



PAPAIOEA
PALMERSTON
NORTH
CITY

PALMERSTON NORTH CITY COUNCIL

AGENDA

RISK & ASSURANCE COMMITTEE

9:00 AM, WEDNESDAY 11 SEPTEMBER 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

11 September 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 22 May 2024 Part I Public be confirmed as a true and correct record.

7. Health and Safety Report, 1 April to 30 June 2024 (Quarter 4)

Page 11

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

8. Wellbeing Report, April to June 2024 (Quarter 4)

Page 27

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

9. Strategic Risk Management Reporting April to June 2024 (Quarter 4)

Page 37

Memorandum, presented by Stephen Minton, Risk Management Advisor.

10. Committee Work Schedule

Page 53

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. | Confirmation of the minutes of the Risk & Assurance Committee meeting of 22 May 2024 Part II Confidential | For the reasons set out in the Risk & Assurance Committee of 22 May 2024, held in public present. | |
| 7. | Health and Safety Report, 1 April to 30 June 2024 (Quarter 4) 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; and ENDANGER THE SAFETY OF A PERSON: Sharing this information could put someone's health and safety at risk | s7(2)(c)(i) and s6(d) |
| 9. | Strategic Risk Management Reporting April to June 2024 (Quarter 4) Confidential Attachment 2 | PREVENT DAMAGE TO THE PUBLIC INTEREST: Withholding the information is in the public's best interest | s7(2)(c)(ii) |

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 22 May 2024, commencing at 1.01pm

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

Non Members: Councillor Patrick Handcock.

Apologies: The Mayor (Grant Smith) (on Council business).

Karakia Timatanga

Councillor Karen Naylor opened the meeting with karakia.

14-24 Apologies

Moved Stephen Armstrong, seconded Karen Naylor.

The **COMMITTEE RESOLVED**

1. That the Committee receive the apologies .

Clause 14-24 above was carried 11 votes to 0, the voting being as follows:

For:

Stephen Armstrong and Councillors Karen Naylor, Mark Arnott, Brent Barrett, Vaughan Dennison, Leonie Hapeta, Lorna Johnson, Orphée Mickalad, William Wood, Kaydee Zabelin and Patrick Handcock.

15-24 Confirmation of Minutes

Moved Stephen Armstrong, seconded Karen Naylor.

The **COMMITTEE RESOLVED**

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

Clause 15-24 above was carried 11 votes to 0, the voting being as follows:

For:

Stephen Armstrong and Councillors Karen Naylor, Mark Arnott, Brent Barrett, Vaughan Dennison, Leonie Hapeta, Lorna Johnson, Orphée Mickalad, William

Wood, Kaydee Zabelin and Patrick Handcock.

16-24 Health and Safety Report, January to March 2024 (Quarter 3 23/24)

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, January to March 2024 (Quarter 3 23/24)' presented to the Risk & Assurance Committee on 22 May 2024.

Clause 16-24 above was carried 11 votes to 0, the voting being as follows:

For:

Stephen Armstrong and Councillors Karen Naylor, Mark Arnott, Brent Barrett, Vaughan Dennison, Leonie Hapeta, Lorna Johnson, Orphée Mickalad, William Wood, Kaydee Zabelin and Patrick Handcock.

17-24 Wellbeing Report, January to March 2024 (Quarter 3)

Memorandum, presented by Connie Roos, Employee Experience Manager and Katrina Ives, People Operations Advisor.

Moved Stephen Armstrong, seconded Karen Naylor.

The **COMMITTEE RESOLVED**

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.

Clause 17-24 above was carried 11 votes to 0, the voting being as follows:

For:

Stephen Armstrong and Councillors Karen Naylor, Mark Arnott, Brent Barrett, Vaughan Dennison, Leonie Hapeta, Lorna Johnson, Orphée Mickalad, William Wood, Kaydee Zabelin and Patrick Handcock.

18-24 Strategic Risk Management Reporting January to March 2024 (Quarter 3)

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

Moved Stephen Armstrong, seconded Karen Naylor.

The **COMMITTEE RESOLVED**

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).

Clause 18-24 above was carried 11 votes to 0, the voting being as follows:

For:

Stephen Armstrong and Councillors Karen Naylor, Mark Arnott, Brent Barrett, Vaughan Dennison, Leonie Hapeta, Lorna Johnson, Orphée Mickalad, William Wood, Kaydee Zabelin and Patrick Handcock.

19-24 Committee Work Schedule

Moved Stephen Armstrong, seconded Karen Naylor.

The **COMMITTEE RESOLVED**

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

Clause 19-24 above was carried 11 votes to 0, the voting being as follows:

For:

Stephen Armstrong and Councillors Karen Naylor, Mark Arnott, Brent Barrett, Vaughan Dennison, Leonie Hapeta, Lorna Johnson, Orphée Mickalad, William Wood, Kaydee Zabelin and Patrick Handcock.

EXCLUSION OF PUBLIC

20-24 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 |
|---|---|--|---|
| 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 | PREJUDICE THE SUPPLY OF SIMILAR INFORMATION: Releasing this information could negatively effect similar | s7(2)(c)(i) s6(c) s6(d) |

| | | | |
|-----|--------------------------------------|---|-------------|
| | Attachment 2 | 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 | |
| 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.

Clause 20-24 above was carried 10 votes to 1, the voting being as follows:

For:

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

Against:

Councillor William Wood.

The public part of the meeting finished at 2.38pm

Confirmed 11 September 2024

Chair

MEMORANDUM

TO: Risk & Assurance Committee

MEETING DATE: 11 September 2024

TITLE: Health and Safety Report, 1 April to 30 June 2024 (Quarter 4)

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

APPROVED BY: Danelle Whakatihi, General Manager Customer & Community

RECOMMENDATIONS TO RISK & ASSURANCE COMMITTEE

1. That the Committee receive the memorandum titled 'Health and Safety Report, 1 April to 30 June 2024 (Quarter 4)' presented to the Risk & Assurance Committee on 11 September 2024.
 2. That the Chief Executive release the memorandum and attachments 1 and 3 as soon as is practicable.
-

1. EXECUTIVE SUMMARY

- 1.1 Management continues to prioritise Health and Safety, and encouraging reporting is a key part of that. Regularly highlighting the importance of proactive reporting of events not only helps in addressing issues before they escalate but also fosters a culture of safety and trust. It's vital that our kaimahi are supported and confident in reporting, knowing their efforts and investments demonstrates a commitment to strengthening our safety culture and promoting a safer workplace.
- 1.2 Whilst the number of Frontline Working events has seen a decrease, the approach to managing risks in the Customer and Infrastructure spaces appears effective, with specific strategies like de-escalation training and policy implementation playing crucial roles in maintaining safety and minimising events.
- 1.3 The downward trend in the number of Frontline Working (Critical Risk 1) incidents towards kaimahi continues to drop (20 during the 1 April to 30 June 2024 quarter – refer to the confidential Critical Risks Report Schedule, Attachment 2) when compared with the previous two quarters (25 in January to March 2024 – Quarter 3; 39 in October to December 2023 – Quarter 2).
- 1.4 The close out of actions against the SafePlus report recommendations is ongoing and is unlikely to be progressed until January to March 2025. This is due to the acceptance of the new Safety Framework that has been reviewed by Poutāhū – our cross-council internal reference group.

1.5 Notable highlights over the 1 April to 30 June 2024 quarter:

- Additional Situational Awareness training continues to be developed. Training for Council Chambers, Cleaner and Business Support kaimahi is being delivered over the period August/September 2024 and other councils have shown an interest in our programme.
- A Safety Management Module, as part of our leadership development programme, has been delivered to our people leaders around health and safety considerations.

1.6 Looking ahead:

- A review of Health and Safety reporting systems being used by other councils is being explored as part of our MWLASS (Manawatū-Whanganui Local Area Shared Services) collaboration.
- As a result of the 2024 – 2034 Long Term Plan discussions, the organisation-wide realignment has meant work has needed to be planned within the Health and Safety Management Tool – PeopleSafe – to effect the finalised strategic changes in reporting line structures. This work is ongoing to adopt the finalised structure and foundation group changes within PeopleSafe. We continue to work with this platform.

1.7 Updates on topics reported previously:

- The process to review the Hazard and Risk registers has been completed.
- Update and refresh on the Health and Safety Management Plans for Turitea Water Treatment Plan, and WasteWater Treatment Plant remains ongoing (due to a change in kaimahi movements).
- The update to the Emergency Flip Charts for the organisation, overseen by the Risk and Assurance team, has been completed.
- As advised in section 1.4, the implementation of the SafePlus report recommendations, which encompasses the competency framework and training plans for kaimahi, is still pending completion.

