
ORDINARY MEETING
OF
KĀWAI MĀHIRAHIRA | AUDIT AND RISK SUBCOMMITTEE
AGENDA

Time: 9:30
Date: Wednesday, 9 June 2021
Venue: Ngake (16.09)
Level 16, Tahiwī
113 The Terrace
Wellington

MEMBERSHIP

Jenny Condie (Deputy Chair)
Councillor Pannett
Councillor Paul
Councillor Rush
Linda Rieper
Roy Tiffin

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 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. All Council and committee meetings are livestreamed on our YouTube page. This includes any public participation at the meeting.

AREA OF FOCUS

The Kāwai Māhirahira | Audit and Risk Subcommittee oversees the work of the Council in discharging its responsibilities in the areas of risk management, statutory reporting, internal and external audit and assurance, monitoring and compliance with laws and regulations, including health and safety.

To read the full delegations of this Subcommittee, please visit wellington.govt.nz/meetings.

Quorum: 5 members

TABLE OF CONTENTS
9 JUNE 2021

Business	Page No.
1. Meeting Conduct	5
1.1 Karakia	5
1.2 Apologies	5
1.3 Conflict of Interest Declarations	5
1.4 Confirmation of Minutes	5
1.5 Items not on the Agenda	5
1.6 Public Participation	6
2. General Business	7
2.1 Assurance & Business Integrity Workplan 2021-22	7
2.2 Risk Management Team Workplan 2021-22	27
2.3 Health, Safety and Security Report	37
3. Public Excluded	59
3.1 Strategic Risk Update	59

1. Meeting Conduct

1.1 Karakia

The Chairperson will open the meeting with a karakia.

Whakataka te hau ki te uru, Whakataka te hau ki te tonga. Kia mākinakina ki uta, Kia mātaratara ki tai. E hī ake ana te atākura. He tio, he huka, he hauhū. Tihei Mauri Ora!	Cease oh winds of the west and of the south Let the bracing breezes flow, over the land and the sea. Let the red-tipped dawn come with a sharpened edge, a touch of frost, a promise of a glorious day
---	--

At the appropriate time, the following karakia will be read to close the meeting.

Unuhia, unuhia, unuhia ki te uru tapu nui Kia wātea, kia māmā, te ngākau, te tinana, te wairua I te ara takatū Koia rā e Rongo, whakairia ake ki runga Kia wātea, kia wātea Āe rā, kua wātea!	Draw on, draw on Draw on the supreme sacredness To clear, to free the heart, the body and the spirit of mankind Oh Rongo, above (symbol of peace) Let this all be done in unity
--	--

1.2 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.

1.3 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.

1.4 Confirmation of Minutes

1.5 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 Kāwai Māhirahira - Audit and Risk 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 Kāwai Māhirahira - Audit and Risk Subcommittee.

Minor Matters relating to the General Business of the Kāwai Māhirahira - Audit and Risk 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 Kāwai Māhirahira - Audit and Risk Subcommittee for further discussion.

1.6 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 31.2 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.

Requests for public participation can be sent by email to 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.

2. General Business

ASSURANCE & BUSINESS INTEGRITY WORKPLAN 2021-22

Purpose

1. This report asks the Kāwai Māhirahira - Audit and Risk Subcommittee to approve the Assurance & Business Integrity Workplan for 2021-22.

Recommendations

That the Kāwai Māhirahira - Audit and Risk Subcommittee:

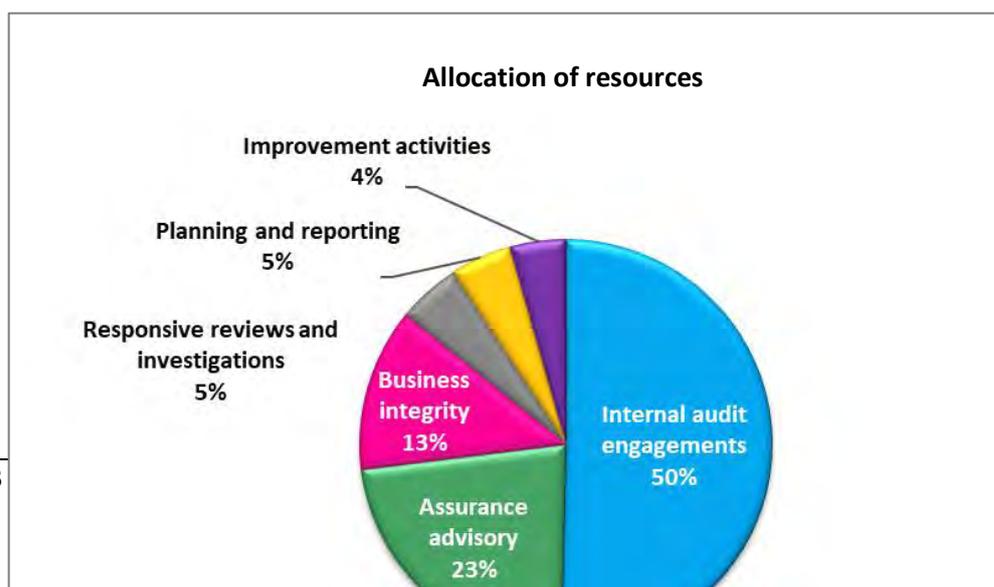
1. Receive the information
2. Approves the Assurance & Business Integrity Workplan 2021-22.

Background

2. The subcommittee Terms of Reference requires that the subcommittee:
 - Review and approve the internal audit coverage and annual workplans, ensuring these plans are based on the Council's risk profile.
3. The Assurance & Business Integrity Team's purpose is to enable Council to deliver results and outcomes in a way that meets the public's expectations of accountability and our responsibilities as a public sector organisation.
4. To facilitate our purpose, each year the Assurance & Business Integrity Team develops a risk-based workplan of assurance activities across its core services.
5. The Assurance & Business Integrity Team provides three core services:
 - **Internal audit:** an objective examination of evidence so that we can provide a view of the effectiveness of governance, risk management, and control processes.
 - **Assurance advisory:** activities that improve the organisation's internal control environment. Our advisory activities focus on assuring that actions to manage risks are effective. Activities include advice, facilitation, and training & awareness programmes.
 - **Business integrity:** services that enable delivery in a way that keeps our people and our organisation safe. Activities focus on lifting maturity of systems and processes.

Discussion

6. The Assurance & Business Integrity Workplan 2021-22 identifies the key assurance activities and focus areas for the Team. The Workplan has been developed in consultation with management and is presented to the Subcommittee for its approval.
7. The Assurance & Business Integrity Team used a risk-based process to develop the Workplan. The process to develop the Workplan involves updating an Assurance Map that shows all the key assurance activities across the organisation, not just those performed by the Assurance & Business Integrity Team. The Team identified possible assurance activities by assessing assurance needs and identifying assurance gaps. The Team then prioritised the assurance activities based on an audit risk assessment. The assessment considered:
 - previous audit coverage over service delivery areas
 - integrity risk exposure
 - changes in strategy, people, systems or processes
 - link to strategic risks and priority objectives.
8. The Assurance & Business Integrity Team provides assurance over *strategic risks* by assuring that risk treatments are adequate and on track. The Team do this through assurance advisory activities which include assuring the strategic risk monitoring and reporting process by the Risk Management Team, working with the Project Management Office on assurance over delivery of significant projects, and following up on actions to address high-risks findings.
9. In addition, the Assurance & Business Integrity Team provides assurance over *operational risks* through internal audit engagements of core services, business integrity activities, and assurance advisory to lift maturity of internal controls such as policy governance framework and legislative compliance.
10. The Team have considered the resources required to deliver its Assurance & Business Integrity Workplan 2021-22, with 50% of the Team's effort to focus on delivering internal audit engagements. Assurance advisory and business integrity are allocated 23% and 13% of effort respectively. The remaining balance of effort is on Team improvement plans and governance reporting. The allocation of effort for the 2021-22 Workplan is consistent with previous year.



-
11. The Assurance & Business Integrity Team have allocated a contingency of 5% to respond to requests for assurance activities, investigations from protected disclosures or integrity related complaints and to respond to changes in risks.
 12. The Workplan will be open and responsive to changes in the Council's risk profile and business priorities. Any significant change to the Workplan will be brought to the attention of this subcommittee.

Next Actions

13. The Assurance & Business Integrity Team will provide updates at future meetings on the implementation of activities identified in the Workplan.

Attachments

Attachment 1. Assurance & Business Integrity Workplan 2021-22 [↓](#) 

Page 11

Author	Phyllis Lee, Team Leader Complaints & Information Assurance
Authoriser	Stephen McArthur, Chief Strategy & Governance Officer

SUPPORTING INFORMATION

Engagement and Consultation

There are no requirements to consult on the matters raised in this paper.

Treaty of Waitangi considerations

There are no specific Treaty of Waitangi considerations.

Financial implications

There are no new financial implications raised in this paper.

Policy and legislative implications

There are no new policy or legislative implications raised in this paper

Risks / legal

The Assurance & Business Integrity Team is responsible for providing objective assurance and advice to the Executive Leadership Team and elected members through the Kāwai Māhirahira - Audit and Risk Subcommittee. If the workplan misses key focus areas, or is not practical or achievable, the Executive Leadership Team and elected members will not receive confidence that the organisational internal control environment is effective or that appropriate actions are in place to improve internal control maturity.

Climate Change impact and considerations

There are no climate change implications arising from this paper

Communications Plan

No communication plan is required for this paper.

Health and Safety Impact considered

There is no health and safety implications arising from this paper

TE AHO MARUTAU

ASSURANCE & BUSINESS INTEGRITY

Workplan 2021-22

DRAFT for approval by the Audit and Risk Subcommittee 9 June 2021



Contents

- 1. Overview of the Assurance & Business Integrity Workplan 3
- 2. About our assurance services 4
- 3. Assurance response to strategic and operational risks 5
- 4. Workplan development and allocation of resources..... 6
- 5. Detailed Assurance Workplan for 2021-22 7
- 6. Governance reporting 10
- Appendix 1 – Internal Audit Charter 11
- Appendix 2 – Enterprise Assurance Framework 12
- Appendix 3 – Our Workplan development process 13
- Appendix 4 – Link to risk impact assessment..... 14
- Appendix 5 – Assurance Map..... 15



1. Overview of the Assurance & Business Integrity Workplan

The Assurance & Business Integrity team’s purpose is to enable Council to deliver results and outcomes in a way that meets the public’s expectations of accountability and our responsibilities as a public sector organisation.

Our team provides three core services:

- **Internal audit:** an objective examination of evidence so that we can provide a view of the effectiveness of governance, risk management, and control processes.
- **Assurance advisory:** activities that improve the organisation’s internal control environment. Our advisory activities focus on assuring that actions to manage risks are effective. Activities include advice, facilitation, training, and awareness programmes.
- **Business integrity:** services that enable delivery in a way that keep our people and our organisation safe. Activities focus on lifting maturity of systems and processes.

Each year, to facilitate our purpose, we develop a risk-based workplan of assurance activities across our core services.

We have also identified a shortlist of possible audit areas. These reviews are indicative for next year’s plan or can be reprioritised to the current year, in response to changing risk profiles and priorities.

Our workplan also includes planning, governance reporting, and improvement activities to help ensure that we continue to lift our capability to effectively meet the assurance needs of the Council.

Assurance and Business Integrity Workplan for 2021-22	
Internal audit 50%	<ol style="list-style-type: none"> 1. Internal controls assessment 2. Alcohol licencing 3. Privacy 4. Cash handling and reconciliations 5. Membership and booking system 6. Tenancy operations 7. Cyber and information security 8. Enterprise Project Management Office
Assurance advisory 23%	<ol style="list-style-type: none"> 1. Advisory engagements: ♦ Strategic risk reporting ♦ Investment Advisory Group ♦ Source-to-Pay contracts management ♦ OneCouncil Security User and Role Group ♦ Project OTO ♦ Payroll and HRIS Strategy working group ♦ Protective security requirement ♦ Risk champions ♦ Purchasing Officer and P-Card Forum 2. Follow up on independent recommendations 3. Legislative compliance 4. Policy governance framework
Business integrity 13%	<ol style="list-style-type: none"> 1. Protected disclosures 2. Gifts received 3. Conflict of interest 4. Fraud risk awareness 5. Continuous auditing activities
Responsive review 5%	<ol style="list-style-type: none"> 1. Responsive reviews: Capacity to respond to requests for assurance
Planning and reporting 5%	<ol style="list-style-type: none"> 1. Annual assurance planning 2. Governance reporting
Improvement activities 4%	<ol style="list-style-type: none"> 1. Professional development 2. Process improvement

Indicative audits for 2022-23*

1. **Parking:** discretionary decision making, appeals and complaints handling
2. **Commercial management approach:** Oversight of significant services contracts and value for money for significant spend
3. **Facilities management:** effectiveness of contract and operations
4. **Contact centre operations:** management controls and accuracy of measures and performance reporting
5. **Performance reporting:** adequacy of quality controls over non-financial performance measures and reporting process
6. **ICT Operations:** delivery of IT service, IT operations management, service requests, incidents and problem management and business process controls management
7. **IT acquisition and implementation:** manage change acceptance, IT assets, configuration, and knowledge
8. **Resource consents:** effectiveness of controls and processes in place for the consenting process and monitoring obligations under the Resource Management Act
9. **Cemetery operations:** quality assurance, regulatory compliance, customer service, and effectiveness of cemetery management system
10. **People performance management:** completeness and effectiveness of framework
11. **Debt collection:** effectiveness of debt collection process

** Alternative engagements for consideration. These activities may be prioritised for completion if risk profile changes.*

2. About our assurance services

Our purpose, how we operate and what we do is documented in our Charter (Appendix 1). We develop the **Assurance and Business Integrity Workplan** (Workplan) to deliver on our purpose. This Workplan contains three main type of assurance activities, in line with the services we provide.

