

Colchester: Levelling Up Fund – Appendix 8: **Risk Register**

Description of Risk(s)	Impact of Risk(s)	Risk Owner	Risk Manager	Likelihood (1-5)	Impact (1-5)	Risk Rating	Risk Mitigation(s)	Residual Score
<b>RISK HEADING</b>								
<i>Strategic, Political, Stakeholder and reputational</i>								
<p>Lack of local interest or acceptance of scheme.</p> <p>Local interest groups may raise objections to the proposed scheme.</p> <p>Key community / political stakeholders may not support the project (for example in response to the reduction in town centre car parking capacity). reduced highway capacity of plaza layout to increase multi-modal capacity).</p>	<p>Lack of trust, community feel 'done to' by this scheme.</p> <p>Resistance/objections hamper or prevent scheme progressing.</p> <p>lack of public support could impact on the successful delivery of the scheme.</p> <p>Cannot proceed / delay / changes to the scheme needed.</p>	CBC.	CBC.	3	5	15	<p>Active, extensive and authentic engagement has been undertaken as a component of preparing funding bid, building on previous engagement.</p> <p>Ongoing, well-planned, clear messaging and robust communications planning for life of scheme with specific focus on key interest groups affected by scheme; landowners, neighbours, key user/focus groups (civic, active travel, businesses, etc).</p> <p>Preparation of Town Centre masterplan will supplement this engagement and enable further refinements to scheme components between LUF bid submission, funding award and final implementation.</p> <p>Inputs are captured and directly feed next iteration of masterplan and scheme design. 'You said, we did'.</p> <p>Strong and visible leadership by partner Councils (including cross-political engagement and backing) and Town Deal Board. Identify "champions" for this scheme particularly in the business community.</p> <p>Take care with messaging; "what is strong, not what is wrong" and ABCD approaches to be taken to community and public engagement. Explain that deprivation and similar stats have to be included in bids to Government, in order to align to 'Levelling Up' funding priorities.</p>	8

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Community: sensitivity in the timing of releasing information and messaging in line with the planning process (for example).	The community and/or key stakeholders do not support the project as feel they were not engaged in time. Scheme cannot proceed or scope is greatly compromised.	CBC.	CBC.	3	5	15	A planned and comprehensive approach to community and stakeholder engagement will be prepared and implemented, subject to successful funding award. This will be dovetailed into existing and planned engagement activities within the 'We are Colchester' programme, but with increased focus on the St Botolph's regeneration zone.	6
Businesses and other occupiers close to construction sites may have concerns about the construction-phase impacts affecting their customers / deliveries / operations.	A lack of buy-in would make delivering the project more difficult and could create programme delays.	CBC.	CBC.	3	5	15	Public engagement and consultation should be undertaken as part of the next design stages. The BID board, BID manager and BID members should be involved in this consultation. Certain key organisations in close ██████████ to be closely engaged.	5
Historic England may not support design proposals for one or more elements of the scheme.	This would make moving the design forward difficult as a lack of support from Historic England may also impact on CBC Planner's support.	CBC	CBC	2	6	12	Strong engagement between Historic England and the CBC Planning team has already commenced and is ongoing for the scheme as a whole and key components particularly those that affect the scheduled ancient monuments. Identify HE and planning as key stakeholders in engagement plan.	5
Scheme does not align with political priorities, and/or does not align with key partner organisations such as health, police, etc.	Hesitancy and/or reluctance to commit to this project, and/or scheme does not achieve its full potential.	CBC.	CBC.	2	4	8	Clear briefings and information to partners and to councillors including local ward members. Early and active engagement at senior level is underway and ongoing alongside tactical planning for the project. Map and understand alignment with partners' policies and strategies (done).  This scheme aligns clearly to the strategic plans of both the Borough and County Councils, with further strong links to partner agendas including health and crime reduction.	2

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							The borough council has secured cross-party support for the work on the Town Centre masterplan, of which this scheme forms a key component.	
The St Botolph's scheme requires alignment with Colchester Borough Council's plans, and other active travel schemes.	Minimal as Colchester supports the scheme.	CBC	ECC	1	1	1	Integration at a strategic and operational level across both councils and effective joint working is already underway. Careful alignment will be ensured with other related plans and schemes such as LCWIP, Active Travel Fund 3, Town Deal active travel schemes.	1
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
<i>Financial</i>								
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
Perception that scheme is too expensive.	Scheme is not backed.	CBC.	CBC.	2	2	4	Business case demonstrates affordability and a positive economic case. The LUF funding de-risks the housing schemes by bringing forward the archaeology and public realm elements; this de-risks these schemes including their financial risks, making them 'developer ready'. Tight cost control and value engineering if required.	3

