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Risk	LIVE	—	1.01	Corporate	Supply Chain	Contractor becomes insolvent during the works	Delay to scheme delivery and increase of costs due to re-procurement for a new contractor. Potential for members to overturn the decision to proceed	Start of works date	6	Manage. A parent company guarantee and surety bond is required as part of the contract. Full OJEU process being carried out	3
Risk	LIVE	—	1.02	Corporate	Project Management	Major event e.g. fuel strike, CCC Business Continuity Plan enacted	Unable to receive deliverables when required delaying scheme delivery. Loss of MID support during BCP event	Cost increase	4	Monitor. Risk mitigation within BCP reduces risk. Plan for any alternate methods of deliver of materials	3
Risk	LIVE	—	1.03	Corporate	Project Management	Works disrupted owing to major event e.g. environmental or political protest.	Delay to scheme delivery caused by the event e.g. access to site is impeded. Potential damage to the sites or site establishment	Completion of works date	3	Monitor. Ensure site is secure (Unlikely to happen in the location of this site)	3
Risk	LIVE	▲	1.04	Corporate	Project Scope	Market forces causes significant unforeseen costs/delays e.g. cost of borrowing, parent company insolvency	Potential increase in costs and delays. Loss of productivity due to reduced availability of plant/labour/materials	Cost increase	16	Monitor. Regular communication with the contractor to assess any Brexit impacts on the organisation or the scheme. Review possibility of stockpiling materials. Purchase long lead items from Europe as early as possible	9
Risk	LIVE	▲	1.05	Corporate	Internal Stakeholders	Major IT outage or virus attack causes loss of data or denial of service	Loss of data could jeopardise programme dates and lead to reputational impact. Risk of GDPR breaches and possible fines	Cost increase	8	Manage. Use cloud-based software. Keep security settings up-to-date. Ensure CCC network receives updates	6
Risk	LIVE	▲	1.06	Corporate	CCC Resources	Staffing - lack of capacity/skillsets, illness or retention risk (CCC & its consultants)	Potential for deadlines to be missed, including contractual timelines which would lead to CE's. Inadequate provision to make timely decisions would also delay programme	Start of works date	6	Manage. Ensure CCC resources in place before contract starts. Fallback plan for recruiting at short notice. Ensure consultants have adequate resources assigned and a succession plan	4
Risk	LIVE	▼	1.07	Corporate	CCC Resources	Staffing - LGSS gets changed / disbanded	Loss of continuity of staff. Potential need to procure legal and procurement services thus delaying the project	Start of works date	6	Monitor. Hold suitable reassurance from LGSS regarding continuity of service. Can key staff members be employed directly?	2
Risk	LIVE	—	1.08	Corporate	CCC Resources	Decision-making process delays the programme for example a large CE exceeds the Project Board's mandate and therefore requires E&E decision	Delay to project delivery, potential additional costs or E&E calls a halt to the scheme if a CE is too large for the scheme to continue	Start of works date	8	Monitor. Early enagement with Exec Director	4
Risk	LIVE	▲	2.01	Financial	Project Funding	Insufficient additional funding available (above currently agreed amount) to commence the construction phase	Delay to scheme delivery while the shortfall is addressed. Officer time.	Start of works date	16	Monitor. Approach stakeholders to request additional funding. Undertake cost challenge exercise. Retender to try and achieve a more competitive price	12
Risk	CLOSED	▲	2.02	Financial	Project Funding	Insufficient funding available to complete the construction phase becoming apparent once construction has already commenced	Delay to scheme delivery or potential non-delivery of the project. An effective overspend. Political & reputational fallout. Poor public perception of CCC	Cost increase	16	Manage expenditure proactively. Early warning of expenditure exceeding its forecast profile. Agree parameters of any potential overspend (i.e written agreement of 60:40 cost split with the CA). Contingency budget with control measures in place.	12
Risk	LIVE	▲	2.03	Financial	Project Funding	The target cost changes, increasing the budget required	Increased budget may be required which may impact on programme	Cost increase	9	Contingency budget with control measures in place. Potential descoping. Competitive tender	9
