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**ORDINARY MEETING**

**OF**

**FINANCE, AUDIT AND RISK MANAGEMENT SUBCOMMITTEE**

**AGENDA**

**Time:** 9:30am  
**Date:** Tuesday, 17 September 2019  
**Venue:** Ngake (16.09)  
Level 16, Tahiwī  
113 The Terrace  
Wellington

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**MEMBERSHIP**

Mayor Lester  
Councillor Calvert  
Councillor Foster (Chair)  
Councillor Free  
Peter Harris (External)  
Phillippa Smith (External)  
Roy Tiffin (External)

**Have your say!**

*You can make a short presentation to the Councillors at this meeting. Please let us know by noon the working day before the meeting. You can do this either by phoning 04-803-8334, emailing [public.participation@wcc.govt.nz](mailto:public.participation@wcc.govt.nz) or writing to Democracy Services, Wellington City Council, PO Box 2199, Wellington, giving your name, phone number, and the issue you would like to talk about.*

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## **AREA OF FOCUS**

The Finance, Audit and Risk Management Subcommittee provides objective advice and recommendations regarding the sufficiency, quality and results of assurance on the adequacy and functioning of the council's financial processes, risk management, control and governance frameworks and processes. It is also responsible for exercising active oversight of all areas of the Council's control and accountability in an integrated and systematic way.

The Finance, Audit and Risk Management Subcommittee has responsibility for assisting the Council to discharge its responsibilities for:

- the robustness of the internal control framework and financial management practices;
- the integrity and appropriateness of internal and external reporting and accountability arrangements;
- the robustness of risk management systems, processes and practices;
- the independence and adequacy of internal and external audit functions;
- compliance with applicable laws, regulations, standards and best practice guidelines; and
- the establishment, maintenance and effectiveness of controls to safeguard the Council's financial and non-financial assets.

In fulfilling their role on the Finance, Audit and Risk Management Subcommittee, members shall be impartial and independent at all times.

**Quorum:** 3 members (at least one external member must be present for a quorum to exist).

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**TABLE OF CONTENTS**  
**17 SEPTEMBER 2019**

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<b>Business</b>	<b>Page No.</b>
<b>1. Meeting Conduct</b>	<b>5</b>
1.1 Apologies	5
1.2 Conflict of Interest Declarations	5
1.3 Confirmation of Minutes	5
1.4 Items not on the Agenda	5
1.5 Public Participation	5
<b>2. General Business</b>	<b>7</b>
2.1 Health & Safety Report	7
<b>3. Public Excluded</b>	<b>23</b>
3.1 Te Aho Marutau   Internal Audit Report for the year ended 30 June 2019	23
3.2 Draft Annual Report 2018/19	23
3.3 Legal Update	24
3.4 Risk Management Update	24
3.5 Status of Internal Audit Findings	24
3.6 Insurance Reserve Fund Performance	25
3.7 Council Debtor Report	25
3.8 Project Governance Update	26



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## **1. Meeting Conduct**

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### **1.1 Apologies**

The Chairperson invites notice from members of apologies, including apologies for lateness and early departure from the meeting, where leave of absence has not previously been granted.

### **1.2 Conflict of Interest Declarations**

Members are reminded of the need to be vigilant to stand aside from decision making when a conflict arises between their role as a member and any private or other external interest they might have.

### **1.3 Confirmation of Minutes**

The minutes of the meeting held on 12 June 2019 will be put to the Finance, Audit and Risk Management Subcommittee for confirmation.

### **1.4 Items not on the Agenda**

The Chairperson will give notice of items not on the agenda as follows.

***Matters Requiring Urgent Attention as Determined by Resolution of the Finance, Audit and Risk Management Subcommittee.***

The Chairperson shall state to the meeting:

1. The reason why the item is not on the agenda; and
2. The reason why discussion of the item cannot be delayed until a subsequent meeting.

The item may be allowed onto the agenda by resolution of the Finance, Audit and Risk Management Subcommittee.

***Minor Matters relating to the General Business of the Finance, Audit and Risk Management Subcommittee.***

The Chairperson shall state to the meeting that the item will be discussed, but no resolution, decision, or recommendation may be made in respect of the item except to refer it to a subsequent meeting of the Finance, Audit and Risk Management Subcommittee for further discussion.

### **1.5 Public Participation**

A maximum of 60 minutes is set aside for public participation at the commencement of any meeting of the Council or committee that is open to the public. Under Standing Order 3.23.3 a written, oral or electronic application to address the meeting setting forth the subject, is required to be lodged with the Chief Executive by 12.00 noon of the working day prior to the meeting concerned, and subsequently approved by the Chairperson.

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Requests for public participation can be sent by email to [public.participation@wcc.govt.nz](mailto:public.participation@wcc.govt.nz), by post to Democracy Services, Wellington City Council, PO Box 2199, Wellington, or by phone at 04 803 8334, giving the requester's name, phone number and the issue to be raised.