1. Internal audit

Internal audit is an objective examination of evidence so that we can provide a view of the effectiveness of governance, risk management, and control processes. Internal audit engagements help provide assurance that risks are managed.

Our work in this space largely focuses on **operational risks and delivery of core services** to provide confidence to stakeholders that:

- processes and controls are operating as intended
- ways to be more effective are identified
- we continually improve the way we work

All internal audit engagements will include an agreed Terms of Reference. Internal audit engagements are performed consistent with professional standards for internal auditing and will include a final report of our assessment.

3. Business integrity

Business integrity services are activities we do that enables delivery in a way that keeps our people and our organisation safe. Our business integrity activities are focused on lifting maturity of systems and processes.

Activities include:

- integrity related policies review
- fraud awareness week
- fraud risk assessments
- investigations into integrity complaints and incidents as required

2. Assurance advisory

Assurance advisory services are activities we do that help improve the organisation's internal control environment. They include a range of activities such as participation in working groups, facilitation, training, and awareness programmes.

Our advisory activities are focused on assuring **that actions to manage strategic and operational risks are effective**. Activities include:

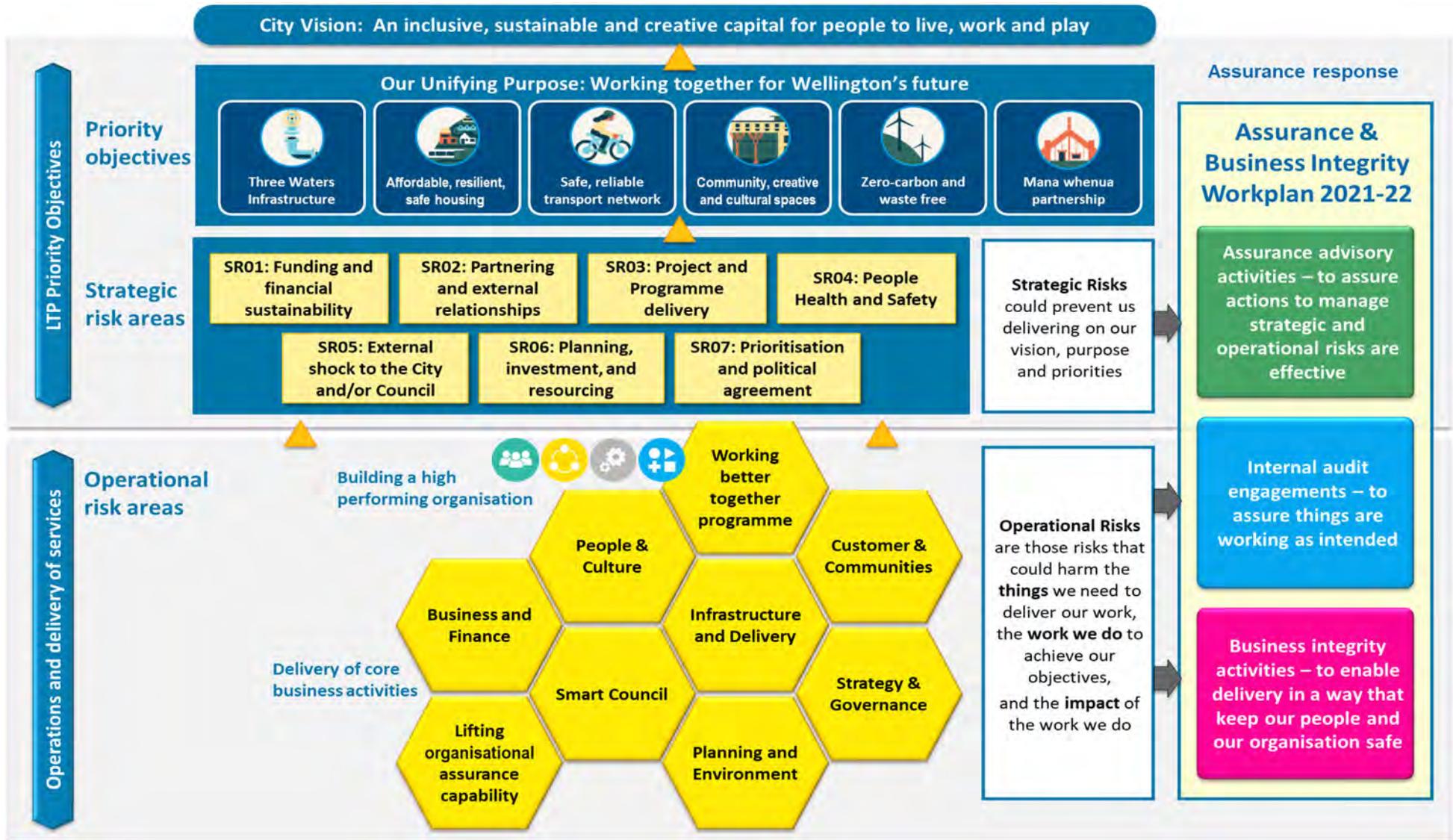
- assessing planned actions and risk treatments are adequate
- confirming that risk treatment plans are on track
- participation in working groups and initiatives to support problem assessment and delivery of risk treatments
- supporting education and awareness

The scope of work and results of advisory activities are documented to the extent appropriate to the nature of the advisory work.



3. Assurance response to strategic and operational risks

We provide assurance over strategic risks by assuring that risk treatments are adequate and on track. We do this through assurance advisory activities which include assuring the strategic risk monitoring and reporting process by the Risk Team, working with the Project Management Office on assuring delivery of significant projects, and following up high-risks findings. We provide assurance over operational risks through internal audit engagements of core services, business integrity activities and assurance advisory to lift maturity of internal controls such as policy governance framework and legislative compliance.



4. Workplan development and allocation of resources

Workplan development

We used a risk-based process to develop the Workplan. The process to develop the Workplan involves updating an Assurance Map (**Appendix 5**) which shows key assurance activities across the organisation, not just those performed by the Assurance & Business Integrity team. We identified possible assurance activities by assessing assurance needs and identifying assurance gaps. We then prioritised the assurance activities based on an audit risk assessment. Refer to **Appendix 3** for an overview of our Workplan development process.

Allocation of resources

Delivery of this Workplan will be resourced internally. Our assurance and business integrity resources include:

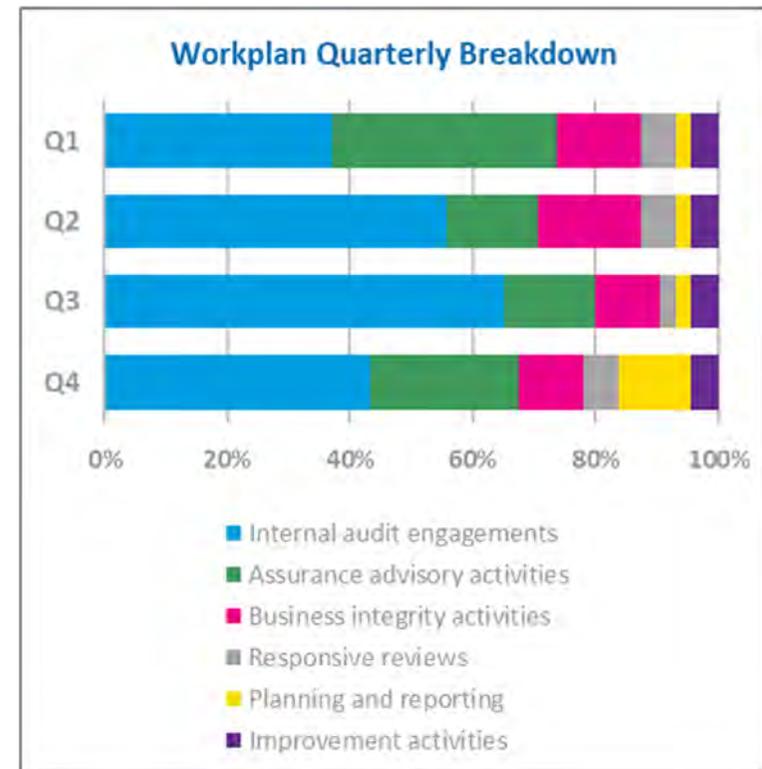
- Team Leader – 1 FTE
- Senior Advisors – 2 FTE

Our resources include a fixed term FTE to provide cover for a staff member who is on parental leave. The team is supported by the Manager Risk and Assurance and the wider Risk and Assurance team.

For 2021-22, our resources are allocated as follows:

Internal audit engagements	50%
Assurance advisory	23%
Business Integrity	13%
Responsive review (contingency)	5%
Planning and reporting	5%
Improvement activities	4%

We have allocated some contingency (5%) to respond to requests for assurance activities, investigations from protected disclosures or integrity related complaints and to respond to changes in risks.



5. Detailed Assurance Workplan for 2021-22

This section provides further details about the proposed schedule of assurance activities. We also mapped the proposed assurance activities in this Workplan against the risk impact assessment categories identified in the Enterprise Risk Framework (Appendix 4).

Type	Ref.	Assurance activity	Scope Explanation (to be refined at engagement planning stage)	Planned quarter	WBT [^]
Internal audit engagements	A1.	Internal controls assessment	Organisation internal controls assessment based on internal audit work completed during the financial year and assessment of a sample of selected sites or functions using the COSO framework – five elements of internal controls: control environment, risk management, control activities, information and communication of controls, management assurance and monitoring	Q1	
	A2.	Alcohol licensing	Assess the effectiveness of processes and controls for alcohol licensing, processes to support effective decision making by the District Licensing Committee and effectiveness of compliance monitoring.	Q1	
	A3.	Privacy	Review organisational privacy maturity level and identify actions for improving privacy practice. This review will include management self-assessment and independent verification of selected responses	Q2	
	A4.	Membership and booking system	Assess effectiveness of controls and processes for accuracy and completeness of membership management, bookings and revenue collection at pools and recreation centres.	Q2	
	A5.	Cash handling and reconciliations	Assess effectiveness of controls and processes for cash handling and bank reconciliation at selected Council sites. Sites includes selected libraries, carpark, community centres and the Service Centre	Q3	
	A6.	Cyber and information security	Assess the effectiveness of systems in place to consider and effectively address enterprise information security requirements	Q3	
	A7.	Tenancy services	Working alongside the Tenancy Management System Project Team to assess the design of key controls for tenancy operations.	Q4	
	A8.	Enterprise Project Management Office	Health check of the Project Management Office and to provide assurance over the design of project governance, assurance and delivery	Q4	

Type	Ref.	Assurance activity	Scope Explanation (to be refined at engagement planning stage)	Planned quarter	WBT [^]
Assurance advisory activities	V1.	Advisory engagements	<ul style="list-style-type: none"> Participate in selected initiatives and working groups and provide assurance advice as required. Activity areas include the following: <ul style="list-style-type: none"> Strategic risk monitoring and reporting Investment Advisory Group (programmes and projects) Source-to-Pay system (contracts management) OneCouncil Security User and Role Group Review Project OTO (onboarding, transfers and offboarding) Protected Security Requirement maturity assessment Payroll and HRIS Strategy working group Risk champions network (education and awareness) Purchasing Officer and P-Card forums (education and awareness) Development contributions (understanding current challenges) 	Q1-Q4	
	V2.	Internal policy governance	<ul style="list-style-type: none"> Deliver Internal Policy Governance Framework as part of an initiative under the Working Better Together programme Support the Internal Policy Working Group 	Q1-Q4	
	V3.	Follow up on independent recommendations	<ul style="list-style-type: none"> Follow up on open internal audit recommendations, including actions relating to procurement policy, oversight of significant services contracts, purchase-to-pay processes and other high/moderate risk rated findings Follow up on findings from other independent reviews, statutory and regulatory audits, including: <ul style="list-style-type: none"> Audit New Zealand annual external audit IANZ Building Consent Accreditation NZTA technical and procedures audits Independent assessment of levels of engagement between WCC and WWL 	Q1-Q4	
	V4.	Legislative compliance	<ul style="list-style-type: none"> Facilitate the completion of management compliance attestation and to assess the results to provide assurance as to whether systems are in place to effectively manage legislative compliance 	Q4	