2. HEALTH AND SAFETY REPORT

- 2.1 This report covers the period 1 April through to 30 June 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 | Mar-23 | | Jun-23 | | Sep-23 | | Dec-23 | | Mar-24 | | Jun-24 | |
|-------------|--------|-----|--------|-----|--------|-----|--------|-----|--------|-----|--------|-----|
| | PNCC | CON | PNCC | CON | PNCC | CON | PNCC | CON | PNCC | CON | PNCC | CON |
| Hazards | 19 | 2 | 19 | 4 | 55 | 5 | 28 | 11 | 83 | 4 | 56 | 4 |
| Incidents | 125 | 11 | 99 | 16 | 115 | 11 | 108 | 11 | 80 | 7 | 80 | 19 |
| Near Misses | 19 | 2 | 10 | 5 | 9 | 1 | 14 | 1 | 7 | 0 | 13 | 7 |

Key: PNCC = Staff/Kaimahi; CON = Contractor

2.2 Comments:

- **Hazards and Incidents**

- Intermittent issues with a Library lift have resulted in corrective measures (including signage and barriers) being addressed.
- The engagement of contractors not pre-qualified/failing to meet minimum requirements has highlighted contractor safety management concerns. Remedial action (addressing identified corrective actions) is being included in work processes.
- As a result of Materials Recovery Facility (MRF) processes not being adhered to, system refresh training has been implemented with kaimahi at the Awapuni Resource Recovery Park.
- Minor safety improvements have been completed to guide our kaimahi during fire egress via the Civil Administration Building stairwells.
- The Health and Safety Manager has carried out 'ride alongs' with our Parking kaimahi to better understand some of the challenges and opportunities being experienced to mitigate poor public interactions.

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).

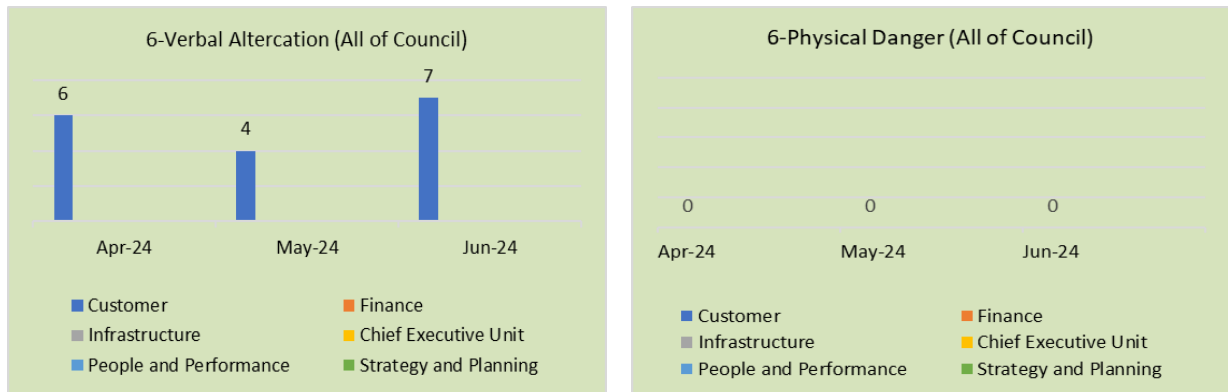
Table 2: Critical Risks

| No. | Critical Risk | Near Miss | Incident |
|-----|--------------------------------|-----------|----------|
| 1 | Frontline Working | 5 | 22 |
| 2 | Work Environment | | 1 |
| 3 | Working at Height | | 1 |
| 4 | Breaking Ground | 1 | |
| 5 | Confined Space | | |
| 6 | Working with Mobile Plant | 4 | 1 |
| 7 | Driving | 1 | 1 |
| 8 | Lone Worker | | |
| 9 | Working Around Water | | |
| 10 | Hazardous Substances | 3 | |
| 11 | Use of Power Handtools / Plant | 3 | |
| 12 | Asset Failure | 3 | |

2.4 Comments:

- Referring to the list of Other Incidents of Interest (page 4 within the confidential Critical Risks Report schedule – Attachment 2), incident number 14 has been included within the CR7 Incident column above (an investigated event by Police).
- Furthermore, under Other Incidents of Interest, incident number 26 involving Working with Mobile Plant was deemed notifiable and therefore investigated. It has been included within the CR6 Incident column.
- Police support to Council continues. During Quarter 4, six notifications relating to Critical Risks were made to Police (noticeably down on Quarter 3 – 13).
- Two Trespass Notices have been actioned during Quarter 4 (down on Quarter 3 – 8).
- The graphs below identify Critical Risks involving Verbal Altercation (VA) and/or Physical Danger (PD) when kaimahi are Frontline Working.
 - Customer has recorded 17 VA incidents (up on Quarter 3 – 14) and nil PD incidents (down on Quarter 3 – 1) for Quarter 4;
 - For the rest of the Council groups, nil VA and PD incidents were recorded during Quarter 4;
 - The details of the 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 kaimahi'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

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

Table 4: Investigations

| | |
|---|----------------|
| Investigations occurred this quarter | 1 ¹ |
| Previous Investigations (last 12 months) | |
| Number of remedial actions required | 0 |
| Number of remedial actions completed | 0 |

¹ Refer to incident number 26 (page 5) within the confidential Critical Risks Report schedule – Attachment 2.

2.7 Comments:

- During the period being reported on, PN City Council classified one incident as 'notifiable'.
- The regulator met with PN City Council to discuss the notifiable event which related to a vehicle roll-over. The regulator was satisfied with our processes and findings, and the matter was closed.

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 – there may be some miniscule lag due to information being filtered through our systems on time. For more expansive information on training for Quarter 4, please refer to the Training Update schedule (Attachment 3).

Table 5: Training

| Date | Sep-23 | Dec-23 | Mar-24 | Jun-24 |
|-------------------------|--------|--------|--------|--------|
| Number of events | 35 | 35 | 15 | 16 |
| Staff/Kaimahi attending | 187 | 210 | 204 | 104 |

2.9 Comments:

- As noted under section 1.2, Situational Awareness and De-escalation training remains crucial and we continue to gather feedback from our kaimahi on what has been found helpful and what could be improved. Training will increase with four programmes aimed for delivery during August/September 2024.
- The Safety Management Module (noted under section 1.2), has been rolled out to people leaders around health and safety considerations.
- Further to bullet point three under section 2.2, MRF safety system refresh training on lock out/tag out isolations are being progressed. Selected staff have been trained on a newly created procedure (lock out/tag out) – all staff have also been advised of this procedure during multiple toolbox meetings.

3. COMPLIANCE AND ADMINISTRATION

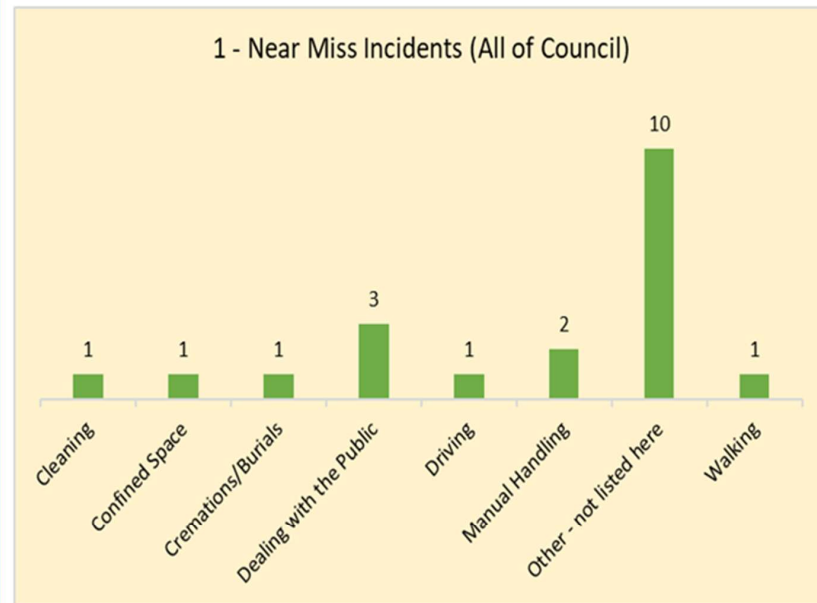
| | |
|---|---|
| Does the Committee have delegated authority to decide? | Yes |
| Are the decisions significant? | No |
| If they are significant do they affect land or a body of water? | No |
| Can this decision only be made through a 10 Year Plan? | Yes |
| Does this decision require consultation through the Special Consultative procedure? | No |
| Is there funding in the current Annual Plan for these objectives? | No |
| Are the recommendations inconsistent with any of Council's policies or plans? | No |
| <p>The recommendations contribute to:</p> <p>Whāinga 3: He hapori tūhonohono, he hapori haumarū</p> <p>Goal 3: A connected and safe community</p> <p>The recommendations contribute to the achievement of objective/objectives in:</p> <p>9. Mahere haumarū hapori, hauora hapori</p> <p>9. Community Safety and Health Plan</p> <p>The objective is: Co-ordinate and support community safety and harm reduction</p> | |
| 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

