



Date Added	ID	Risk Category	Risk Description	raw			Existing Controls	residual			4 Ts	Relevant Actions	Ownership	Potential Cost	Likely Cost
				Likelihood	Impact	Score		Likelihood	Impact	Score					
05Oct07	69	Promoter	Site supervision inadequate for the major construction contracts.	9	4	36	tie to provide CEC with their proposals for site supervision	9	4	36	Treat	To be determined	Andrew Holmes	£5,000,000	£4,500,000
24Jan07	8	Finance.	Council unable to provide full £45m contribution. Due to factors such as shortfall in capital receipts/developers contributions. Changes in planning legislation or legal challenges could reduce income from Developer Contributions --- Additional funding required More capital receipts required. If Phase 1b not progressed at this stage potential reduction of £3m of developer contributions available.	8	8	64	Finance to provide financial mechanism to balance £45m. Changing DC policy to allow for contributions after tram completion. Developer Contribution Group established. Monitoring Property/Legal WG & TPB. Council's Corporate Asset Planning Group to agree policy on allocating Capital receipt to Tram to meet balancing requirement. Discreet packages of land has been identified. Draft paper being prepared regarding borrowing against future developer contributions.	4	4	16	Treat	Monthly review/reporting required for CEC contribution.	Rebecca Andrew David Cooper Steve Sladdin Bill Ness	£10,000,000	£4,000,000
08Jan07	21	Utilities. Legal. Construction.	Increases in the cost, outside budgeted risk contingency, of utility diversions due to finalisation of or changes to the scope. The MUDFA contract is a re-measurement contract. Potential for delay due to unforeseen physical conditions or delay in utility companies approving the design. --- Additional funding required above that identified in business case.	6	8	48	Careful management/monitoring by tie. Change request process. Closer liaison required between CEC and tie. Additional utilities found in trial area - if this is replicated throughout the route, then this may cause cost over-runs.	5	8	40	Treat	tie to provide cost projections to CEC monthly to allow monitoring.	Tom Clark	£3,000,000	£1,500,000
05Oct07	68	Finance	Rateable value estimates for tram infrastructure insufficient.	7	5	35	Assessor to be contacted to determine if tram could be made exempt from paying rates when running off road.	7	5	35	Treat	Approach the Scottish Executive to make tram exempt from paying Rates.	Stephen Sladdin Rebecca Andrew	£2,000,000	£1,400,000
08Jan07	23	Utilities. Programme. Construction.	Delay by utility companies in carrying out agreed utility works or design as per the programme --- Delay to MUDFA completion Consequential Delay to INFRACO	8	7	56	tie to manage through effective project management techniques and to gain ownership over project. Work packages being broken up into smaller units. Reschedule INFRACO works.	3	7	21	Treat	tie to set up regular meetings with utility companies.	Tom Clark	£3,000,000	£900,000
08Jan07	10	Finance. TM.	Inadequate budgets within the Business Case to cover the full cost of area wide traffic impacts, before and after tram construction. --- Delay to the promotion and implementation of the TROs. If the area wide effects are not managed correctly the public and press will criticise the scheme.	7	7	49	Identify scope and impacts utilising traffic model information. £0.5m already allocated in business plan. Likely to exceed this amount. tie suggest a figure of £2m will be required for overall traffic management.	4	6	24	Tolerate		Alan Bowen	£2,000,000	£800,000
04Oct07	49	Finance	Developments in North Edinburgh not going ahead as expected.	1	10	10	Forth Ports Planning Applications	2	10	20	Tolerate	Investigate early contributions with Forth Ports - come to agreement to receive contributions sooner. Currently £18m estimated contribution from Forth Ports £3.6m		£3,600,000	£720,000
