

Denbighshire and Flintshire Joint Archive Project - Risk Register

Risk Number	Risk Category	Title	Description	Key Risk	Active	Inherent Risk	Mitigation Strategy	Mitigating Action	Residual Risk	Risk Owners	Date Last Reviewed	Trend
001	Political	Change in Political climate	Political priorities change and support for pursuing the Joint Archive withdrawn	Yes	Yes	2D	Acceptance	- Strong political engagement throughout at all level on case for change	4D	Claire Homard Ian Roberts Alan Smith Tony Thomas	04/07/2019	
002	Economic/Finance/Market	Can not secure Grant Funding for the Build	The New Build is reliant on securing NLHF Heritage Horizon external funding on a 70/30 grant/match ratio	Yes	Yes	1C	Reduction	- Early and continued engagement with NLHF - Appointing external consultancy to assist us with the grant application process - Ensuring synergy with our plans and NLHF objectives - Preparing well for EOI presentation	1D	Helen Vaughan-Evans Claire Harrington	04/07/2019	
003	Economic/Finance/Market	Can not secure Match Funding for the Build	The New Build is reliant on securing LA match funding 70/30 grant/match ratio. Likely that both FCC and DCC will need to fund their match contribution, at least in part, by prudential borrowing.	Yes	Yes	1C	Reduction	- Early and continued engagement with finance stakeholders in FCC and DCC - Meeting with political members and key stakeholders in FCC and DCC - Clear and robust business case - business case would need to demonstrate what income/savings would be generated in order to meet the repayments. - Realistic repayment strategy for any prudential borrowing - explore other options of funding and or repaying the debt - exploring options for the surplus space at Ruthin Gaol and presenting positive scenarios for this site	1B	Claire Homard Alan Smith Helen Vaughan-Evans	27/08/2019	Worse
004	Legal & Regulatory	Planning Objections / Refusals for the Build	The New Build is located adjacent to Theatr Clwyd (listed building) and within the wider Shire Hall Campus. Planning receive significant objections to proposals for new Archive in Mold and / or refuse application	Yes	No	1D	Avoidance	- Early and continued engagement with FCC Planner - seeking pre app advice early to shape design - Early and continued engagement with statutory planning consultees, especially Cadw, and shaping designs to suit - Early and continued engagement with local neighbours, especially FCC Assets team and Theatr Clwyd, to gain buy in for build - Completion off all necessary surveys and analyses for Planning Application - Appointment of Planning Consultant as part of Design&Construction team	1D	Helen Vaughan-Evans Claire Harrington	04/07/2019	
005	Organisational/Management/Human Factors	Operational roll-out issues for single shared service	Problems with roll out mean gains in efficiency and consistency aren't achieved	No	No	2D	Avoidance	- Careful planning on implementation of single shared service including training and co-ordination - Carving out time in staff diaries to engage with one another and spend time in each archive building	4D	Craig Berry	04/07/2019	
006	Organisational/Management/Human Factors	Failure to gain overall community support for the new service model	Apathy towards the new single shared service based in Mold mean visitor numbers drop and income declines. Not aware of temporary/permanent Archive provision in localities across the Counties means they feel a loss of service.	No	Yes	2D	Reduction	- Ongoing consultation / communication with Residents on proposed change to educate & explain & assist - Comprehensive Comms Plan / Strategy	E3	Craig Berry Claire Harrington	04/07/2019	
007	Organisational/Management/Human Factors	Failure to gain overall staff support for the new service model	Apathy towards the new single shared service means loss of productivity and positivity amongst staff. Potential to lose staff.	Yes	Yes	1C	Reduction	- Ongoing consultation / communication with Staff - Comprehensive Comms Plan / Strategy	1D	Craig Berry Claire Harrington Claire Homard Alan Smith	04/07/2019	
008	Organisational/Management/Human Factors	Uncertainty with the direction of travel for the new shared service	Perception of uncertainty amongst staff groups results in the feeling of fear for their jobs and/or new culture/working practices meaning they look for other jobs and/or drop in productivity/positivity in their work	No	Yes	1C	Avoidance	- Detailed project communication and engagement plan - Upfront and transparent communication with staff - Delivery model for new shared service to have a long term life, i.e. deliver model in the least number of changes - Early and continued engagement with Unions - Maximise on opportunity for new roles and training afforded by the NLHF activity plan funding bid element	2E	Claire Homard Alan Smith	04/07/2019	