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## 2. General Business

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### HEALTH & SAFETY REPORT

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#### Purpose

1. This report asks the Finance, Audit and Risk Management Subcommittee to review the Council's health and safety performance for the period 1 July 2018 to 30 June 2019 and including the activities for the period 1 April 2019 to 30 June 2019.
2. The Report provides information that aligns with the Officer due diligence steps under the Health and Safety at Work Act 2015 (HSWA), specifically having:
  - Knowledge of work health and safety matters
  - An understanding of the nature of operations and the hazards and associated risks
  - Appropriate resources and processes to eliminate or minimise risk
  - Appropriate resources to receive and consider information
  - Verification of the provision and use of resources and processes
  - Processes for compliance with duties or obligations under HSWA.

#### Summary

3. This report comprises qualitative commentary on activities that have occurred in the last twelve months, and are presented in three categories;
  - Risks
  - Relationships
  - Resources.
4. The June 2019 End of Year Dashboard (Attachment 1) provides quantitative lead and lag indicators. Lag indicators are backward looking and relate to incidents, hazard source, incident profiles and risk assessment. The lead indicators as reported in the Dashboard are positive performance indicators that measure activities within Council that promote the Council's health and safety systems and practices.

This style of reporting is based on the Business Leader's Health and Safety Forum: 'Monitoring what matters in Health and Safety' – a guide for CEOs, which was published in May 2016. The Council is a member of the Business Leader's Forum.

#### Recommendation/s

That the Finance, Audit and Risk Management Subcommittee:

1. Receive the information.
2. Recommend to the City Strategy Committee to receive the information on the 24<sup>th</sup> September.

## Risks

### Risk Profiles

5. The Council's Safety, Security and Wellbeing team focusses on the Council's top nine priority hazard/risk controls, as presented to FARMs in September 2018. The top nine are identified as key components of the 2018/20 Safety, Security and Wellbeing plan.

Category	ELT Lead
Personal Confrontation	Nicola Brown
Work at Height	Kevin Lavery
Vehicle Traffic Mobile Equipment	Barbara McKerrow
Health and Impairment	Stephen McArthur
Asset Failure	Andy Matthews
Work with or in the Vicinity of Services	Moana Mackey (Acting ELT Member)
Extreme Natural Events	Moana Mackey (Acting ELT Member)
Work Related Health Hazards	Nicola Brown
Ignition Sources	Hayley Evans

### Specific Areas of Risk

6. The following summarises key pieces of work that have occurred in the last twelve months as the Council continue to manage the risks associated with specific hazard categories. This work is both good health and safety practice and assists the Council to meet our legal obligations under the Health & Safety at Work Act 2015 (HSWA).

#### Risk Category: Hazardous Substances

7. During the year the Council's Safety, Security and Wellbeing team, working alongside staff from the business, undertook a review of the Council's various sites to identify any changes needed to ensure the Council conforms with the Health & Safety at Work Act (Hazardous Substances) Regulations 2017. High risk observations were attended to immediately and recommendations are being monitored for completion. During 2019/20 an audit will be undertaken to ensure that the recommendations have been implemented. In addition, in support of staff, online training on managing hazardous materials has been provided.

#### Risk Category : Dust Asbestos Silica

8. To comply with the Health and Safety at Work (Asbestos) regulations 2016, the Council has continued the programme of work on Council-owned assets that require identification and management of asbestos. Note that all high risk properties have been surveyed and any immediate remedial work has been undertaken and the properties that remain in the programme have been assessed as low risk to occupants.

#### Bowtie Risk Assessments

9. Three bowtie risk assessments have been undertaken and were reported during the year including Work with or in the Vicinity of Services (Dec 2018), Other Mobile Equipment (Dec 2018), and Traffic and Pedestrian Movement (June 2019). All three risk



profiles assessed have combinations of controls that are either fully in place and working or partially in place. Where the controls are partially in place, they have been added to the Safety Security and Wellbeing team's annual work programme to improve the control environment and further reduce the risk.

**Strategic Risk – H&S Capability: 'Nasty nine'**

10. The Safety, Security and Wellbeing team developed a bowtie assessment for the Strategic Risk – H&S Capability: 'Nasty Nine (Risk Assurance June 2019 FARMs report). The Assessment provides an overall assessment based on the effectiveness of controls in place for the management of each of the Council's Nasty Nine Hazards. There were no surprises during its development as the areas for improvement are individually reflected in the Council's already developed Bowtie risk assessments for the Council's Nasty Nine Hazards.

**Health and Safety Reviews**

11. A Safeplus Review (March 2019 FARMs Report) was undertaken with its primary aim to lift the performance of workplace health and safety. The review focussed on three main areas including Leadership for Health & Safety, Worker Engagement, and Risk Management. The Council's overall performance was assessed as performing with a number of specific areas assessed as Leading. The twelve recommendations for improvement are being monitored for completion.

