

| Step 1: Risk Identification |                        |               |                      |   |  | Step 2: Risk Assessment |                   |                     |                   |                        |                            | Step 3: Risk Response |                   |   | Step 4: Monitor & Control |                       |                   |   |
|-----------------------------|------------------------|---------------|----------------------|---|--|-------------------------|-------------------|---------------------|-------------------|------------------------|----------------------------|-----------------------|-------------------|---|---------------------------|-----------------------|-------------------|---|
|                             |                        |               |                      |   |  | Rank                    |                   |                     | Cost Impact (\$M) |                        | Schedule Impact            |                       |                   |   |                           |                       |                   |   |
| #                           | Category               | Phase         | Opportunity / Threat | Risk Name   | Detailed Description   | Probability (1 - 5)     | Consequence (1-5) | Severity (Priority) | Probability (%)   | Most Likely Cost (\$M) | Most Likely (no. of weeks) | (H/L) 'K' 'M'         | Response Category | Response  | Risk Owner                | Status                | Date Last Updated | Tracking Comments   |
| 7                           | Cultural Resources     | Design        | Threat               | Veterans Memorial                                       | Placement of the Veterans Memorial conflicts with the roundabout at Rice Lake Rd/Martin Rd.  | 1                       | 4                 | 4                   | 0%                | \$0                    | 3                          | \$0                   | Avoid             | Site is under construction which will allow the county to determine actual impacts and design trail and roads to avoid conflict. Install fencing around monument to avoid damage.   | County - Vic              | Retired (Complete)    | 12/12/23          | Veteran's built and placed outside of existing and new road ROW   |
| 16                          | Environmental          | Design        | Threat               | Environmental Assessment Worksheet (EAW)                | It is determined that the project must prepare an EAW.   | 1                       | 3                 | 3                   | 100%              | \$200,000              | 0                          | \$40,000              | Accept            | Communicating with MnDOT EO and FHWA to discuss the scope of project and necessary environmental reviews. Complete necessary environmental during project design and engineering  | County - Carol            | Active (Ongoing)      | 04/18/24          | Met with Derek Fredrickson, MnDOT and went through the decision tree. MnDOT reviewed decision tree with FHWA ands received email assessment based on project scope is Non-Programmatic CATEX Long Form. Decision tree attached to RAISE grant. Long form to be completed in next phase. Functional work group set up with standing meetings with the State Aide Office. With project receiving federal funds for the trails, the threatened and endangered species and cultural resources review can begin. |
| 45                          | Environmental          | Design        | Threat               | Endanger or Threatened                                  | Discovery of endangered or threatened species causes delay during construction or adjustment of methods  | 1                       | 1                 | 1                   | 50%               | \$50,000               | 4                          | \$5,000               | Avoid             | Conduct review of known endangered or threatened species during project planning; inform contractor of necessary avoidance measures.  | County - Carol            | Active (Ongoing)      | 04/18/24          | Reviewed database and not endangered or threatened species identified. Will do more work in next phase. With project receiving federal funds for the trails, the threatened and endangered species review can begin. County also considering doing a bat survey.  |
| 11                          | Environmental          | Design        | Threat               | Impact to Section 4(f) Lands                            | The new Veteran's Memorial Park be classified as a Section 4(f) land that cannot be disturbed by the project.  | 1                       | 5                 | 5                   | 10%               | \$25,000               | 26                         | \$500                 | Avoid             | Check with FHWA on their position; plan to avoid property acquisition or disturbing the site during construction. Part of the MnDOT, FHWA meeting in fall 2023  | County - Carol            | Retired (Complete)    | 04/18/24          | Built on private land and believed to not be a 4(f) site. Steve indicates his assessment is that it is not 4(f) resource. With project receiving federal funds for the trails, the cultural resources review can begin to confirm initial assessment. Can discuss at next State Aide consultation meeting.  |
| 4                           | Funding                | Design        | Threat               | Project Funding Level                                   | Project obtains less than 80% of the project cost in Federal funding (underfunded) or none of the project funding  | 1                       | 5                 | 5                   | 50%               | \$1,000,000            | 52                         | \$100,000             | Mitigate          | Break the project up into several phase. County continues to pursue other funding sources. County defers other projects   | County - Vic              | Active (Ongoing)      | 04/18/24          | County actively working to develop a robust and competitive application. RAISE Grant application submitted. County received first federal funding for the project for the trails component. This will assist in leveraging additional funds   |