04Oct07	57	MUDFA	MUDFA design issue delays produces bad productivity, delays and additional costs.	7	8	56	Better inter-team working. Additional resources. Pressure Scottish Water and BT for responses. Quality issues addressed.	5	8	40	Treat	Tom Aitchison to be involved in discussions with Statutory Undertakers?	Tom Aitchison	£1,000,000	£500,000
04Oct07	60	Property	Delay in assembling land	8	3	24	Manage GVD programme	7	2	14	Treat	Work to programme.		£500,000	£350,000

Date Added	ID	Risk Category	Risk Description	Likelihood	Impact	Score	Existing Controls	Likelihood	Impact	Score	4 Ts	Relevant Actions	Ownership	Potential Cost	Likely Cost
14Feb07	9	Management.	Council delays or fails to make decisions. --- Delay to programme. Increased Costs. Potential for abortive works.	3	10	30	Ensure necessary information available to make decisions. Decision making process and delegated powers within CEC require further clarification.	2	8	16	Tolerate		Andrew Holmes	£1,000,000	£200,000
04Oct07	55	MUDFA	MUDFA programme overrun impacts INFRACO resulting in delay and/or additional cost.	7	8	56	Monitoring performance and output against programme.	5	8	40	Tolerate	tie to present improved progress monitoring papers at sub-board meetings	Andrew Holmes	£200,000	£100,000
04Oct07	46	Finance	Incorrect business case assumptions on lack of patronage leading to reduced revenue.	8	10	80	Park & Ride. Bus/Tram integration strategy Local Plan - no real control	5	5	25	Treat	Independent review?	Andrew Holmes	£200,000	£100,000
04Oct07	58	MUDFA	Archaeological find delays MUDFA/INFRACO programmes	3	5	15	Archaeologist appointed to supervise works and respond as necessary. Reprogramme works if required.	2	5	10	Treat	Areas of interest already known and watching brief agreed.	Andrew Holmes	£500,000	£100,000
08Jan07	7	TM.	Excessive delays and disruption to traffic post construction --- Adverse PR/increased media costs. Additional design and construction work required.	5	5	25	CEC to review. Provision of additional funding for corrective action Modelling.	2	5	10	Treat	Budget to be identified for this.	Duncan Fraser	£300,000	£60,000
08Jan07	18	Management.	Delay due to lack of co-ordination with CEC departments. --- Delay to INFRACO Delay to MUDFA Negative public & Councillor view of project	7	7	49	Effective governance within CEC Effective management/co-ordination Support of Chief Executive	2	4	8	Tolerate	Further briefings to staff to be provided plus presentations to management team meetings, including IPG.	Andrew Holmes	£300,000	£60,000
08Jan07	1	Finance.	Funding not identified for betterment to the council resulting in a shortfall of funding or not taking advantage of opportunity costs. --- Delay to construction and additional funding required. Negative public view due to lack of continuity.	5	7	35	Determine scope of essential tram works and desirable additional works. CEC may need to provide additional funding for areas of betterment. £2m funding being considered by Sfc. To explore other sources of funding.	4	7	28	Treat	Agree with Sfc actual funding arrangements	Duncan Fraser	£100,000	£40,000
08Jan07	12	Design.	Design not ready for formal submission to CEC for Statutory Approvals. --- Delay to MUDFA Delay to INFRACO Additional internal resources required	9	8	72	Closer liaison with tie with CEC taking part in their document review process. Programme has now been supplied. Critical Issues meeting set up with tie and CEC to address ongoing issues. Monitoring submission against programme.	4	7	28	Treat	CEC to consider if additional resources are required.	Duncan Fraser	£100,000	£40,000
08Jan07	13	Design. Management.	Quality of submissions not fit for purpose, as set out in the various protocols, delaying the approval processes. --- Delay to approval process Additional resources required Substantial additional costs required	5	4	20	Closer liaison with tie with CEC taking part in their document review process. Progress has been made to improve the quality of the submissions.	4	4	16	Tolerate		Duncan Fraser	£100,000	£40,000