009	Legal & Regulatory	Delays in obtaining permits/ permissions for the Build	Issues causing delays in obtaining necessary Environmental and Planning Permits / Permissions for required New Build	No	No	2B	Reduction	<ul style="list-style-type: none"> Careful planning on implementation including application for any Permits in good time Commencing Design / Planning work/consultations in good time allowing float to cope with any time overruns in process 	2D	Helen Vaughan-Evans	04/07/2019	
011	Technical/Operational/Infrastructure	Utilities / Drainage Connections	Issues causing delays in obtaining necessary service diversions or/and connections. Utility companies notoriously slow at the application/approval process Will need to liaise with Utilities on Services including Drainage in relation to parcel of land to be developed for new archive and any requirements to link to connections / extensions as part of development of the whole campus site/Theatr Clwyd	No	No	3B	Reduction	<ul style="list-style-type: none"> Early submission of any utility permissions Avoid the need for diversions in design Allow float in project programme to copy with any time overruns in process Engagement with Theatr Clwyd development and Shire Hall Campus masterplanning to ensure synergy of utility connection plans 	3C	Helen Vaughan-Evans	04/07/2019	
012	Economic/Finance/Market	Change in Financial climate	Financial climate changes which results in requirement to significantly cut FCC and/or DCC contribution towards single shared service which puts the entire joint service model under strain	Yes	Yes	3C	Acceptance	<ul style="list-style-type: none"> Operation of a Strategic Joint Archive Project Board which forecasts and manages any potential financial strains Reducing the operating costs of the Joint archive service to ensure it represents value for money and an efficient service 	3C	Claire Homard Alan Smith	04/07/2019	
013	Technical/Operational/Infrastructure	Delays in construction due to weather	Estimating a 1 year build with grounds enabling No works undertaken first which are heavily dependent on weather conditions for completion. Potential to have knock on delays.	No	No	3C	Share	<ul style="list-style-type: none"> Attempt to start construction programme, enabling ground works, in Spring Attempt to avoid winter for concrete works Attempt to move to internals in winter Build in float within the programme 	4D	Helen Vaughan-Evans Supplier	04/07/2019	
014	Strategic/Commercial	Delays in construction due to supply chain	Construction will rely on provision of materials in a timely manner. Some opportunity for stockpiling but not got a huge amount of space.	No	No	3C	Transference	<ul style="list-style-type: none"> Ensure clear in tender information pack employees requirements and build requirements for tenders to start to plan early within their supply chain. Be clear within contract the approach to stand down days i.e. Client wont be responsible! 	4D	Helen Vaughan-Evans Supplier	04/07/2019	
015	Technical/Operational/Infrastructure	Overlapping construction programme with Theatr Clwyd / County Hall Campus works	Potential for Theatr Clwyd redevelopment works to still be ongoing and County Hall Campus works to be commencing (demolition) at the same time as the Archive build	No	No	3B	Share	<ul style="list-style-type: none"> Early and continued engagement between project managers of Theatr Clwyd and Shire Hall campus works to understand programme timelines Maximising on any programme overall opportunities Minimising on any programme overlap risks- Appropriate health and safety provision to manage movement risks across the site 	4B	Helen Vaughan-Evans Theatr Clwyd Neal Cockerton	04/07/2019	
016	Technical/Operational/Infrastructure	Access/ Egress to/from site	Access/egress to/from site is via existing road network. This network likely to change as a result of Theatr Clwyd work and Shire Hall campus master plan. Unlikely for it to close our access and egress but close engagement and coordination required between parties involved.	Yes	Yes	3D	Avoidance	<ul style="list-style-type: none"> Early and continued engagement between project managers of Theatr Clwyd and County Hall campus works Maximising on any access/egress opportunities Minimising on any access/egress risks Building in the expected Archive visitor flow and numbers into any masterplanning work for road layout 	4D	Helen Vaughan-Evans Neal Cockerton	04/07/2019	
017	Technical/Operational/Infrastructure	Ground conditions	The site is on a raised section of what we are assuming is made ground. Unknown at this stage the ground conditions and if there is any contamination.	Yes	Yes	2C	Reduction	<ul style="list-style-type: none"> undertake intrusive ground investigation as early as possible in the development phase build in appropriate contingency to plan for worst case scenario in project cost plan -e.g. material removal, piling Engage with any statutory stakeholders in terms of material management plan Engage with Shire Hall Campus team in maximising on opportunities to reuse the material on site for any necessary releveling work 	3C	Helen Vaughan-Evans	04/07/2019	

