



PAPAIOEA
PALMERSTON
NORTH
CITY

PALMERSTON NORTH CITY COUNCIL

AGENDA

RISK & ASSURANCE COMMITTEE

1:00 PM, WEDNESDAY 22 MAY 2024

COUNCIL CHAMBER, FIRST FLOOR
CIVIC ADMINISTRATION BUILDING
32 THE SQUARE, PALMERSTON NORTH

MEMBERS

Stephen Armstrong (Chair)
Karen Naylor (Deputy Chair)
Grant Smith (The Mayor)

Mark Arnott
Brent Barrett
Vaughan Dennison
Leonie Hapeta

Lorna Johnson
Orphée Mickalad
William Wood
Kaydee Zabelin

AGENDA ITEMS, IF NOT ATTACHED, CAN BE VIEWED AT

pncc.govt.nz | Civic Administration Building, 32 The Square
City Library | Ashhurst Community Library | Linton Library

Waid Crockett

Chief Executive | PALMERSTON NORTH CITY COUNCIL

RISK & ASSURANCE COMMITTEE MEETING

22 May 2024

ORDER OF BUSINESS

1. Karakia Timatanga

2. Apologies

3. Notification of Additional Items

Pursuant to Sections 46A(7) and 46A(7A) of the Local Government Official Information and Meetings Act 1987, to receive the Chairperson's explanation that specified item(s), which do not appear on the Agenda of this meeting and/or the meeting to be held with the public excluded, will be discussed.

Any additions in accordance with Section 46A(7) must be approved by resolution with an explanation as to why they cannot be delayed until a future meeting.

Any additions in accordance with Section 46A(7A) may be received or referred to a subsequent meeting for further discussion. No resolution, decision or recommendation can be made in respect of a minor item.

4. Declarations of Interest (if any)

Members are reminded of their duty to give a general notice of any interest of items to be considered on this agenda and the need to declare these interests.

5. Public Comment

To receive comments from members of the public on matters specified on this Agenda or, if time permits, on other Committee matters.

(NOTE: If the Committee wishes to consider or discuss any issue raised that is not specified on the Agenda, other than to receive the comment made or refer it to the Chief Executive, then a resolution will need to be made.)

6. Confirmation of Minutes Page 7

"That the minutes of the Risk & Assurance Committee meeting of 6 March 2024 Part I Public be confirmed as a true and correct record."

7. Health and Safety Report, January to March 2024 (Quarter 3) Page 15

Memorandum, presented by Selwyn Ponga-Davis, Health and Safety Manager.

8. Wellbeing Report, January to March 2024 (Quarter 3) Page 31

Memorandum, presented by Connie Roos, Employee Experience Manager and Wayne Wilson, People Operations Manager.

9. Strategic Risk Management Reporting January to March 2024 (Quarter 3) Page 39

Memorandum, presented by Stephen Minton, Risk Management Advisor and Jason McDowell, Head of Risk and Resilience.

10. Committee Work Schedule Page 51

11. Karakia Whakamutunga

12. Exclusion of Public

To be moved:

"That the public be excluded from the following parts of the proceedings of this meeting listed in the table below.

The general subject of each matter to be considered while the public is excluded, the reason for passing this resolution in relation to each matter, and the specific grounds under Section 48(1) of the Local Government Official Information and

Meetings Act 1987 for the passing of this resolution are as follows:

General subject of each matter to be considered		Reason for passing this resolution in relation to each matter	Ground(s) under Section 48(1) for passing this resolution
13.	Minutes of the Risk & Assurance Committee meeting - Part II Confidential - 6 March 2024	For the reasons set out in the Risk & Assurance Committee minutes of 6 March 2024, held in public present.	
7.	Health and Safety Report, January to March 2024 (Quarter 3 23/24) Confidential Attachment 2	PREJUDICE THE SUPPLY OF SIMILAR INFORMATION: Releasing this information could negatively effect similar confidential information or discourage people from sharing such information MAINTENANCE OF THE LAW: Releasing this information would likely harm law enforcement while carrying out their duties and responsibilities ENDANGER THE SAFETY OF A PERSON: Sharing this information could put someone's health and safety at risk	s7(2)(c)(i) s6(c) s6(d)
14.	Fraud & Whistleblowing Policy Update	PREJUDICE THE SUPPLY OF SIMILAR INFORMATION: Releasing this information could negatively effect similar confidential information or discourage people from sharing such information	s7(2)(c)(i)

This resolution is made in reliance on Section 48(1)(a) of the Local Government Official Information and Meetings Act 1987 and the particular interest or interests protected by Section 6 or Section 7 of that Act which would be prejudiced by the holding of the whole or the relevant part of the proceedings of the meeting in public as stated in the above table.

Also that the persons listed below be permitted to remain after the public has been excluded for the reasons stated.

[Add Third Parties], because of their knowledge and ability to assist the meeting in speaking to their report/s [or other matters as specified] and answering questions,

noting that such person/s will be present at the meeting only for the items that relate to their respective report/s [or matters as specified].

PALMERSTON NORTH CITY COUNCIL

Minutes of the Risk & Assurance Committee Meeting Part I Public, held in the Council Chamber, First Floor, Civic Administration Building, 32 The Square, Palmerston North on 06 March 2024, commencing at 1.08pm

Members Present: Mr Stephen Armstrong (in the Chair), The Mayor (Grant Smith) and Councillors Karen Naylor, Mark Arnott, Brent Barrett, Leonie Hapeta, Lorna Johnson, Orphée Mickalad, William Wood and Kaydee Zabelin.

Non Members: Councillors Roly Fitzgerald and Patrick Handcock.

Apologies: The Mayor (Grant Smith) (early departure); Councillor Vaughan Dennison; Councillors Leonie Hapeta and William Wood (early departure).

The meeting adjourned at 1.09pm.
The meeting resumed at 2.38pm.

The Mayor (Grant Smith) was not present when the meeting resumed at 3.50pm. He was not present for clauses 5 to 13 inclusive.

Councillor William Wood was not present when the meeting resumed at 3.50pm. He was not present for clauses 5 to 13 inclusive.

Councillor Leonie Hapeta left the meeting at 4.16pm after consideration of clause 5. She was not present for clauses 6 to 13 inclusive.

Karakia Timatanga

Councillor Kaydee Zabelin opened the meeting with karakia.

1-24 Apologies

Moved Stephen Armstrong, seconded Karen Naylor.

The COMMITTEE RESOLVED

1. That the Committee receive the apologies.

Clause 1-24 above was carried 12 votes to 0, the voting being as follows:

For:

Stephen Armstrong, the Mayor (Grant Smith) and Councillors Karen Naylor, Mark Arnott, Brent Barrett, Leonie Hapeta, Lorna Johnson, Orphée Mickalad, William Wood, Kaydee Zabelin, Roly Fitzgerald and Patrick Handcock.

2-24 Confirmation of Minutes

Moved Stephen Armstrong, seconded Karen Naylor.

The **COMMITTEE RESOLVED**

1. That the minutes of the Risk & Assurance Committee meeting of 18 October 2023 Part I Public be confirmed as a true and correct record.

Clause 2-24 above was carried 12 votes to 0, the voting being as follows:

For:

Stephen Armstrong, the Mayor (Grant Smith) and Councillors Karen Naylor, Mark Arnott, Brent Barrett, Leonie Hapeta, Lorna Johnson, Orphée Mickalad, William Wood, Kaydee Zabelin, Roly Fitzgerald and Patrick Handcock.

3-24 Audit NZ 2023 Management Report with Action Plan

Memorandum, presented by Masooma Akhter, Business Assurance Manager, Scott Mancer, Finance Manager and Debbie Perera, Audit Director, Audit New Zealand.

Moved Stephen Armstrong, seconded Karen Naylor.

The **COMMITTEE RESOLVED**

1. That the Risk & Assurance Committee receive the memorandum titled 'Audit NZ 2023 Management Report with Action Plan' presented on 06 March 2024.

Clause 3-24 above was carried 12 votes to 0, the voting being as follows:

For:

Stephen Armstrong, the Mayor (Grant Smith) and Councillors Karen Naylor, Mark Arnott, Brent Barrett, Leonie Hapeta, Lorna Johnson, Orphée Mickalad, William Wood, Kaydee Zabelin, Roly Fitzgerald and Patrick Handcock.

4-24 Setting Council's Risk Management Appetite and Tolerance Levels

Memorandum, presented by Stephen Minton, Risk Management Advisor and Jason McDowell, Head of Risk and Resilience.

Elected Members requested a review of risk appetite and tolerance levels to be undertaken annually, to enable greater monitoring of levels of risk in critical areas.

Moved Stephen Armstrong, seconded Karen Naylor.

The **COMMITTEE RECOMMENDS**

1. That Council agree the recommended risk appetite and risk tolerance levels as noted in section 3.1 and 3.2 of the memorandum titled 'Setting Council's Risk Management Appetite and Tolerance Levels,' presented to the Risk and Assurance Committee on 6 March 2024.

Clause 4.1-24 above was carried 8 votes to 4, the voting being as follows:

For:

Stephen Armstrong, the Mayor (Grant Smith) and Councillors Karen Naylor, Mark Arnott, Leonie Hapeta, Orphée Mickalad, William Wood and Patrick Handcock.

Against:

Councillors Brent Barrett, Lorna Johnson, Kaydee Zabelin and Roly Fitzgerald.

Moved Brent Barrett, seconded Roly Fitzgerald.

2. That the Committee review risk appetite and tolerance levels annually.

Clause 4.2-24 above was carried 12 votes to 0, the voting being as follows:

For:

Stephen Armstrong, the Mayor (Grant Smith) and Councillors Karen Naylor, Mark Arnott, Brent Barrett, Leonie Hapeta, Lorna Johnson, Orphée Mickalad, William Wood, Kaydee Zabelin, Roly Fitzgerald and Patrick Handcock.