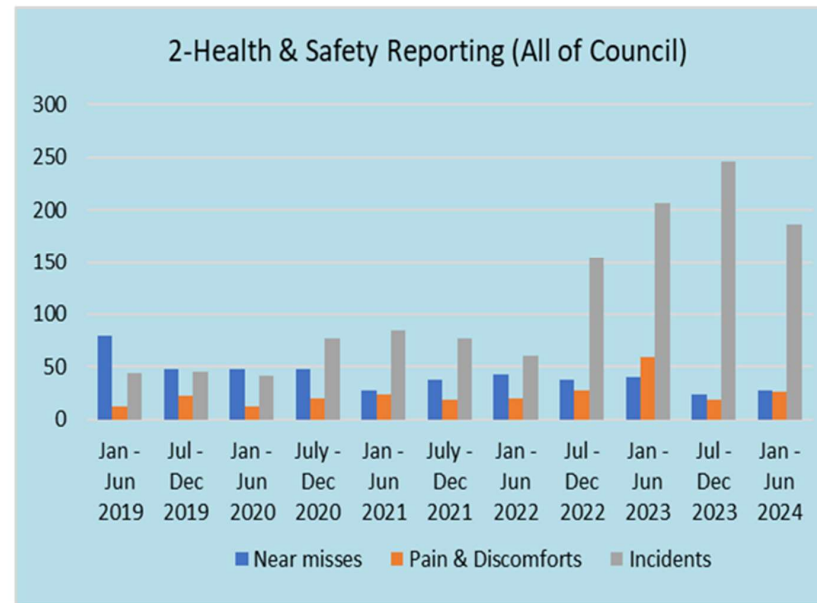
1. Health & Safety Dashboard report, Q4 2024 [↓](#) 
2. Health & Safety Critical Risks report, Q4 2024 - **Confidential**
3. Training Update for Q4 2024 [↓](#) 

Health and Safety Quarterly Dashboard Report: 1 April to 30 June 2024

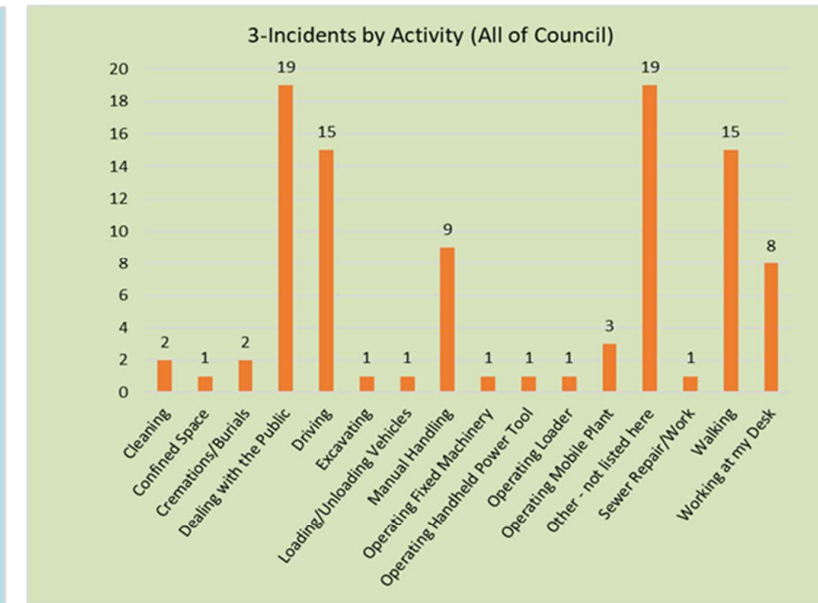
ALL OF COUNCIL



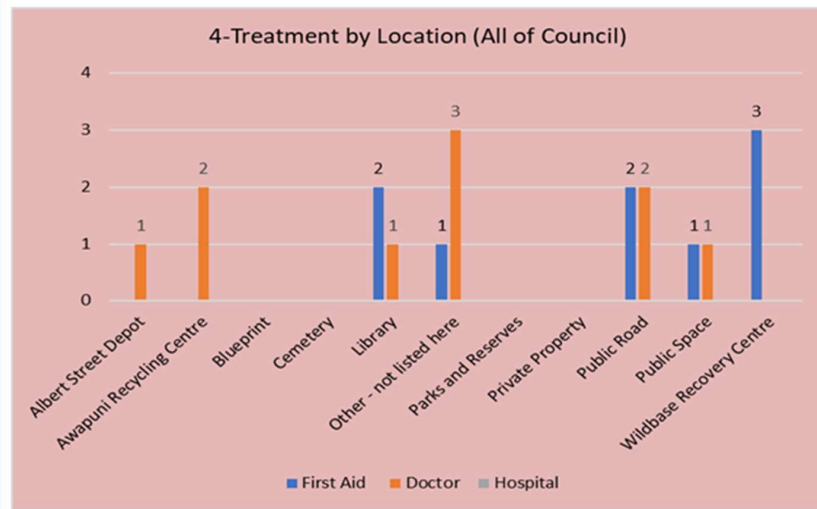
1 – Near Miss by Activity: Q4 numbers are up on the last quarter (Q3 = 8). Other – not listed here records the highest incidents of note (lift faults within CAB and City Central Library; blockages/jams within the Materials Recovery Facility at the Awapuni Resource Recovery Park).



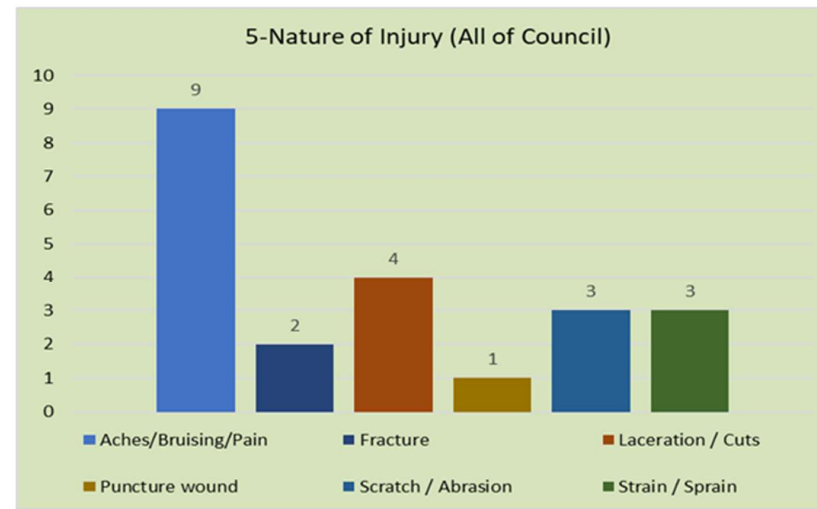
2 – The Health & Safety Reporting graph gets refreshed every six months to enhance the visibility of trends. The current update (during the second half of 2024) will cover the January to June 2024 period.



3 – Incidents by Activity: Top Activities account for 69% and mirror the Top Activities reported in the last quarter. Activities of note are: Dealing with the Public (19%), Driving (15%), Other – not listed here (19%), 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. Q4 totals 22 – up on Q3 (19). Doctor interventions have been required for aches/pain, sprains/strains, cuts/punctures, and fractures. Reviews are being held regularly.



5 – Nature of Injury graph is reflective of Manual Handling, Operating Fixed Machinery, Other – not listed, and Walking. The incidents themselves have resulted in aches/bruising, lacerations/cuts, scratches/abrasions, strains/sprains, fractures, and ergonomic assessments.

