Project Title: **A18-A180 Link Road**

Design Stage: **Feasibility - Preferred Option**

Type	NELC Key Stage
Project	0. Scheme Specific Risks 1. Obtain Funding
Env	2. Land Assembly
Cost	3. Obtain Planning Permission
Prog	4. Legal Orders
Comm'l	5. Implement Proposals
Safety	

Raw Risk Classification

Likelihood	Scale	Typical Range (%)	Value
Almost certain not to occur	0%	10%	1
Remote Chance	10%	20%	2
Unlikely	20%	30%	3
Not very Likely	30%	40%	4
Even Chance	40%	50%	5
Fairly Likely	50%	60%	6
Significant	60%	70%	7
High Likelihood	70%	80%	8
Almost certain	80%	90%	9
Inevitable	90%	100%	10

Impact	Scale	Time (mths)		Cost (£)		Value
Negligible	0	0.25	0	£10k		1
Minimal	0.25	0.5	£10k	£50k		2
Some	0.5	0.75	£50k	£100k		3
Minor	0.75	1	£100k	£250k		4
Limited	1	2	£250k	£500k		5
Significant	2	3	£500k	£1m		6
Substantial	3	4	£1m	£2m		7
High	4	8	£2m	£4m		8
Critical	8	12	£4m	£8m		9
Catatrophic		>12		<£8m		10

Notes

It is intended that this "Risk Register" be used as part of the project's risk management procedures which will be reviewed, monitored and updated as an ongoing process.

Do not delete risks- if risks are eliminated, then indicate them as 'Nil' or 'included. 'Mitigation' should identify those measures taken (or to be taken) that will either eliminate the risk, reduce the cost or or reduce the probability of the eveny happening. It is important that 'Liability' and probability' be considered separately. Probability should only reflect the chances of the event happening, regardless of cost. Liability should be considered as if the event has happened.