The meeting adjourned at 3.38pm.

The meeting resumed at 3.50pm.

The Mayor (Grant Smith) and Councillor William Wood were not present when the meeting resumed.

5-24

Setting Council's Strategic Risks

Memorandum, presented by Stephen Minton, Risk Management Advisor and Jason McDowell, Head of Risk & Resilience.

Elected Members requested that 'Loss of Public Trust in Council' be added as a Strategic Risk to address this risk to the organisation.

Moved Brent Barrett, seconded Roly Fitzgerald.

The **COMMITTEE RECOMMENDS**

1. That Council adds 'Loss of Public Trust in Council' to the Strategic Risk Statement.

Clause 5.1-24 above was carried 9 votes to 1, the voting being as follows:

For:

Stephen Armstrong and Councillors Karen Naylor, Brent Barrett, Leonie Hapeta, Lorna Johnson, Orphée Mickalad, Kaydee Zabelin, Roly Fitzgerald and Patrick Handcock.

Against:

Councillor Mark Arnott.

Moved Stephen Armstrong, seconded Karen Naylor.

2. That Council agree the strategic risk statements (Attachment 1), including recommendation 1, in the memorandum titled 'Setting Council's Strategic Risks' presented to the Risk & Assurance Committee on 6 March 2024.

Clause 5.2-24 above was carried 10 votes to 0, the voting being as follows:

For:

Stephen Armstrong and Councillors Karen Naylor, Mark Arnott, Brent Barrett, Leonie Hapeta, Lorna Johnson, Orphée Mickalad, Kaydee Zabelin, Roly Fitzgerald and Patrick Handcock.

Councillor Leonie Hapeta left the meeting at 4.16pm.

6-24 Wellbeing Report, October to December 2023 (Quarter 2)

Memorandum, presented by Connie Roos, Employee Experience Manager and Wayne Wilson, People Operations Manager.

Moved Stephen Armstrong, seconded Karen Naylor.

The **COMMITTEE RESOLVED**

1. That the Committee receive the memorandum titled 'Wellbeing Report, October to December 2023 (Quarter 2)' presented to the Risk & Assurance Committee on 6 March 2024.

Clause 6-24 above was carried 9 votes to 0, the voting being as follows:

For:

Stephen Armstrong and Councillors Karen Naylor, Mark Arnott, Brent Barrett, Lorna Johnson, Orphée Mickalad, Kaydee Zabelin, Roly Fitzgerald and Patrick Handcock.

7-24 Health and Safety Report, October to December 2023 (Quarter 2)

Memorandum, presented by Selwyn Ponga-Davis, Health and Safety Manager.

Moved Stephen Armstrong, seconded Karen Naylor.

The **COMMITTEE RESOLVED**

1. That the Committee receive the memorandum titled 'Health and Safety Report, October to December 2023 (Quarter 2)' presented to the Risk & Assurance Committee on 6 March 2024.
2. That the Chief Executive release the memorandum and attachments 1 and 3 as soon as is practicable.

Clause 7-24 above was carried 9 votes to 0, the voting being as follows:

For:

Stephen Armstrong and Councillors Karen Naylor, Mark Arnott, Brent Barrett, Lorna Johnson, Orphée Mickalad, Kaydee Zabelin, Roly Fitzgerald and Patrick Handcock.

EXCLUSION OF PUBLIC

8-24 Recommendation to Exclude Public

Moved Stephen Armstrong, seconded Karen Naylor.

The **COMMITTEE RESOLVED**

“That the public be excluded from the following parts of the proceedings of this meeting listed in the table below.

The general subject of each matter to be considered while the public is excluded, the reason for passing this resolution in relation to each matter, and the specific grounds under Section 48(1) of the Local Government Official Information and Meetings Act 1987 for the passing of this resolution are as follows:

General subject of each matter to be considered		Reason for passing this resolution in relation to each matter	Ground(s) under Section 48(1) for passing this resolution
18.	Minutes of the Risk & Assurance Committee meeting - Part II Confidential - 18 October 2023	For the reasons set out in the Risk & Assurance Committee minutes of 18 October 2023, held in public present.	
19.	Contact Centre Progress Review - Quality Assurance Report	COMMERCIAL ACTIVITIES: This information needs to be kept confidential to allow Council to engage in commercial activities without prejudice or disadvantage	s7(2)(h)
20.	Employee Life Cycle - Business Assurance Review	THIRD PARTY COMMERCIAL: Disclosing the information could harm a company's commercial position and NEGOTIATIONS: This information needs to be kept confidential to ensure that Council can negotiate effectively, especially in business dealings	s7(2)(b)(ii) and s7(2)(i)

This resolution is made in reliance on Section 48(1)(a) of the Local Government Official Information and Meetings Act 1987 and the particular interest or interests protected by Section 6 or Section 7 of that Act which would be prejudiced by the holding of the whole or the relevant part of the proceedings of the meeting in public as stated in the above table.

Clause 8-24 above was carried 9 votes to 0, the voting being as follows:

For:

Stephen Armstrong and Councillors Karen Naylor, Mark Arnott, Brent Barrett, Lorna Johnson, Orphée Mickalad, Kaydee Zabelin, Roly Fitzgerald and Patrick Handcock.

The public part of the meeting adjourned at 4.40pm.
The public part of the meeting resumed at 4.50pm.

11-24 Business Assurance Work Programme - Update

Memorandum, presented by Masooma Akhter, Business Assurance Manager.

Moved Stephen Armstrong, seconded Karen Naylor.

The **COMMITTEE RESOLVED**

1. That the Risk & Assurance Committee approve the updated Business Assurance Work Programme for the 2024/2025 period (Attachment 1) presented on 06 March 2024.
2. That the timeframes and amendments from the updated Business Assurance Work Programme be updated on the work schedule for Risk & Assurance Committee.

Clause 11-24 above was carried 9 votes to 0, the voting being as follows:

For:

Stephen Armstrong and Councillors Karen Naylor, Mark Arnott, Brent Barrett, Lorna Johnson, Orphée Mickalad, Kaydee Zabelin, Roly Fitzgerald and Patrick Handcock.

12-24 Business Assurance Accountability Report

Memorandum, presented by Masooma Akhter, Business Assurance Manager.

Moved Stephen Armstrong, seconded Karen Naylor.

The **COMMITTEE RESOLVED**

1. That the Risk & Assurance Committee receive the memorandum titled 'Business Assurance Accountability Report' and its attachment, presented on 06 March 2024.

Clause 12-24 above was carried 9 votes to 0, the voting being as follows:

For:

Stephen Armstrong and Councillors Karen Naylor, Mark Arnott, Brent Barrett, Lorna Johnson, Orphée Mickalad, Kaydee Zabelin, Roly Fitzgerald and Patrick Handcock.

13-24 Committee Work Schedule

Moved Stephen Armstrong, seconded Karen Naylor.

The **COMMITTEE RESOLVED**

1. That the Risk & Assurance Committee receive its Work Schedule dated March 2024.

Clause 13-24 above was carried 9 votes to 0, the voting being as follows:

For:

Stephen Armstrong and Councillors Karen Naylor, Mark Arnott, Brent Barrett, Lorna Johnson, Orphée Mickalad, Kaydee Zabelin, Roly Fitzgerald and Patrick Handcock.

Deferral of items to the next Council meeting

The Chair advised the following items on the Agenda would be deferred to the Council meeting to be held on 3 April 2024:

- External Funding & Commercial Revenue – Business Assurance Review
- Contact Centre Progress Review – Quality Assurance Report (confidential)
- Employee Life Cycle – Business Assurance Review (confidential)

Karakia Whakamutunga

Councillor Kaydee Zabelin closed the meeting with karakia.

The meeting finished at 5.09pm

Confirmed 22 May 2024

Chair

MEMORANDUM

TO: Risk & Assurance Committee

MEETING DATE: 22 May 2024

TITLE: Health and Safety Report, January to March 2024 (Quarter 3)

PRESENTED BY: Selwyn Ponga-Davis, Health and Safety Manager

APPROVED BY: Danelle Whakatihi, Chief People & Performance Officer

RECOMMENDATION(S) TO COUNCIL

1. That the Committee receive the memorandum titled 'Health and Safety Report, January to March 2024 (Quarter 3)' presented to the Risk & Assurance Committee on 22 May 2024.
 2. That the Chief Executive release the memorandum and attachments 1 and 3 as soon as is practicable.
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1. EXECUTIVE SUMMARY

- 1.1 Ensuring the well-being and safety of our staff remains a top priority, with continued emphasis on reporting promptly. Additionally, management continues to acknowledge the significance of maintaining ongoing efforts and investment to ensure the safety of our kaimahi (workers).
- Whilst there has been a minor decrease in Working on the Frontline events, our health and safety culture is steadily enhancing thanks to robust reporting via our PeopleSafe health and safety management tool.
 - The number of Frontline Working (Critical Risk 1) incidents towards staff has dropped (25 during the January to March 2024 quarter) in comparison to the previous quarter (39 – October to December 2023).
 - Progress on the close out of actions against the SafePlus report recommendations is near complete.
- 1.2 Notable highlights over the January to March 2024 quarter:
- Health and Safety held its annual all-in Contractors induction in late March, conveying our expectations for those engaged in undertakings for Council and on Council premises. The induction included staff that support / engage with contractors as part of their role. Our external

contractors were also provided with a newly developed contractor booklet.

