



EDINBURGH TRAM

Highlight Report to the Internal Planning Group 27 July 2007



1 Background

This report sets out the terms of reference of the tram approvals process and requires 'highlight reports' to keep the Internal Planning Group informed about progress on this project, and any decisions required.

2 Update on Major Contracts

2.1 MUDFA

- Programme

Revision 5+ of the MUDFA programme was issued by Alfred McAlpine Infrastructure Services (AMIS) on 11 June 2007. This programme shows phase 1a running from 2 July 2007 to November 2008 with Phase 1b to be carried out from August 2008 to April 2009.

The programmed start date of 2 July 2007 for works in and around Forth Ports was achieved. The section of the works on Leith Walk (northbound between Croal Place and Iona Street) are to start on the 6 August 2007. The frontages and residents have been notified of this start date and details regarding deliveries, waste disposal etc are being finalised.

At the Traffic Management meeting at AMIS offices on the 16 July 2007, *tie/SDS* said that they wanted to carry out a series of “trial holes” on the route of the tram, to confirm the position of existing utilities. It is intended that there will be 30 holes on Leith Walk, split evenly north/south. It is their intention to start this work, one week in advance (30 July 2007) of the MUDFA works. *tie/SDS* will supply a programme and location of the trial hole works shortly. It is anticipated that the work in the areas outwith Leith Walk, will be contained within the Revision 5+ programme.

There is a potential conflict with introducing additional tram works outwith the agreed MUDFA revision 5+ programme. The Council, acting as Roads Authority, has a statutory duty to co-ordinate and manage the road network, including the various occupation requirements by others. Care had already been taken to ensure no other roadworks were being undertaken on or adjacent to the tram route, however bringing forward the trial hole excavations at such a late stage could have led to public criticism whereby the local diversion routes could have been occupied by other (e.g. a public utility). Further notification to residents and frontagers on Leith Walk has had to be sent out, informing them of these additional works. The timescales for this notification do not conform to the agreed lead-in period.



The financial implications of the revised MUDFA programme are still to be confirmed by *tie*. A scoping report on the financial and contractual implications of the changes to the MUDFA contract is to be presented to the next Tram Project Board.

- **Progress**

Works at the pilot site on Ocean Drive were completed between 26 April and 4 May.

During the pilot, additional utilities were uncovered that were not identified during the original survey works. A review of the survey information is being carried out (including repeat surveys). Works on the section of Ocean Drive from the Casino to Rennie's Isle commenced on 9 July 2007.

Advanced works at Gogar Depot commenced on the 26 April 2007 and are currently ahead of programme.

CCTV surveys of the sewers on Constitution Street, Leith Walk and elsewhere in the city are underway. Some works will be undertaken overnight to avoid delay to the travelling public. The traffic management arrangements and the approvals for night working for the surveys have been agreed with the Council.

Steps have been taken to address the difficulties in obtaining consents from the statutory utility companies. The proposed diversions are being agreed with AMIS before being submitted to the Statutory Undertakers to ensure that the proposals take account of construction issues. The drawings are also being packaged in line with the programme and cover smaller sections of the route which should assist the Statutory Undertakers.

- **Temporary Traffic Management Plans**

A procedure has been set in place whereby AMIS' proposals will be reviewed on site by *tie*, CEC, Lothian Buses (who represent all bus companies) and the Police. The arrangements will be agreed and signed-off by all parties and AMIS will then finalise the drawings accordingly.

It should be noted that the residents and businesses will receive post cards in their communications packs which they can use to submit information on their specific requirements e.g. access, loading, deliveries etc. This information will be taken into account before works commence.

Introducing the temporary traffic management may have an impact on the Council's staff resources. City Development's Traffic Signal engineers will be required to alter traffic signal settings away from the tram route. These engineers have already been reacting and dealing with these requests as they arise, however, given the likely workload involved it may be necessary to either prioritise their workload or obtain additional resources.



- **Communications**

A series of meetings took place between the 18th and 28th June 2007, some specifically aimed at frontages/residents and others at the wider communities, covering the route from Ocean Drive to Haymarket. Local Councillors have also been briefed with regard to the works within the Leith Walk and Newhaven Wards.

- **Archaeology**

AMIS are continuing to develop an archaeological plan in conjunction with *tie* and the Council which sets out the sites where the works will require to be overseen by an archaeologist, and what steps will have to be taken in the event that the works uncover features of archaeological interest. An archaeologist has been appointed for the section of works on Ocean Drive.