QRA Ref:	NELC Ref:	Risk Description / Trigger	Effect	Type	NELC Key Stage	Risk Rating: Likelihood	Impact	Risk	Impact (Cost Types Only): Min	Likely	Max	Value of Risk	Controls
Obtain Funding													
	1712 - 01	Cabinet do not approve proposal	Failure of project	Project	1	1	10	10					Cabinet Approval secured
	1712 - 03	Criteria for Business Case Guidance Changes	Review of MSBC	Project	1	4	4	16					New guidance has been issued recently - unlikely to change again so soo
	1712 - 04	Diversion of funds to competitor authorities	Loss of regional backing and failure of project	Project	1	3	10	30					Regional Approval Granted
1a	1712 - 11	Level crossing - upgrade	Significant reduction of contingency, increase in NELC con	Cost	1 & 6	5	7	35	£1.3m	£1.5m	£1.7m		Network Rail to implement crossing
1b	1712 - 11	Level crossing - delay of 12 months and mitigation	Additional delay and complexity to programme	Project	1 & 6	5	9	45	£420k	£420k	£420k		No definite requirement to wait for level crossing before buiding road
2	1712 - 12	Reduction in cost benefit ratio (below 2)	DfT refusal to support scheme	Project	1	4	8	32					BCR of over 7
7	1712 - 13	Excessive inflation (e.g. bitumen)	Reduction of contingency, increase in NELC contribution	Cost	1	8	6	48	£500k	£700k	£1m		Significant sum to be included in QRA contingency
8	1712 - 14	Inaccuracy in initial rates and quantities	Reduction of contingency, increase in NELC contribution	Cost	1	4	5	20	£250k	£350k	£500k		Independent Scheme Cost Review completed
9	1712 - 15	Not on the Council's capital programme	No NELC funding, End of project	Project	1	10	10	100					Finance aware, cabinet approval (and updated cabinet approval) obtained
26a	1712 - 16	Requirement to go through Conditional approval stage	Additional delay and complexity to programme	Prog	1	3	10	30					Discussions with DfT to date
26b	1712 - 16	Requirement to go through Conditional approval stage	Increased cost due to delays, increase in NELC contributior	Cost	1	3	4	12	£100k	£150k	£250k		Discussions with DfT to date
27	1712 - 05-	Significant DfT queries on business case	Delays to final submission, and associated costs	Prog	1	4	6	24					Discussions with DfT to date
28	1712 - 02	DfT declines business case	End of project	Project	1	2	10	20					Discussions with DfT to date
36a	1712 - 17	Lack of capacity on project team	Delays to programme	Prog	1 - 5	8	8	64					External agencies
36b	1712 - 17	Lack of capacity on project team	Increased cost due to delays, increase in NELC contributior	Cost	1 - 5	8	3	24	£50k	£75k	£100k		Specific resource issues identified
Land Assembly													
	1713 - 03	Land subject to unusual title restrictions	Delays to scheme	Prog	2	3	6	18					Research land owners, early involvement of estate professionals
	1713 - 04	Contaminated or Poor Ground Conditions	Delay to land purchase	Prog	2	5	4	20					Soil Survey Planned
	1713 - 05	Archaeological find	Significant complication to land purchase	Prog	2	2	8	16					Archaeologist approved the preferred option - no further arch survey plan
	1713 - 06	Natural heritage	Risk detail unclear - review										
	1713 - 08	Utility Hazards when surveying land	Risk of injury during survey	Safety	5	4	9	36					Current contractor selection practices
12	1713 - 09-	Excessive land costs	Reduction of contingency	Cost	2	3	3	9	£50k	£75k	£100k		Research land owners, early involvement of estate professionals
14a	1713 - 01/	Unable to Purchase land by agreemen, or at an affordable p	Require CPO - Additional delay and complexity to programm	Prog	2 4 & 6	5	10	50					Legal professionals, estate professionals early involvement
14b	1713 - 07	CPO Process taking longer than the anticipated 1 year time	Significant delay and cost implications	Prog / Cost	2 4 & 6	3	10	30	£420k	£420k	£1336k		Legal professionals, estate professionals early involvement
34	1713 - 02	Unable to locate land owner	Significant delay to whole project	Prog	2	4	10	40					Legal professionals, estate professionals early involvement
36a	1713 - 16	Lack of capacity on project team	Delays to programme	Prog	1 - 5	8	8	64					External agencies
36b	1713 - 16	Lack of capacity on project team	Increased cost due to delays, increase in NELC contributior	Cost	1 - 5	8	3	24	£50k	£75k	£100k		Specific resource issues identified
Planning Permission													
	1714 - 01	Not approved for recommendation from Council	Failure of project	Project	3	3	10	30					Cabinet Approval for the scheme
	1714 - 02	Not approved by Government Office	Risk detail unclear - review										
	1714 - 03	Failure to get Planning permission at Planning Committee	Failure of project	Project	3	3	10	30					Experienced Planning Representative on Project Team
	1714 - 06	Onerous conditions imposed by the Planning Committee	Review of Business Case - BCR	Project	3	3	10	30					Experienced Planning Representative on Project Team
	1714 - 07	Political sensitivity	Risk detail unclear - review										
	1714 - 08	Network Rail/HMRI Objection	Increased risk of Public Inquiry - see 1714 - 05	Project									
3a	1714 -	Over wintering birds	Delays to programme	Prog	3 & 6	10	6	60					Plan to clear shrubs etc one year before / provide alternative location
4a	1714 -	Other protected species	Impact on species	Env	3 & 6	7	4	28					Initial survey indicates no problem
4b	1714 -	Other protected species	Additional delay and complexity to programme	Prog	3 & 6	7	4	28					Initial survey indicates no problem
4c	1714 -	Other protected species	Increased cost due to delays	Cost	3 & 6	7	2	14	£10k	£30k	£50k		Initial survey indicates no problem
6	1714 -	Changes in traffic flows - noise etc	Noise increase impacting on residents and environment	Env	3	5	4	20					Undertaken traffic modeling - updated for MSBC
10	1714 - 09	Archeology	Additional delay and complexity to programme	Prog	3 & 6	3	8	24					Initial assessment undertaken, site selected to avoid major archeology, E
11a	1714 -	Flood risk	Flooding	Env	3 & 6	2	4	8					Consider EA flood zones, road on high level
16	1714 - 04	Other objections	Additional delay and complexity to programme	Prog	3	4	10	40					Consultation with public etc. Comms Strategy in MSBC
17	1714 -	Highways Agency requirements	Increased scheme cost, increase in NELC contribution	Cost	3 & 6	4	4	16	£100k	£200k	£250k		Consultation early, Model Update in MSBC, HA consulted in MSBC
23	1714 - 10	Obtaining TROs	Additional delay and complexity to programme	Prog	3	4	4	16					
29a	1714 - 11	Footpath diversion	Additional costs	Cost	3 / 4	8	1	8	0	£5k	£10k		Early investigation
29b	1714 - 11	Footpath diversion	Additional complexity to programme	Prog	3 / 4	8	1	8					Early investigation
30a	1714 -	Negative impact on other junctions	Increased risk of accidents	Safety	3	4	7	28					Model update, confirm traffic flows
30b	1714 -	Negative impact on other junctions	Mitigation costs - further Road Safety scheme	Cost	3	4	5	20	£250k	£300k	£500k		Model update, confirm traffic flows
36a	1714 - 12	Lack of capacity on project team	Delays to programme	Prog	1 - 5	8	8	64					External agencies
36b	1714 - 12	Lack of capacity on project team	Increased cost due to delays, increase in NELC contributior	Cost	1 - 5	8	3	24	£50k	£75k	£100k		Specific resource issues identified
37	1714 - 05	Public inquiry	Increased cost due to delays, increase in NELC contributior	Cost	3	5	5	25	£250k	£400k	£500k		Grounds for objections covered previously (3,4,10,11,16,17)
Legal Orders													
	1715 - 01	Opposition to the weight restriction TRO on Pelham Rd	Delays, possible failure to implement TRO, reduced benefits	Prog	4	4	5	20					Industry and Public support for scheme
	1715 - 01	Challenge to legal orders processes	Delays to programme	Prog	4	4	5	20					Industry and Public support for scheme
	1715 - 03	CPO delayed/not confirmed/failed	Failure of project	Prog	4	1	10	10					Legal professionals, estate professionals early involvement
