

Reference	Risk Description	Probability of Event	Impact	Risk Factor	Managed Response. The action that must be taken in accordance with the Risk Factor	Potential of Risk	Risk Management Undertaken	Action Plan	Owner	Action By	Completed	Change in period
<b>A</b>	<b>PLANNING &amp; BUILDING CONTROL RISKS</b>											
A1	Failure to gain planning permission and listed building consent	0	4	0	Early and regular consultation with planning department, conservation officers, English Heritage and local community - explanation and agreement of potential conflicts - gain support from parties involved	Dispute with local planning authority may result in bid delay, change to bid proposals and at worst bid failure	Full consultation with Conservation Officer undertaken and detailed plans and heritage statements provided on key issues. <b>LBC &amp; Planning granted 8th August 2017.</b>	Negate	Arch	On-going to end RIBA 3	✓	↓
A2	Failure to gain scheduled monument consent	1	4	4	Consultation and application to be made. We will engage with Historic England for the consent once we have established the maximum extent of dig and service runs	Dispute would endanger works in rear courtyard	Preliminary discussions and joint site visit held - written response from HE received Dec 16. <b>Design allows for ground slabs to overlay existing to minimise excavations. HE have confirmed rear courtyard is not subject to SMC.</b>	Negate	Arch	On-going to through construction		↓
A3	Ecological constraints associated with rural habitat causes planning problem	2	3	6	Undertake appropriate surveys for planning mitigation. Keep ecology consultant appraised of full scope of works.	Could delay and even compromise planning permission and the works	Ecological report and bat survey undertaken. No major issues identified to date. <b>Dusk emergence and dawn re-entry checks being undertaken in August 2018</b>	Negate	Arch	Pre site		---
A4	Failure to discharge planning or listed building conditions issued with permission and consent	2	4	8	Schedule conditions, conduct on-going consultation and submit formal applications in timely manner	Dispute with local planning authority may result in delay, abortive work etc.	Pending award and conditions	Negate	Arch	Stage 4 onwards		---
A5	Failure to obtain statutory building regulations approval	2	4	8	Liaison with Building Control	Delay ensues on tender production and potential redesign to gain compliance	Pending award and conditions. Initial consultation with Devon Building Control held	Negate	Arch	Stage 4 onwards		---
<b>B</b>	<b>PROJECT SCOPE &amp; MANAGEMENT</b>											
B1	Full extent not sufficiently tested in preconstruction period	3	4	12	Undertake full consultation and reporting of both construction and non-construction issues through managed design development	Programme delays if faults discovered late, potential underfunding of gaps and ultimately building will under achieve objectives if not discovered	Consultation and debate is covering all aspects to date	Negate	Arch/ PM / Client	Ongoing in Preconstruction		---
B2	Round 2 scope increase not supported by key funder	3	4	12	Undertake full consultation and review match funding	Bid failure	<b>Scope agreed in Quarterly Reviews and Mid Term</b>	Negate	TTC / PM	Bid		---
B3	Failure to secure appropriate and sufficient project delivery capacity	3	4	12	Assemble experienced and suitable team	Programme and cost consequences if mismanaged	Design team procured and briefs prepared for other roles	Negate	TTC / PM	Beginning of Delivery		New
B4	Insufficient project management coordination capacity	2	4	8	Full brief and procurement of suitably experienced and qualified person	Lack of leadership	Capacity and scope of role increased for delivery	Negate	TTC	Beginning of Delivery		New
B5	Changes in/loss of project team members during delivery	3	4	12	Positive recruitment and support	Programme difficulties	Briefs prepared for new members, design team already procured and plan of support through regular meetings	Negate	TTC / PM	Throughout		New
B6	Changes in political/strategic direction of applicant	2	4	8	TTC support to be confirmed	Could hinder project completion	TTC have verified support in meeting 25th July 2017	Negate	TTC	Throughout		New
<b>C</b>	<b>PROGRAMME RISKS</b>											
