

NX2 Project Risk Register

Last updated: **9 Sep 20**

(Note: Hidden row below with tips)



IDENTIFY					ANALYSE - Impact on NX2					CURRENT RATING		TREATMENT				RESIDUAL RATING	
Row Ref	Risk ID	Risk Category	Risk Bearer	Risk Owner	Risk Title	Cause	Consequence	Established Controls	Control Effective?	Risk Score	Risk Rating	Action/Status:	Treatment Tasks	Due Date	Treatment Owner	Target Score	Target Rating
5	1	Natural Perils	SPV & CJV	s9(2)(a)	Natural perils - extended periods of wet weather, flooding, forest fire	Wet weather conditions affect ability to work with saturated clays. Possible flooding on work site and SAP. Dry season results in fire hazard. Unstable soils subject to slip.	Delay to construction programme and additional cost for remediation.	Back-to-back agreement with CJV. Early preparatory work packages underway in gullies. Wet weather days monitored and baseline programme updated. Strict protocols on fire. Have established relationship with local first responders. Finalised emergency and crisis management plan.	Effective	20	High Threat	3: Monitor/Controls in Place	Good environmental controls allowing CJV to work during the winter. Self performance by CJV. Buffer with non-working days	28 Oct 21	s9(2)(a)	8	Medium Threat
12	1	Design and Construction	SPV & CJV & AMM	s9(2)(b)(ii)	Poor performance in works and compliance with the Project Agreement by the Construction Company			NX2 Support to CJV regular meetings with TA and CJV to discuss compliance matters back-to-back agreement with CJV and AMM. Audits by NX2. NX2 hiring quality and environmental consultants. AMM providing monitoring plan. Strong quality team by CJV	Effective	13	Medium Threat	3: Monitor/Controls in Place	Board to Board meetings with CJV PGG meetings and strengthen relationship with parties Engaging with AMM for a common quality team for pavement	28 Oct 21	s9(2)(a)	3	Low Threat
13	1	Design and Construction	SPV & CJV	s9(2)(b)(ii)	Construction Delay due to overall critical path activities			Back to Back agreements with AMM Subcontractor and CJV Insurance Project Agreement Compensation Extension Events in case of Finds monitoring of CJV by regular meetings	Effective	22	High Threat	3: Monitor/Controls in Place	Board to Board meetings with TA and CJV Security Package with CJV. Conversations with stakeholders and other parties Workshop about mitigations with NX2/CJV.	28 Oct 21	s9(2)(a)	15	High Threat
17	1	Health and Safety	All parties	s9(2)(b)(ii)	Worker fatality and serious injuries			Safety in Design in place. H&S Management System in place. Regular reporting internal/3rd party audits and reviews.	Effective	13	Medium Threat	3: Monitor/Controls in Place	Lesson learnt meetings with other Projects. Increase audit rate for H&S. Joint initiatives with TG	28 Oct 46	s9(2)(a)	9	Medium Threat
32	1	Project Management Risk	TA & CJV	s9(2)(ba)(i)	Unable to reach acceptable commercial agreement with CJV			s9(2)(ba)(i)	Effective	21	High Threat	2: Being Treated	Escalation to CJV executives NX2 stepped in NX2 facilitating the signature of the contracts. s9(2)(b)(ii)	28 Oct 21	s9(2)(a)	10	Medium Threat
35	1	Project Management Risk	SPV & CJV & AMM	s9(2)(b)(ii)	Lack of resources - management, skilled labour, subcontractors, plant and materials			Back-to-back Contracts COVID-19 open discussions	Effective	21	High Threat	3: Monitor/Controls in Place	On going discussions with the NZTA for COVID-19 relief In principle COVID-19 Agreement	28 Oct 21	s9(2)(a)	8	Medium Threat

Released under the Official Information Act 1982

NX2 Project Risk Register



Last updated: **9 Sep 20**

(Note: Hidden row below with tips)