Attachment 3 – 1 April to 30 June 2024: Training undertaken¹

| Event | Jun-23 | Sep-23 | Dec-23 | Mar-24 | Jun-24 |
|---|--------|--------|--------|--------|--------|
| Asbestos Awareness Training | | | | | |
| Behavior Safety Observed training | | | | | |
| Breathing Apparatus | | | | | |
| Business (First Line Management) L4 | | 20 | | | |
| Butt Welding Course | | 2 | | | |
| Certified Handler Preparation Online (CHOP) | | | | | |
| Certified Handlers (Hazardous Substances) | | | | | |
| Chainsaw Training | | 5 | | | |
| Challenging Conversations and Resilience | | | | | |
| Chemical training /handling | | | | | |
| Concrete Saw Usage and Basic Safety | 11 | | | | |
| Confined Space and Gas Detection | 3 | 17 | 5 | 8 | 4 |
| Confined Space Entry | | 1 | 1 | | |
| Contractor All-In Induction sessions | 170 | | | 41 | |
| Creating Respectful Workplaces | | | | | |
| 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 | | 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 | Jun-23 | Sep-23 | Dec-23 | Mar-24 | Jun-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 | | | | | |
| Duress Alarm Training | | | | | 13 |
| Efficient Compaction Operators Course | | | | | |
| Electrofusion Certificate | | 1 | | | 3 |
| Electrofusion Jointing PE Pipe | | 1 | | | 3 |
| Elevated Working Platform (Scissor Lift and Boom) | | | | 2 | 3 |
| Emergency Management – Foundations | | | | | |
| Emergency Management – Foundations Assessment | | | | | |
| Emergency Management – Intermediate | | | | | |
| Emergency Management – Specialist | | | | | |
| Emergency Management – Critical Incident Stress | | | | | |
| Emergency Management – Working in the NCMA/NCC | | | | | |
| Emergency Medical Response Revalidation | | | | | |
| Endorsement (D) Dangerous Goods | | | | | |
| Endorsement (F) Forklift | 1 | 3 | 10 | | |
| Endorsement (R) Roller | 1 | 2 | | | 6 |
| Endorsement (T) Tracks | 1 | 2 | | | 6 |
| Endorsement (W) Wheeled Special Type | 1 | 2 | | | 6 |
| Endorsement R | | 1 | | | |
| Endorsement T | | 1 | | | |
| Endorsement W | | 1 | | | |
| Evac Chair | 11 | | | | 20 |
| Evac Chair – Certified In-House Trainer Certificate | 2 | | | | 17 |
| Fire Safety | | | | | |
| Fire Warden Training | | | | 1 | |
| First Aid Certificate | 11 | 29 | 39 | 16 | 16 |
| Floor Warden – In House - Training | | | | 34 | 3 |
| Forklift OSH Certificate | | 6 | 10 | | |
| Forklift (F) Endorsement | | | | | |
| Front Counter Safety Training (CERT) | 8 | | | | |
| Front End Loader | | | | | |
| Gantry Crane Training | | | | | |

| Event | Jun-23 | Sep-23 | Dec-23 | Mar-24 | Jun-24 |
|---|--------|--------|--------|--------|--------|
| Grow-safe | 13 | | | | |
| Harassment Prevention and Awareness | | | | | |
| Harassment Prevention and Awareness – Managers workshop | | | | | |
| Hazardous Substances in the Workplace | | | | | |
| Hazardous Substance Training General | 16 | | | | |
| Height Safety Introduction | | | 4 | | |
| Height Safety Advanced | | | 4 | | 1 |
| 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 | | |
| 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 | | | | | |
| Managing Upset or Difficult Customers | | | | | |
| Manual Handling | | | 23 | | |
| Manual Handling Online | | | | | |
| Mask Fit Testing | | | 3 | | |
| NC Horticulture Level 4 | 1 | | | | |
| NC Sewer Level 3 | 1 | | | | |

| Event | Jun-23 | Sep-23 | Dec-23 | Mar-24 | Jun-24 |
|--|--------|--------|--------|--------|--------|
| NC Utilities Maintenance L4 (water) | | | | | |
| 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 | | | | | |
| Onboarding – Easy Start Orientation | | | | | |
| Onboarding – Tour of the City | | | | | |
| OPSEC Situational Safety | | | | 87 | |
| Peer Lunch and Chat – Report Writing | | | | | |
| 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) | 5 | 11 | | | |
| Resilience training (Completed in May 2020-21) | | | | | |
| Report Writing and InfoCouncil | | | | | |
| Road Saw Operation | 2 | | | | |
| Safety Induction (CAB) | | | | | 1 |
| Safety ‘n Action – Construction Site Access Course | | | | | |
| Safety Plans | | | | | |
| Safe Work Zones | | | 1 | | |
| Site Induction (Depot, Collections) | 1 | | | | 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 | | | | | |

| Event | Jun-23 | Sep-23 | Dec-23 | Mar-24 | Jun-24 |
|--|------------|------------|------------|------------|------------|
| STMS Level 1 – Site Traffic Management | 17 | | 1 | | |
| 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 | | | | | |
| Understanding Unconscious Bias | | | | | |
| Would You Do It? | | | 1 | | |
| Total Number of Events | 48 | 35 | 35 | 15 | 16 |
| Total Number of Staff Attending | 398 | 187 | 210 | 204 | 104 |

MEMORANDUM

TO: Risk & Assurance Committee

MEETING DATE: 11 September 2024

TITLE: Wellbeing Report, April to June 2024 (Quarter 4)

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

APPROVED BY: Danelle Whakatihi, General Manager Customer & Community

RECOMMENDATION TO RISK & ASSURANCE COMMITTEE

1. That the Committee receive the memorandum titled 'Wellbeing Report, April to June 2024 (Quarter 4)' presented to the Risk & Assurance Committee on 11 September 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 As a result of 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. Support relating to each of these components will be found under each section. When applicable, comparative data is included for context.
- 1.3 As requested by the Risk & Assurance Committee, offboarding data is included in this report. Due to feedback from the Risk & Assurance Committee the format for this has changed.
- 1.4 Employee initiated turnover and lost time is included in this report.

Prevent Harm

- 1.5 People Operations and Employee Experience coordinated a flu vaccination rollout, with support from the depot team. A total of 203 flu vaccinations were completed.

| Quarter 4 Wellbeing Report – Prevent Harm | Q4 2024 | YTD | Average Quarter for 2022/23 FY | |
|---|---------|------|--------------------------------|---|
| Wellness space usage | 1497 | 6146 | 1418 | The comparative data shows that wellness space usage has improved compared to the previous average. The inclusion of Piringa Āio – Peaceful Haven has changed this metric to wellness space usage rather than gym usage. |
| Biennial health / eye check | 35 | 106 | 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 4 Wellbeing Report - Provide Support | Q4 2024 | YTD | Average Quarter for 2022/23 FY | |
|--|---------|-----|--------------------------------|---|
| Vitae – On-site services | 240 | 896 | 324 | On-site services involve Vitae Officers visiting sites to conduct informal wellbeing check-ins. Front facing roles, dealing with the public directly, have reported to Vitae that these visits are appreciated. |
| Reflect and Learn sessions | 10 | 47 | 18 | Sessions are designed to assist staff to deal constructively with high conflict incidents in front facing customer roles. |

Enhance Wellbeing

| Quarter 4 2024 | Year to date Number of attendees | Target to be completed by end of FY 23/24 | |
|--|----------------------------------|---|--|
| Creating Respectful Workplaces (attendees) | 38 | 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, leading to a lower attendance. Target has not been completed. |
| Challenging Conversations & Resilience (attendees) | 43 | 30 | This workshop is designed to provide employees with practical information and frameworks to deal successfully with situations evoking strong emotional responses. Target has been completed. |
| Tools for Change (attendees) | 392 | 150 | This training helps employees to identify thinking styles, recognise thinking traps and manage responses to change. Both Tools for Change and Leading Through Change are internal courses run by Principal Advisor Change Management. Target has been completed. |
| Manager Completion of Leading Through Change (Manager attendees) | 119 | 70 | One way to support employees' wellbeing is to provide managers with a toolset to lead their team through changing environments. Target has been completed. |
| Manager completion of Understanding Mental Health in the Workplace (Manager attendees) | 9 | 20 | This training programme has been assessed and will not progress in the next financial year. An Unmind manager module and Ways of Leading training will be launched to support managers to navigate meaningful conversations in the workplace. |

