

## APPENDIX F      COMMERCIAL CASE

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# QUEENSTOWN BUSINESS CASE

## Risk Management Plan

s 9(2)(a)

3 NOVEMBER 2020

FINAL

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NZ Transport Agency

Published [month and year]

ISBN [number]

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| Rev | Date      | Description | Initials    |             |             |
|-----|-----------|-------------|-------------|-------------|-------------|
|     |           |             | Prepared by | Reviewed by | Approved by |
| 1   | 5 Nov 20  | V1 Draft    | AN          | AK          | AK          |
| 2   | 11 Nov 20 | V2 Final    | AN          | AK          | AN          |

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## TERMS AND DEFINITIONS

| Term                       | Acronym | Definition                                                                                                                  |
|----------------------------|---------|-----------------------------------------------------------------------------------------------------------------------------|
| Activity Risk File         | ARF     | A folder/file (electronic and/or hardcopy) containing risk management data.                                                 |
| Contingency                |         | Defined in the NZ Transport Agency <i>Cost estimation manual SM014</i> .                                                    |
| Current Exposure           |         | The risk exposure at the time of review, taking into account the effectiveness of controls.                                 |
| Opportunity                |         | A risk with the potential for positive impact.                                                                              |
| Residual (target) Exposure |         | The risk exposure anticipated to exist following successful completion of risk treatment.                                   |
| Risk                       |         | Effect of uncertainty on objectives.                                                                                        |
| Risk Adjusted Programme    | RAP     | A programme of work adjusted to take into account the effects of time related risks.                                        |
| Risk Assessment            |         | The overall process of identification, analysis and evaluation.                                                             |
| Risk Management            |         | Coordinated activities to direct and control an organisation with regard to risk.                                           |
| Risk Management Plan       | RMP     | This document – specifying the approach, the management components and resources to be applied to the management of risk.   |
| Risk Owner                 |         | The person best placed to manage the risk, suitably qualified and experienced to do so, and with the appropriate authority. |
| Risk Register              |         | A record of identified risks, associated exposure data and treatment activities.                                            |
| Risk Tolerance Threshold   | RTT     | A level of exposure below which the risk is deemed to be acceptable.                                                        |
| Threat                     |         | A risk with the potential for negative impact.                                                                              |

# 1 INTRODUCTION

## 1.1 Purpose

This Risk Management Plan forms part of the Project Contract Management Plan and describes the risk management approach to the Queenstown Business contract, including practices, procedures, controls and reporting processes for the management of risk.

It should be noted that this RMP was originally developed some period into the project's life, after it had undergone considerable analysis and scope change, and stakeholder involvement. This RMP has subsequently been updated at the point of project final delivery and therefore reflects how risk management happened during the earlier work on the project, recognising the way the project has been managed and the considerations of risk up to this point, and considers further risk management process.

## 1.2 Objectives

The objectives of risk management for this project are to minimise adverse effects and maximise beneficial outcomes. In practical terms for this project, this translates to:

- supporting the development and acceptance of a business case that meets the needs of Queenstown and the business case objectives.
- Identifying issues that may restrict, prevent or delay the implementation of the business case recommendations, and determining how to minimise, or eliminate these.
- recognising there will be uncontrolled and uncontrollable uncertainties affecting the project delivery and determining how to respond to these.

Subsequent to delivery to IQA and following phases of the project, the objectives of the risk management need to be to minimise uncertainties moving into the following phases of the project – and where minimisation is not possible, at least highlighting potential areas of concern.

This was achieved by, and will be achieved by:

- a. Generation of a pro-active risk management culture throughout the contract and project team
- b. Effective evaluation and efficient management of identified risks at all levels within the delivery team
- c. Relevant and robust analysis and reporting to support decision making
- d. Ongoing monitoring and review of the risk management process to ensure control mechanisms are maintained and improvement opportunities are identified, evaluated and developed.

## 2 ROLES AND RESPONSIBILITIES

| Role                                       | Risk Management Responsibility                                                                                                                                                                                                                                                                                                                          |
|--------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Waka Kotahi Project Manager                | <ul style="list-style-type: none"> <li>• Provide Client Requirements with respect to this Project/Contract</li> <li>• Communicate risks as required between Client organisation and project team</li> <li>• Endorse the risk assessment and escalation criteria for the project</li> </ul>                                                              |
| Project Team Leader                        | <ul style="list-style-type: none"> <li>• Approve this Risk Management Plan</li> <li>• Encourage an active risk management culture with the project team</li> <li>• Regularly review project risk with the Risk Manager, Programme Manager and Design Manager as part of the monthly review and regular project meetings.</li> </ul>                     |
| Project Team Area Leaders                  | <ul style="list-style-type: none"> <li>• Develop and maintain the plan</li> <li>• Implement risk management on the project in accordance with the plan</li> <li>• Communicate significant risks to the Team Leader and Risk Manager and relevant stakeholders as appropriate, including through the monthly report and regular risk reviews.</li> </ul> |
| Risk and Opportunity Owners                | <ul style="list-style-type: none"> <li>• Implement risk treatment strategies and controls</li> <li>• Participate in the risk workshops and review ensuring the data relating to owned risk, is robust and well maintained</li> <li>• Actively identify risks throughout the design delivery process</li> </ul>                                          |
| Sub-Consultants / Sub-Contractors          | <ul style="list-style-type: none"> <li>• Participate in risk management processes as appropriate to aid delivery and contractual compliance</li> <li>• Participate in risk workshops and reviews as appropriate</li> </ul>                                                                                                                              |
| Project Team Risk Manager/ Project Manager | <ul style="list-style-type: none"> <li>• Foster and encourage solid risk procedures with the Project Team</li> <li>• Review Risk approach and deliverables regularly for alignment across the project areas</li> <li>• Facilitate workshops where requested by Project Lead</li> </ul>                                                                  |

## 3 RISK MANAGEMENT PROCESS

### 3.1 Overview

Figure 1 summarises the key steps of the risk management process specified in AS/NZS ISO 31000:2018 and as applied within this contract.

This process is a systematic approach from contract governance to task level activity.

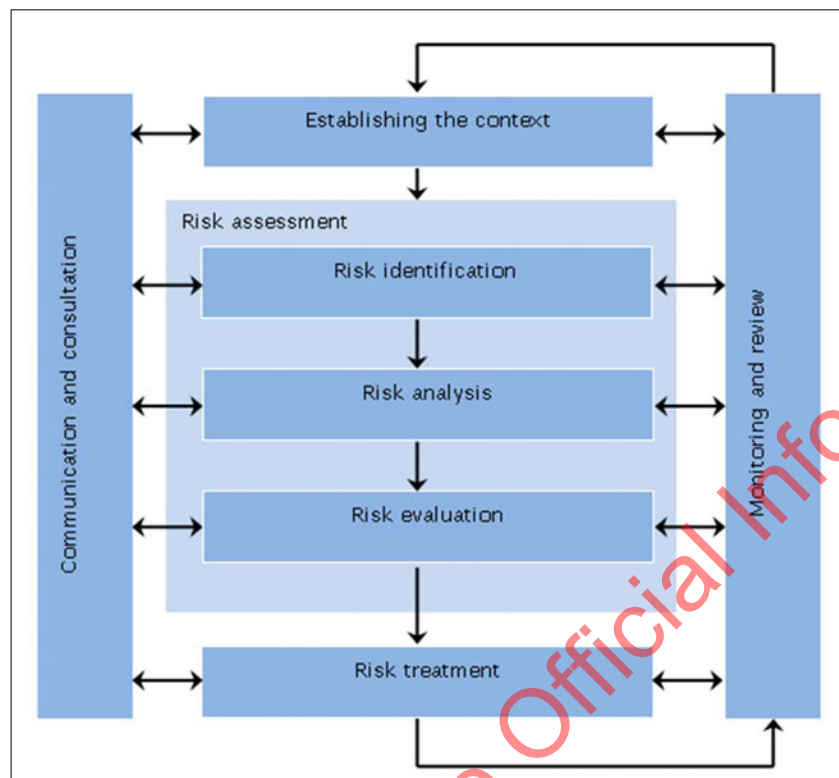


Figure 1: AS/NZS ISO 31000:2018 Risk Management Process

### 3.2 Risk Context

The risk identification and analysis, and determination of risk treatment strategies was undertaken with awareness of the material risk drivers, and enablers and constraints in the project environment. Both the project internal and external context were considered:

- **Project internal context:** including people, processes, systems, governance and organisational structure, stakeholders.
- **Project external context:** including key external drivers and trends (social, cultural, legal, regulatory, financial, technological, and economic), the natural environment, the competitive environment, and stakeholders.

### 3.3 Risk Identification

The following are the risk identification techniques that were utilised:

- **Checklists:** Review of generic and/or activity specific risk themes (project manager reviewed and compared to other lists from similar business cases).

- **Workshops/reviews:** formal multi-disciplinary forums. Two such formal risk review processes occurred. Participants were primarily project team discipline leads, and key client participants. In the latter case, risk review was conducted as part of a Challenge workshop with external review inputs.
- **Ad-hoc:** Delivery team identification of risks during contract execution, including experience taken from other projects.

### 3.4 Risk Analysis and Evaluation

Risk analysis conforms to the General approach as defined in Waka Kotahi NZ Transport Agency *Minimum standard Z/44 – Risk management*.

The Waka Kotahi standard would suggest projects with a capital value of greater than \$50m at the detail business case stage should use the Advanced approach. However, this project has a number of factors that would suggest the General approach is the most efficient to the end of the DBC phase:

- NZUP programme has directed a particular programme of work within a certain budget, but not to a great level of technical detail, so the Advanced approach offers little benefit to assessing the project's financial risk at this stage.
- The elements that remain in the project comprise elements of a package of interventions (town centre urban realm upgrade and bus priority and hub), none of which are individually over the \$50M trigger.
- Other elements of the programme of interventions (PT operations) will require their own DBC to establish (amongst other elements) costs and cost risk.