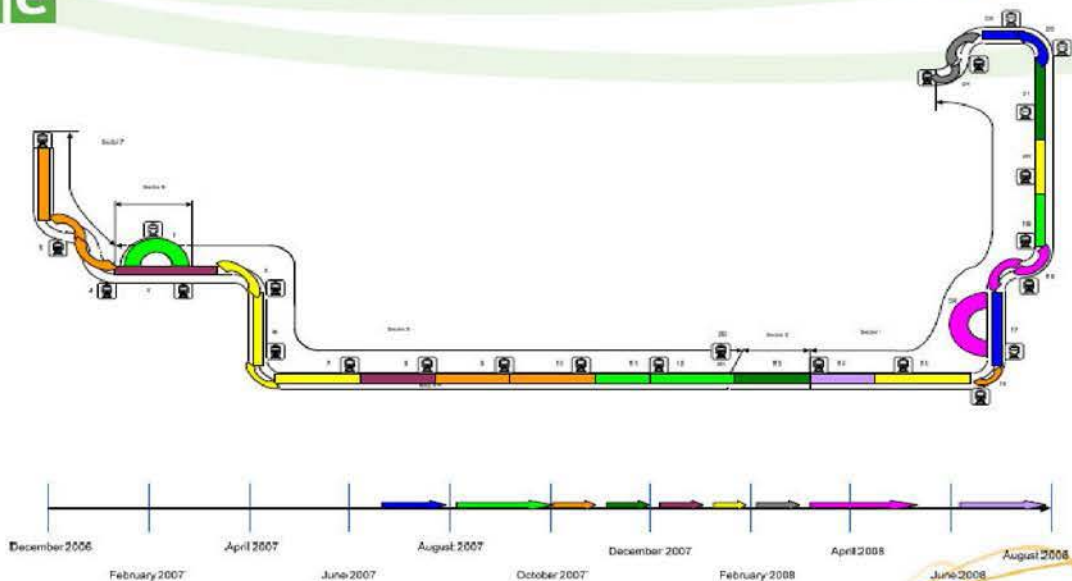
- **Betterment**

Discussions are ongoing regarding reinstatement betterment.

tie are yet to provide the Council with the scope of the Mudfa and Infraco works, so that betterment options can be evaluated. A very rough estimate indicates that that the reinstatement of whole footways along the tram path would be in the order of £7M.



Programme MUDFA Programme Summary



2.2 TRAMCO

The negotiations and assessments of the two remaining Tramco (tram vehicle contract) bids are ongoing with a view to choosing the preferred bidder. *tie* have recommended that a report on this will be presented to the Tram Project Board on 5 September 2007.

A selection of the visualisations is shown below.



2.3 INFRACO

The Infraco Stage 2 consolidated bids were submitted on schedule on the 8 May 2007. A review of the documents is underway with evaluation and negotiations ongoing. It is planned to nominate preferred bidders for INFRACO and TRAMCO to the Council meeting on 13 November 2007, with a view to awarding the contracts in January 2008.

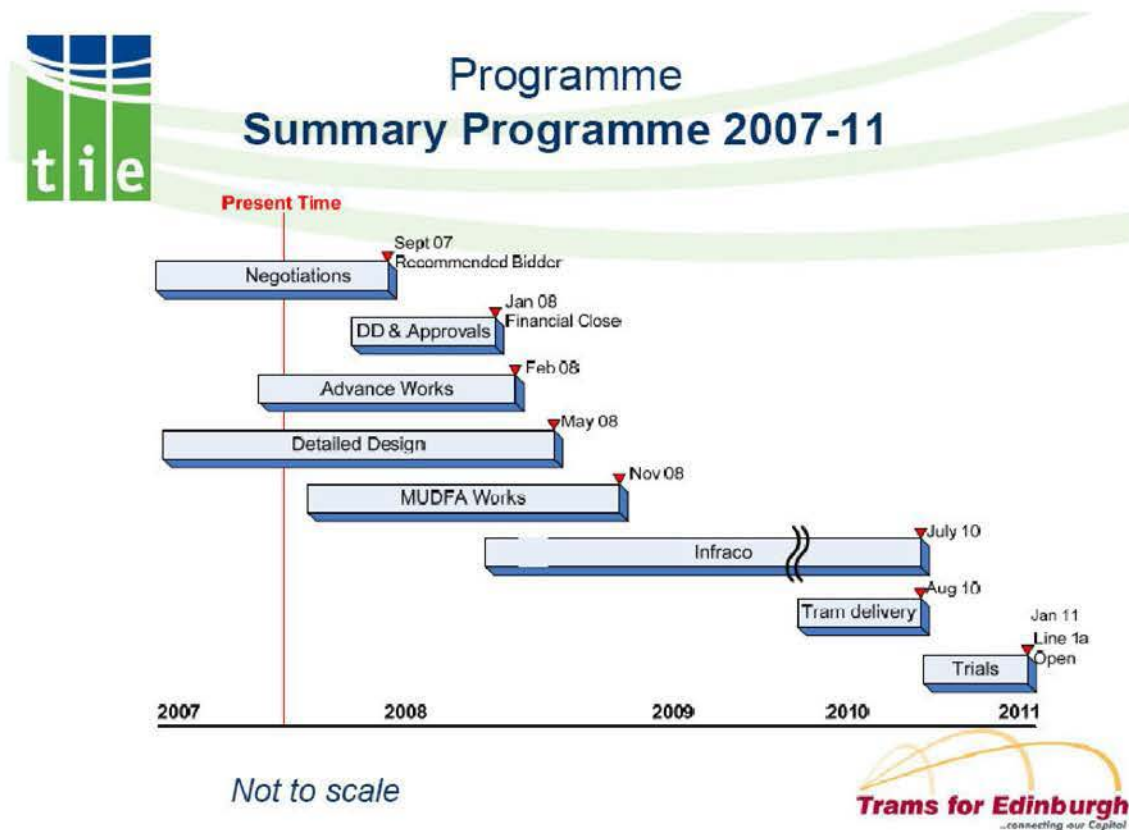
A list of Tram Stop names has been compiled and approved by the Tram Project Board on 12 July 2007 (see appendix 1). It is proposed that the list of Tram Stop names also be presented to the Council, when the next tram report is presented later this year.