018	Organisational/ Management/ Human Factors	Compatibility / Integration with Theatr Clwyd building and County Hall Campus Works including overlapping construction programme	A range of options for integration with Theatr Clwyd Building including- no connection, physical connection or connection through landscaping. Potential loss of quality of outcome if no compatibility / integration with Theatr Clwyd achieved- for both parties involved. Potential for Theatr Clwyd redevelopment works to still be ongoing and County Hall Campus works to be commencing (demolition) at the same time as the Archive build. Without proper coordination, the Theatr Clwyd project may cause a delay on Archive project by 1-2 years and increase in project budget due to inflation of 3-6%	Yes	Yes	2A	Share	- Early and continued engagement with key stakeholders including FCC CEO, Lead Members and Theatr Clwyd MD - Communication and engagement between the two project's project management and design teams - Myth busting and sensechecking - Clear and transparent business case for a link - Early and continued engagement between project managers of Theatr Clwyd and County Hall campus works to understand programme timelines - Maximising on any programme overall opportunities - Minimising on any programme overlap risks- Appropriate health and safety provision to manage movement risks across the site	3A	Claire Homard Helen Vaughan-Evans Claire Harrington Theatr Clwyd Neal Cockerton	02/09/2019	Worse
019	Organisational/ Management/ Human Factors	Understanding of, and belief in, Passivhaus in the building design and eventual operation of the building	Passivhaus still relatively new building and operating methodology although Hereford Archive Passivhaus building provides a successful case study. Lack of understanding at design/build stage may result in unnecessary installation of heating/cooling systems which are redundant. Lack of understanding at building handover and use stage may result in reducing the benefits of Passivhaus in energy use reduction and temperature control.	No	Yes	3D	Reduction	- Awareness raising session with key stakeholders on passivhaus - Site visit to Hereford for key stakeholders in required - Use of a design team (architect) who has track record of Passivhaus archive facilities - Use of builders who has track record of Passivhaus buildings - Proper training and thorough building handover process and building use documentation with Archive Staff and FCC/DCC building maintenance/energy/asset management colleagues	4D	Claire Harrington Designer	04/07/2019	
020	Strategic/Commercial	Surplus building at Old Rectory, Hawarden	A solution is required for the long term use of the Old Rectory once Archive move out. The site has high development potential but access/egress issues need to be resolved. Local Member has made it clear that if Old Rectory goes, that some investment in Gladstone Library needed in order to make that acceptable	Yes	Yes	3A	Acceptance	- Continued engagement with Hawarden residents and local members - Clearly communicating the hub and spoke model of service delivery for the Archive service - Installing permanent and temporary service offerings in Hawarden- building costs within Activity Plan - Completing feasibility study for the site to address egress/access issues	4A	Helen Vaughan-Evans Neal Cockerton	04/07/2019	
021	Strategic/Commercial	Surplus space at Ruthin Gaol, Ruthin	A solution is required for the long term use of the Ruthin Gaol once Archive move out. Archive occupy 70% of the Ruthin Gaol and Countryside and Heritage occupy 30% as a visitor attraction. Councillors have indicated that Ruthin Gaol must not close and any opportunities to enhance the heritage visitor attraction explored	Yes	Yes	2A	Fall back	- Continued engagement with Ruthin residents and local members - Clearly communicating the hub and spoke model of service delivery for the Archive service - Installing permanent and temporary service offerings in Ruthin- building costs within Activity Plan - Progressing talks with The National Trust around the ongoing operation of the site as a tourist attraction - Thinking of other options for the site if National Trust conversations fail with Countryside and Heritage Management	4A	Craig Berry Tom Booty Alan Smith Huw Rees	04/07/2019	

022	Economic/Finance/Market	Cost of new building higher than anticipated	When confirming requirements for development of new Archive and progressing through the RIBA design stages issues arise / issues clarified that mean associated costs escalate	Yes	Yes	2C	Fall back	<ul style="list-style-type: none"> - Seeking cost certainty as early as appropriate e.g. completing ground investigation etc - Develop well defined Requirements Document for new Archive building including sense checking the area schedule for the repository - Work within constraints of existing sites as far as practical and undertake necessary GI, other surveys early to identify any site issues - Appointing a QS early in the project - Planning for worst case scenario in cost estimates - Using a higher contingency % early on in programme and reassessing % level as we progress through RIBA stages - Presenting worst case scenario in any funding bids so no having to go back to funders to ask for more money. 	4C	Helen Vaughan-Evans	04/07/2019	