**Health and Safety Assurance**

12. The Safety, Security and Wellbeing team developed a Health and Safety Assurance Framework document aligned to the Council's Assurance Framework (June 2019 FARMs report). The document has provided the team and organisation with an easy visual in which to engage with applicable stakeholders to understand what Health and Safety assurance activity is undertaken and provided within specific assurance areas i.e. day to day operations, strategic and priority risk categories, culture and other on-going assurance activities; and, in relation to assurance framework 'Lines of Defence'.

**Critical Hazard Collaboration Group**

13. During the year, the Safety Security and Wellbeing team initiated a Critical Hazard Collaboration group with the purpose of key influencers internally and externally, working together to better understand and recognise opportunities to improve how we manage our top nine hazards through innovation, information sharing and process improvement. The group have met once to discuss the 'Working at Heights' hazard and will continue to meet every two months to discuss one of the Council's top nine hazards.

**Incident Investigations**

14. In this twelve month reporting period two incidents were of a serious nature that has required a full investigation to be undertaken. One investigation is yet to be completed and reported.

The one incident that has been completed and reported has been presented to the Council's Health and Safety Steering Group and through to FARMs in March 2019. Organisational factors and failed hazard controls were identified during the

investigation and appropriate actions assigned and agreed. The table below provides a brief description of the reported incident investigation.

<b>Hazard Category</b>	<b>Person Involved</b>	<b>Description</b>	<b>Business Unit</b>
Personal Confrontation	Tenancy Advisor	Assault on Tenancy Advisor by Tenant during planned visit	City Housing

Reporting on the monitoring of completed actions for all investigations is provided to the Council's Health and Safety Steering Group

**15. Local Government Official Information and Meetings Act 1987 (LGOIMA)**

A complaint made to the Office of the Ombudsman in July 2018 in relation to the withholding of incident investigation information relating to three investigations (November 2017, and February and March 2018) was defended by the Council and upheld by the Office of the Ombudsman and advised the complainant that the Council was entitled to withhold parts of the information from the three incident summaries under section 7(2)(c)(ii) of LGOIMA.

## **Relationships**

### **Construction Client Group**

16. Council have continued to participate in the Construction Clients Group forums in the previous twelve months. This is a national forum that brings stakeholders together to develop consistent practice for health and safety across the construction industry. The forum provides us with an opportunity to network and have access to national and internationally recognised practices. Of particular interest to the Council is improved practice and systems in relation to safety in design principles to assist is to manage our risk in relation to asset failure.

### **Critical Hazard Collaboration Group**

17. Contractors that work with the Council from across industry are specifically being invited to meetings of the Council's Critical Hazard Collaboration Group to build our relationships with them, provide insights from the contractors' worker perspective, and to use the opportunity to improve practice for their workers.

### **Government Health & Safety Lead**

18. The Council participate in the Government Health and Safety Lead Practitioners' Forum. The forum meets regularly during the year with a focus on specific health, safety and wellbeing subjects of interest. The opportunity that presents from being a participant includes strengthening our Safety, Security and Wellbeing system capability, building cross-sector relationships, raise awareness of issues and opportunities, and support sharing of proactive and joined up responses.

## **Resources**

### **Annual Plan**

19. The actions for completion in the Council's 2018/20 Safety, Security and Wellbeing Plan are monitored by the Councils Health and Safety Steering Group. A progress report on the plan has been attached (Attachment 2). There were a number of actions

that had not been fully achieved during the year as a consequence of staff change in the Safety Security and Wellbeing team. These actions are a work in progress or are yet to start and have been carried through and incorporated into the Safety, Security and Wellbeing work plan for 2019/2020. We will provide a half yearly update on the plan.

**Mental Health and Wellbeing**

20. In February 2019, the Safety, Security and Wellbeing team and other staff and leaders across the Council undertook a workshop with a Clinical Physician to identify options, from a best practice perspective, for supporting staff that may be experiencing mental distress at work. Through this workshop we identified three key areas which we have since undertaken work on to support staff including; raising awareness of mental distress, training leaders and support staff to support others experiencing mental distress, and developing process transparency in relation to the Council's support mechanisms. The Mental Health First Aid training is due to be rolled out in August 2019/2020. An online training tool for Managers on 'Supporting your People' is provided through Council's Training portal. The remaining actions are in progress and are included in the Safety Security and Wellbeing work plan for 2019/2020.

**Elected Members Due Diligence**

21. The information below demonstrates Elected Members' performance against due diligence actions for the 12 month period ended 30 June 2019.

<b>Legislative Due Diligence Requirement</b>
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- Acquire and keep up to date with knowledge of work health and safety matters
- Understand nature of operations and hazards and associated risks
- Appropriate resources and processes to eliminate or minimise risks
- Appropriate resources to receive and consider information
- Verify provision and use of resources and processes
- Have processes for compliance with duty or obligation under the HSWA Act 2015

Due Diligence	Actual
Attend one health and safety leadership workshop(s) per annum, (e.g. Business Leaders forum; 'Leading Safety' refresher; public Health & Safety Seminars)	We were unable to hold an H&S Leadership workshop this last year but have planned for November 2019 following the Elections.
Participate in one site/workplace safety observation with an ELT Member	One observation was undertaken in July 2018 by Clr Day. Six ELT observations were undertaken. We have struggled to ensure observations have been undertaken this past year due to unavailability of participants, weather conditions or cancellations. The Council are looking to change the way we organise observations going forward to ensure there are more opportunities provided to Councillors to participate.
Oversight and acceptance of Council wide Health and Safety Plan	The Council's 2018/20 Safety, Security and Wellbeing Plan was presented to FARMs and CSC in September and October 2018 respectively. An update on progress mad for 2018/2019 is attached to this report.