C1	Failure to meet Development deadline for submission arising from lack of TTC / THT agreement	2	4	8	Set sensible time table for discussion and agreement - seek HLF support of "agreement"	Bid failure	<b>Both parties in agreement with advanced Partnership. TTC have formally backed bid at July meeting</b>	Negate	TTC / THT	Mid Term Review		↓
C2	Failure to meet Development deadline for submission arising from historic delays	3	4	12	Maintain agreed re-programme	Quality if bid suffers resulting in failure	<b>A deferral to August 2017 agreed.</b>	Negate	TTC / PM	Mid Term Review		↓
C3	Delay in funding award compromises programme	4	3	12	Bid co-ordination with all parties and pre assessment checks to be carried out	Delay in overall programme could result in difficulties with TTC and THT programmes	<b>Programme debated for Round 2 submission</b>	Negate	TTC / PM	Round 2		---
C4	Failure to appoint professional team for early post award start	2	4	8	Agree procurement strategy with Client and funding body	Delay in overall programme	The design team have appointments for the full term with Round 2 break clause	Negate	TTC / PM	Post Bid approval		---
C5	Supply lead in periods too long	3	3	9	Identify key items and liaise with suppliers during specification drafting	Site delays	Team to confirm any issues.	Reduce	Design Team	Ongoing		---
C7	Works weather dependent - external fabric repairs, lime work on roof and walls, painting, timber repairs etc.	3	3	9	Include for temporary roof and sheeted scaffold on sensitive areas. Undertake works at appropriate times. Only uncover that which can be recovered quickly	Delays to contract and building damage	Agreed to include for temporary roof structures Police Station and Trowles where re-slating. Other areas where work isolated or less onerous to be managed by contractor	Negate	Arch / Contractor	Ongoing		---
C8	Delays arising associated with areas of the site remaining operational during construction	2	4	8	Preferable that TTC vacate offices	Disruption to works activities	<b>TTC agreed to vacate. Public realm works to be included in contract</b>	Negate	Arch / Contractor	Construction		↓
C9	Failure to meet the April 2020 opening date from future significant delays	4	3	12	Project Co-ordination	Reduced opening time to maximise income and impact in the summer 2020	Project Co-ordinator's role expanded	Negate	DPC	Post Bid approval		NEW
<b>D</b>	<b>CONTRACTUAL RISKS</b>											
D1	Difficulties with Permission to Start	3	4	12	Clear key issues at Round 2 and apply prompt response on offer	Delay in start. <b>Increase in risk arising from HLF requirements as conditions?</b>	<b>Ongoing dialogue with HLF and Project Monitor</b>	Reduce	TTC / PM	Post Bid approval		↑
D2	Excessive qualifications to tender	2	3	6	Ensure documentation suits a refurbishment contract and is not too bespoke and too onerous	Complications in tender assessment. An open tender may result in more issues due to the importance of quality selection deferred from pre-qualification	Pending	Reduce	QS	RIBA 4		---
D3	Level of liquidated damages inadequate or prohibitive	2	3	6	Genuine pre estimate to be undertaken and level reviewed	Losses incurred through delays or tender pricing risk high	Pending	Reduce	QS/Client	RIBA 4		---
<b>E</b>	<b>FINANCIAL RISKS</b>											
E1	Failure to identify risks in cost planning	2	4	8	Robust cost planning required to identify risks including contingency estimate	Unforeseen problem results in budget shortfall	<b>RIBA 3 cost estimate undertaken</b>	Reduce	QS	RIBA 3		---

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E2	Project overspend over Development Stage	2	4	8	Project Costs and Construction to be monitored. Regular appropriate financial reviews pre and post contract combined with full specification and good contract administration	Scope cut backs or unable to meet contractual obligations or future works compromised or additional funding required	RIBA 3 cost estimate undertaken	Share	TTC / QS	On-going		
E3	Cash flow difficulties	2	4	8	Agree cash flow strategy	Late payment is breach of contract	Pending	Negate	TTC / QS	On-going		---
E4	Last minute notice of budget items deemed ineligible	2	4	8	Consultation prior to bid submission	In eligible items not funded	Fully detailed scheme discussed	Negate	Arch /TTC /QS / PM	Bid submission		---
E5	Funding falls foul of State Aid problems	2	5	10	Client to take expert advice	Funding compromised	Low commercial use.	Negate	Client	Bid submission		---
E6	Inflation underestimated	2	4	8	Carry out research and keep project low risk	Funding compromised	Inflation assessment undertaken	Reduce	QS	Bid submission		
