

MATRIZ DE IDENTIFICACION Y DISTRIBUCION DE RIESGOS

TIPO DE CONTRATO: CONTRATO DE SUMINISTRO

OBJETO:

"Adquisición y Suministro de tecnología de abatimiento secundaria de óxido nítrico (N2O), para la planta de ácido nítrico de Monómeros, ubicada en el Distrito Especial, Industrial y Portuario de Barranquilla, Departamento del Atlántico – Colombia, en el contexto de la iniciativa Nitric Acid Climate Action Group (NACAG)."

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| N° | Class | Source | Stage | Type | Description | Consequence of occurrence | Probability | | Impact | | | Risk Category | To whom is it assigned? | Treatment/Controls | Impact after treatment | | | Does it affect the execution of the Contract? | Person responsible for implementing the treatment | Estimated treatment start date | Estimated complete treatment date | Monitoring and Review | | |
|----|---------|----------|----------|-------------|---|---|-------------|-----------|----------|-----------|-----------------|---------------|-------------------------|--|------------------------|--------|-----------------|---|---|---|-----------------------------------|---|--|--|
| | | | | | | | Category | Valuation | Category | Valuation | Risk Assessment | | | | Probability | Impact | Risk Assessment | | | | | Category | How is monitoring performed? | Periodicity When? |
| 1 | General | Internal | Planning | Operational | The definition of the need and the object established in the planning stage does not comply with the applicable selection modality, according to the guidelines of the Colombian public contracting regime applicable to the company MONÓMEROS COLOMBO VENEZOLANOS S.A. | The contractual process cannot be carried out due to non-compliance with the selection modality, delays in meeting the need and compliance with the agreements established in the Subsidy Contract signed with GIZ. | Rare | 1 | Menor | 2 | 3 | Low Risk | MONÓMEROS | Legal review and support, clarifying the requirements and applicability of each of the selection modalities, in accordance with the legal guidelines established by the General Statute of Colombian public procurement that are applicable, as well as the requirements of GIZ, in the grant contract. | 1 | 1 | 2 | Low Risk | Eventually | Monómeros' Contracts Office | Start of pre-contractual stage | Completion of the pre-contractual stage | Verification of budget and terms established in the grant contract. | The planning stage of the contracting process between Monomers and GIZ has been completed. |
| 2 | General | Internal | Planning | Operational | Declaration of state of emergency, public calamity, mandatory preventive isolation, curfew in Colombia. | The execution of the contract is difficult, the human resources are insufficient, the agreed obligations are not fulfilled under the defined conditions. | Improbable | 2 | Moderate | 3 | 5 | Medium Risk | MONÓMEROS | Use of greater technological resources in order to contribute to the fulfillment of the Contractor's defined obligations. | 3 | 1 | 4 | Low Risk | Generates delays | Supervisor and/or auditor of the contract | Contractual performance | After completion of the execution of the contract | Analysis of the social and economic environment, adopting alternative measures to help comply with the conditions agreed in the contract | Permanent |