Risk	CLOSED	▲	2.04	Financial	Project Funding	Inability to agree a funding agreement with the CA by Committee & Board dates	Delay to signing contract with the contractor. Poor publicity. Delay to starting on site	Start of works date	12	Negotiate a funding agreement with the CA before CA and Committee dates. Find alternative "bridging" budget. Put in application for Earmarked Reserves budget.	9

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Risk	LIVE	—	2.05	Financial	Project Funding	Funding not released to CCC in a timely fashion <i>after</i> funding agreement has been signed. Expenditure accrues in the meantime.	Potential delay to delivery if funding is not available. Increased financial/risk exposure to CCC	Start of works date	6	Submit monthly payment claims to the CA to reduce CCC financial exposure. Escalate at earliest sign of an issue arising. Provide profiled forecast to CA.	3
Risk	CLOSED	▼	2.06	Financial	Project Funding	Major underspend causing reputational damage	Reputational impact on CCC from public perception of the council failing its published targets		4	Early comms regarding underspend as a positive outcome, due to good management of the contractor	1
Risk	LIVE	—	2.07	Financial	Project Funding	Damages claims by members of the public or businesses, and/or part 1 claims	Additional costs. Potential legal action and need for CCC legal Counsel	Cost increase	9	Continue comms. Promptly resolve issues, preventing future problems	4
Risk	LIVE	—	2.08	Financial	Project Funding	Commuted sums cost more than budgeted for	Additional funding required	Cost increase	6	Identify as early as possible. Try to push back on the claims	6
Risk	CLOSED	▲	3.01	Political	Project Funding	CA removes, reduces or postpones funding	Insufficient funding to construct the scheme and the project becomes unviable	Start of works date	12	Negotiate a funding agreement with the CA early. Review other funding streams. Review CCC's global position on funding	9
Risk	CLOSED	—	3.02	Political	Governance	Change in political leadership, resulting in a change of strategic priorities	Kings Dyke may no longer be a priority for Members increasing the potential for it to be shelved or postponed	Start of works date	8	Monitor. Engage early with any new Members, briefing them on the legacy for KD as needed. Reiterate the positive BCR from the Business Case	4
Risk	LIVE	▼	3.03	Political	Governance	Stakeholders change their requirements and / or support (e.g. landowners)	Will be more difficult to meet project timescales and there will be delays to delivery. Potential for increased costs due to additional mitigation of objections from stakeholders. Potential legal battle	Cost increase	8	Monitor. Continue communications with all stakeholders. Prompt liaison with all parties to resolve issues preventing future problems.	6
Risk	CLOSED	▼	3.04	Political	Project Funding	E&E Committee removes or reduces CCC funding contribution	Insufficient funding and the project becomes unviable	Start of works date	8	Monitor. Seek approval for any additional funding at the subsequent committee. Agree timescales and mechanism for drawdown of funds	8
Risk	LIVE	▲	4.01	Governance	Governance	CA board date missed due to agenda papers being delayed or not signed off on time	Delay to starting works	Start of works date	12	Monitor. CCC to draft first version of the CA Board paper. Communicate progress through procurement and timescales required of the Board papers	9
Risk	LIVE	▲	4.02	Governance	Governance	Governance process changes - timelines	Committee dates missed or put back meaning delay to scheme progress	Start of works date	9	Monitor. Check Member services for up-to-date committee dates.	6
Risk	LIVE	▼	4.03	Governance	Governance	CCC Business Case not agreed by CA (as advised by SDG) as a result of revised BCR. Programme delay caused.	Without an approved Business Case the project cannot achieve CCC committee & CA board approval, therefore scheme will be on hold	Start of works date	8	Monitor. Business Case update following tender moderation. Keep CA informed and liaise with their consultant to resolve queries	4
Risk	LIVE	▲	4.04	Governance	Governance	E&E Committee date missed due to paper taking longer getting through sign off or delay in writing	Delay to scheme progress	Start of works date	9	Monitor. Check Member services for the up-to-date committee dates. Target a date which upholds project timescales	6
Risk	LIVE	—	5.01	Procurement	Supply Chain	Challenge from marketplace over validity of procurement of the contract	Delay whilst the challenge is being contested. If the challenge is successful then potentially the procurement exercise would need to be re-run	Start of works date	6	Monitor. Robust procurement carried out overseen by LGSS colleagues. Prompt responded to any challenge received.	3