023	Organisational/Management/Human Factors	Focus drifts from delivering current service	Due to focus of key team members on implementation of new single service and developing the NLHF bid and delivering activity plan, focus on ensuring existing Archives remains well run drifts negatively impacting on quality of current service	No	Yes	3B	Avoidance	<ul style="list-style-type: none"> - Ensure continued resource allocation in place for existing service model including a dedicated Project Manager. - Put in place additional temporary resource to support the delivery of the activity plan- ensure these costs included in the NLHF bid - Be sensitive in resourcing levels when devising project programme - Continue to monitor performance targets of service 	5C	Craig Berry Claire Harrington	04/07/2019	
024	Strategic/Commercial	Construction Procurement Delays	Delays in detailing and undertaking procurement exercise to engage a Contractor to develop proposed new Archive Building	No	No	3C	Avoidance	<ul style="list-style-type: none"> - Clear early decisions on requirements for new Archive and early engagement with Procurement on process required to tender and let contract. - Close liaison with Design colleagues to allocate expertise to oversee design specification. 	3D	Helen Vaughan-Evans Design and Construction	04/07/2019	

025	Strategic/Commercial	Design Procurement Delays	Delays in detailing and undertaking procurement exercise to engage the Design team to develop proposed new Archive Building	No	No	3C	Avoidance	<ul style="list-style-type: none"> - Decision from Project Board on which Design&Construction team (FCC or DCC or joint) will be appointed to manage design team procurement and management. - Clear early decisions on requirements for new Archive and early engagement with Procurement via Design and COstruction on process required to tender and let contract. - Close liaison with Design colleagues to allocate expertise to oversee design specification. 	4D	Helen Vaughan-Evans Design and Construction	04/07/2019	
026	Strategic/Commercial	Funding Terms and Conditions - Ruthin Gaol	Ruthin Gaol received HLF funding in 2000 to redevelop/refurbish the archive. This must remain open as an archive until 2025 unless funding condition can be negotiated.	No	Yes	2B	Fall back	<ul style="list-style-type: none"> - Early engagement with HLF on what is possible here - Build into project programme worst case scenario that it remains open until 2025. - Factor that into cost analysis 	3C	Helen Vaughan-Evans	04/07/2019	
027	Organisational/Management/Human Factors	Failure to recruit/ secure staffing resources required to deliver activity plan	Will need to ensure suitable resource is readily available in order to deliver our ambitions within the activity plan, especially as the roles will be temporary in nature- potentially harder to recruit into	No	No	3C	Reduction	<ul style="list-style-type: none"> - Discussion with other Archive departments in the country to raise awareness of potential opportunities in the pipeline - Consider HR options early and build into programme elements such as upskilling current workforce /introduce career pathways - Build in proper amount of time and cost into programme and funding bid for recruitment and advertisement 	4D	Craig Berry Claire Harrington	04/07/2019	
028	Organisational/Management/Human Factors	Union/Workforce resistance to changes puts quality of new service at risk	The workforce will require ongoing consultation about the service changes. Their job will be different to what it is now, with some roles changing completely. If not carefully managed, this may cause workforce unrest or anxiety amongst individuals.	Yes	Yes	3B	Avoidance	<ul style="list-style-type: none"> - Regular updates provided to the workforce by the team and head of service. - Career Pathways programme to be developed to provide opportunities for upskilling - Maximisation of new job opportunities within the temporary roles as part of the activity plan - Manager's of FCC and DCC servicee leads regular Union meetings. 	4D	Claire Homard Alan Smith	04/07/2019	

