

Grootvlei Risk Assessment Template Rev2

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Dashboard Indicators

Highest Consequence Rating: (manual input)

Highest Likelihood Rating: (manual input)

Risk/contingency as (10%) of the contract value: (manual input)

Risk/contingency % as monetary value (R): (manual input - correspond with Contract Strategy & Cost Analysis)

Note:

Once printed, insert in contract file.

Installation of CO and O2 measuring instruments on

#	Risk Statement	Y/N	Consequence Description	Consequence Rating	Likelihood	Potential Exposure	Risk Control	Priority for Attention	Contingency	Treatment/Control Strategy
	Link to Reference Document			Table 4	Table 5	Table 3	Table 7	Table 8		
1	Were interfacing contracts identified?	N								
2	Was IBI training specified in the contract?	Y	Miscommunication during the execution, resulting in reworks.	1 A - <5% Probability		Departmental Impact	Fully Effective	II - M/Term (<3mths)	Training requirements for contractor employees specified in the contract.	Contractor to provide training his/her employees.
3	Have the contract considered spares holding?	N								
4	Was supplier infrastructure establishment considered?	Y	Non compliance to SHEQ requirements.	1 E - 99% Probability		BU Impact	Fully Effective	IV - Ongoing	Cost included in the contract	Site establishment costs included in contract
5	Does the contract cater for SHE/plans?	Y	Non compliance and inability to plan ahead, resulting in physical injury / damage to property.	1 C - >20% Probability		Departmental Impact	Fully Effective	IV - Ongoing	Submission of a SHE plan is a specified requirement in the contract	The contractor shall submit safety plans which comply to safe work procedure for the employer and it must be accepted by the Service Manager
6	Does the contract cater for risk assessments?	Y	Physical injury or property damages	1 C - >20% Probability		Departmental Impact	Fully Effective	IV - Ongoing	Risk assessment is specified and is included in safety requirements.	The contractor shall submit daily risk assessment forms (STA) to the project leader
7	Is there any risk in the contract strategy e.g. term, service, supplier?	N								
8	PSR responsibility	N								
9	Will decision making by the supplier impose a risk to the organisation?	Y	Wrong decisions may lead to injury or property damage.	1 C - >20% Probability		BU Impact	Fully Effective	IV - Ongoing	duty to inform is included in the contract.	Decisions to be approved by the Service Manager and the Contract Supervisor.
10	Were medical/induction and associated costs considered?	Y	If contractor does not go through induction and medical, contractor will not have site access causing delays.	1 A - <5% Probability		Departmental Impact	Fully Effective	III - 1Yr	Cost included in the contract	Cost included in the contract
11	Will the contractor be responsible for access permit/costs?	N								
12	Were the suppliers qualification and experience defined or requested?	Y	Poor quality workmanship due to Contractor incompetency.	2 A - <5% Probability		Departmental Impact	Fully Effective	II - M/Term (<3mths)	skills required specified in the contract.	technical evaluation of tenders at the beginning and review of resources every 3 months
13	Were quality requirements/objectives set in the contract?	Y	Contractor incompetence and poor quality workmanship	2 D - >50% Probability		BU Impact	Fully Effective	I - S/Term (1mth)	Quality requirements specified in the contract.	The contractor must adhere to quality control plan requirements, use IBI tool (job observation, pre-job debriefs etc)
14	Was CIDB compliance specified in the contract?	Y	Delays in completion due to finances	2 C - >20% Probability		BU Impact	Fully Effective	IV - Ongoing	CIDB requirements specified in the contract.	Cost and list of references included in the contract
15	Was a implementation program requested in the contract?	Y	Timelines or deadlines not met.	2 D - >50% Probability		Departmental Impact	Fully Effective	I - S/Term (1mth)	Included in the contract	effective communication & supervision.
16	Any risk for contract to be up and running?	Y	Delays in the contract start date	1 D - >50% Probability		Departmental Impact	Fully Effective	I - S/Term (1mth)	project and commercial plan	effective communication.
17	Does the contract pose a risk for loss of opportunities?	N								
18	Was the learning curve for staff been considered?	N								
19	Is there any risk of double processing or duplication of work or in contract?	N								
20	Is this contract dependant on additional external consultants/ costs?	N								
21	Does the contract pose a threat for downtime or service disruption?	N								