Risk	CLOSED	▼	5.02	Procurement	Supply Chain	Lack of interest from bidders when retendering for the construction phase.	This could invalidate the competitiveness of the tender and could increase the budget requirements for the project.	Cost increase	8	Monitor. Supplier engagement event to generate marketplace interest. Carry out restricted OJEU process to reduce chance of contractors declining to bid (i.e. lower chances of success).	6
Risk	LIVE	▼	6.01	Technical	Design	Re-tendering could lead to the newly appointed Contractor having to make significant design changes, to make the solution buildable.	This could cause delay, additional design costs and may require additional third party approvals.	Start of works date	12	Monitor. Robust tender, and contract, to limit design changes which can be undertaken by Contractor	6
Risk	CLOSED	▼	6.02	Technical	Project Scope	Bidders might submit a tender with a design which would be a material change. This would have to be disallowed as a non-compliant bid	Fewer acceptable bids, less innovation and less favourable prices	Start of works date	12	Manage. Insert pro-forma into tender which bidders submit during the tender. Ensure bidders seek pre-app advice before submitting their bid	8
Risk	LIVE	▼	6.03	Technical	Design	Design period takes longer than envisaged	Delay to commencement on site. Poor publicity if start of work is later than December 2020	Start of works date	9	Manage. Ideal start date inserted into the works information. Chase TAA comment / sign off changes swiftly. Review programme for efficiencies	9

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Risk	LIVE	▼	6.04	Technical	Design	TAA fails to meet required timescales	Delay to scheme progress and potential CE from contractor	Start of works date	12	Monitor. Prior agreement with TAA to uphold timescales. Ensure time-critical information is registered and chased by CCC before the deadline	9
Risk	LIVE	▼	6.05	Technical	Design	TAA misses an important technical detail	Redesign would need to be carried out delaying the scheme and causing additional cost. Abortive costs if the error is discovered during construction.	Start of works date	9	Monitor. Ensure qualified personnel carrying out technical reviews. Ensure correct approval procedures carried out	6
Risk	LIVE	▲	7.01	Project	Project Management	Long stop dates on existing temporary land agreements & Licences cost more than forecast	Could lead to further costs if renegotiation needs to take place	Cost increase	15	Manage. Robust programme, ensure all aware of key dates and risks. Ensure timely key decisions to allow project stages to progress efficiently. Investigate opportunities to condense the programme to avoid passing long-stop dates. Early engagement with landowners and CCC Legal	15
Risk	LIVE	▼	7.02	Project	Project Management	Carrying out early Statutory Undertaker apparatus diversionary works, abortive work or the need for further relocation	Additional visits or moving apparatus more than once. Potential delay and additional costs	Start of works date	9	Manage. Ensure setting out is carried out Have a supervisor on site during the works to ensure stats are put in the correct place	6
Risk	LIVE	▼	7.03	Project	Statutory Process	Approval of Non-Material Amendment may take longer than planned; especially if pre-commencement planning conditions require discharging as well	Delay to start of works	Start of works date	9	Manage. Early engagement with CCC Planning colleagues	6
Risk	LIVE	▲	7.04	Project	Project Management	Signing a new BAPA with Network Rail might take longer than envisaged	Delay to start of bridge works	Start of works date	9	Manage. Early engagement with Network Rail. Escalate when necessary	6
Risk	LIVE	▲	7.05	Project	Project Scope	Unexpected contaminated land discovered during construction	Need to assess scope and nature of the issue, establish remedial work required. Additional cost and delay to works.	Cost increase	12	Manage. Survey, mitigation and remediation measures to be agreed	9
Risk	LIVE	▲	7.06	Project	External Stakeholders	NR - possessions curtailed by Network Rail for operational reasons	Possessions reduced due to operational requirements on network	Completion of works date	12	Book contingent possessions, cancel if not required (costs associated with this).	8
Risk	LIVE	▲	7.07	Project	External Stakeholders	NR - possessions cancelled by Network Rail	Possessions cancelled due to operational requirements on network	Completion of works date	12	Monitor. Book additional possessions, delay to programme	12
Risk	LIVE	▼	7.08	Project	External Stakeholders	Statutory Undertakers (SUs) fail to deliver their works to the agreed programme	Delay to works, additional cost	Completion of works date	9	Manage. Early liaison with SUs, agreed programme of works and resource levels Carry out advanced utility diversion works before construction starts on site	6