04Oct07	61	Property	Challenge to GVD process	2	7	14	Parliamentary powers in place.	2	2	4	Treat	Negotiate.	Colin MacKenzie	£200,000	£40,000
08Jan07	29	Comms. TM.	Adverse PR caused by delays to public transport or the travelling public during the course of the works. tie's comms team downsized. Concern over integration with CEC comms team. --- Adverse PR/increased media costs.	8	6	48	More effective engagement with media.	4	5	20	Tolerate		Wendy Bailey	£80,000	£32,000
08Jan07	14	###	Statutory consent cannot be granted due to difference of opinion between tie and CEC on design related matters. --- Delay to programme	5	6	30	Design must be fit for purpose as directed by statutory body (CEC). Closer liaison between tie and CEC required. Critical issues meeting between tie and CEC ongoing to resolve issues. Design review at critical issues meeting addressing issues as they arise.	3	6	18	Tolerate		Andrew Holmes	£100,000	£30,000
08Jan07	28	Comms. Construction.	Delay to construction works caused by objection to abnormal working hours by public. --- Delay to INFRACO & MUDFA	4	6	24	CoCP highlights planned works which includes a comprehensive communication strategy. Legal requirements exist which restricts out of hours working.	3	4	12	Tolerate		Sandy Wallace	£100,000	£30,000
08Jan07	32	Comms.	Adverse PR caused by lack of adequate information on construction works and consequential impacts to public and local members --- Adverse PR possible increased media costs.	6	4	24	Provided an effective communication strategy and adequate provision of support to members in addressing concerns of their constituents.	4	4	16	Tolerate		Leanne Maberley Wendy Bailey	£30,000	£12,000

Date Added	ID	Risk Category	Risk Description	Likelihood	Impact	Score	Existing Controls	Likelihood	Impact	Score	4 Ts	Relevant Actions	Ownership	Potential Cost	Likely Cost
08Jan07	15	Design. Programme.	Inadequate time to consider approvals to meet tie's programme. --- Delay to approval process Additional resources may be required Substantial additional costs required	8	8	64	Programme has been provided by tie which has prior approvals being delayed by 5 months. Additional managerial support now being provided by Planning. Discussions are ongoing with tie/SDS to have a Prior Approvals manager. Negotiations with tie.	2	7	14	Tolerate		Ian Spence Linda Nicol	£60,000	£12,000
08Jan07	19	TM. Management.	Lack of co-ordination on the road network with respect to SFC works --- Delay to MUDFA Delay to INFRACO	5	5	25	Traffic Management Co-ordination Group - chaired by tie Internal CEC co-ordination also required Weekly meetings have been set up with SFC.	4	4	16	Tolerate		Sandy Wallace	£25,000	£10,000
08Jan07	22	Utilities. Programme. Construction.	Risk of delay from utility providers due to necessary planned and emergency works --- Delay to Programme	6	6	36	tie to manage through effective project management techniques and to gain ownership over project. Reschedule works, if required. CEC GIS system being developed for coordination purposes. SFC co-ordinating other works and occupations on the road network.	3	6	18	Tolerate	Check tie's risk assessment to determine if this has been taken into account.	Sandy Wallace	£30,000	£9,000
27Aug07	45	Finance. Design.	Pressure to reduce capital costs through Value Engineering could lead to increased maintenance or running costs. --- Reduction in revenue income. Increased ongoing maintenance & costs.	7	4	28	Value Engineering process to consider future impacts of cost savings on quality. CEC to have input to meetings	5	4	20	Tolerate		Duncan Fraser	£10,000	£5,000
04Oct07	48	Finance	INFRACO Contractor going bust.	3	10	30	Background Checks, Submission of Financial Info, Bonds	1	10	10	Tolerate	Alternative Contractor included in QRA - The potential cost of which looks low even considering it being unlikely.		£42,000	£4,200