	1715 - 4/5	Reliance on CPO	See QRA Ref 14										
1c	1715 - 06	Level crossing - amendment to level crossing order	Additional element to the programme	Prog	4	10	2	20					
15	1715 - 07	Covenants on land	Possible delay and complexity to programme	Cost	4	5	3	15	£50k	£75k	£100k		
14a	1713 - 01/1	Unable to Purchase land by agreemen, or at an affordable p	Require CPO - Additional delay and complexity to programm	Prog	2 4 & 6	5	10	50					Legal professionals, estate professionals early involvement
14b	1713 - 07	CPO Process taking longer than the anticipated 1 year time	Significant delay and cost implications	Prog / Cost	2 4 & 6	3	10	30	£420k	£420k	£1336k		Legal professionals, estate professionals early involvement
29a	1715 - 08	Footpath diversion	Possible Increased cost due to delay	Cost	3 / 4	8	1	8	0	£5k	£10k		Early investigation
29b	1715 - 08	Footpath diversion	Additional delay and complexity to programme	Prog	3 / 4	8	1	8					Early investigation
36a	1715 - 09	Lack of capacity on project team	Delays to programme	Prog	1 - 5	8	8	64					External agencies
36b	1715 - 09	Lack of capacity on project team	Increased cost due to delays, increase in NELC contributior	Cost	1 - 5	8	3	24	£50k	£75k	£100k		Specific resource issues identified
Implement Proposals													
	1716 - 01	Higher Tender Figures	Increase cost, possible resubmission to RTB at FA Stage see 1712 - 1		5								
	1716 - 02	Unforeseen Ground Conditions	See 1716 - 19		5								
	1716 - 03	Services Diversion	See 1716 - 14		5								
	1716 - 04	Cost Overrun	Risk Detail unclear		5								
	1716 - 05	Require Level Crossing improvement	See 1712 - 11		1, 5 & 6								
	1716 - 06	Poor Project Management	Increased risks to Programme, costs and reputation	Prog	5	4	9	36					Use of PMF (project assurance), taken on dedicated project manager
	1716 - 07	Unwanted tresspassers	Risk Detail unclear										
	1716 - 08	White Elephant	Damaged reputation	Comm'l	5	2	5	10					Traffic Model demonstrates that the road will be used
	1716 - 08	Impact on neighbouring authority's road network	Damaged reputation	Comm'l	5	2	5	10					Traffic Model demonstrates that the impact is not significant
	1716 - 10	Success breeds congestion	Increased pollution, counter to scheme objectives	Project	5	2	5	10					Traffic Model includes consideration of induced traffic
3b	1716 - 11	Over wintering birds	Increased cost due to delays, increase in NELC contributior	Cost	5 & 6	10	5	50	£300k	£400k	£500k		Plan to clear shrubs etc one year before / provide alternative location
5a	1716 - 12	Contaminated land	Increased cost due to delays, increase in NELC contributior	Cost	5 & 6	3	4	12	£100k	£150k	£250k		Soil survey planned
5b	1716 - 12	Contaminated land	Delays to programme	Prog	5 & 6	3	4	12					Soil survey planned
11b	1716 - 13	Flood risk	Flooding	Env	3 & 6	2	4	8					Consider EA flood zones, road on high level
13	1716 - 3/14	Underground services / overhead cables	Service Diversion, Increased costs, increase in NELC contr	Cost	5	1	7	7	£1m	£1.5m	£2m		Consulted stat undertakers, chosen location away from these, Stats revie
18	1716 - 15	Inability to obtain suitable contractors	Additional delay and complexity to programme	Prog	5	3	8	24					Early involvement of council procurement team
19	1716 - 16	Contractor going bust	Delay due to new procurement process	Prog	5	3	8	24					Early involvement of council procurement team
20	1716 - 17	Safety during constuction	Risk of injury during construction	Safety	5	4	9	36					Current contractor selection practices
21	1716 - 17	Working near railway	Risk of injury during construction	Safety	5	3	9	27					Railway safety procedures
22	1716 - 18	Design of scheme	Increased risk of road traffic accidents	Safety	5	3	9	27					Safety audit procedures, audit team, competant designer
24a	1716 - 2/19	Poor ground conditions	Delays to programme	Prog	5	5	4	20					Soil survey planned
24b	1716 - 2/19	Poor ground conditions	Increased cost due to delays, increase in NELC contributior	Cost	5	5	3	15	£50k	£75k	£100k		Soil survey planned
25a	1716 -	Unforeseen adverse weather	Delays to programme	Prog	5	4	4	16					
25b	1716 -	Unforeseen adverse weather	Increased cost due to delays, increase in NELC contributior	Cost	5	4	2	8	£10k	£30k	£50k		
31	1716 - 20	Disruption to bus services during construction	Public disruption, damage to public relations	Project	5	8	2	16					
32	1716 - 21	"Towards top performance"	Unknown impact on structure and procurement policy of dep	Prog	5	4	8	32					
33	1716 - 22	Significantly higher tender figures (contractors etc)	Increased scheme cost, increase in NELC contribution	Cost	5	5	5	25	£250k	£350k	£500k		Procurement process
35	1716 - 22	Unforeseen costs	Increased scheme cost, increase in NELC contribution	Cost	5	3	5	15	£250k	£350k	£500k		Project team meetings to identify all costs
36a	1716 - 23	Lack of capacity on project team	Delays to programme	Prog	1 - 5	8	8	64					External agencies
36b	1716 - 23	Lack of capacity on project team	Increased cost due to delays, increase in NELC contributior	Cost	1 - 5	8	3	24	£50k	£75k	£100k		Specific resource issues identified
Scheme Specific Risks													
Network Rail / ORR:													
1a	1712 - 11	Level crossing - upgrade	Significant reduction of contingency, increase in NELC con	Cost	1 & 6	5	7	35	£1.3m	£1.5m	£1.7m		Network Rail to implement crossing
1b	1712 - 11	Level crossing - delay of 12 months and mitigation	Additional delay and complexity to programme	Project	1 & 6	5	9	45	£420k	£420k	£420k		No definite requirement to wait for level crossing before buiding road
Landowners:													
14	3131 - 02	Land acquisition - require CPO	Additional delay and complexity to programme	Prog	0/2	5	10	50					Legal professionals, estate professionals early involvement
14b	1713 - 07	CPO Process taking longer than the anticipated 1 year time	Significant delay and cost implications	Prog / Cost	2 4 & 6	3	10	30	£420k	£420k	£1336k		Legal professionals, estate professionals early involvement
English Heritage:													
10	1714 - 09	Archeology	Additional delay and complexity to programme	Prog	3 & 6	3	8	24					Initial assessment undertaken, site selected to avoid major archeology, E
Highways Agency:													
17	1714 -	Highways Agency requirements	Increased scheme cost, increase in NELC contribution	Cost	3 & 6	4	4	16	£100k	£200k	£250k		Consultation early, Model Update in MSBC, HA consulted in MSBC
Natural England:													
3a	3131 - 05	Over wintering birds	Delays to programme	Prog	3 & 6	10	6	60					Plan to clear shrubs etc one year before / provide alternative location
3b	3131 - 05	Over wintering birds	Increased cost due to delays, increase in NELC contributior	Cost	0/5	10	5	50	£300k	£400k	£500k		Plan to clear shrubs etc one year before / provide alternative location
4a	3131 - 05	Other protected species	Impact on species	Env	3 & 6	7	4	28					Initial survey indicates no problem
4b	3131 - 05	Other protected species	Additional delay and complexity to programme	Prog	3 & 6	7	4	28					Initial survey indicates no problem
4c	3131 - 05	Other protected species	Increased cost due to delays	Cost	3 & 6	7	2	14	£10k	£30k	£50k		Initial survey indicates no problem
5a	3131 - 06	Contaminated land	Increased cost due to delays, increase in NELC contributior	Cost	5 & 6	3	4	12	£100k	£150k	£250k		Soil survey planned
5b	3131 - 06	Contaminated land	Delays to programme	Prog	5 & 6	3	4	12					Soil survey planned
Environment Agency:													
11a	3131 - 07	Project creates additional impact on Flooding	Increased likelhood/severity of localised flooding	Env	0/3	2	4	8					Initial design incorporates mitigating features
11b	3131 - 07	Implication of FRA on Cost of Project	Increased Scheme Cost	Cost	0/5	2	4	8	£100k	£200k	£250k		Initial design incorporates mitigating features