Critically, CEC and *tie* will need to determine how the wider area traffic management measures will be dealt with and financed. This is particularly relevant now that the Council is 'Funder of Last Resort' and is now responsible for any overspend within the tram project. *tie* have allowed £500K for this within the business case, however it is very likely that this funding will be insufficient. It is also worth noting that these measures are not currently part of the design contract.



tie are undertaking a value engineering exercise, especially for structures, to determine where cost savings could be made and are preparing a report which will be presented to the Tram Project Board. Whilst this is an important exercise, it will be necessary to balance any cost cutting against system quality, future operating costs and the necessary statutory approvals.

The design development of the Picardy Place area is causing delays to the tram project. tie and their designers are having difficulty applying all the relevant, and sometimes conflicting Council policies to the design development of that area. There is simply too many competing interests for the same space, and it is becoming apparent that clear collective guidance is required by the Council to allow the design to progress. To date, three separate design iterations have been developed, each one having different flaws which either do not comply with Council policy or aspirations, either from a Planning or Transport perspective. A further mini 'Charette' has been organised to assist with this process.



3 Tram Communication Plan Update

3.1 CEC and *tie* communication strategies

The *tie* communication team has recently gone through a re-structure which has seen several redundancies particularly in relation to staff that had a promotional and marketing remit. At present, CEC comms are waiting to meet with the remaining *tie* communication staff to plan the communications for the foreseeable future. Once CEC comms have met and discussed the combined tram communication strategy, work can begin on defining CEC's involvement within that. Until this meeting has taken place CEC comms are primarily focussing on Councillor and staff communications.

Media Announcements

The City of Edinburgh Council has released two pro-active tram media statements in the last month. These have been in response to the positive Audit Scotland report and the Scottish Parliament decision to proceed with trams.

In addition to this there was positive media coverage over the start of the works at Ocean Drive. The key message which was addressed during this was that Edinburgh has, uniquely, organised a multi utility diversion programme thus working in partnership with several utility providers to minimise the potential disruption.

Communications Cycle – Start of Works

Utility diversion work has begun at Ocean Drive. Prior to the work commencing information packs were delivered by the tram helper to all residents and businesses in the vicinity. The information cycle for the next stage on Leith Walk has already commenced with information packs being sent out four weeks in advance. In addition to the packs, frontagers will be visited shortly in person. Ward Councillors have also been given briefings on the works in their areas, more are also scheduled.

Councillor Communications

A written councillor briefing on the Scottish Parliament decision was issued to all Councillors at the last Council meeting on the 28th of June. This briefing outlined the decision as well as highlighted some key benefits to trams and listed the key organisations involved.

A full council briefing/presentation on trams is being organised for the week beginning 13 August 2007. Separate ward and transport Councillor briefings will also be planned shortly.



Council Tram Correspondence and Phone Calls

The contact centre is currently in discussion with parties within *tie* and CEC comms to pull together a final operational report. It is planned that a dedicated tram team within the contact centre will be ready within the next few weeks in line with the start of the scheduled Mudfa works on Leith Walk.