E7	Failure to cost plan non construction costs	2	4	8	Exhibition costs to be tested. Other budgets to be researched	Budget inadequate	Budgets reviewed at submission	Negate	TTC/ Exhib /QS	Bid submission		---
E8	Failure to secure any funding gap or cover cost increases	3	4	12	Identify any issues early on and manage applications.	Funding shortfall, delay or failure in HLF approvals	Project Budget Development. Consultant engaged to cast the net wide with robust applications. <b>TTC have underwritten.</b>	Negate	TTC	On-going		↓
E9	Failure to gain a Round 2 HLF grant award	3	5	15	Submission of a first class bid that articulates the great community benefit and value for money offer	The scheme will not progress without external funding and the building will remain in its current state	Deferred bid being compiled	Negate	TTC	On-going		NEW
E10	Loss of match funding	2	5	10	Management of external funding	Funding shortfall and delay in HLF approvals	Pending	Negate	TTC	On-going		---
E11	Delivery Budget exceeded	3	4	12	Approval of robust budget and proactive cost management thereafter	Tenders are high or variations increase cost	Detailed cost plan with contingency to date. Traditional competitive procurement proposed	Negate	QS	On-going		NEW
<b>F</b>	<b><u>SITE CHARACTERISTICS</u></b>											
F1	Unchartered below ground problems (voids, rock etc.)	2	3	6	Site investigations to be carried out in pre tender if possible	A wide range of foundation and drainage problems	Nominal excavation envisaged	Reduce	Eng	Ongoing		↓
F2	Foreseeable defects not appraised	3	3	9	Early appraisal of condition.	Delay and disruption - additional scope of repairs	Buildings inspected during RIBA 2 and 3	Reduce	Arch	RIBA 3		---
F3	Presence of below ground services & underground features	3	3	9	Full below ground radar scan and investigation required	Delay, abortive design costs and unplanned expenditure for diversions	Ground scan pending	Reduce	Services/ Engineer	Pre Construction		---
F4	Unforeseen hidden defects	3	3	9	Early appraisal of condition - sample areas	Delay and disruption - additional scope of repairs	Buildings will be thoroughly inspected after initial opening up.	Reduce	Arch	Early construction		---
F5	Presence of hazardous materials	3	4	12	Site investigations to be carried out in design stages with buildings made accessible. Enabling works to be considered if contaminants found. Demolition survey at start of works	Health & safety - site delays - unplanned expenditure for off site licenced removal	Pending	Negate	Arch /TTC /	Early construction		
F6	Archaeological finds in off site works	3	3	9	Research and appointment of archaeologist to mitigate risk?	Delays and extra cost	Pending	Negate	Client	Ongoing		---
<b>G</b>	<b><u>DESIGN RISKS</u></b>											
G1	Design (Building / Exhibition) is insufficiently advanced for funding requirements	2	4	8	Regular presentation and updates with stake holders	Bid delay or failure	RIBA 3 reached. Planning submission documents provided to HLF	Negate	Arch/ PM / Client	Mid Term Review		↓
G2	Design co-ordination fails	2	4	8	Design team meetings and lead consultant sign off	Abortive work	Regular design team meetings take place	Reduce	Arch	Ongoing		---
G3	Services distribution within building difficult	2	3	6	Pre site design	Site variations/delay	Architect and Services Consultant reviewing	Reduce	Arch / Services	Ongoing		---
G4	Failure to implement disability advice	2	4	8	Undertake consultation and implement agreed proposals	Operational problems	Disability consultation held	Negate	Arch / Exhib	Ongoing		---
<b>H</b>	<b><u>COMMERCIAL RISKS</u></b>											
H1	Financial stability of contractor	2	4	8	Careful selection - consider use of guarantee bonds	Contractor folds without recompense. Will increase with open tendering and checks may cause delay	Pending	Reduce	TTC / QS	Tender		---
H2	Financial stability of supply chain	3	3	9	Careful selection - use of insurance backed warranties/guarantees	Product support lost	Pending	Transfer	QS / Arch	Tender		---
<b>I</b>	<b><u>CONSTRUCTION RISKS</u></b>											
I1	Inadequate/inappropriate resources employed	2	4	8	Provide details of on and off site management / quality controls	Bad workmanship - delays	Pending	Transfer	Contractor	Tender list		---
I2	Poor quality control	2	4	8	Careful contractor selection - benchmarking / monitoring	Bad workmanship - delays	Pending	Share	Design Team	Construction		---