- Parking staff completed Situational Awareness and De-escalation training (21 March) – a four-hour programme adapted to their operational needs.
- In March senior management were provided with quarterly health and safety updates from the chairs of Council's respective health and safety committees as part of ELT's commitment to engaging with our Health and Safety representatives.
- Health and Safety provided support at the 2024 Workers' Memorial Day in late April.

1.3 Looking ahead:

- In anticipation of future needs, Health and Safety will collaborate more closely with the Events team for public events.

1.4 Updates on topics reported previously:

- At the 6 March 2024 Risk and Assurance Committee meeting, we reported that Hazard and Risk registers were under review, in particular Council's Critical Risks. Critical Risk 6 (Members of the Public) had been moved to Critical Risk 1 and renamed 'Frontline Working'. The new Health and Safety safe management framework is currently under review with an internal reference group (during Q4), ahead of consideration by senior management.
- Update and refresh on the Health and Safety Management Plans for Turitea Water Treatment Plant, and WasteWater Treatment Plant remain ongoing.
- The update to the emergency flip charts for the organisation, overseen by the Risk and Resilience team, continues.
- The implementation of recommendations, which encompasses the competency framework and training plans for staff, is still pending completion.

2. HEALTH AND SAFETY REPORT

2.1 This report covers the period 1 January 2024 through to 31 March 2024. The information included in Table 1 below is discussed at the Officers and Operations Health and Safety Committee meetings.

A. Hazards, Incidents and Near Misses Reported

Table 1: Hazards, Incidents and Near Misses

Quarter	Dec 22		Mar 23		Jun 23		Sep 23		Dec 23		Mar 24	
	PNCC	CON	PNCC	CON	PNCC	CON	PNCC	CON	PNCC	CON	PNCC	CON
Hazards	17		19	2	19	4	55	5	28	11	83	4
Incidents	69	8	125	11	99	16	115	11	108	11	80	7
Near Misses	19	3	19	2	10	5	9	1	14	1	7	0

Key: PNCC = Staff; CON = Contractor

2.2 Comments:

- Hazards and Incidents.
 - Youth coming to our facilities, and our staff collaborating with external education providers to reduce tensions among groups of young people.
 - Staff need to ensure they secure insecure loads that could fall off our vehicles / trailers that could cause damage / injury; will remedy future situations involving the Police and being issued with a potential infringement.
 - Contractors engaged in projects on our public road networks must ensure the implementation of traffic management codes (COPTM); ensure they fulfil our Council commitment to worker and public safety.
 - Ensure our staff are well informed about the chemicals they encounter when there is uncertainty during excavation activities and implement appropriate emergency responses and mitigation.

B. Critical Risks

2.3 The table below has been included to provide clarity on the number of Critical Risk events and the Story Type category each event relates to. For more information on the individual events please refer to the confidential Critical Risks Report schedule (Attachment 2).

Table 2: Critical Risks

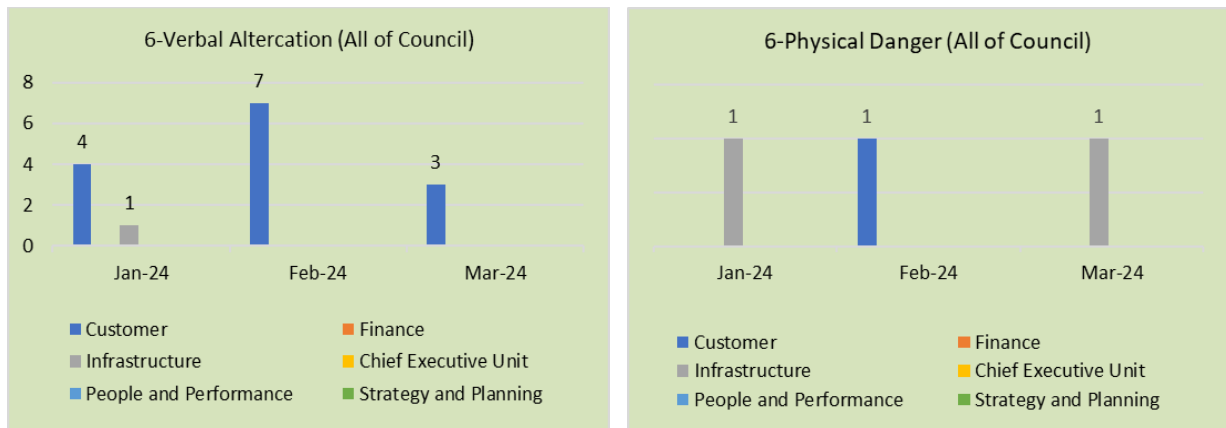
No.	Critical Risk	Near Miss	Incident
1	Frontline Working	2	29
2	Work Environment	1	2
3	Working at Height		
4	Breaking Ground		1
5	Confined Space		
6	Working with Mobile Plant	1	
7	Driving		
8	Lone Worker		
9	Working Around Water		1
10	Hazardous Substances		
11	Use of Power Handtools / Plant		
12	Asset Failure		

2.4 Comments

- Referring to the list of Other Incidents of Interest (page 3 within the confidential Critical Risks Report schedule – Attachment 2), incident numbers 5, 6, 7 and 9 have been included within the CR1 Incident column tally above.
- Police support to Council continues. During Quarter 3, 13 notifications relating to Critical Risks were made to Police (down 1 on the previous quarter).
- Overall, 8 Trespass Notices have been actioned over the quarter (up on the previous quarter – 5).
- The graphs below identify Critical Risks involving Verbal Altercation (VA) and / or Physical Danger (PD) when staff are Frontline Working.
 - Customer has recorded 14 VA incidents and 1 PD incident for the quarter;

- Infrastructure has recorded 1 VA incident and 2 PD incidents for the quarter;
- The details of these incidents are included within the confidential Critical Risks Report schedule (Attachment 2).

Table 3: CR1 – Frontline Working



C. Manual Handling

2.5 A number of proactive Manual Handling measures continue to be applied across Council.

- Manual Handling education (stretching, warm-up/cool-down), which is covered during a staff member's onboarding process – workstation set-up and onboarding induction; the early reporting of discomfort and pain and injury is also covered during Health and Safety inductions.
- Move at Work/Manual Handling training occurs annually with refresher training every three years (next occurrence is August 2025). There is also an online self-booking manual handling course available via The Sauce.
- Monitoring – Manual Handling incidents are reviewed, and additional training/supervision initiated as needed.
- A refresh on Manual Handling training options used over recent years (onsite via an external provider, internally, and virtually) is being considered.

D. Investigations by Regulatory Authorities

2.6 Regulator investigation information remains on the report for 12 months or until actions are completed.

Table 4: Investigations

Investigations occurred this quarter	0
Previous Investigations (last 12 months)	
Number of remedial actions required	0
Number of remedial actions completed	0

2.7 Comments:

- During the period being reported there were nil notifiable incidents.

E. Training

2.8 Summary information on Health and Safety training undertaken in the last 12 months is shown below as reported in PeopleSafe and delivered internally by Health and Safety. For more expansive information on training for Q3, please refer to the Training Update schedule (Attachment 3).

Table 5: Training

Date	Jun-23	Sep-23	Dec-23	Mar-24
Number of events	48	35	35	15
Staff attending	398	187	210	204

2.9 Comments:

- Despite poor behaviour from the public, efforts to train and support staff continue, aiming to uphold professionalism and maintain quality service. Despite challenges, staff have been equipped with the tools and assurance needed to navigate difficult situations and provide assistance effectively. This commitment to training and support reflects a dedication to excellence in service delivery.
- Additional Situational Awareness training – specifically tailored to the individual business unit's needs – continues to be developed with future training for Council Chambers staff planned.
- Health and Safety is currently looking to identify representatives within the organisation who will receive ergonomic training to effectively assess initial discomfort and pain injuries and aid in setting up computer desks for optimal comfort and safety.
- Another Health and Safety Representative training course, spanning two days, is under consideration for Quarter 4, with a tentative schedule for June.

3. COMPLIANCE AND ADMINISTRATION

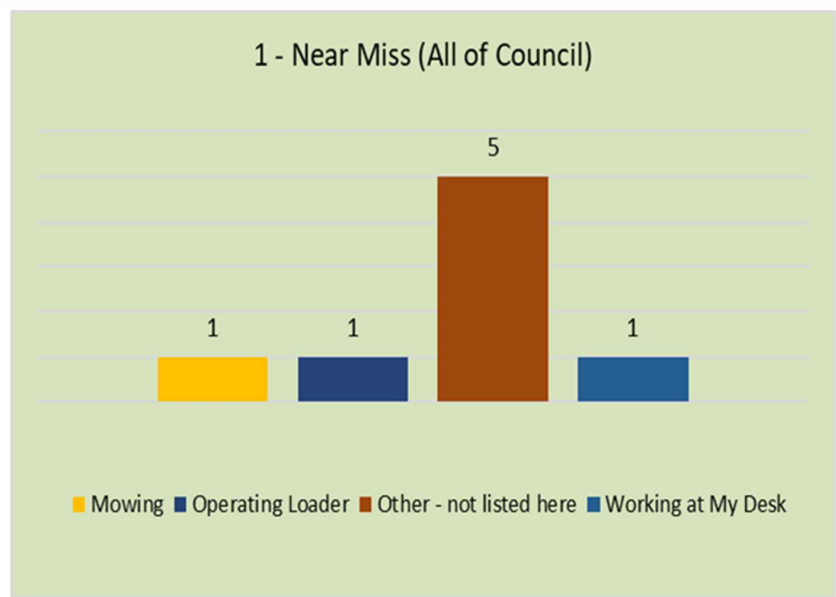
Does the Committee have delegated authority to decide?	Yes
Are the decisions significant?	No
If they are significant do they affect land or a body of water?	No
Can this decision only be made through a 10 Year Plan?	Yes
Does this decision require consultation through the Special Consultative procedure?	No
Is there funding in the current Annual Plan for these actions?	No
Are the recommendations inconsistent with any of Council's policies or plans?	No
The recommendations contribute to Goal 5: A Driven & Enabling Council	
The recommendations contribute to the achievement of action/actions in (Not Applicable)	
Contribution to strategic direction and to social, economic, environmental and cultural well-being	Providing information to Council about the ongoing progress towards the good performance of the organisation regarding health and safety.