| 8                           | Geotechnical/Materials | Design        | Threat               | City Street Connector                                   | Additional unsuitable soils discovered at the preferred location of the city street connecting West Calvary Rd and Martin Rd. (assuming discovery at design)   | 4                       | 5                 | 20                  | 50%               | \$200,000              | 0                          | \$80,000              | Avoid             | Perform geotechnical review during design.  | County - Vic              | Active (Ongoing)      | 12/12/23          | Engineering team aware of poor soils, \$1.2M built into project budget for muck removal.  |
| 5                           | Organizational         | Design        | Threat               | City Ownership of New Streets                           | City of Rice Lake does not take over ownership of new city streets constructed as part of the project.   | 1                       | 3                 | 3                   | 0%                | \$0                    | 0                          | \$0                   | Avoid             | Negotiate and execute cooperative agreement prior to construction   | County - Vic City - Toni  | Dormant (Not Started) |                   |   |
| 46                          | Organizational         | Design        | Threat               | Tax Forfeiture Land                                     | Inability to sell or dispose of the Tax Forfeiture land (for legal, policy, state legislature inaction etc...) means the area isn't planned and developed  | 1                       | 4                 | 4                   | 0%                | \$0                    | 0                          | \$0                   | Accept            | Issue won't be resolved prior to RAISE application, however it is expected that at some point the land will be sold or transferred for development; assume development as guided/zoned by the current city plans. If the road isn't built, it would decrease project cost but not necessarily impact future development | County - Vic              | Dormant (Not Started) | 12/12/23          | Study area include _____ developable land; of which _____ is in tax forfeited area. There is plenty of land within the study area that is already receiving interest that will be available to develop aside from the tax forfeiture land to give the county and city time to develop a plan for future development   |
| 21                          | Public                 | Design        | Both                 | Context sensitive solutions                             | Local Community (stakeholders or general public) may advocate strongly for a change in design to match their community goals, habits, or comfortability.   | 1                       | 2                 | 2                   | 10%               | \$40,000               | 4                          | \$800                 | Avoid             | Community engagement and communications well before construction so people are informed about the project, goals, timelines etc...  | County - Vic              | Active (Ongoing)      | 12/12/23          | Robust engagement in 2023 documented including efforts and public comments and concerns. We'll continue to engage the public, especially adjacent property owners during design and engineering.  |
| 10                          | Public                 | Design        | Threat               | City Municipal Consent                                  | St. Louis County is not able to obtain municipal consent or public support for the project.  | 1                       | 5                 | 5                   | 10%               | \$50,000               | 12                         | \$1,000               | Avoid             | Community engagement and communications well before construction so people are informed about the project, goals, timelines etc...  | County - Vic              | Dormant (Not Started) | 04/18/24          | Not actively negotiating an agreement but engaging the city on design and long term plans. Received joint resolutions of support from the city of Rice Lake as a partner on the project.  |
| 26                          | Public                 | Design        | Threat               | Low response to outreach efforts                        | The RAISE grant application depends heavily on public participation. If, despite our efforts, we are unsuccessful at garnering public input, the application may score poorly.   | 2                       | 2                 | 4                   | 0%                | \$0                    | 0                          | \$0                   | Avoid             | Community engagement and communications well before construction so people are informed about the project, goals, timelines etc...Document engagement we are doing  | County - Vic              | Retired (Complete)    | 12/12/23          | Robust engagement in 2023 documented including efforts and public comments and concerns.  |
| 43                          | Public                 | Design        | Threat               | Property owner or group sues                            | Property owner, business or community group sues to stop the project over concerns about impact  | 1                       | 3                 | 3                   | 0%                | \$100,000              | 52                         | \$0                   | Avoid             | Community engagement and communications well before construction so people are informed about the project, goals, timelines etc...; Proactively reach out to affected property owners early in the process to identify potential issues and resolve prior to construction.  | County - Vic              | Not Started           | 12/12/23          | Robust engagement of property owners, businesses and developers indicates that they are generally supportive of the project.  |