Type	Ref.	Assurance activity	Scope Explanation (to be refined at engagement planning stage)	Planned quarter	WBT [^]
Business integrity activities	BI1.	Protected disclosures	<ul style="list-style-type: none"> Receive protected disclosures and take or recommend appropriate actions Maintain protected disclosures policy, procedures and reporting channels 	Q1-Q4	
	BI2.	Gifts received	<ul style="list-style-type: none"> Review gifts received declaration policy and procedures 	Q1	
	BI3.	Conflict of interest declarations	<ul style="list-style-type: none"> Review conflict of interest policy and procedures Work with relevant business areas to establish organisation-wide view of interest declarations 	Q2	
	BI4.	Fraud risk awareness	<ul style="list-style-type: none"> Deliver actions to raise fraud risk awareness including Fraud Awareness week Work with relevant business areas to maintain integrity risk assessment Targeted response for protected disclosure and investigation as required 	Q2	
	BI5.	Continuous Auditing Activities	<ul style="list-style-type: none"> Provide regular assurance over integrity controls including sensitive expenditure, gifts declaration, and conflicts of interest through data matching, analysis and transaction testing 	Q1-Q4	
Planning and reporting	1.	Annual assurance planning	<ul style="list-style-type: none"> Develop the annual programme of work 	Q4	
	2.	Governance reporting	<ul style="list-style-type: none"> Quarterly reporting to the Audit and Risk Subcommittee and the Executive Leadership Team 	Q1-Q4	
Improvement activities	1.	Professional development	<ul style="list-style-type: none"> Training and meeting the required continuous professional education hours Sector catch up, professional group networking 	Q1-Q4	
	2.	Process improvement	<ul style="list-style-type: none"> Update internal assurance procedures, processes, and guidelines Kōrero mai action plans, team business plans and activities 	Q1-Q4	

[^] Contribution to Working Better Together* focus areas:



Accountable leaders



Living our values



How we work



Connected Council

* Working Better Together (WBT) is an organisational programme that brings together projects and initiative that helps us to become a high performing organisation that is aligned to the Council's priorities and set up to deliver results for Wellington

6. Governance reporting

The following is the proposed schedule of reports that will be prepared by the Assurance and Business Integrity team for the Audit and Risk Subcommittee. The information in these reports is designed to support the Audit and Risk Subcommittee discharge their governance responsibilities as per their Terms of Reference.

Meeting Date	Proposed Reports	Subcommittee's Responsibilities <i>(extract of Terms of Reference for Audit and Risk Subcommittee – Kāwai Māhirahira)</i>
9 June 2021	<ul style="list-style-type: none"> Annual Workplan 2021-22 	8(a) Review and approve the internal audit coverage and annual workplans, ensuring these plans are based on the Council's risk profile
15 September 2021	<ul style="list-style-type: none"> Internal Audit Charter 	8(c) Review the internal audit charter to ensure appropriate organisational structures, authority, access, independence, resourcing and reporting arrangements are in place
	<ul style="list-style-type: none"> Internal Control Report for the period ending 30 June 2021 	12. Review and monitor whether management's approach to maintaining an effective internal control framework is sound and effective, and in particular: <ul style="list-style-type: none"> (a) Review whether management has taken steps to embed a culture that is committed to probity and ethical behaviour (b) Review whether management has in place relevant policies and procedures and how these are reviewed and monitored (c) Review whether there are appropriate systems, processes and controls in place to prevent, detect and effectively investigate fraud
	<ul style="list-style-type: none"> Update on legislative compliance for the period ending 30 June 2021 	7(b) Oversight of the systems in place to manage legislative compliance
9 February 2022	Update on: <ul style="list-style-type: none"> management actions to address open audit recommendations protected disclosures, internal fraud and investigations progress against agreed Workplan 	8(b) Review the adequacy of management's implementation of internal audit recommendations 12(c) Review whether there are appropriate systems, processes and controls in place to prevent, detect and effectively investigate fraud
1 June 2022	<ul style="list-style-type: none"> Annual Workplan 2022-23 	8(a) Review and approve the internal audit coverage and annual workplans, ensuring these plans are based on the Council's risk profile

Appendix 1 – Internal Audit Charter

Te Aho Marutau | Internal Audit

Our Charter – Our purpose, how we operate and what we do

**Absolutely Positively
Wellington City Council**
Me Heke Ki Pōneke

Why

The purpose of Internal Audit is to:

- enhance and protect organisational value by providing objective assurance, advice, and insight on governance, risk management, and internal control processes to the Executive Leadership Team and the Finance, Audit and Risk Management Subcommittee
- enable Council to deliver results and outcomes in a way that meets the public's expectations of accountability and our responsibilities as a public sector organisation.

How

A business partner approach

- We will work closely with leaders and managers to achieve shared organisational objectives.
- We will understand the needs of our customers and the outcomes they want to achieve.

Results and outcomes focused

- We will focus on the wider strategic objectives and outcomes rather than just the process used to produce a product or deliver a service.
- Knowing what success looks like informs how we can tailor our services to create value.

Act with integrity

- The Executive Leadership Team actively promotes and supports the need for the Internal Audit function and for Internal Auditors to perform their role objectively and with impartiality.
- When necessary, we can communicate to the Chief Executive and the chair of the Finance, Audit and Risk Management Subcommittee.
- We will uphold the principles of objectivity, integrity, confidentiality and competence.
- We will maintain an unbiased attitude and make balanced evidence-based assessments.

What

The scope of Internal Audit work include, but is not limited, to:

- develop and champion Council's Assurance Framework
- develop and carry out an audit plan to evaluate and improve the effectiveness of governance, risk management, and control processes
- provide assurance oversight and advice to programmes and projects
- provide advice on the engagement of other independent assurance providers across Council, including the scope of work and its delivery
- work with Council's Appointed Auditors to coordinate respective work programmes and to support shared outcomes
- monitor management's completion of actions from independent assurance reviews
- develop and maintain Council's protected disclosure policy on behalf of the Chief Executive and the Finance, Audit and Risk Management Subcommittee, receive protected disclosures and have oversight of any investigations under the Protected Disclosures Act 2000
- investigate allegations of frauds and other suspected financial misappropriations or avoidable losses
- provide internal audit and advisory services to Council Controlled Organisations (CCO) at the request of the Chief Executive of Wellington City Council.

In order to achieve this, the Executive Leadership Team authorises us to:

- define Council's framework and approach for assurance
- carry out internal audit work that covers all facets of the Council's business
- determine the scope of matters to be audited and to set audit objectives
- have access to appropriate resources in order to carry out our purpose
- have access to all Council records, personnel, and property, needed to carry out our work
- report to the Finance, Audit and Risk Management Subcommittee on all aspects of our function.

*Aho refers to a cord or string, represents the cross threads of weaving symbolising unity, and it also means to shine.
Marutau means to be on safe ground and protected.
Te Aho Marutau represents the guiding cord to keeps us all safe, shining the light to seek the way ahead together.*

Approved by:

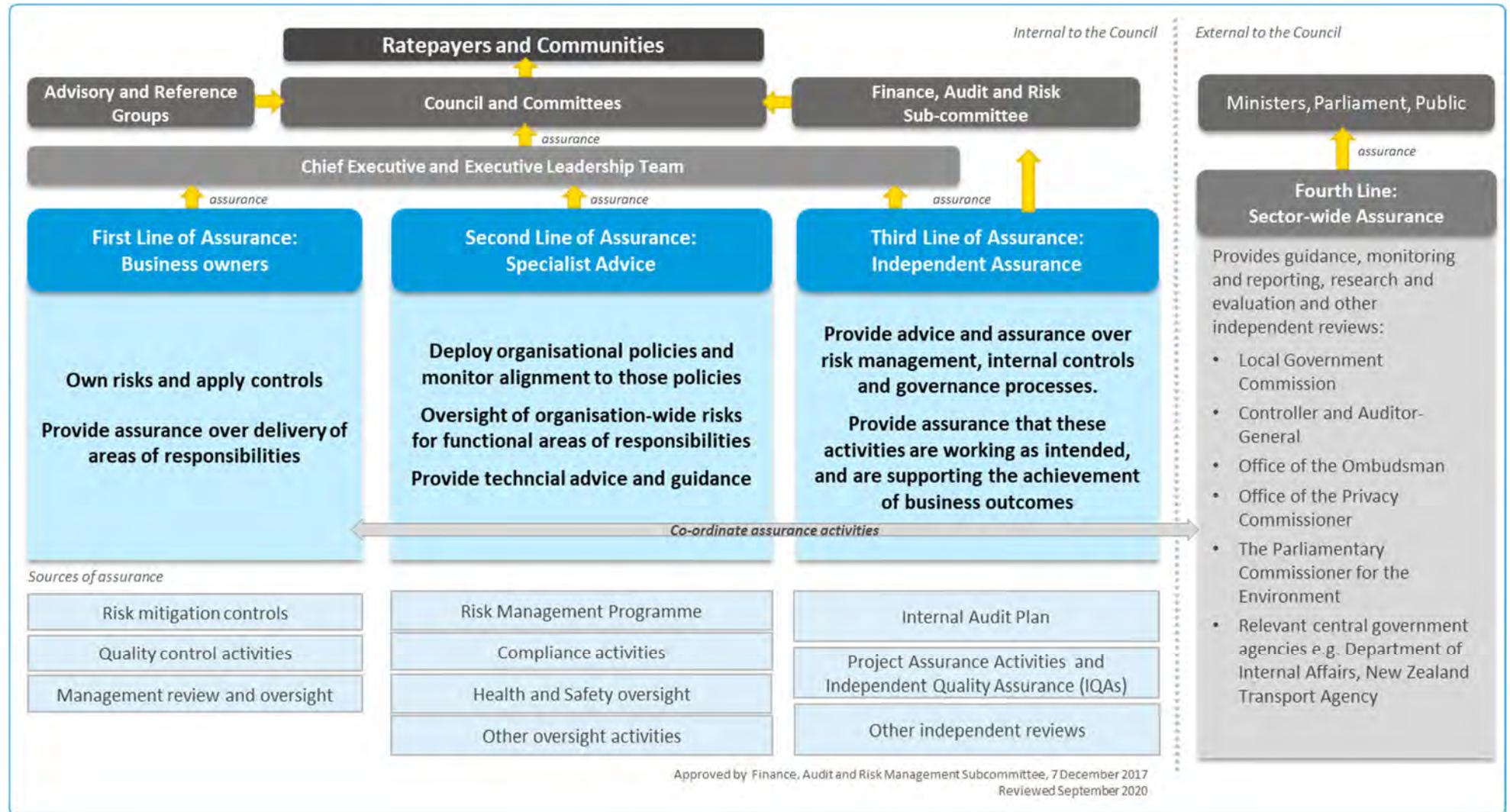
Executive Leadership Team, 28 May 2018

Finance, Audit and Risk Management Subcommittee, 13 June 2018

Next review date: June 2021 (every three years)

Appendix 2 – Enterprise Assurance Framework

The Enterprise Assurance Framework provides a model for understanding the various assurance activities that are carried out throughout the Council. It defines the responsibilities for assurance across the Council. The Council’s Assurance Framework is based on the ‘lines of assurance’ working together to provide confidence to stakeholders that the Council is well positioned to deliver its business objectives and outcomes.



Appendix 3 – Our Workplan development process



1. Understand our operating environment

- Long term plan and priority objectives
- Strategic and operational risks
- Internal and external emerging issues



2. Identify assurance activities

- Map the lines of assurance (see Assurance Map below)
- Identify assurance gaps
- Assess assurance needs



3. Prioritise based on an audit risk assessment

- Last audited date and the audit assessment rating
- Integrity risk exposure – number of decisions, sensitivity of public perceptions, opportunity
- Recent change in strategy, people, systems or processes
- Link to strategic risks
- Link to priority objectives
- Recent issues or emerging events



4. Review and respond

- Monitor changes in risk profile and business priorities
- Assess and adjust the Internal Audit Plan
- Respond to changes and requests

We used a risk-based approach to developing our plan. We focus on areas that have high inherent risks to the achievements of the Council’s vision and priorities.

Depending on the current risk, our plan of work focuses on assuring stakeholders that:

- things are working as expected to manage risk to an acceptable level
- actions to reduce risks are effective and action plans are on track

The planning steps for our Workplan are:

1. Understand our operating environment
2. Identify assurance activities
3. Prioritise based on audit risk assessment
4. Review and respond

Appendix 4 – Link to risk impact assessment

This shows the link between the assurance activities in the Workplan and the risk impact assessment categories identified in the Enterprise Risk Framework.