Project Title:
A18-A180 Link Road
Design Stage
Feasibility - Preferred Option

Project Ref:
D087019
Issue: 1
Date
19/05/2008
Approved by:

Type	NELC Key Stage
Project	0. Scheme Specific Risks
	1. Obtain Funding
Env	2. Land Assembly
Cost	3. Obtain Planning Permission
Prog	4. Legal Orders
Comm'l	5. Implement Proposals
Safety	

Residual Risk Classification

Likelihood				Impact					
Scale	Typical Range (%)		Value	Scale	Time (mths)		Cost (£)		Value
Almost certain not to occur	0%	10%	1	Negligible	0	0.25	0	£10k	1
Remote Chance	10%	20%	2	Minimal	0.25	0.5	£10k	£50k	2
Unlikely	20%	30%	3	Some	0.5	0.75	£50k	£100k	3
Not very Likely	30%	40%	4	Minor	0.75	1	£100k	£250k	4
Even Chance	40%	50%	5	Limited	1	2	£250k	£500k	5
Fairly Likely	50%	60%	6	Significant	2	3	£500k	£1m	6
Significant	60%	70%	7	Substantial	3	4	£1m	£2m	7
High Likelihood	70%	80%	8	High	4	8	£2m	£4m	8
Almost certain	80%	90%	9	Critical	8	12	£4m	£8m	9
Inevitable	90%	100%	10	Catatrophic		>12		<£8m	10