#### 3.4.1 Prioritisation

Each risk will be rated for both current and target exposure and ranked within the risk register by its current exposure risk rating. To facilitate ranking of risks the risk rating matrix provided in NZ Transport Agency *Minimum standard Z/44 – Risk management* will be used. This is reproduced in Figure 3.2 for reference.

|             |                | Waka Kotahi NZ Transport Agency Threat and Opportunity Risk Matrix |        |          |          |          |             |          |          |        |               |                |  |
|-------------|----------------|--------------------------------------------------------------------|--------|----------|----------|----------|-------------|----------|----------|--------|---------------|----------------|--|
|             |                | Threat                                                             |        |          |          |          | Opportunity |          |          |        |               |                |  |
|             |                | Insignificant                                                      | Minor  | Moderate | Severe   | Extreme  | Extreme     | Severe   | Moderate | Minor  | Insignificant |                |  |
| Likelihood  | Almost Certain | LOW                                                                | MEDIUM | HIGH     | CRITICAL | CRITICAL | CRITICAL    | CRITICAL | HIGH     | MEDIUM | LOW           | Almost Certain |  |
|             | Likely         | LOW                                                                | MEDIUM | HIGH     | CRITICAL | CRITICAL | CRITICAL    | CRITICAL | HIGH     | MEDIUM | LOW           | Likely         |  |
|             | Possible       | LOW                                                                | MEDIUM | MEDIUM   | HIGH     | CRITICAL | CRITICAL    | HIGH     | MEDIUM   | MEDIUM | LOW           | Possible       |  |
|             | Unlikely       | LOW                                                                | LOW    | MEDIUM   | MEDIUM   | HIGH     | HIGH        | MEDIUM   | MEDIUM   | LOW    | LOW           | Unlikely       |  |
|             | Rare           | LOW                                                                | LOW    | LOW      | LOW      | HIGH     | HIGH        | LOW      | LOW      | LOW    | LOW           | Rare           |  |
|             |                | Insignificant                                                      | Minor  | Moderate | Severe   | Extreme  | Extreme     | Severe   | Moderate | Minor  | Insignificant |                |  |
| Consequence |                |                                                                    |        |          |          |          |             |          |          |        |               |                |  |

Figure 2: Risk Matrix

#### 3.4.2 Risk Tolerance Threshold

To aid in risk treatment prioritisation a risk tolerance threshold (RTT) has been established as being High (and above). Risks with an exposure below the established RTT will be given a 'live – parked' status unless their treatment can efficiently be integrated as part of the High and/or Critical risk treatments. Otherwise these risks

will be monitored but will not be treated. When a change in exposure occurs the need for treatment will be re-evaluated.

## 3.5 Risk Treatment

The type of treatment actions to be applied to a risk will generally fall into the following categories:

| Threat                                                                                                                                                                             | Opportunity                                                                                                              |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------|
| <b>Avoid</b> - Identifying actions to eliminate the threat such as withdrawing from the activity                                                                                   | <b>Exploit</b> – Seizing an opportunity to ensure that the opportunity will happen and that the impact will be realised. |
| <b>Reduce</b> - Taking action to reduce the likelihood or consequence of the threat to an acceptable level.                                                                        |                                                                                                                          |
| <b>Fall-back</b> - Putting in place a fall-back or contingency plan of actions that will be taken to reduce the consequence of the threat should the uncertain (risk) event occur. | <b>Enhance</b> – Taking action to increase the likelihood or consequence of the opportunity occurring.                   |
| <b>Transfer</b> - A third party takes on responsibility for some of the financial impact of the threat e.g. insurance                                                              |                                                                                                                          |
| <b>Share</b> - Where the risk is shared with another party e.g. in a contract where both parties share the gain if costs are less than planned                                     |                                                                                                                          |
| <b>Accept</b> - Retaining the threat by informed decision if the risk level is tolerable                                                                                           | <b>Reject</b> – A conscious and deliberate decision is taken to not enhance or exploit the opportunity.                  |

Risk owners will be responsible for the management of treatment actions against owned risks, including the allocation of resource, conduct of cost/benefit trade off and integration within the programme of work.

## 3.6 Monitoring and Review

### 3.6.1 Risk monitoring and review

The project leadership team monitored contract delivery raising identified risks on to the risk register for review and notification to the client on an on-going basis, through the multiple forums noted above.

The risk manager/project manager was responsible for monitoring the content of the risk register.

Two risk workshops were intended in the Contract Management Plan (start and end of the project). The first occurred in November 2018. The second occurred as part of the Challenge workshop in February 2020.

However, time and scope extensions have made it appropriate for a third risk review. this was held in a less-formal forum with the project team leads on Friday 30 October 2020, so that the close-out risk review is positioned to identify risks into the final confirmation and approvals process and beyond.

### 3.6.2 Activity Risk File

The following risk management records are part of the risk file:

- Risk management document
- Risk register (including consequence criteria information)
- Notes from Risk meetings

All elements related to pricing risk are included in the price estimates using standard Waka Kotahi pricing risk considerations.

Programmes recording updates due to risk elements are included in the monthly reporting documentation.

All weekly and monthly meeting records are retained and include risk commentary where relevant.

### **3.6.3 Risk Register**

A project risk register was created and maintained. A separate register considering the risks beyond the close of the business case investigations is included in the final iteration.

### **3.6.4 Risk Review Minutes**

All risk reviews and other forums with a specific consideration of project risks were recorded. Documentation was predominantly through notes taken at weekly meetings (team and client based), and at notes recorded in technical workshops, deep dives and other forms of project team / client group and stakeholder interactions.

Appendix D contains the notes taken at the risk workshop on 16<sup>th</sup> November 2018, which subsequently became the start of the Project Risk Register

Appendix E contains the presentation for the risk discussion with the Challenge Team at the workshop on 25<sup>th</sup> February 2020.

### **3.6.5 Risk Adjusted Programme**

The Risk adjusted programme for this project was particularly difficult to develop and manage consistently. The project progress was quite fluid, with additional activities and changes to scope being quite frequent, and incorporated changes in how the business case was to be developed (two or three separate cases or one).

The programme was updated approximately monthly, with the timing issues associated with risk noted.

The outcome from the project are a recommended series of projects through different stakeholder groups – some are interlinked. As such, no risk adjusted Gantt type programme is provided at the project closeout – programming information is contained in the project's recommended timing/finance table.

### **3.6.6 Risk Reporting**

Regular reports to the client were produced primarily through Monthly Reporting, where risk management information was provided as:

- Key risks and/or current hot topics in the monthly summary report
- Updated risk register produced intermittently.

## 4 RISK REGISTERS

Appendices A, B and C for this report contain the following:

- **Appendix A: Risk Consequence table and Risk Register for Project:**

This risk register was developed and updated during the course of the project and reflects risks that were relevant and active as the final reporting for IQA was being completed. The consequence table considers the impact of the risk on the delivery and cost of the business case documentation.

It is worth noting that the Challenge team discussions raised the matter of adding a consequence element to the Stakeholder consequence table, assessing the effect of the risk on the ability to deliver the stakeholder mode shift targets. Risk register entries were reconsidered in light of this and the risk status updated as required.

- **Appendix B: Risk Consequence table and Risk Register for Delivery**

The delivery risk register contains the key risks the project team sees in passing off the multiple elements of the business case to final approvals process, and beyond to the pre-implementation phases. The consequence table sets a high financial threshold at approximately 10% of the NZUP permitted budget, as it is seen that the NZUP elements will be the first to progress to pre-implementation. In practice, however, new risk registers will need to be developed for each element of the programme that is taken forward, as these will all have different budgets, from different sources, and have approvals at different times.

- **Appendix C:** Lists closed risks.

## APPENDIX A RISK CONSEQUENCE CRITERIA AND RISK REGISTER - PROJECT

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| NZ Transport Agency Threat Criteria (consequence) – during development of the business case |                                                                                                                                                                                                                                                                                               |                                                                                                                                                                |                                                                    |                                                                          |                                                          |                                                                                             |                                                                                                                |
|---------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------|--------------------------------------------------------------------------|----------------------------------------------------------|---------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------|
|                                                                                             | Reputation                                                                                                                                                                                                                                                                                    |                                                                                                                                                                |                                                                    | Performance                                                              |                                                          |                                                                                             |                                                                                                                |
| Rating Scale                                                                                | Stakeholders                                                                                                                                                                                                                                                                                  | Public / Media                                                                                                                                                 | Legal/ Compliance                                                  | Delivery                                                                 | Cost                                                     | Health & Safety                                                                             | Environmental                                                                                                  |
| Extreme                                                                                     | Disruption to stakeholder relationship slowing progression of nationally strategic activity, and/or<br>Loss of route availability of a national strategic high volume highway and/or<br><i>Complete failure to create mode shift and improve PT services</i>                                  | Sustained national and/or international media coverage<br>Intervention by Minister required, loss of Ministerial confidence. Commission of Inquiry instigated. | High profile prosecution(s) with potential for custodial sentence. | Programme slippage resulting in late delivery by more than 60 days.      | Negative financial impact of more than \$300,000         | Loss of life, permanent disability or injury, or multiple serious injuries.                 | Permanent pollution damage or other environmental damage                                                       |
| Severe                                                                                      | Disruption to stakeholder relationship slowing progression of regionally strategic activity, and/or<br>Loss of route availability of a national strategic highway and/or<br><i>Delay implementation of PT service improvements by up to 5 years and/or mode shift 50% less than required.</i> | Sustained media coverage (weeks)<br>Possible Ministerial inquiry leading to loss of Ministerial confidence/formal enquiry by OAG or statutory agency.          | Individual prosecution.                                            | Programme slippage resulting in late delivery by between 30 and 60 days. | Negative financial impact between \$150,000 to \$300,000 | Serious injury requiring specialist medical treatment or lost time greater than three weeks | Significant and widespread pollution or other environmental damage, with long term effects.                    |
| Moderate                                                                                    | Disruption to stakeholder relationship slowing progression of regional activity, and/or<br>Loss of route availability of a regional strategic highway and/or<br><i>Delay implementation of PT service improvement by up to 2 years, and / or mode shift will be 25% less than required</i>    | Short term (days) media coverage<br><br>Parliamentary/Ministerial questions or 3rd party investigation.                                                        | Breach with legal rebuke / abatement notice/restrictions.          | Programme slippage resulting in late delivery by between 15 and 30 days. | Negative financial impact between \$75,000 to \$150,000. | Injury requiring medical treatment or lost time of 1 day to three weeks                     | Pollution or other environmental damage at a localised level, with medium term effects.                        |
| Minor                                                                                       | Disruption to stakeholder relationship slowing progression of site specific activity, and/or<br>Loss of route availability of a regional connector highway and/or<br><i>Delay implementation of PT service improvement by up to a year, and/or mode shift will be 10% less than required.</i> | Local media coverage for 1-5 days<br><br>Official information request. Negative feedback from Minister.                                                        | Breach with letter from authority requesting action.               | Programme slippage resulting in late delivery by between 7 and 15 days.  | Negative financial impact between \$30,000 to \$75,000.  | Injury requiring short term medical treatment and workplace absence less than one day       | Minimum pollution or other environmental damage. Short term effects only.                                      |
| Insignificant                                                                               | Disruption to stakeholder relationship, and/or<br>Loss of route availability of a regional distributor highway and/or<br><i>Short delay in uptake of mode shift and improvement (frequency / capacity) of PT services</i>                                                                     | Local media coverage for 1 day                                                                                                                                 | Breach managed at a regional level.                                | Programme slippage resulting in late delivery by less than 7 days.       | Negative financial impact of less than \$30,000.         | Injury requiring short-term first-aid care and no absence from the workplace                | Small scale pollution or other environmental damage is localised with no resultant effects. Contained locally. |