Risk	LIVE	▼	7.09	Project	External Stakeholders	Unknown services discovered during works	Delay to works - unable to support/divert service if unidentified	Completion of works date	9	Manage. Early engagement with SUs - trail holes & further investigation in Phase 1	6
Risk	LIVE	▼	7.10	Project	External Stakeholders	Strike underground apparatus during excavations, due to unknown services.	Safety issue, possible investigatory works, delay to project, loss of services	Completion of works date	8	Manage. Early engagement with SUs. Services apparatus plan for reference during construction. Include 3D model so areas can be investigated prior to excavation.Trail holes to confirm	4
Risk	LIVE	▼	7.11	Project	External Stakeholders	Working adjacent to operational railway	Operation of railway is endangered or stopped by the works (collapse of plant, loads, excavations or piling)	Completion of works date	8	Manage. Works to be agreed with NwR in advance. Submissions made in accordance with NR requirements. Methodology to reflect KD works, relative to the railway.	4
Risk	LIVE	▼	7.12	Project	External Stakeholders	Archaeological finds during earthworks, need investigation thus delaying works	Delays to works, additional costs	Completion of works date	8	Monitor. Liaison with Archaeological team during design period - carry out advance investigations	8
Risk	LIVE	▼	7.13	Project	Project Management	Slope instability; through conducting works adjacent to deep water in Star pit	Safety issue, incident/accident involving personnel and/or plant, investigation required	Completion of works date	12	Manage. Barriers, safety equipment, to be provided	8
Risk	LIVE	▼	7.14	Project	Project Management	Construction works increase local traffic delays	Increased delays on already congested local roads. Public anger and poor publicity	Cost increase	12	Manage. Understand local road network - where are the problem areas; how can we avoid making them worse? Approved TM schemes & alternate routes	9
Risk	LIVE	▲	7.15	Project	External Stakeholders	New Network Rail approvals required if the contractor changes the bridge design	Delay and additional cost from Network Rail	Start of works date	9	Monitor. Early engagement with Network Rail. Escalate when necessary	9

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Risk	LIVE	▼	7.16	Project	Supply Chain	Second or third-tier suppliers don't perform adequately (or become insolvent) and primary Contractor does not manage impacts properly	Delay to completion of the scheme. Potential increase in cost	Completion of works date	6	Monitor. Progress meetings with the main contractor; subcontractors an agenda item. Integrated meetings	3
Risk	LIVE	▲	7.17	Project	Supply Chain	Major marketplace event e.g. supply of materials disrupted such as bitumen, steel or an increase in cost causes Compensation Events	Additional cost and delay to scheme delivery	Cost increase	12	Monitor. Review materials for more widely-available alternatives. Discuss with contractor	6
Risk	LIVE	▼	7.18	Project	Supply Chain	Contractor withholds work or does not uphold programme commitments	Delay to project completion. Poor publicity	Completion of works date	8	Monitor working relationship with contractor. Ensure good comms. Robust contract. Enact Liquidated Damages only if required	6
Risk	LIVE	▼	7.19	Project	Internal Stakeholders	Roadspace or diversion route clashes or Emergency works conflicting with roadspace	Nuisance to the local public, delay in getting material to the site, poor publicity	Start of works date	9	Monitor. Meet streetworks colleagues and contractor. Attend HAUC meeting	4
Risk	LIVE	▼	7.20	Project	Project Scope	Unforeseen ground conditions	Additional costs and delays to scheme delivery.	Cost increase	12	Monitor. Ground investigation carried out, reducing likelihood. Carry out additional investigation in pre-construction	9
Risk	LIVE	▲	7.21	Project	Project Management	Construction contract takes longer than planned to sign	Delay to commencement of work	Start of works date	9	Monitor. Contract ready to send out once Key Decision made. Dialogue with the contractor to get contract signed promptly	6
Risk	LIVE	▲	7.22	Project	Supply Chain	Contractor not adhering to the terms of the contract leading to arbitration	Potential delay to completion of the scheme and additional costs. Depending on the breach, the contract may need to be terminated leading to reprocurement to complete the construction	Cost increase	8	Monitor. Ensure terms agreed before contract signed. Use dispute resolution channels before arbitration or termination of contract	3