17Jul07	42	Political. Design.	Delay due to Scottish Executive approvals required for non standard traffic signs. --- Could lead to changes to roads design which would impact model. Increase in costs. Delay to programme.	3	5	15	Programme Scottish Executive requirements into project and allow lead in time.	3	3	9	Tolerate		Alan Bowen	£10,000	£3,000
15May07	38	Legal.	Delays caused by constraints from the Network Rail Side Agreement. --- Delay to MUDFA works. Delay to INFRACO works.	9	9	81	Transport Scotland are engaging with NR regarding clauses within the lease. Willie Gallagher to meet with Network Rail. Legal affairs committee set-up to review issues.	5	9	45	Tolerate		Colin MacKenzie	£0	£0
08Jan07	4	Design.	Failure to form a demarcation agreement. --- Increased liability to CEC. Lack of clarity between CEC, TEL and TransDev, required for INFRACO contract.	8	8	64	CEC to engage with TEL & TransDev to agree as many demarcations as possible. First time in use. Draft Road Demarcation Agreement being consulted on internally.	4	8	32	Treat	Setup a working group to finalise the RDA. Cost already covered in ties risk allowance.	Alan Bowen Sandy Wallace Tom Clark Alan Squair	£0	£0
27Aug07	43	Legal. Utilities.	Delay in signing side agreements for Scottish Power / Telewest --- Delay to start of MUDFA works.	7	7	49	Council Solicitor to pursue for prompt resolution.	4	7	28	Tolerate		Colin MacKenzie	£0	£0
04Oct07	52	MUDFA	Discovery of unknown services resulting in major redesign and additional workscope.	7	4	28	Ground penetrating radar. Trial holes. Existing utility drawings.	5	4	20	Tolerate	Check that this is covered within tie's risk assessment.		£0	£0
08Jan07	11	Design. Finance.	Inadequate budget to cover the necessary or desirable quality of structural elements to achieve an International Quality Design. May have been underestimated within the business case. --- Delay to INFRACO design process. May require additional funding due to delay & increased construction costs. Delay to prior approval submission.	4	7	28	Review the design with SDS and tie to achieve a suitable design. Review budget for tram to identify if costs are an issue. Agreement reached in principle from Planning for the majority of the structures.	4	6	24	Tolerate		Ian Spence	£0	£0
08Jan07	26	MUDFA. Programme. Construction.	Delay of MUDFA adversely impacting on INFRACO delivery --- Delay to INFRACO	9	9	81	Tie to manage through effective project management techniques and to gain ownership over project. Reschedule INFRACO works if required.	4	6	24	Tolerate		Andrew Holmes	£0	£0
01Mar07	37	Comms. Construction.	Adverse PR caused by lack of understanding of frontager requirements during construction works --- Adverse PR and possible increase in MUDFA works costs. Delay to works while issues are resolved.	7	7	49	Provide effective comms strategy along with survey/meetings with frontages. Further frontager survey required. Tram packs issued & tram helpers on site at works. Monitoring press coverage and correspondence.	4	6	24	Tolerate		Tom Clark Wendy Bailey	£0	£0

Date Added	ID	Risk Category	Risk Description	Likelihood	Impact	Score	Existing Controls	Likelihood	Impact	Score	4 Ts	Relevant Actions	Ownership	Potential Cost	Likely Cost
08Jan07	2	Finance. Legal.	Increase in costs over contract cap levels. --- Additional funding may be required Need to reduce scope of works.	5	6	30	Identify scope of works with the INFRACO works and compare to emerging design. Review INFRACO tender costs. Tie to monitor / manage budget to stay within caps.	4	5	20	Treat	Check tie's budget for this risk allowance.	Alan Bowen	£0	£0
15May07	39	Legal.	Delays caused by constraints from the BAA Side Agreement. --- Delay to MUDFA works. Delay to INFRACO works.	5	8	40	EARL no longer going ahead. Side agreement now agreed in principle with BAA.	4	5	20	Tolerate		Colin MacKenzie	£0	£0