|                     |                                                            |                                               |               |
|---------------------|------------------------------------------------------------|-----------------------------------------------|---------------|
| Project Description | Frankton to Queenstown SSBC and Queenstown Town Centre DBC | NZTA Lead                                     | Tony Sizemore |
| Contract ID         | NZTA 2018235                                               | Supplier Lead                                 | s 9(2)(a)     |
| Contract Value      | \$4.4M - Sep 2020                                          | Supplier Risk Mgmt Specialist (if applicable) | s 9(2)(a)     |

| Risk Identifier                                                                                                   | Date raised | Risk Description (include whether this is a threat or an opportunity)                                                       | Risk Cause(s)                                                                                               | Risk Consequence(s)                                                                                                                                                                                                                                                                                                                                            | Risk Owning Org   | Risk Owner    | Current Risk Likelihood | Current Risk Conseq | Conseq Category                  | Current Controlled Risk Level |
|-------------------------------------------------------------------------------------------------------------------|-------------|-----------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------|---------------|-------------------------|---------------------|----------------------------------|-------------------------------|
| Contract Risk Register - Risks that threaten the delivery, robustness and integrity of the finished business case |             |                                                                                                                             |                                                                                                             |                                                                                                                                                                                                                                                                                                                                                                |                   |               |                         |                     |                                  |                               |
| QBCS 009 b                                                                                                        | 31-Jul-18   | <b>Threat:</b> That decision making external to team is poor or slow                                                        | <b>Cause:</b> Decision makers are not aligned or not prepared to commit to significant change               | <b>Consequence:</b><br>1. Delivered project does not meet the expectations of stakeholders so reputational damage for all parties<br>2. Project fails to gain appropriate approvals to proceed so little is achieved for mode shift.                                                                                                                           | W2G               | Shaun Hubbard | Possible                | Extreme             | Stakeholder                      | Critical                      |
| QBCS 007                                                                                                          | 31-Jul-18   | <b>Threat:</b> That the programme is extremely tight right from the outset                                                  | <b>Cause:</b> Intention to meet other milestone dates with this project's outputs.                          | <b>Consequence:</b><br>1. Quality of investigation and decisions may be poor<br>2. Project delivery does not meet set timeframes<br>3. Quality of reporting not up to usual standard                                                                                                                                                                           | Stantec           | s 9(2)(a)     | Almost certain          | Severe              | Stakeholder Delivery             | Critical                      |
| QBCS 010                                                                                                          | 16-Nov-18   | <b>Threat:</b> That the funding available to implement business case recommendations, and the recommendations, do not align | <b>Cause:</b> Future budget drivers and decisions based on a range of elements, not only this business case | <b>Consequence:</b><br>1. Recommended options can not occur, so desired outcomes not achieved so transport goals not achieved or significantly delayed.<br>2. Rework to develop outcomes that align to budgets so project requires time/cost to modify recommendations                                                                                         | QLDC & NZTA & ORC | s 9(2)(a)     | Possible                | Severe              | Stakeholder Delivery             | High                          |
| QBCS 023                                                                                                          | 16-Nov-18   | <b>Threat:</b> That models are not fit for purpose, or have significant weakness;                                           | <b>Cause:</b> Model design, set up, use all have errors, inappropriate parameters etc                       | <b>Consequence:</b><br>1. Decisions are made on incorrect modelled information.- so wrong PT/ mode shift targets are sought                                                                                                                                                                                                                                    | NZTA              | Tony Sizemore | Unlikely                | Severe              | Stakeholder                      | Medium                        |
| QBCS 002 b                                                                                                        | 20-Feb-20   | <b>Threat:</b> That the network capacity information is unrealisting or wrong                                               | <b>Cause:</b> Modelling parameters / coding is wrong                                                        | <b>Consequence:</b><br>1. Business case makes poor recommendations - so mode share targets may not be reached                                                                                                                                                                                                                                                  | NZTA              | Tony Sizemore | Possible                | Moderate            | Stakeholders                     | Medium                        |
| QBCS 012                                                                                                          | 16-Nov-18   | <b>Threat:</b> Conversion between models influences results and outputs;                                                    | <b>Cause:</b> Data transfer and parameters of the different model types produce different outpus            | <b>Consequence:</b><br>1. Decisions are made on incorrect modelled information.- so wrong PT/ mode shift targets are sought                                                                                                                                                                                                                                    | Stantec           | s 9(2)(a)     | Unlikely                | Moderate            | Stakeholder                      | Medium                        |
| QBCS 019                                                                                                          | 21-Jun-19   | <b>Threat:</b> That the parking pricing mechanism is poorly defined:                                                        | <b>Cause:</b> Parking pricing is a generic tool, but specific mechanisms are required to implement          | <b>Consequence:</b><br>1. The parking pricing tool may prove ineffective, and not drive the mode shift as much as intended - so PT/mode shift is impacted, and dissatisfaction in town due to ineffective parking imposition.                                                                                                                                  | Stantec           | s 9(2)(a)     | Possible                | Moderate            | Stakeholder Reputation           | Medium                        |
| QBCS 003                                                                                                          | 14-Nov-18   | <b>Threat:</b> That consultation and engagement activities will not occur at the best times to support our delivery         | <b>Cause:</b> The need to run integrated engagement with the other investigations                           | <b>Consequence:</b><br>1. Engagement process does not satisfy our project needs - so integrity of process is questioned,<br>2. Project percieved poorly in Stakeholder environment - so reputational damage and possible reluctance to support mode change<br>3. Project delayed to fit integrated engagement timing - so PT/mode share targets may be delayed | W2G               | s 9(2)(a)     | Unlikely                | Moderate            | Stakeholders Delivery Cost Media | Medium                        |
| QBCS 026                                                                                                          | 1-Sep-20    | <b>Threat:</b> That the recommended option could be challenged on the basis of incomplete option assessment                 | <b>Cause:</b> Not every conceivable option has been tested in every combination                             | <b>Consequence:</b><br>1. Recommended option and sequencing programme discredited, meaning rework (time/programme).<br>2. Delays to implementation, affecting so mode shift targets delayed/not achieved                                                                                                                                                       | Stantec           | s 9(2)(a)     | Possible                | Moderate            | Cost Delivery Stakeholder        | Medium                        |
| QBCS 006                                                                                                          | 31-Jul-18   | <b>Threat:</b> That inherited assumptions and initiatives are no longer (or less) valid.                                    | <b>Cause:</b> Conditions and thinking change over time.                                                     | <b>Consequence:</b><br>1. Options investigated not comprehensive enough - so ineffective options are progressed and targets not fully achievable.                                                                                                                                                                                                              | Stantec           | s 9(2)(a)     | Unlikely                | Minor               | Stakeholders                     | Low                           |