ATTACHMENTS

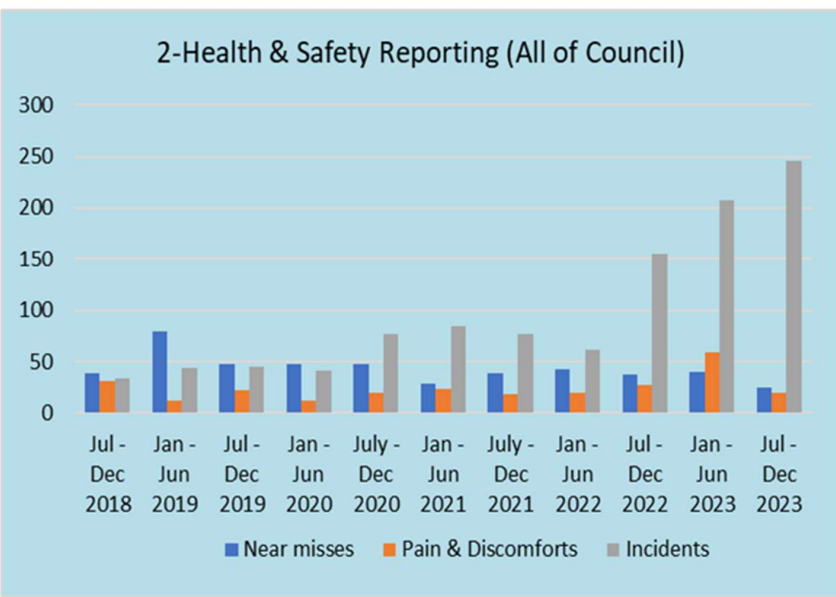
1. Health & Safety Dashboard report, Q3 2024 [!\[\]\(8c4dca64662d21542001ca0ed7eeb688_img.jpg\) !\[\]\(3de35c640e7147a3fb61ee393128d2ae_img.jpg\)](#)
2. Health & Safety Critical Risks report, Q3 2024 - **Confidential**
3. Training Update for Q3 2024 [!\[\]\(d1438aeefda19c86ae7477bf1fb30796_img.jpg\) !\[\]\(dc4d2c544087998b6f093f485f5119d7_img.jpg\)](#)

Health and Safety Quarterly Dashboard Report: January to March 2024

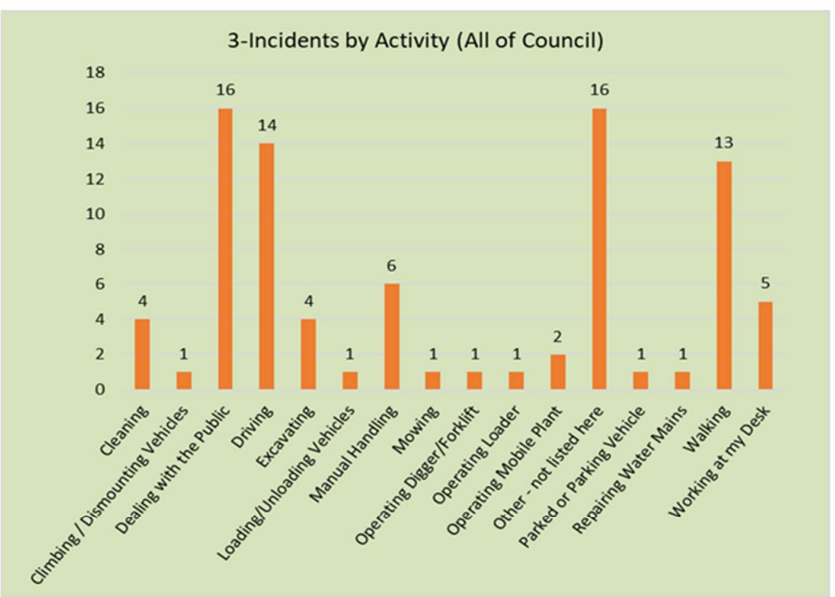
ALL OF COUNCIL



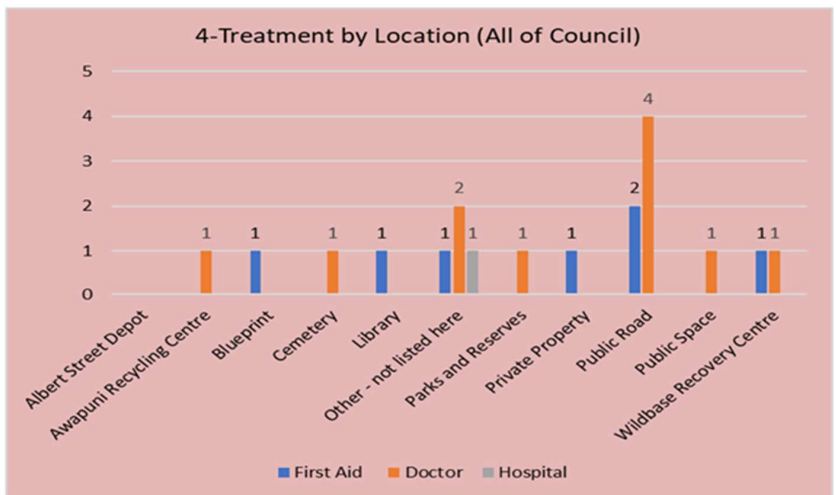
1 – Near Miss by Activity: Q3 numbers are well down on the last quarter (Q2 = 15). A number of incidents are within the Activity: Other - not listed here. Incidents of note have occurred in the City Central Library (involving shelving) and lift faults within the CAB.



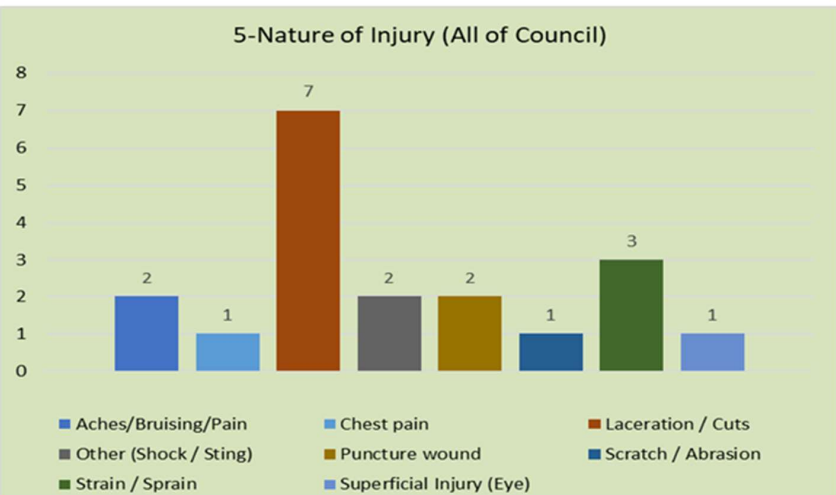
2 – The Health & Safety Reporting graph gets refreshed every six months to enhance the visibility of trends. The upcoming update (during the second half of 2024) will cover the January to June 2024 period.



3 – Incidents by Activity: Top Activities account for 68% of incidents. Customer again contributes to those incidents of note – Dealing with the Public (18%), Driving (16%), Other (18%) and Walking (15%). Details are included in the confidential Critical Risks Report schedule (Attachment 2).



4 – Treatment by Location data reflects work-related injuries and where they have occurred for Q3. Although injuries are slightly down on Q2 (20), Doctor interventions have been required for aches / sprains, cuts / lacerations, and an insect sting. Reviews are being held regularly.



5 – Nature of Injury graph is reflective of Walking, Manual Handling, Driving, Operating Mobile Plant and Repairing Water Mains. The incidents themselves have resulted in lacerations / cuts, strains / sprains and aches / pain.

Attachment 3 – January to March 2024: Training undertaken¹

Event	Mar-23	Jun-23	Sep-23	Dec-23	Mar-24
Asbestos Awareness Training	13				
Behavior Safety Observed training					
Breathing Apparatus	8				
Business (First Line Management) L4			20		
Butt Welding Course			2		
Certified Handler Preparation Online (CHOP)	1				
Certified Handlers (Hazardous Substances)					
Chainsaw Training			5		
Challenging Conversations and Resilience	10				
Chemical training /handling					
Concrete Saw Usage and Basic Safety		11			
Confined Space and Gas Detection	16	3	17	5	8
Confined Space Entry			1	1	
Contractor All-In Induction sessions		170			41
Creating Respectful Workplaces	49				
CTO Class 1 Vehicle			2	12	
CTO Class 2 Crew Cab				6	
CTO Class 4		1		2	2
CTO Class 5					2
CTO Concrete Saw		4	2	1	
CTO Excavator		5	6	2	
CTO Hiab Truck Operation			5		1
CTO Loader				10	
CTO New Transport Trailer		1			
CTO Road Saw			1		
Customer Conflict Awareness					
Cyber Security at Work		85			
Dangerous Goods (DG)					
Driver Assessment Training		1	3		
Driver's License – Class 1 Motor Vehicle			2	1	
Driver's License – Class 1R (Restricted)					
Driver's License – Class 1 (Car License)		1			
Driver's License – Class 2L (Learners)		2			
Driver's License – Class 2 (Medium Rigid Vehicle)			2	1	

¹ Sourced from Health & Safety and PeopleSafe training resources.

