

Risk ID	Date	Vulnerability	Trigger	Consequence	Likelihood (A, B, C, D)	Impact (1, 2, 3, 4)	Rating	Risk Owner	Existing Controls / Actions to Address Risk	Effectiveness of Controls / Actions	Required further Management Action	Responsibility for Action	Critical Success Factors and Measures	Review Frequency	Key Date
1	26-Jun-13	Basis of house building programme.	Change in Government and/or Local Plan.	Reputational risk.	C	1	C1	All	Establishment of high level demand, design, and financial parameters on which to base the programme together with clear and defined outputs.	Scheme proceeds to comply with Local Plan.	Ongoing review and monitoring.	All	Scheme is completed to Local Plan.	Quarterly	xx
2	26-Jun-13	Land availability.	Land not available within required timeframe.	Scheme may not be able to go-ahead. Increase in cost(s) and delay to programme.	C	1	C1	EFDC	Initial appraisals of existing garage sites demand and opportunity for development undertaken by EFDC.	Land is available within required timeframe and budget.	Ongoing review and monitoring.	EFDC	Land is obtained to enable scheme to proceed.	Quarterly	xx
3	26-Jun-13	Funding availability.	Decrease in funding for the scheme.	Insufficient funds for scheme to proceed as intended.	C	1	C1	EFDC	Continuous monitoring of available funding from a) 1 to 1 RTB replacement, b) Section 106 contributions, c) HCA grant, d) Sale of sites, and e) Third Party funding.	Sufficient funds are available for the scheme to proceed.	Ongoing review and monitoring.	EFDC	Sufficient funds are obtained for the scheme to proceed.	Quarterly	xx
4	26-Jun-13	Financial control	Unknown or unexpected costs. Reduction in budget(s).	Insufficient funds for scheme and/or budget overspend.	B	2	B2	ETG and PLLP	Provision of robust feasibility reports with funding and construction criteria review. Change control mechanisms implemented.	Ensuring sufficient funds are available for the scheme.	Continuous monitoring of anticipated cost(s) against budget.	ETG and PLLP	Ensuring scheme is within budget.	Monthly	xx
5	26-Jun-13	Programme management - impact on programme of site specific reports not being commissioned until post planning permission.	Late and/or untimely commissioning and/or receipt of site specific reports.	Increase in cost(s) and delay to programme.	B	2	B2	PLLP	Prepare Project Executive Plan (PEP) with high level programme. Provide early feasibilities to formulate the whole of the six year programme. Undertake site specific report ahead of or as part of planning application to mitigate delays between planning consent and tender action.	Early identification to site specific risks / issues.	Ongoing review and monitoring.	PLLP	Site specific risks and issues are identified early on in the project to minimise any increase in costs and/or delay to programme.	Monthly	xx
6	26-Jun-13	Resistance from local community.		Increase in cost(s) and delay to programme.	B	2	B2	All	Engage local community. Encourage use of local labour by contractors and encourage provision of training and apprenticeships. Undertake resident consultation and formulate a publicity strategy.	Local Community are receptive to scheme.	Ongoing review and monitoring.	All	Local Community accept the completed scheme.	Monthly	xx
7	26-Jun-13	Impact on programme of party wall issues.		Increase in cost(s) and delay to programme.	A	2	A2	EFDC and ETG	Establish ownership of properties adjacent to or affected by proposed development. Ensure that party wall notices are issued promptly (possibly outside of the build contract requirements).	Early identification of any party wall issues.	Ongoing review and monitoring.	EFDC and ETG	Any party wall risks and issues are identified early on in the project to minimise any increase in costs and/or delay to programme.	Monthly	xx
8	26-Jun-13	Legal issues including rights of title, boundary ownership, easements on or over the site.		Increase in cost(s) and delay to programme.	A	1	A1	EFDC	Establish clear line of responsibility for each of the legal issues and engagement of EFDC Legal Directorate.	Early identification of legal issues and rights.	Ongoing review and monitoring.	EFDC	Any legal issues and rights are identified early on in the project to minimise any increase in costs and/or delay to programme.	Monthly	xx
9	26-Jun-13	Design parameters	Design criteria and parameters not established and/or established late.	Increase in cost(s) and delay to programme.	B	1	B1	All	Early meeting and engagement with local planning authority to establish design criteria and parameters.	Design criteria and parameters established in good time to enable programme to be met.	Ongoing review and monitoring.	All	Design criteria and parameters established within required timeframe to enable programme to be met.	Monthly	xx
10	26-Jun-13	Overlooking to/from adjoining residents.	Design affects adjoining owner's Right to Light and/or view.	Adjoining owner's Right to Light affected. Possible complaints from adjoining owners. Increase in cost(s) and delay to programme.	B	2	B2	PLLP / ETG	Consideration of appropriate screening or single storey development.	Adjoining owner's Right to Light not affected.	Ongoing review and monitoring.	PLLP / ETG	Adjoining Owner's Right to Light and/or views not adversely affected.	Monthly	xx