|                                                              |             |                                                                                                                             |                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                          |             |                          |                           |                              |
|--------------------------------------------------------------|-------------|-----------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------|--------------------------|---------------------------|------------------------------|
| Project Description                                          |             | Frankton to Queenstown SSBC and Queens                                                                                      |                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                          |             |                          |                           |                              |
| Contract ID                                                  |             | NZTA 2018235                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                          |             |                          |                           |                              |
| Contract Value                                               |             | \$4.4M - Sep 2020                                                                                                           |                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                          |             |                          |                           |                              |
|                                                              |             |                                                                                                                             |                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                          |             |                          |                           |                              |
| Risk identifier                                              | Date raised | Risk Description (include whether this is a threat or an opportunity)                                                       | Current Risk Status at Latest Update                                                                                                                                                                                                                                                                                                                              | Current/Recommended Treatment Actions                                                                                                                                    | Risk status | Residual Risk Likelihood | Residual Risk Consequence | Residual (Target) Risk Level |
| Contract Risk Register - Risks that threaten the delivery, r |             |                                                                                                                             |                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                          |             |                          |                           |                              |
| QBCS 009 b                                                   | 31-Jul-18   | <b>Threat:</b> That decision making external to team is poor or slow                                                        | <b>20 Feb 20:</b> Current alignment appears healthy, and engaged in Challenge workshop and other briefings to "spread the word" prior to decision making time<br><b>1 Sep 20:</b> This has impacted throughout the project and is still relevant as we enter review period.                                                                                       | Maintain contact with appropriate levels in NZTA, ORC and QLDC. Reinforcement of requirement for timely decisions, particularly during the collaborative review process. | Live-Treat  | Unlikely                 | Moderate                  | Medium                       |
| QBCS 007                                                     | 31-Jul-18   | <b>Threat:</b> That the programme is extremely tight right from the outset                                                  | <b>15 Dec 19:</b> As project scope as increased, timelines have been modified accordingly<br><b>1 Sep 20:</b> Accelerated delivery of draft has forced modified delivery schedule, incomplete reporting and maintains risk of QA issues<br><b>29 Sep 20:</b> Programme requirements still impacting delivery (options development days before IQA draft delivery) | Careful processing through interactive review and awareness of all parties of status of delivery, so no unrealistic expectations.                                        | Impacted    | Likely                   | Moderate                  | High                         |
| QBCS 010                                                     | 16-Nov-18   | <b>Threat:</b> That the funding available to implement business case recommendations, and the recommendations, do not align | <b>20 Feb 20:</b> Current NZUP plan shows some commitment to this funding, which is a big part of this project, however there are significant costs associated with other elements.<br><b>1 Sep 20:</b> With submission of the business case timing of funding and budgets will be critically reviewed and modified in collaboration                              | Collaborative approach to setting implementation budgets and timelines, so will end up with client supported timing                                                      | Live-Treat  | Unlikely                 | Minor                     | Low                          |
| QBCS 023                                                     | 16-Nov-18   | <b>Threat:</b> That models are not fit for purpose, or have significant weakness;                                           | <b>20 Feb 20:</b> Models had early peer review.<br><b>1 Sep 20:</b> Modelling and parameters are well reviewed, and will shortly be subject to peer review.                                                                                                                                                                                                       | Next action is modelling peer review                                                                                                                                     | Live-Treat  | Unlikely                 | Minor                     | Low                          |
| QBCS 002 b                                                   | 20-Feb-20   | <b>Threat:</b> That the network capacity information is unrealisting or wrong                                               | <b>20 Feb 20:</b> Multiple models used, internal check and review/verify processes in use.<br><b>1 Sep 20:</b> Modelling and parameters are well reviewed, and will shortly be subject to peer review.                                                                                                                                                            | Check that model updates are incorporated, and that modelling process has appropriate peer review                                                                        | Live-Treat  | Unlikely                 | Minor                     | Low                          |
| QBCS 012                                                     | 16-Nov-18   | <b>Threat:</b> Conversion between models influences results and outputs;                                                    | <b>20 Feb 20:</b> Differences between models' outputs are currently well understood and compensated for.<br><b>1 Sep 20:</b> Modelling and parameters are well reviewed, and will shortly be subject to peer review.                                                                                                                                              | Maintain critial observations and comparative assessments.<br>Next action is modelling peer review                                                                       | Live-Treat  | Unlikely                 | Minor                     | Low                          |
| QBCS 019                                                     | 21-Jun-19   | <b>Threat:</b> That the parking pricing mechanism is poorly defined:                                                        | <b>20 Feb 20:</b> Conversion of pricing into practical measures the responsibility of Parking Strategy.<br><b>1 Sep 20:</b> Remains a current concern (mentioned in review process), however, not within our project scope to define - passed to next stages.                                                                                                     | Pass further development to follow up work.                                                                                                                              | Live-Parked | Possible                 | Moderate                  | Medium                       |
| QBCS 003                                                     | 14-Nov-18   | <b>Threat:</b> That consultation and engagement activities will not occur at the best times to support our delivery         | <b>20 Feb 20:</b> Risk has decreased over time as team working with combined W2G engagements team.<br><b>1 Sep 20:</b> This risk has impacted the project, with an engagement process, running right up to the point of draft business case delivery. This project will always be open to the criticism that it has not been adequately consulted on.             | W2G Communications and further stages to be aware.                                                                                                                       | Live-Treat  | Possible                 | Moderate                  | Medium                       |
| QBCS 026                                                     | 1-Sep-20    | <b>Threat:</b> That the recommended option could be challenged on the basis of incomplete option assessment                 | <b>1 Sep 20:</b> Option suite as developed does not appear to be challenged (i.e. Rationale accepted).                                                                                                                                                                                                                                                            | Ensure option selection process clearly explained with evidence and rationale                                                                                            | Live-Treat  | Possible                 | Moderate                  | Medium                       |
| QBCS 006                                                     | 31-Jul-18   | <b>Threat:</b> That inherited assumptions and initiatives are no longer (or less) valid.                                    | <b>20 Feb 20:</b> Assumptions and initiatives have received considerable testing over duration of project.<br>29 Sep 20: Validity of assumptions will always be an uncertainty, despite testing and review. Remains as on-going risk                                                                                                                              | Part of business case process is continued review, so process is robust. Frequent workshops with Mgmt Team, W2G Board, TGG also helps test, and review process.          | Live-Treat  | Possible                 | Moderate                  | Medium                       |

## APPENDIX B RISK CONSEQUENCE CRITERIA AND RISK REGISTER AT DELIVERY

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| NZ Transport Agency Threat Criteria (consequence) - delivery |                                                                                                                                                                                                                                                                                                              |                                                                                                                                                                           |                                                                           |                                                                                           |                                                        |                                                                                                    |                                                                                                                       |
|--------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------|----------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------|
|                                                              | Reputation                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                           |                                                                           | Performance                                                                               |                                                        |                                                                                                    |                                                                                                                       |
| Rating Scale                                                 | Stakeholders                                                                                                                                                                                                                                                                                                 | Public / Media                                                                                                                                                            | Legal/ Compliance                                                         | Delivery                                                                                  | Cost                                                   | Health & Safety                                                                                    | Environmental                                                                                                         |
| Extreme                                                      | <p>Disruption to stakeholder relationship slowing progression of nationally strategic activity, and/or</p> <p>Loss of route availability of a national strategic high volume highway and/or</p> <p><i>Complete failure to create mode shift and improve PT services</i></p>                                  | <p>Sustained national and/or international media coverage</p> <p>Intervention by Minister required, loss of Ministerial confidence. Commission of Inquiry instigated.</p> | <p>High profile prosecution(s) with potential for custodial sentence.</p> | <p>Programme slippage resulting in late delivery by more than 2yrs (within same LTP).</p> | <p>Negative financial impact of more than \$10M</p>    | <p>Loss of life, permanent disability or injury, or multiple serious injuries.</p>                 | <p>Permanent pollution damage or other environmental damage</p>                                                       |
| Severe                                                       | <p>Disruption to stakeholder relationship slowing progression of regionally strategic activity, and/or</p> <p>Loss of route availability of a national strategic highway and/or</p> <p><i>Delay implementation of PT service improvements by up to 5 years and/or mode shift 50% less than required.</i></p> | <p>Sustained media coverage (weeks)</p> <p>Possible Ministerial inquiry leading to loss of Ministerial confidence/formal enquiry by OAG or statutory agency.</p>          | <p>Individual prosecution.</p>                                            | <p>Programme slippage resulting in late delivery by between 1yr and 2 yrs</p>             | <p>Negative financial impact between \$5M to \$10M</p> | <p>Serious injury requiring specialist medical treatment or lost time greater than three weeks</p> | <p>Significant and widespread pollution or other environmental damage, with long term effects.</p>                    |
| Moderate                                                     | <p>Disruption to stakeholder relationship slowing progression of regional activity, and/or</p> <p>Loss of route availability of a regional strategic highway and/or</p> <p><i>Delay implementation of PT service improvement by up to 2 years, and / or mode shift will be 25% less than required</i></p>    | <p>Short term (days) media coverage</p> <p>Parliamentary/Ministerial questions or 3rd party investigation.</p>                                                            | <p>Breach with legal rebuke /abatement notice/restrictions.</p>           | <p>Programme slippage resulting in late delivery by between 6mnts and 1 year</p>          | <p>Negative financial impact between \$2M to \$5M</p>  | <p>Injury requiring medical treatment or lost time of 1 day to three weeks</p>                     | <p>Pollution or other environmental damage at a localised level, with medium term effects.</p>                        |
| Minor                                                        | <p>Disruption to stakeholder relationship slowing progression of site specific activity, and/or</p> <p>Loss of route availability of a regional connector highway and/or</p> <p><i>Delay implementation of PT service improvement by up to a year, and/or mode shift will be 10% less than required.</i></p> | <p>Local media coverage for 1-5 days</p> <p>Official information request. Negative feedback from Minister.</p>                                                            | <p>Breach with letter from authority requesting action.</p>               | <p>Programme slippage resulting in late delivery by between 3 and 6 months</p>            | <p>Negative financial impact between \$1M to \$2M</p>  | <p>Injury requiring short term medical treatment and workplace absence less than one day</p>       | <p>Minimum pollution or other environmental damage. Short term effects only.</p>                                      |
| Insignificant                                                | <p>Disruption to stakeholder relationship, and/or</p> <p>Loss of route availability of a regional distributor highway and/or</p> <p><i>Short delay in uptake of mode shift and improvement (frequency / capacity) of PT services</i></p>                                                                     | <p>Local media coverage for 1 day</p>                                                                                                                                     | <p>Breach managed at a regional level.</p>                                | <p>Programme slippage resulting in late delivery by less than 3 months.</p>               | <p>Negative financial impact of less than \$1M</p>     | <p>Injury requiring short-term first-aid care and no absence from the workplace</p>                | <p>Small scale pollution or other environmental damage is localised with no resultant effects. Contained locally.</p> |

|                     |                                                            |                                               |               |
|---------------------|------------------------------------------------------------|-----------------------------------------------|---------------|
| Project Description | Frankton to Queenstown SSBC and Queenstown Town Centre DBC | NZTA Lead                                     | Tony Sizemore |
| Contract ID         | NZTA 2018235                                               | Supplier Lead                                 | s 9(2)(a)     |
| Contract Value      | \$4.4M - Sep 2020                                          | Supplier Risk Mgmt Specialist (if applicable) | s 9(2)(a)     |