3.2 Other Communications

- Tram information was available at the 'Try a bus' day event at Ocean Terminal on 19 June. This event was for those with mobility difficulties.
- A tram information stand was present during the first staff fair at Waverley Court on the 28 of June. This was deemed successful and was a good medium to reach a large amount of staff. General interest in the tram seemed really positive and this exercise should be repeated.
- The last issue of Edinburgh Outlook contained a two page tram article which highlighted the support for trams.
- Tram articles will also be appearing in the forthcoming City News and Capital Review publications out within the next month.
- Council intranet and website tram pages have been updated. The website now has a mini tram site which the intranet links in to.

4 Co-ordination with Other Developments

4.1 Capital Streets project in St Andrew Square

As previously reported, a programme which co-ordinates the Mudfa, Infraco and Capital Streets works has been agreed and plans are being developed to progress the advanced works on the west side of the Square.

4.2 Forth Ports Development

A positive meeting was held with Forth Ports on 19 July 2007, where a practical solution for tram was developed that took account of proposed developments by Forth Ports. However this solution would require additional land in the vicinity of the proposed junction between Ocean Drive West and Lindsay Road. Although this land is owned by Forth Ports, it is leased to ADM Milling and a meeting will be arranged with them next week. It is not clear yet what statutory or technical approvals will be required, but to keep to the tram programme, it may be necessary to fast-track a Planning Application and a Roads Construction Consent.



4.3 Haymarket Improvements

Work is ongoing to determine the possibility of obtaining two plots of land at Haymarket to assist with improving pedestrian links at Haymarket. This is not directly related to the tram project, but it would significantly improve the pedestrian provision. Property and tenancy searches have been completed and Legal and Property Sections have prepared a report that develops this further. Once the report has been considered at management level a summary will be presented at a future meeting. It is worth noting that no funding has been identified for this at this time.

5 Miscellaneous

5.1 Side Agreements

- **Network Rail**

The dialogue between Network Rail, *tie* and Dundas & Wilson is continuing. A meeting with Network Rail took place on 27 June. It is now proposed that a “brain-storming” session should be arranged with Network Rail to discuss the terms of the lease and other related agreements. Network Rail have yet to confirm dates for this meeting. The possibility of a licence being granted to NR as an initial step to allow access to NR land for construction purposes pending finalisation of other negotiations is to be discussed with NR.

- **BAA/Edinburgh Airport Limited**

The draft lease received by Dundas & Wilson from Brodies (BAA’s solicitors) has now been revised by Dundas & Wilson and returned to Brodies. Dundas & Wilson are meeting Brodies on 24 July to discuss the terms of the lease.

5.2 Tram Operating Agreement & Contracts with Third Parties

Following concerns raised at the Property and Legal Issues Group, the Director of Finance has expressed his support for an Operating Agreement with *tie*, and some headline terms have been identified. However, the IPG should be aware that in the context of the legal relationship between the Council and *tie* only certain limited options and remedies are feasible.

With regard to Third party contractors it is clear that the Council may open itself up to significant legal and financial liabilities. It is paramount that such liabilities be assessed in detail on behalf of the Council. The Council Solicitor has requested from *tie* a list of all contracts and agreements etc. to which the Council may be a party, may be a guarantor, or otherwise exposed to a liability. The results of this request are awaited. The Council Solicitor will report further in due course.



A meeting with *tie* and their advisers took place on 30 May to discuss the available options regarding the proposed Scottish Power contract. It was agreed that a paper would be prepared setting out the Council's liability under utility agreements. This was duly received, leading to a request by the Council Solicitor to *tie* calling for clarification of outstanding insurance issues. Once this clarification is received the agreement can be signed off. Ratification of officers' authority to sign off on behalf of the Council should still be sought from elected members.

5.3 Planning Prior Approvals

The first two Prior Approval's were processed on 9th July, with informal consultation taking place on a further twenty two elements.

However, the current Prior Approvals programme remains compressed with the submission of formal applications still progressing very slowly and based upon current estimates it is likely to be late August/September before the volume of approvals start to significantly increase.

It is now proposed that many of the individual elements of the Prior Approvals programme are re-batched to form larger submissions. To assist with this process, it has been agreed that Francis Newton (from Planning) will also work, as required, at CityPoint along with the Council's core tram team. This will allow the designers to have easier access to planning guidance when the submissions are being drafted. This input has been welcomed by *tie* and their designers.

The revised programme shows a compression of the workload which has now been extended from September 2007 to March 2008. The Planning case officers are reviewing this programme and possible measures such as submission batching in order to reduce the likelihood of further delay.