Ref	Assurance Activities in the Workplan	Risk impact assessment categories						
		Financial	Reputation	Regulatory	Legislative compliance	Health & Safety	Environmental	Service delivery
A1.	Organisational internal controls assessment							
A2.	Alcohol licensing							
A3.	Privacy							
A4.	Membership and booking system							
A5.	Cash handling and reconciliations							
A6.	Cyber and information security							
A7.	Tenancy services							
A8.	Enterprise Project Management Office							
V1.	Advisory engagements							
V2.	Internal policy governance							
V3.	Follow up on audit recommendations							
V4.	Legislative compliance							
BI6.	Protected disclosures							
BI7.	Gifts received							
BI8.	Conflict of interest							
BI9.	Fraud risk awareness							
BI10.	Continuous auditing activities							

Appendix 5 – Assurance Map

Assurance Areas	Summary of key activities	Assurance Line One & Two Key sources of Management Assurance	Assurance Line Three		Assurance Line Four (External Assurance)	
			Previous Internal Audit and Other Independent Assurance Reviews	Workplan for 2021-22		
Customer & Community	<p>City Housing</p> <ul style="list-style-type: none"> Tenancy services, operations, and facilities management <p>Arts, Culture and Community Services</p> <ul style="list-style-type: none"> Community Services, Libraries and Community Spaces Arts collection, city arts events, funding, and partnership Policy for public arts and events <p>Parks, Sports and Recreation</p> <ul style="list-style-type: none"> Horticulture, biodiversity and biosecurity operations Mowing and arboriculture operations Cemetery operations Town belt and reserves management Pools and recreation centres management Marinas, beaches and boatramps services Maintenance of public toilets and sculptures <p>Parking Services</p> <ul style="list-style-type: none"> Parking operations and resolutions On-street support and services <p>Economic and Commercial</p> <ul style="list-style-type: none"> Oversight of CCOs Major events 	<ul style="list-style-type: none"> Deed of Grant monitoring & reporting Tenants Satisfaction Survey Tenancy review Training and Competency Framework Management reporting to Grants Subcommittee Quality management systems standards, policies and procedures & checks Outcome Indicators and Performance Measures KPI operational audits Health and safety assessments Enforcement management system CCO governance & reporting 	<ul style="list-style-type: none"> Grants (2019-20) PSR operations (2018-19) Parking (2016-17) Playgrounds (2016-17) Swimming Pools (2016-17) Burials and Cremations (2015-16) Art and Cultural Activities (2015-16) Housing (2015-16) 	<ul style="list-style-type: none"> Cash handling and reconciliation (audit) Membership and booking system (audit) Tenancy operations (audit) 	<ul style="list-style-type: none"> Cemetery operations: quality assurance, regulatory compliance, customer services, PlotBox system Predator free: Monitoring and reporting received for ongoing support for predator free and community trapping Grants management system: business process changes from new system implementation Parking: discretionary decision making, appeals and complaints handling Vulnerable Children Act: operational processes supporting compliance Playground: service levels, maintenance, and renewals Marinas and boat ramps services Library operations CCO governance and monitoring 	<ul style="list-style-type: none"> Telarc NZ annual audit on the ISO:9001 Quality Management System Accreditation (burials and cremation) Greater Wellington Regional Council (relating to the management of pests and animals) Worksafe Hazardous Substance Audit MBIE Tenancy Compliance Audit Ministry of Housing and Urban Development (HUD) Deed of Grant compliance
Planning & Environment	<p>Build Wellington</p> <ul style="list-style-type: none"> Urban Regeneration Projects Housing Development <p>City Consenting and Compliance</p> <ul style="list-style-type: none"> Building and plumbing inspections and consents Resource consent and compliance Land information Public health and alcohol management <p>City Design & Place Planning</p> <ul style="list-style-type: none"> Urban Design, Heritage, and Place Planning Transport Planning <p>Climate Change Response</p> <ul style="list-style-type: none"> Sustainability 	<ul style="list-style-type: none"> Quality Management Systems & Assessments Approvals and authorisations Licensing Marking Programme Audits & Inspections programmes Officer Qualification system Competency Assessments Professional development & training Project assurance 	<ul style="list-style-type: none"> BCA Readiness Assessment (2020-21) Building Consents (2017-18) Transport and Place planning (2019-2020) Public Spaces & Centre Development (Bond St) (2015-16) Alcohol Licensing (2015-16) Public Health (Dogs) (2015-16) 	<ul style="list-style-type: none"> Alcohol licencing and compliance monitoring (audit) Follow up on findings from statutory and regulatory audits (advisory) 	<ul style="list-style-type: none"> Development contributions: Effectiveness of the development contribution policy to support strategic priorities Resource consents: consenting process and compliance monitoring Dog control: effectiveness of contract management and monitoring to ensure obligations for compliance, enforcement and infringement activities are met Billing for consenting fees: Revenue collection completeness and accuracy and customers experience as a result from the existing process. 	<ul style="list-style-type: none"> Building consent authority accreditation by IANZ (every 2 years) and technical reviews by MBIE MPI accreditation (food safety – to assess competency to verify National Programmes)
Infrastructure & Delivery	<p>Transport & Infrastructure</p> <ul style="list-style-type: none"> Transport infrastructure planning National Land Transport Programme implementation Roading Transport assets management Kiwi Point Quarry operations <p>Resilience</p> <ul style="list-style-type: none"> Business Continuity, Emergency Management and Earthquake-Prone Buildings Landfill operations and waste management, minimisation, and landfill strategies City Engineer and Three Waters <p>Property</p> <ul style="list-style-type: none"> Energy Management Property management, leasing, sales and acquisitions Facilities Maintenance Contract <p>Strategic Asset management</p> <p>Enterprise Project Management Office</p>	<ul style="list-style-type: none"> Professional memberships, development & training Alignment to relevant national standards e.g. infrastructure & service provision, conditions of contract for building and civil engineering Compliance activities including Traffic Management Plan approval and reinstatement audits Recycling audit and litter enforcement Resident's Monitoring Survey Asset Management Plans reviews EPMO assurance Project management maturity assessment 	<ul style="list-style-type: none"> Business continuity processes (2020-21) CE review of levels of engagement between the Wellington City Council and Wellington Water Limited (2020) Tip Shop – staff purchases (2019-2020) Property Management (2019-20) FM contract control design review (2019-2020) Project Advisors Working Group (2019-20) (Advisory) Project Governance think piece (2018-19) (Advisory) Landfill operations (2018-19) Transport operations (2018-19) Procurement – Project Town Hall (2017-18) 	<ul style="list-style-type: none"> EPMO Health Check (audit) Follow up on WCC and WWL levels of engagement (advisory) Investment Advisory Group (advisory) Watching brief over Te Ngākau Procurement Probity Review (advisory) 	<ul style="list-style-type: none"> Facilities management: effectiveness of contract and operations Commercial management approach: Oversight of significant services contracts and value for money for significant spend Three waters reform 	<ul style="list-style-type: none"> NZTA technical & procedural audits every 2-3 years Greater Wellington Regional Council consenting checks

Assurance Areas	Summary of key activities	Assurance Line One & Two Key sources of Management Assurance	Assurance Line Three		Assurance Line Four (External Assurance)	
			Previous Internal Audit and Other Independent Assurance Reviews	Workplan for 2021-22		Possible activities for out years
Smart Council	<p>Technology Services</p> <ul style="list-style-type: none"> Service desk, deskside and application support Infrastructure service <p>Customer experience</p> <ul style="list-style-type: none"> Service design Contact centre and service centre operations <p>Data and Insights</p> <ul style="list-style-type: none"> Land, customer & property information City archives Corporate GIS & Business Intelligence Information Management Support <p>Architecture and digital innovation</p> <ul style="list-style-type: none"> Systems development Digital Innovation Solutions Architecture 	<ul style="list-style-type: none"> Customer surveys IT Architecture review Disaster recovery review Compliance against PCI Security Council Standards 	<ul style="list-style-type: none"> IT Infrastructure (2014-15) Watching brief on embedding IT and Smart Council changes (advisory) 	<ul style="list-style-type: none"> Cyber and Information Security (audit) OTO – Onboarding, Transfer and Offboarding (advisory) 	<ul style="list-style-type: none"> Contact centre operations: management controls and accuracy of measures and performance reporting ICT Operations: delivery of IT service, service requests, incidents and problem management and business process controls management IT acquisition and implementation: manage change acceptance, IT assets, configuration, knowledge Land and property information: completeness, efficiency, security 	<ul style="list-style-type: none"> Audit New Zealand review of IT general controls
People & Culture	<p>HR Services</p> <ul style="list-style-type: none"> Talent Acquisition Payroll, Remuneration, analysis, and reporting Organisation change management <p>Culture & Capability</p> <ul style="list-style-type: none"> Organisation culture Learning and development <p>Safety, Security & Wellbeing</p> <ul style="list-style-type: none"> Injury and incident prevention & investigations Wellness programme Security 	<ul style="list-style-type: none"> Korero Mai Engagement Survey Code of conduct acknowledgement People and capability planning & framework Approvals and authorisations Protective Security Requirements Assessment Safety Observations Health and Safety Management System Review 	<ul style="list-style-type: none"> Actions Plans for Nasty Nine (2020-21) Independent H&S Audit 2021 H&S Assurance Framework (Advisory) (2018-19) Payroll (2017-18) 	<ul style="list-style-type: none"> HRIS & Payroll Strategy (advisory) Protective security requirement maturity assessment (advisory) 	<ul style="list-style-type: none"> Wellbeing & psychological health: Psychological health and safety measures in place People performance management: Completeness and effectiveness of framework Culture: Operational practices and behaviour patterns that affect the control environment culture 	<ul style="list-style-type: none"> ACC Audit for Accredited Employers Programme
Finance & Business	<p>Finance Business Partnering</p> <ul style="list-style-type: none"> Budgeting and Forecasting Business reporting Financial Analysis and Advice <p>Financial Accounting and Transactions</p> <ul style="list-style-type: none"> Rates and accounts receivable Payment services Financial accounting <p>Finance Strategy and Treasury</p> <ul style="list-style-type: none"> Financial and strategic asset planning Financial strategy, funding, and treasury management Insurance strategy, placement, and management <p>Commercial Partnership</p> <ul style="list-style-type: none"> Commercial procurement Contracts and planning LGWM interface 	<ul style="list-style-type: none"> Management annual letter of responsibility and accountability Financial dashboard Approvals and authorisations Quality checks, reconciliation, and reporting processes Payments monitoring and reporting P-card compliance monitoring Finance & Treasury Committee Conflict of interest declarations 	<ul style="list-style-type: none"> Continuous Auditing Activities: gifts declaration, conflicts of interest, sensitive expenditure (2020-21) Purchase – to – pay (2020-21) Procurement and contracts management (2018-19) Sensitive Expenditure (2018-19, 2017-18, 2016-17) Balance sheet reconciliation (2016-17) Accounts Receivable (2015-16) Business Reporting (2015-16) 	<ul style="list-style-type: none"> Reconciliation (part of cash handling audit) Follow up on audit finding relating to procurement and oversight of significant services contracts (advisory) Continuous Auditing Activities: gifts declaration, conflicts of interest, sensitive expenditure (integrity) Conflict of interest declaration (integrity) 	<ul style="list-style-type: none"> Debt collection: Effectiveness of debt collection process and identify potential root causes for high amounts of outstanding debts in the process Business planning: Integration and alignment of strategy, business planning, financial budgeting and performance reporting 	<ul style="list-style-type: none"> Audit New Zealand annual audit of financial statements and service performance information Audit New Zealand audit of the Long Term Plan Inland Revenue audits
Strategy & Governance	<p>Risk & Assurance</p> <ul style="list-style-type: none"> Official information and privacy requests Internal Audit, investigations, and integrity services Risk management <p>Communications & Engagement</p> <ul style="list-style-type: none"> Community communication and engagement Internal communications Media services Creative and brand services <p>Governance</p> <ul style="list-style-type: none"> Elected Members Support, Democracy Services Mayor's Office <p>Strategy, Policy & Research</p> <ul style="list-style-type: none"> Strategy, policy, research and evaluation Annual Plan Annual and Quarterly Reports International Relations <p>Tira Poutama</p> <p>Legal Services</p>	<ul style="list-style-type: none"> Risk Management Maturity Assessment Privacy Maturity Assessment Professional memberships, development & training Quality checks, reconciliation, and reporting processes Research and evaluation quality methodology Standing order guidelines Annual legislative compliance attestation 	<ul style="list-style-type: none"> Project Assurance – Elections and Transition Readiness Assessment (2018-19) Organisational Policies (2016-17) Complaints Resolution (2015-16) Consultation & Engagement and consultation (2015-16) Elections 2016 Assurance Review (2016-17) 	<ul style="list-style-type: none"> Privacy management (audit) Organisational internal controls assessment (audit) Internal policy governance (advisory) Legislative compliance (advisory) Gifts received (integrity) Protected disclosures (integrity) 	<ul style="list-style-type: none"> Performance reporting: adequacy of quality controls over performance measures and reporting process Research and evaluation: effectiveness of programme and methodology Quality of policy advice: evidence-based policy development and assurance approach 	<ul style="list-style-type: none"> Ombudsman determinations Office of the Privacy Commissioner investigations

RISK MANAGEMENT TEAM WORKPLAN 2021-22

Purpose

1. This paper proposes the Risk Management Team Workplan 2021-22 for approval by the Kāwai Māhirahira - Audit and Risk Subcommittee.