| Risk identifier                                                                                                                      | Date raised | Risk Description (include whether this is a threat or an opportunity)                                                                                                                                 | Risk Cause(s)                                                                                                                              | Risk Consequence(s)                                                                                                                                                                                                                                                        | Risk Owning Org    | Risk Owner    | Current Risk Likelihood | Current Risk Conseq | Conseq Category          | Current Controlled Risk Level |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|---------------|-------------------------|---------------------|--------------------------|-------------------------------|
| Contract Risk Register - Risks that threaten the next and subsequent stages of the business case - costs, timeliness, effectiveness. |             |                                                                                                                                                                                                       |                                                                                                                                            |                                                                                                                                                                                                                                                                            |                    |               |                         |                     |                          |                               |
| QBCS 009 b                                                                                                                           | 31-Jul-18   | <b>Threat:</b> That decision making external to team is poor or slow                                                                                                                                  | <b>Cause:</b> Decision makers are not aligned or not prepared to commit to significant change                                              | <b>Consequence:</b><br>1. Delivered project does not meet the expectations of stakeholders so reputational damage for all parties<br>2. Project fails to gain appropriate approvals to proceed so little is achieved for mode shift.                                       | W2G                | Shaun Hubbard | Possible                | Extreme             | Stakeholder              | Critical                      |
| QBCS 010                                                                                                                             | 16-Nov-18   | <b>Threat:</b> That the funding available to implement business case recommendations, and the recommendations, do not align                                                                           | <b>Cause:</b> Future budget drivers and decisions based on a range of elements, not only this business case                                | <b>Consequence:</b><br>1. Recommended options can not occur, so desired outcomes not achieved - so transport goals not achieved or significantly delayed.<br>2. Rework to develop outcomes that align to budgets - so project requires time/cost to modify recommendations | QLDC & NZTA & ORC  | Shaun Hubbard | Likely                  | Severe              | Stakeholder Delivery     | Critical                      |
| QBCS 023                                                                                                                             | 3-Sep-20    | <b>Threat:</b> There is misalignment between Waka Kotahi, QLDC and ORC for the multitude of interdependent projects                                                                                   | <b>Cause:</b> Multiple interdependencies between the projects which are the responsibility of differencing agencies                        | <b>Consequence:</b><br>1. Implementation timings and budgets mismatched leading to reputational damage for al parties.<br>2. Project recommended outcomes cannot occur, so transport goals not achieved                                                                    | W2G Board          | Shaun Hubbard | Almost certain          | Severe              | Cost Stakeholder         | Critical                      |
| QBCS 024                                                                                                                             | 3-Sep-20    | <b>Threat:</b> There is the threat that the projects lose community support                                                                                                                           | <b>Cause:</b> Community and individuals progressively understand more about the projects and the impacts on individuals                    | <b>Consequence:</b><br>1. Opposition develops toward the project meaning some elements, and therefore mode shift goals, are not achieved                                                                                                                                   | W2G Communications | Shaun Hubbard | Likely                  | Severe              | Stakeholder              | Critical                      |
| QBCS 030                                                                                                                             | 2-Nov-20    | <b>Threat:</b> Parking control and management measures are not strong enough to act as a "push" factor for mode shift.                                                                                | <b>Cause:</b> Parking implementation plan has not been developed, so uncertainty about its contents                                        | <b>Consequence:</b><br>1. Mode shift targets not achieved                                                                                                                                                                                                                  | QLDC               | Tony Pickard  | Likely                  | Severe              | Stakeholder Public/Media | Critical                      |
| QBCS 028                                                                                                                             | 2-Nov-20    | <b>Threat:</b> There is a threat that the different work programmes may not work together, or even against each other, over the life of this project.                                                 | <b>Cause:</b> Different work programmes have different governance structures                                                               | <b>Consequence:</b><br>1. Interdependent or interrelated programmes will not work together/reinforce/support each other at appropriate times, meaning infrastructure and services do not combine appropriately to deliver mode shift targets                               | W2G                | Shaun Hubbard | Possible                | Severe              | Stakeholder Public/Media | High                          |
| QBCS 029                                                                                                                             | 2-Nov-20    | <b>Threat:</b> The spatial plan supports land use patterns that are inconsistent with patterns assumed in this work, upon which the mode shift and infrastructure requirements are based.             | <b>Cause:</b> Spatial plan is driven by different elements than business case project, and was started after this work was mostly complete | <b>Consequence:</b><br>1. Infrastructure planned (or constructed) may prove to be inadequate or excessive (sub-optimal) for surrounding land use:<br>2. Failure to meet mode shift targets                                                                                 | W2G                | Shaun Hubbard | Possible                | Severe              | Stakeholder Public/Media | High                          |
| QBCS 015                                                                                                                             | 16-Nov-18   | <b>Threat:</b> That property(ies) required are not available                                                                                                                                          | <b>Cause:</b> Property owners do not wish to sell, or property costs are prohibitive                                                       | <b>Consequence:</b><br>1. Implementation delays for property negotiations / processes - so PT/mode share may be delayed<br>2. Property-requiring option cannot occur (requiring redesign) - so possible PT/modes share might be impacted, redesign cost and time           | NZTA               | Tony Sizemore | Likely                  | Moderate            | Cost Stakeholder         | High                          |
| QBCS 022                                                                                                                             | 20-Sep-20   | <b>Threat:</b> That decisions made for interface projects (Stage 1 design, Stage 2 & 3 prelim design and designation, and Manawa) are inconsistent with business case recommendations (misalignment). | <b>Cause:</b> Interface projects are working to different timelines, and their various constraints are not the same as this project.       | <b>Consequence:</b><br>1. Design elements need to be changed requiring time/cost to modify.<br>2. Project recommended outcomes cannot occur so transport goals not achieved                                                                                                | W2G                | Shaun Hubbard | Likely                  | Moderate            | Cost Stakeholder         | High                          |
| QBCS 025                                                                                                                             | 3-Sep-20    | <b>Threat:</b> There is detail design changes required in later stages                                                                                                                                | <b>Cause:</b> Detail design can identify necessary changes to scope / cost / programme                                                     | <b>Consequence:</b><br>1. Changes impact on timeframes and implementability, meaning cost , timing, and mode shift targets are not met                                                                                                                                     | W2G                | Shaun Hubbard | Likely                  | Moderate            | Cost Programme           | High                          |

| Risk Identifier | Date raised | Risk Description (include whether this is a threat or an opportunity)                                                         | Risk Cause(s)                                                                | Risk Consequence(s)                                                                                                                                                                                                                                                        | Risk Owning Org            | Risk Owner                    | Current Risk Likelihood | Current Risk Conseq | Conseq Category             | Current Controlled Risk Level |
|-----------------|-------------|-------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------|-------------------------------|-------------------------|---------------------|-----------------------------|-------------------------------|
| QBCS 027        | 30-Oct-20   | <b>Threat:</b> There is a threat that personnel experienced in this project may leave the relevant roles (or organisations)   | <b>Cause:</b> People move, change careers or seek promotion/different roles  | <b>Consequence:</b><br>1. New personnel are not as familiar with this work and:<br>a. May delay or miss required actions to progress the work:<br>b. May disagree with plans and seek to alter so that project recommended outcomes cannot occur either in time, or at all | ORC<br>Waka Kotahi<br>QLDC | Managers within Organisations | Likely                  | Moderate            | Stakeholder                 | High                          |
| QBCS 031        | 2-Nov-20    | <b>Threat:</b> Growth assumptions, used as basis for service, infrastructure and behaviour change recommendations, are wrong. | <b>Cause:</b> Covid-19 has shattered short to medium term growth predictions | <b>Consequence:</b><br>1. Sub-optimal investment decisions for infrastructure and services which do not balance against mode-shift demand                                                                                                                                  | W2G                        | Shaun Hubbard                 | Possible                | Moderate            | Stakeholder<br>Public/Media | Medium                        |
|                 |             |                                                                                                                               |                                                                              |                                                                                                                                                                                                                                                                            |                            |                               |                         |                     |                             |                               |
|                 |             |                                                                                                                               |                                                                              |                                                                                                                                                                                                                                                                            |                            |                               |                         |                     |                             |                               |

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|---------------------|--------------------------------------------|
| Project Description | Frankton to Queenstown SSBC and Queenstown |
| Contract ID         | NZTA 2018235                               |
| Contract Value      | \$4.4M - Sep 2020                          |