**FINANCE, AUDIT AND RISK MANAGEMENT  
SUBCOMMITTEE  
17 SEPTEMBER 2019**

Oversight of Health and Safety Climate survey findings and results	The biennial Health & Safety Climate survey was last undertaken in 2017 and is due to be undertaken in October 2019 and will be reported accordingly.
Receive and review health and safety information on Council health and safety performance through Council's health and safety reporting framework	Three Safety Security and Wellbeing reports were presented to FAMRs and CSC for the periods: 1 July to 31 December 2018 1 July to 31 March 2019 1 July to 30 June 2019
Have oversight of Council's Hazard and Risk Register through annual review process	Council have nine critical risk categories. Three risk profiles have been presented to FARMs. Work with or in the Vicinity of Services, Other Mobile Equipment, and Traffic and Pedestrian Movement.

### Attachments

Attachment 1.	June 2019 End of Year Dashboard <a href="#">↓</a>	Page 15
Attachment 2.	2018/20 Safety Security and Wellbeing Annual Plan - Progress Report <a href="#">↓</a>	Page 17

Author	Paku Edwards, Safety, Security and Wellbeing Manager
Authoriser	Meredith Blackler, Director, Human Resources

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## **SUPPORTING INFORMATION**

### **Engagement and Consultation**

N/A

### **Treaty of Waitangi considerations**

N/A

### **Financial implications**

N/A

### **Policy and legislative implications**

This information to ELT and Councillors assists them to discharge their Officer due diligence obligations under the health and Safety at Work Act 2015.

### **Risks / legal**

N/A

### **Climate Change impact and considerations**

N/A

### **Communications Plan**

N/A

### **Health and Safety Impact considered**

N/A





Health and Safety Dashboard – Year End 30 June 2019




LAG + LEAD INDICATORS

Hazard Source – incidents reported against Council’s “nasty nine” H&S critical risks

Critical Risks	2018-19	2017-18
Personal confrontation	418	439
Health and Impairment	73	112
Vehicles, Traffic and Mobile Equipment	186	235
Asset failure	87	104
Work at height	12	24
Extreme natural events	13	11
Work related health hazards	25	41
Ignition sources	16	22
Work with or in the vicinity of services	6	12

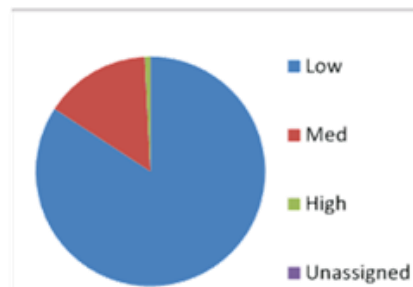
KEY: Green = decrease in reported incidents this year; Orange = slight increase in reported incidents this year.

Incident Profile (see over for commentary)

Key person involved	Notes	2018-19	2017-18
 Worker	NE/LTI – continued injury relating to serious assault on a parking warden (x2 Staff). Most MT’s were from work postures or demands, and manual handling.	NM 748 FA 262 MT 131 NE/LTI 2	NM 885 FA 219 MT 184 NE/LTI 1
 Public	Most MT’s were sport injuries or people slipping /tripping over.	NM 929 FA 736 MT 129 NE/LTI 0	NM 750 FA 701 MT 174 NE/LTI 1
 Tenant		NM 6 FA 0 MT 0	NM 3 FA 0 MT 1

KEY: NM= near miss; FA= first aid; MT= medical treatment; NE/LTI= notifiable event or lost time injury

Incident Risk Score



Risk Score Commentary

High Risk Incidents (23) – These includes personal confrontation, contractors working on roads and asbestos discovered by contractor incidents (see above right).

All incidents have been resolved.

Note: This year, there were no incidents where working at heights featured as a high risk incident as appose to previous years

Personal Confrontation analysis (refer commentary page 2)

Business unit	Incidents	%
City Consenting and Compliance	7	1.7%
City Design and Place Planning	4	1%
City Housing	12	2.9%
Community Networks - Community Services	8	1.9%
Community Networks - Parking	206	49%
Community Networks - Libraries / Community Centres	42	10%
Customer Service, Innovation and Smart Council	14	3.3%
Governance	3	.7%
Human Resources	1	.3%
Legal and Risk	1	.3%
Parks Sport and Recreation (PSR)	117	28%
Property	1	.3%
Transport	2	.6%
TOTAL	418	100%

The 3 highlighted business units all reported high risk incidents. Parking incurred 3 while City Housing and PSR reported 1 each. None of the incidents resulted in a WorkSafe notifiable event.