5.4 Vesting & Compulsory Purchase Process

tie and Dundas & Wilson are preparing tranches 2, 3 and 4 of the GVD Notices. Tranche 2 comprises mostly the Council owned land, where title requires to be 'cleaned up'. It is anticipated that Notices for tranche 2 will be issued by the end of July. The further tranches are awaiting design input. At present, there is sufficient grant allocation from Transport Scotland to meet the financial obligations for land acquisitions and for MUDFA works, provided the latter remains within projected budget for the current grant period.



5.5 TROs

As noted previously, *tie* has developed a strategy and programme for promoting the Traffic Regulation Orders (TROs) which the Council Solicitor has now approved. CEC have raised concerns that the TRO programme does not align with the design programme, on which the TROs depend, and are still awaiting a response from *tie*. The Scottish Executive have recently published draft regulations which would avoid the need for a mandatory hearing where the project has already been authorised by private legislation. The Scottish Executive will be carrying out a consultation on the draft regulations. It may still, however, be appropriate for *tie* to develop a contingency programme that includes all objections in the Hearings.

5.6 Greenways

The Scottish Executive are currently consulting Lothian and Borders Police in relation to a draft Order to amend the existing Designation Order to allow the decriminalised enforcement of parking offences in Greenways. A response to that consultation has been requested by 9 August 2007.

5.7 CEC Resources

A review of the internal resources may need to be undertaken now that the Council is the 'Funder of Last Resort'. The current approvals team will need to be developed to take on board the financial risks that the Council now bear. Guidance and direction is sought from the IPG on how best to achieve this, so that a review paper can be prepared.

Two issues continue to cause difficulties when reporting staff costs (both internally and to *tie*). The main concern is caused by managers not receipting timely on the Oracle system (and in fact the Oracle system itself). This is particularly relevant to Lighting and Network in SfC, and Planning in City Development. These delays are causing a slippage in actual spend of £60K this month.

The other issue relates to staff not submitting timely time sheets (mostly Legal and SfC). Having incomplete information makes it difficult to report actual monthly costs, both internally, and to *tie*.

- **Internal Resources**

Existing CEC staff are carrying out the statutory approvals process and the related necessary administration for the tram project. Over fifty individual internal members of staff are directly involved in the tram project at this time. A total of 2949 staff hours have been utilised since April 2007, which equates to approximately £100K, this is being borne by CEC and contained within existing budgets.



- **Additional Resources**

To assist with the approvals process additional staff have been brought in to either carry out the necessary work directly or alternatively free-up existing resources to do that work and use the extra resources to cover that shortfall. A total of 18 FTE have been employed – the total cost since April 2007 is £216K which is being contained within the tram budget costs.

5.8 Roads Demarcation Agreement

A draft Roads Demarcation Agreement has been issued by *tie* and circulated internally to relevant Council departments for comments with a view to providing a response to *tie* by the end July 2007. This version of the agreement does not yet cover the Roseburn Corridor, this is still being considered.

Typically, issues relating to tramstops, rails and OLE are the responsibility of *tie*/Infraco, any other issue are the responsibility of CEC as Roads Authority. Although this seems a simple task, this is a major workstream that will involve many Council sections and departments to co-operate to achieve a consensus on how future maintenance should be undertaken, and who should fund it. It is worth noting that no other tram system has yet been able to agree a Roads Demarcation agreement due to the complexities involved.

6 Financial Contribution & Funding Agreement between Transport Scotland & CEC

Following the Parliamentary decision to proceed with the tram project, the position on funding has changed dramatically. Although Transport Scotland will still contribute the majority of funding, the risk of cost overrun will be borne in its entirety by CEC. Over the next few weeks meetings will be arranged with Transport Scotland to develop a new funding agreement. As this agreement is critical to the Final Business Case, *tie* has offered to help facilitate these discussions. Issues that need to be resolved include confirming the exact value of the contribution (currently assumed to be £500m) and agreeing the timing of payments. It is also necessary to agree how delays (and resultant costs) caused by Transport Scotland can be minimised, as CEC will now bear these costs.

CEC is still committed to £45m of funding, the majority of which coming from developer contributions (see over). However, there is a need to find further funding to meet any cost overrun and/or to pay for phase 1b. Further work is being undertaken to confirm that the current £45m is achievable and to investigate further sources of funding.



7 Developer Contributions

The majority of the Council's financial contribution to the tram project will come from developers contributions. As the contributions are to be made over a period of time, the Council must determine how much it should borrow against future developer contributions. This will need to be a balanced approach – we cannot borrow too much and leave the Council in too much debt, and neither do we want to borrow too little and miss out on potential funding

In order to find this optimum figure, the Council will have to estimate the level of development we are likely to see in Edinburgh over the next 20 years and accordingly the amount of developer contributions. We will then need to factor in some allowance for reduced levels of contribution and/or slippage in the timing of payments. The borrowing costs (interest etc) will also need to be considered.