| 3 | General | External | Hiring | Operational | Lack of subscription of the contract by the contractor and/or delay in the constitution and presentation of the guarantees (Policy and/or Bank Guarantee) required to guarantee compliance with the contract for the Supply of Abatement Technology. | Delay and impossibility to start the execution of the contract and impact on the achievement of the objectives and satisfaction of the need proposed by the company Monomers. | Likely | 2 | Menor | 2 | 4 | Low Risk | Contractor | Establish deadlines for the execution of the contract and compliance by the Contractor of the constitution of the Guarantees (Policy and/or Bank Guarantee), which must be delivered to Monomers 10 working days following the signing of the contract, extensions and/or additions). In case it is not provided within the term, the contractor is required and the organization must define the procedure. | 3 | 3 | 5 | Medium Risk | Generates delays | Monomers' Contracts Office | Start of pre-contractual stage | Completion of Execution and Termination | If it occurs, note the treatment given to the risk and modify the matrix. | Completion of the Execution and Termination Stage. |
| 4 | General | Internal | Hiring | Operational | The impossibility of starting the execution of the contract due to lack of supervision and/or supervision of the contract. | Delays in the execution of the contracted object, which may generate delays, contractual modifications and variation in the value of the contract. | Improbable | 2 | Moderate | 3 | 5 | Medium Risk | MONÓMEROS | Designate and communicate the Supervision of the contract, which will be delegated to the technical area responsible for the project. | 1 | 2 | 3 | Low Risk | Generates delays | Unit that establishes the need | Start of pre-contractual stage | Completion of contract stage | If it occurs, note the treatment given to the risk and modify the matrix. | After the contracting stage has been completed |
| 5 | General | Internal | Hiring | Operational | | Delays in the execution of the contracted object, which may generate delays, contractual modifications and variation in the value of the contract. | Possible | 3 | Menor | 2 | 5 | Medium Risk | MONÓMEROS | A prior review of the Health and Safety at Work (HSEQ) requirements applicable to the subject matter of the contract is performed. | 1 | 2 | 3 | Low Risk | Generates delays | Unit establishing the requirement | Start of pre-contractual stage | Completion of contract stage | If it occurs, note the treatment given to the risk and modify the matrix. | After the contracting stage has been completed |
| 6 | General | Internal | Planning | Operational | Unintentional errors incorporated in the previous studies, bidding documents, related to the quantities, technical specifications of the goods and services required by the company Monomers for the acquisition and supply of Abatement Technology. | Affection in the execution of the contract, which could imply a modification in the terms of the contract and the contractor's obligations. | Possible | 3 | Menor | 2 | 5 | Medium Risk | MONÓMEROS/ CONTRACTOR | Verify from the planning stage (market research) and structuring of the previous documents required by the Colombian Public Procurement Regime and the Subsidy Contract signed with GIA, the units, quantities, specifications, products, services and arithmetic operations that may affect the correct execution of the supply contract. | 1 | 2 | 3 | Low Risk | Eventually | Monomers Contracts Office. | Start of pre-contractual stage | Completion of the execution stage | If it occurs, note the treatment given to the risk and modify the matrix. | After the execution stage |