11	26-Jun-13	Impact of existing trees	Existing trees may affect the design and/or below ground works.	Increase in cost(s) and delay to programme.	A	1	A1	ETG	Commissioning of Arboricultural report - site specific.	Review Arboricultural report before proceeding with detailed design.	Ongoing review and monitoring.	ETG	Arboricultural report is received and reviewed prior to design.	Monthly	xx
12	26-Jun-13	Impact of ground conditions and contamination.	Ground contamination present. Ground conditions not suitable.	Increase in cost(s) and delay to programme.	A	1	A1	EFDC / ETG	Assessment of initial reports to be undertaken by EFDC to inform desktop study and commissioning of the site investigation requirements.	Review site / ground investigations report before proceeding with detailed design.	Ongoing review and monitoring.	EFDC / ETG	Site investigation report is received and reviewed prior to design.	Monthly	xx

13	26-Jun-13	Flood risk	Site may lie within / on a flood risk zone.	Increase in flood prevention measures as part of scheme. Increase in cost(s) and delay to programme.	C	1	C1	PLLP	Consider advice of local planning authority and Environment Agency.	Advice from planning authority and Environment Agency taken on-board and reviewed.	Ongoing review and monitoring.	PLLP	Scheme is completed to minimise any potential effects of flooding (within acceptable limits).	Quarterly	xx
14	26-Jun-13	Accurate design at planning application stage	Unknown topography of existing site.	Scheme not designed to accommodate existing topography.	B	2	B2	EFDC / ETG	Commission topographical surveys.	Existing topography is established early and in good time.	Ongoing review and monitoring.	EFDC / ETG	Scheme is designed to take into account existing topography where appropriate.	Monthly	xx
15	26-Jun-13	Transport / traffic / parking assessment	Transport / traffic / parking assessments not undertaken.	Planning application cannot be submitted without transport statements. Delay in programme.	A	2	A2	EFDC / ETG	Commission transport statements to support planning application.	Transport Statement is able to be prepared and submitted with planning application.	Ongoing review and monitoring.	EFDC / ETG	Planning application submitted with suitable transport statement.	Monthly	xx
16	26-Jun-13	Clarity of design parameters	Unclear and/or non-existent design parameters.	Scheme not designed to meet Employer's Requirements.	C	1	C1	ETG / PLLP	Establish consistent set of Employer's Requirements - reference to East Thames Group Design Guidance and requirements of the Essex Design Guide.	Clear design parameters are established early on in the project.	Ongoing review and monitoring.	ETG / PLLP	Design able to proceed with clear design parameters in place.	Monthly	xx
17	26-Jun-13	Inexperienced contractor design team		Contractor design team not able to fulfil their duties and meet the Employer's Requirements.	C	1	C1	PLLP	Include a requirement for the contractor's design team to be clarified at tender stage of each project / phase.	Clarification of the contractor's design team at tender stage.	Ongoing review and monitoring.	PLLP	Contractor's Design Team is able to produce a design that is compliant with the Employer's Requirements.	Quarterly	xx
18	26-Jun-13	Financial control	Unknown or unexpected costs.	Insufficient funds for scheme and/or budget overspend.	A	1	A1	PLLP / ETG	Undertake financial gateway review at each stage of feasibility / design / procurement / construction.	Ensuring sufficient funds are available for the scheme.	Continuous monitoring of anticipated cost(s) against budget.	PLLP / ETG	Ensuring scheme is within budget.	Monthly	xx
19	26-Jun-13	Effect on design of site risks	Unknown or unexpected site risks.	Increase in cost(s) and delay to programme.	A	1	A1	PLLP	Commission surveys early.	Site risks established early.	Ongoing review and monitoring.	PLLP	Site risks identified can be eliminated or minimised.	Monthly	xx
20	26-Jun-13	Loss of control of design through Design & Build procurement	Poorly defined Employer's Requirements.	Increase in cost(s) and delay to programme.	C	2	C2	PLLP	Develop robust set of Employer's Requirements that control design to meet Client's brief.	Employer's Requirements are clearly defined.	Ongoing review and monitoring.	PLLP	Employer's Requirements are fulfilled.	Quarterly	xx
21	26-Jun-13	Poor durability of materials	Materials do not perform as expected.	Increase in future maintenance and life cycle costs.	C	2	C2	PLLP	Using basis of East Thames Group Design Guidance, complement with cost and use exercises where required.	Acceptable results from Cost and Use exercises undertaken (where required)	Ongoing review and monitoring.	PLLP	Future maintenance and life cycle costs are minimised.	Quarterly	xx