Trespass Notices Served 2018-19



Asbestos identification project progress

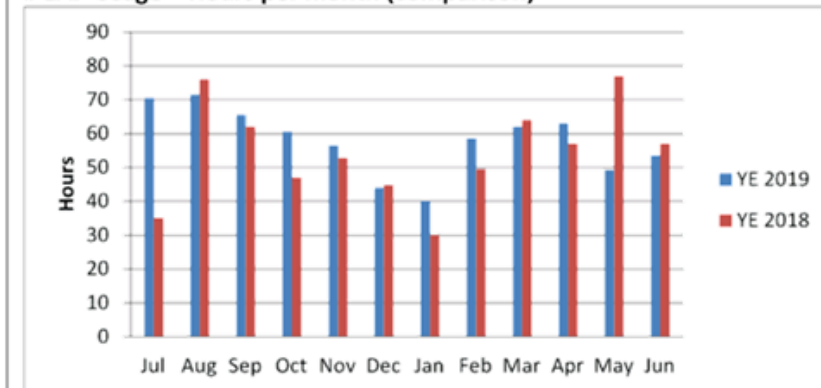
BU	Surveyed	Deferred to 2019/20
City Housing	112	0
Parks, Sport and Recreation	1	43
Property	18	5
TOTAL	131	48

During the year we adjusted our priority of properties to be surveyed to ensure all of City Housing properties were surveyed ahead of PSR. The reason was that there was active occupation of City Housing properties versus PSR which prioritised the reputational risk to City Housing and their tenants. The deferred PSR properties are due for completion in 2019/20. It needs to be mentioned that all of these properties are our priority 3 & 4 properties and simply the Council are surveying them to ensure we have records of where the asbestos can be found and that these records can be accessed whenever the Councils contractors undertake maintenance work on the properties.

Core H+S Training	2018-19	2017-18
H&S REP TRAINING	49	81
FIRST AID	220	237
MANAGEMENT OF ACTUAL OR POTENTIAL AGGRESSION	114	115
RESILIENCE	98	118
<b>Recognition</b>	<b>2018-19</b>	<b>2017-18</b>
HEALTH AND SAFETY HEROES	8	18
<b>ELT Observations</b>	<b>2018-19</b>	<b>2017-18</b>
HEALTH AND SAFETY OBSERVATIONS (ELT)	7	12
<b>D+A Test Results</b>	<b>2018-19</b>	<b>2017-18</b>
DRUG AND ALCOHOL TESTING - Pass	154	127
DRUG AND ALCOHOL TESTING - Fail	9	6
<b>EI Referrals</b>	<b>2018-19</b>	<b>2017-18</b>
EARLY INTERVENTION PHYSIOTHERAPY REFERRALS	39	58

Note: See over for further commentary.

# EAP Usage – Hours per month (comparison)



Commentary on EAP

Council offer free EAP services to employees. This offer is widely used by all business units. Council trends are comparative with national trends. Personal relationships, anxiety, depression are the lead reason for people using EAP.

ACC Partnership Programme

Work Related ACC Injury Claims	2018-19	2017-18
Accepted	80	70
Declined	5	12
Pending	4	2
Total Claims	89	84
Claim costs to date	\$88,692	\$31,186
Number of work-days lost	162.50	12.7
ACC Partnership Programme Accreditation	Tertiary	Tertiary

The 2 main hazard categories that caused injury claims were manual handling; surface conditions (Slips – trips – falls).

**Commentary on Hazard Source**

- The table above represents the number of incidents reported against our top 9 critical risks. Council have 29 hazard categories and 9 critical H&S risks “the nasty nine”.
- The green boxes mark those risks where there has been a reduction in incidents reported in the 2017-18 financial year. The decline is reflective of the previous years’ results. The orange box indicates one increase in reported incidents against that critical risk category and this particular risk is largely dictated by extreme natural events and may fluctuate.

**Commentary on Incident Profile**

Incidents reported for the 18/19 year total 2957 as appose to the total number of incidents reported in the 17/18 year of 2,919 indicating a slight reduction. Note that there has been an overall increase in the public reporting near miss incidents and there has been an overall decrease in reported medical treatment incidents. The Council have an early intervention programme which is enacted when low level injuries e.g. muscle strain, appear through the Council incident reporting tool. This intervention is in place to reduce the number of workers requiring medical treatment.

**Commentary on Personal Confrontation Analysis****Type**

- Personal Confrontation is by far the risk that attracts our highest number of incidents with 418 reported across Council especially those with front facing public interface roles. The table on page one shows the spread of incidents reported across business units. 265 of these were low risk; 133 were moderate risk; 5 were high risk; 15 not rated
- 11% of all incidents were reported to the Police.
- The majority of our personal confrontation incidents are experienced by our frontline workers. The Parking Wardens our on the street experienced most incidents (206) followed by the Councils facilities (in order): WRAC (43), Libraries (41), Keith Spry Pool (17), Karori Pool & Karori Rec Centre (14), ASB Centre (13). The Councils customer contact centre also recorded a high number (14).
- All incidents reported involved a member of the public, contractor or tenant approaching a Council worker or another member of public in our places of work.