| Risk identifier                                                | Date raised | Risk Description (include whether this is a threat or an opportunity)                                                                                                                                 | Current Risk Status at Latest Update                                                                                                                                                                                                                                                               | Current/Recommended Treatment Actions                                                                                                                                                                                               | Risk status | Residual Risk Likelihood | Residual Risk Conseq | Residual (Target) Risk Level |
|----------------------------------------------------------------|-------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------|--------------------------|----------------------|------------------------------|
| Contract Risk Register - Risks that threaten the next and subs |             |                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                                                                                     |             |                          |                      |                              |
| QBCS 009 b                                                     | 31-Jul-18   | <b>Threat:</b> That decision making external to team is poor or slow                                                                                                                                  | <b>20 Feb 20:</b> Current alignment appears healthy, and engaged in Challenge workshop and other briefings to "spread the word" prior to decision making time<br><b>1 Sep 20:</b> This has impacted throughout the project and will still be relevant as implementation decisions need to be made. | Maintain contact with appropriate levels in NZTA, ORC and QLDC.<br>Reinforcement of requirement for timely decisions.                                                                                                               | Live-Parked | Possible                 | Moderate             | Medium                       |
| QBCS 010                                                       | 16-Nov-18   | <b>Threat:</b> That the funding available to implement business case recommendations, and the recommendations, do not align                                                                           | <b>20 Feb 20:</b> Current NZUP plan shows some commitment to this funding, which is a big part of this project, however there are significant costs associated with other elements.<br><b>29 Sep 20:</b> There remain differences between known available funding and estimated project costs      | Maintain contact with levels in QLDC, ORC and NZTA that are appropriate for team.<br>Update cases to be as realistic as possible for cost/budget profiles<br>Parties to signal funding priorities as early as possible              | Live-Parked | Likely                   | Moderate             | High                         |
| QBCS 023                                                       | 3-Sep-20    | <b>Threat:</b> There is misalignment between Waka Kotahi, QLDC and ORC for the multitude of interdependent projects                                                                                   | <b>29 Sep 20:</b> No indications of misalignment at this stage (submission to IQA).                                                                                                                                                                                                                | Consistent decisions are required across design, operations, approvals, funding, programme and implementation, so this speaks to frequent interaction, review and support between organisations, and at several levels within them. | Live-Parked | Likely                   | Moderate             | High                         |
| QBCS 024                                                       | 3-Sep-20    | <b>Threat:</b> There is the threat that the projects lose community support                                                                                                                           | <b>29 Sep 20:</b> Comms team currently considering client-facing actions from the last engagement process                                                                                                                                                                                          | Comprehensive engagement strategy on-going after business case completion, with frequent touch points with the community and stakeholders.                                                                                          | Live-Parked | Possible                 | Moderate             | Medium                       |
| QBCS 030                                                       | 2-Nov-20    | <b>Threat:</b> Parking control and management measures are not strong enough to act as a "push" factor for mode shift.                                                                                | <b>2 Nov 20:</b> At this point, no parking implementation plan developed, and some uncertainty about who has responsibility to deliver QLDC expects from Project team; project team believes should sit as element of parking strategy = QLDC).                                                    | Recommended W2G seek Board direction to prompt QLDC to develop implementation plan that supports this business case                                                                                                                 | Live-Parked | Possible                 | Moderate             | Medium                       |
| QBCS 028                                                       | 2-Nov-20    | <b>Threat:</b> There is a threat that the different work programmes may not work together, or even against each other, over the life of this project.                                                 | <b>2 Nov 20:</b> It is recognised that not all contributing project governance structures are clear at this point, which makes for some current vulnerability.                                                                                                                                     | W2G to emphasis understanding the connected projects management and governance structure, and keep the connections                                                                                                                  | Live-Parked | Possible                 | Moderate             | Medium                       |
| QBCS 029                                                       | 2-Nov-20    | <b>Threat:</b> The spatial plan supports land use patterns that are inconsistent with patterns assumed in this work, upon which the mode shift and infrastructure requirements are based.             | <b>2 Nov 20:</b> Note that the transport business case has been developed and tested with the SP preferred option, but because the SP has not been approved, the parameters could change.                                                                                                          | Pre-implementation work could do further sensitivity tests on SP options, to assess further risk of inconsistency                                                                                                                   | Live-Parked | Possible                 | Severe               | High                         |
| QBCS 015                                                       | 16-Nov-18   | <b>Threat:</b> That property(ies) required are not available                                                                                                                                          | <b>20 Feb 20:</b> Impacted properties identified. No assessment yet made of possible availability<br><b>29 Sep 20:</b> Property strategy still in process.                                                                                                                                         | Engage property owners.                                                                                                                                                                                                             | Live-Parked | Likely                   | Moderate             | High                         |
| QBCS 022                                                       | 20-Sep-20   | <b>Threat:</b> That decisions made for interface projects (Stage 1 design, Stage 2 & 3 prelim design and designation, and Manawa) are inconsistent with business case recommendations (misalignment). | <b>29 Sep 20:</b> Current project designs reflect latest known information from interface projects.                                                                                                                                                                                                | W2G maintain observation on interface projects and interaction with this project's requirements. Strong integrated project governance, with a clear agreement of roles and responsibilities.                                        | Live-Parked | Possible                 | Moderate             | Medium                       |
| QBCS 025                                                       | 3-Sep-20    | <b>Threat:</b> There is detail design changes required in later stages                                                                                                                                | <b>29 Sep 20:</b> Business case taken to end of DBC/SSBC stage to minimise this risk as much as possible.                                                                                                                                                                                          | Involve the right people early in frequent challenge sessions and peer review.                                                                                                                                                      | Live-Parked | Likely                   | Minor                | Medium                       |

| Risk Identifier | Date raised | Risk Description (include whether this is a threat or an opportunity)                                                         | Current Risk Status at Latest Update                                                                                                                                                                              | Current/Recommended Treatment Actions                                                                                                                                                                                           | Risk status | Residual Risk Likelihood | Residual Risk Conseq | Residual (Target) Risk Level |
|-----------------|-------------|-------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------|--------------------------|----------------------|------------------------------|
| QBCS 027        | 30-Oct-20   | <b>Threat:</b> There is a threat that personnel experienced in this project may leave the relevant roles (or organisations)   | <b>30 Oct 20:</b> Personnel movements not known at this point, however it is known that some personnel operate "individually" within their organisations, making that organisation's responsibilities vulnerable. | Management to remain aware of the vulnerabilities of staff movement/changes on this project.<br>Recommend a second (backup) team member who is appropriately informed and current.                                              | Live-Parked | Likely                   | Minor                | Medium                       |
| QBCS 031        | 2-Nov-20    | <b>Threat:</b> Growth assumptions, used as basis for service, infrastructure and behaviour change recommendations, are wrong. | <b>2 Nov 20:</b> There remains uncertainty around changes to growth patterns, however overall growth and targeted levels of vehicles/patronage etc expected to return in due course                               | Sensitivity tests, especially as part of subsequent business case work, will help to either target investment more accurately, or accommodate sufficient flexibility in the investment to mitigate the issues with uncertainty. | Live-Parked | Possible                 | Minor                | Medium                       |
|                 |             |                                                                                                                               |                                                                                                                                                                                                                   |                                                                                                                                                                                                                                 |             |                          |                      |                              |
|                 |             |                                                                                                                               |                                                                                                                                                                                                                   |                                                                                                                                                                                                                                 |             |                          |                      |                              |

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## APPENDIX C: RISK REGISTER – CLOSED RISKS

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|                     |                                                            |                                               |               |
|---------------------|------------------------------------------------------------|-----------------------------------------------|---------------|
| Project Description | Frankton to Queenstown SSBC and Queenstown Town Centre DBC | NZTA Lead                                     | Tony Sizemore |
| Contract ID         | NZTA 2018235                                               | Supplier Lead                                 | s 9(2)(a)     |
| Contract Value      | \$4.4M - Sep 2020                                          | Supplier Risk Mgmt Specialist (if applicable) | s 9(2)(a)     |

| Risk identifier                     | Date raised | Risk Description (include whether this is a threat or an opportunity)                                              | Risk Cause(s)                                                                                                                                   | Risk Consequence(s)                                                                                                                                                                                                                                                 | Risk Owning Org | Risk Owner    | Current Risk Likelihood | Current Risk Conseq | Conseq Category                  | Current Controlled Risk Level |
|-------------------------------------|-------------|--------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|---------------|-------------------------|---------------------|----------------------------------|-------------------------------|
| Contract Risk Register closed risks |             |                                                                                                                    |                                                                                                                                                 |                                                                                                                                                                                                                                                                     |                 |               |                         |                     |                                  |                               |
| QBCS 011                            | 31-Jul-18   | <b>Threat:</b> That proposed solutions do not adequately accommodate future growth and growth patterns.            | Cause: Growth parameters are not modelled adequately, or growth information feeding the models is inadequate                                    | <b>Consequence:</b><br>1. Recommended and implemented options fail to provide outcomes required.                                                                                                                                                                    | QLDC            | Tony Pickard  |                         |                     |                                  |                               |
| QBCS 014                            | 16-Nov-18   | <b>Threat:</b> That approval processes from partner organisations are slow or non-existent                         | <b>Cause:</b> Internal processes in organisations                                                                                               | <b>Consequence:</b><br>1. Recommended options do not receive approvals and cannot be implemented                                                                                                                                                                    | W2G             | Tony Sizemore |                         |                     |                                  |                               |
| QBCS 004                            | 14-Nov-18   | <b>Threat:</b> That a changing QLC Council may impact Business Case requirements and engagements                   | <b>Cause:</b> Local body election cycle, and politics                                                                                           | <b>Consequence:</b><br>1. Rework of elements of project; or<br>2. Project perceived to not meet the needs of QLDC<br>3. Delay to delivery                                                                                                                           | Stantec         | s 9(2)(a)     |                         |                     |                                  |                               |
| QBCS 021                            | 4-Dec-19    | <b>Threat:</b> That PT elements do not get implemented because team unable to talk with ORC                        | <b>Cause:</b> ORC needs to be engaged to understand their role in the implementation measures they will be responsible for                      | <b>Consequence:</b><br>1. Elements of PT change do not get implemented, and mode shift changes are too low so PT mode shift is delay or cannot occur.                                                                                                               | ORC             | s 9(2)(a)     | Possible                | Extreme             | Stakeholders                     | Critical                      |
| QBCS 013                            | 16-Nov-18   | <b>Threat:</b> There is no long term viable, economic solutions                                                    | <b>Cause:</b> The treatments to meet future transport growth needs are unaffordable, or physically impossible                                   | <b>Consequence:</b><br>1. Transport problems continue for Queenstown and area, so PT mode shift not achieved.<br>2. Economic development is stunted.                                                                                                                | NZTA            | Tony Sizemore | Rare                    | Extreme             | Stakeholder                      | High                          |
| QBCS 009 a                          | 31-Jul-18   | <b>Threat:</b> That decision making external to team is poor or slow                                               | <b>Cause:</b> Information to decision makers is inadequate and/or not timely;                                                                   | <b>Consequence:</b><br>1. Delivered project does not meet the expectations of stakeholders so reputational damage for all parties<br>2. Project fails to gain appropriate approvals to proceed so little is achieved for mode shift.                                | Stantec         | s 9(2)(a)     | Possible                | Severe              | Stakeholder                      | High                          |
| QBCS 020                            | 30-Jul-19   | <b>Threat:</b> That the spatial planning exercise is underway and may impact on the basic premise of our project   | <b>Cause:</b> Our project requirements are based on meeting the land use planning needs, which may change                                       | <b>Consequence:</b><br>1. Rework some / all of the modelling based on land use assumptions so targets may need reanalysis, may shift, and need rework.                                                                                                              | QLDC            | Tony Pickard  | Possible                | Severe              | Stakeholders<br>Delivery<br>Cost | High                          |
| QBCS 005                            | 16-Nov-18   | <b>Threat:</b> That this investigation's findings conflict with other business case recommendations / decisions    | <b>Cause:</b> Different investigations have different priorities/objectives                                                                     | <b>Consequence:</b><br>1. Rework elements of project so delivery of business cases delayed.<br>2. Project fails to meet investment objectives so PT mode share gains delayed or not fully achievable.                                                               | W2G             | Tony Sizemore | Likely                  | Moderate            | Stakeholders<br>Delivery         | High                          |
| QBCS 008                            | 31-Jul-18   | <b>Threat:</b> That the project environment is dynamic and circumstances are changing quickly.                     | <b>Cause:</b> Developer led environments change quickly, and town needs to respond to market forces, plus other development elements in process | <b>Consequence:</b><br>1. Project decisions may be out-of-touch with current / future needs and deliver poor function - so PT/mode share may not be fully acheived.<br>2. Project elements may need rework and delay delivery - so delivery time and cost increased | QLDC & NZTA     | s 9(2)(a)     | Almost certain          | Moderate            | Stakeholder<br>Delivery          | High                          |
| QBCS 002 a                          | 14-Nov-18   | <b>Threat:</b> That the network capacity information is unrealistic or wrong                                       | <b>Cause:</b> Inaccurate or unrealistic land use scenarios, which the modelling has used                                                        | <b>Consequence:</b><br>1. Business case makes poor recommendations - so mode share targets may not be reached                                                                                                                                                       | QLDC (Planning) | Tony Pickard  | Unlikely                | Moderate            | Stakeholders                     | Medium                        |
| QBCS 016                            | 5-Dec-18    | <b>Threat:</b> That there are some clear preferences and expectations about what the investigations will determine | <b>Cause:</b> Previous work and/or other parties favour a particular outcome                                                                    | <b>Consequence:</b><br>1. Inappropriate pressure on the project team to produce a (potentially unsupported) treatment - so recommendations may not meet PT/mode shift targets<br>2. Negative reactions to actual investgation outcomes.- so poor reputation         | NZTA            | Tony Sizemore | Likely                  | Minor               | Stakeholder                      | Medium                        |