QRA Ref:	NELC Ref:	Risk Description / Trigger	Effect	Type	NELC Key Stage	Risk Rating: Likelihood	Risk Rating: Impact	Risk Rating: Risk	Impact (Cost Types Only): Min	Likely	Max	Value of Risk	Future mitigation (Action)	Action Officer	Target Date
Obtain Funding															
	1712 - 01	Cabinet do not approve proposal	Failure of project	Project	1	0	10	0					Risk Terminated		
	1712 - 03	Criteria for Business Case Guidance Changes	Review of MSBC	Project	1	2	4	8					Risk Tolerated		
	1712 - 04	Diversion of funds to competitor authorities	Loss of regional backing and failure of project	Project	1	0	10	0					Risk Terminated		
1a	1712 - 11	Level crossing - upgrade	Significant reduction of contingency, increase in NELC con	Cost	1 & 6	0	7	0	£1.3m	£1.5m	£1.7m		Risk Terminated		
1b	1712 - 11	Level crossing - delay of 12 months and mitigation	Additional delay and complexity to programme	Project	1 & 6	5	4	20	£420k	£420k	420k		Liaise with ORR / Network Rail	B Keld	28/02/2009
2	1712 - 12	Reduction in cost benefit ratio (below 2)	DfT refusal to support scheme	Project	1	1	8	8					Risk Tolerated		
7	1712 - 13	Excessive inflation (e.g. bitumen)	Reduction of contingency, increase in NELC contribution	Cost	1	8	6	48	£500k	£700k	£1m		Risk Tolerated (QRA contingency reduces risk)		
8	1712 - 14	Inaccuracy in initial rates and quantities	Reduction of contingency, increase in NELC contribution	Cost	1	3	5	15	£250k	£350k	£500k		Undertake regular reviews	J Drinkall	ongoing
9	1712 - 15	Not on the Council's capital programme	No NELC funding, End of project	Project	1	1	1	1					Raise with Board	S Moss	31/12/2008
26a	1712 - 16	Requirement to go through Conditional approval stage	Additional delay and complexity to programme	Prog	1	2	10	20					Ongoing dialogue with DfT. Highlight in MSBC Submission	B Keld	31/12/2008
26b	1712 - 16	Requirement to go through Conditional approval stage	Increased cost due to delays, increase in NELC contribution	Cost	1	2	4	8	£100k	£150k	£250k		Ongoing dialogue with DfT. Highlight in MSBC Submission	B Keld	31/12/2008
27	1712 - 05-	Significant DfT queries on business case	Delays to final submission, and associated costs	Prog	1	2	6	12					Ongoing dialogue with DfT.	S Moss	ongoing
28	1712 - 02	DfT declines business case	End of project	Project	1	2	10	20					Ongoing dialogue with DfT	S Moss	ongoing
36a	1712 - 17	Lack of capacity on project team	Delays to programme	Prog	1 - 5	7	7	49					Engagement with TTP project (to include an effective procurer	Project Boar	31/12/2008
36b	1712 - 17	Lack of capacity on project team	Increased cost due to delays, increase in NELC contribution	Cost	1 - 5	8	3	24	£50k	£75k	£100k		Risk Tolerated	S Moss	29/09/2008
Land Assembly															
	1713 - 03	Land subject to unusual title restrictions	Delays to scheme	Prog	2	2	6	12					Early engagement with land owners	D J-White	28/02/2009
	1713 - 04	Contaminated or Poor Ground Conditions	Delay to land purchase	Prog	2	5	4	20					Obtain land entry and carry out investigation	D J-White	28/02/2009
	1713 - 05	Archaeological find	Significant complication to land purchase	Prog	2	1	8	8					Risk Tolerated		
	1713 - 06	Natural heritage	Risk detail unclear - review												
	1713 - 08	Utility Hazards when surveying land	Risk of injury during survey	Safety	5	2	9	18					Employment of competant surveyor, vetting safety procedures.	J Drinkall	31/12/2009
12	1713 - 09-	Excessive land costs	Reduction of contingency	Cost	2	2	3	6	£50k	£75k	£100k		Early engagement with land owners and potential CPO	D J-White	28/02/2009
14a	1713 - 01/1	Unable to Purchase land by agreemen, or at an affordable p	Require CPO - Additional delay and complexity to programm	Prog	2 4 & 6	4	10	40					Early engagement with land owners	D J-White	28/02/2009
14b	1713 - 07	CPO Process taking longer than the anticipated 1 year time	Significant delay and cost implications	Prog / Cost	2 4 & 6	2	10	20	£420k	£420k	£1336k		Early engagement with land owners	D J-White	28/02/2009
34	1713 - 02	Unable to locate land owner	Significant delay to whole project	Prog	2	3	10	30					Early engagement with land owners	D J-White	28/02/2009
36a	1713 - 16	Lack of capacity on project team	Delays to programme	Prog	1 - 5	7	7	49					Engagement with TTP project (to include an effective procurer	Project Boar	31/12/2008
36b	1713 - 16	Lack of capacity on project team	Increased cost due to delays, increase in NELC contribution	Cost	1 - 5	8	3	24	£50k	£75k	£100k		Risk Tolerated	S Moss	29/09/2008
Planning Permission															
	1714 - 01	Not approved for recommendation from Council	Failure of project	Project	3	0	10	0					Risk Terminated		
	1714 - 02	Not approved by Government Office	Risk detail unclear - review												
	1714 - 03	Failure to get Planning permission at Planning Committee	Failure of project	Project	3	2	10	20					Submit a robust planning application	C Holliday	01/12/2009
	1714 - 06	Onerous conditions imposed by the Planning Committee	Review of Business Case - BCR	Project	3	2	10	20					Submit a robust planning application	C Holliday	01/12/2009
	1714 - 07	Political sensitivity	Risk detail unclear - review												
	1714 - 08	Network Rail/HMRI Objection	Increased risk of Public Inquiry - see 1714 - 05	Project											
3a	1714 -	Over wintering birds	Delays to programme	Prog	3 & 6	1	6	6					Clear shrubs etc one year before / provide alternative location	N Vear to ad	30/09/2009
4a	1714 -	Other protected species	Impact on species	Env	3 & 6	4	4	16					Review of enviro statement	N Vear to ad	30/09/2009
4b	1714 -	Other protected species	Additional delay and complexity to programme	Prog	3 & 6	4	4	16					Review of enviro statement	N Vear to ad	30/09/2009
4c	1714 -	Other protected species	Increased cost due to delays	Cost	3 & 6	4	2	8	£10k	£25k	£50k		Review of enviro statement	N Vear to ad	30/09/2009
6	1714 -	Changes in traffic flows - noise etc	Noise increase impacting on residents and environment	Env	3	5	4	20					Risk Tolerated		
10	1714 - 09	Archeology	Additional delay and complexity to programme	Prog	3 & 6	2	8	16					Risk Tolerated		
11a	1714 -	Flood risk	Flooding	Env	3 & 6	1	4	4					Consider flood risk assessment	N Vear to ad	28/02/2009
16	1714 - 04	Other objections	Additional delay and complexity to programme	Prog	3	3	10	30					Further public consultation	B Keld	30/06/2009
17	1714 -	Highways Agency requirements	Increased scheme cost, increase in NELC contribution	Cost	3 & 6	1	4	4	£100k	£200k	£250k		Risk Tolerated		
23	1714 - 10	Obtaining TROs	Additional delay and complexity to programme	Prog	3	4	4	16					Safety audit team	-	30/04/2009
29a	1714 - 11	Footpath diversion	Additional costs	Cost	3 / 4	8	1	8	0	£5k	£10k		Consult with PROW team	B Keld	28/02/2009
29b	1714 - 11	Footpath diversion	Additional complexity to programme	Prog	3 / 4	8	1	8					Consult with PROW team	B Keld	28/02/2009
30a	1714 -	Negative impact on other junctions	Increased risk of accidents	Safety	3	4	7	28					Modeling and safety audit processes	D Pouch	30/04/2009
30b	1714 -	Negative impact on other junctions	Mitigation costs - further Road Safety scheme	Cost	3	4	5	20	£250k	£300k	£500k		Modeling and safety audit processes	D Pouch	30/04/2009
36a	1714 - 12	Lack of capacity on project team	Delays to programme	Prog	1 - 5	7	7	49					Engagement with TTP project (to include an effective procurer	Project Boar	31/12/2008
36b	1714 - 12	Lack of capacity on project team	Increased cost due to delays, increase in NELC contribution	Cost	1 - 5	8	3	24	£50k	£75k	£100k		Risk Tolerated	S Moss	29/09/2008
37	1714 - 05	Public inquiry	Increased cost due to delays, increase in NELC contribution	Cost	3	4	5	20	£250k	£400k	£500k		Further Consulation and communication strategy	B Keld	30/06/2009
Legal Orders															
	1715 - 01	Opposition to the weight restriction TRO on Pelham Rd	Delays, possible failure to implement TRO, reduced benefits	Prog	4	2	5	10					Publicise benefits of scheme through effective comms	S Mainprize	01/06/2009
	1715 - 01	Challenge to legal orders processes	Delays to programme	Prog	4	2	5	10					Publicise benefits of scheme through effective comms	S Mainprize	01/06/2009
	1715 - 03	CPO delayed/not confirmed/failed	Failure of project	Prog	4	1	10	10					Negotiation with landowners	D J-White	28/02/2009