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| | | | | | | | Category | Valuation | Category | Valuation | Risk Assessment | | | | Probability | Impact | Risk Assessment | | | | | Category | How is monitoring performed? | Periodicity When? |
| 7 | General | External | Execution | Regulatory | Issuance of Colombian regulations or laws that impose new tributes, taxes or parafiscal charges that may affect the economic equilibrium of the contract. | It generates an additional burden to those foreseen, which may affect either or both parties to the contract. | Rare | 1 | Moderate | 3 | 4 | Low Risk | Monomers and contractor | Immediate application of legal provisions and adjustment of Monomers' internal processes. | 2 | 1 | 3 | Low Risk | Eventually | Contractor and Monomers | Contractual performance | Completion of execution stage | If it occurs, note the treatment given to the risk and modify the matrix. | After the execution stage |
| 8 | General | External | Execution | Operational | Non-compliance and/or delays by the contractor in the fulfillment of the object and obligations of the contract. | It affects the satisfaction of the need that the contract is intended to cover. May generate penalties and effectiveness of the Penalty Clause. | Possible | 3 | Moderate | 3 | 6 | High Risk | CONTRACTOR | Continuously follow up the execution of the contract and if there is evidence of an alleged breach and/or delays, the procedures, exceptional clauses, penalties, fines or the collection of the Penal Clause established by Monomers, according to the internal procedure applicable to the case, will be applied. | 2 | 3 | 5 | Medium Risk | Eventually | Contractual performance | Completion of execution and termination stage | If it occurs, note the treatment given to the risk and modify the matrix. | Completion of the execution and termination stage | |
| 9 | General | External | Execution | Regulatory | Issuance of Colombian regulations or laws that impose new tributes, taxes or parafiscal charges that may affect the economic equilibrium of the contract. | It generates an additional burden to those foreseen, which may affect either or both parties to the contract. | Rare | 1 | Moderate | 3 | 4 | Low Risk | Monomers and contractor | Immediate application of legal provisions and adjustment of Monomers' internal processes. | 2 | 1 | 3 | Low Risk | Eventually | Contractor and Monomers | Contractual performance | Completion of execution stage | If it occurs, note the treatment given to the risk and modify the matrix. | After the execution stage |
| 10 | Specific | External | Execution | Operational | Risk due to lack of components, parts or equipment necessary to manufacture the basket to support the primary screens | Partial or total noncompliance with the obligations contracted by the Contractor. | Possible | 3 | Moderate | 3 | 6 | High Risk | Contractor | PRECONTRACTUAL | 1 | 1 | 2 | Low Risk | Eventually | Contractor and Supervisor | Contractual Execution | Settlement of the contract | Continuous monitoring by supervision. | After the execution stage |
| 11 | Specific | External | Execution | Operational | Errors in the elaboration of the inspection plan - Inspection Test Plan, elaboration of production drawings, recording of PMI -positive material identification Inspection Test Plan, preparation of fabrication drawings, PMI -positive material identification- application record, weld inspection record, application of non-destructive tests such as penetrant dyes, radiography, application of heat treatment, dimensional control record + on-site inspection by Monomers and submission of fabrication dossier by the Selected Contractor. | Partial or total noncompliance with the obligations contracted by the Contractor. | Possible | 3 | Moderate | 3 | 6 | High Risk | Contractor | CONTRACTING STAGE: Application of control by the supervisor during the execution of the contract, to verify the execution and compliance with the previous activities required of the contractor. | 1 | 3 | 4 | Low Risk | Eventually | Contractor and Supervisor | Contractual Execution | Settlement of the contract | Continuous monitoring by supervision. | After the execution stage |
| 12 | Specific | External | Execution | Economic | Increase in the costs of goods and elements and after-sales service required for the execution of the activities described in the Technical Annex prepared by the company Monomers for the development of the contractual activity. | Economic imbalance for the contractor. | Possible | 3 | Moderate | 3 | 6 | High Risk | Contractor | CONTRACTING STAGE: The contractor must consider possible price increases that may occur due to market variations or commercial measures before submitting the economic proposal. | 2 | 2 | 4 | Low Risk | Eventually | Contractor and Supervisor | Contractual Execution | Settlement of the contract | Continuous monitoring by supervision. | After the execution stage |
| 13 | Specific | External | Execution | Operational | Delays in the delivery of goods required by the company Monomers | Declaration of total or partial breach of contract. | Possible | 3 | Moderate | 3 | 6 | High Risk | Contractor | Preparation of schedule and/or work plan with the Contractor. | 4 | 4 | 4 | Major Risk | Eventually | Contractor and Supervisor | Contractual Execution | Settlement of the contract | Continuous monitoring by supervision. | After the execution stage |
| 14 | Specific | External | Execution | Operational | Delays in the designation of the personnel required for the supervision of the technical personnel supplied by Monomers during the assembly, installation and commissioning of the components that make up the secondary abatement system. | Affectation in the execution of the contract, which could imply a modification in the terms of the contract and the contractor's obligations. | Possible | 3 | Moderate | 3 | 6 | High Risk | Contractor | Continuous requirements to the Contractor and effective supervision of the Supply Contract, in order to avoid delays or non-compliance in the execution of the contract. | 2 | 2 | 4 | Low Risk | Eventually | Contractor and Supervisor | Contractual Execution | Settlement of the contract | Continuous monitoring by supervision. | After the execution stage |

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| 15 | Specific | External | Execution | Operational | Risks of damage to third parties, equipment or facilities of the Plant owned by Monomers, during the execution of the contract. | Additional costs over and above those budgeted for the damage caused | Possible | 3 | Menor | 2 | 5 | Medium Risk | Contractor | Require the contractor to comply with the safety conditions and protocols defined by Monomero. | 2 | 2 | 4 | Low Risk | Eventually | Contractor and Supervisor | Contractual Execution | Settlement of the contract | Continuous monitoring by supervision. | After the execution stage |

Signature: _____

Name: _____ Name: _____

Name: XXXXXXXXXXXXXXXXXXXX

Name: XXXXXXXXXXXXXXXXXXXX