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Financial: Private sale housing units are not viable.	Cannot realise the financial case as pay-back of scheme partly dependent on this.	CBC.	CBC.	5	1	5	A mix of tenures and types will be developed. There is evidence of demand for housing at these locations including private and social housing.	5
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
Financial: cost pressures (cost inflation above initial estimates): Issues are identified later on in process (following award for example).	<p>Scheme costs rise sharply, and scheme becomes unaffordable.</p> <p>One or more elements of whole scheme cannot be delivered within available budgets.</p> <p>Could cause changes or delays to the programme.</p>	CBC.	CBC.	4	4	16	<p>Cost analysis and cost modelling has been undertaken by project team, supplemented by external cost consultants. A very conservative approach has been taken to cost planning;</p> <p>[REDACTED]</p>	8
Late confirmation of award, late payment(s) of grant to lead local authority.	Potential delays to elements of scheme delivery. Timeline in project delivery plan does not allow any time slippage.	CBC	CBC	2	5	10	Risk of late notification of award and signed HoT is impingement on DLUHC – the timeline moves 'to the right' if no confirmation of award is made in November 2022, with high likelihood that completion of some or most project elements will exceed the March 2025 target if so.	4

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Levelling Up Fund application is unsuccessful	Scheme cannot progress, window of opportunity posed by Town Deal and City Status leverage is lost.	CBC	CBC	2	5	10	Sites and schemes are within the scope of the CBC/ECC joint masterplan currently underway. Seek alternative sources of funding and investment, though recognising the scale and critical mass of proposed package of interventions may be lost or weakened.	6
A lower offer / smaller amount of LUF funding is awarded to Colchester	As with our Town Deal Programme – scheme will need to be reviewed and elements of package prioritised. Some elements will be lost. Critical Mass and pace is lost. Coherency of package is greatly reduced. Step-change regeneration not achievable.	CBC	CBC	2	4	8	Processes to meet this risk were developed and implemented for Colchester's Town Deal programme when award made was £6.8m lower than grant request. In this eventuality "We Are Colchester" (Town Deal) board would lead the processes required, assisted by the council officers according to the structures outlined elsewhere in this submission.	5
<i><u>Legal, land and assets.</u></i>								

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Land and asset transfers cannot be agreed.	Potential delays to scheme or have to re-scope an element or elements.	CBC.	CBC	1	3	3	This risk is being mitigated; all the land required is already under direct ownership of CBC, ECC and Historic England.  [REDACTED]	2
Negotiating and decanting current leaseholders of properties within the intervention zone leads to complications, delays or blockages to progress of scheme.	Delays, scope needs to be revised, increased costs (legal, CPO, etc), potential reputation risks.	CBC	CBC	2	4	8	This risk substantially removed; CBC either currently owns all land outright and controls usage (e.g. Council-run car parks), or has already purchased land [REDACTED]	4
Cannot gain all external approvals needed for this complex scheme (notably ECC highways, CBC planning department, Network Rail, Historic England) within very ambitious timescales required.	Cannot get approvals in time. Risk of missing DLUCH's milestones. Aspects of scheme need to be de-scoped.	CBC.	CBC	2	5	10	Once bid is submitted (July 2022), further engagement work will be undertaken with these key stakeholders so that schemes can progress promptly once funding approval conferred. A CBC Planning Officer will be added to the core project team once established. The governance route will be planned thoroughly and early for any matters that will need to come to ECC's or CBC's cabinet or political leadership teams for example.	6
Archaeology and the unknown below ground condition of the site.	Though there is very limited excavation work any unexpected below ground discoveries would impact both programme and costs during construction.	CBC	CBC	2	4	8	Continue to review all available site survey information and review the need for, and then commission appropriate surveys in due course. Commission the below ground services ASAP.	4

