Phase, but not this project	Road not constructed	Apply to future funding opportunities.								7	3		21	PCC				
	Organisational																		
PR.5	Unwillingness by PCC to identify slow progress	Budget control compromised	Increase effectiveness of reporting mechanismsv to senior management								4	3		12	PCC				
PR.6	Internal approval processes within PCC	Scheme delivery and budget control compromised.	Awareness of internal processes.								2	2		4	PCC				
PR.7	PCC financial systems and processes regarding payments and claims	Budget control compromised	Awareness of internal processes.								2	2		4	PCC				
PR.8	Terms and Conditions for grant onerous and require significant resources to ensure compliance	Compromised programme delivery	Ensure that WG requirements are fully understood and provide the resources required to ensure compliance.								3	3		9	PCC/WG				
	Financial																		
PR.9	Financial reporting is not up to date at time of reports	Budgetary control is compromised	Provision of up to date details of costs								6	3		18	PCC				
PR.10	Spend profiles provided prove not to be robust.	Budgetary control is compromised	Ensure that the Programmes submitted to WG are deliverable and that the spend profiles are robust and do not bias the spend towards the end of the financial year.								5	3		15	PCC				
PR.11	Excessive changes to spend profiles, particularly with predicted spend shifting to Q3 and especially Q4.	Budgetary control is compromised - leading to difficulties towards year end particularly	Ensure that programme is effectively managed:- a) Must have Approved back-up plan to deal with any drift in the programme and to ensure surety of budgetary spend; b) Must make timely decisions to re-allocate spend; c) Must have large number of projects ready to start in April.								7	3		21	PCC				
PR.12	Application for payments not timely and in-line with spend profiles.	WG incur fines from the Treasury - and creates overall budgeting difficulties for WG	Ensure that payment applications are submitted strictly in accordance with WG Guidance.								7	3		21	PCC				
PR.13	Poor Value for Money:- Due to over-scoping or over-design in order to achieve outcomes	Poor use of available funding and potential to compromised programme delivery.	Close scrutiny and use of peer reviews. Culture of Value Engineering to be developed within delivery teams and 'challenge'.								7	3		21	PCC				
PR.14	Funding Overspend	Potential overspend and requirement to seek additional funds for project	Regular project reviews and update of financial forecasting and Risk Register								7	3		21	PCC				
PR.15	Compliance with Funding bodies requirements	Potential to withold funding	All requirements to be circulated to Project Team and regularly reviewed								3	3		9	PCC				
PR 17	Tender returns exceed estimates	Potential lack of funding	Value Engineering potential to some elements of the scheme								7	3		21	PCC				
	Technical																		
PR.18	Lack of capacity within PCC in terms of design/construction/supervision/project management.	Requires use of external consultants which increases costs and limits the ability PCC to increase experience.	Detailed design work completed in 2015/16								3	1		3	PCC				
PR.19	Consideration of project risk not adequately covered.	Delivery and budgetary control compromised	Robust consideration of Risk must be enshrined in the preparation of programmes. Risk allowances must be confirmed at the time the Programme is submitted to WG. Risks shall be effectively managed throughout the preparation and delivery of the Programme.								7	3		21	PCC				
	Projects																		
1.0	**Strategic Risks**	General influences and factors from external sources that could affect individual project																	
1.01	Reliant on successful bid submission	If the bid is not successful the project will not be constructed	Bids would be submitted in subsequent years.								9	3		27	PCC				
1.02	Completion outside required timescales	Non completion of the project/non compliant with funding conditions.	Robust management								7	3		21	PCC				
1.03	City Council and other stakeholders	Delay	Early consultation								3	3		9	PCC				
1.04	Claims and complaints from adjacent businesses for reduced trade during works	Cost	Early consultation, contractor to provide suitable means of access for duration of works								2	2		4	PCC				
1.05	Claims from adjacent property owners for damage	Cost increase	Undertake property condition surveys prior to works commencement if appropriate.								4	1		4	PCC				
2.0	**Procedural**	Schene specific risks																	
2.01	Planning Permission	Delay	PCNP have confirmed it is permitted development.								0	0		0	PCC				Planning not required
2.02	Detailed design may highlight physical complications.	Delay/Cost	Detail design completed								5	1		5	PCC				
2.03	Tender returns are greater than budgeted	Cost increase	Robust system for scheme estimate, ensure sufficient contingency allowed.								5	3		15	PCC				
3.0	**Design & Environmental Mitigation**	Scheme specific risks																	
3.01	Failure to indentify, manage or consult on risk	Project put in jeopardy	Undertake regular reviews								4	1		4	PCC				
3.02	Ecological impact	Project delay	Ecological review has been undertaken								3	3		9	PCC				
3.03	Drainage issues - lack of positive outlet	Cost	Appropriate investigation has been undertaken. Drainage to be via soakaways.								0	0		0	PCC				Investigation completed, drainage via soakaways
3.04	Geotechnical investigation identifies unexpected ground conditions	Delay Cost	Appropriate investigation has been undertaken.								3	1		3	PCC				Still low level of risk.
3.05	Possible onerous Traffic Management requirements	Delay and Cost	Review and seek approval with Streetcare/Traffic								4	2		8	PCC				
4.0	**Project Construction**	Schene specific risks																	
4.01	Scheme costs exceeds funding allocation	Scheme needs to be curtailed or additional funds sought.	Undertake regular reviews to monitor progress and expenditure								7	3		21	PCC				
4.02	Contractor does not have sufficient resources to complete project to timescales	Delay	Review resources with Contractor prior to appointment, suitable Liquidated Damages's to be included in contract (if appropriate)								4	2		8	PCC				
4.03	Poor weather conditions	Contractor unable to complete project to timescales due to poor weather	Work planned to be underaken in most suitable periods								6	3		18	PCC				
4.04	Conflict with public using existing facilities during construction phase	Safety/ cost	Robust contract documentation identifying all requirements on existing and proposed usage of facilities through construction phase, adequate temporary pedestrian and traffic management								4	1		4	PCC/Contractor				
4.05	Protected speciies found during construction phase	Delay/cost	Ecological surveys								4	2		8	PCC				
4.06	Quality Control and build quality	Disputes	Supervise to ensure contractor meets specification								2	1		2	PCC				
4.07	Conflict with adjacent development	Delay/ cost	Review adjacent development proposals								3	1		3	PCC				
4.08	Delivery access to buisnesses	Delay/ cost	Adequate provision to be identified in Contract Documentation								2	2		4	PCC				
4.09	Construction over-runs into tourist season	Delay/ cost	Review progress and manage works around tourist seasons.								5	2		10	PCC				
5.0	**Supervision**	Schene specific risks																	
5.01	Poor performance of contractor requires additional supervision	Cost/ delay	Robust Procurement proceedures to ensure suitable contractor is commissioned								5	2		10	PCC				
5.02	Scheme over-runs incurring additional supervison fees	Cost/ delay	Review progress during construction (NEC PM)								6	2		12	PCC				
6.0	**Land Availability and Associated Costs**	Schene specific risks																	
6.01	Land Availability and Costs	Inability to undertake project	All land purchased in 2015/16								0	0		0					All land purchased in 2015/16
7.0	**Statutory Undertakers**	Scheme specific Risks																	
7.01	Unchartered/ shallow Services encountered	Delays & Additional cost	Trial hole/ trenches dug in affected areas to determine location and depth								4	3		12	PCC				Trial holes being dug early in programme.
7.02	STATS upgrade programme affects scheme construction	Delays & Additional cost	Early consultaion								4	2		8	PCC				Regular PCC/STATS Companies meetings held