04Oct07	53	MUDFA	Existing utility diversion design cannot be accommodated in existing road space.	8	5	40	Trial holes.	4	5	20	Tolerate	Check that this is covered within tie's risk assessment.		£0	£0
08Jan07	3	TRO. Political. Comms.	Risk of delays due to the Public hearing process for TROs with potential for large number of objectors. Delay in final design holding up promoting TROs. Potential legal challenge due to TROs mirroring TTROs. Members may support objections to traffic management proposals. --- Delay to INFRACO completion. Increase in costs.	9	8	72	Tie/DW to re-programme/re-resource to meet set timescales. QC advises on road works can progress without TRO subject to approval from Council Solicitor. This would allow progression of TRO in parallel with INFRACO works. Scottish Executive are consulting on a change in secondary legislation to remove the need for a mandatory hearing.	3	8	24	Treat	Check tie's budget to ensure hearing costs are suitable/adequate.	Duncan Fraser	£0	£0
08Jan07	33	Utilities. Construction.	Not fit for purpose reinstatements by AMIS requiring remedial works. --- Delay to MUDFA completion Consequential Delay to INFRACO Disruption to general traffic	4	8	32	Performance based design. Construction and testing period to be adopted by contractor. Trial area undertaken by AMIS - a report on the success is awaited from tie.	3	8	24	Treat	Review of specification required to ensure suitability. Check to determine if Professional Indemnity covers this.	Sandy Wallace Duncan Fraser	£0	£0
04Oct07	51	MUDFA	Severe damage to existing services. i.e. loss of power, flooding, explosion etc. Reputation.	6	8	48	Ground penetrating radar. Trial holes. Existing utility drawings.	3	8	24	Transfer	Transferred to AMIS		£0	£0
08Jan07	31	Finance. PubRealm.	Lack of funding for part of the public realm works resulting in not providing a European quality tram --- Loss of support from politicians and the public and the design criticised. Negative public view due to lack of continuity. Potential loss of tram revenue.	6	4	24	Urban Designers now appointed to work with SDS and investigate wider area public realm and identify essential works to be undertaken by making bids for additional funding from Scottish Executive Capital Growth Fund.	4	4	16	Tolerate		Ian Spence	£0	£0
08Jan07	24	Comms.	Correspondence dealt with to CEC's timescales --- Adverse PR possible increased media costs, plus increase CEC staff costs to assist with the process.	8	8	64	Communications strategy to be developed further to recognise the extent of this work. Procedures to be put in place by tie and Clarence by early October to deal with MUDFA related correspondence.	3	7	21	Treat	Get Clarence dealing with correspondence ASAP. Training required for staff.	Wendy Bailey	£0	£0
15May07	40	Finance. Legal.	Financial Risk to CEC being party to major contracts, where CEC are to act as guarantor. --- Liability on CEC.	5	9	45	A Council decision and a funding agreement with Transport Scotland will be required. tie operating agreement for tram also being sought. Ongoing risk assessment analysis being undertaken by DLA.	3	7	21	Tolerate	Cost covered within tie's risk allowance.	Andrew Holmes Gill Lindsay Donald McGuigan	£0	£0
08Jan07	16	TM.	Traffic modelling results not acceptable to statutory body. --- Delay to MUDFA Delay to INFRACO Delay to programme	5	9	45	Closer liaison with tie with CEC taking part in their document review process. Process is ongoing, Programme has slipped. CEC Tram Team now based at Citypoint. CEC attending tie's monthly progress meetings.	3	5	15	Tolerate	-	Duncan Fraser	£0	£0
04Oct07	56	MUDFA	Construction disruption on travelling public	6	7	42	TMRP - Control/planning. Traffic modelling as necessary. Alter signal timings etc.	3	5	15	Treat			£0	£0