Risk	LIVE	▲	7.23	Project	Supply Chain	Contractor submits programme which is longer than dates publicly announced	Poor publicity for CCC and loss in reputation of the council's ability to deliver schemes	Completion of works date	9	Manage. Programme is part of tender evaluation, longer programme will be marked down. If the contractor wins but does not uphold the programme, challenge this robustly. Discuss corrections back to CCC's timescales.	6
Risk	LIVE	▲	7.24	Project	Statutory Process	Remaining planning conditions take longer to discharge than planned	Delay in completion of the scheme. Potential for additional costs	Completion of works date	9	Monitor. Early discussion with contractor to make sure condition discharge is programmed with adequate time	6
Risk	LIVE	▲	7.25	Project	External Stakeholders	SU apparatus diversions cost more than forecast	Additional costs to the scheme	Cost increase	12	Monitor. Regular cost updates. Challenge requirements of the diversions. Communicate any additional costs to senior management	8
Risk	LIVE	▲	7.26	Project	External Stakeholders	Premature failure of newly-diverted Statutory Undertaker apparatus leads to programme delays	Apparatus need repairs which could delay the programme	Completion of works date	6	Monitor. Competent companies and personnel following a quality plan. Sign off each element of work completed. Ensure all apparatus is communicated to the contractor so they are aware	3
Risk	LIVE	▼	7.27	Project	Project Management	Version control of documents means it is unclear what the works information, site information and contract data is	Potential delay to scheme and additional costs if different parties are working to different documents	Completion of works date	9	Manage. Ensure comms between NEC PM and the contractor. Use cloud-based software to access the same up-to-date works information	4
Risk	LIVE	▲	7.28	Project	External Stakeholders	NR approvals taking longer than the agreed timescales	Delay to approval means a delay to start of works	Start of works date	9	Monitor. Service Agreement with NwR to uphold timescales. Comms, applying pressure to uphold time scales. Escalate promptly if is an issue	4
Risk	LIVE	▼	7.29	Project	External Stakeholders	3rd parties add constraint or new requirements (e.g MLC & EA)	Additional cost and delay	Completion of works date	12	Monitor. Challenge any additional requirements, negotiate with 3rd parties, escalate where necessary	9
Risk	LIVE	▼	7.30	Project	Project Scope	Existing assets requiring repair (e.g tie in details, drainage, barriers, signage etc)	Additional cost and delay	Cost increase	12	Monitor. Early surveys to identify requirements. Seek funding from maintenance budget, discuss wholelife cost (ie. investing capital to save future revenue maintenance)	6

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Risk	LIVE	—	7.31	Project	Supply Chain	Insufficient availability of earthworks materials	If there is limited supply or availability in the area this may increase cost	Completion of works date	9	Manage. Check with contractor as early as possible their source of materials. Ensure contractor safeguards material as soon as they are in contract. Discuss with contractor a backup plan for sourcing local material	6
Risk	LIVE	—	7.32	Project	Project Management	Ground stabilisation is ineffective	Further remedial work required and potential additional design and alternative proposals	Cost increase	8	Monitor. Ensure detailed design has been signed off by the TAA and is implemented correctly. Ensure bearing capacity checks are carried out	4
Risk	LIVE	—	7.33	Project	External Stakeholders	Network Rail require additional approvals over and above their standard requirements	Delay to progress of the scheme whilst the additional approvals / requirements are met	Completion of works date	9	Monitor. Continue communication with NR and ensure documents are sent as early as possible for sign off	6
Risk	LIVE	—	7.34	Project	Project Scope	Existing carriageway has Tar content	Will increase any disposal costs	Cost increase	4	Monitor. Carry out cores and test for Tar content prior to construction of the tie in's	4
Risk	LIVE	—	7.35	Project	Project Scope	Existing carriageway has depth greater than expected	Increase excavation times and cost	Cost increase	9	Monitor. Carry out cores to identify depth. Look into overlay option of carriageway has sufficient capacity	6
Risk	LIVE	▼	8.01	Environmental	Project Management	Discovery of unforeseen protected species causes programme delay	Delays to scheme delivery	Completion of works date	16	Monitor. Carry out ecological mitigation before works start. Ensure surveys in the correct periods and mitigation is in the correct season	9