22	26-Jun-13	Design liability provided to end user	Collateral warranties with sufficient cover not in place.	End user liable for design as a result of actions / inactions by the design team.	C	2	C2	PLLP	Ensure that collateral warranties are required from the contractor's design team to end user clients and establish level of professional indemnity insurance.	Collateral warranties obtained from contractor's design team.	Ongoing review and monitoring.	PLLP	End user is not responsible for any design liability.	Quarterly	xx
23	26-Jun-13	Ensure that sustainability criteria supports effective capital cost versus cost in use analysis	Sustainability criteria does not support capital cost versus cost in use analysis.	Scheme is not sustainable and may not achieve relevant compliance.	C	2	C2	PLLP / EFDC	Ensure that Employer's Requirements require the contractor to consider a fabric first approach to thermal performance with bolt-on technologies minimised. Code for Sustainable Homes pre-assessment commissioned early.	Fabric first approach undertaken by contractor.	Ongoing review and monitoring.	PLLP / EFDC	Sustainability criteria achieved.	Quarterly	xx
24	26-Jun-13	Compliance with public procurement regulation	Procurement process etc. not followed.	Procurement process may need to be halted / aborted / repeated / extended.	C	2	C2	ETG	Proposed use of East Thames Group contractor framework - OJEU compliant and ensure processes are consistent with EFDC standing orders. ETG to advise on framework renewal dates.	East Thames Group Contractor Framework used and implemented.	Ongoing review and monitoring.	ETG	Scheme complies with all necessary procurement regulation.	Quarterly	xx
25	26-Jun-13	Contractor financial failure	Contractor may cease trading during the course of the scheme and/or not be able to finance the works.	Scheme may halted / stopped.	D	1	D1	ETG / PLLP	Updated financial references and checks to be undertaken.	Financial standing of contractor is known.	Ongoing review and monitoring.	ETG / PLLP	Contractor is able to finance / complete the scheme and provide all necessary resources.	Six-Monthly	xx
26	26-Jun-13	Contractor performance	Lack of KPIs / incentives for contractor to complete the scheme.	Increase in cost(s) and delay to programme.	D	1	D1	ETG / PLLP	Establish KPIs, monitor and incentivise.	Monitoring of contractor's performance against KPIs can take place.	Ongoing review and monitoring.	ETG / PLLP	Contractor's performance meets or exceeds KPIs.	Six-Monthly	xx
27	26-Jun-13	Financial control	Unknown or unexpected costs.	Insufficient funds for scheme and/or budget overspend.	C	1	C1		Implement Change Control mechanism - ensure the effects of any changes / variations are known to the team ahead of instruction. Agree levels of retention and insurance. Agree wording for performance bond / parent company guarantee provision.	Ensuring sufficient funds are available for the scheme.	Continuous monitoring of anticipated cost(s) against budget.		Ensuring scheme is within budget.	Quarterly	xx
28	01-Apr-14	Japanese Knotweed (Marden Close & Faversham Hall Site)	Is found to be present on site	Scheme may not be able to proceed as planned and/or need to be amended to accommodate the presence of Japanese Knotweed.	A	1	A1	EFDC	Survey has been undertaken and has confirmed that Japanese Knotweed is present on the subject site and adjoining sites.	Procedure for eradication / control to be submitted to and approved by the Local Planning Authority.	EFDC procuring legal advice with regard to the extent of works to eradicate / control the Knotweed to the adjoining sites.	EFDC / Contractor	Japanese Knotweed can be removed / contained / managed safely.	Monthly	xx
29	01-Apr-14	Ground contamination (Red Cross Hall Site)	Presence of contaminants in / on the ground.	Scheme may not be able to proceed as planned and/or need to be amended to accommodate existing ground conditions / contaminants.	A	2	A2	PLLP	EFDC have highlighted potential contamination issues with use of domestic garages and a former horticultural nursery. Bore holes and soil investigations have been undertaken. Information issued as part of ERs. Concern ALSO expressed by Environment Agency.	Soil Investigation Report to be issued as part of ERs. Procedure for eradication / control to be submitted to and approved by the Local Planning Authority.	Ongoing review and monitor.	Contractor	Existing contaminants are removed / managed safely.	Monthly	xx
30	04-Aug-14	Closing off existing footpaths necessary to facilitate the works.	Existing Rights of Way etc. affected. Objections from residents.	Unknown route for pedestrians and/or persons not connected with these works. Objections from residents.	B	2	B2	PLLP	Principal Contractor to undertake risk assessment and implement a safe system of work. Item included in ERs. Principal Contractor to apply for relevant permits and submit applications / notices etc. in good time.	Footpaths can be closed off / rerouted in good time with minimal inconvenience to local community.	Ongoing review and monitor.	Contractor	Works can proceed safely and access for residents maintained.	Monthly	xx