

NX2 Project Risk Register

Last updated: **16 Apr 20**

(Note: Hidden row below with tips)



IDENTIFY						CURRENT RATING		TREATMENT				RESIDUAL RATING			
Row Ref	Risk ID	Risk Category	Risk Bearer	Risk Owner	Risk Title	Established Controls	Control Effective?	Risk Score	Risk Rating	Action/Status:	Treatment Tasks	Due Date	Treatment Owner	Target Score	Target Rating
1	1	Design & Engineering	SPV & CJV & AMM	s9(2)(a)	Pavement design and construction issues	Back-to-back Agreements with AMM and CJV. Security package Change Notice 012 submitted Interface committee. Good communication with AMM performing supervision. Technical advisors + AMM technical review	Effective			4: Risk Closed	Follow-ups with TA's team to ensure compliance with CN012 timeline Additional monitoring on site by NX2		s9(2)(a)	9	Medium Threat
5	1	Natural Perils	SPV & CJV		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.	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		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	28 Oct 21		3	Low Threat
13	1	Design and Construction	SPV & CJV		Construction Delay	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	20	High Threat	3: Monitor/ Controls in Place	Board to Board meetings with TA and CJV Security Package with CJV. Going well through the 2018-2019 season. CJV actively preparing the next season Raise concerns to CJV in the next commercial meeting Raise concerns in the next Board to Board meeting	28 Oct 21		8	Medium Threat
17	1	Health and Safety	All parties		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		9	Medium Threat
18	1	Design and Construction	SPV		Abandonment of the Works by the Construction Company	Letter of credit Bank Guarantee NX2 working to help CJV in finding new business opportunities/Changes	Effective	13	Medium Threat	3: Monitor/ Controls in Place	Meetings with CJV and CJV's partners/board. Cash flow analysis. NX2 helping with opportunities to CJV	28 Oct 21		9	Medium Threat

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40	1	Design and Construction	SPV & CJV	s9(2)(a)	Impacts from adjacent utility and competing projects	s9(2)(b)(ii)		Back-to-back Agreement with CJV. Meeting with Watercare occurred and no major impact on CN011 although it will affect MLR design. TA organizing with Vector.	Effective	19	High Threat	3: Monitor/Controls in Place	On-going coordination meetings with TA's support TA including in CN011 Phase II for the MLR new design affections by Vector and Watercare	28 Oct 2	s9(2)(a)	11	Medium Threat
50	1	Project Management Risk	SPV & CJV & AMM		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	Effective	20	High Threat	2: Being Treated	Modifications to Interface Agreement written waiting for CJV to update NX2 to monitor the action plan by CJV - Provided - NX2 chaired meeting. Follow-up to be done	28 Oct 2		11	Medium Threat
56	1	Design and Construction	All parties		Culture Artwork in the project			Back-to-back Agreement with CJV and AMM Draft of Change Notice by TA regarding artwork. Separation in two changes one for design and delivery and another for installation Draft of conceptual design approved Tripartite Committee with HN and TA - point of discussion Issue transferred to RMG and PGG Meeting Change to be agreed for future maintenance of the artwork Cultural safety of artist to be treated	Effective	19	High Threat	3: Monitor/Controls in Place	Conversations about contract between CJV s9(2)(ba)(i) CJV senior leaders involved	28 Oct 2		11	Medium Threat
58	1	Design and Construction	TA		ZTA not getting designation for the Northern Connection by November 2, 2019 and/or new conditions affecting Construction programme			Compensation Extension Event under the Project Agreement agreed with IR Back-to-back contract with CJV and AMM Northern Connection regular meetings - Change Notice Submitted by TA	Effective	25	Extreme Threat	3: Monitor/Controls in Place	Change Notice 011 in progress to be followed by a new Change Notice for the MLR Infrastructure TA issuing new directions for the MLR Infrastructure	15 May 2		6	Low Threat

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60	1	Project Management Risk	All parties	s9(2)(a)	Concept of operations/ATOC involvement	s9(2)(b)(ii)		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	Effective	22	High Threat	3: Monitor/Controls in Place	Recurring monthly forum to review progress and finalize Concept of operations Expert brought by CJV Letter submitted clarifying roles of NZTA's experts Issue to be raised at the next PGG AMM and CJV moving forward at risk	28 Dec 21	s9(2)(a)	6	Low Threat
61	1	Project Management Risk	All parties	s9(2)(a)	Poor performance by the IR			CJV drafting change to Schedule 10 to allow Works Completion Plan to be finalized IR started to answer notices although still concerns NX2 has made aware the parties about our concerns including the PGG	Effective	16	High Threat	2: Being Treated	Follow-up of the actions agreed in the meeting between CJV/NZTA/NX2 and the IR Test on Works Completion Tests for some finished pieces of infrastructures	28 Oct 21		8	Medium Threat
62	1	Design and Construction	SPV & CJV	s9(2)(a)	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. NCRs discovered. Action plan in place and Quality team involved Additional budget sought for 2020-2021 financial year	28 Oct 21		6	Low Threat
63	1	Design and Construction	SPV & CJV & AMM	s9(2)(a)	Incorrect traffic figures or the design of the pavement			Back-to-back contracts with AMM and CJV Warranties and security package Legal opinion NX2 requesting opinion regarding new pavement design	Effective	13	Medium Threat	3: Monitor/Controls in Place	Review of correspondence and legal opinion about where the liability of the traffic figures lies	1 Jan 22		1	Low Threat
64	1	Design and Construction	CJV	s9(2)(a)	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	21	High Threat	3: Monitor/Controls in Place	Communication with NZTA for the traffic management at the tunnel	30 Apr 20		10	Medium Threat
65	1	Design and Construction	CJV	s9(2)(a)	CJV negative cash flow position			s9(2)(b)(ii)	Effective	21	High Threat	3: Monitor/Controls in Place	s9(2)(b)(ii)	1 Apr 20		14	High Threat

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66	1	Design and Construction	CJV	s9(2)(a)	CJV do not meet earthworks production targets on critical path	s9(2)(b)(ii)		Back-to-back contracts with CJV and security package	Generally Sound	18	High Threat	3: Monitor/Controls in Place	CJV have undertaken in Jan 2020 to add additional earthworks shifts in week and weekend as well as night works in specific locations IR has requested for weekly production information NX2 to monitor cashflow and monthly claims as a measure of actual progress	1 Apr 20	s9(2)(a)	14	High Threat
67	1	Design and Construction	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	Effective	22	High Threat	3: Monitor/Controls in Place	Engage consultant for inspection (quality consultant)	2 Sep 20		11	Medium Threat
68	1	Design and Construction	SPV & CJV		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	Effective	22	High Threat	1: Emerging/Park	Accelerate discussions regarding new Schedule 10 Raise concerns to IR so that it is proactive identifying flows in CJV's documentation	28 Nov 21		11	Medium Threat
70	1	Project Management Risk	All parties		COVID-19			Insurance Back-to-back with CJV and AMM Termination clauses provide minimum protection Advance payments to CJV Collaboratively approach between parties	Unsatisfactory	25	Extreme Threat	2: Being Treated	Conversations started with CJV and TA	29 May 20		22	High Threat

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