Recommendations

That the Kāwai Māhirahira - Audit and Risk Subcommittee:

1. Receive the information
2. Approves the Risk Management Team Workplan 2021-22.

Background

3. The subcommittee terms of reference require the subcommittee to review, approve and monitor the implementation of the risk management programme of work
4. The Risk Management Team has developed a summary workplan for 2021-22 with a focus on the following three key areas:
 - a. Lifting Council risk management maturity, understanding and practice at all levels
 - b. Risk governance: Strengthening strategic risk reporting, organisational maturity reporting, and the enterprise risk framework
 - c. Ensuring the Risk Management Team is well connected with risk practitioners within and outside of Council, maintains its knowledge base, and has adequate capability and capacity to support the work programme.
5. The workplan is aligned with the Working Better Together themes of: Accountable leaders; How we work; Connected Council; and Living Our values.
6. The plan provides an overview of planned work, while anticipating that some focus areas will be identified through a planned organisational risk management maturity survey scheduled for Quarter One.

Next Actions

7. The subcommittee will be provided with updates at future meetings on the implementation of activities identified in the workplan.

Attachments

Attachment 1. Risk Management Team Workplan 2021-22 [↓](#) 

Page 29

Author	Kim Wright, Principal Advisor Risk Management
Authoriser	Richard Leverington, Manager Risk and Assurance Stephen McArthur, Chief Strategy & Governance Officer

SUPPORTING INFORMATION

Engagement and Consultation

There are no requirements to consult on the matters raised in this paper.

Treaty of Waitangi considerations

There are no specific Treaty of Waitangi considerations.

Financial implications

There are no new financial implications raised in this paper.

Policy and legislative implications

There are no new policy or legislative implications raised in this paper

Risks / legal

The Risk Management Team is responsible for facilitating strategic risk identification, delivering strategic risk reporting and the work programme to lift risk management maturity. If the workplan misses key focus areas, or is not practical or achievable, elected members and the Executive Leadership Team will not have confidence that risk management maturity is improving or that appropriate reporting for strategic risks is in place.

Climate Change impact and considerations

There are no climate change implications arising from this paper

Communications Plan

No communication plan is required for this paper.

Health and Safety Impact considered

There is no health and safety implications arising from this paper

Contents

Overview of the 2021-22 Risk Management Team Workplan..... 3

Strategic and Organisational risk: linking our workplan to Council’s vision and priorities 4

Risk Management Quarterly Workplan 2020-21 5

Risk management team activities 6

Overview of the 2021-22 Risk Management Team Workplan

Our purpose is to support Council to identify and manage strategic risks and to lift risk management capability across the organisation.

Risks are those internal and external threats and challenges that could prevent us from achieving our objectives. At the strategic level, these objectives are aligned to the LTP and Council’s ability to deliver on its outcomes. At the operational level, these objectives set by projects, programmes, activities, and services, Council undertakes in order to achieve its purpose.

Our team’s key activities are to:

- Identify, with practitioners, ELT and Councillors, Council’s Strategic Risks. Report on the status of strategic risks and the measures in place to reduce risks to acceptable levels. Communicate gaps and opportunities in strategic risk management to ELT to support decision-making. Monitor emerging risks.
- Develop training, information, frameworks and tools for strategic and operational risk identification, assessment, and monitoring and reporting
- Lift risk management capability and develop a community of risk management practitioners within Council. Support the risk assessments and risk reporting of Business Units (BUs) across council.

This workplan will be shared with ELT, Councillors and BUs. It focuses on building capability, reconnecting across Council, and reviewing and refreshing risk management processes.

We will also be focussing on greater alignment of risk management with Council’s vision, goals, and values. We will align our work more closely with other relevant frameworks and with other maturity initiatives, in areas such as project management, procurement, climate change and resilience.

Risk Management Team Workplan 2021-2022

Governance: Strategic risk identification, assessment, and reporting advice– 20%

1. Links to strategic goals and outcomes
2. Strategic risk identification and assessment workshops ELT and Councillors
3. Develop improved indicators for risk management reporting
4. Governance reporting (ELT and Councillors)

Demonstrating working better together



Organisational risk maturity – 70%

1. Internal Risk Champions network
2. Alignment with Council vision, priorities, and other BUs maturity workplans
3. Enterprise risk maturity survey including analysis and reporting and follow up focussed work
4. Risk assessment methodology, templates, and tools refinement
5. Support for operational risk assessments
6. Develop where kura and other training materials and modules

Demonstrating working better together



Risk Management team improvement activities –10%

1. Connecting and engagement with BUs and Units across Council
2. Team training, professional development, and knowledge building

Demonstrating working better together



Accountable leaders



Connected Council



The way we work



Living our values



Strategic and Organisational risk: linking our workplan to Council's vision and priorities



Risk Management Quarterly Workplan 2020-21

Capacity

The team is sized at two FTEs. The Risk Management team is currently in a rebuilding and renewal phase following staff turnover in 2020. The workplan reflects the current resource level of the team.

Delivery of the agreed list of internal activities outlined in the workplan will be resourced internally. As at May 2021 risk management resources:

- 1 FTE Principal Advisor
- 1 FTE Senior Advisor (currently recruiting – expected start mid July)
- Plus, support from wider Risk and Assurance Team

Activities

For 2021-22, we plan to allocate our time and resource as follows:

Organisational risk maturity	68%
Risk management team improvements	12%
Strategic Risk identification, assessment, and reporting advice	20%



Comment on quarterly breakdown

Many of the Risk Management team’s activities involve ongoing activities and services. Throughout the year we will continue to build capability across the organisation through support for programme, project, and BU risk assessments, supported by our Risk Champions. We expect this work to grow in Q3 and Q4 in response to greater visibility of our services and more user-friendly tools and resources. We will also be applying Whakapai ake to our own team to ensure we maintain our knowledge base on best practice and develop our own skills to better support WCC.

The breakdown for each quarter reflects an early rebuilding and reflection phase followed by growth in engagement and support. Quarter 1 includes a strategic risks assessment workshop with ELT and Councillor involvement. In the first quarter, our work will be framed by the analysis of the planned organisational risk maturity survey. The maturity survey will assist us with identification of improvement focus areas. In Q1 we will also be focusing on alignment with the frameworks of other BUs maturity work across Council, as well as greater visibility and recognition of the alignment of our work to Council strategic vision and priorities. Quarter 2 will involve a review and refresh of our methods, tools, and templates for assessing and reporting on risks at the Strategic and Operational level. We will undertake targeted work with Groups/BUs based on the results of the risk maturity survey. From Q2 - Q4 we will work on improvements to training materials, resources, and information available to all staff to lift risk management capability.

Risk management team activities

	Risk Management Level	Scope/Explanation	Planned quarter(s)	WBT
	Governance	Strategic risk identification, management, and reporting		
1.	Alignment with strategic vision, goals, and priorities	Council plan and strategies provide the contextual framework for all work we do. Our strategic risks are those threats and challenges that could prevent or hinder us in achieving our priority objectives to deliver on our vision.	Q1-Q4	 
2.	Strategic Risk identification workshop	Using the enterprise risk matrix and applying our strategic context, identify and assess Council's strategic risks, including the drivers of these risks. Summarise this information to support risk evaluation, reporting on current and proposed risk treatment (controls), risk status reporting, and target setting for strategic risk management decisions. Separate technical and consulting workshops will be held with ELT and Councillors respectively.	Q1	 
3.	Develop improved indicators for risk management reporting	Current indicators are aligned with the CEO's KPIs for the organisation. While alignment and consistency are important, these indicators are not applicable to all risks and meeting these KPIs does not necessarily mean a risk is being reduced or managed to acceptable levels. This work will include development of qualitative indicators or descriptors for reporting on risks that are not able to be measured quantitatively, such as the quality or status of relationships with mana whenua and other important partners.	Q2	
4.	Reporting to Executive Leadership Team and Councillors	Monthly reporting of strategic risk status, significant emerging risks, and risk management issues of note to ELT. Quarterly reporting of strategic risk status and significant emerging risks to the Assurance and Risk Committee.	Q1-Q4	
Operational risk		Organisational risk maturity		
1.	Facilitate and grow the WCC Risk Champions group	The Risk Champions are people with an interest in risk management and some influence within their group or business unit. The purpose of this activity is to lift the capability of the Champions, through regular knowledge sharing and opportunities for learning. The Risk Champions in turn facilitate and advocate for good practice risk management within their areas.	Q1-Q4 (ongoing)	 
2.	Enterprise risk maturity survey	Using the DIA all of government enterprise risk maturity survey tool, track our progress against 12 standardised criteria on our risk maturity journey. Analyse the results for reporting to ELT and Councillors. Use the results to target areas for team engagement and support.	Q1 (survey) Q2-Q4 follow-up	 

	Risk Management Level	Scope/Explanation	Planned quarter(s)	WBT
3.	Strategic alignment and shared practice	Identify and capitalise on shared benefits and opportunities from the various units working to develop more mature and strategic frameworks. This includes the Project Managing Office strategy, the Resilience team, the Procurement team, and the Climate Change team.	Q1-Q2	
4.	Risk assessment methodology, tools, and templates refinement	Complete a stocktake and review of operational risk assessment tools and templates. Consolidate, update, and refine as necessary to ensure risk assessments are straightforward, appropriately scaled and provide useful information for decision-makers and risk owners.	Q1	
5.	Support for WCC operational risk assessments	We have allocated 30% of our time to support BUs in undertaking risk assessments and providing risk management advice to Council BUs. This is based on current levels of support requests continuing in the first Quarter and an expected increase in requests as the team's work becomes more visible. While much of the work in this area is in response to direct requests as they arise, we will also use this time to work in area of greatest need following the organisational risk maturity survey scheduled for June. The Risk Champions will be involved in risk assessments within their work areas to lift capability across the organisation.	Q1-Q4	 
6.	Training materials, online resources, and services information	We will review and refresh online risk management information and resources that describe our team and services. We will also develop new, scalable training resources and materials to support operational risk assessment and management.	Q2-Q4	
Team		Risk Management Team improvements		
1.	Connecting and engaging with BUs across Council	To best support good practice risk management across Council, the Risk Management team must develop a strong understanding of the range of WCC activities, programmes, and projects. We also need to build trusted relationships and visibility of the services and support our team can provide.	Q1-Q4	 
2.	Team training professional development and knowledge building	The team will maintain and grow technical expertise in risk management theory and practice and in particular deepen their expertise in local government strategic and operational risk management best practice. This involves learning and engagement with practitioners inside and external to Council, as well as training, workshops, and professional development. This will ensure Council receives the appropriate level of advice and support from the team.	Q1-Q4	 

HEALTH, SAFETY AND SECURITY REPORT

Purpose

1. This report asks the Kāwai Māhirahira - Audit and Risk Subcommittee to review the Council's health and safety performance for the period 1 January 2021 to 30 April 2021.

Summary

2. The Report provides information that aligns with the Officer due diligence responsibilities 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 the HSWA.
3. This report comprises qualitative commentary on activities that have occurred in the last four months, and are presented in three categories:
 - Risks
 - Relationships
 - Resources.
4. The dashboard reporting (attachment 1) provides quantitative leading and lagging indicators to measure health and safety performance within Council.
5. 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. The Council is a member of the Business Leader's Forum.

Recommendation

That the Kāwai Māhirahira - Audit and Risk Subcommittee:

1. Receive the information
2. Recommend to the Pūroro Tahua – Finance and Performance Committee to receive the information on 17 June 2021.

Risks

Risk Profiles

6. The Council's Safety, Security and Wellbeing Team focusses on the Council's top nine priority hazard/risk controls, as presented to the Finance, Audit and Risk Subcommittee previously. The top nine risks are shown below and defined by potential consequence and likelihood.

#	Risk
1	Personal Confrontation
2	Vehicle Traffic Mobile Equipment
3	Health and Impairment
4	Asset Failure
5	Work Related Health Hazards
6	Natural Events
7	Work with or in the Vicinity of Services
8	Work at Height
9	Ignition Sources

Specific Areas of Risk

7. The following summarises key pieces of work that have occurred in the last six 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 HSWA and Local Government Act 2002 (good employer).

External Health and Safety Review

8. An external review was completed in February and March 2021, as per the health and safety assurance framework. The review focused on the effectiveness of current health and safety management system, resources available and perceived maturity of the health and safety culture.
9. Key findings included:
- Good health and safety management systems are in place, more consistency around application is required
 - That WCC's health and safety maturity is nearing a calculative level, with strands of reactive behaviour still observed
 - There is a need to further assess the risk profiles of business groups to ensure consistent levels of health and safety resource is provided to reduce any risk exposure. *This risk profile has been completed and will shortly be presented along with a paper through to ELT around proposed levels of resource to reduce risk exposure and improve consistency of application.*
 - The existing information management system is no longer fit for purpose, work should begin defining the technical and user requirements. *An initial session has been completed with internal stakeholders around the case for change, along with a project manager now being appointed to lead the project.*

Health and Safety Assurance

10. The Safety, Security and Wellbeing Team continue to utilise the Health and Safety Assurance Framework document aligned to the Councils Assurance Framework. The

document has provided the team and organisation with an easy visual means of engaging 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'.