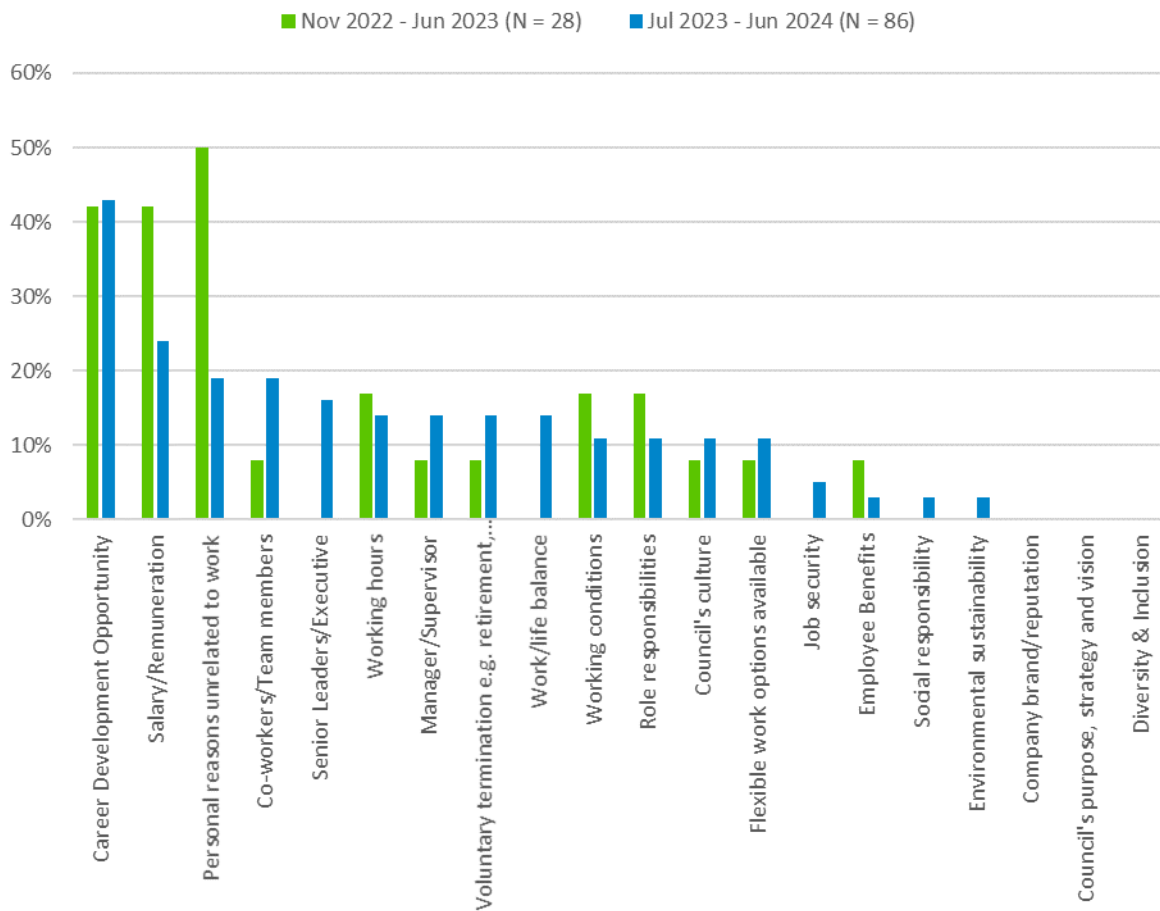
| Quarter 4 2024 | Year to date Number of attendees | Target to be completed by end of FY 23/24 | |
|------------------------------------|---|--|--|
| Wellbeing Presentation (attendees) | 117/145 (81% of new starters) | 90% of new starters | This presentation helps to orient new starters to the wellbeing support available here at Council. This presentation was first created in February 2023 and is presented to all staff who attend Orientation Day. Target has not been completed. |

1.6 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. Unmind has a total uptake of 38%. The benchmark compared to similarly sized organisations is 30-36%. Top completed Unmind Shorts in April to June are: (a) Morning Goal Setting, (b) Winter Lake (a sleep tool) and (c) Back to Now (awareness and meditation tool).

Offboarding Data

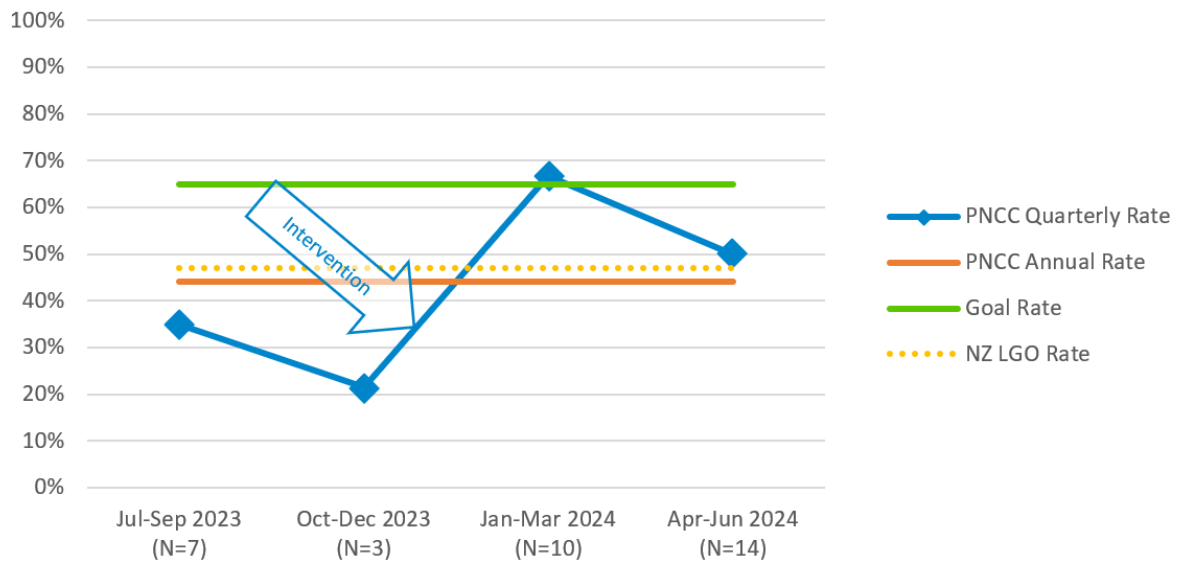
1.7 Due to feedback from the Risk & Assurance committee this section has seen some changes, made below. The offboarding data represents the number of people that have completed the survey, not the number of people who have left.

Offboarding Survey Results



1.8 The Offboarding Survey Results graph presents the reasons that people choose to leave Council. People may choose more than one reason for leaving in the survey and these reasons are included in the first graph above. For example, while there is a total of 86 reasons recorded in the above graph over the last year, there has only been 34 completed offboarding surveys (as detailed in the Offboarding Survey Response Rate graph below). The most common reason for someone to leave Council over the last 12 months is Career Development Opportunity, followed by Salary/Renumeration.

Offboarding Survey Response Rate



1.9 The Offboarding Survey Response rate above presents the quarterly response rate, as well as the total number of responses received each quarter. This graph also includes both the New Zealand Local Government (LGO) response rate for exit surveys and our Council goal response rate. The graph above indicates that over the last quarter there was a response rate of 50% in the offboarding survey. While this is a decrease from the previous quarter it is still higher than the New Zealand Local Governance average response rate for exit surveys of 47%. The intervention mentioned in the above graph was initiated when it was identified that the response rate was low and involved restructuring the process so that leavers would receive the survey in a timelier manner and not miss the opportunity to share feedback.

Turnover – Employee initiated

| Year | 18/19 | 19/20 | 20/21 | 21/22 | 22/23 | 23/24 |
|--------|-------|-------|-------|-------|-------|-------|
| Number | 67 | 85 | 120 | 123 | 114 | 95 |
| % | 12.0% | 14.1% | 20.9% | 19.8% | 18.8% | 14.6% |

| 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% |
| Apr 24 | 11 | 94 | 14.7% |
| May 24 | 7 | 94 | 14.5% |
| Jun 24 | 9 | 95 | 14.6% |
| Jul 24 | 6 | 91 | 14.0% |

Turnover by Unit (12 months to March 2024)

| | | |
|----------------------|----|-------|
| Chief Executive Unit | 4 | 12.9% |
| Customer | 32 | 13.3% |
| Finance | 6 | 17.6% |
| Infrastructure | 45 | 17.3% |
| People & Performance | 5 | 7.8% |
| Strategy & Planning | 2 | 9.8% |
| 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 | Jun 24 |
|--------------|--------------|--------------|--------|--------|--------|--------|--------|--------|
| 233.6 | 379.6 | 325.8 | 257 | 263 | 358 | 180.53 | 257.7 | 405.2 |

- 1.12 The above lost time includes non-work injuries. The number of days lost due to work accidents is 115.3 or 35.9% of all lost time due to accidents.
- 1.13 The number of lost days is significantly higher in this quarter, due to non-work related accidents.
- 1.14 Recruitment continues to improve compared to the previous 2-3 years as the employment market favours employers.

2. BACKGROUND

- 2.1 Wellbeing is interconnected with a variety of individual and systemic factors which makes it a difficult area to report on. The above metrics have been recorded with that in mind.
- 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.
- 3.2 Further review of appropriate wellbeing spaces at different Council sites will be undertaken over the next quarter. This information will be provided to General Manager Customer & Community.
- 3.3 As the next report to Risk & Assurance Committee will cover the start of a new financial year, the Employee Experience and People Operations teams will take the opportunity to further develop the report to provide meaningful information to the Risk & Assurance Committee.

