

Scheme Title: HE607428 A1 NB/SB Newark to carlton on Trent

PIN: 607428

Initial Risk (Gross Risk) = 13

Last Updated 10/03/21

Design Team: Clare Trebble HE SPM / Asset Manager: Peter Hull

CPA: 2210066

If Mitigation Successful, Residual Risk (Net Risk) 6

IDENTIFICATION						INITIAL RISK		RISK MANAGEMENT				RESIDUAL RISK				OPEN or CLOSED		
Risk Number	Opportunity or Risk	Description	Impact Description	Risk / Opportunity Type	When Identified	Likelihood	Impact	Risk	Risk Owner	Proposed Mitigation	Close Out		Likelihood	Impact	Risk	Agreed Action	Status	Date last reviewed or Date Closed
											Target Date	Person Responsible						
1	Risk	Statutory Undertakers' returns become invalid due to 3 months passing between their return and the start of construction.	Safety / Environmental Damage	Health and Safety	Familiarisation	5	3	15	CWF Lot Contractor	Stats returns shall be reviewed at Construction Stage. Principal Contractor to request additional surveys if required.		CWF or CWF PLO	5	2	10	Tolerate	Open	10/03/21
2	Risk	Survey results delay affecting scheme progression	Design Programme	Design Approvals / Certification	Familiarisation	3	3	9	Highways England	HE shall request contractors to provide scheduling for their deliverables. Continue to liaise with HE Project Manager to obtain results.		HE SPM	1	3	3	Tolerate	Open	10/03/21
3	Risk	Snow/rain may not be suitable for survey works and also may not be able to pick appropriate data.	Works Cost	Customer	Familiarisation	3	4	12	CWF Lot Contractor	Contractors shall inform Principal Contractor for suitable weather to carry out survey works. Principal Contractor shall inform all the parties in advance for cancellation of works due to inappropriate weather.		CWF or CWF PLO	2	4	8	Tolerate	Closed	10/03/21
4	Risk	Disposal of core sample	Safety / Environmental Damage	Environmental	Familiarisation	3	3	9	CWF Lot Contractor	Core samples tested for tar, shall be dispose to appropriate license facility if positive.		CWF or CWF PLO	1	3	3	Tolerate	Open	10/03/21
5	Opportunity	Encountering Coal Tar in deep layers of pavement to identify potential quantity of hazardous waste to be disposed of in next resurfacing scheme	Future Maintenance Issues	Maintenance	Task Brief / VM Information	3	3	-9	CWF Lot Contractor	Plan and determine treatment depths in next resurfacing scheme due to impact of material containg coal tar		CWF or CWF PLO	3	1	-3	Tolerate	Open	10/03/21
6	Opportunity	Traffic Management Sharing. Survey can be carried out together.	Works Cost	Customer	Familiarisation	4	2	-8	CWF Lot Contractor	Principal Contractor shall maximise the closure, if it is safe to do so.		CWF or CWF PLO	4	2	-8	Tolerate	Closed	10/03/21
7	Risk	Testing for tar specified for PAH as per Adept recommendations , HE do not appear to have a policy however this may not align with current EA requirements.	Safety / Environmental Damage	Environmental	Familiarisation	2	5	10	Kier Design Services	Testing for tar specified for PAH as per Adept recommendations , agreement required from HE as to testing regime		HE SPM	1	2	2	Transfer	Open	10/03/21
8	Risk	TTRO Approval/Roadspace Clashes and Traffic Management drawings	Works Programme	Customer	Familiarisation	3	3	9	Highways England	HE technical survey team to programme and coordinate works to avoid roadspace clashes. Road closures and diversion route approvals to be carried out by HE technical survey team for HE network and local authority. HE Technical survey team confirmed TM drawings are already completed under another scheme.		HE SPM	3	2	6	Transfer	Open	10/03/21
9	Opportunity	By testing areas shown to contain Tar by Pak marker we can accuratley establish if Tar is at hazardous levels or not . This could save considerable ammounts of materials going to Hazardous waste tips	Safety / Environmental Damage	Customer	Familiarisation	3	3	-9	Kier Design Services	HE need to provide testing regime required		HE SPM	2	2	-4	Tolerate	Open	10/03/21
10	Risk	Potential for underlying defects	Works Programme	Customer	Familiarisation	2	3	6	Highways England	In certain areas where structural schemes have been undertaken in recent years and no defects are evident then no surveys have been proposed.		HE SPM	2	4	8	Transfer	Open	10/03/21
11	Risk	Additional Surveys. Delay to the programme if additional surveys are required following review of the initial survey results.	Future Maintenance Issues	Maintenance	Familiarisation	3	3	9	Highways England	Review to be carried at techncial review workshop during optioneering development stage with Highways England		HE SPM	2	3	6	Tolerate	Open	10/03/21
12	Risk	Deflectograph survey carried out in cold winter months which can result in inefficient or no useful data. See CS229 for temperature limits. Risk of delay in recieveing survey data and progressing sound treatment options.	Works Programme	Maintenance	Familiarisation	3	4	12	Highways England	HE to manage and schedule the works programme to ensure the deflectograph survey is carried out in season to ascertain efficient and useful data.		HE SPM	3	3	9	Transfer	Open	10/03/21
13	Risk	Cores and DCP testing disrupting services buried in the ground	Safety / Environmental Damage	External Stakeholder	Familiarisation	3	4	12	CWF Lot Contractor	Check core and DCP locations against statutory undertakers drawings		CWF or CWF PLO	1	4	4	Transfer	Open	
14	Risk	Encountering and disposing of cores containing coal tar in deep layers of pavement	Safety / Environmental Damage	Environmental	Familiarisation	3	2	6	CWF Lot Contractor	Contractor to handle and dispose of coal tar as detailed in the contract documents		CWF or CWF PLO	2	1	2	Tolerate	Open	10/03/21
15	Risk	Some cores targeting defects have had to have been deleted to avoid clash with underground stats or overhead cables	Future Maintenance Issues	Maintenance	Familiarisation	2	3	6	CWF Lot Contractor	In most cases a nearby core is targeting a similar defect so assumptions can be made as to the treatment from the simialr defect		HE SPM	2	1	2	Tolerate	Open	10/03/21