Event	Mar-23	Jun-23	Sep-23	Dec-23	Mar-24
Driver's License – Class 3 (Medium Combination)		1	1		
Driver's License – Class 4L (Learners)					
Driver's License – Class 4 (Heavy Rigid)		1	2		
Driver's License – Class 5 (Heavy Combination)		1	1		
Driver's License – Class 6 (Motorcycle)					
Drug and Alcohol	26				
Efficient Compaction Operators Course					
Electrofusion Certificate			1		
Electrofusion Jointing PE Pipe			1		
Elevated Working Platform (Scissor Lift and Boom)					2
Emergency Management – Foundations	3				
Emergency Management – Foundations Assessment	2				
Emergency Management – Intermediate	1				
Emergency Management – Specialist					
Emergency Management – Critical Incident Stress	1				
Emergency Management – Working in the NCMA/NCC	1				
Emergency Medical Response Revalidation					
Endorsement (D) Dangerous Goods					
Endorsement (F) Forklift		1	3	10	
Endorsement (R) Roller	3	1	2		
Endorsement (T) Tracks	3	1	2		
Endorsement (W) Wheeled Special Type	3	1	2		
Endorsement R			1		
Endorsement T			1		
Endorsement W			1		
Evac Chair		11			
Evac Chair – Certified In-House Trainer Certificate		2			
Fire Safety					
Fire Warden Training					1
First Aid Certificate	34	11	29	39	16
Floor Warden – In House - Training					34
Forklift OSH Certificate			6	10	
Forklift (F) Endorsement					
Front Counter Safety Training (CERT)		8			
Front End Loader					
Gantry Crane Training					
Grow-safe		13			

Event	Mar-23	Jun-23	Sep-23	Dec-23	Mar-24
Harassment Prevention and Awareness					
Harassment Prevention and Awareness – Managers workshop					
Hazardous Substances in the Workplace	1				
Hazardous Substance Training General		16			
Height Safety Introduction				4	
Height Safety Advanced				4	
Height Safety Advanced Latest		1		4	
Height Safety and Fall Arrest		2		4	
Health and Safety Representative Stage 1		1		16	
H&S Representative Training					
Higgins Gas Toolbox Discussion				31	
How to: Tell Your Story				1	
ICAM Investigation	1			1	
Internal Training – Basic Asbestos				1	
Internal SWP – LEV Rear Packer Collection Vehicle				1	
Internal SWP – LEV Rubbish Collection Vehicle				1	2
Internal SWP – Street Bins Collection Vehicle				1	2
Internal Training LEV Glass Collection Vehicle				2	
Internal Training Side Load Collection Vehicle				1	
Internal Training – Forklift SOP					
Internal Training – Manual Handling		1			
Internal Training – Safe Entry & Exit from Cab		1			
Isolations Lockout etc					4
ISO 9001 Quality Management Systems			1		
IVO Power Brush XL – Cleaners					
Kerbside Collection Traffic Leader KCTL (was WCTL)			7		
Liquor Control Qualifications (LCQ)					1
Low Level Scaffolding & Inspection		1			
Managing Mental Health					
Management and Handling of Hazardous Substance	2				
Managing Upset or Difficult Customers					
Manual Handling				23	
Manual Handling Online	1				
Mask Fit Testing	15			3	
NC Horticulture Level 4		1			
NC Sewer Level 3		1			
NC Utilities Maintenance L4 (water)					

Event	Mar-23	Jun-23	Sep-23	Dec-23	Mar-24
NC WasteWater Retic Service Person Level 3		1			
NC Water Reticulation & WasteWater Level 3		1			
NC Water Reticulation Level 3		1			
NC Water Reticulation Supervisor Level 4		1			
NZ Certificate in Infrastructure Level 2		1			
NZ Certificate in Infrastructure Level 3		1			
New Starter Lunch	7				
Onboarding – Easy Start Orientation	38				
Onboarding – Tour of the City	29				
OPSEC Situational Safety					87
Peer Lunch and Chat – Report Writing	28				
PeopleSafe Training					
PeopleSafe Dashboard Reporting		8	6		
PeopleSafe for Managers/Supervisors		2			1
PeopleSafe Standard User Training		1			
PeopleSafe & The Law – Notifiable Events				1	
Permit Issuer		1	1		
Permit to Work					
Plan Reading Basics			10		
Playground Safety Inspections					
Quality Management System Training (3 Waters)	7	5	11		
Resilience training (Completed in May 2020-21)					
Report Writing and InfoCouncil	8				
Road Saw Operation		2			
Safety into CAB					
Safety ‘n Action – Construction Site Access Course	12				
Safety Plans					
Safe Work Zones				1	
Site Induction - Depot		1			
Site Induction Training: MRF				1	
Site Safe Foundation Passport					
Site Specific Safety Plan					
Situational Safety & Tactical Communications (SSTC – CERT)		28	9	7	
Slinging Regular Loads		8			
Spill Management					
SOP Compost Op G/Waste Shredder					
STMS Level 1 – Site Traffic Management		17		1	

Event	Mar-23	Jun-23	Sep-23	Dec-23	Mar-24
TC1 – Basic Traffic Controller Level 1					
T1 Tennant Battery Floor Scrubber - Cleaners					
TC Refresher					
Tools for Change		32			
Trenching and Excavation			21		
Trespass Training					
Truck Loader Crane / HI AB		12			
Twintec TTB 1840 Battery Compact - Cleaners					
Understanding Mental Health in the Workplace	6				
Understanding Unconscious Bias					
Would You Do It?				1	
Total Number of Events	29	48	35	35	15
Total Number of Staff Attending	329	398	187	210	204

MEMORANDUM

TO: Risk & Assurance Committee

MEETING DATE: 22 May 2024

TITLE: Wellbeing Report, January to March 2024 (Quarter 3)

PRESENTED BY: Connie Roos, Employee Experience Manager and Wayne Wilson, People Operations Manager

APPROVED BY: Danelle Whakatihi, Chief People & Performance Officer

RECOMMENDATION(S) TO RISK & ASSURANCE COMMITTEE

1. That the Committee receive the memorandum titled 'Wellbeing Report, January to March 2024 (Quarter 3)' presented to the Risk & Assurance Committee on 22 May 2024.
-

1. ISSUE

- 1.1 Wellbeing continues to be a focus area for leadership at all levels of Council and is core to our Employee Experience.
- 1.2 Due to feedback from the Risk & Assurance Committee, this report has been adjusted to align with our wellbeing programme. These three components, Prevent Harm, Provide Support and Enhance Wellbeing are a holistic approach to wellbeing.
- 1.3 As requested by the Risk & Assurance Committee, offboarding data is included.
- 1.4 Employee initiated turnover and lost time is included in this report.

Prevent Harm

- 1.5 Continuing from the endorsement of hybrid working principles in August 2023, training for leaders had commenced in October and ceased in this quarter, providing managers with the skills to lead hybrid teams. Future offerings of the course will be facilitated internally, in accordance with demand.
- 1.6 People Operations and Employee Experience planned for a flu vaccination rollout, with support from the depot team. Communications were shared with the organisation in April.

Prevent Harm

Quarter 3 Wellbeing Report – Prevent Harm	Q3 2024	YTD	Average Quarter for 2022/23 FY	
Wellness space usage	1665	4649	1418	The comparative data shows that wellness space usage has improved compared to the previous year's average. The inclusion of Piringa Āio – Peaceful Haven has changed this metric to wellness space usage rather than gym usage.
Biennial health / eye check	21	71	20	Biennial Health and Eye Check information is sent directly to staff members on their even birthdays, e.g. age 38. This quarter had an increase compared to the previous quarter (16). This year the approach has changed so that all staff who are turning an even birth number will be eligible for that whole year to be more flexible.

Provide Support

Quarter 3 Wellbeing Report - Provide Support	Q3 2024	YTD	Average Quarter for 2022/23 FY	
Vitae – On-site services	205	656	324	On-site services involve Vitae Officers visiting sites to conduct informal wellbeing check-ins. Staff in public facing roles have reported to Vitae that these visits are appreciated.
Reflect and Learn sessions	11	37	18	Sessions are designed to assist staff to safely debrief conflict incidents that have occurred in public facing roles.

Enhance Wellbeing

Quarter 3 2024	Year to date Number of attendees	Target to be completed by End of FY 23/24	
Creating Respectful Workplaces (attendees)	22	60	This training encourages positive workplace relationships by addressing unacceptable behaviours such as bullying and harassment that could create internal and unhealthy conflict. The service provider was unable to present this workshop during Q2. Training has re-started in Q3.
Challenging Conversations & Resilience (attendees)	27	30	This workshop is designed to provide employees with practical information.
Tools for Change (attendees)	204	150	This training helps employees to identify thinking styles, recognise thinking traps and manage responses to change.
Manager completion of Leading Through Change	95	70	Provide managers with tools to lead their team through changing environments.
Manager completion of Understanding Mental Health in the Workplace	9	20	To date, 74 kaimahi (staff) have attended this training. Support can be enhanced if managers understand the impact of mental health on wellbeing. This training is currently being re-assessed so this target will not be reached.
Wellbeing Presentation (attendees)	76/96 (79% of new starters)	90% of new starters	This presentation helps to orient new starters to the wellbeing support available here at Council. This presentation was first created in February 2023 and is presented to all staff who attend Orientation Day.

- 1.7 Unmind app usage has increased this quarter. Unmind is a tool that takes a proactive, preventative approach to mental health. This includes wellbeing and mood trackers, courses and short videos focused on wellbeing. Top completed Unmind Shorts in January to March are (a) What Neurodiversity Really Means, (b) Pink Noise (a sleep tool) and (c) Mastering the Art of Acceptance.
- 1.8 Presentations were offered to all staff on nutrition, sleep and financial wellbeing. These presentations were planned to supplement our Unmind courses and have been provided with no cost to Council.

