3 July 2019

I refer to your request dated 30 May 2019, pursuant to the Official Information Act 1982 (the Act), seeking:

“… a copy of all communications between MoT and the Treasury in relation to the following high risk project:

- Auckland City Rail Link”

On 5 June 2019, you clarified the scope of the request to:

“… material provided by the Ministry to Treasury in regard to the latest risk profile assessment for the Auckland City Rail Link. Specifically, this: https://treasury.govt.nz/information-and-services/state-sector-leadership/investment-management/think-investment-possibilities/risk-profile-assessment”

The following documents fall within the scope of your request and are enclosed:

- Document 1: email dated 22 July 2016

This material relates to the latest risk profile assessment (RPA) that was undertaken in 2016. The scope and costs of Auckland City Rail Link (CRL) were revised in the previous year. We understand that Treasury determined that a new RPA was not needed as CRL was already subject to the highest RPA risk rating and the associated bespoke governance and monitoring arrangements. More information on those arrangements can be found at https://www.cityraillink.co.nz/.

Certain information is being withheld in reliance on section 9(2)(a) that relates to protecting the privacy of natural persons.

In regard to the information that has been withheld under section 9 of the Act, I am of the opinion that there are no countervailing considerations that make it desirable, in the public interest, to make the information available.
You have the right under section 28(3) of the Official Information Act to make a complaint about the withholding of information to the Ombudsman, whose address for contact purposes is info@ombudsman.parliament.nz.

The Ministry publishes our Official Information Act responses and the information contained in our reply to you will be published on the Ministry website. Before publishing, we will remove any personal or identifiable information.

Yours sincerely

Glen-Marie Burns  
Manager, Urban Development and Environment  
for CHIEF EXECUTIVE
Hi Claire

One of the actions coming out of the latest meeting between Stephen, David, Simon and Geoff was for the Crown to identify the expertise it wishes to bring in for the next gateway review. The Treasury’s Gateway Unit has advised us that as the Crown is now joining the project as a co-sponsor and co-funder the official Government Gateway process now applies. This process is coordinated by Treasury, but independent of it, and we have been assured that the Gateway Unit would be comfortable with receiving suggested Gateway Reviewers from both the Crown and Auckland Transport. The findings of Gateway Review 2 can be provided to both the Crown and Auckland Transport as joint sponsors of the CRL.

We appreciate that this is a change from what has been done to date, so we want to ensure that this process is complementary to, and non-duplicating of, Auckland Transport’s own project review processes. We’d
welcome a discussion on this. We want to ensure that the Gateway Review adds value to your own project deliberations and that it is done smoothly. We are also willing to discuss funding for this review.

To get the review underway, a Risk Profile Assessment needs to be completed. It’s a light-touch template that takes about an hour to complete and is available here: www.treasury.govt.nz/statesector/investmentmanagement/think/riskprofile. We would be grateful if you or someone within your team were able to provide this information so that the Treasury can commence the process, though if you would be more comfortable discussing it first we would be happy to do so.

Assuming that the risk profile will be Medium or High, the Gateway Unit will then run the review, working with you and the Crown to establish the review needs and process, and finding suitable reviewers. The Gateway Unit has advised that it will attempt to move quickly on the CRL given the high-profile nature of the project and we are assured that the Gateway can be completed within 8 weeks (the actual Gateway Review itself only takes 1 week).

We are happy to discuss this further, or you are welcome to contact Celia van Vliet of the Gateway Unit on [redacted]@treasury.govt.nz.

Regards

Withheld under section 9(2)(a)

Marian Willberg
Policy Manager - Programmes
NZ Head of Delegation to the APEC TPT-WG
Ministry of Transport – Te Manatū Waka
89 The Terrace, Wellington 6140

MINISTRY OF TRANSPORT

Please note from 15 August 2016, our Wellington Office (Head Office) will be located at 1 The Boulevard, Harbour Quays. Our Wellington PO Box, phone, fax and email details will remain unchanged.

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Hi

The Ministry of Transport agrees with the assessment of this project as HIGH risk.

Marian Willberg
Policy Manager - Programmes
NZ Head of Delegation to the APEC TPT-WG
Ministry of Transport – Te Manatū Waka
89 The Terrace, Wellington 6140
T: +649 975 7600 | M: +64 272 401 516 | www.transport.govt.nz

Good afternoon all
I agree with the agency’s self-assessment of this project as HIGH risk.

Cheers
- Celia

Celia van Vliet | Programme Manager, Investment Reviews | The Treasury
Hi all

So that we can develop a united central/monitoring agency view of risk for a major project/programme, I have forwarded for your review a Risk Profile Assessment (RPA) completed by Auckland Transport for its City Rail Link project.

The agency’s initial self-assessed rating is **HIGH** Risk.
- If you agree with this rating, please reply to me to confirm.
- If you disagree with this initial rating, or are unsure of the project’s risk level, please review the RPA and comment as follows:
  1. Do you disagree with any of their answers? Why?
  2. Are there any factors not included in the RPA, or not given sufficient weighting, that you believe warrant a different rating being assigned?

I would be grateful for your response by **EOB Monday 8 August 2016**.

**Deemed acceptance**: If I do not hear from you by this deadline I will assume that you are satisfied with the risk rating as it stands in the RPA or as amended by Treasury or other reviewers.

Regards

Withheld under section 9(2)(a)

[Email Address]

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Background
The recent Cabinet Circular “Investment Management and Asset Performance in the State Services”, CO (15) 5, requires agencies (defined as all departments (including departmental agencies), Crown agents, Autonomous Crown entities, Independent Crown entities, Crown entity companies, including Crown Research Institutes; and companies listed on Schedule 4A of the PFA) to complete risk profile assessments (RPAs) for all significant investments identified on multi-year plans. Where the self-assessment yields an initial ‘Medium’ or ‘High’ risk rating, the agency must submit the results to the Treasury Investment Management and Asset Performance (IMAP) team. IMAP will run a moderation process across the Corporate Centre before making a final risk determination. All investment proposals that are determined high risk by this process will have the appropriate investment review applied, including Gateway peer reviews. The Treasury will also work with relevant monitoring groups (e.g. vote team, Treasury Commercial Operations, monitoring department) to agree who is best placed to monitor the project.

The rating will also affect Treasury’s decision about the level of business case detail and cabinet approvals required for the investment.

It is important to the confidence of agencies and ministers in the investment management regime that we, as central agencies:
- are consistent in our assessment of the risk of any particular investment project, and
- make assessments based on our collective knowledge.
For this reason, whenever IMAP receives a Risk Profile Assessment (RPA) from an agency, we will forward it to each central/monitoring agency for comment. People contacted will be:

Treasury: Major Projects Monitor for this agency; Vote Analyst (cc: Relationship Manager)
NZ Government Procurement
DPMC: relevant analyst
SSC: Relevant Assistant Commissioner or Deputy Commissioner
DIA: GCIO (for ICT-based projects)
Monitoring department (for crown entities): varies by project

Withheld under section 9(2)(a)

[Email address]
Tel: [Phone number]

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