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<i><u>Delivery and Resources.</u></i>								
Delivery (whole scheme); Project cannot be completed 31-03-2025.	Risks that scheme overall does not gain planning and other approvals. Funding surrendered.	CBC.	CBC and ECC	2	5	10	<p>These risks have been mitigated through careful, detailed, and timely engagement throughout the process, coupled with planning advice and initial design and feasibility work for the St Botolph's scheme and one of the mixed-use scheme already complete at time of bid submission, and tried and trusted approaches to programme governance.</p> <p>A phased approach is being taken in designing the project plan focussing on realising 'quick win' improvements and the early delivery of key outputs/outcomes. Housing delivery can be phased with first units completed and marketed within the timescales required.</p>	8
Officer capacity: Cannot complete the level of analysis and complex/ extensive detailed work required to complete project to deadline.	Despite excellent scheme with strong backing, the scheme cannot be developed in time.	CBC.	CBC.	2	5	10	The scheme will be fitted into the existing, established 'We are Colchester' (Town Deal) programme and its leadership, governance and management processes, where there is sufficient resource and capacity for these additional schemes. Costings allow for development management / project management where new / additional resource will be required, which will be possible via the council's in-house companies and external resource where required.	2
Difficulty in identifying and appointing main contractors.	Could cause disruption or delays.	CBC.	CBC.	2	3	6	Specialist input and advice from council's procurement and/or supplemented with market insight / market testing. Council has experience of commissioning and delivering schemes of comparable complexity and scope.	3
Unscheduled utility works / Potential clash with other key third party works.	Could cause disruption or delays.	CBC.	ECC / Essex Highways and CBC	2	2	4	Obtain utility information early and liaise with utility companies as work progresses.	2

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Adverse ground conditions.	Could cause delay or changes to the programme.	CBC.	Essex Highways and CBC	2	2	4	Undertake early surveys with trial holes where appropriate.	2
Adverse weather conditions.	Could cause delay or changes to the programme	CBC.	Essex Highways and CBC	1	1	1	Sufficient time has been built into the programme to allow for this.	1
St Botolph's scheme requires alignment with work being undertaken on other schemes scheduled in and around the town.	Could cause traffic disruptions	ECC / Essex Highways	Essex Highways and CBC	2	3	6	Early and ongoing discussions underway and will be maintained for life of schemes.	2
Impact on key corridors / junctions during construction of the St Botolph's scheme, which will require careful management.	Could cause traffic disruptions	ECC / Essex Highways	Essex Highways and CBC	2	3	6	Careful planning and ensure appropriate traffic management in place at key locations.	2
Planning consent is not granted.	Delays to scheme or elements of scheme. Additional costs if re-work is needed.	CBC	CBC & ECC	2	3	6	Pre-application advice and engagement from and with local planning team. Continue to maintain working relationships with the local planning authority officers and Members and liaison with Historic England and neighbours.  Timings for the St Botolph's scheme are predicated on the basis that all land is within the control of the Highway Authority/CBC (thus available), and that it can be constructed under Permitted Development powers.	3
Inadequate or incomplete design.	Delays to scheme or elements of scheme. Additional	CBC	CBC	1	4	4	Ensure level of information is in accordance with relevant RIBA work stage and that sub-consultants provide information of satisfactory quality at the appropriate time.	2



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	costs if re-work needed.							
Significant design changes requested by client or regulatory organisation or consultants.	Delays to scheme or elements of scheme. Additional costs if re-work needed.	CBC	CBC	2	2	4	Continue to maintain working relationships with the local planning authority officers and Members and liaison with Historic England and neighbours. Ensure consultants are provided with adequate design information at an early stage to minimise their own risks.	2
Loss of critical staff, consultants or contractors (e.g. financial insolvency).	Delays to scheme or elements of elements.	CBC.	CBC	2	2	4	Produce a succession plan and keep it under review. Active and planned risk management and regular review throughout the delivery phase. Move staff into interim positions if the need arises. Ensure key consultants have a robust methodology in place for succession. Active engagement and advice from council's procurement team.	3
<b><u>Benefits realisation.</u></b>								
No or insufficient recording/reporting of scheme outcomes.	Benefits are not captured or are incomplete.	CBC.	CBC.	2	2	4	Detailed planning with partners and further development to the M&E plan prior to commencement and delivery including agreeing specific monitoring methods, frequencies, etc building on and confirming those provided via the financial appendices to this submission. Embed within well-established processes as part of existing "We are Colchester" (Town Deal) programme.	2
Delivery partners cannot achieve required quality of outcomes.	Benefits are not delivered or are partially delivered	CBC.	CBC.	2	2	4	Maintain constant dialogue with partners and take action when outcomes appear unachievable. Strong focus on benefits ownership. Again – these principles, methods etc are well established for our existing Town Deal programme which will be expended to incorporate these new schemes.	2
Limited take-up for commercial units created through this scheme.	Reduced commerciality, empty units detract from vibrancy / critical mass which	CBC.	CBC with CATL & CAHL	2	3	6	Council is already actively working in and adjacent to the intervention zone including in partnership with the commercial property sector and BID. Council has power to alter / broaden the planning use classes if required.	2

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	is vital to scheme. Projected jobs delivery outputs not met.						Commercial uses can be managed by a third party contracted to the council (transfer the risk).	