| Risk Identifier | Date raised | Risk Description (include whether this is a threat or an opportunity)                                                                                                 | Risk Cause(s)                                                                                                             | Risk Consequence(s)                                                                                                                                                                                                                      | Risk Owning Org | Risk Owner | Current Risk Likelihood | Current Risk Conseq | Conseq Category                  | Current Controlled Risk Level |
|-----------------|-------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|------------|-------------------------|---------------------|----------------------------------|-------------------------------|
| QBCS 017        | 5-Dec-18    | <b>Threat:</b> That there is increasing stakeholder frustration about ongoing investigation and things not happening                                                  | <b>Cause:</b> Numerous investigations over the years with no decisions or infrastructure changes                          | <b>Consequence:</b><br>1. Pressure on project team hurry investigation<br>2. Inadequate investigaiton and justification of actions                                                                                                       | W2G             | s 9(2)(a)  | Likely                  | Minor               | Stakeholder                      | Medium                        |
| QBCS 018        | 18-Jun-19   | <b>Threat:</b> That the scope of the project is inadequate to cover the increasing complexity as investigation progresses                                             | <b>Cause:</b> Multiple streams of investigation are uncovered as project continues                                        | <b>Consequence:</b><br>1. Additional scope work delays project completion, and increases work done - so delivery time and cost increase<br>2. Work to meet timeline does not cover full scope - so PT/scope possibly misses goals        | NZTA            | s 9(2)(a)  | Unlikely                | Minor               | Stakeholder<br>Delivery<br>Cost  | Low                           |
| QBCS 001        | 14-Nov-18   | <b>Threat:</b> That the project quality of decisions are very dependent on the timely provision of information from other business cases and investigations under way | <b>Cause:</b> Multiple programmes in process, running to different timings and their inputs necessary for us to complete. | <b>Consequence:</b><br>1. Inadequate information upon which to base business case decisions, meaning poor recommendations - so mode share goals may not be met.<br>2. Delays to delivery of the business cases - so goals achieved later | Stantec         | s 9(2)(a)  | Unlikely                | Minor               | Stakeholders<br>Delivery<br>Cost | Low                           |
|                 |             |                                                                                                                                                                       |                                                                                                                           |                                                                                                                                                                                                                                          |                 |            |                         |                     |                                  |                               |

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|                     |                                        |
|---------------------|----------------------------------------|
| Project Description | Frankton to Queenstown SSBC and Queens |
| Contract ID         | NZTA 2018235                           |
| Contract Value      | \$4.4M - Sep 2020                      |

| Risk identifier                     | Date raised | Risk Description (include whether this is a threat or an opportunity)                                              | Current Risk Status at Latest Update                                                                                                                                                                                                                                                                                                         | Current/Recommended Treatment Actions                                                                                                   | Risk status | Residual Risk Likelihood | Residual Risk Consequence | Residual (Target) Risk Level |
|-------------------------------------|-------------|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------|-------------|--------------------------|---------------------------|------------------------------|
| Contract Risk Register closed risks |             |                                                                                                                    |                                                                                                                                                                                                                                                                                                                                              |                                                                                                                                         |             |                          |                           |                              |
| QBCS 011                            | 31-Jul-18   | <b>Threat:</b> That proposed solutions do not adequately accommodate future growth and growth patterns.            |                                                                                                                                                                                                                                                                                                                                              | This risk is covered in a number of other risks, and has no merit as a stand-alone                                                      | Rejected    |                          |                           |                              |
| QBCS 014                            | 16-Nov-18   | <b>Threat:</b> That approval processes from partner organisations are slow or non-existent                         |                                                                                                                                                                                                                                                                                                                                              | Risk is effectively a duplicate of QBSC 009 b                                                                                           | Rejected    |                          |                           |                              |
| QBCS 004                            | 14-Nov-18   | <b>Threat:</b> That a changing QLC Council may impact Business Case requirements and engagements                   | 15 Dec 19: Local body elections over, and briefing to current QLDC Councillors seemed acceptable                                                                                                                                                                                                                                             |                                                                                                                                         | Closed      |                          |                           |                              |
| QBCS 021                            | 4-Dec-19    | <b>Threat:</b> That PT elements do not get implemented because team unable to talk with ORC                        | <b>20 Feb 20:</b> Have currently talked with ORC staff, but unable to get access to Councillors as a group<br><b>1 Sep 20:</b> Project team have engaged ORC (positive reception). Process now is beyond team engagement with ORC.                                                                                                           | Maintain efforts to get access to Councillors. Elevate as necessary to make this happen.                                                | Closed      |                          |                           |                              |
| QBCS 013                            | 16-Nov-18   | <b>Threat:</b> There is no long term viable, economic solutions                                                    | <b>20 Feb 20:</b> Current assessment has almost eliminated this risk, however some assessment work still to occur.<br><b>1 Sep 20:</b> Project work has showed viable solutions are available. Risk now moves to implementation stages.                                                                                                      | Continue to test viability of options                                                                                                   | Closed      |                          |                           |                              |
| QBCS 009 a                          | 31-Jul-18   | <b>Threat:</b> That decision making external to team is poor or slow                                               | <b>20 Feb 20:</b> Current information flow through tech notes and tech workshops, and briefings. Still get questions back indicating our story is not yet fully absorbed<br><b>1 Sep 20:</b> With the submission of the business case reporting, and interactive review, this particular cause is eliminated                                 | Step up communication with decision making personnel,                                                                                   | Closed      |                          |                           |                              |
| QBCS 020                            | 30-Jul-19   | <b>Threat:</b> That the spatial planning exercise is underway and may impact on the basic premise of our project   | <b>20 Feb 20:</b> Team has a liaison role with the Spatial Planning team, however we are currently ignorant on the level of change that some of their models <i>might</i> suggest<br><b>1 Sep 20:</b> Spatial plan inputs have been received and incorporated into modelling .                                                               | Investigate avenues to identify Spatial Plan options as soon as possible                                                                | Closed      |                          |                           |                              |
| QBCS 005                            | 16-Nov-18   | <b>Threat:</b> That this investigation's findings conflict with other business case recommendations / decisions    | <b>20 Feb 20:</b> Risk has decreased over time, however there are projects for which conflicts with this projects recommendations still apply - Town Centre Master Plan, Frankton Masterplan<br><b>1 Sep 20:</b> Risk closed. Other BC work has impacted process, but delivery now precluded further input on DBC outputs.                   | Regular check in between relevant plans and involvement of W2G in how to process conflicts                                              | Closed      |                          |                           |                              |
| QBCS 008                            | 31-Jul-18   | <b>Threat:</b> That the project environment is dynamic and circumstances are changing quickly.                     | <b>20 Feb 20:</b> Team continually aware of new developments, and regularly assess project impacts. Specifically liaising on Manawa. Have engaged with Airport and Remarkables Park representatives<br><b>1 Sep 20:</b> Risk closed. Project has been impacted by frequent change, but DBC delivery marks design and assessment freeze point | Progressive incorporation of transport goals into Infrastructure Code of Practice<br>Maintain discussions with key stakeholder parties. | Closed      |                          |                           |                              |
| QBCS 002 a                          | 14-Nov-18   | <b>Threat:</b> That the network capacity information is unrealistic or wrong                                       | <b>20 Feb 20:</b> Land use modelling did have an early correction in this project, thus consider that current scenarios are correct<br><b>1 Sep 20:</b> Risk closed. Spatial planning recently provided latest iteration of land use forecasts which (although containing some changes, supported the info used in DBC analysis.).           | No action on current land use information proposed. Maintain liaison with Spatial plan - see Risk QBCS 020                              | Closed      |                          |                           |                              |
| QBCS 016                            | 5-Dec-18    | <b>Threat:</b> That there are some clear preferences and expectations about what the investigations will determine | <b>20 Feb 20:</b> Team is very aware of expectations, and have communicated some "modifiers' through tech notes and workshops.<br><b>29 Sep 20:</b> Following the first stages of the delivery review, the expectations for delivery have been clearly established. Risk closed.                                                             | Focus on likely expectations in communications leading up to, and part of engagements and consultation                                  | Closed      |                          |                           |                              |

