

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)."																						
						Likelihood		Impact								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		
No.	Class	Source	Stage	Type	Description	Consequence of the occurrence	Category	Assessment	Category	Valoración	Risk Assessment	Risk category	Who is it assigned to?	Treatment/Controls	Likelihood	Assessment	Risk Valoración					Risk category	How is monitoring carried out?	Periodicity When?
1	General	Internal	Planning	Contractual	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 procurement regime applicable to the company MONOMEROS COLOMBO VENEZOLANOS S.A.	The contractual process cannot be advanced because it does not comply with the selection modality, delays in satisfying the need and compliance with the agreements established in the Subsidy Contract signed with the GIZ.	Raro	1	Menor	2	3	Low Risk	MONOMEROS	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 the GIZ, in the grant contract.	1	1	2	Low Risk	Eventualmente	Contracts Office of the company Monómeros	Start of pre-contractual stage	Completion of pre-contractual stage	Verification of budget and terms established in the grant contract.	Completed the planning stage of the contracting process between Monómeros and GIZ
2	General	Internal	Planning	Operational	Declaration of State of Emergency, public calamity mandatory preventive isolation, curfew in Colombia.	It makes the execution of the contract difficult, the human personnel is insufficient, the agreed obligations are not met under the defined conditions.	Improbable	2	Moderado	3	5	Medium Risk	MONOMEROS	Use of greater technological resources in order to contribute to the fulfillment of the obligations defined for the Contract.	3	1	4	Low Risk	Genera retrasos	Supervisor and/or Contract Controller	Contractual execution	Contract Execution Completed	Analysis of the social and economic environment, adopt alternative measures that contribute to compliance with the conditions agreed in the contract.	Permanent
3	General	External	Contracting	Operational	Failure to sign 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 in starting the execution of the contract and impact on the achievement of the objectives and satisfaction of the need proposed by the company Monómeros.	Probable	2	Menor	2	4	Low Risk	CONTRACTOR	Establish deadlines for the execution of the contract and the compliance by the Contractor of the constitution of the Guarantee (Policy and/or Bank Guarantee), which must be delivered to Monómeros within 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 to be followed. For the beginning of the contract, Monómeros must verify that the guarantee required to the contractor has the approval of the Monómeros Contracts office.	3	1	4	Low Risk	Genera retrasos	Contracts Office of the company Monómeros	Start of pre-contractual stage	Completion Execution and Termination	If present, note the treatment that was given to the risk and modify the matrix	The Execution and Termination Stage is over.
4	General	Internal	Contracting	Operational	The impossibility of starting the execution of the contract due to lack of intervention and/or supervision in the contract.	The delay in the execution of the contracted object, which may generate delays, contractual modifications and variation in the value of the contract.	Improbable	2	Moderado	3	5	Medium Risk	MONOMEROS	Designation and communication of the contract supervision, which will be delegated to the technical area responsible for the project.	1	2	3	Low Risk	Genera retrasos	Dependency that establishes the need. Legal Advisory Office / Monomer Contracts Office	Start of pre-contractual stage	Completion of contractual stage	If present, note the treatment that was given to the risk and modify the matrix	Contracting stage completed
5	General	Internal	Contracting	Questional	The impossibility of starting the execution of the contract due to difficulties in the approval of Occupational Health and Safety requirements due to being international suppliers.	The delay in the execution of the contracted object, which may generate delays, contractual modifications and variation in the value of the contract.	Probable	3	Menor	2	5	Medium Risk	MONOMEROS	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	Genera retrasos	Office (HSEQ) / Monomer Contracts office	Start of pre-contractual stage	Completion of contractual stage	If present, note the treatment that was given to the risk and modify the matrix	Contracting stage completed
6	General	Internal	Contracting	Operational	Involuntary errors incorporated in the previous studies, specifications, relative to the quantities, technical specifications of the goods and services required by the Monómeros company for the acquisition and supply of the Monitoring system.	Affection in the execution of the contract, which could imply modification in the terms of the contract and the obligations of the contractor.	Probable	3	Menor	2	5	Medium Risk	MONOMEROS/CONTRACTOR	Verify from the planning stage (market research) and structure of the previous documents required by the Colombian Public Procurement Regime and the Subsidy Contract signed with GIZ, the units, quantities, specifications, products, services and arithmetical operations that may affect the correct execution of the supply contract. To give suppliers sufficient time to formulate questions or observations to the terms of reference published by Monómeros from the planning stage. It is important to point out that if an extension, addition or modification of the contract is required, approval must be requested from the Monómeros Legal Advisory Office and the GIZ, prior to the expiration of the contract for its review, preparation and signature.	1	2	3	Low Risk	Eventualmente	Contracts Office of the Monómeros company.	Start of pre-contractual stage	Completion of execution stage	If present, note the treatment that was given to the risk and modify the matrix	Execution stage completed
