

SHDF Wave 2.2 Project Risk Register

Insert lead applicant name:

Uttlesford District Council

If you are completing this Risk Register as a consortium lead, the risks should provide detail covering the whole consortium

Category	Risk Owner (organisation, contractor, supplier, etc.)	Risk Name	Cause	Effect / Impact	Score						Planned Actions What actions will you take to mitigate this risk?
					Likelihood	Impact				Score	
						Time	Cost	Quality	Impact		
Access Issues / Customer Refusals	Uttlesford District Council / Contractor	Tenants refuse works being carried out on their homes, including due to COVID-19	Tenants may have disabilities that do not allow contractors to enter property, tenants have let house fall into disrepair. Tenants have not updated their contact details with Uttlesford District Council and are difficult to contact during normal working hours	Fail compliance, stock falls into disrepair	4	3	3	2	3	12	We have developed a comprehensive tenant engagement plan as part our programme. This involves roadshows, parish hall drop in sessions, resident visits and every resident will also receive a pack when works are completed as part of the handover to explain what they have had done and how to use any new heating systems, such as air source heat pumps As well as the above, we will also carry out the mandatory and expected notice to residents. This will involve writing to tenants regarding planned works with minimum 28 days notice also providing tenant with direct number to contact with queries Write to tenant prior to works starting minimum 7 days. Phone tenant 4 days prior to appointment. Working closely with Housing team to identify potential problem properties
Planning	Uttlesford District Council / Contractor	Planning permission from the relevant department is not received in time	Failure to submit paperwork within programme due to error or redesign of project	Programme slippage	2	3	3	2	3	6	Set up flow chart / programme of project process. Weekly meetings to check off progress of applications. Dedicated member of team to monitor planning applications
Design Constraints	Uttlesford District Council / Contractor	Properties that are deemed eligible at application stage are found to be ineligible (EPC C or above)	Property has fallen into disrepair due to tenant. Property becoming vacant. Works scheduled to take place at property to improve EPC have been delayed due to contractor.	Programme slippage, stock falls into disrepair.	1	3	4	2	4	4	Internal surveyor to inspect property prior to application. Records of stock kept up to date by Uttlesford District Council. Weekly updates of current works on site internally. Void updates included in project meetings
Access Issues / Customer Refusals	Uttlesford District Council	Tenants within mixed blocks/ estates refuse work	relationship with tenants may have previously broken down, fear of change, fear of additional cost to the resident or complex medical needs prohibiting disturbance.	Programme slippage and cost increase, as cost efficiencies by targeting estates/ streets cannot be made.	3	3	4	2	4	12	Correspondence to be sent out at early stage to mitigate delays. Dedicated member of team (RLO) to deal with this area of the project with clear communication flow line. Gain other resident buy in, and identification of community champions to encourage consent.
Supply Chain	Uttlesford District Council / Contractor	Specific materials and supplies are not available in time (e.g. steel, heat pumps, please specify which materials and supplies affect the project)	Correct materials have not been specified. Heat pumps, solar panels, pipework for ground source demand outweighs supply .	Cost increase to source alternative supplies / programme slippage	2	3	3	3	3	6	Ensure procurement programme in place. Contractor to source multiple suppliers for products. Possible pre ordering of items if required. Procurement of contractors at early stage to allow for specifications to be shared and materials sourced.
Procurement	Uttlesford District Council	Contracts, for retrofit coordinators or other necessary resources, are not in place in time to support delivery, due to delayed procurements, changing requirements, or lack of supply chain capacity	Lack of qualified staff to carry out delivery of projects. Contractors in demand and unable to accommodate delays due to work they have already committed to.	Programme delays/ cost implications if agency staff required or re tendering of project, reduction in quality of staff	3	2	4	2	4	12	Appointment of PAS2035 Co-ordinator. Review of current staffing. Ensure procurement team within the council has adequate accessibility to contractors/ suppliers. Planning of resources to be proactive rather than reactive
Cost Inflation	Uttlesford District Council / Contractor	There is variation between costs during delivery compared to those used at application stage	Material price increase, staff turnover incurring recruitment costs, delay in programme can mean prices increases due to length of time from initial negotiations to delivery	Increase in budget, restriction on funds available to complete work.	3	1	5	1	5	15	Procurement of materials programmed at early stage. Fixed rates agreed with contractor within contract. Project manager to monitor fluctuations and carry out monthly valuations. Financial reporting pattern agreed pre contract. Contingency of 15% factored into budgeting