	1715 - 4/5	Reliance on CPO	See QRA Ref 14												
1c	1715 - 06	Level crossing - amendment to level crossing order	Additional element to the programme	Prog	4	10	2	20					Clarify requirement for an amendment to level crossing order	B Keld	28/02/2009
15	1715 - 07	Covenants on land	Possible delay and complexity to programme	Cost	4	5	3	15	£50k	£75k	£100k		Negotiation with landowners	D J-White	28/02/2009
14a	1713 - 01/1	Unable to Purchase land by agreemen, or at an affordable p	Require CPO - Additional delay and complexity to programm	Prog	2 4 & 6	4	10	40					Negotiation with landowners	D J-White	28/02/2009
14b	1713 - 07	CPO Process taking longer than the anticipated 1 year time	Significant delay and cost implications	Prog / Cost	2 4 & 6	2	10	20	£420k	£420k	£1336k		Negotiation with landowners	D J-White	28/02/2009
29a	1715 - 08	Footpath diversion	Possible Increased cost due to delay	Cost	3 / 4	8	1	8	0	£5k	£10k		Consult with PROW team	B Keld	28/02/2009
29b	1715 - 08	Footpath diversion	Additional delay and complexity to programme	Prog	3 / 4	8	1	8					Consult with PROW team	B Keld	28/02/2009
36a	1715 - 09	Lack of capacity on project team	Delays to programme	Prog	1 - 5	7	7	49					Engagement with TTP project (to include an effective procurer	Project Boar	31/12/2008
36b	1715 - 09	Lack of capacity on project team	Increased cost due to delays, increase in NELC contribution	Cost	1 - 5	8	3	24	£50k	£75k	£100k		Risk Tolerated	S Moss	29/09/2008
Implement Proposals															
	1716 - 01	Higher Tender Figures	Increase cost, possible resubmission to RTB at FA Stage see 1712 - 11		5										
	1716 - 02	Unforeseen Ground Conditions	See 1716 - 19		5										
	1716 - 03	Services Diversion	See 1716 - 14		5										
	1716 - 04	Cost Overrun	Risk Detail unclear		5										
	1716 - 05	Require Level Crossing improvement	See 1712 - 11		1, 5 & 6										
	1716 - 06	Poor Project Management	Increased risks to Programme, costs and reputation	Prog	5	3	9	27					Project Assurance - Gateway Review Process	B Keld	28/02/2009
	1716 - 07	Unwanted tresspassers	Risk Detail unclear												
	1716 - 08	White Elephant	Damaged reputation	Comm'l	5	1	5	5					Risk Tolerated		
	1716 - 08	Impact on neighbouring authority's road network	Damaged reputation	Comm'l	5	1	5	5					Risk Tolerated		
	1716 - 10	Success breeds congestion	Increased pollution, counter to scheme objectives	Project	5	1	5	5					Risk Tolerated		
3b	1716 - 11	Over wintering birds	Increased cost due to delays, increase in NELC contribution	Cost	5 & 6	1	1	1	0	£5k	£10k		Clear shrubs etc one year before / provide alternative location	N Vear to ad	31/10/2008
5a	1716 - 12	Contaminated land	Increased cost due to delays, increase in NELC contribution	Cost	5 & 6	3	4	12	£100k	£150k	£250k		Obtain land entry and carry out investigation	D J-White	28/02/2009
5b	1716 - 12	Contaminated land	Delays to programme	Prog	5 & 6	3	4	12					Obtain land entry and carry out investigation	D J-White	28/02/2009
11b	1716 - 13	Flood risk	Flooding	Env	3 & 6	1	4	4					Consider flood risk assessment	N Vear to ad	28/02/2009
13	1716 - 3/14	Underground services / overhead cables	Service Diversion, Increased costs, increase in NELC contr	Cost	5	1	7	7	£1m	£1.5m	£2m		Risk Tolerated		
18	1716 - 15	Inability to obtain suitable contractors	Additional delay and complexity to programme	Prog	5	1	8	8					Continued involvement of procurement team	B Keld	ongoing
19	1716 - 16	Contractor going bust	Delay due to new procurement process	Prog	5	2	8	16					Continued involvement of procurement team	B Keld	ongoing
20	1716 - 17	Safety during constuction	Risk of injury during construction	Safety	5	2	9	18					Employment of competant contractor, vetting contractor safety	Project Boar	31/12/2009
21	1716 - 17	Working near railway	Risk of injury during construction	Safety	5	1	9	9					Involvement with Network Rail	Project Boar	31/12/2009
22	1716 - 18	Design of scheme	Increased risk of road traffic accidents	Safety	5	2	8	16					Safety audit team	D Pouch	30/04/2009
24a	1716 - 2/15	Poor ground conditions	Delays to programme	Prog	5	5	3	15					Negotiation with landowners for Soil Survey	D J-White	28/02/2009
24b	1716 - 2/15	Poor ground conditions	Increased cost due to delays, increase in NELC contribution	Cost	5	5	3	15	£50k	£75k	£100k		Negotiation with landowners for Soil Survey	D J-White	28/02/2009
25a	1716 -	Unforeseen adverse weather	Delays to programme	Prog	5	4	4	16					-	-	-
25b	1716 -	Unforeseen adverse weather	Increased cost due to delays, increase in NELC contribution	Cost	5	4	2	8	£10k	£30k	£50k		-	-	-
31	1716 - 20	Disruption to bus services during construction	Public disruption, damage to public relations	Project	5	8	2	16					To consult later in process	-	-
32	1716 - 21	"Towards top performance"	Unknown impact on structure and procurement policy of de	Prog	5	4	8	32					Engagement with TTP project (to include an effective procurer	Project Boar	ongoing
33	1716 - 22	Significantly higher tender figures (contractors etc)	Increased scheme cost, increase in NELC contribution	Cost	5	3	5	15	£250k	£350k	£500k		Early contractor involvement	B Keld	28/02/2009
35	1716 - 22	Unforeseen costs	Increased scheme cost, increase in NELC contribution	Cost	5	2	5	10	£250k	£350k	£500k		Regular project team meetings to identify all costs	B Keld	ongoing
36a	1716 - 23	Lack of capacity on project team	Delays to programme	Prog	1 - 5	7	7	49					Engagement with TTP project (to include an effective procurer	Project Boar	ongoing
36b	1716 - 23	Lack of capacity on project team	Increased cost due to delays, increase in NELC contribution	Cost	1 - 5	8	3	24	£50k	£75k	£100k		Risk Tolerated		
Scheme Specific Risks															
Network Rail / ORR:															
1a	1712 - 11	Level crossing - upgrade	Significant reduction of contingency, increase in NELC con	Cost	1 & 6	0	7	0	£1.3m	£1.5m	£1.7m		Risk Terminated		
1b	1712 - 11	Level crossing - delay of 12 months and mitigation	Additional delay and complexity to programme	Project	1 & 6	5	4	20	£420k	£420k	420k		Liaise with ORR / Network Rail	B Keld	28/02/2009
Landowners:															
14	3131 - 02	Land acquisition - require CPO	Additional delay and complexity to programme	Prog	0/2	4	10	40					Early engagement with land owners	D J-White	29/09/2008
14b	1713 - 07	CPO Process taking longer than the anticipated 1 year time	Significant delay and cost implications	Prog / Cost	2 4 & 6	2	10	20	£420k	£420k	£1336k		Early engagement with land owners	D J-White	29/09/2008
English Heritage:															
10	1714 - 09	Archeology	Additional delay and complexity to programme	Prog	3 & 6	2	8	16					Risk Tolerated		
Highways Agency:															
17	1714 -	Highways Agency requirements	Increased scheme cost, increase in NELC contribution	Cost	3 & 6	1	4	4	£100k	£200k	£250k		Risk Tolerated		
Natural England:															
3a	3131 - 05	Over wintering birds	Delays to programme	Prog	3 & 6	1	6	6					Clear shrubs etc one year before / provide alternative location	N Vear to ad	30/09/2009
3b	3131 - 05	Over wintering birds	Increased cost due to delays, increase in NELC contribution	Cost	0/5	1	1	1	0	£5k	£10k		"	N Vear to ad	30/09/2009
4a	3131 - 05	Other protected species	Impact on species	Env	3 & 6	4	4	16					Review of enviro statement	N Vear to ad	30/09/2009
4b	3131 - 05	Other protected species	Additional delay and complexity to programme	Prog	3 & 6	4	4	16					Review of enviro statement	N Vear to ad	30/09/2009
4c	3131 - 05	Other protected species	Increased cost due to delays	Cost	3 & 6	4	2	8	£10k	£25k	£50k		Review of enviro statement	N Vear to ad	30/09/2009
5a	3131 - 06	Contaminated land	Increased cost due to delays, increase in NELC contribution	Cost	5 & 6	3	4	12	£100k	£150k	£250k		Obtain land entry and carry out investigation	D J-White	28/02/2009
5b	3131 - 06	Contaminated land	Delays to programme	Prog	5 & 6	3	4	12					Obtain land entry and carry out investigation	D J-White	28/02/2009
Environment Agency:															
11a	3131 - 07	Project creates additional impact on Flooding	Increased likelhood/severity of localised flooding	Env	0/3	1	4	4					Consider flood risk assessment	N Vear to ad	28/02/2009
11b	3131 - 07	Implication of FRA on Cost of Project	Increased Scheme Cost	Cost	0/5	1	4	4	£100k	£200k	£250k		"	N Vear to ad	28/02/2009