| 1                           | R/W-Utilities-RR       | Design        | Threat               | Condemnation to Acquire Right-of-Way                    | Property owners refuse to sell ROW/easements or title issues for trail, utilities or roadway resulting in the need to file for condemnation. Condemnation proceedings required to acquire right-of-way due to disagreement which will increase the time required to prepare the ROW. | 5                       | 4                 | 20                  | 75%               | \$100,000              | 26                         | \$75,000              | Avoid             | Start due diligence on the properties during project planning to identify any potential issues and develop a mitigation strategy. Build schedule and ROW budget to include funds to address issues.   | County - Lance            | Not Started           | 12/23/23          | \$750,000 ROW budget includes   |
| 31                          | R/W-Utilities-RR       | Design        | Threat               | Underground utilities                                   | There are many underground utilities on the corner of Rice Lake and Martin Rds. This intersection also has a lot of ledge rock thus hindering the ability to move utilities out of the ROW.  | 3                       | 4                 | 12                  | 30%               | \$100,000              | 0                          | \$18,000              | Avoid             | Conduct utility locate as well as soil samples as part of final design; redesign if necessary before going to bid   | County - Lance            | Not Started           |                   |   |
| 15                          | Regulatory             | Design        | Threat               | Airport Restrictions                                    | Airport restrictions impact construction phasing.  | 1                       | 2                 | 2                   | 0%                | \$0                    | 4                          | \$0                   | Avoid             | Address through the design process  | County - Vic              | Not Started           |                   |   |
| 28                          | Traffic                | Design        | Threat               | Private access to road                                  | Eliminating current accesses to properties may frustrate property owners and the public but new acceses can open new development opportunities   | 3                       | 1                 | 3                   | 0%                | \$0                    | 0                          | \$0                   | Avoid             | Community engagement and communications well before construction so people are informed about the project, goals, timelines etc...  | County - Vic              | Active (Ongoing)      | 12/12/23          | Robust engagement of property owners, businesses and developers indicates that they are generally supportive of the project.  |
| 24                          | Organizational         | Design        | Threat               | Unprepared at application deadline                      | If we do not budget time properly, and collaborators do not make their individual deadlines, we could be underprepared at the RAISE Grant Application Deadline or miss it completely.  | 1                       | 4                 | 4                   | 0%                | \$75,000               | 52                         | \$0                   | Avoid             | Maintain collaboration between county and consultant.   | County - Vic              | Retired (Complete)    | 04/18/24          | Actively managing grant application requirements and deliverables. Masterial prepared and final draft submitted 2/26/24.  |
| 23                          | Organizational         | Design        | Opportunity          | Ability to reference Tax-Forfeit Lands                  | If County Land & Minerals department determines how Tax-Forfeit Lands may be used, we could include plans for them in the grant application to bolster it.   | 1                       | -2                | -2                  | 0%                | \$0                    | 0                          | \$0                   | Accept            | Issue won't be resolved prior to RAISE application, however it is expected that at some point the land will be sold or transferred for development; assume development as guided/zoned by the current city plans  | County - Darren           | Retired (Complete)    | 12/12/23          | Economic development analysis shows that there is sufficient land area and interest in the area for development to occur while the county and city develop plans for the tax forfeited land.  |
| 37                          | Bridge                 | Construction  | Opportunity          | Trail bridges   | In wet areas, using floating trail bridge creates less environmental impacts but could be more costly. If it discovered during construction that it won't work, would require time and money to redesign   | 2                       | -2                | -4                  | 10%               | \$100,000              | 12                         | \$4,000               | Avoid             | Perform geotechnical review during design.  | County - Vic BMI Josh     | Active (Ongoing)      | 12/12/23          | Construction cost estimate includes floating trail bridge, which is more expensive than traditional trail construction. Would result in potential wetland impacts that would need to be assessed and mitigated, but likely to be lower cost than the floating bridge.   |
