

APPENDIX D
EXAMPLE OF RISK ALLOCATION MATRIX
1 of 4

RISK	Design-Bid-Build			Change	Design-Build	
	Agency	Shared	Contractor		Agency	Design-Builder
Design Issues						
Definition of Scope	X				X	
Project Definition	X				X	
Establishing Performance Requirement	X				X	
Preliminary Survey/Base Map	X				X	
Geotechnical Investigation - Initial Borings based on Preliminary Design	X				X	
Geotechnical Investigation- Borings based on Final Design	X			→		X
Establish/Define Initial Subsurface Conditions	X				X	
Initial Project Geotechnical Analysis/Report based on Preliminary Design	X				X	
Final Project Geotechnical Analysis/Report based on Final Design	X			→		X
Plan Conformance with Regulations/Guidelines/RFP	X			→		X
Plan Accuracy	X			→		X
Project Design Criteria	X				X	
Conformance to Project Design Criteria	X			→		X
Design Review Process	X			→		X
Design QC	X			→		X
Design QA	X			→		X
Owner Review Time	X				X	
Changes in Scope	X				X	
Constructability of Design	X					X
Contaminated Materials	X				X	

APPENDIX D
EXAMPLE OF RISK ALLOCATION MATRIX
2 of 4

RISK	Design-Bid-Build			Change	Design-Build	
	Agency	Shared	Contractor		Agency	Design-Builder
Construction						
DBE Compliance			X			X
Safety/Safety QA			X			X
Construction Quality/Workmanship			X			X
Schedule			X			X
Materials Quality			X			X
Materials Documentation			X			X
Material Availability			X			X
Initial Performance Requirements of QA Plan	X				X	
Final Construction/Materials QC/QA Plan	X			⇒		X
Construction/Materials QA	X			⇒		X
Construction QC			X			X
Construction QA Procedural Compliance Auditing	X			⇒	X	
Construction IA Testing/Inspection	X				X	
Construction Staking		X		⇒		X
Erosion Control		X		⇒		X
Spill Prevention		X		⇒		X
Accidents within Work Zone/Liability			X			X
Third Party Damages			X			X
Operations and Maintenance During Construction			X			X
Maintenance under Construction - New Features			X			X
Maintenance under Construction - Existing Features			X			X
Maintenance of Traffic		X		⇒		X
Quantity/Cost of WSP Callbacks	X			⇒		X
Availability of WSP Callbacks	X				X	
Damage to Utilities under Construction			X			X
Falsework			X			X
Shop Drawings			X			X
Equipment Failure/Breakdown			X			X
Work Methods			X			X
Early Start of Construction/At Risk Construction		X		⇒		X
Community Relations	X				X	
Performance of Defined Mitigation Measures	X			⇒		X
Warranty	X			⇒		X

APPENDIX D
EXAMPLE OF RISK ALLOCATION MATRIX
3 of 4

RISK	Design-Bid-Build			Change	Design-Build	
	Agency	Shared	Contractor		Agency	Design-Builder
Force Majeure/Acts of God						
Strikes/Labor Disputes - On Site Labor	X			→		X
Tornado/Earthquake	X				X	
Epidemic, Terrorism , Rebellion, War , Riot, Sabotage	X				X	
Archaeological or Paleontological Discovery	*	X			X	
Suspension of any Environmental Approval	*	X			X	
Changes in Law	X				X	
Lawsuit Against Project	X				X	
Storm/Flooding	X				X	
Fire or Other Physical Damage	X				X	
* Note: Will ultimately rollover to Environmental						
Differing Site Conditions/Changed Conditions						
Changed Conditions	X				X	
Differing Site Conditions	X				X	
Completion and Warranty						
Establishment/Definition of any Risk Pool	X				X	
Long-Term Ownership/Final Responsibility	X				X	
Insurance			X			X

APPENDIX D
EXAMPLE OF RISK ALLOCATION MATRIX
4 of 4

RISK	Design-Bid-Build			Change	Design-Build	
	Agency	Shared	Contractor		Agency	Design-Builder
Local Agency, Utility, Railroad Issues						
Identification of Initial Local Agency Impacts	X				X	
Obtaining Initial Local Agency Permits	X				X	
Establishing Initial Local Agency Requirements	X				X	
Establishing Final/Actual Local Agency Impacts	X			⇒		X
Modifications to Existing Local Agency Permits	X			⇒		X
Identification of Initial Utility Impacts from Preliminary Design	X				X	
Establish Initial Utility Locations/Conditions	X				X	
Defining required Utility Relocations from Preliminary Design	X				X	
Utility Relocations prior to Contract Execution	X				X	
Relocation of Utilities under Project Utility Agreement during Contract			X			X
Modified Project Utility Agreement with Private Utility based on Final Design	X			⇒		X
Modified Project Utility Agreement with Public Utility based on Final Design	X			⇒		X
Damage to Public or Private Utilities under Construction			X			X
Verification of Utility Locations/Conditions	X			⇒		X
Coordination with Utility Relocation Efforts during Contract		X		⇒		X
Unforeseen Delays due to Utility/Third Party	X				X	
Utility/Third Party Delays resulting from Contract Final Design	X			⇒		X
Identification of RR Impacts based on Preliminary Design	X				X	
Obtaining Initial RR Agreement based on Preliminary Design	X				X	
Coordinating with RR under Agreement	X			⇒		X
Other Work/Coordination		X		⇒		X
Third Party Agreements (Fed, Local, Private, etc.)	X				X	
Coordinating with Third Parties under Agreement		X		⇒		X
Coordination/Collection for Third Party Betterments		X		⇒		X
Coordination with Other Projects		X		⇒		X
Coordination with Adjacent Property Owners		X		⇒		X