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16	Risk	STATS clash at location of footway requiring treatment stated on brief. Proposed treatment options may be affected due to lack of survey results.	Future Maintenance Issues	Maintenance	Familiarisation	4	4	16	Highways England	Carry out Ground Penetrating Radar (GPR) rather than cores/dcp to due clash with existing services. Full reconstruction of footway at location of overrun, assume worst case CBR and design to latest standards.		HE SPM	3	3	9	Tolerate	Open	10/03/21
17	Risk	Potential for biological waste or vegetation clearance at layby requiring GPR.	Safety / Environmental Damage	Environmental	Familiarisation	4	4	16	CWF Lot Contractor	Principal Contractor to review site prior to works starting on site to minimise disruption to programme. Highlight any testing or removal requirements prior to carrying out any works.		CWF or CWF PLO	4	4	16	Tolerate	Open	10/03/21
18	Risk	Structures survey works (pull off testing) required at River Fleet Bridge. Due to short notification of TM sharing this may not be possible.	Future Maintenance Issues	Maintenance	Familiarisation	4	4	16	Highways England	Information provided for the pull-off testing within the documents for River Fleet.		HE SPM	1	1	1	Tolerate	Open	10/03/21
19	Risk	Traffic Management restrictions affecting proposed survey requirements. This will have an impact on the proposed treatment options.	Future Maintenance Issues	Maintenance	Familiarisation	5	5	25	Highways England	HE SPM suggested applying results from similar sections of carriageway for lengths of missing survey data.		HE SPM	3	3	9	Tolerate	Open	10/03/21
20	Risk	HE Environmental Report not provided prior to the handover of the technical survey documents at stage 1. Potential for constraints/actions to delay the works starting on site. Scoping report at stage 0 highlighted flood zones, badger sightings and potential for bat roosts within the scheme extents.	Works Programme	Environmental	Familiarisation	5	5	25	Highways England	Environmental Assessment to be completed by Highways England prior to works starting on site. All actions in the report to be mitigated prior to works starting on site.		HE SPM	3	3	9	Tolerate	Open	10/03/21
21	Risk	Communication Plan & Liaison with EHO	Works Programme	Customer	Familiarisation	5	5	25	Highways England	HE SPM confirmed Highways England will carry out all the communication actions for the proposed scheme.		HE SPM	3	3	9	Tolerate	Open	10/03/21
22	Risk	Blocked KDU's and drainage assets within the scheme extents	Future Maintenance Issues	Maintenance	Familiarisation	5	5	25	Highways England	HE to carry out required drainage surveys and rectify defects accordingly. No drainage works associated with the proposed pavement scheme.		HE SPM	3	3	9	Tolerate	Open	10/03/21
23	Risk	Vegetation Clearance at location of proposed GPR in the footway	Works Programme	Environmental	Pricing	2	2	4	Highways England	Contractor to assess if any vegetation clearance is required prior to carrying out GPR survey in footway and inform HE SPM and environment team.		HE SPM	1	1	1	Tolerate	Open	10/03/21
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