A number of actions are required:-

- Monitoring of developer contributions received and those that have been agreed but not received. This is on-going and is currently up to date.
- Review of the future development potential in relation to Phase 1a and Phase 1b and calculate the likely amount of contributions. This work has been undertaken although constant review is required. Further involvement with *tie* and other CEC Departments will be required. It also may be worth considering obtaining an independent review.
- Review of the Tram Developer Contribution Guideline. If the maximum amount of contribution is to be sought we will need to revise the Guideline to make it clear that it will be applied by CEC to planning proposals beyond the commencement of tram operation. This will require Legal Advice, public consultation and ultimately Planning Committee approval. The revised Guideline has been drafted, but this should be taken further.
- In relation to the above point, Counsel's Opinion may be required to determine the latest time when borrowing can be done, and if the revised Guideline is suitable.
- A clear funding position is required from Transport Scotland with regard to when payments will need to be made. Every effort will be made to minimise the amount of interest charged against any borrowing.
- Review of borrowing requirements and likely borrowing costs, and the effect of these factors on the amount we choose to borrow.



- Discussion with Forth Ports in relation to the LDDF Outline Planning Application. This represents a major proportion of the future contributions. It would be beneficial to discuss (and agree, if time permitting) the amount of contribution and the likely timings of payments.

8 CEC Risk Register

The current CEC Risk Register is attached in Appendix 2. This specifically details risks to CEC, not risks to the tram project. The risk table has been sorted with the highest residual risks first.

Since the last report changes have been made to the following risks:

- Risks with increased residual significance: 29
- New risks added: 42
- Risks updated with no change to significance: 1, 3, 4, 8, 10, 24, 31, 32, 34, 37, 38, 40, 41
- Risks with reduced residual significance: 6



Paper to: TPB **Meeting date:** 12 July 2007
Subject: Tramstop names
Agenda item:
Preparer: Bill Campbell

For information only

The Board are asked to note the list of agreed tramstop names. These have been produced following extensive consultation with key parties and will be incorporated into all future documentation and plans.

Edinburgh Airport
Ingliston Park & Ride
Gogarburn
Gyle Centre (old name Gyle)
Edinburgh Park Central (old name Edinburgh Park)
Edinburgh Park Station
Bankhead (old name South Gyle)
Saughton
Balgreen
Murrayfield Stadium (old name Murrayfield)
Haymarket
Shandwick Place
Princes Street
St Andrew Square
Picardy Place
McDonald Road
Balfour Street
Foot of the Walk
Bernard Street (old name Constitution Street)
Port of Leith (old name Ocean Drive)
Ocean Terminal
Newhaven

Roseburn
Ravelston (old name Ravelston Dykes)
Craigleith
Telford Road
Crewe Toll for Western General Hospital (old name Crewe Toll)
West Pilton (old name West Granton)
Caroline Park
Saltire Square (old name Granton Waterfront)
Granton (old name Granton Square)

Date Added	ID	Risk Description	Effect on CEC	Risk			Treatment	18Jul07			Date Reviewed	Due Date	Owner		
				S	L	#				S	L	#			
				Severity of Risk	Risk Likelihood	Risk Potential				Severity of Risk	Risk Likelihood	Residual Risk			
							S:Severity of Risk L:Likelihood S x L = #								
							1 - Low, 2 - Medium, 3 - High								
08Jan07	1	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.	3	3	9	Determine scope of essential tram works and desirable additional works. CEC may need to provide additional funding for areas of betterment.			3	3	9	18Jul07	31Aug07	Sandy Wallace
14Feb07	9	Council delays or fails to make decisions.	Delay to programme. Increased Costs. Potential for abortive works.	3	3	9	Ensure necessary information available to make decisions. Decision making process and deligated powers within CEC require further clarification.			3	3	9	15May07	Ongoing	Andrew Holmes
06Jun07	41	Increased costs because of political uncertainty.	Delay to MUDFA and INFRACO works and contracts. Increased costs (inlucding inflation)	3	3	9	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.			3	3	9	18Jul07	Ongoing	Andrew Holmes
08Jan07	15	Inadequate time to consider approvals to meet tie's programme.	Delay to approval process Additional resources may be required Substantial additional costs required	3	3	9	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.			3	2	6	06Jun07	Ongoing	Ian Spence Linda Nicol
08Jan07	2	Increase in costs over contract cap levels.	Additional funding may be required Need to reduce scope of works.	3	2	6	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.			3	2	6	01May07	N/A	Alan Bowen
08Jan07	3	Risk of delays due to the Public hearing process for TROs. Statutory TRO process may take more time than in programme due to scale of objections.	Delay to INFRACO	3	2	6	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 appear to be consulting on a change in secondry legislation to remove the need for a mandatory hearing.			3	2	6	18Jul07	N/A	Duncan Fraser
08Jan07	4	Failure to form a demarcation agreement	Increased liability to CEC. Lack of clarity between CEC and TransDev, required for INFRACO contract.	3	2	6	CEC to engage with tie & TransDev to agree as many demarcations as possible. First time in use. Draft Road Demarkation Agreement being consulted on internally.			3	2	6	18Jul07	Ongoing	Alan Bowen Sandy Wallace Tom Clark
08Jan07	7	Excessive delays and disruption to traffic post construction	Adverse PR/increased media costs. Additional design and construction work required.	2	3	6	CEC to review. Provision of additional funding for corrective actions.			2	3	6	01May07	Ongoing	Alan Bowen

