

# Risk Management Schedule (Programme wide)

**Project:** East Thames Group/Epping Forest DC  
Housing Development Programme Phase 1

**Date:** June 2013

**Revision:** A

## Parties:

PLL - Pellings LLP  
ETG – East Thames Group  
EFDC – Epping Forest District Council  
C – Contractor

Key:

Risk  
outstanding

Risk reduced or  
controlled

Risk removed

Risk ID No	Date Identified and by whom	Brief Description	Time/ Cost/ Quality	Probability			Impact			Agreed action with target resolution dates	Risk allocated to	Risk resolved (Date)
				High	Med	Low	High	Med	Low			
PROGRAMME MANAGEMENT												
1.	PLL P – 26 June 2013	Basis of house building programme.  Reputational risk	All			✓	✓			Establishment of high level demand, design and financial parameters on which to base the programme together with clear and defined outputs	All	
2.	PLL P – 26 June 2013	Land availability	T			✓	✓			Initial appraisals of existing garage sites demand and opportunity for development undertaken by EFDC.	EFDC	
3.	PLL P – 26 June 2013	Funding availability	C			✓	✓			Continuous monitoring of available funding from:  • 1 to 1 RTB replacement • Section 106 contributions • HCA grant • Sale of sites • Third party funding	EFDC	
4.	PLL P – 26 June 2013	Financial control	C			✓		✓		Provision of robust feasibility reports with funding and construction criteria review. Change control mechanisms implemented.	ETG PLL P	
5.	PLL P – 26 June 2013	Programme management – impact on programme of site specific reports not being commissioned until post planning permission.	T			✓		✓		Prepare project execution plan with high level programme. Provide early feasibilities to formulate the whole of the six year programme.	PLL P  ETG	

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				High	Med	Low	High	Med	Low			
										Undertake site specific report ahead of or as part of planning application to mitigate delays between planning consent and tender action.		
6.	PLL – 26 June 2013	Resistance from local community.	T/C			✓		✓		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.	ALL	
7.	PLL – 26 June 2013	Impact on programme of party wall issues.	T/C			✓		✓		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).	EFDC  EFDC/ETG	
8.	PLL – 26 June 2013	Legal issues including rights of title, boundary ownership, easements on or over the site.	T/C			✓	✓			Establish clear line of responsibility for each of the legal issues and engagement of EFDC Legal Directorate.	EFDC	
<b>PLANNING RISK</b>												
9.	PLL – 26 June 2013	Design parameters	ALL			✓	✓			Early meeting and engagement with local planning authority to establish design criteria and parameters.	ALL	
10.	PLL – 26 June 2013	Overlooking to/from adjoining residents.				✓		✓		Consideration of appropriate screening or single storey development.	PLL/ETG	
11.	PLL – 26 June 2013	Impact of existing trees								Commissioning of arboricultural report s– site specific.	ETG	
12.	PLL – 26 June 2013	Impact of ground conditions and contamination				✓	✓			Assessment of initial reports undertaken by EFDC to inform desk top study and commissioning of site investigation requirements.	EFDC/ETG	

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13.	PLL – 26 June 2013	Flood risk	T/C			✓	✓			Consider advice of local planning authority and Environment Agency.	PLL	
14.	PLL – 26 June 2013	Accurate design at planning application stage	T/C			✓		✓		Commission topographical surveys.	EFDC/ETG	
15.	PLL – 26 June 2013	Transport/traffic/parking assessment	T/C			✓		✓		Commission transport statements to support planning application.	EFDC/ETG	
<b>DESIGN</b>												
16.	PLL – 26 June 2013	Clarity of design parameters.	C/Q			✓	✓			Establish consistent set of Employer's Requirements – reference to East Thames Group Design Guidance and requirement and Essex Design Guide.	ETG/PLL	
17.	PLL – 26 June 2013	Inexperienced contractor design team.	T/Q			✓	✓			Include a requirement for the contractor's design team to be clarified at tender stage of each project/phase.	PLL	
18.	PLL – 26 June 2013	Financial control	C			✓	✓			Undertake financial gateway review at each stage of feasibility/design/procurement/ construction.	PLL/ETG	
19.	PLL – 26 June 2013	Effect on design of site risks	T/C			✓	✓			Commission surveys early.	EFDC/ETG	
20.	PLL – 26 June 2013	Loss of control of design through Design and Build procurement	Q			✓		✓		Develop robust set of Employer's Requirements that control design to meet clients brief.	PLL	
21.	PLL – 26 June 2013	Poor durability of materials	Q			✓		✓		Using basis of East Thames' Group Design Guidance, complement with cost and use exercises where required.	PLL	

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22.	PLL – 26 June 2013	Design liability provided to end user	C			✓		✓		Ensure that collateral warranties are required from the contractors design team to end user clients and establish level of professional indemnity insurance.	PLL	
23.	PLL – 26 June 2013	Ensure that sustainability criteria supports affective capital cost versus cost in use analysis	C			✓		✓		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-assessments commissioned early.	PLL/EFDC	
<b>PROCUREMENT AND CONSTRUCTION</b>												
24.	PLL – 26 June 2013	Compliance with public procurement regulation	T			✓		✓		Proposed use of East Thames Group contractor framework – OJEU compliant and ensure processes are consistent with EFDC standing orders. ETG to advise of framework renewal dates!	ETG	
25.	PLL – 26 June 2013	Contractor financial failure	T/C			✓	✓			Updated financial references and checks to be undertaken.	ETG/PLL	
26.	PLL – 26 June 2013	Contractor performance	ALL			✓	✓			Establish KPI's, monitor and incentivise.	ETG/PLL	
27.	PLL – 26 June 2013	Financial control	C			✓	✓			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.	PLL  ETG	
28.	PLL – 26 June 2013	Quality of construction	Q			✓	✓			Use of proven and experienced contractor – ensure sample areas of workmanship are requested within the Employer's Requirements and implemented on site.	PLL	

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29.	PLL – 26 June 2013	Loss of contractor control on multi site project	ALL			✓	✓			Use of proven and experienced contractors from ETG framework.	ETG	
30.	PLL – 26 June 2013	Ensure contractor understands the requirements of the tendered scheme	ALL			✓		✓		Consider interviewing contractors at tender stage.	ALL	
31.	PLL – 26 June 2013	Delay to construction	T			✓		✓		Establish sensible overall programmes for contractor delivery at outset. Levels of damages to be established.	PLL/ETG	