029	Strategic/Commercial	Land Provision at the site	The site is owned by FCC. Clarity needed on whether FCC happy for the land to be used for archive building. Clarity needed on whether FCC are expecting any payment for use of land. Clarity needed on whether FCC expecting any "in kind" contribution to be recognised as part of bid and thus reduce the amount of "hard cash" to be used as match towards the funding bid	Yes	Yes	3A	Share	- Early engagement with land owner- FCC - Early engagement with NLHF on how any in kind contribution will be treated...would this reduce the overall figure of cash needed to be found for match or does the cash amount (30% of total bid) remain the same? - Pragmatic negotiations - Early sorting out of any land acquisition processes if needed	5A	Helen Vaughan-Evans Claire Homard Neal Cockerton	04/07/2019	
030	Legal & Regulatory	Ecological issues	Proposed archive site may contain protected species that impact on what is permissible / time scales for development	No	No	3D	Acceptance	- Engagement of Ecologist to get on site as early in programme as possible to undertake necessary Ecological Survey to confirm position and recommend any mitigation required to at least capture scale of any issue as soon as possible	4D	Helen Vaughan-Evans Designer	04/07/2019	
031	Legal & Regulatory	Tree issues	Proposed archive building likely to cause the removal of some trees currently on site that may impact on what is permissible / time scales for development	No	No	3A	Acceptance	- Early engagement with FCC Tree officer - Appointment of arboricultural survey as required - Factoring in nesting season within project programme	5A	Helen Vaughan-Evans Designer	04/07/2019	
032	Economic/Finance/Market	Impact of Brexit	Uncertainty around Brexit timescales and outcomes negatively affecting costs / labour availability	No	Yes	3B	Fall back	- Provide some allowance in material and labour costs within the initial archive cost build up - limit to mitigating action possible to take at this point in time given uncertainty on nature & scale of impact	4B	Claire Homard Alan Smith	04/07/2019	
033	Organisational/Management/Human Factors	Importance of relationship with new and existing partners to ensure reach and delivery of NLHF delivery plan	Given reliance of achieving the activity plan in collaboration with new and existing partners it is critical a good & close relationship is established and maintained with these partners (e.g. health, education etc).	Yes	Yes	2B	Reduction	- A good collaborative approach has been developed to date by the current team with current partners- these need to be enhanced reflecting ambition in activity plan. - New critical relationships with partners needs to be identified early and time spent building up these relationships. - Involve potential target partners in the development of the activity plan so they feel like they own the activity plan and are willing to work with us in a new and different way	4B	Craig Berry Claire Harrington	04/07/2019	
034	Organisational/Management/Human Factors	Requirement of the use and increased recruitment of volunteers within NLHF funding bid	NLHF heavily weights the use of volunteers and expects to see an increase in number of volunteers before and after project	No	Yes	3B	Reduction	- A good collaborative approach has been developed to date by the current team with current volunteers- need to make sure we don't lose any of our current volunteers. - Ideas for recruiting new volunteers need to be built into activity plan and costs included for training/travel etc. - Involve existing and potential new volunteers in the development of the activity plan so they feel like they own the activity plan and are willing to work with us in a new and different way	5B	Craig Berry Claire Harrington	04/07/2019	
035	Strategic/Commercial	Continued operation of Theatr Clwyd	Potential uncertainty of the longer term operation of Theatr Clwyd, be it directly owned by FCC or potential for it to become an arms-length organisation. Also the risk of it being impacted by continuing austerity.	No	Yes	2B	Fall back	- continued engagement with FCC colleagues and Theatr Clwyd to keep updated on thinking and position and plans with regard to Theatr Clwyd management - Ensuring SLA's in place as appropriate for any agreed working relationships between Archive and Theatr Clwyd and that these are contractually transferred to new legal entity if the time comes - Ensure Archive Business Plan is robust enough to withstand any reduction of service/income associated with Theatr Clwyd building/relationship	4B	Claire Homard Helen Vaughan-Evans	08/07/2019	
036	Organisational/Management/Human Factors	Clarity on roles to avoid abortive works	Lack of clarity on roles between Project Team Members- chiefly Craig, Claire and Helen- running the risk that there may be some abortive work undertaken / duplication. Project team coordination will only increase as more people get involved as project progresses.	No	Yes	3B	Avoidance	- Ensure coordination within project team - Helen as PM to act as single point of contact - Clarity within the Project Board action based minutes - Project Team members communicate regularly with each other	4D	Helen Vaughan-Evans Craig Berry Claire Harrington	04/07/2019	