**Timing**

- The period leading into Christmas and New Year Oct – Dec 2018 had the highest recording of personal confrontation incidents for Parking. If we remove the Parking incidents the two highest reporting months for the rest of Council was February and March 2019 (Following the quieter months December & January). However, total incidents reported fluctuated over the seasons so no real peak can be determined.

**Consequences**

- 4 personal confrontation incidents resulted in medical (Either Medical or Psychological) treatment being required:
  - PSR – A member of the public was verbally aggressive to a staff member and when the staff member went home following her shift the same person was outside taking the number plate of her vehicle leading to the staff member suffering from distress
  - City Housing – A City Housing Tenant assaulted a Chorus contractor (the work was not associated with the Councils activities and the same tenant assaulted a City Housing Tenancy Advisor. The tenant was suffering from mental illness and was later taken into care
  - Parking Services – An altercation ensued between contractors working at a private property along Tinakore road and a parking Officer

**Commentary on Trespass Notices Served**

All 3 trespass incidents involved Council workers in PSR, a Contractor and the Libraries being exposed to a sustained risk of harm as a result of personal confrontation by the public. Trespass notices are issued as a reasonable step Council can take to minimise risk of harm. A threshold must be met prior to the issuing of a Trespass notice. Trespass notices are in in place for two-years and are monitored by the Council’s Security Team.

**Commentary on Training, Recognition and Results**

- Management of Actual or Potential Aggression (formerly known as Non-violent crisis intervention training) is an international training methodology and delivers knowledge and techniques for our ‘front-facing’ staff to help them recognise and respond safely to customers and public who may be acting in a defensive and/or threatening way. MAPA training is identified as an established mitigation/control in the Council’s hazard/risk register for ‘PERSONAL CONFRONTATION’.
- Resilience training has continues as a core Health and Safety training programme to assist staff to build and enhance existing resilience skills as well as provide new techniques to help better handle challenges in the workplace and in life.
- Acknowledging the positive health and safety behaviours demonstrated by our staff is rewarded through the Health and Safety Hero cards – all of which are signed off by the Chief Executive and presented to staff.
- Visible health and safety leadership is measured through ELT completing safety observations.
- Failed drug and alcohol results in disciplinary action in addition to requiring employees to attend compulsory rehabilitation which includes six random drug and alcohol tests over a subsequent two-year period.
- Early intervention referrals assist employees experiencing pain and discomfort – the intention to prevent ongoing issues becoming an ACC claim.



**2018/20 Progress Report – Jul 2018 to Dec 2018**

<b>WORK PROGRAMME –</b>			
<b>RISKS</b>	<b>MILESTONES (Jul-Dec 18)</b>	<b>STATUS</b>	<b>Status Update</b>
Critical Risk Controls (Top Nine)	• Identify ELT 'lead' for 9- Risk Categories	Complete	
	• Review risk controls (applying bow-tie risk methodology)	Complete	
	• Reducing the level of risk, prioritise risks that have been assessed, and work through actions to move risk score to a level that meets Council's risk appetite.	Complete	
	• Communication of reviewed risk controls to workers (incl. contractors).	Complete	
MSD Findings	• Scope MSD findings + identification of Council workplaces of similar nature	Complete	
	• Assess and undertake gap analysis of Council workplaces vs MSD recommendations	Complete	
	• Develop risk profiles – physical; people	Complete	
Health + Wellbeing Strategy	• Formalise and communicate seasonal wellbeing programmes	Complete	
	• Review current resilience + emotional wellbeing programmes; identify gaps	Complete	
<b>RELATIONSHIPS</b>	<b>MILESTONES (Jul-Dec 18)</b>	<b>STATUS</b>	<b>COMMENTARY</b>
PCBU Framework	• Scope a process to test the application of the relationship model Council-wide	Not Started	• Scope to be developed
	• Scope a module for inclusion in the Safety Security + Wellbeing fundamentals training programme for managers	In Progress	• To be incorporated into Training modules for Managers • Current contractor training module introduces this element