11. The next external assurance activity is the annual ACC audit focused on injury management standards only, occurring late July.

Incident Investigations

12. In this four-month reporting period 21 incident reports were of a high or extreme risk nature or resulted in significant harm (lost time injury). These incidents are detailed within the Health and Safety Performance Report in section 5.

Local Government Official Information and Meetings Act 1987 (LGOIMA)

13. No requests were made during this reporting period.

Relationships

Construction Client Group

14. Council have continued to participate in the Construction Clients Group forums in this reporting periodic, with the majority occurring virtually. This is a national forum that brings stakeholders together to deliver consistent practice for the health and safety across the construction and infrastructure industries. 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 overlapping duties and Safety (and Health) in Design principles.

Government Health & Safety Lead

15. 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. Recent examples include impairment. 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.

Security Community of Practise and Engagement (SCOPE)

16. This group's purpose is to bring together security practitioners in the public sector to share experiences, knowledge and insight about security practice, engagement, and implementation within the public sector. Objectives of the group include extending knowledge through sharing experience, creative and innovative thinking, enable problem solving in a collaborative and safe environment, keep across industry best practice through information sharing and build and maintain relationships across government agencies through regular contact.

Resources

Annual Plan

17. The actions for completion in the Council's 2020/21 Safety, Security and Wellbeing Work Plan are monitored by the Council's Health and Safety Steering Group. There were several actions that had not been fully achieved during the year because of changing focus areas in supporting the organisation with COVID-19 alert levels and staff changes within the Safety Security and Wellbeing team.
18. Some of the key work plan achievements this reporting period.
 - Protective Security Requirements adopted and governance group in process of forming (first local government participant)
 - Completion of external audit focused on management system, resources (including systems) and health and safety culture.

Mental Health and Wellbeing

19. Building off three key areas identified through engagement sessions in previous reporting periods, we have since undertaken work on to support staff including; raising awareness of mental distress, training leaders and supporting staff to support others experiencing mental distress and developing process transparency in relation to the Council's support mechanisms. The provision of Mental Health first aid training sessions has continued across the organisation, now including front line workers. An online training tool for Managers on 'Supporting your People' is provided through Council's Training portal (Whare Kura).

Elected Members Due Diligence

20. The information below demonstrates elected members' performance against due diligence actions for the six months period 1 January 2021 – 30 April 2021.

Legislative Due Diligence Requirement

- 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 (2015).

Due Diligence	Actual
Attend one health and safety leadership induction workshop(s) per annum, (e.g. Business Leaders forum; 'Leading Safety' refresher; public Health & Safety Seminars)	None during this reporting period. The most recent elected member workshop was in November 2019 on due diligence obligations. The most recent executive leaders' workshop was held in December 2020, focused on monitoring what matters and

	taking learnings from the ongoing response to COVID-19.
Participate in site/workplace safety observations with an ELT Member	<p>Six planned observations were undertaken involving Councillors.</p> <ul style="list-style-type: none"> • 12/02/2021 – Councillor Young • 22/01/2021 – Mayor Foster • 22/03/2021 – Councillor Matthews • 16/04/2021 – Councillor Rush • 16/04/2021 – Councillor Woolf • 23/04/2021 – Councillor Calvert. <p>Sixteen (16) planned observations were undertaken involving executive leadership team members.</p> <ul style="list-style-type: none"> • 22/01/2021 - CPO Liam Hodgetts • 12/02/2021 – CDO James Roberts • 12/02/2021 – CSGO Stephen McArthur • 15/02/2021 – EO Jessica Beyeler • 25/02/2021 – HMSP Karepa Wall • 1/03/2021 – HMSP Karepa Wall • 5/03/2021 – CIO Tom Williams • 8/03/2021 – CPCO Meredith Blackler • 12/03/2021 – CPO Liam Hodgetts • 22/03/2021 – CSGO Stephen McArthur • 26/03/2021 – CCO Claire Richardson • 31/03/2021 – HMSP Karepa Wall • 5/04/2021 – CPCO Meredith Blackler • 16/04/2021 – CIO Tom Williams • 19/04/2021 – CSGO Stephen McArthur • 23/04/2021 – CDO James Roberts.
Oversight of Health and Safety Climate survey findings and results	The biennial Health & Safety Climate survey was last undertaken in November 2019 and reported to HSSG (<i>next scheduled for October 2021</i>).
Receive and review health and safety information on Council health and safety performance through Council's health and safety reporting framework	<p>The most recent reports presented to FARS and CSC are for the periods:</p> <p>1 January 2021 – 31 March 2021</p> <p>1 July 2020 – 31 December 2020</p> <p>1 July 2019 to 30 June 2020 (annual report).</p>
Have oversight of Council's Hazard and Risk Register	Council have nine critical risk categories and 20 other risk categories.

through annual review process	
-------------------------------	--

Attachments

Attachment 1. Health, Safety and Security Performance Report [↓](#) 

Page 44

Author	Gareth Jeune, Manager of Safety, Security and Wellbeing
Authoriser	Meredith Blackler, Chief People and Culture Officer

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. As an organisation this supports the obligations to be a good employer under the Local Government Act 2002.

Risks / legal

N/A

Climate Change impact and considerations

N/A

Communications Plan

N/A

Health and Safety Impact considered

N/A

Health, Safety & Security Performance

Reporting Period 1st January – 30th April 2021

WCC has a responsibility to regularly monitor its Health and Safety (H&S) performance to ensure it is on track to meet both its related Policy expectations and H&S strategy. To monitor its performance, WCC will collect data and use a range of indicators as part of regular reporting protocols.

These measures include a balance of leading and lagging indicators and are selected to outline improving, consistent or deteriorating H&S performance.

Section 1: Leading indicators

Leading indicators involve precursors that may lead to an accident, injury, or disease. They focus on improving health and safety performance and reducing the probability of serious accidents. They can be used to monitor the effectiveness of the health and safety management system before accidents, incidents and failures happen and work towards preventing or controlling their occurrence.

1.1 Leading indicators

Metric	Reporting period 1 st Jan – 30 th Apr 21	Comparable period 1 st Jan – 30 th Apr 20	FYTD July 1 st 20 - present
# of health and safety representatives (HSR)	111	102	111
# of representatives trained (HSR) during period	13	0	13
# of physical first aiders trained (SSW Coordinated)	4	0	7
# of mental health first aiders trained	54	57	111
# of workers trained on personal confrontation (full day)	0	10	46
# of resilience course learners trained	0	0	16
# of health and safety heroes	0	0	0
# of elected member workplace engagements	6	6	18
# of executive member workplace engagements	17	4	25
# of random drug and alcohol Test - pass	29	0	176
# of random drug and alcohol Test - fail	0	0	0
# of early intervention physiotherapy (mirimiri) sessions	0	Not used	0
# of early intervention physiotherapy (European method) sessions	27	19	57
# of employee assistance programme hours <i>Refer to section 3.3 for further context on usage.</i>	245.5	194.5	641.25

Points to highlight

Consistent levels of Elected Members and a significant lift in the presence of Executive Leadership Team members in workplace engagements over the reporting period. A positive indicator of leadership buy-in towards health and safety, along with the value of gaining front line worker insights and ideas to better manage health and safety risks.

WCC has maintained consistent levels of health and safety representatives (HSR) within the organisation and they play a key role in advocating for workplace health and safety. HSR training events have resumed in this reporting period and several events are scheduled for the month of May and June.

1.2 Near miss incident risk break down

Severity	Extreme	High	Moderate	Low
Near miss incidents	0	1	17	288

Related definition: any incident that did not harm people or damage assets or the environment but, in different circumstances, could have done so. *These events are included within section 5 below.

Points to highlight

The proportion of higher risk incidents to lower risk events highlights the opportunities that exist to control risks without actual harm occurring or a higher level of consequence.

Section 2: Lagging indicators

Lagging indicators measure loss events that have already occurred. They quantify WCC's H&S performance in terms of past incident statistics (numbers of incidents, reported accidents, incidences of disease or failures of systems). We use these indicators to measure the outcomes of WCC's management of H&S.

Noting they provide insufficient information to ensure the success of the health and safety management process since they promote reactive rather than proactive management.

2.1 Lagging Indicators

Metric	Reporting Period 1 st Jan – 30 th Apr 21	Same period last year 1 st Jan – 30 th Apr 20	FYTD July 1 st 20 - present
Lost time injury frequency rate for WCC staff only	2.7	0.6	2.04
# work related ACC injury claims	29	13	86
# non-work related Well NZ managed claims	4	7	27
Claim costs to date	\$10,158.36	\$2,237.07	\$43,310.07
Number of workdays lost	59	0	174.3
Average delay in incident reporting (days)	10.4	19.2	16.6
# Personal Confrontation (#1 Critical Risk) incidents	182	119	471
# non-negative drugs & alcohol tests	0	0	1
# health exposure tests with results over thresholds	0	0	0
# bans issued	13	Data not available	21
# trespass notices issued	6	Data not available	9
# incidents reported to Police	43	Data not available	102

Points to highlight

Increased numbers of injury claims in this period, noting the comparable period this time last year involved lockdown conditions for two of the months reported against. During this period a large amount of the workforce were based at home and not working in highly physical roles.

There is a positive indicator around the average delay in reporting improving, which is a continued focus to ensure timely notification through the Risk Manager system. Note the consistently high level of personal confrontation incidents reported, as a result, higher levels of incidents are being reporting to the Police and bans issued.

2.2 Reported injury incidents risk breakdown

Severity	Extreme	High	Moderate	Low
Injury events (FA, MT, NE/LTI)	0	20	8	684

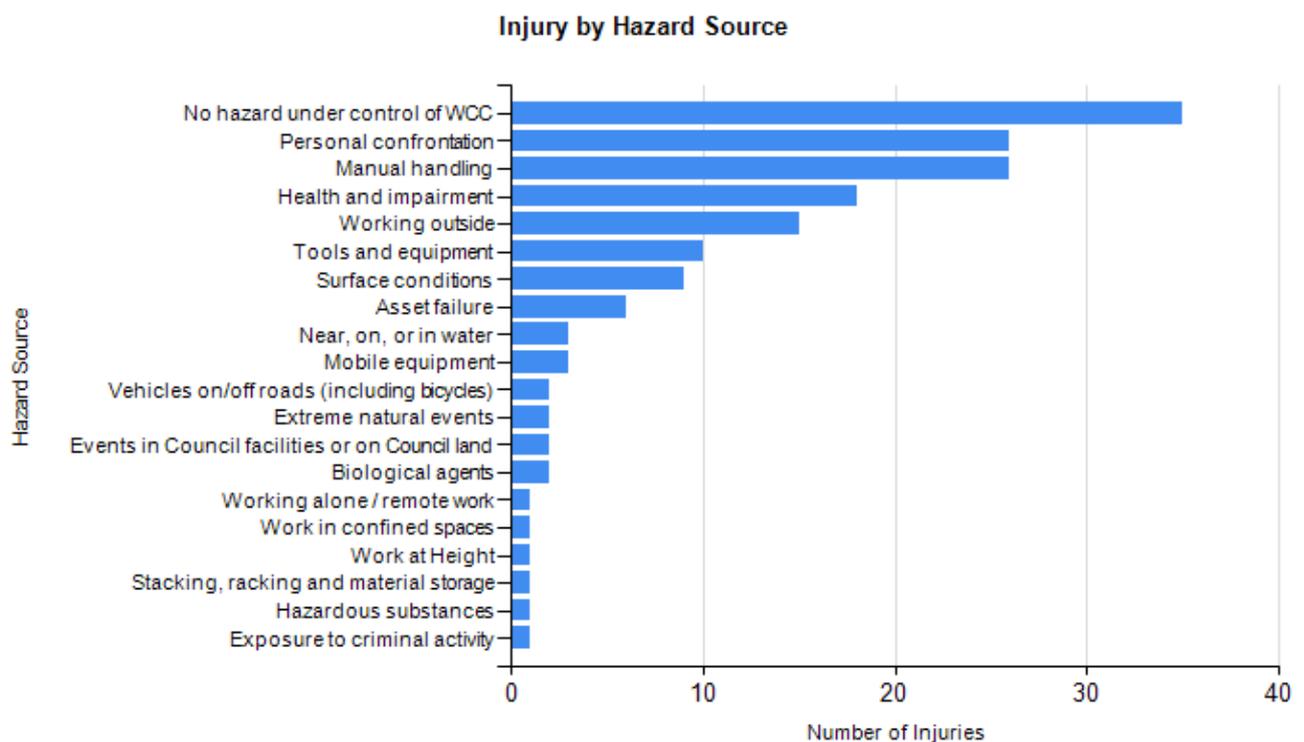
Definitions: FA = first aid injury, MT = medical. NE/LTI = notifiable event/lost time injury.