7	General	Internal	Execution	Operational	Delays by MONOMEROS COLOMBO VENEZOLANOS S.A. in prior approvals of the products and/or services developed by the contractor.	It affects the fulfillment of the obligations of the contractor, which may generate suspensions, additions, extensions and modifications.	Improbable	2	Moderado	3	5	Medium Risk	MONOMEROS	Timely review and approval of the documentation inherent to the products and reports of the contract. Effective technical supervision of each of the activities defined in the technical specifications and the contract. It is clarified that the reports and/or products sent to the supervisor and/or auditor must be made within the term or period of contract execution, with the proviso that such reports may be returned for the corresponding adjustments or corrections to be made.	2	2	4	Low Risk	Eventualmente	Supervisor and/or Contract Controller	Contractual execution	Completion of execution stage	If present, note the treatment that was given to the risk and modify the matrix	Execution stage completed
8	General	External	Execution	Operational	Non-compliance and/or delays by the contractor in compliance with the object and contractual obligations	It affects the satisfaction of the need that the contract is intended to cover. It can generate sanctions and effectiveness of the Penal Clause	Probable	3	Moderado	3	6	High Risk	CONTRACTOR	Continuously follow up the execution of the contract and if there is evidence of an alleged noncompliance and/or delays, the procedures, exceptional clauses, sanctions, fines or the collection of the Penal Clause established by Monómeros, according to the internal procedure applicable to the case, will be applied	2	3	5	Medium Risk	Eventualmente	Supervisor and/or Contract Controller	Contractual execution	Completion of execution and termination stage	If present, note the treatment that was given to the risk and modify the matrix	Execution and termination stage completed
9	General	External	Execution	Regulatory	Issuance of Colombian regulations or laws that impose new taxes, taxes or parafiscal charges, which may affect the economic balance of the contract. Suspension or cancellation of the Common Utility Certificate granted to the company MONOMEROS COLOMBO VENEZOLANOS S.A.	It generates an additional burden than expected, which may affect either or both parties to the contract.	Raro	1	Mayor	4	5	Medium Risk	MONOMEROS/CONTRACTOR	Immediate application of the legal dispositions and adjustment of the internal processes of Monómeros.	2	1	3	Low Risk	Eventualmente	Supervisor and/or Contract Controller	Contractual execution	Completion of execution stage	If present, note the treatment that was given to the risk and modify the matrix	Execution stage completed
10	Especifico	External	Execution	Operational	Risk due to non-existence of the components, parts or equipment necessary for the CEMS system and gas flow measurement.	Partial or total failure to comply with the obligations contracted by the Contractor	Probable	3	Moderado	3	6	High Risk	CONTRACTOR	Pre- CONTRACT STAGE: Definition of selection factors that allow the objective and effective selection of the Contractor, taking into account its suitability and experience. CONTRACT EXECUTION STAGE: Application of controls, the contract supervisor will verify at the beginning of the contractual execution that the contractor has the required elements for the execution of the contract.	1	1	2	Low Risk	Eventualmente	Supervisor and/or Contract Controller	Contractual Execution	Contract settlement	Continuous monitoring by supervision.	Execution stage completed
12	Especifico	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 Monómeros for the development of the contractual activity.	Economic imbalance for the contractor.	Probable	3	Moderado	3	6	High Risk	CONTRACTOR	CONTRACTING STAGE: The contractor must contemplate the possible increases that may occur in prices due to variations in the market or commercial measures before making the economic proposal.	2	3	5	Medium Risk	Eventualmente	Supervisor and/or Contract Controller	Contractual Execution	Contract settlement	Continuous monitoring by supervision.	Execution stage completed
13	Especifico	External	Execution	Operational	Delays in the delivery of the Goods required by the Monómeros company	Declaration of Total or Partial Non-Compliance with the Contract. Imposition of fines and/sanctions within Monómeros. Effectiveness of the Penal Clause	Probable	3	Moderado	3	6	High Risk	CONTRACTOR	Elaboración cronograma y/o plan de trabajo con el Contratista. Seguimiento en el cumplimiento del cronograma de trabajo presentado por el Contratista. Requerimientos continuos por parte de la Supervisión Técnica designada por la sociedad Monómeros	2	2	4	Low Risk	Eventualmente	Supervisor and/or Contract Controller	Contractual Execution	Contract settlement	Continuous monitoring by supervision.	Execution stage completed
14	Especifico	External	Execution	Questional	Delays in the designation of the personnel required for the activities of supervision of technical personnel - supplied by Monómeros during the assembly, installation and commissioning activities of the components that make up the monitoring system	Affection in the execution of the contract, which could imply modification in the terms of the contract and the obligations of the contractor.	Probable	3	Mayor	4	7	High Risk	CONTRACTOR	Elaboration of a schedule and/or work plan with the Contractor. Follow-up on compliance with the work schedule submitted by the Contractor. Continuous requirements by the Technical Supervision appointed by Monómeros.	2	2	4	Low Risk	Eventualmente	Supervisor and/or Contract Controller	Contractual Execution	Contract settlement	Continuous monitoring by supervision.	Execution stage completed
15	Especifico	External	Execution	Operational	Risks of damage to third parties, equipment or facilities of the Plant owned by Monómeros, during the execution of the contract.	Entails additional expenses than budgeted for the damages caused	Probable	3	Menor	2	5	Medium Risk	CONTRACTOR	Require the contractor to comply with the safety conditions and protocols defined by Monómeros. Require the Contractor to solve the damages caused and assume the costs and expenses associated with the damages that may be caused.	2	2	4	Low Risk	Eventualmente	Supervisor and/or Contract Controller	Contractual Execution	Contract settlement	Continuous monitoring by supervision.	Execution stage completed