RESOURCES	MILESTONES (Jul-Dec 18)	STATUS	COMMENTARY
Safety Leadership Development	<ul style="list-style-type: none"> <li>Develop training programme and education opportunities that incorporates Just Culture principles and practice for LG and workers</li> </ul>	Complete	
	<ul style="list-style-type: none"> <li>Develop Safety Security + Wellbeing fundamentals training programme and education opportunities for people managers to equip them with safety security and wellbeing fundamentals</li> </ul>	In Progress	<ul style="list-style-type: none"> <li>To be fully incorporated into Training modules for Managers</li> </ul>
	<ul style="list-style-type: none"> <li>Develop Due Diligence refresher training programme and education opportunities for ELT and Councillors</li> </ul>	In Progress	<ul style="list-style-type: none"> <li>ELT Completed</li> <li>Councillors Scheduled for Nov 19</li> </ul>
	<ul style="list-style-type: none"> <li>ELT &amp; LG undertake and report safety observations as detailed in "Measures"</li> </ul>	Complete	
Career succession planning	<ul style="list-style-type: none"> <li>Assess benefits of H&amp;S Scholarship Programme</li> </ul>	Not Started	<ul style="list-style-type: none"> <li>Objective to be reviewed</li> </ul>
Reporting and Assurance	<ul style="list-style-type: none"> <li>Prepare a programme of internal and external reviews and/or audits that incorporates the ongoing management of critical risks and the SSW management system – Council-wide and BU specific.</li> </ul>	Complete	<ul style="list-style-type: none"> <li>Presented to H&amp;S Steering Group and to FARMS</li> </ul>
	<ul style="list-style-type: none"> <li>Schedule a Safe-Plus Assessment (critical risks)</li> </ul>	Complete	
	<ul style="list-style-type: none"> <li>Quarterly H&amp;S Reporting to FARMS + CSC</li> </ul>	Complete	

**2018/20 Progress Report – Jan 2019 to Jun 2019**

<b>WORK PROGRAMME –</b>			
<b>RISKS</b>	<b>MILESTONES (Jan-Jun 19)</b>	<b>STATUS</b>	<b>COMMENTARY</b>
Critical Risk Controls (Top Nine)	<ul style="list-style-type: none"> <li>Review of risk controls (applying bow-tie risk methodology)</li> </ul>	Complete	
	<ul style="list-style-type: none"> <li>Reducing the level of risk, prioritise risks that have been assessed, and work through actions to move risk score to a level that meets Council's risk appetite.</li> </ul>	In progress	<ul style="list-style-type: none"> <li>Ongoing work underway throughout the year</li> </ul>
	<ul style="list-style-type: none"> <li>Communication of reviewed risk controls to workers (incl. contractors).</li> </ul>	Complete	
	<ul style="list-style-type: none"> <li>Review Top Nine Risk Categories</li> </ul>	Complete	<ul style="list-style-type: none"> <li>3 new risk bowtie assessments scheduled for 2019/2020</li> </ul>
MSD Findings	<ul style="list-style-type: none"> <li>Findings of assessment and recommendations to ELT</li> </ul>	Complete	
	<ul style="list-style-type: none"> <li>Scope costs to implement agreed recommendations to workplaces</li> </ul>	In Progress	<ul style="list-style-type: none"> <li>Yet to be determined and provided to management in the 2019/2020 year for consideration and completion</li> </ul>
Health + Wellbeing Strategy	<ul style="list-style-type: none"> <li>Review seasonal wellbeing programmes</li> </ul>	Complete	
	<ul style="list-style-type: none"> <li>Develop + deliver new resilience emotional wellbeing programmes (based on gap analysis)</li> </ul>	In Progress	<ul style="list-style-type: none"> <li>Rollout of Mental Health First Aid in progress</li> </ul>
	<ul style="list-style-type: none"> <li>Review Health + Wellbeing Strategy</li> </ul>	In Progress	<ul style="list-style-type: none"> <li>Partially completed</li> </ul>
<b>RELATIONSHIPS</b>	<b>MILESTONES (Jan-Jun 19)</b>	<b>STATUS</b>	<b>COMMENTARY</b>
PCBU Framework	<ul style="list-style-type: none"> <li>Identify BUs and undertake independent review of relationship model in practice</li> </ul>	Not Started	<ul style="list-style-type: none"> <li>To be delivered</li> </ul>
	<ul style="list-style-type: none"> <li>Deliver relationship model in H+S fundamentals to managers</li> </ul>	Not Started	<ul style="list-style-type: none"> <li>To be incorporated into Training modules for Managers</li> <li>Current contractor training module introduces this element</li> </ul>

RESOURCES	MILESTONES (Jan-Jun 19)	STATUS	COMMENTARY
Safety Leadership Development	<ul style="list-style-type: none"> <li>Deliver education on Just Culture principles to target audience</li> </ul>	Complete	
	<ul style="list-style-type: none"> <li>Deliver education on SSW fundamentals to target audience</li> </ul>	In Progress	<ul style="list-style-type: none"> <li>To be fully incorporated into Training modules for Managers</li> </ul>
	<ul style="list-style-type: none"> <li>Deliver Due Diligence refresher programme to ELT and Councillors</li> </ul>	In Progress	<ul style="list-style-type: none"> <li>ELT Completed</li> <li>Councillors Scheduled for Nov 19</li> </ul>
	<ul style="list-style-type: none"> <li>ELT &amp; BU Managers undertake and report safety observations as detailed in "Measures".</li> </ul>	Complete	
Career succession planning	<ul style="list-style-type: none"> <li>Scholarship Programme Proposal to H&amp;S Steering Group</li> </ul>	Not Started	<ul style="list-style-type: none"> <li>Objective to be reviewed</li> </ul>
Reporting and Assurance	<ul style="list-style-type: none"> <li>Deliver internal + external reviews and/or audits</li> </ul>	Complete	
	<ul style="list-style-type: none"> <li>Report to ELT the results of reviews and/or audits for the previous six months</li> </ul>	Complete	
	<ul style="list-style-type: none"> <li>Quarterly H&amp;S Reporting to FARMS + CSC</li> </ul>	Complete	