08Jan07	17	Management.	Poor project governance by tie. --- Delay to programme Increased cost	6	6	36	Closer liaison with tie. CEC to take part in tie's document review process. Detailed feedback from DPD and tram project boards. tie operating agreement being prepared by Legal Services.	3	4	12	Tolerate	CEC Legal team to complete tie governance report.	Andrew Holmes Gill Lindsay Donald McGuigan	£0	£0
08Jan07	20	Finance. Management. Design.	Cost increases due to changes to the scope and design required by tie (effectively CEC) --- Delay to programme. Increased Costs	4	8	32	Manage through change request process with time and costs approved by the Tram Project Board.	2	8	16	Tolerate	Minimise changes where possible.	Andrew Holmes	£0	£0
06Jun07	41	Finance. Political.	Increased costs because of political uncertainty. --- Delay to MUDFA and INFRACO works and contracts. Increased costs (including inflation)	7	6	42	An audit has been undertaken by Audit Scotland to determine cost over-run risks. A further report on the Final Business case will be provided later this year.	2	4	8	Tolerate		Andrew Holmes	£0	£0

Date Added	ID	Risk Category	Risk Description	Likelihood	Impact	Score	Existing Controls	Likelihood	Impact	Score	4 Ts	Relevant Actions	Ownership	Potential Cost	Likely Cost
08Jan07	6	Construction. Property.	Failure for contractor to gain access to site causing delay to agreed programme. Delays to GVD Notices being issued. --- Delay to INFRACO	5	8	40	Tranches 1 - 4 complete. Tranche 5 on progress. Monitoring GVD Issuing Against project programme.	1	8	8	Tolerate	Cost covered within tie's risk allowance.	Stephen Sladdin	£0	£0
08Jan07	25		Act of God type events (contractually force majeure events) --- Additional funding required Delay to MUDFA Delay to INFRACO	1	10	10	Board to approve all additional costs.	1	8	8	Tolerate		Andrew Holmes	£0	£0
04Oct07	47	Finance	Overspend to the extent that CEC cannot afford it in excess of £545m. Need for additional borrowing.	10	10	100	Budget, Project Plan, Change Control Mechanism, Risk Registers, Procurement Strategy (Risk Transference), Contingencies	3	10	30	Treat	Robust Monitoring, Project Management, Risk Registers.			
04Oct07	54	INFRACO	TRO late delays on street Driver Training (Due to lengthy objection period)	8	7	56	Seeking change to legislation for core orders	3	7	21	Tolerate				
04Oct07	50	Finance	Change of/Current political environment resulting in project cancellation.	4	10	40	Frequent and Detailed briefing to all parties	1	10	10	Treat				
27Aug07	44	Finance. Political.	Failure to reach agreement with Transport Scotland on concessionary travel scheme for Tram. --- Reduction in revenue income.	3	5	15	Discussions continuing with Transport Scotland	3	3	9	Tolerate	Need for Transport Scotland to treat Trams and Buses equally with regard to Concessionary Travel - work being done by Neil Renilson to quantify any inequality	Max Thompson		
08Jan07	30	TM.	Changes to junction priority that are specified to achieve the stipulated run time. --- Adverse PR/increased media costs.				To be agreed with CEC						Alan Bowen		
05Oct07	62	Promoter	Costs for future stakeholder charges.												
05Oct07	63	INFRACO	Cost of programme delays if INFRACO early mobilisation not achieved by 1 November 2007.												
05Oct07	64	Promoter	Cost of recharges from TEL/CEC for future years.												
05Oct07	65	Finance	Cost of borrowing to support CEC's funding commitment.												
05Oct07	66	Promoter	Lifecycle and heavy maintenance costs following commencement of revenue services.												
05Oct07	67	Finance	Operational costs following commencement of revenue services.												
08Oct07	70		Additional/remedial works required due to issues raised at Stage 3 or 4 Roads Safety Audits				Risk Transferred to INFRACO contractor.				Transfer				
08Oct07	71		Re-use of materials.				To be negotiated with INFRACO contractor.								
08Oct07	72		Site investigation insufficient for INFRACO, unknown services and ground conditions.												