Caution: Do not delete formulas in these 2 columns

Caution: Do not delete formulas in these 2 columns

IDENTIFY					ANALYSE - Impact on NX2				CURRENT RATING		TREATMENT				RESIDUAL RATING		
Row Ref	Risk ID	Risk Category	Risk Bearer	Risk Owner	Risk Title	Cause	Consequence	Established Controls	Control Effective?	Risk Score	Risk Rating	Action/Status:	Treatment Tasks	Due Date	Treatment Owner	Target Score	Target Rating
44	1	Project Management Risk	SPV	SPV	Exceeding existing budget	SPV(2)(a)	SPV(2)(b)(ii)	Experienced team back-to-back contract with subcontractors	Effective	24	Extreme Threat	3: Monitor/Controls in Place	Changes in the Financial Report to better monitor incurred expenses. Cash flow forecast with consultants Track of costs due to the Settlement Agreements	28 Oct 20	SPV(2)(a)	6	Low Threat
50	1	Project Management Risk	SPV & CJV & AMM	SPV	Landscaping installation and long term liabilities			Back-to-back Agreement with CJV and AMM NX2 monitoring of the different discussions through the Interface Agreement NX2 holds the cash for landscaping planting New better supplier for plants	Effective	24	Extreme Threat	3: Monitor/Controls in Place	Modifications to Interface Agreement written waiting for CJV to update NX2 to monitor the action plan by CJV Meeting between CJV and AMM planned	28 Oct 21	SPV	6	Low Threat
60	1	Project Management Risk	All parties	SPV	Concept of operations/ATOC involvement and ITS Integration			Back-to-Back agreements with CJV and AMM TA has engaged an ITS specialist (18th Feb 2019) Notices provided to TA CJV/NX2 can contact ATOC directly NZTA confirmed that changes to design/specs coming from ATOC would be a Change	Improvement Required	22	High Threat	2: Being Treated	Recurring monthly forum to review progress and finalize Concept of operations Expert brought by CJV Raised at RMG Meeting AMM and CJV moving forward at risk Notice sent to TA showing concerns Advising CJV going to Dispute Procedure if disagreement continues	28 Dec 21	SPV	11	Medium Threat
62	1	Design and Construction	SPV & CJV	SPV	Poor environmental compliance during construction			Audits to CJV and back-to-back contract NX2 audits	Effective	15	High Threat	3: Monitor/Controls in Place	NX2 to follow results of audits with CJV. Action plan in place and Quality team involved Additional budget sought for 2020-2021 financial year	28 Oct 21	SPV	6	Low Threat
64	1	Design and Construction	CJV	SPV	Southern Connection tie-in			Back-to-back contracts with CJV Technical solutions possible so that the tie-in does not affect substantially to traffic	Effective	16	High Threat	3: Monitor/Controls in Place	Communication with NZTA for the traffic management at the tunnel	30 Sep 20	SPV	10	Medium Threat
67	1	Design and Construction	SPV	SPV	Pavement quality and delivery			Back-to-back with AMM and CJV Checking NCR meetings with CJV Interface Agreement NX2 consultants and inspections IR reviews DJV to sign off design	Effective	24	Extreme Threat	3: Monitor/Controls in Place	Engage consultant for inspection (quality consultant). Engaging with AMM for a common strategy for the monitoring of the pavement works Send a reminder to CJV	2 Dec 20	SPV	11	Medium Threat
68	1	Design and Construction	SPV & CJV	SPV	Works Completion Certificate delayed			Back-to-back with AMM and CJV Monthly meetings with TA CJV and IR about the WC Plan CJV meeting weekly in the detail of the plan CN11 Approved	Effective	22	High Threat	2: Being Treated	Raise concerns to IR so that it is proactive identifying flows in CJV's documentation Road opening definition after Covid-19 Agreement mitigates only opening but not the final Certificate	28 Nov 21	SPV	11	Medium Threat

Released under the Official Information Act 2002

NX2 Project Risk Register

Last updated: **9 Sep 20**

(Note: Hidden row below with tips)



IDENTIFY				ANALYSE - Impact on NX2					CURRENT RATING		TREATMENT				RESIDUAL RATING		
Row Ref	Risk ID	Risk Category	Risk Bearer	Risk	Risk Title	Cause	Consequence	Established Controls	Control Effective?	Risk Score	Risk Rating	Action/Status:	Treatment Tasks	Due Date	Treatment Owner	Target Score	Target Rating
70	1	Project Management Risk	All parties	s9(2)(a)	COVID-19	s9(2)(b)(ii)		Covid-19 signed between CJV and TA - Extension of time granted Insurance Back-to-back with CJV and AMM Termination clauses provide minimum protection Collaboratively approach between parties	Effective	20	High Threat	3: Monitor/Controls in Place	NX2 engaging with Lenders and other stakeholders Action plan deployed and being implemented CEE Notice to be submitted for new Level changes coming from the Gov. NX2 follow up with new Level 3 potential CEE	30 Sep 20	s9(2)(a)	11	Medium Threat
72	1	Project Management Risk	SPV & CJV		Insurance in place due to an extension of time and concurrent delays			CJV responsible for providing all information related to Events Legal consultation for insurance and plan being drafted	Effective	20	High Threat	3: Monitor/Controls in Place	Implement action plan Meetings with CJV and AON to address those concerns Reviewing the financial model for ALOP cover. Negotiations with CJV/AON for renewal	30 Sep 20		3	Low Threat
73	1	Design and Construction	CJV		Landslides / Slips Extension Events			Protections of the Project Agreement for Force Majeure Event Backto-back contracts with CJV and AMM as well as Interface Agreement Insurance	Effective	24	Extreme Threat	3: Monitor/Controls in Place	CJV looking for solutions to mitigate amount of earthworks and get the main alignment slips out of the critical path Action Plan developed Independent reviewer in causation Peer review on going NX2 review legal protection	30 Sep 20		17	High Threat
74	1	Operations and Maintenance	All parties		Future Landslides / Slips			Protections of the Project Agreement for Force Majeure Event Intervening Events Substation Destruction Events Backto-back contracts with AMM Warranties from CJV Insurance insurance protection Unitary Payment includes the allowance for Insurance Premium	Effective	24	Extreme Threat	3: Monitor/Controls in Place	CJV reviewing design and peer review on going Action Plan developed Reviewed O'Sullivan's contract + Request to be included in the current Project PE insurance	16 May 22		20	High Threat

Released under the Official Information Act 1982