### 3. Public Excluded

#### Recommendation

That the Finance, Audit and Risk Management Subcommittee:

1. Pursuant to the provisions of the Local Government Official Information and Meetings Act 1987, exclude the public from the following part of the proceedings of this meeting namely:

General subject of the matter to be considered	Reasons for passing this resolution in relation to each matter	Ground(s) under section 48(1) for the passing of this resolution
3.1 Te Aho Marutau   Internal Audit Report for the year ended 30 June 2019	<p>7(2)(c)(i) The withholding of the information is necessary to protect information which is subject to an obligation of confidence or which any person has been or could be compelled to provide under the authority of any enactment, where the making available of the information would be likely to prejudice the supply of similar information or information from the same source and it is in the public interest that such information should continue to be supplied.</p> <p>7(2)(c)(ii) The withholding of the information is necessary to protect information which is subject to an obligation of confidence or which any person has been or could be compelled to provide under the authority of any enactment, where the making available of the information would be likely to damage the public interest.</p>	<p>s48(1)(a) That the public conduct of this item would be likely to result in the disclosure of information for which good reason for withholding would exist under Section 7.</p>
3.2 Draft Annual Report 2018/19	<p>7(2)(b)(ii) The withholding of the information is necessary to protect information where the making available of the information would be likely</p>	<p>s48(1)(a) That the public conduct of this item would be likely to result in the disclosure of information for which good reason for withholding would</p>

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	<p>unreasonably to prejudice the commercial position of the person who supplied or who is the subject of the information.</p> <p>7(2)(g) The withholding of the information is necessary to maintain legal professional privilege.</p> <p>7(2)(i) The withholding of the information is necessary to enable the local authority to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations).</p>	<p>exist under Section 7.</p>
3.3 Legal Update	<p>7(2)(g) The withholding of the information is necessary to maintain legal professional privilege.</p>	<p>s48(1)(a) That the public conduct of this item would be likely to result in the disclosure of information for which good reason for withholding would exist under Section 7.</p>
3.4 Risk Management Update	<p>7(2)(c)(ii) The withholding of the information is necessary to protect information which is subject to an obligation of confidence or which any person has been or could be compelled to provide under the authority of any enactment, where the making available of the information would be likely to damage the public interest.</p>	<p>s48(1)(a) That the public conduct of this item would be likely to result in the disclosure of information for which good reason for withholding would exist under Section 7.</p>
3.5 Status of Internal Audit Findings	<p>7(2)(c)(i) The withholding of the information is necessary to protect information which is subject to an obligation of confidence or which any person has been or could be compelled to provide under the authority of any enactment, where the making available of the information would be likely to prejudice the supply of similar information or information</p>	<p>s48(1)(a) That the public conduct of this item would be likely to result in the disclosure of information for which good reason for withholding would exist under Section 7.</p>



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	<p>from the same source and it is in the public interest that such information should continue to be supplied.</p>	
	<p>7(2)(c)(ii) The withholding of the information is necessary to protect information which is subject to an obligation of confidence or which any person has been or could be compelled to provide under the authority of any enactment, where the making available of the information would be likely to damage the public interest.</p>	
3.6 Insurance Reserve Fund Performance	<p>7(2)(a) The withholding of the information is necessary to protect the privacy of natural persons, including that of a deceased person.</p> <p>7(2)(b)(i) The withholding of the information is necessary to protect information where the making available of the information would disclose a trade secret.</p>	<p>s48(1)(a) That the public conduct of this item would be likely to result in the disclosure of information for which good reason for withholding would exist under Section 7.</p>
3.7 Council Debtor Report	<p>7(2)(c)(ii) The withholding of the information is necessary to protect information which is subject to an obligation of confidence or which any person has been or could be compelled to provide under the authority of any enactment, where the making available of the information would be likely to damage the public interest.</p> <p>7(2)(h) The withholding of the information is necessary to enable the local authority to carry out, without prejudice or disadvantage, commercial activities.</p>	<p>s48(1)(a) That the public conduct of this item would be likely to result in the disclosure of information for which good reason for withholding would exist under Section 7.</p>

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3.8 Project Governance Update	7(2)(b)(ii) The withholding of the information is necessary to protect information where the making available of the information would be likely unreasonably to prejudice the commercial position of the person who supplied or who is the subject of the information.	s48(1)(a) That the public conduct of this item would be likely to result in the disclosure of information for which good reason for withholding would exist under Section 7.
	7(2)(h) The withholding of the information is necessary to enable the local authority to carry out, without prejudice or disadvantage, commercial activities.	
	7(2)(i) The withholding of the information is necessary to enable the local authority to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations).	