Project Title:
A18-A180 Link Road

Design Stage
Feasibility - Preferred Option

Type	NELC Key Stage
Project	0. Scheme Specific Risks 1. Obtain Funding
Env	2. Land Assembly
Cost	3. Obtain Planning Permission
Prog	4. Legal Orders
Comm'l	5. Implement Proposals
Safety	

Target Risk Classification

Likelihood Scale	Typical Range (%)		Value	Impact Scale	Time (mths)		Cost (£)		Value
Almost certain not to occur	0%	10%	1	Negligible	0	0.25	0	£10k	1
Remote Chance	10%	20%	2	Minimal	0.25	0.5	£10k	£50k	2
Unlikely	20%	30%	3	Some	0.5	0.75	£50k	£100k	3
Not very Likely	30%	40%	4	Minor	0.75	1	£100k	£250k	4
Even Chance	40%	50%	5	Limited	1	2	£250k	£500k	5
Fairly Likely	50%	60%	6	Significant	2	3	£500k	£1m	6
Significant	60%	70%	7	Substantial	3	4	£1m	£2m	7
High Likelihood	70%	80%	8	High	4	8	£2m	£4m	8
Almost certain	80%	90%	9	Critical	8	12	£4m	£8m	9
Inevitable	90%	100%	10	Catatrophic		>12		<£8m	10

QRA Ref:	NELC Ref:	Risk Description / Trigger	Effect	Type	NELC Key Stage	Risk Rating: Likelihood	Impact	Risk
Obtain Funding								
	1712 - 01	Cabinet do not approve proposal	Failure of project	Project	1	0	10	0
	1712 - 03	Criteria for Business Case Guidance Changes	Review of MSBC	Project	1	2	4	8
	1712 - 04	Diversion of funds to competitor authorities	Loss of regional backing and failure of project	Project	1	0	10	0
1a	1712 - 11	Level crossing - upgrade	Significant reduction of contingency, increase in NELC con	Cost	1 & 6	0	7	0
1b	1712 - 11	Level crossing - delay of 12 months and mitigation	Additional delay and complexity to programme	Project	1 & 6	5	7	35
2	1712 - 12	Reduction in cost benefit ratio (below 2)	DfT refusal to support scheme	Project	1	1	8	8
7	1712 - 13	Excessive inflation (e.g. bitumen)	Reduction of contingency, increase in NELC contribution	Cost	1	5	6	30
8	1712 - 14	Inaccuracy in initial rates and quantities	Reduction of contingency, increase in NELC contribution	Cost	1	2	5	10
9	1712 - 15	Not on the Council's capital programme	No NELC funding, End of project	Project	1	1	1	1
26a	1712 - 16	Requirement to go through Conditional approval stage	Additional delay and complexity to programme	Prog	1	1	10	10
26b	1712 - 16	Requirement to go through Conditional approval stage	Increased cost due to delays, increase in NELC contributior	Cost	1	1	4	4
27	1712 - 05-1	Significant DfT queries on business case	Delays to final submission, and associated costs	Prog	1	1	6	6
28	1712 - 02	DfT declines business case	End of project	Project	1	1	10	10
36a	1712 - 17	Lack of capacity on project team	Delays to programme	Prog	1 - 5	5	7	35
36b	1712 - 17	Lack of capacity on project team	Increased cost due to delays, increase in NELC contributior	Cost	1 - 5	7	3	21
Land Assembly								
	1713 - 03	Land subject to unusual title restrictions	Delays to scheme	Prog	2	0	6	0
	1713 - 04	Contaminated or Poor Ground Conditions	Delay to land purchase	Prog	2	5	3	15
	1713 - 05	Archaeological find	Significant complication to land purchase	Prog	2	1	8	8
	1713 - 06	Natural heritage	Risk detail unclear - review					
	1713 - 08	Utility Hazards when surveying land	Risk of injury during survey	Safety	5	1	9	9
12	1713 - 09-1	Excessive land costs	Reduction of contingency	Cost	2	1	3	3
14a	1713 - 01/1	Unable to Purchase land by agreemen, or at an affordable p	Require CPO - Additional delay and complexity to programm	Prog	2 4 & 6	4	10	40
14b	1713 - 07	CPO Process taking longer than the anticipated 1 year time	Significant delay and cost implications	Prog / Cost	2 4 & 6	2	10	20
34	1713 - 02	Unable to locate land owner	Significant delay to whole project	Prog	2	1	10	10
36a	1713 - 16	Lack of capacity on project team	Delays to programme	Prog	1 - 5	5	7	35
36b	1713 - 16	Lack of capacity on project team	Increased cost due to delays, increase in NELC contributior	Cost	1 - 5	7	3	21
Planning Permission								
	1714 - 01	Not approved for recommendation from Council	Failure of project	Project	3	1	10	10
	1714 - 02	Not approved by Government Office	Risk detail unclear - review					
	1714 - 03	Failure to get Planning permission at Planning Committee	Failure of project	Project	3	2	10	20
	1714 - 06	Onerous conditions imposed by the Planning Committee	Review of Business Case - BCR	Project	3	2	10	20
	1714 - 07	Political sensitivity	Risk detail unclear - review					
	1714 - 08	Network Rail/HMRI Objection	Increased risk of Public Inquiry - see 1714 - 05	Project				
3a	1714 -	Over wintering birds	Delays to programme	Prog	3 & 6	1	6	6
4a	1714 -	Other protected species	Impact on species	Env	3 & 6	2	4	8
4b	1714 -	Other protected species	Additional delay and complexity to programme	Prog	3 & 6	2	4	8
4c	1714 -	Other protected species	Increased cost due to delays	Cost	3 & 6	2	2	4
6	1714 -	Changes in traffic flows - noise etc	Noise increase impacting on residents and environment	Env	3	4	4	16
10	1714 - 09	Archeology	Additional delay and complexity to programme	Prog	3 & 6	1	8	8
11a	1714 -	Flood risk	Flooding	Env	3 & 6	1	4	4
16	1714 - 04	Other objections	Additional delay and complexity to programme	Prog	3	2	10	20
17	1714 -	Highways Agency requirements	Increased scheme cost, increase in NELC contribution	Cost	3 & 6	1	4	4
23	1714 - 10	Obtaining TROs	Additional delay and complexity to programme	Prog	3	3	4	12
29a	1714 - 11	Footpath diversion	Additional costs	Cost	3 / 4	5	1	5
29b	1714 - 11	Footpath diversion	Additional complexity to programme	Prog	3 / 4	5	1	5
30a	1714 -	Negative impact on other junctions	Increased risk of accidents	Safety	3	4	7	28
30b	1714 -	Negative impact on other junctions	Mitigation costs - further Road Safety scheme	Cost	3	4	5	20
36a	1714 - 12	Lack of capacity on project team	Delays to programme	Prog	1 - 5	5	7	35
36b	1714 - 12	Lack of capacity on project team	Increased cost due to delays, increase in NELC contributior	Cost	1 - 5	7	3	21
37	1714 - 05	Public inquiry	Increased cost due to delays, increase in NELC contributior	Cost	3	3	5	15
Legal Orders								
	1715 - 01	Opposition to the weight restriction TRO on Pelham Rd	Delays, possible failure to implement TRO, reduced benefits	Prog	4	1	5	5
	1715 - 01	Challenge to legal orders processes	Delays to programme	Prog	4	1	5	5
	1715 - 03	CPO delayed/not confirmed/failed	Failure of project	Prog	4	1	10	10
	1715 - 4/5	Reliance on CPO	See QRA Ref 14					
1c	1715 - 06	Level crossing - amendment to level crossing order	Additional element to the programme	Prog	4	10	2	20
15	1715 - 07	Covenants on land	Possible delay and complexity to programme	Cost	4	4	3	12
14a	1713 - 01/1	Unable to Purchase land by agreemen, or at an affordable p	Require CPO - Additional delay and complexity to programm	Prog	2 4 & 6	4	10	40
14b	1713 - 07	CPO Process taking longer than the anticipated 1 year time	Significant delay and cost implications	Prog / Cost	2 4 & 6	2	10	20
29a	1715 - 08	Footpath diversion	Possible Increased cost due to delay	Cost	3 / 4	5	1	5
29b	1715 - 08	Footpath diversion	Additional delay and complexity to programme	Prog	3 / 4	5	1	5
36a	1715 - 09	Lack of capacity on project team	Delays to programme	Prog	1 - 5	5	7	35
36b	1715 - 09	Lack of capacity on project team	Increased cost due to delays, increase in NELC contributior	Cost	1 - 5	7	3	21
Implement Proposals								
	1716 - 01	Higher Tender Figures	Increase cost, possible resubmission to RTB at FA Stage see 1712 - 1		5			
	1716 - 02	Unforeseen Ground Conditions	See 1716 - 19		5			
	1716 - 03	Services Diversion	See 1716 - 14		5			
	1716 - 04	Cost Overrun	Risk Detail unclear		5			
	1716 - 05	Require Level Crossing improvement	See 1712 - 11		1, 5 & 6			
	1716 - 06	Poor Project Management	Increased risks to Programme, costs and reputation	Prog	5	2	9	18
	1716 - 07	Unwanted tresspassers	Risk Detail unclear					
	1716 - 08	White Elephant	Damaged reputation	Comm'l	5	1	5	5
	1716 - 08	Impact on neighbouring authority's road network	Damaged reputation	Comm'l	5	1	5	5
	1716 - 10	Success breeds congestion	Increased pollution, counter to scheme objectives	Project	5	1	5	5
3b	1716 - 11	Over wintering birds	Increased cost due to delays, increase in NELC contributior	Cost	5 & 6	1	1	1
5a	1716 - 12	Contaminated land	Increased cost due to delays, increase in NELC contributior	Cost	5 & 6	3	4	12
5b	1716 - 12	Contaminated land	Delays to programme	Prog	5 & 6	3	4	12
11b	1716 - 13	Flood risk	Flooding	Env	3 & 6	1	4	4
13	1716 - 3/14	Underground services / overhead cables	Service Diversion, Increased costs, increase in NELC contr	Cost	5	1	7	7
18	1716 - 15	Inability to obtain suitable contractors	Additional delay and complexity to programme	Prog	5	1	8	8
19	1716 - 16	Contractor going bust	Delay due to new procurement process	Prog	5	1	8	8
20	1716 - 17	Safety during constuction	Risk of injury during construction	Safety	5	1	9	9
21	1716 - 17	Working near railway	Risk of injury during construction	Safety	5	1	9	9
22	1716 - 18	Design of scheme	Increased risk of road traffic accidents	Safety	5	1	8	8
24a	1716 - 2/19	Poor ground conditions	Delays to programme	Prog	5	5	3	15
24b	1716 - 2/19	Poor ground conditions	Increased cost due to delays, increase in NELC contributior	Cost	5	5	3	15
25a	1716 -	Unforeseen adverse weather	Delays to programme	Prog	5	4	4	16
25b	1716 -	Unforeseen adverse weather	Increased cost due to delays, increase in NELC contributior	Cost	5	4	2	8
31	1716 - 20	Disruption to bus services during construction	Public disruption, damage to public relations	Project	5	8	2	16
32	1716 - 21	"Towards top performance"	Unknown impact on structure and procurement policy of de	Prog	5	4	8	32
33	1716 - 22	Significantly higher tender figures (contractors etc)	Increased scheme cost, increase in NELC contribution	Cost	5	2	5	10
35	1716 - 22	Unforeseen costs	Increased scheme cost, increase in NELC contribution	Cost	5	2	5	10
36a	1716 - 23	Lack of capacity on project team	Delays to programme	Prog	1 - 5	5	7	35
36b	1716 - 23	Lack of capacity on project team	Increased cost due to delays, increase in NELC contributior	Cost	1 - 5	7	3	21
Scheme Specific Risks								
Network Rail / ORR:								
1a	1712 - 11	Level crossing - upgrade	Significant reduction of contingency, increase in NELC con	Cost	1 & 6	0	7	0
1b	1712 - 11	Level crossing - delay of 12 months and mitigation	Additional delay and complexity to programme	Project	1 & 6	5	7	35
Landowners:								
14	3131 - 02	Land acquisition - require CPO	Additional delay and complexity to programme	Prog	0/2	4	10	40
14b	1713 - 07	CPO Process taking longer than the anticipated 1 year time	Significant delay and cost implications	Prog / Cost	2 4 & 6	2	10	20
English Heritage:								
10	1714 - 09	Archeology	Additional delay and complexity to programme	Prog	3 & 6	1	8	8
Highways Agency:								
17	1714 -	Highways Agency requirements	Increased scheme cost, increase in NELC contribution	Cost	3 & 6	1	4	4
Natural England:								
3a	3131 - 05	Over wintering birds	Delays to programme	Prog	3 & 6	1	6	6
3b	3131 - 05	Over wintering birds	Increased cost due to delays, increase in NELC contributior	Cost	0/5	1	1	1
4a	3131 - 05	Other protected species	Impact on species	Env	3 & 6	2	4	8
4b	3131 - 05	Other protected species	Additional delay and complexity to programme	Prog	3 & 6	2	4	8
4c	3131 - 05	Other protected species	Increased cost due to delays	Cost	3 & 6	2	2	4
5a	3131 - 06	Contaminated land	Increased cost due to delays, increase in NELC contributior	Cost	5 & 6	3	4	12
5b	3131 - 06	Contaminated land	Delays to programme	Prog	5 & 6	3	4	12
Environment Agency:								
11a	3131 - 07	Project creates additional impact on Flooding	Increased likelhood/severity of localised flooding	Env	0/3	1	4	4
11b	3131 - 07	Implication of FRA on Cost of Project	Increased Scheme Cost	Cost	0/5	1	4	4