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 objectives? | No |
| Are the recommendations inconsistent with any of Council's policies or plans? | No |
| <p>The recommendations contribute to the achievement of objective/objectives in:</p> <p>14. Mahere mana urungi, kirirarautanga hihiri</p> <p>14. Governance and Active Citizenship Plan</p> <p>The objective is: N/A</p> | |
| 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: 11 September 2024

TITLE: Strategic Risk Management Reporting April to June 2024 (Quarter 4)

PRESENTED BY: Stephen Minton, Risk Management Advisor

APPROVED BY: Cameron McKay, General Manager Corporate Services

RECOMMENDATIONS TO RISK & ASSURANCE COMMITTEE

1. That the Committee receive the following strategic risk assessments:
 - Strategic Risk 2: Failure to deliver on key projects and programmes
 - Strategic Risk 3: Failure to manage and protect Council information (Confidential)
 - Strategic Risk 4: Climate change effects and adaptation
 - Strategic Risk 7: Failure to attract and retain staffand the Strategic Risk Dashboard (section 7.2).
-

1. ISSUE

- 1.1 The Council agreed the eleven strategic risk statements presented to the Risk & Assurance Committee on 6 March 2024. The assessments of the first two strategic risks were presented to the Committee on 22 May 2024. This memorandum presents the next four as prepared by Officers.

2. BACKGROUND

- 2.1 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).
- 2.2 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.
- 2.3 General Managers, as the risk owner, have agreed individual strategic risk assessments and Senior Leadership Team have collectively agreed to the strategic risk assessments.

3. STRATEGIC RISK 2: FAILURE TO DELIVER ON KEY PROJECTS AND PROGRAMMES

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

4. STRATEGIC RISK 3: FAILURE TO MANAGE AND PROTECT COUNCIL INFORMATION (CONFIDENTIAL)

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

5. STRATEGIC RISK 4: CLIMATE CHANGE EFFECTS AND ADAPTATION

5.1 The assessment of this strategic risk is attached as Attachment 3.

5.2 Previous articulation of risk description has been changed to exclude non-climate change related matters, which will be dealt with under asset management risks (Strategic Risk 10) and disruption to Council's continuity of services (Strategic Risk 9).

6. STRATEGIC RISK 7: FAILURE TO ATTRACT AND RETAIN STAFF

6.1 The assessment of this strategic risk is attached as Attachment 4.

7. STRATEGIC RISK DASHBOARD

7.1 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.

7.2 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 11 SEPTEMBER 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 | Extreme | Medium | Medium |
| Risk 3: Failure to manage and protect Council information | Extreme | High | Medium |
| Risk 4: Climate change effects and adaptation | Extreme | High | 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 |

8. NEXT STEPS

- 8.1 Remaining strategic risks will be assessed and presented to the Committee as they are completed and as scheduling permits.
- 8.2 All strategic risks are subject to iterative reviews. Outcomes of reviews will be presented to the Committee.
- 8.3 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.

9. 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 objectives? | Yes |
| Are the recommendations inconsistent with any of Council's policies or plans? | No |
| The recommendations contribute to: All goals | |
| The recommendations contribute to the achievement of objective/objectives 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 2: Failure to deliver on key projects and programmes [!\[\]\(750841ae7100dc832cb0a4b3af4492f3_img.jpg\)](#) [!\[\]\(78e449f8a1164b81ecbd00cd97498e27_img.jpg\)](#)
2. Strategic Risk 3: Failure to manage and protect Council information - **Confidential**
3. Strategic Risk 4: Climate change effects and adaptation [!\[\]\(9931ff4a747d4e6edc8cfe9a6d936949_img.jpg\)](#) [!\[\]\(d06bd4b5386b5ebdee91452b0403e593_img.jpg\)](#)
4. Strategic Risk 7: Failure to attract and retain staff [!\[\]\(9d34d65b16d32217c6053ef2fa9fa514_img.jpg\)](#) [!\[\]\(dd255690041a8abf54ed85ffd3c0a03c_img.jpg\)](#)

Strategic Risk No. 2: Failure to deliver on key projects and programmes

Date: 11/09/24

Group Owner: General Manager Infrastructure

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

Overview

Risk Description: Inadequate ability to or ineffectual delivery of the infrastructure for the long-term (30+ years) needs to the city, constraining delivery of essential services and ultimately multi-faceted failure of the goals of the city.

Implications: Council failure to deliver major infrastructure for the city will have significant long-term negative implications on essential (public good) levels of service and facilities for the residents. This will lead to significant public disquiet and reputational damage. In serious scenarios, breaches of legislated requirements are likely and worst-case, appointment of Commissioners.

Control Environment: The capital delivery environment is subject to both internal and external factors which impact the deliverability of the capital works programme. Most external constraints and risks can be mitigated, either wholly or partly, through internal controls to ensure successful continued delivery of the works programme.

Conclusion & Action Plan/Considerations

Conclusion: Delivery of infrastructure programmes and projects can be a fraught activity where many events can quickly result in best laid plans unravelling. While not having knowledge of the unknown can be a cause of an event, programme management relies significantly on knowledge of assets attributes as well as robust processes, procedures and standards. These are reasonably well understood and exhibited however many pockets have some way to go to achieve best practise industry standards.

Action Plan: Management have identified areas where improvements are needed to ensure a more robust programme and project delivery regime is achieved. These centre principally around understanding asset data and its management, and the application of industry standards and robust, best practises processes and procedures. These areas are improving through continuous improvement programmes.

Key Controls and Mitigations Summary

| Category | Key Controls | Control Rating | Control Reliance | Action Plan/Considerations |
|---|--|---------------------|------------------|--|
| Project Management | <ul style="list-style-type: none"> ➤ Adequately resourced Project Management division. Other officers undertaking project management provided adequate training and tools. ➤ Tools for identifying and managing risks, contracts, information and projects. ➤ End to end processes, including lessons learnt reviews, for project management. All meeting best practise from inception to completion. | Partially Effective | Very High | <ul style="list-style-type: none"> ➤ Completion of Service Now Project Management Tool implementation and PMO improvement plan. Effective variation and changed management processes. ➤ Forward programming and right sizing delivery expectations prior to commencement of projects. ➤ Realignment of “project management” activities from Contract Management into Project Management Office and Procurement. |
| Design Panel | <ul style="list-style-type: none"> ➤ Dedicated technical expertise within formalised Design Panel. ➤ Peer reviews and technical assurance. ➤ Robust procedures, including technical hold sign off points. | Effective | High | <ul style="list-style-type: none"> ➤ Realistic design timelines established early in the project to avoid a clash with construction budgets and delays in planned construction. ➤ Project management practices and principles used for design projects or phases to ensure they are managed appropriately and delivered on time, within budget and with benefits realisation. ➤ Post implementation plan of designs review process and quantity survey and engineering standards. |
| Contract Management | <ul style="list-style-type: none"> ➤ Engineering requirements managed under contract, as well as change, cost and time implications, technical specifications and testing and quality requirements. Practical and Final Completion Certificate and Retention Release Certificate management. ➤ Application of contract management principles end to end. | Partially Effective | High | <ul style="list-style-type: none"> ➤ Ongoing development/adoption/rollout of NZS documents, management thereof and library. ➤ Risk based approach is taken to establish key roles within a contract including, for example, Independent Certifier, Contract Administrator and Project Manager. ➤ Improvements to project claims processes to ensure contract obligations are being met. |
| Infrastructure Strategy and Asset Management Plans | <ul style="list-style-type: none"> ➤ Infrastructure Strategy and Palmerston North Integrated Transport Initiative with 30-year time horizon driven by growth forecasts and changing societal needs. ➤ Asset Management Plans driven by requirements for supporting growth, levels of service and capacity, managing deteriorating condition of assets. ➤ Future Development Strategy providing direction on future growth and infrastructure. | Partially Effective | Very High | <ul style="list-style-type: none"> ➤ Ongoing improvement in asset management practise delivery under Asset Management Improvement Plan. ➤ Improve business case process, including through AMPs to drive programme justification. ➤ Improving alignment between AMP and project objectives. |
| Asset Data | <ul style="list-style-type: none"> ➤ Dedicated industry standard asset management platforms ➤ Data rules, quality standards/specifications and definitions ➤ Multi-year, iterative Asset Management Improvement Plan. | Ineffective | High | <ul style="list-style-type: none"> ➤ Ongoing Asset Management Improvement Plan actions. ➤ Data checks, audits and cleansing. |
| Completion Information | <ul style="list-style-type: none"> ➤ Completion documentation, including application of engineering standards with life expectancy, warranties, operations and maintenance manuals and as-built plans. | Ineffective | Medium | <ul style="list-style-type: none"> ➤ Increase rigor around closing of all completion information/documentation. ➤ Monitoring asset data (completion data) workflows. |
| Procurement | <ul style="list-style-type: none"> ➤ Dedicated procurement tools, processes and guidelines, all managed through procurement portal. ➤ Open, transparent, broad tendering processes, including through NZ Government Electronic Tender Service (GETS). | Effective | High | <ul style="list-style-type: none"> ➤ Ongoing training and compliance. Quality assurance programme development. ➤ Procurement planning completed in advance of projects, driven by required construction start dates. Procurement plans to consider type of procurement, contractor lead in time and whether a council report is required. Include Procurement Strategy development. ➤ Improve alignment with NZTA to ensure funding conditions precedent compliance. |
| Engineering Standards | <ul style="list-style-type: none"> ➤ Application of PNCC Engineering Standards for Land Development and its supplements | Effective | High | <ul style="list-style-type: none"> ➤ Completion information process improvement. |
| Changing External Context (Increasing Costs, Contractor Availability) | <ul style="list-style-type: none"> ➤ Contingencies built into budgets, including higher contingencies in price escalating environment. ➤ Supplier relationship management and overall supply chain strategy. | Partially Effective | High | <ul style="list-style-type: none"> ➤ Build out processes for lessons learnt. ➤ Rules based contingencies. ➤ Ongoing management of supplier relationships in line with supplier strategy. |
| Growth Forecasting | <ul style="list-style-type: none"> ➤ Long term population growth forecasting, including household size, ethnicity. ➤ Household and business needs assessments. | Effective | High | <ul style="list-style-type: none"> ➤ On-going three yearly iterative reviews. Use planning mechanisms from outputs for programme prioritisation. |
| Financial Forecast Governance and Oversight | <ul style="list-style-type: none"> ➤ Contingencies built into budgets. ➤ Timely, periodic forecasting. ➤ Regular programme governance with Infrastructure leadership and Finance. | Partially Effective | High | <ul style="list-style-type: none"> ➤ Completion of Service Now Project Management Tool. ➤ Capital Programme Delivery Plan. ➤ Intrusive oversight through Infrastructure Governance Group. ➤ Risk management practices undertaken for projects in project planning phase. |