*These events are included within section 5 below.

Points to highlight

An increased level of high incident incidents occurring during this reporting period in comparison to previous. Further detail around the incidents is provided within Appendix 5. The proportion of higher risk incidents to lower risk events highlights the opportunities that exist to control risks without a higher level of consequence occurring.

2.3 Report injury incidents by hazard source

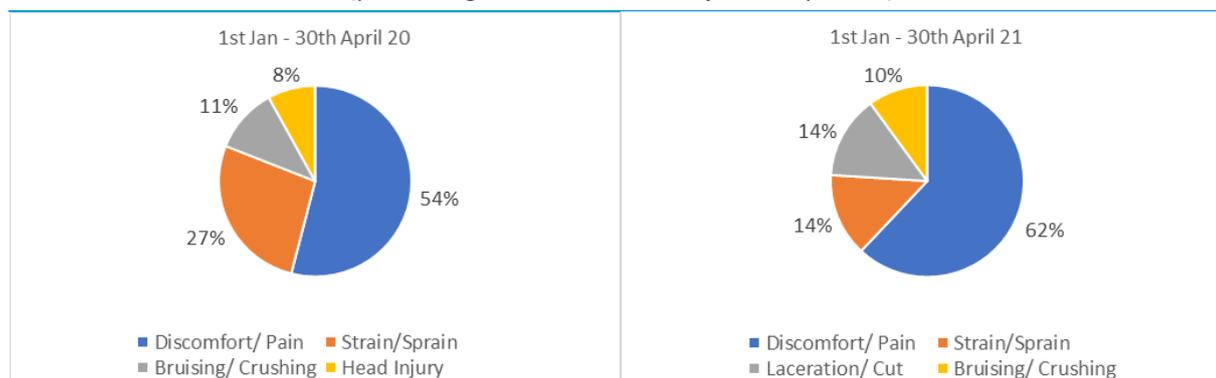


Points to highlight

The hazard sources being report is consistent with previous reporting periods. Examples of the hazard source category 'of no hazard under control of WCC' include the behaviour of facility users, or members of the public damaging property.

2.4 Reported injury type breakdown (top 4)

(percentage of total worker injuries reported)



Points to highlight

Increased proportion of reporting associated with pain and discomfort in comparison to the same reporting period 12 months earlier. The early reporting of pain and discomfort is continually encouraged, as it presents an opportunity to early intervention and a more effective means of treating injuries before they become more significant (and costly).

2.5 Role Type Incident Report Breakdown (Related definitions: NM = near miss, FA = first aid injury, MT = medical. NE/LTI = notifiable event/lost time injury.)

Role type	Reporting period		Same period last year	
 Worker	NM	108	NM	79
	FA	185	FA	78
	MT	56	MT	24
	NE/LTI	1	NE/LTI	1
 Public	NM	180	NM	180
	FA	342	FA	157
	MT	36	MT	7
	NE/LTI	0	NE/LTI	3
 Tenant	NM	0	NM	1
	FA	1	FA	0
	MT	0	MT	0
	NE/LTI	0	NE/LTI	0
 Contractor	NM	73	NM	20
	FA	11	FA	9
	MT	4	MT	2
	NE/LTI	2	NE/LTI	0
 Volunteer	NM	0	NM	0
	FA	0	FA	4
	MT	1	MT	0
	NE/LTI	0	NE/LTI	0

Points to highlight

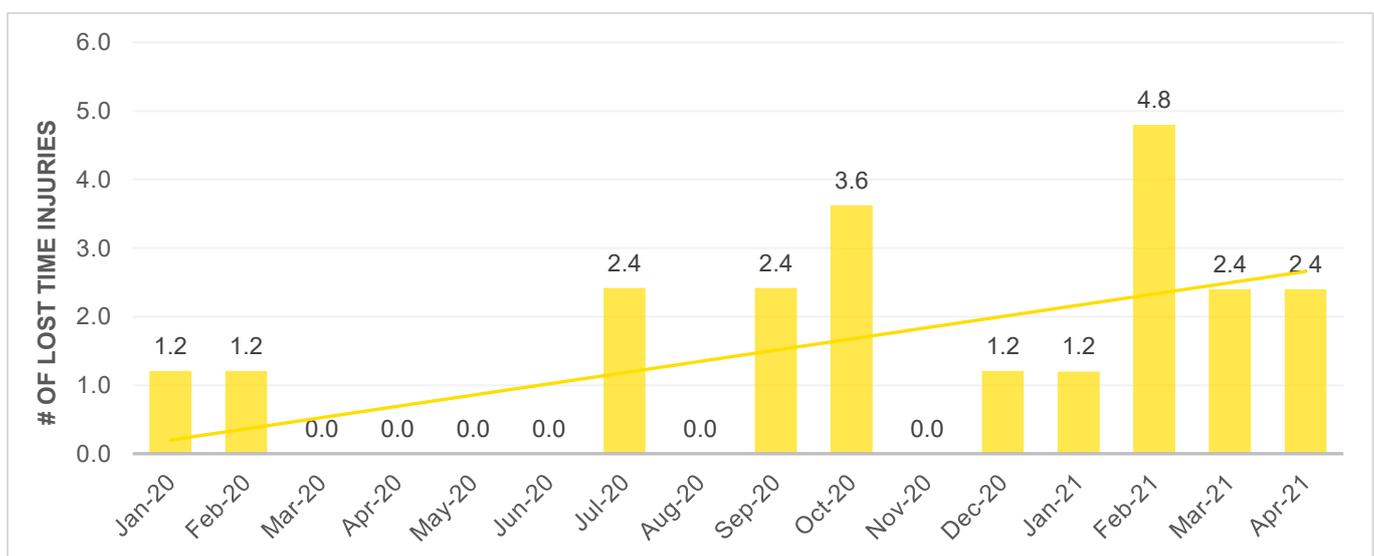
The notifiable events noted against contractor column are included within section 5 below and involvement with a Senior Health, Safety and Wellbeing advisor occurred in each scenario.

Section 3: Graph indicators – lost time injuries, near miss reporting and employee assistance programme usage.

3.1 Lost Time Injuries

The following shows the number of lost time injuries per 200,000 hours worked by employees (excluding contractors) for the reporting period 1 January 2020 – 30 April 2021. For context an average of 241,666 hours is worked per month by WCC employees.

A **lost time injury (LTI)** is something that results in a fatality, permanent disability, or time lost from work. It could be as little as one day or a shift off work being lost, or months of rehabilitation. It can arise from a small incident, like a paper cut, or from a notifiable event such as a fall from height.



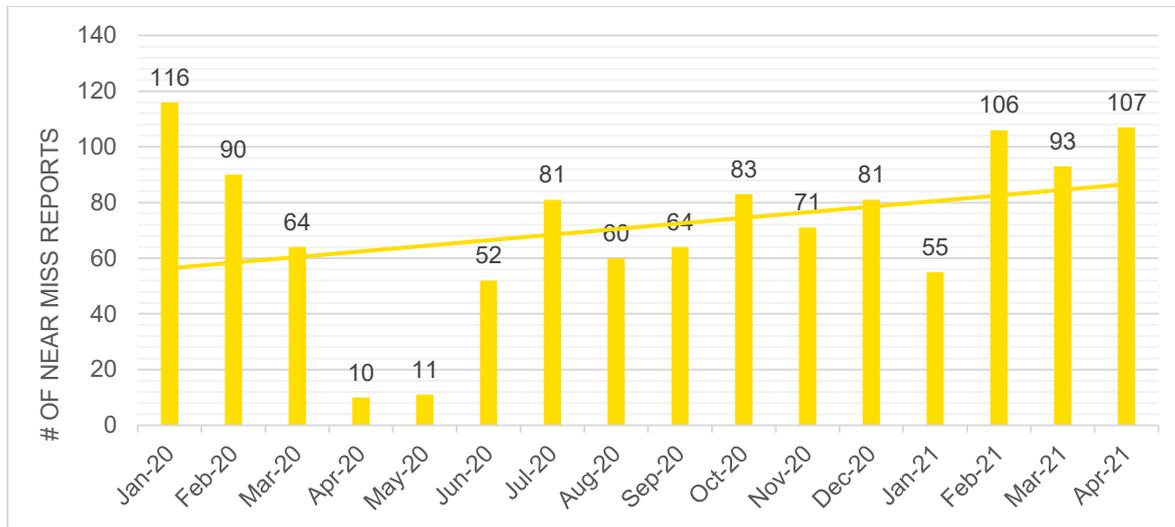
Points to highlight

An increase in lost time injuries in the current reporting period, with a spike in the month of February. Sprains and strains are the main causation, with two relating to the same event in the pool environment.

In most situations, the injured worker has gone to the GP and given time off work, with no consideration around alternative duties available in the immediate team or broader group they are positioned in. There is significant value in identifying and utilising alternative duties, including the wellbeing of the injured person where longer periods away from a specific role are required.

3.2 Near Miss Reporting

The following shows near misses reported for the reporting period 1 January 2020 – 30 April 2021. A **near miss** is an unplanned event that did not result in injury, illness, or damage – but had the potential to do so. Collecting near-miss reports helps create a culture that seeks to identify and control hazards, which will reduce risks and the potential for harm.



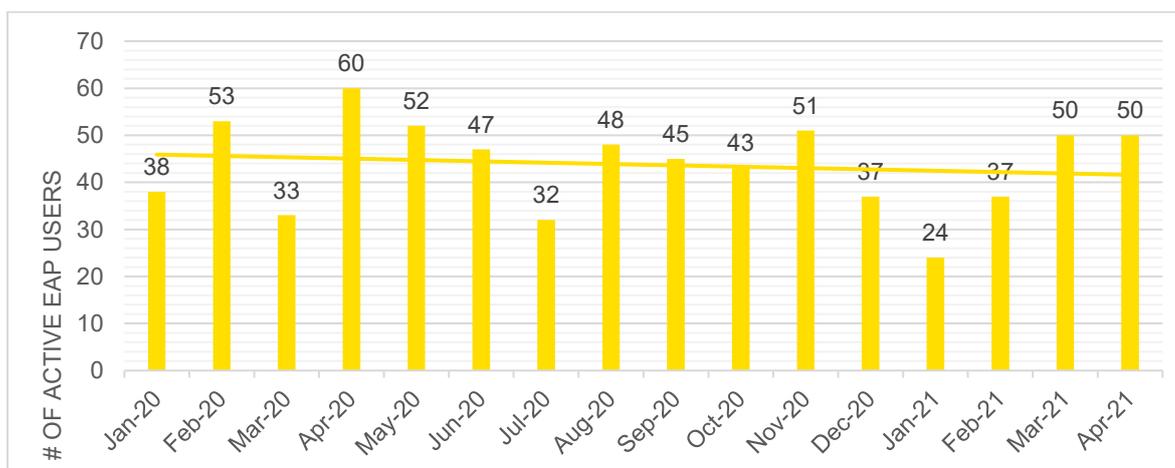
Points to highlight

Considerable decrease in near miss reporting around the initial lockdown associated with COVID 19 alert levels, pain and discomfort reporting increased with more workers at home in typically temporary workstation set ups.

Increasing trend of near miss reporting following the return to work from stricter alert level restrictions. A positive uplift in near miss reporting from Contractors has attributed to part of the lift in the most recent months, along with regular encouragement around reporting through regular engagement channels internally.

3.3 Employee Assistance Programme (EAP) Usage

The following shows the total number of active EAP users for the reporting period 1 January 2020 – 30 April 2021.



Points to highlight

EAP user numbers continue to increase this reporting period with the top two presenting issues being personal relationships in their personal life and depression/anxiety/emotional issues.

Section 4: Information Sources:

- Data pulled from risk manager reporting system (internal), EAP provider reporting, third party injury management provider
- Indicator practice – Leaders Forum (<https://www.zeroharm.org.nz/assets/docs/our-work/monitoring/Monitoring-What-Matters-May2019.pdf>)
- Guide to measuring health and safety performance - <https://www.hse.gov.uk/opsunit/perfmeas.pdf>

Section 5: Serious Incidents (including high potential near misses)

A serious incident is an event that has resulted in or had the potential to result to cause serious harm via illness, injury (or both).