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Access Issues / Customer Refusals	Uttlesford District Council	Residents do not materialise benefits/ gains from works due to misuse of low carbon technology	Lack of information/ training from contractor/ failure to educate tenant on benefits of low carbon technology	Financial loss to tenant and opportunity loss for Uttlesford District Council	2	2	1	2	2	4	Ensure information packs are circulated to tenants prior to completion of works. In house co-ordinator to visit each property to educate tenant. Tenant provided with direct contact within Uttlesford team
Timescales	Uttlesford District Council/ Contractor	Timescales may not be accurate/ may be unforeseen delays	Programming of works unrealistic, supply chain interruptions.	Programme slippage, supplier/ contractor may not be available	2	4	2	1	4	8	Co-ordinator to programme pre contract meetings and monitor progress regularly. Pre contract input from entire team for programme review. Regular meetings in place with project manager, project sponsor and project board in order to ensure proper governance and accountability to reduce delays and escalate any risks before they become project issues.
Scope Changes	Uttlesford District Council/ Contractor/ supplier	Properties may have unknown issues that mean measures cannot be delivered	Lack of detailed information on property stock	Programme slippage and cost increase to review data and provide alternative properties	2	3	4	2	4	8	Review of property stock by in house team and contractor. Ensuring housing stock data is maintained regularly. The PAS2035 retrofit assessments and design surveys will identify any issues.
Tenant Engagement	Tenant	Bills increase as a result of heat pump installation due to misuse of technology	Lack of training/ education on operating system	Financial loss to tenant	2	1	4	1	4	8	Follow up visit with tenant approximately 6 months later, in the heating season to ensure correct and optimal use. Ask residents to provide us with fuel bills for the 12 months pre-installation for proper comparison. This will be done by a RLO who has taken a course in heat pump use and management. Using an existing RLO that has a relationship with tenants and training them will make best use of existing trust many residents have with this officer
Supply Chain	Uttlesford District Council	Risk that increased volume of work not manageable by the current JV contractor	Lack of communication pre contract with contract team, unrealistic aims, unrealistic specification of work	Programme delays/ failure to install technology to some properties	3	4	4	3	4	12	Full demographics/ references obtained from contractor during procurement stage and negotiation
Supply Chain	Uttlesford District Council	Risk that the current contractor leaves the Joint Venture and we have no installer to deliver the project	Contractor ceases trading	Installation of new systems stops. Tenants possibly left with no heating. Houses uninhabitable. Some works left outstanding	3	4	4	1	4	12	This risk will be minimised by having an alternative DPS in place with our procurement team we work with at Chelmsford Council. We could also use one of their existing frameworks to procure a contractor which uses local SME businesses
Resourcing	Uttlesford District Council	Risk that key staff members such as contract manager or RLO leave, putting project continuity at risk	Discontent within the project team, poor motivation, head hunting from other employers	Management of project suffers. Lack of consistency. Possible delays to delivery of work	2	1	3	1	3	6	Proper document governance and process documentation so that it is easy for others to pick up and understand
Weather	Uttlesford District Council/ Contractor	Extreme weather delays installation of project	Floods, snow and high winds can cause problems in terms of delivering supplies, contractors being able to get to site, trades unable to complete work due to health and safety compliance. Structural damage to properties	Programme delays, potential of tenants being left with no heating	1	2	2	1	2	2	Include contingency within the programme to allow for unforeseen weather conditions.

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Other	Uttlesford District Council/ Contractor	Natural disaster such as hurricane, explosion, fire etc	Very rare occurrences due to weather, gas leaks etc	Works on site cease. Damage to completed projects. Tenants unable to remain in houses	1	4	4	1	4	4	Contingency/ disaster recovery agreed by project team prior to commencing on site. Liaison internally with other departments for existing disaster recovery policies
Other	Pandemic	Pandemic occurs from new virus variants	New viruses are identified such as Covid 19. Nation forced into lockdown	Works on site cease. Programme delays. Tenants left with partially completed works	1	4	3	1	4	4	Contingency/ disaster recovery agreed by project team prior to commencing on site. Liaison internally with other departments for existing disaster recovery policies
Tenant Engagement	Uttlesford District Council	Tenants pull out/ disengage with the project during the design stage before works commence	Tenants are fed up of numerous surveys and design assessments and decide they no longer want to participate due to the excessive disruption at the beginning of the project	Residents pull out and we have to pull through more properties from the contingency list. Potential for smaller project delivered as a result of delays and increased costs due to wasted surveys and designs	3	4	3	1	4	12	Agree and approach with the contractor that recognises that the number of visits for surveys and designs should be minimised to reduce disruption to the residents. We will also work with our RLO early on to inform residents of how many visits they can expect and the outcome of these. If residents are fully informed at the outset they are less likely to pull out during the design stage

		OPPORTUNITY IMPACT				
		Very High	High	Medium	Low	Very Low
Likelihood	5. Very Likely >90%	H - 25	H - 20	H -15	HM -10	HM -5
	4. Likely 65-90%	H - 20	H - 16	HM -12	HM -8	ML - 4
	3. Possible 35-65%	HM -15	HM -12	HM - 9	ML - 6	L - 3
	2. Unlikely 10-35%	ML - 10	ML - 8	ML - 6	L - 4	L - 2
	1. Very Unlikely <10%	L - 5	L - 4	L - 3	L - 2	L - 1

		OPPORTUNITIES IMPACT				
		Very High (-5)	High (-4)	Medium (-3)	Low (-2)	Very Low (-1)
Impact	Cost	Major savings to the project budget	Significant savings to project budget	Moderate savings to project budget	Minor savings to project budget	Minimal savings to project budget
	Time	Major efficiencies to the project timelines	Significant efficiencies to the project timelines	Moderate efficiencies to the project timelines	Minor efficiencies to the project timelines	Minimal efficiencies to the project timelines
	Quality	Major improvements to the project quality	Significant improvements to the project quality	Moderate improvements to the project quality	Minor improvements to the project quality	Minimal improvements to the project quality

SCORE = LIK

THREAT IMPACT				
Very Low	Low	Medium	High	Very High
HM 5	HM 10	H 15	H 20	H 25
ML 4	HM 8	HM 12	H 16	H 20
L 3	ML 6	HM 9	HM 12	HM 15
L 2	L 4	ML 6	ML 8	ML 10
L 1	L 2	L 3	L 4	L 5

THREAT IMPACT				
Very Low (1)	Low (2)	Medium (3)	High (4)	Very High (5)
Minimal impact to project budget	Limited impact to project budget	Project budget is compromised	Significant impact to project budget	Major impact to project budget
Minimal impact to project timelines	Limited impact to project timelines	Project timelines are compromised	Significant impact to project timelines	Major impact to project timelines
Minimal impact to project quality	Limited impact to project quality	Project timelines are quality	Significant impact to project quality	Major impact to project quality

LIKELIHOOD x MAX (IMPACT)