| 13                          | Construction           | Construction  | Threat               | Inflation of Construction Costs                         | Actual construction costs are significantly higher than estimated (change orders).   | 2                       | 3                 | 6                   | 100%              | \$2,000,000            | 6                          | \$800,000             | Accept            | Project will rely on thorough design and construction engineering to minimize the risk. The CIP will denote a contingency amount to cover cost overruns.  | County - Vic              | Not Started           |                   | If costs exceeded estimate, county would defer other smaller projects; cost risk here reflects inflation to other projects.   |
| 14                          | Construction           | Construction  | Threat               | County Construction Inspection                          | Can the County provide adequate construction inspection for this project without negatively affecting other construction projects occurring during the same time period?   | 1                       | 2                 | 2                   | 10%               | \$200,000              | 0                          | \$4,000               | Mitigate          | County does staff assessment 6 months prior to construction and supplement need with consultant for inspection services as necessary; allocate inspection staff to this project and hire consultant for other smaller projects  | County - Steve            | Not Started           |                   | If insufficient county staff, the county would hire consulting inspection services for other projects in order to allocate adequate county staff to this project.   |
| 18                          | Construction           | Construction  | Both                 | Construction impact to residential and business access. | Maintaining access to businesses and residents during construction.  | 5                       | 2                 | 10                  | 20%               | \$100,000              | 2                          | \$20,000              | Mitigate          | Provide construction phasing to maintain access to businesses and residents.  | County - Steve            | Active (Ongoing)      | 12/12/23          | \$915K included in cost estimate for traffic control and access management in baseline cost estimate  |
| 30                          | Construction           | Construction  | Threat               | Construction delays                                     | Do to the high traffic volume in this corridor, construction delays have major impacts on public, interrupted services or access due to large trucks being re-routed.  | 5                       | 5                 | 25                  | 20%               | \$150,000              | 4                          | \$30,000              | Mitigate          | Provide construction phasing to maintain access to businesses and residents.  | County - Steve            | Active (Ongoing)      | 12/12/23          | \$915K included in cost estimate for traffic control and access management in baseline cost estimate  |
| 35                          | Construction           | Construction  | Threat               | Quality of construction not meeting standards           | If the construction quality does not meet our standards and/or specifications, results in remove and replace proposed improvements   | 1                       | 5                 | 5                   |                   | \$0                    | 8                          | \$0                   | Avoid             | Ensure inspection and QA/QC staff onsite to monitor work against specs; address NCRs in timely manner   | County - Steve            | Not Started           |                   |   |
| 38                          | Construction           | Construction  | Threat               | Construction materials                                  | There is a cost increase or lack of availability of materials resulting in higher bids   | 2                       | 4                 | 8                   | 100%              | \$2,000,000            | 0                          | \$800,000             | Mitigate          | Strategic bid letting to get favorable bids. Modify choice of materials during design; Project will rely on thorough design engineering and cost estimating to minimize the risk, which currently has 20% contingency. The County's CIP will denote a contingency amount to cover cost overruns.                        | County - Vic              | Active (Ongoing)      | 12/12/23          | Project cost estimate currently has 20% contingency built into it   |
| 39                          | Construction           | Construction  | Threat               | Contractor staffing                                     | Contractor experiences delays due to insufficient staffing to build the project, (after contract is signed)  | 1                       | 4                 | 4                   | 50%               | \$1,000,000            | 52                         | \$100,000             | Transfer          | Contrator assumes risk  | Contractor                | Not Started           |                   |   |
| 44                          | Construction           | Construction  | Threat               | Coordination with private development                   | Property adjacent to the planned improvements starts construction at same time requiring coordination and maintaining access for construction equipment and supplies   | 3                       | 2                 | 6                   | 20%               | \$100,000              | 2                          | \$12,000              | Mitigate          | Through rigorous engagement with stakeholders we identify during the design process. If private development occurs during construction, would try to accommodate as much as possible within the staging plan, but developer may need to assume some delay   | County - Vic              | Active (Ongoing)      | 12/12/23          | \$915K included in cost estimate for traffic control and access management in baseline cost estimate  |