Offboarding Data (Exit Survey)

- 1.9 As a result of feedback from the Risk & Assurance committee this section on Offboarding data has been included in the report. This data represents people that have completed the survey; up to three options were able to be selected. Over time, Employee Experience worked on improving this data collection process and due to these improvements, we expect an increase in the uptake of the survey and the ability to analyse trends.

Reason contributing for decision to leave	Q3 Response	Ranking change compared to previous 12 months
Career Development Opportunity	55%	= No change
Salary/Remuneration	27%	= No change
Personal reasons unrelated to work	18%	= No change
Working hours	18%	↑ 1 place
Voluntary termination e.g. retirement, end of fixed term contract, etc.	18%	↑ 1 place
Manager/Supervisor	18%	↑ 5 places

Participation Rate	% of surveys sent that have been completed	Number Completed
Q4 (April-June 2023)	29%	4
Q1 (July-Sept 2023)	35%	7
Q2 (October-December 2023)	21%	3
Q3 (January-March 2024)	67%	10
Previous 12 months	38%	24

Turnover – Employee initiated

Year	18/19	19/20	20/21	21/22	22/23	July 2023 - Mar 2024 (9 months)
Number	67	85	120	123	114	73
%	12.0%	14.1%	20.9%	19.8%	18.8%	14.9% Annualised

Month	Turnover for Month	Turnover Previous 12 Months	Percentage (annual)
Jan 23	14	127	20.0%
Feb 23	9	130	20.6%
Mar 23	9	128	20.3%
Apr 23	11	126	19.9%
May 23	7	119	18.8%
Jun 23	8	114	18.0%
Jul 23	10	112	17.7%
Aug 23	8	112	17.7%
Sep 23	5	105	16.6%

Oct 23	10	107	16.9%
Nov 23	8	107	16.7%
Dec 23	9	108	16.4%
Jan 24	9	103	15.7%
Feb 24	10	104	15.9%
Mar 24	4	99	15.2%

Turnover by Unit (12 months to March 2024)

Chief Executive Unit	5	13.5%
Customer	38	16.0%
Finance	8	24.2%
Infrastructure	42	16.0%
People & Performance	4	7.8%
Strategy & Planning	1	3.8%
Headquarters	1	25%

1.10 Turnover has continued to decrease since February 2023.

1.11 Our trends show that the highest turnover occurs in the first 12 months of employment. This is standard globally and we are not unique in this instance.

Lost Time (Days)

2020 Ave/Qtr	2021 Ave/Qtr	2022 Ave/Qtr			Mar-23	Jun-23	Sep-23	Dec-23	Mar-24
233.6	379.6	325.8			257	263	358	180.53	257.7

1.12 The above lost time includes non-work injuries.

1.13 The number of lost days is significantly lower, due to less accidents.

1.14 Recruitment continues to improve compared to 12 months ago with only one role needing to be re-advertised in this quarter. In the March quarter 31 roles were filled and usually there is more than one suitably qualified candidate. Difficult to fill roles have been Civil Works drivers, construction workers and operations staff at resource recovery.

2. BACKGROUND

2.1 Wellbeing is interconnected with a variety of individual and systemic factors which makes it a difficult area to report on.

2.2 The Employee Experience team continue to review the provision of Mental Health/Resilience training to identify opportunities and improvements to capture our workforce and equip our people with skills and tools.

3. NEXT STEPS

3.1 Explore opportunities in the wellbeing space to prevent harm, provide support and enhance wellbeing. This includes presenting preliminary recommendations for psychosocial risk management via the Chief People & Performance Officer to the Executive Leadership Team.

3.2 Further review of appropriate wellbeing spaces at different Council sites will be undertaken over the next quarter.

4. COMPLIANCE AND ADMINISTRATION

Does the Committee have delegated authority to decide?	Yes
Are the decisions significant?	No
If they are significant do they affect land or a body of water?	No
Can this decision only be made through a 10 Year Plan?	No
Does this decision require consultation through the Special Consultative procedure?	No
Is there funding in the current Annual Plan for these actions?	No
Are the recommendations inconsistent with any of Council's policies or plans?	No
The recommendations contribute to Goal 5: A Driven & Enabling Council	
The recommendations contribute to the achievement of action/actions in (Not Applicable)	
Contribution to strategic direction and to social, economic, environmental and cultural well-being	Providing information to Council about the ongoing progress towards the good performance of the organisation regarding wellbeing. The wellbeing of our kaimahi (staff) directly relates to how the strategic direction is implemented.

ATTACHMENTS

Nil

MEMORANDUM

TO: Risk & Assurance Committee

MEETING DATE: 22 May 2024

TITLE: Strategic Risk Management Reporting January to March 2024 (Quarter 3)

PRESENTED BY: Stephen Minton, Risk Management Advisor and Jason McDowell, Head of Risk and Resilience

APPROVED BY: Cameron McKay, Chief Financial Officer

RECOMMENDATION(S) TO RISK & ASSURANCE COMMITTEE

1. That the Committee receive strategic risk assessments:
 - Strategic Risk 1: Failure to meet Financial Obligations (Attachment 1),
 - Strategic Risk 6: Health, Safety and Wellbeing (Attachment 2);and the Strategic Risk Dashboard (section 5.2).
-

1. ISSUE

- 1.1 The Council agreed the 11 strategic risk statements presented to the Risk & Assurance Committee on 6 March 2024. The assessments of the first two strategic risks are presented to the Committee.

2. BACKGROUND

- 1.2 Officers have prepared assessments of the strategic risks on the basis laid down in the Risk Management Framework. This includes an assessment of the risk rating against the approved risk tolerance along with determination of control effectiveness and reliance (as defined in the attachment and Risk Management Framework).
- 1.3 Officers have articulated principal controls for the strategic risks. Where Officers deem the need for changes, improvements or realignment to controls/mitigation, summary actions are described.

3. STRATEGIC RISK NO. 1: FAILURE TO MEET FINANCIAL OBLIGATIONS

- 3.1 The assessment of this strategic risk is attached as Attachment 1.

4. STRATEGIC RISK NO 6: MAJOR FAILURE OF HEALTH, SAFETY AND WELLBEING POLICIES AND PROCEDURES

- 4.1 The assessment of this strategic risk is attached as Attachment 2.

5. STRATEGIC RISK DASHBOARD

- 5.1 The strategic risk dashboard is set out below. The risk ratings have been determined on the basis of the current risk environment and consequences of the risk event, the controls and their effectiveness, and the reliance on the individual controls.
- 5.2 The dashboard includes only those strategic risks for which a full assessment has been completed. Unrated strategic risks are work in progress and will be progressively reported to the Committee.

Strategic Risk Dashboard		As at 22 May 2024	
Risk Name	Raw Risk	Residual Risk	Target Risk
Risk 1: Failure to meet financial obligations	Extreme	Medium	Medium
Risk 2: Failure to deliver on key projects and programmes	Not Rated Yet	Not Rated Yet	Medium
Risk 3: Failure to manage and protect Council information	Not Rated Yet	Not Rated Yet	Medium
Risk 4: Environmental damage, including climate change related damage	Not Rated Yet	Not Rated Yet	Medium
Risk 5: Ineffective relationship and stakeholder engagement	Not Rated Yet	Not Rated Yet	Medium
Risk 6: Major failure of health, safety and wellbeing policies and procedures	Extreme	Medium	Low
Risk 7: Failure to attract and retain staff	Very High	Medium	Medium
Risk 8: Legislative non-compliance	Not Rated Yet	Not Rated Yet	Medium
Risk 9: Significant disruption to Council's continuity and/or lifeline utility disruption	Not Rated Yet	Not Rated Yet	Medium
Risk 10: Failure to manage critical/strategic assets	Not Rated Yet	Not Rated Yet	Medium
Risk 11: Loss of public trust	Not Rated Yet	Not Rated Yet	Medium



6. NEXT STEPS

- 6.1 Remaining strategic risks will be assessed and presented to the Committee as they are completed or as scheduling permits.
- 6.2 All strategic risks are subject to iterative reviews. Outcomes of reviews will be presented to the Committee.
- 6.3 Reviews may also be triggered if there is a significant change in one of the following parameters:
 - Significant change in the internal or external context, including major organisational or process changes (Reference Risk Management Framework, Section 4.3.1 for external and internal context descriptors).
 - Major risk event that is deemed to have an influence on the strategic risk.
 - Substantial control or mitigation failure.

7. COMPLIANCE AND ADMINISTRATION

Does the Committee have delegated authority to decide?	Yes
Are the decisions significant?	No
If they are significant do they affect land or a body of water?	No
Can this decision only be made through a 10 Year Plan?	No
Does this decision require consultation through the Special Consultative procedure?	No
Is there funding in the current Annual Plan for these actions?	Yes
Are the recommendations inconsistent with any of Council's policies or plans?	No
The recommendations contribute to Goal 5: A Driven & Enabling Council	
The recommendations contribute to the achievement of action/actions in (Not Applicable)	
Contribution to strategic direction and to social, economic, environmental and cultural well-being	The risk management objectives cover all aspects of Council, including strategy, tactics, operations and compliance. The Risk Management Framework sets out the basis for managing risk across Council and a large part of this is culminated through the creation of risk registers and the strategic risk assessments.