NELC Corporate Strategic Risk Analysis

Risk Score

	Impact	Prob	Total
Raw	6	6	36
Residual	6	4	24
Target	4	3	12
Risk Control Index			

Risk Score

	Impact	Prob	Total
Raw	6	8	48
Residual	6	7	42
Target	4	3	12
Risk Control Index			

Risk Score

	Impact	Prob	Total
Raw	6	7	42
Residual	6	4	24
Target	4	3	12
Risk Control Index			

Risk Score

	Impact	Prob	Total
Raw	6	8	48
Residual	6	6	36
Target	5	4	20
Risk Control Index			

Risk Score

	Impact	Prob	Total
Raw	8	8	64
Residual	6	5	30
Target	5	4	20
Risk Control Index			

Risk Score

	Impact	Prob	Total
Raw	6	6	36
Residual	6	4	24
Target	4	3	12
Risk Control Index			

NELC - A18-A180 Link Project - Project No: 07002

Issue Log

Printed on 28-Jan-09

Issue No	Issue Type	Raised By	Date Raised	Description	Import	Actions	Action With	Status	Close Date
1	PI	REC	01-Nov-07	Requirement to submit a business case to the Regional Transport Board for their consideration of the scheme within the Regional Funding Allocation	H	Regional Submission to the RTB	REC	CLO	11-May-07
2	PI	REC	08-Jan-07	Network Rail indicated that any scheme that increased traffic over the level crossing may not be supported as this may increase the risk at this level crossing which was already under "watch" by Network Rail due to previous incidents and site history. Network Rail said that an increased risk could require an upgrading of the level crossing to full barriers at a cost of around £1.7m.	H	Model the increase in traffic flows due to the scheme. Send data to Network Rail to enable them to assess the change in risk.	SM	CLO	28-Jul-08
3	PI	REC	17-May-07	Network Rail concerned that the scheme would create a new risk in blocking back. NELC did not consider that the flows would be high enough to create such a risk	H	NELC to undertake further modelling to establish the likelihood of blocking back and consider mitigation to reduce the risk of blocking back	SM	CLO	08-Aug-08
4	PI	SM	18-May-07	Cabinet approval required for 10% funding and preferred option agreement	H	Cabinet Report to be placed on Forward Plan for 23rd July	SM	CLO	23-Jul-07
5	PI	DJW	18-May-07	Option agreement with landowner be sought to reduce risk of CPO	H	Contact landowners to commence negotiations	DJW	IMP	
6	PI	DK	18-May-07	Capital Service Statement required to secure contribution in Capital Programme	H	Submit a CSS	SM	CLO	23-Oct-07
7	PI	GT	18-May-07	Site investigations to be undertaken – boreholes, Topographical survey etc.	L	Information taken for Option 1 revealing no problems. New surveys needed for Option 2, to be undertaken with land entry. Not a critical requirement for MSBC	JD	EVA	
8	PI	MT	20-Jun-07	Project to be placed on NELC Risk Register	H	Risk Workshop to take place with project team	MT	CLO	12-Jul-08
9	PI	SM	20-Jun-07	Consultants required to assist with MSBC	H	Procure consultants following cabinet approval	SM	CLO	30-Sep-07
10	PI	SM	16-Aug-07	New major scheme guidance issued	H	Impact to be ascertained. Prepare Scoping Report and meet DfT to clarify requirements for MSBC and modelling	SM	CLO	29-Oct-07
11	PI	DfT	29-Oct-07	Modelling Scoping Report required by DfT to support proposed methodology, which is considered to be proportional to the scheme.	H	Modelling Scoping Report to be prepared by JMP and sent to DfT	SM	CLO	19-Dec-07
12	PI	DfT	29-Oct-07	Conditional Approval and Full Approval stages could possibly be combined due to the simplicity and scale of the scheme.	M	JMP to build combined application into programme and present this approach in the MSBC	SM	CLO	06-Oct-08
13	PI	SM	15-Feb-08	Quantified Risk Assessment required to assess contingency	H	QRA Workshop to take place with project team	SM	CLO	19-May-08
14	PI	SM	15-Feb-08	Highlighted the dependency of the scheme costs on the inclusion of the worst case cost for the level crossing upgrade.	H	Modelling work is to inform the inclusion (or not) of the level crossing cost. Retain risk rating in the meantime.	SM	CLO	08-Aug-08
15	PI	LA	15-Feb-08	NELC contribution not identified on the capital programme and cabinet unaware of new guidance detailing impacts on aspects of finance and risk.	H	Update Cabinet report seeking approval of funding contribution and acceptance of risk	SM	CLO	29-Sep-08
16	PI	SM	15-Feb-08	Delayed DfT response to Modelling Scoping report	H	Chase DfT for response / meet DfT / seek agreement that some degree of proportionalilty is appropriate	SM	CLO	08-Apr-08
17	PI	SM	15-Feb-08	Communications Plan required	M	Draft communications plan to be drawn up and agreed with Comms team	RBK	CLO	06-Oct-08
18	PI	SM	15-Feb-08	Any complimentary works need to be identified	L	Idenify works such as signing, lighting, weight restrictions	JD	HOL	
19	PI	DfT	08-Apr-08	Further analysis of benefits may be required	H	Continue dialogue with DfT until all concerns have been addressed	RBK	CLO	27-Oct-08
20	PI	DfT	08-Apr-08	DfT would like a scheme visit	M	Visit to be arranged in conjunction with GOYH	SM	CLO	10-Jun-08
21	PI	All	19-May-08	Concern about lack of capacity on the project team to contribute adequate resource to MSBC.	M	Statement required from project team members to raise any concerns about capacity. Any statements to be raised with the board.	SM	CLO	18-Jul-08
22	PI	REC	19-May-08	Project Management support required	H	Appoint Interim Project Manager up to MSBC submission	REC	CLO	11-Jul-08
23	PI	SM	19-May-08	Clarity required about mitigation and approach required for environmental issues	M	Input required from Environmental Team	NV	CLO	12-Jan-09
24	PI	DP	19-May-08	Stage 1 Safety Audit beneficial to scheme preparations	L	Undertake Stage 1 Safety Audit	DP	EVA	
25	PI	All	19-May-08	Further consultation required with Network Rail, Highways Agency, English Heritage, Environment Agency, Natural England.	H	Contact to establish updated correspondence	RBK	CLO	12-Dec-08
26	PI	PBoard	11-Jul-08	Outstanding actions need escalating	H	Project Board to reconvene to consider progress against outstanding actions	PBoard	CLO	14-Jul-08
27	PI	RBK	11-Jul-08	Clarity required about preferred procurement route	M	Advice needed from procurement team.	SM	CLO	
28	PI	MT	11-Jul-08	Risk management system needs to fit both NELC PMF requirements and DfT requirements	H	Approach agreed - risk register and risk log to be updated as appropriate	SM	CLO	23-Oct-08
29	PI	RBK	07-Aug-08	Modelled traffic flows and queue lengths sent to Network Rail. No change in risk level given by Network Rail's ALCRM assessment. Network Rail agreed that blocking back was no longer a concern and that a reduced speed limit would improve safety on the crossing	H	Include correspondence in MSBC. Retain risk rating in the risk register.	RBK	CLO	08-Aug-08
30	PI	RBK	07-Aug-08	Network Rail have not consulted ORR (HMRI)	M	Obtain written confirmation of Network Rail's position and approach ORR	RBK	CLO	11-Aug-08
31	PI	SM	22-Aug-08	Need to submit information on the scheme to the RTB by 10th October. This will include information on cost, policy fit and deliverability. The purpose is to provide the region with consistent data for programming.	M	Submit information to scheme, making clear the benefits of the scheme to the region and emphasising that the scheme is deliverable.	SM	CLO	10-Oct-08
32	PI	RBK	12-Sep-08	Concerns raised by ORR inspector. Following site visit with ORR inspector (7th October), Network Rail have now stated (15th October) that the scheme should mitigate against any additional risk of blocking back to the level crossing, and that a level crossing upgrade should be part of this consideration	H	Meet ORR inspector on site. Awaiting outcome of ORR consultations with DfT regarding mitigating measures suggested by NELC	RBK	CLO	12-Dec-08
33	PI	RBK	12-Sep-08	Clarification required on Gateway Review and 4ps process	M	Contact 4ps and undertake screening exercise	RBK	CLO	22-Sep-08
34	PI	RBK	22-Sep-08	Considered appropriate to conduct Internal Gateway Review run by Tony Brumfield (BSF Project Director with 4ps training)	M	Arrange Internal Gateway with Tony Brumfield	RBK	IMP	
35	PI	DM	23-Oct-08	May be required to employ specialist agency/locums to undertake legal orders preparation because of limited in-house resources.	M	Discuss implications with NELC's Director of Law & Democratic Services	DM	EVA	
36	PI	RBK	23-Oct-08	Latest consultation with ORR and Network Rail likely to result in a review of risk and scheme cost to take account of upgrading Little London level crossing. If upgrading the level crossing is included in the scheme, the cost will have risen by more than 10% and the scheme will need to be resubmitted to the RTB, thereby creating an element of risk that the scheme would not be approved. If the scheme goes ahead based on the current scheme estimate, 50% of any increase in cost would be at the cost of the authority.	H	Decision required whether to increase cost estimate and resubmit to RTB. Raise issue to Portfolio Holder	REC	CLO	04-Nov-08
37	PI	REC	04-Nov-08	Portfolio Holder considered the risk of resubmitting the scheme to the RTB to be too high, unless there is more certainty that the level crossing will be required.	H	Ascertain the position of ORR in relation to our proposed mitigation measures. Increase contingency for risk of extra cost due to rail issues, up to the maximum RTB tolerance of 10% Get the scheme on the RTB agenda for January.	RBK	CLO	12-Dec-08