| 41                          | Construction           | Construction  | Threat               | Construction bids                                       | The county does not receive any bids for construction resulting in a 1 year delay of construction to rebid   | 1                       | 5                 | 5                   | 50%               | \$2,000,000            | 52                         | \$200,000             | Avoid             | County will engage with potential contractors during the project development process. Hold contractor open house to provide high level information about the project; provide opportunity for contractors to meet subs, DBEs  | County - Vic              | Not Started           |                   |   |
| 3                           | Cultural Resources     | Construction  | Threat               | Sensitive Cultural Resources                            | Discovery of sensitive cultural resources within the project limits.   | 1                       | 5                 | 5                   | 50%               | \$100,000              | 52                         | \$10,000              | Avoid             | Conduct review of known cultural resources during project planning; inform contractor of necessary avoidance measures.  | County - Carol            | Active (Ongoing)      | 04/18/24          | With project receiving federal funds for the trails, the threatened and endangered species and cultural resources review can begin.   |
| 12                          | R/W-Utilities-RR       | Construction  | Threat               | Relcation of Utilities                                  | Highly sensitive utilities are found to be in conflict with the project and must be relocated.   | 2                       | 4                 | 8                   | 10%               | \$0                    | 12                         | \$0                   | Avoid             | Robust utility coordination process   | County - Lance            | Not Started           |                   |   |
| 2                           | Regulatory             | Construction  | Threat               | Wetland Permitting                                      | Unable to obtain all wetland permits for the preferred project layout and design.  | 2                       | 3                 | 6                   | 50%               | \$100,000              | 26                         | \$20,000              | Avoid             | Early engagement with the regulatory agencies to ensure we don't have a flawed design   | County - Carol            | Active (Ongoing)      | 12/12/23          | Carol and Sam are identifying permits needed and when they are needed   |
| 6                           | Regulatory             | Construction  | Threat               | Contaminated Materials                                  | Discovery of contaminated materials within the project limits.   | 2                       | 3                 | 6                   | 50%               | \$100,000              | 26                         | \$20,000              | Avoid             | Conduct soil testing during design/engineering  | County - Carol            | Active (Ongoing)      | 12/12/23          | County staff researched; no known contaminants within construction limits. Avoiding landfill site   |
| 20                          | Regulatory             | Construction  | Threat               | Regulatory delay  | Delays in permitting due to slow action by regulating agencies or new unforeseen permitting requirements.  | 3                       | 4                 | 12                  | 0%                | \$0                    | 26                         | \$0                   | Mitigate          | Build some time into the schedule; develop schedule to initiate permitting process early  | County - Vic              | Active (Ongoing)      | 12/12/23          | Carol and Sam are identifying permits needed and when they are needed, Carol will track environmental and Vic will track constructed  |
| 25                          | Organizational         | Construction  | Threat               | Losing critical staff at crucial point of the project   | A loss of any critical teammembers would cause a loss of momentum. Their work may need to be redone or a qualified replacement may take time to find, delaying their portion of the project.   | 1                       | 3                 | 3                   | 75%               | \$250,000              | 52                         | \$37,500              | Avoid             | Ensure document control and file sharing; ensure critical participants have several people working on and familiar with the project.  | County - Vic              | Not Started           |                   |   |
| 19                          | Funding                | ROW-Utilities | Both                 | Agency partner funding.                                 | Project agency partners/utility owners are not able to acquire any needed funding to complete work concurrent  | 1                       | 2                 | 2                   | 0%                | \$0                    | 0                          | \$0                   | Transfer          | Utilities outside of project scope; if unable to secure funding, county coordinates with those agencies to minimize and avoid impacts to constructed improvements.  | City's, Utility companies | Active (Ongoing)      | 12/12/23          | Vic talking with project partners about utilities   |
| 36                          | Organizational         | ROW-Utilities | Threat               | Elections   | Change in county board composition results in change in priorities or support for the project  | 1                       | 1                 | 1                   | 0%                | \$0                    | 0                          | \$0                   | Accept            | Commissioner for this area up for election in fall 2024, unlikely; Monitor and keep team informed of any changes. If there is change at county board level, be sure to brief that individual on the project as soon as possible   | County - Vic              | Not Started           |                   |   |