Risk	LIVE	▼	8.02	Environmental	Project Management	Flood risks delays and damage during construction due to Kings Dyke bursting banks.	Delay to scheme delivery	Completion of works date	10	Monitor. Contractor's method statement for mitigation. Flood information for sufficient planning. Regular meetings	5
Risk	LIVE	▼	8.03	Environmental	Project Management	Pollution of local watercourses or groundwater during works	Additional cost for remediation, potential for fines, reputational damage	Cost increase	12	Monitor. Control measures - silt tanks, spill kits, protection of watercourses	8
Risk	LIVE	—	8.04	Environmental	Project Management	Noise, dust, odour and vibration caused by the works	Complaints from residents which may result in programme delays, financial implications and adverse publicity. Vibration in particular could affect Network Rail infrastructure so will need to be monitored	Cost increase	9	Monitor. Contractor's mitigation measures to reduce construction N&V levels i.e. BPM, barriers, enclosures. Community awareness campaign	6
Risk	LIVE	—	8.05	Environmental	Project Management	Damage to existing hedgerows / vegetation during construction	Loss of habitat & cost for making good.	Cost increase	6	Manage. Understand which hedges are to be kept. Manage construction to limit interaction Consider time of year that construction takes place.	3
Risk	LIVE	—	8.06	Environmental	Project Management	Discovery of any additional protected species (those not already dealt with e.g. badgers) requires additional survey and relocation work prior to construction	Programme delays while species are relocated as necessary. Newt surveys to be carried out in March-June, delay to construction	Completion of works date	12	Monitor. Ensure relevant surveys carried out at correct times. Relocation carried out as early as practicable. Consider use of project-wide licence.	8
Risk	LIVE	—	8.07	Environmental	Project Management	Inclement weather, above NEC weather event e.g. flood, drought, freeze or heatwave, winds	Reduced productivity on site, thus delaying scheme delivery	Completion of works date	12	Monitor. Check weather forecasts. Accelerate works during summer. Carry out as much off-site works as practicable (i.e precast / steel elements)	8
Risk	LIVE	—	8.08	Environmental	Project Management	Heave or shrinkage of soil due to inclement weather	Further ground stabilisation may be required. Additional cost and delay to completion	Completion of works date	9	Manage. Plan soil stabilisation works for the most suitable time of year. Embankment construction once stabilisation is complete	6
Risk	LIVE	▲	9.01	Communications	Consultation/Comms	Level of media interest causes a pressure on Officer time, leading to a programme delay.	Priority of workload has been diverted from the construction to managing comms which in turn leads to delays on the project	Cost increase	9	Monitor. Ensure continued support from specialist comms. Line management to assist with comms activities	4
Risk	LIVE	▼	9.02	Communications	Consultation/Comms	Increased level of public objection, driven by Social Media posts.	CCC may be delayed by the volume of public enquiries making it more difficult to complete tasks to the required timescales. There could also be negative publicity towards CCC	Cost increase	6	Monitor. Regular comms updates. Keep residents engaged. Respond promptly to queries	2
Risk	LIVE	▼	9.03	Communications	Consultation/Comms	Public opinion drives a change in Member support.	Members may become less supportive of the scheme or may want changes to the scope which are currently outside the design.	Cost increase	6	Monitor. Currently high support, unlikely to drop. Regular updates to keep the public engaged and supportive	2
Risk	LIVE	▲	9.04	Communications	Consultation/Comms	Improved comms may drive up the level of damages claims	Legal action and additional scheme costs. CCC reputation adversely affected	Cost increase	6	Monitor. Carry out condition surveys before work commences	2

Revision Date: 12/12/2019 Date Printed: 25/02/2020
Scheme Name: King's Dyke improvements scheme

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Risk	LIVE	▲	9.05	Communications	Consultation/Comms	Scheme programme delayed through public disruption or events	Site deliveries may temporarily need to be closed until the disruption has ceased	Cost increase	6	Monitor. Potential stockpiling of material may mitigate this. Contingency plan to minimise disruption	3
Opportunity	LIVE	▲	Opp1.01	Project	External Stakeholders	Funding contribution from DfT PinchPoint award				NA	
Opportunity	LIVE	▲	Opp1.01	Project	External Stakeholders	Availability of NwR fill material as a quid/pro/quo for use as fill in the Star Pit				NA	