ATTACHMENTS

1. Strategic Risk No. 1: Failure to Meet Financial Obligations [↓](#) 
2. Strategic Risk No. 6: Health, Safety & Wellbeing [↓](#) 

Strategic Risk No. 1: Failure to Meet Financial Obligations

Date: 26/03/24

Unit Chief Owner: Chief Financial Officer

Raw Risk: Extreme
Current Residual Risk: Medium
Target Residual Risk: Medium
Control Rating: Partially Effective
Control Reliance: High
Risk Tolerance: Medium

Overview

Description: The inability to source sufficient funding will have detrimental long-term effects on the city. Council is expected to provide services, facilities and infrastructure to residents in line with legislation and public expectations. These require funding through various mechanisms, including rates, fees/charges, debt, government and other funding sources.

Implications: Council may not be able to fund our required services and infrastructure, including appropriate maintenance, without the requisite funds. Meeting required and expected delivery could place the organisation into an unsustainable financial position with an unaffordable repayment burden. Both scenarios could lead to widespread public discontent.

Control Environment: There are a series of measures (controls/mitigations) that could be taken to mitigate funding risks. Under the current legislative framework, apart from significantly raising rates, most other methods will ultimately require increased repayments from city residents. Council also has the option to reduce service levels and/or defer works. Each of these actions may provide some solutions but also result in negative impacts and public criticism.

Conclusion & Action Plan/Considerations

Conclusion: While the measures we have currently available to us may provide a degree of short-term relief, the extent to which this is sufficient in an ever-increasing cost environment is becoming a challenge. Factors such as requirements for higher maintenance spending, rising fixed costs and meeting increasing regulatory standards and service levels will require decisions that parts of the community may find unpalatable. However, in the face of unsustainable financial burdens and current restrictions on the extent to which funding can be raised a critical review of needs versus wants may apply some degree of alleviation.

Action Plan: Develop a plan of individual actions which are assigned to owners with milestones set for each individual item. Consider implementing ongoing iterative reviews to monitor progress in each area. Some of this activity is also actioned when there aren't financial challenges but as part of prudent financial management.

Key Controls and Mitigations Summary

Category	Key Controls	Control Rating	Control Reliance	Action Plan/Considerations
Rating capability and capacity	Under legislation, Council can technically levy rates from property owners to an unlimited amount, they are in reality capped each year at a level that Elected Members deem affordable.	Effective	Very High	<ul style="list-style-type: none"> Annual review of adjustments to rates distribution and makeup to ensure equitability and affordability is applied where possible. Review rating against capital value to provide adjusted allocation options.
NZLGF debt raising	In terms of principal debt raising, Council can raise long term debt through the agency. This has historically met the majority of our financing requirements.	Effective	Very High	<ul style="list-style-type: none"> Continue with Agency as the most efficient, cost effective mechanism for raising long term debt. Review debt limit and other covenants to ensure funding flexibility remains available.
Programme deferral	Over the long term this is likely to result in escalated costs or significant failures to assets, resulting in service level disruptions. However, for short term (one to two years) deferrals, benefits can be significant for certain programmes.	Partially Effective	Medium	<ul style="list-style-type: none"> Perform ongoing reviews of potential deferrals, however, it should be kept in mind that long term this will potentially result in higher costs for those programmes deemed necessary.
Debt raising capability –Off-balance sheet	While this may be an effective mechanism for raising funding outside constraints of financial covenants, ultimately the repayment burden remains. There is often more expensive funding attributed to these debt methods.	Effective	High	<ul style="list-style-type: none"> There has been little activity in this area so far, however Council will be exploring opportunities that may be provided through the Government Infrastructure Funding & Financing Special Purpose Vehicle for significant infrastructure investments, such as Nature Calls or City Growth. Repayment obligations remain against the ratepayers of the city.
Infrastructure Deliveries Cancellations	This can provide significant short-term relief given the size of some programmes. However, in the medium to long term significant detrimental outcomes are likely to accrue, particularly in the ability to provide essential services. This is also more likely to result in increasing public disquiet around non-essential infrastructure.	Effective	Medium	<ul style="list-style-type: none"> For non-essential programmes, this provides some financial relief, however assessment of cost/benefit of not progressing is required. Reasoned rationale for cancellations is required, including other alternatives that may be provided without the same financial burden.
Levels of Service	Reductions in Levels of Service we provide can, reduce financial requirements. In the longer term, if continual underinvestment in some levels of service there will be unintended consequences and/or failures of these services. Reducing the Levels of Service people have formerly received, and therefore come to expect, is likely to result in public criticism and dissatisfaction.	Partially Effective	Medium	<ul style="list-style-type: none"> On-going review of minimum acceptable Levels of Service across the organisation is required, along with the potential negative implications of any reductions. Continually review that all Services provided are appropriate – consideration must be given to whether or not a service needs to be continued to be provided by Council.
Commercialisation of assets and services	Requires long term planning with limited apparent opportunities on the immediate horizon.	Ineffective	Low	<ul style="list-style-type: none"> Our Long-Term Plan needs to explore potential opportunities with asset owners for generating long-term income streams and/or reducing our asset portfolio and therefore reducing ongoing maintenance requirements to maintain assets
Increased fees and charges	Aims to achieve the funding in line with expectations of the Revenue and Financing Policy, and maximising returns where charges are based on a commercial nature	Partially Effective	Medium	<ul style="list-style-type: none"> Review of potential fees and charges increases, particularly for at least full recovery from users in commercial/development arena.
Co-Funding	Multiple sources, particularly for roading costs (NZTA). Other areas provide limited, relatively small amounts. While some are well signposted, many are opportunistic as well.	Partially Effective	Medium	<ul style="list-style-type: none"> Long term assessment and planning toward making use of realistic, periodic opportunities for co-funding is required, in conjunction with balance between our actual needs and ability to deliver.
Interest rate hedging	An effective interest rate hedging strategy and regime provides the ability to appropriately manage finance costs.	Effective	Medium	<ul style="list-style-type: none"> Periodic, proactive review of hedging framework required with active hedging based on current market positions and outlook.
Uncollected Rates and Receivables	Council can, under legislation, attach claims against properties for unpaid rates. credit control and collection resources and processes in place for overdue amounts, including non-rates income.	Effective	Low	<ul style="list-style-type: none"> Processes are mature and well managed. Ongoing monitoring for lengthening of outstanding amounts, particularly during periods of economic downturn.

Legend

Risk Ratings	Definition
Raw Risk	The initial assessment of a risk without any controls or mitigation. Sometimes referred to as gross or inherent risk.
Residual Risk	Risk remaining after implementation of risk treatment (through mitigation or controls). The treatment might include avoiding, modifying or sharing the risk. Considers control effectiveness and reliance.
Target Risk	Assessed residual risk if all controls are operating effectively and/or new controls or improvements to controls are implemented.
Risk Tolerance	The level of risk-taking acceptable to achieve a specific objective or manage a category of risk.

Effectiveness Rating	Level of protection/mitigation
Effective	The control environment should provide management with a reasonable level of assurance that objectives will be achieved. Control practices are embedded in business processes. There may be some minor control weakness or system improvements that management can make to improve controls and/or efficiency.
Partially Effective	The control environment is only partially effective at mitigating risks, with either gaps or weaknesses in control identified where control practices are not fully embedded in business-as-usual processes yet. Significant process changes may be required.
Ineffective	The control environment does not mitigate identified risks, is inefficient or ineffective (i.e. controls are yet to be implemented, not implemented effectively and/or additional controls are needed). Control breaches are common. Objectives are likely not to be achieved.
Non-existent	The effectiveness of controls has not been adequately determined or is unknown, or there are no identified or planned controls.

Reliance Rating	Description
Very High	Operation of this control is critical to the management of risk. Without this control this risk would revert to its raw state.
High	This control plays a key role in the management of the risk. The presence of other controls (significant or routine) means that the management of the risk is not totally dependent on this control.
Medium	This control provides comfort that a component of the risk is managed, e.g. the likelihood or the impact has been reduced.
Low	Control could be considered important were it not for the presence of other controls. The absence of this control would not change the classification of the risk.

Risk Matrix

		CONSEQUENCE				
		Minor (1)	Moderate (2)	Serious (3)	Major (4)	Severe (5)
LIKELIHOOD	Almost Certain (5)	Medium 5	High 10	Very High 15	Extreme 20	Extreme 25
	Likely (4)	Medium 4	High 8	Very High 12	Very High 16	Extreme 20
	Possible (3)	Low 3	Medium 6	High 9	Very High 12	Very High 15
	Unlikely (2)	Low 2	Medium 4	Medium 6	High 8	High 10
	Rare (1)	Low 1	Low 2	Low 3	Medium 4	Medium 5

Strategic Risk No. 6: Major failure of health, safety and wellbeing policies and procedures

Date: 26/03/24

Unit Chief Owner: Chief People and Performance Officer

Raw Risk: Extreme
Current Residual Risk: Medium
Target Residual Risk: Low
Control Rating: Partially Effective
Control Reliance: High
Risk Tolerance: Low

Overview

Description: The risk of detrimental effect to the health, safety and wellbeing to our people, a result of, amongst other matters, poor health and safety culture, leadership, processes and control/mitigation environment.

Implications: Council has a legal and moral obligation, as far as reasonably practical, to ensure the personnel are safe from harm, both physically and mentally (Wellbeing). Failure to provide a safe environment can result in harm to the Council’s most important resource, its people. This has significant implications from a legal, moral, reputational and financial perspective.

Control Environment: The Council takes both a top down and bottom up approach to implementing controls and mitigation through ensuring that the risk is the responsibility of everyone. This involves a top down driven principles and processes with expert advice while taking an on the ground approach to implementation, learnings and personal ownership. While control environment has improved significantly over the recent period, embedding fully, effectively and with assurance is still a work in progress.