Date Added		ID	Risk Description	Effect on CEC	Risk			Treatment	18Jul07			Date	Due	Owner
S	L				#	S	L		#	Reviewed	Date			
08Jan07	21	Increases in the cost, outside budgeted risk contingency, of utility diversions due to finalisation of or changes to the scope. The MUDFA contract is effectively a re-measurement contract. Potential for delay due to unforeseen physical conditions.	Additional funding required above that identified in business case.	2	3	6	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.	2	3	6	18Jul07	Ongoing	Tom Clark	
08Jan07	28	Delay to construction works caused by objection to abnormal working hours by public.	Delay to INFRACO & MUDFA	3	2	6	CoCP highlights planned works which includes a comprehensive communication strategy. Legal requirements exist which restricts out of hours working.	3	2	6	06Jun07	Ongoing	Sandy Wallace	
08Jan07	29	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.	2	3	6	More effective engagement with media.	2	3	6	18Jul07	Ongoing	Wendy Bailey	
15May07	38	Delays caused by constraints from the Network Rail Side Agreement.	Delay to MUDFA works. Delay to INFRACO works.	3	2	6	Transport Scotland are engaging with NR regarding their irritancy clauses within the lease.	3	2	6	18Jul07	31Aug07	Colin MacKenzie	
15May07	40	Financial Risk to CEC being party to major contracts, where CEC are to act as guarantor.	Liability on CEC.	3	2	6	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	2	6	18Jul07	31Jul07	Andrew Holmes Gill Lindsay Donald McGuigan	
08Jan07	6	Failure for contractor to gain access to site causing delay to agreed programme. Delays to "GVD Notice 2" being issued.	Delay to INFRACO	2	3	6	First Tranche GVD issued - Land ownership taken from 24/04/07 Second Tranche GVD2 notices being issued shortly. Tranche 3 and 4 to follow once design progresses.	2	2	4	18Jul07	Ongoing	Stephen Sladdin	
08Jan07	12	Design not ready for formal submission to CEC for Statutory Approvals.	Delay to MUDFA Delay to INFRACO Additional internal resources required	2	3	6	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.	2	2	4	15May07	Ongoing	Duncan Fraser	
08Jan07	16	Traffic modelling results not acceptable to statutory body.	Delay to MUDFA Delay to INFRACO Delay to programme	3	2	6	Closer liaison with tie with CEC taking part in their document review process. Programme has slipped. Process is ongoing.	2	2	4	15May07	Ongoing	Duncan Fraser	
08Jan07	17	Poor project governance by tie.	Delay to programme Increased cost	3	2	6	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.	2	2	4	15May07	Ongoing	Andrew Holmes Gill Lindsay Donald McGuigan	
08Jan07	18	Delay due to lack of co-ordination with CEC departments.	Delay to INFRACO Delay to MUDFA Negative public & Councillor view of project	3	2	6	Effective governance within CEC Effective management/co-ordination Support of Chief Executive	2	2	4	19Feb07	Ongoing	Andrew Holmes	