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. |
| 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. 4: Climate Change Effects and Adaptation

Date: 11/09/24

Group Owner: General Manager Strategic Planning

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

Overview

Risk Description: Unforeseen, unplanned, unbudgeted or lack of resilience to climate change (or related natural events) adaption requirements leads to significant change in direction of city growth, dynamics, economy, financial stability or ability to achieve long term goals. These events, which impacts the community, takes unplanned and expensive corrective action and / or results in harm to public health, negative Council image & legal and financial consequences.

Implications: Council faces significant risk from the effects of more frequent and severe climate change related natural disasters, including the costs associated with building resilience against them, and ongoing increases in stress on existing infrastructure. Poorly managed, the outcomes could be near catastrophic to the long-term success of the city.

Control Environment: The uncertainty in the degree of the impacts from climate change (and related natural events) and the cost of adaptation, in conjunction with legacy control settings, introduces greater uncertainty and therefore risk in this sphere. As more detailed and specific predictive models are developed, maintaining capacity to implement proactive control and mitigation strategies will be a challenge. In such scenarios, currently accepted levels of service will continue to become increasingly expensive propositions that the City needs to reconcile with.

Conclusion & Action Plan/Considerations

Conclusion: While there is general recognition of some of the issues the City faces, many potential remediation matters have only had a partial, superficial assessment and significant work is needed to get to a stronger overall position. This will require not just the financial resources to ensure agreed actions can be delivered, but also a strong commitment from both governance and management bodies to ensure long-term strategic objectives are prioritised appropriately.

Action Plan: Controls and mitigations are in their infancy in some areas. A commitment to ensuring that the way matters are dealt with intrinsically include appropriate adaptation and mitigation strategies is essential. Management needs to ensure climate impacts within or affecting individual programmes have a clear ownership and a defined path forward. If not taken forward, there must be a well-reasoned rationale as to why not. Individual project monitoring and reporting to senior management will be a key part of this journey.

Key Controls and Mitigations Summary

| Category | Key Controls | Control Rating | Control Reliance | Action Plan/Considerations |
|---|---|---------------------|------------------|---|
| District and Regional Plans | <ul style="list-style-type: none"> ➤ Flood risk and surface water flow maps connected to specific catchments, and liquefaction and geotechnical assessments ➤ Planning for avoidance (e.g. managed retreat), mitigation (e.g. shade planting) or resilience (e.g. personal emergency planning) to future climate impacts ➤ Asset planning for avoidance, mitigation and resilience to damage from predicted climate impacts (including regular updates) | Partially Effective | Very High | <ul style="list-style-type: none"> ➤ Update statistical data for flood modelling at a local and catchment scale ➤ Periodic reviews to ensure climate change impacts are included in flood response plans ➤ Consideration of climate future-proofing in District Plan changes (e.g. Plan Change "I") ➤ Include predicted changes over time (including to risk of infrequent extreme events) in asset planning and upgrade/maintenance scheduling |
| Green Space Management | <ul style="list-style-type: none"> ➤ Ensure existing green spaces take account of future climate impacts (e.g. drought) ➤ Adaptation to provide outcomes including flood resilience (e.g. sponge city principles) | Ineffective | Medium | <ul style="list-style-type: none"> ➤ Investigate storm water management opportunities in public open spaces ➤ Review citywide vegetation framework |
| Resilience potable water | <ul style="list-style-type: none"> ➤ Spread of water infrastructure (e.g. bores or water tanks) to provide city-wide resilience ➤ Planned water use management/reduction measures including activation triggers ➤ Aquifer monitoring (e.g. through bore pressure testing) | Effective | High | <ul style="list-style-type: none"> ➤ City wide aquafer mapping ➤ Providing water to areas without bores during drought (see below) |
| Storm Water Management (Local Rainfall) | <ul style="list-style-type: none"> ➤ Sponge city principles and mitigation requirements for new impermeable surfaces ➤ Future proofing three waters asset modelling for future development (including infill) ➤ Continuous review of existing infrastructure capacity against predicted impacts ➤ Storm water Engineering Standards for Land Development | Ineffective | High | <ul style="list-style-type: none"> ➤ Embed new NIWA statistical data into models and projections ➤ Develop city wide stormwater strategy including existing and required capacity mapping ➤ Develop and implement guidance and controls over new impermeable surfaces/runoff in private development and public asset design |
| Storm Water Management (Rivers & Streams) | <ul style="list-style-type: none"> ➤ Engagement with upstream neighbours on catchment scale water management ➤ Zoning to avoid future high-risk areas (See District and Regional Plans) ➤ Appropriate sizing of flood defences, and future strategies for changing requirements ➤ Vegetation planting to reduce flow rates and infiltration away from critical assets ➤ Engineering standards designed to projected future events for bridges and bank scour | Ineffective | High | <ul style="list-style-type: none"> ➤ Ongoing engagement with Horizons, MDC and TDC ➤ Update statistical data for flood modelling to include future projections ➤ Periodic reviews to ensure climate change impacts included in scoping and decision making ➤ Changes to the District Plan (e.g. Plan Change "I") to consider climate future-proofing ➤ Riparian planting plans and alternate flow path design |
| Drought | <ul style="list-style-type: none"> ➤ Enable switching between dam and bore sources ➤ Planned and socialised water use management measures ➤ Drought resistant public planting and evaporation prevention measures ➤ Resilience to heat related impacts (e.g. ground shrinkage and road surface damage) ➤ Appropriate fire brakes and emergency planning in forestry blocks | Partially Effective | High | <ul style="list-style-type: none"> ➤ City wide aquafer mapping ➤ Scoping reversible pump for in-pipe hydro generation and to refill dams if needed ➤ Water storage and transmission at high use or isolated locations (e.g. farms) ➤ Inclusion of predicted climate impacts in engineering assessments ➤ Future-proofing forestry fire prevention plans |
| Carbon Emissions | <ul style="list-style-type: none"> ➤ Carbon accounting in decision making (e.g. Council reports) projects and procurement ➤ Education and behaviour change (internally and with the wider city) | Partially Effective | Low | <ul style="list-style-type: none"> ➤ Ongoing provisions under Low Carbon Fund ➤ Ongoing education and behaviour changes programmes |
| Public Health | <ul style="list-style-type: none"> ➤ Provision of passive cooling (e.g. shade and/or standing water) in 'heat island' locations ➤ Resilience of potable water provision ➤ Pest control (reactive and proactive) | Ineffective | Low | <ul style="list-style-type: none"> ➤ Heat mapping and development of mitigation plans ➤ Review of the Citywide Vegetation Framework ➤ Ongoing pest control measures |
| Economic and Political Impacts | <ul style="list-style-type: none"> ➤ Insurance for climate related events ➤ Energy conversion assessments ➤ Goal 4 measures and targets | Partially Effective | Medium | <ul style="list-style-type: none"> ➤ Review cost benefit analysis of insurance cover levels ➤ Climate change related assessments in future planning ➤ Reports to Council should consider long term impacts on climate change related risks |

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. |
| 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. 7: Failure to Attract and Retain Staff

Date: 11/09/24

Group Owner: General Manager People and Capability

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

Overview

Description: Inability to attract sufficient capable talent and retain due to poor employee value proposition and/or poor organisational cultural reputation.