Conclusion & Action Plan/Considerations

Conclusion: The current health and safety environment provides some comfort that the Organisation has taken reasoned, well thought out steps to improve health and safety at PNCC. Fully embedding is probably not complete yet and ever-present iterative improvement reviews will be necessary, with resource allocation to the more critical elements. Control of risks within the wellness arena are more in their infancy although work is underway to ensure the environment allows for a workplace that is more in tune with the wellness needs of employees.

Action Plan: A number of actions are in train and need to be brought to fruition. Development of a plan of individual actions which are assigned to owners with milestones set for each individual item. All activities should be part of iterative reviews and there needs to be a clear review timetable laid down and followed.

Key Controls and Mitigations Summary

Category	Key Controls	Control Rating	Control Reliance	Action Plan/Considerations
Health, Safety and Wellbeing Culture	<ul style="list-style-type: none"> ➤ Safety Charter supports individual empowerment for front facing staff and teams. ➤ Regular internal communications reinforcing health, safety and wellbeing messaging ➤ Health, safety and wellbeing is everybody’s responsibility, and included in all job profiles ➤ Scheduled toolbox meetings. 	Effective	Very High	<ul style="list-style-type: none"> ➤ Ongoing cycles of communication, reinforcement and messaging of health, safety and wellbeing activities and culture ➤ Create communications strategy to ensure health, safety and wellbeing culture remains strong.
Health and Safety Training	<ul style="list-style-type: none"> ➤ Role specific health and safety training ➤ Onboarding and induction on health and safety for contractors and staff. 	Partially Effective	Very High	<ul style="list-style-type: none"> ➤ Digital solutions for training records management ➤ Bring forward on-boarding earlier on health and safety matters ➤ Expanded training needs assessments, particularly for high risk roles and/or where higher numbers of incidents occur.
Leadership Commitment	<ul style="list-style-type: none"> ➤ Ahurutanga Statement (Safe Space) and commitment ➤ Executive Leadership site visits ➤ Executive Leadership involvement on Officers’ Health and Safety Committee ➤ Escalation channels documented based on event, ultimately to Chief Executive. 	Partially Effective	High	<ul style="list-style-type: none"> ➤ Reconfigure Executive Leadership Team site visits for more productive and effective outcomes ➤ Chairs of Officers’ and Operations’ Health and Safety Committees present to Executive Leadership Team bimonthly ➤ Review Executive Leadership involvement on Operations’ Health and Safety Committee.
Hazard Risk Registers	<ul style="list-style-type: none"> ➤ Hazard risk registers, with periodic reviews by stakeholders. 	Partially Effective	High	<ul style="list-style-type: none"> ➤ All hazard risk registers to be refreshed, peer reviewed and to undergo iterative periodic reviews, and following incidents as part of Five Whys/ Root Cause Analysis ➤ Communications plan to ensure effective embedding in business.
Assurance Programme	<ul style="list-style-type: none"> ➤ Periodic checks of controls and mitigations (Audits). 	Partially Effective	Medium	<ul style="list-style-type: none"> ➤ Assurance programmes based on criticality and balanced against resource requirements.
Personal Security	<ul style="list-style-type: none"> ➤ Security assessments with improvement-based outcomes ➤ Technology based tools ➤ Safety plans for public facing employees. 	Partially Effective	High	<ul style="list-style-type: none"> ➤ Internal training package being developed and then ongoing training for all front facing staff ➤ Safety plans to be 100% implemented ➤ CCTV and body worn camera footage to be used as part of lessons learnt activities post event.
Health and Safety Tools	<ul style="list-style-type: none"> ➤ Health and Safety Manual ➤ PeopleSafe application for reporting and monitoring of incidents and near misses. 	Partially Effective	Medium	<ul style="list-style-type: none"> ➤ Rollout and embed updated Health and Safety Manual, after review by SME’s ➤ Review options through a business case for fit for purpose health and safety digital platform.
Post Event Reviews	<ul style="list-style-type: none"> ➤ Lessons learnt/Five Whys/Root Cause Analysis of events with application of control improvements. Application of Government H&S hierarchy of controls (See below). ➤ Issuance of safety bulletins post event. 	Partially Effective	Medium	<ul style="list-style-type: none"> ➤ More robustness to process, particularly on action and closures formally (Accountability).
Wellbeing	<ul style="list-style-type: none"> ➤ Safety Charter supports individual empowerment for front facing staff and teams. ➤ Regular internal communications reinforcing health, safety and wellbeing messaging ➤ Health, safety and wellbeing is everybody’s responsibility, and included in all job profiles ➤ Scheduled toolbox meetings. 	Partially Effective	Medium	<ul style="list-style-type: none"> ➤ Planned approach to psychosocial risk assessment, creation of control environment (<i>Preventing harm</i>) and assurance programme. ➤ Development of level appropriate training for spectrum training options within mental health and wellbeing (<i>Enhancing wellbeing</i>) ➤ Continue provision of professional support service (<i>Provide Support</i>).

Legend

Risk Ratings	Definition
Raw Risk	The initial assessment of a risk without any controls or mitigation. Sometimes referred to as gross or inherent risk.
Residual Risk	Risk remaining after implementation of risk treatment (through mitigation on controls). The treatment might include avoiding, modifying or sharing the risk. Considers control effectiveness and reliance.
Target Risk	Assessed residual risk if all controls are operating effectively and/or new controls or improvements to controls are implemented.
Risk Tolerance	The level of risk-taking acceptable to achieve a specific objective or manage a category of risk.

Effectiveness Rating	Level of protection/mitigation
Effective	The control environment should provide management with a reasonable level of assurance that objectives will be achieved. Control practices are embedded in business processes. There may be some minor control weakness or system improvements that management can make to improve controls and/or efficiency.
Partially Effective	The control environment is only partially effective at mitigating risks, with either gaps or weaknesses in control identified where control practices are not fully embedded in business-as-usual processes yet. Significant process changes may be required.
Ineffective	The control environment does not mitigate identified risks, is inefficient or ineffective (i.e. controls are yet to be implemented, not implemented effectively and/or additional controls are needed). Control breaches are common. Objectives are likely not to be achieved.
Non-existent	The effectiveness of controls has not been adequately determined or is unknown, or there are no identified or planned controls.

Reliance Rating	Description
Very High	Operation of this control is critical to the management of risk. Without this control this risk would revert to its raw state.
High	This control plays a key role in the management of the risk. The presence of other controls (significant or routine) means that the management of the risk is not totally dependent on this control.
Medium	This control provides comfort that a component of the risk is managed, e.g. the likelihood or the impact has been reduced.
Low	Control could be considered important were it not for the presence of other controls. The absence of this control would not change the classification of the risk.

Risk Matrix

		CONSEQUENCE				
		Minor (1)	Moderate (2)	Serious (3)	Major (4)	Severe (5)
LIKELIHOOD	Almost Certain (5)	Medium 5	High 10	Very High 15	Extreme 20	Extreme 25
	Likely (4)	Medium 4	High 8	Very High 12	Very High 16	Extreme 20
	Possible (3)	Low 3	Medium 6	High 9	Very High 12	Very High 15
	Unlikely (2)	Low 2	Medium 4	Medium 6	High 8	High 10
	Rare (1)	Low 1	Low 2	Low 3	Medium 4	Medium 5

COMMITTEE WORK SCHEDULE

TO: Risk & Assurance Committee

MEETING DATE: 22 May 2024

TITLE: Committee Work Schedule

RECOMMENDATION TO RISK & ASSURANCE COMMITTEE

1. That the Risk & Assurance Committee receive its Work Schedule dated May 2024.

COMMITTEE WORK SCHEDULE – MAY 2024				
	Delegations Manual – Review of financial delegations and associated definition sections	CE Unit Manager	Presented to Strategy & Finance Committee meeting on 8 May 2024	Council 6 September 2023 Clause 147-23
May 2024	Fraud and Whistleblowing Policy Quarterly Update (Q3 January to March 2024)	Business Assurance Manager		26 April 2023 Clause 12-23
May 2024	Strategic Risk Management Reporting (Q3 January to March 2024)	Chief Financial Officer		Terms of Reference
May 2024	Health & Safety Quarterly Update (Q3 January to March 2024)	Chief People and Performance Officer		
May 2024	Wellbeing Quarterly Update (Q3 January to March 2024)	Chief People and Performance Officer		

September 2024	Health & Safety Quarterly Update (Q4 April to June 2024)	Chief People and Performance Officer		
September 2024	Wellbeing Quarterly Update (Q4 April to June 2024)	Chief People and Performance Officer		
October 2024	Review Annual Report	Chief Financial Officer		Terms of Reference
November 2024	Business Assurance six-monthly accountability report	Business Assurance Manager		Finance and Audit Committee 16 December 2020 Clause 68.2
November 2024	Review of Contract Management Framework	Business Assurance Manager		26 April 2023 Clause 2-23
November 2024	Health & Safety Quarterly Update (Q1 July to September 2024)	Chief People and Performance Officer		
November 2024	Wellbeing Quarterly Update (Q1 July to September 2024)	Chief People and Performance Officer		
TBC	3 Waters Transition – Assets and Liability Assessment	Chief Financial Officer		
Feb/March 2025	Annual review of Council's Risk Management Appetite and Tolerance Levels	Chief Financial Officer		6 March 2024 Clause 4-24
2025	Review of Legal Compliance Framework	Business Assurance Manager		26 April 2023 Clause 2-23

2025	LTP Debrief	Business Assurance Manager		6 March 2024 Clause 11-24
2025	Review of Health & Safety Framework	Business Assurance Manager		6 March 2024 Clause 11-24
2025	Review of Cyber Security	Business Assurance Manager		6 March 2024 Clause 11-24

Proactive Release of Confidential Decisions

All [released confidential decisions](#) can be found on Council's website.