Date Added	ID	Risk Description	Effect on CEC	Risk			Treatment	18Jul07			Date Reviewed	Due Date	Owner
				S	L	#		S	L	#			
08Jan07	24	Correspondence dealt with to CEC's timescales	Adverse PR possible increased media costs, plus increase CEC staff costs to assist with the process.	2	3	6	Communications strategy to be developed further to recognise the extent of this work. Procedures to be put in place by tie and Clarence by 6Aug07 to deal with Mudfa related correspondence.	2	2	4	18Jul07	Ongoing	Wendy Bailey
01Mar07	37	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.	2	3	6	Provide effective comms strategy along with survey/meetings with frontages. Further frontager survey required. Tram packs issued & tram helpers on site at works.	2	2	4	18Jul07	Ongoing	Tom Clark Wendy Bailey
08Jan07	10	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.	2	2	4	Identify scope and impacts utilising traffic model information. £0.5m already allocated in business plan. Likely to exceed this amount.	2	2	4	18Jul07	Awaiting tie input	Alan Bowen
08Jan07	14	Statutory consent cannot be granted due to difference of opinion between tie and CEC.	Delay to programme	2	2	4	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.	2	2	4	06Jun07	Ongoing	Andrew Holmes
08Jan07	20	Cost increases due to changes to the scope and design required by tie (effectively CEC)	Delay to programme. Increased Costs	2	2	4	Manage through change request process with time and costs approved by board.	2	2	4	19Feb07	Ongoing	Andrew Holmes
08Jan07	22	Risk of delay from utility providers due to necessary planned and emergency works	Delay to Programme	2	2	4	Tie to manage through effective project management techniques and to gain ownership over project. Reschedule works, if required. SfC to co-ordinate other works and occupations on the road network. CEC GIS system being developed for coordination purposes.	2	2	4	15May07	Ongoing	Sandy Wallace
08Jan07	23	Delay by utility companies in carrying out agreed utility works as per the programme	Delay to MUDFA completion Consequential Delay to INFRACO	2	2	4	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.	2	2	4	26Apr07	Ongoing	Tom Clark
08Jan07	31	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.	2	2	4	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 Exec Capital Growth Fund. Process was delayed due to the political uncertainty.	2	2	4	18Jul07	Ongoing	Ian Spence David Cooper
08Jan07	32	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.	2	2	4	Provided an effective communication strategy and adequate provision of support to members in addressing concerns of their constituents.	2	2	4	18Jul07	Ongoing	Leanne Mabblerley Wendy Bailey
08Jan07	33	Not fit for purpose reinstatements by AMIS requiring remedial works.	Delay to MUDFA completion Consequential Delay to INFRACO Disruption to general traffic	2	2	4	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.	2	2	4	06Jun07	Ongoing	Sandy Wallace Duncan Fraser

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Date Added		Risk Description	Effect on CEC	Risk			Treatment	18Jul07			Date	Due	Owner
ID	S			L	#	S		L	#	Reviewed	Date		
08Jan07	26	Delay of MUDFA adversely impacting on INFRACO delivery	Delay to INFRACO	3	2	6	Tie to manage through effective project management techniques and to gain ownership over project. Reschedule INFRACO works.	3	1	3	19Feb07	Ongoing	Andrew Holmes
08Jan07	25	Act of God type events (contractually force majeure events)	Additional funding required Delay to MUDFA Delay to INFRACO	3	1	3	Board to approve all additional costs.	3	1	3	19Feb07	Ongoing	Andrew Holmes
08Jan07	30	Changes to junction priority that are specified to achieve the stipulated run time.	Adverse PR/increased media costs.	1	3	3	To be agreed with CEC	1	3	3	01May07	Ongoing	Alan Bowen
24Jan07	8	Council unable to provide full £45m contribution (Due to factors such as shortfall in capital receipts/developers contributions)	Additional funding required More capital receipts required. If Phase 1b not progressed at this stage potential reduction of £3m of developer contributions available.	3	2	6	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.	2	1	2	18Jul07	Ongoing	Rebecca Andrew David Cooper Steve Sladdin Bill Ness
08Jan07	13	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	3	2	6	Closer liaison with tie with CEC taking part in their document review process. Progress has been made to improve the quality of the submissions.	2	1	2	06Jun07	Awaiting tie input	Duncan Fraser
08Jan07	11	Inadequate budget to cover the necessary or desirable quality of structural elements to achieve an International Quality Design. May have been under estimated within the business case.	Delay to INFRACO design process. May require additional funding due to delay & increased construction costs. Delay to prior approval submission.	2	2	4	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.	2	1	2	06Jun07	Awaiting tie input	Ian Spence
08Jan07	19	Lack of co-ordination on the road network with respect to Sfc works	Delay to MUDFA Delay to INFRACO	2	2	4	Traffic Management Co-ordination Group - chaired by tie Internal CEC co-ordination also required Weekly meetings have been set up with Sfc.	2	1	2	15May07	Ongoing	Sandy Wallace
15May07	39	Delays caused by constraints from the BAA Side Agreement.	Delay to MUDFA works. Delay to INFRACO works.	2	2	4	EARL no longer going ahead. Side agreement now agreed in principle with BAA.	2	1	2	18Jul07	31Aug07	Colin MacKenzie
17Jul07	42	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.	1	2	2	Programme Scottish Executive requirements into project and allow lead in time.	1	1	1	18Jul07	Ongoing	Alan Bowen