Implications: Council's most valuable resource is its people, without whom there would be no deliverables. Attracting and retaining the right people long term adds significantly to the productivity of the organisation.

Control Environment: Few of the controls and mitigations are in their final state of maturity to be able to bring their full potential to bear. A number are well advanced, and save any unforeseen budgetary constraints are headed towards an effective setting. However, a number, including longer term initiatives, still have some way to go to achieve a more mature and acceptable control state.

Conclusion & Action Plan/Considerations

Conclusion: The Council has made steps to improve the employee value proposition with a recently rolled out remuneration system as well as setting the stage to move forward more effectively with employee engagement and wellbeing initiatives. Talent attraction has moved to an effective state recently. While some are still in their infancy, with some to get underway, the understanding and recognition of the need for such sets the organisation up for more success if the commitment is made to carry through to fruition. Turnover continues to drop, in part due to internal context improvements as well as market driven dynamics.

Action Plan: Several 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

| Causes | Key Controls | Control Rating | Control Reliance | Action Plan/Considerations |
|---|--|---------------------|------------------|--|
| Remuneration | <ul style="list-style-type: none"> ➤ Fit for purpose remuneration system which includes: <ul style="list-style-type: none"> ○ Clear, effective framework for job profile creation and review ○ Annual market review of salaries by independent outside agencies ○ Effective evaluation process for new or changed roles ○ Clear, transparent and effective periodic salary review process ○ Measurable performance measures. | Effective | Very High | <ul style="list-style-type: none"> ➤ Build out performance expectations that are measurable, realistic and achievable for roles across the Organisation. |
| Communication | <ul style="list-style-type: none"> ➤ Non-monetary offerings, including multiple leave offerings, in-kind services, development opportunities and support, hybrid working. | Partially Effective | Very High | <ul style="list-style-type: none"> ➤ Additional work required around messaging/communication EVP. |
| Career Management/ Performance Enablement | <ul style="list-style-type: none"> ➤ Career management (key engagement driver) through: <ul style="list-style-type: none"> ○ Competent and confident managers/leaders in delivery of framework ○ Creation of coaching and learning orientated environment ○ Clearly defined technical and non-technical skills ○ Effective performance enablement discussions ○ Personal development plans ○ Retention planning ○ Succession planning | Ineffective | High | <ul style="list-style-type: none"> ➤ Creation and rollout of career development framework and practises ➤ Performance Enablement Framework rollout. |
| Wellbeing | <ul style="list-style-type: none"> ➤ Provision of support and counselling services | Effective | High | <ul style="list-style-type: none"> ➤ Ongoing support |
| | <ul style="list-style-type: none"> ➤ Psychosocial risk framework with identified mitigation actions. | Partially Effective | High | <ul style="list-style-type: none"> ➤ Psychosocial risk management framework development and implementation needs to continue to fruition. |
| Change Management | <ul style="list-style-type: none"> ➤ Change capability to ensure officers supported and brought along on the development and change journey. Build leadership capability, develop officer proficiency, and provide clear support and ownership of change ownership. | Partially Effective | High | <ul style="list-style-type: none"> ➤ Ongoing development of good change management process framework required along with implementation of change management in all activities. |
| Training | <ul style="list-style-type: none"> ➤ Training needs assessment framework along with fit for purpose training capture platform ➤ Suite of training propositions and material. | Partially Effective | High | <ul style="list-style-type: none"> ➤ Broad corporate training programme needs ongoing development (Learning and Development strategy). |
| Culture and Values | <ul style="list-style-type: none"> ➤ Clear, understood and connected values representing cross cultural environment embedded in the Organisation. | Partially Effective | Medium | <ul style="list-style-type: none"> ➤ Continue work of values description, rollout and embedding through the Poutāhū Reference Group. |
| Feedback | <ul style="list-style-type: none"> ➤ Undertake periodic surveys from employees and include feedback loop and monitoring. | Partially Effective | Medium | <ul style="list-style-type: none"> ➤ Continue Tuia te Whakaaro survey ➤ Ensure process in place for measurement and socialisation of survey results ➤ Ensure feedback loop is effective and any actions are monitored and closed. |
| Talent Attraction | <ul style="list-style-type: none"> ➤ Fit for purpose broad talent communication, identification and attraction practise. | Effective | High | <ul style="list-style-type: none"> ➤ Broaden articulation around, and therefore attraction of, more inclusivity in activities ➤ Building talent pool and ensure its effectiveness and fit for purpose |
| Onboarding and Offboarding | <ul style="list-style-type: none"> ➤ Systematic, seamless documented onboarding processes and record retention ➤ Systematic process for offboarding and exit survey/interviews with feedback loop. | Partially Effective | Medium | <ul style="list-style-type: none"> ➤ Documented, effective procedures for onboarding and offboarding. ➤ Actionable feedback from offboarding. |

Legend

| Risk Ratings | Definition |
|-----------------------|--|
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| Effectiveness Rating | Level of protection/mitigation |
|----------------------------|--|
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| 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 |
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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: 11 September 2024

TITLE: Committee Work Schedule

RECOMMENDATION TO RISK & ASSURANCE COMMITTEE

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

| COMMITTEE WORK SCHEDULE – SEPTEMBER 2024 | | | | |
|--|---|-------------------------------------|-------------------|---------------------------------------|
| September 2024 | Fraud and Whistleblowing Policy Quarterly Update (Q4 April to June 2024) | General Manager Corporate Services | Nothing to report | 26 April 2023 Clause 12-23 |
| September 2024 | Strategic Risk Management Reporting (Q4 April to June 2024) | General Manager Corporate Services | | Terms of Reference |
| September 2024 | Health & Safety Quarterly Update (Q4 April to June 2024) | General Manager People & Capability | | |
| September 2024 | Wellbeing Quarterly Update (Q4 April to June 2024) | General Manager People & Capability | | |
| October 2024 | Review Annual Report | General Manager Corporate Services | | Terms of Reference |

| | | | | |
|----------------|--|-------------------------------------|------------------------------------|--|
| | | | | |
| November 2024 | Fraud and Whistleblowing Policy Quarterly Update (Q1 July to September 2024) | General Manager Corporate Services | | 26 April 2023 Clause 12-23 |
| November 2024 | Business Assurance six-monthly accountability report | General Manager Corporate Services | | Finance and Audit Committee 16 December 2020 Clause 68.2 |
| November 2024 | Review of Contract Management Framework | General Manager Corporate Services | | 26 April 2023 Clause 2-23 |
| November 2024 | Health & Safety Quarterly Update (Q1 July to September 2024) | General Manager People & Capability | | |
| November 2024 | Wellbeing Quarterly Update (Q1 July to September 2024) | General Manager People & Capability | | |
| TBC | Local Water Done Well 3 Waters Transition - Assets and Liability Assessment | General Manager Corporate Services | Pending regional CCO investigation | |
| Feb/March 2025 | Annual review of Council's Risk Management Appetite and Tolerance Levels | General Manager Corporate Services | | 6 March 2024 Clause 4-24 |
| 2025 | Review of Legal Compliance Framework | General Manager Corporate Services | | 26 April 2023 Clause 2-23 |

| | | | | |
|------|---|--|--|------------------------------|
| 2025 | LTP Debrief | General Manager Corporate Services | | 6 March 2024 Clause 11-24 |
| 2025 | Review of Health & Safety Framework | General Manager Corporate Services | | 6 March 2024 Clause 11-24 |
| 2025 | Review of Cyber Security | General Manager Corporate Services | | 6 March 2024 Clause 11-24 |

Proactive Release of Confidential Decisions

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