| Risk Identifier | Date raised | Risk Description (include whether this is a threat or an opportunity)                                                                                                 | Current Risk Status at Latest Update                                                                                                                                                                                                                                                                                                                              | Current/Recommended Treatment Actions                               | Risk status | Residual Risk Likelihood | Residual Risk Consequence | Residual (Target) Risk Level |
|-----------------|-------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------|-------------|--------------------------|---------------------------|------------------------------|
| QBCS 017        | 5-Dec-18    | <b>Threat:</b> That there is increasing stakeholder frustration about ongoing investigation and things not happening                                                  | <b>20 Feb 20:</b> To a certain degree, some disquiet has been responded to through the RTIs.<br><b>1 Sep 20:</b> Closed as a risk. The project has a timeline and recommendations for delivery. The stakeholder frustration is not an uncertainty that will impact our delivery.                                                                                  | Update communications after Workshop 5,                             | Closed      |                          |                           |                              |
| QBCS 018        | 18-Jun-19   | <b>Threat:</b> That the scope of the project is inadequate to cover the increasing complexity as investigation progresses                                             | <b>20 Feb 20:</b> Current development of scope has picked up and responded to significant change in overall project complexity, so unlikely that there are scope elements missed<br><b>1 Sep 20:</b> Scope has been formally expanded, and reached sensible geographic limits. Further stages of work identified in deliverables.This risk as it stands is closed | Maintain a perspective on overall scope                             | Closed      |                          |                           |                              |
| QBCS 001        | 14-Nov-18   | <b>Threat:</b> That the project quality of decisions are very dependent on the timely provision of information from other business cases and investigations under way | <b>20 Feb 20:</b> Believed that most other operative business cases are now identified and incorporated<br><b>1 Sep 20:</b> Connections identified and frozen to allow delivery. Risk closed. -                                                                                                                                                                   | Maintain contact through W2G with other projects to assess on-going | Closed      |                          |                           |                              |
|                 |             |                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                   |                                                                     |             |                          |                           |                              |

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**APPENDIX D: RISK REVIEW WORKSHOP – 16  
NOVEMBER 2018**

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**Meeting Title** NZTA: F2Q SSBC - QTC DBC

**Risk Review Workshop/Meeting**

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Date/Time: 16 November 2018  
 Place: Meeting with Skype Attendees  
 Attendees: NZ Transport Agency – Tony Sizemore  
 Stantec – s 9(2)(a) (Skype)  
 WSP Opus – s 9(2)(a) (Skype)  
 Abley Consultants – s 9(2)(a) (Skype)  
 The Property Group – s 9(2)(a)

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## NZ Transport Agency Queenstown NZTA Queenstown

**16 November 18**

Raw notes from Risk Workshop. Elements to be added to risk register or risk plan, as appropriate.

### Risk considerations:

- Actual integration/connectedness between business cases:
  - ❖ What if our best case is not theirs?
- Funding for recommended options – if not available then work is wasted.
  - ❖ Funding levels early?
- Projections for growth wrong?
  - ❖ Can it come back to us?
  - ❖ Even if it is wrong, when/how do we know?
  - ❖ What would the impacts be?
- Note RFT was to have 5 top risks – ensure transfer to register.
- Risk = conversion of strategic model to microsim.
- Risk – no viable long term economic solutions.
- Programme risks around property acquisition

Thoughts: household travel surveys – basis of model land use – someone thinking about doing nationally.

New project in the mix is the Frankton Master Plan

Engagement – need stuff from Rationale for town centre optioneering. Matthew asked for background for TC Master Planning.

Tony S to call s 9(2)(a) as to who has town centre Master Plan.

### HOT TOPICS:

- Did we cover off strategic model?
- Have land use assumptions s 9(2)(a) reasonable agreement working Okay?
- Noted that to stabilise Strategic Model that had to 4 Lane SH6A and 3000 parks in town centre to get it to stabilise.

### Property

s 9(2)(a)

January 29, 2019

Meeting Title **NZTA: F2Q SSBC – QTC DBC**

Page 2 of 2

- Potential involvement in long list workshop
- Opportunities/Problems/Constraints close out exercise.

Further Risks: Our ability to deliver

Categories:

1. Consenting
2. Properties
3. Constructability
4. Construction effects
5. Business Case delivery
6. Effectiveness of Infrastructure/operations

Risk to fit:

- Integration of projects = (5) and (6).
- Partners and approval processes (5)
- Local body elections (5)
  - Can that impact on our listing and assessment
  - Invitation by RTC rep.

Multiparty – pulled in different directions and process falls apart.

Relationship between QLDC and ORC is a bit testy – lack of understanding of areas of responsibility.

What if recommended options are not politically compatible – practicalities and pressure to modify – stuck to process.

**§ 9(2)** – Risk issues:

- Needing approvals to be built into timing
- Also who has authority for approvals signing protocols
- When is the best time to engage with public.
- Roles and responsibilities for multiple projects operating at the same time.
- Consultation fatigue.

**§ 9(2)(a)**

- Risks around early wins expectations not being met.
- Budget absorbed by other projects.
- Engagement – feedback required for short list to preferred option – influenced by consultation between Workshop 4 and Workshop 5 – need to add this in.

Opportunity – collaborative Working (rather than working within groups)

Opportunity - Early wins – funding that may be available

Opportunity – Optimisation of SH6A can use \$10m (SH6A goes from Frankton to Steamer Wharf – staged)

Opportunity – Shundi site – possible to acquire early for arterials/bus exch?.

Customer insights useful to feed into option development – don't have full range of options or might miss key issues.

Future PT:

- Modelling – what if outcome doesn't work? - Timing risk to find something that works.

## APPENDIX E: RISK REVIEW – CHALLENGE TEAM

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## Risk Discussion

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# Risks

**Where have risks come from:**

- **Project team proposal in Jul/Aug 2018**
- **Risk workshop in Nov 18**
- **On-going workshops, and monthly reporting**
- **This Challenge discussion**

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# Risks

What constitutes a risk to this project?:

- Std NZTA rating criteria –
  - Stakeholders
  - Public/media
  - Delivery (timeframe of this business case)
  - Cost (of this business case – not capital works)
  - H&S and environmental
- But given that our markers of success are mode shift and PT services, added criteria of **threat to provision of PT services / meeting mode share goals over time**

## Risk

| Risk Description                                                                     | Risk Consequence(s)                                                                                                                                                                                                                       | Likelihood | Conseq  | Risk Level |
|--------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|---------|------------|
| Threat: That decision making external to team is poor or slow                        | Consequence:<br><br>1. Delivered project does not meet the expectations of stakeholders; - so reputational damage for all parties<br><br>2. Project fails to gain appropriate approvals to proceed - so little is achieved for mode shift | Possible   | Extreme | Critical   |
| Threat: That PT elements do not get implemented because team unable to talk with ORC | Consequence:<br><br>1. Elements of PT change do not get implemented, and mode shift changes are too low - so PT / mode shift is delayed or cannot occur.                                                                                  | Possible   | Extreme | Critical   |

# Risk

| Risk Description                                                                                                     | Risk Consequence(s)                                                                                                                                                                                                                                                 | Likelihood | Conseq  | Risk Level |
|----------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|---------|------------|
| Threat: There is no long term viable, economic solutions                                                             | Consequence:<br>1. Transport problems continue for Queenstown and area - so PT mode shift not achieved<br>2. Economic development is stunted.                                                                                                                       | Rare       | Extreme | High       |
| Threat: That decision making external to team is poor or slow                                                        | Consequence:<br>1. Delivered project does not meet the expectations of stakeholders; - so reputational damage for all parties<br>2. Project fails to gain appropriate approvals to proceed - so little is achieved for mode shift                                   | Possible   | Severe  | High       |
| Threat: That the funding available to implement business case recommendations, and the recommendations, do not align | Consequence:<br>1. Recommended options can not occur, so desired outcomes not achieved - so transport goals not achieved or significantly delayed.<br>2. Rework to develop outcomes that align to budgets - so project requires time/cost to modify recommendations | Possible   | Severe  | High       |
| Threat: That the spatial planning exercise is underway and may impact on the basic premise of our project            | Consequence:<br>1. Rework some / all of the modelling based on land use assumptions - so targets may need reanalysis, may shift, and rework to get there.                                                                                                           | Possible   | Severe  | High       |

# Risk

| Risk Description                                                                                         | Risk Consequence(s)                                                                                                                                                                                                                                          | Likelihood     | Conseq   | Risk Level |
|----------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------|----------|------------|
| Threat: That this investigation's findings conflict with other business case recommendations / decisions | Consequence:<br>1. Rework elements of project - so delivery of business cases delayed<br>2. Project fails to meet investment objectives - so PT/mode share gains delayed or not fully achievable                                                             | Likely         | Moderate | High       |
| Threat: That the project environment is dynamic and circumstances are changing quickly.                  | Consequence:<br>1. Project decisions may be out-of-touch with current / future needs and deliver poor function - so PT/mode share may not be fully achieved.<br>2. Project elements may need rework and delay delivery - so delivery time and cost increased | Almost certain | Moderate | High       |

# Risk

- Risk elements currently unidentified
- Consider in terms of :
  - What is under threat?
  - What are the consequences of that threat?

**From the call this morning – Inadvertent consequences of changing transport function = potential threat/opportunity to business stakeholders (*can clarify consequence better?*)**

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