22	Were the quality of deliverables specified?	Y	Inadequate component may be installed leading to unreliable results	1 B - >5 Probability	Departmental Impact	Fully Effective	IV - Ongoing	All plant to be used to meet the specified requirements .	Material must be QC checked and be of good quality when delivered and must comply with SABS & ISO Standards
23	Are there any threat of safety with contract deliverables?	Y	Incompetent personnel may not adhere to safety rules and regulations	1 A - <5% Probability	BU Impact	Fully Effective	IV - Ongoing	Contract safety deliverables are specified in the contract	Eskom specifications supplied in the contract. Continuous safety monitoring and inspections to be carried out
24	Was the acceptance criteria specified?	Y	incompetent contractor and inability to deliver the expected outputs.	1 B - >5 Probability	Departmental Impact	Fully Effective	IV - Ongoing	Contract deliverables are specified in the contract	Eskom specifications supplied in the contract
25	Will this contract impact other contracts/projects?	N							
26	Was the cost of implementation considered?	Y	Scope creep will result in increased costs	1 A - <5% Probability	Departmental Impact	Fully Effective	I - S/Term (1mth)	detailed scope issued	There is a contingency provided.
27	Was the cost of training considered?	Y	Incompetent personnel	1 A - <5% Probability	BU Impact	Fully Effective	II - M/Term (<3mths)	included in the scope of work.	Internal training where applicable shall be provided by Eskom, external training shall be provided by the Contractor.Specified in contract
28	Are there a risk for costs in mistakes?	Y	Scope creep will result in increased costs	A - <5% Probability	BU Impact	Fully Effective	I - S/Term (1mth)	detailed scope issued	There is a contingency provided.
29	Does the contract pose in financial risk or exposure?	N							
30	Are there any risk i.t.o. skills and availability?	N							
31	Were the employment requirements considered?	Y	Incompetent personnel	1 C - >20% Probability	BU Impact	Partially Effective	IV - Ongoing	only qualified personee for the work should be employed.	Employment requirements included in the contract.
32	Does the contract require a change management component?	N							
33	Will the contract have an impact on working conditions?	Y	System interruptions and delays	3 B - >5 Probability	BU Impact	Fully Effective	I - S/Term (1mth)	plant to meet the specified requirements in the works information.	Included in the contract
34	Will the contract have an effect on existing job descriptions?	N							
35	Could the contract effect staff morale?	N							
36	Does the contract specify compliance to specific standards?	Y	Poor quality	2 A - <5% Probability	BU Impact	Fully Effective	IV - Ongoing	Contractor must work according to approved specifications and standards.	Contractor must work according to approved specifications and standards.
37	Could the contract lead to negative reactions?	N							
38	Was the cost of maintenance considered?	N							
39	Is a Disaster Recovery Plan required?	Y	Delays in construction	2 C - >20% Probability	BU Impact	Fully Effective	IV - Ongoing	included in the contract, the contract is.	Effective communication and control measures on disaster management in place.
40	Could there be a risk i.t.o. supplier vulnerabilities?	N							
41	Could the contract/ data result in lack in customer service?	N							
42	Were legal requirements captured or referred to?	Y	Breach of contract, legal requirements listed in the contract	2 B - >5 Probability	Departmental Impact	Fully Effective	II - M/Term (<3mths)	contractual agreement to be signed by both parties.	NEC to be signed by all parties involved
43	Could industrial action have an effect on contract execution/steps taken?	Y	System interruptions and delays	2 B - >5 Probability	BU Impact	Partially Effective	IV - Ongoing	Contract duration is sufficient	NEC Clause X2
44	What role will weather conditions play in the execution of the contract?	Y	System interruptions and delays	2 B - >5 Probability	BU Impact	Fully Effective	IV - Ongoing	Sreen plant included in the contract.	Sreen plant included in the contract.
45	Is the contract period the best option?	Y	exceeding the budget & allocated period	1 A - <5% Probability	BU Impact	Fully Effective	IV - Ongoing	Plant Spotters allocated	The program to be monitored and managed closely.
46	What communications risk exist for the contract?	N							
47	Are there any procurement risks?	Y	Yes, delays in commercial process	1 C - >20% Probability	BU Impact	Partially Effective	IV - Ongoing	tender office delays incorporated in the commercial plan.	tender office delays incorporated in the commercial plan.
48	Does time constraints pose a risk to the contract?	N							

49	Any risks in scope increasing/	N								
50	Any risks in the costs/ analysis of the contract?	N								

units 1, 2 and 3

Triggers	Assignee
Lack of information, misunderstanding and incidents	Project manager/ Project coordinator
infrastructure unavailability	Project manager/ Project coordinator
Physical injury or property damages	Project manager/ Project coordinator
Non compliance, Physical injury or incidents	Project manager/ Project coordinator
Poor reporting	Project manager/ Project coordinator
non compliance to contractual requirements,late start date	Project manager/ Project coordinator
Staff turnover	Project manager/ system Engineer
Tasks incorrectly assigned and poor workmanship	Project manager/System Engineer
Incomplete execution or substandard work due to inferior cheap material	Project Manager / System Engineer
no implementation plan	Project manager/ Project coordinator
Contract extension & backlog at tender office.	Project manager/ Project coordinator

Poor workmanship	Project manager/ Project coordinator/ System Engineering
Non compliance, Physical injury or incidents	Project manager/ Project coordinator
Poor workmanship and possible structure failure	Project manager/ System Engineer
Compensation events	Project manager/ Project coordinator
Training requirements are stipulated in the contract.	Project manager/ Project coordinator
Compensation events	Project manager/ Project coordinator
Contractor not adhering to employment requirements	Project manager/ Project coordinator
Contractor non-compliance	Project manager/ Project coordinator
non adherence to contract specifications.	Project manager/ Project coordinator/ C&I Engineering
Natural disaster and changes in the law.	Project manager/ Project coordinator
Contract not signed	Project manager/ Project coordinator
extention of industrial action.	Project manager/ Project coordinator
abnormally heavy rains.	Project manager/ Project coordinator
Compensation events due to poor planning	Project manager/ Project coordinator
Delays in commercial process	Project manager/ Project coordinator