#	Date of Incident	Business Group/Team	Location	Brief Details of Incident/ High Potential Incident	Corrective Action	Corrective Action Status	Near Miss	Critical Risk (Nasty Nine)	High Potential
1	30/04/2021	Community Networks and Support Services: Wellington City Libraries and Community Spaces	Wadestown Library	<p>About 11.45 a member of the public (MOP) walked on his own down to the library. He was seen sitting on the footpath after he had tripped. A staff member from PSR, who happened to be mowing at that moment in the area, helped him up to his feet and assisted him to the Library. Library staff member tried to phone his wife. She was going to come down to walk him home.</p> <p>Once in the library MOP was unsteady on his feet. This is not unusual. He was turning and replacing his glasses in his pocket when he fell to the floor. He banged his head on the metal shelving. His head was badly cut in two places - on top and at the back of his head. There was a lot of blood dripping down his face and back/neck.</p> <p>Immediate Actions Taken First aid applied as well as towels for his bleeding head, and large pillows so he could be comfortable on the ground. Ambulance called and arrived about 12.30. They assessed him and took them both to hospital</p>	MOP is to be supervised on any future visits to the library given his fragility and general unsteadiness, given that he has already had a couple of head knocks.	Complete	NA	NA	Yes
2	20/04/2021	Chief City Planning	Wellington	<p>Staff member joined the Council in 1994 and work involved construction site visits. It is mandatory to wear PPE during site visits. Ear and eye protection are a must for noisy and dusty sites. Recently staff member noticed that hearing not as good in meetings and when people speak softly. On 20th April 2021 visited Bay Audiology to get hearing checked and the test results revealed that staff member has medium to severe hearing loss.</p> <p>Immediate Actions Taken Visited the GP to lodge an ACC Injury claim form as advised by Bay Audiology.</p>	In progress	In progress	NA	Health and impairment	Yes
3	20/04/2021	Parks, Sport and Recreation	Botanic Gardens Soundshell	<p>Petrol mower OFF but blades still spinning, was clearing catcher and blade hit tip of middle finger.</p> <p>Immediate Actions Taken First Aid applied. PSR HSLD Advisor reached out to key person involved (KPI)'s team leader on the same day of incident, originally thought and entered in Risk Manager as a cut to the finger. Update: KPI went to the doctor on the 22/04/21 and was informed had broken finger. Team leader sat down with KPI to review incident. One of the big learnings from this incident is the blades can still be moving after the mower has stopped and should not put fingers anywhere near until you know this has happened.</p>	Safety Alert was issued and distributed	Complete	NA	Vehicle, traffic and mobile equipment	Yes
4	16/04/2021	Parks, Sport and Recreation	Freyberg Pool	<p>Key Person involved (KPI) came into facility to swim 30km for a charity event. Duty manager (DM) started shift at 12pm and Member of Public (MOP) asked if it was possible to have a chat as they felt KPI was unable to continue her swim safely. MOP informed DM that KPI had not eaten all day and had been sick several times. KPI was also complaining of a sore shoulder.</p> <p>DM spoke with KPI and agreed to let her swim until 20km then reassess. DM monitored KPI in pool until 2pm when it was felt that KPI was at a point she should stop swimming. DM asked KPI to hop out of the pool so an assessment could be made</p> <p>KPI proceeded to swear and yell at DM stating it was "unfair to kick her out" and it was "a total joke" and starting causing a scene. DM tried to talk and explain the rationale behind the decision but KPI would not listen.</p> <p>Immediate Actions Taken -DM removed KPI from pool when it was deemed KPI was at a point of being unsafe in the water -This was explained to both MOP and KPI as prevention rather than punishment.</p>	Removed from pool for own safety	Complete	NA	Personal Confrontation	Yes
5	9/04/2021	City Arts and Events (Cuba Dupa)	Footpaths or Roads - on Donald MacLean St, Newtown	<p>The customer who did not want to be named daughter, customer called very angry about the Newtown Festival because his daughter had fallen on temporary fencing that was being stored on the footpath in the dark and had cut her knee open badly meaning that she needed to go the hospital for treatment.</p> <p>Immediate Actions Taken Called through to on call Customer and Compliance Team who said they would work to make the site safe.</p>	Site visited and removed to another safer storage area	Complete	NA	Personal Confrontation	NA

6	3/04/2021	Transport & Infrastructure	Cobham Drive cycleway	<p>Member of Public (MoP) cycled along area between the Troy St and Calabar St roundabouts where bunting was used as barrier to stop people going onto tey to be landscaped land, suddenly blew out in front of Mop's bike and became tangled around it. This sent MoP flying off and he landed quite heavily on the pavement. Luckily no injuries and people (who kindly stopped to help) had just passed the other way so clear path to fall into, but it was shock to be suddenly thrown off his bike and feeling quite sore and bruised now.</p> <p>Immediate Actions Taken:</p> <p>Called to Cycleways projects team to have contractor attend and a safety inspection was also undertaken this Monday, 5 April by Downer to verify the status of the site and to rectify any additional issues.</p>	Bunting to be removed sometime in May after planting the remaining garden areas	Complete	NA	Vehicle, traffic, and mobile equipment	Yes
7	29/03/2021	Parks, Sport and Recreation	Woodburn reserve	<p>On the 29th a member of the community reported a bait station lying on the ground in Woodburn reserve. Upon inspection on the 30th of March it is believed that the bait station was removed from its bracket and was found 60 meters up the track. The member of the public placed it upon a fallen tree, to keep it out of reach from children or dogs. Due to the rain, some the particles became suspended inside the bait station and when the member of public moved it, it spilled into the stream (about a quarter cup) which at the time was not flowing fast. While staff member was there the stream started flowing stronger as the rain continued to fall. The poison is not soluble in water and is likely to bind with the soil. The quantity is very small and so poses a small risk to the environment.</p> <p>Immediate Actions Taken:</p> <p>Removed any remaining pellets and water with the suspended residue from the bait station and placed it in a refuse bag, to be disposed of. The bait station was placed back into its bracket.</p> <p>Volunteer group taking care of these bait stations were contacted and notified them of staff members actions and what had been found.</p>	Email sent highlighting SOP Emergency Response regarding loss or spillage of VTA's	Complete	NA	Hazardous Substances	Yes
8	28/03/2021	Parks, Sport and Recreation	Thorndon: Plant Room	<p>Duty Manager (DM) had verbal agreement with other DM's (JR and JA, later JS) that she could not lift the diatomaceous earth (DE) bag to place it into bin due to precarious placement which could potentially be H&S risk / could cause potential injury.</p> <p>Today the DM noticed DE was less than 5% (not adequate to top up slurry therefore causing potential H&S risk to public). DM attempted to fill herself but due to poor technique the bag tipped, and DE ended up all over clothing and some got into eye and mouth. In an effort to grab the bag, DM slightly strained back and left knee.</p> <p>DM attempted to use mask provided but is broken (haven't seen request for a new one so unsure how long it has been broken for) but fell on face apart hence why it got into mouth and eye.</p> <p>Immediate Actions Taken</p> <p>DM immediately took top off and ran to bathroom to rinse water in eyes. DM put uniform in wash and told LG to change tops. Asked Lifeguard (LG) to come assist (thus taking off poolside) where he was able to find a spare mask and worked together to lift bag into DE bin. DM also hosed entire plant room to remove DE from floor as a hazard.</p> <p>The broken face shield has now been removed</p> <p>Signage regarding the required PPE for the task was adequate, signage can be found on the doors into the plant room, above the cupboard where PPE is stored, and next to the DE as well as a SDS sheet.</p> <p>OM has re-iterated the need for this to be a two person task and have had follow up conversations with the staff responsible for doing so, the staff assigned to this task did not complete earlier in the week, OM hashighlighted the need for this to be done following this incident.</p>	We have highlighted a need to review our DE procedures and complete more regular spot audits, as well as increase training around the use of PPE specific to DE. Conversation was had about notification to the regulator and it was decided that the incident did not prompt reporting to WorkSafe	Complete	NA	Hazardous Substances	Yes
9	26/03/2021	City Design and Place Planning: Planning Network Improvement Team	Brooklyn Road	<p>An employee for a contractor, a consulting company that provides casual workers. The employee was working as a supervisor for a parking occupancy survey taking place on Brooklyn Road. All surveyors/supervisors for this project are required to wear a high visibility jacket.</p> <p>The employee was giving a surveyor a break by taking over their data collection work for half an hour. While noting down a vehicle licence plate he was struck by a skateboarder coming down Brooklyn road on the pavement. Skateboarder was moving at considerable speed and was unable to stop safely. Both the employee and the skateboarder went to the ground after the collision. Skateboarder apologised and left. Contractor has minor grazes on the right arm because of the collision. The consultant's HSSE Event Report is available.</p>	Copy to be provided back to WCC so that broader lessons learned can be fed into the council's hazard register as appropriate	Complete	NA	NA	Yes

10	25/03/2021	Parks, Sport and Recreation	Helston Park	<p>Key person (KP) was driving tractor with dimple seeder implement on putting seed out on sports fields. Injured person (IP) was adjusting the lever to change the amount of seed that was coming out of the hopper. They were standing between the seed hopper and the steel step when KP crept forward resulting in the spiked roller going over IP's ankle. KP thought IP was on the step which was the process that was being used before the incident. IP received 7/8 stitches</p> <p>Immediate Actions Taken</p> <p>KP rang manager. IP was taken to after hours and received 7 stitches. After 3 way conversions both KP and IP were D&A tested. Tractor was checked by contracted mechanic before being driven away.</p>	Investigation underway, not reported to WorkSafe as did not fit the criteria for reporting	In progress	NA	Vehicle, traffic, and mobile equipment	Yes
11	25/03/2021	Wellington City Libraries and Community Spaces: South East Cluster	Newtown Library staff ground floor workroom	<p>Staff member was out on her lunchbreak after consuming cashew nuts (usually okay) as part of her lunch when she noticed the beginning of an allergic reaction - a tightening of the throat. This hadn't occurred for 20 years. It was suspected afterwards that a walnut may have been mixed in with the cashews - a known past allergen.</p> <p>Immediate Actions Taken</p> <p>When staff member noticed that her eyes were beginning to swell and chest congest, she purchased an anti-histamine at the pharmacy, returned to the library and alerted other staff, took the medication and changed to lighter, looser clothing, in conjunction with fresh air, to manage the symptoms. She then requested a staff member purchase an Epi-pen at the local pharmacy - declining offers to have an ambulance called or to take her to the nearby emergency department. When the managers received the email and those of other staff, Sandra Johnston travelled to Newtown to check all staff welfare, debrief and log the incident report.</p>	<p>Debriefed with the SE Team on Wednesday 31/3/21 - A future action plan was agreed on by all concerned. This plan will be emailed to library staff as soon as is available</p> <p>We noted with the Team that we're not all qualified first aiders and need to know that we can call 111 in any situation</p>	Complete	NA	Health and impairment	Yes
12	23/03/2021	Parks, Sports and Recreation	Botanic Gardens: Remembrance Ridge	<p>While mowing the lawn on Remembrance Ridge a piece of pinecone was thrown out and hit a walker in the left eye region. The walker was approx. 20-30m behind the mower at the time of the incident. The blade guard was down.</p> <p>Immediate Actions Taken</p> <p>When I noticed the person had stopped and was examining his eye, I stopped the mower and went to see if he was ok. Although there was a minor scratch above the left eyebrow, the walker said that he was okay, if surprised. We decided that no first aid would be necessary. Contact details of walker obtained. HSLDA Update: conversation had with Safety Security and Wellbeing Advisor around post incident D&A. Safety alert to be developed.</p>	Safety Alert to be shared	Complete	NA	Vehicle, traffic, and mobile equipment	Yes
13	23/03/2021	Parks, Sports and Recreation	Dominion Part Street	<p>Key Person (KP) was mowing the site, went over a buried scaffolding knuckle which was then thrown out the side of the mower and through a corrugated iron fence. KP called T/L who then along with the Manager went to site to inspect the incident.</p> <p>Manager spoke to H&S & LD Advisor PSR and Manager Safety Security and Wellbeing who had a conversation regarding post incident drug and alcohol testing.</p>	Safety Alert to be shared	Complete	NA	Vehicle, traffic, and mobile equipment	Yes
14	22/03/2021	Parks, Sport and Recreation	Frank Kitts Play area	<p>Member of Public (MoP) called to report an incident of her 4.5 year old daughter injured using the slide at Frank Kitts Park. The child had used the slide a number of times prior to yesterday, and on this occasion, as they came down, the right foot had caught against the side and twisted around to a position behind the child, as her main body continued travelling down the main run. The child landed at the run-out section, screaming, and crying.</p> <p>Immediate Actions taken:</p> <p>Mother took the child to A & E, where the assessment by the orthopaedics was a broken tibia. MoP was advised of the inspection regime and said that we would investigate the matter and get back to her this week.</p> <p>Enquiry sent to CCDHB 24th March requesting information on other related incidents on this specific piece of play equipment. Response sent back advising no information can be released.</p> <p>25th March: Second enquiry sent to CCDHB, they respond with notification they will reach out to Orthopaedics.</p> <p>A safety and compliance audit was completed in May 2020 by an external auditor, a subsequent action plan was put in place July 2020 and the actions were completed, (both these docs are attached in the notes section).</p>	<p>Play Safe Inspection 2020;</p> <p>Action Plan July 2020 - Playgrounds Main Annual Inspection Frank Kitts Search was completed in Risk Manager and Fresh Service for similar incidents - one was found at a different playground where a similar injury occurred on a slide in Dec 2017. None were found for Frank Kitts Park.</p> <p>New signs were put up on the rails, mezzanine and top entrance of the slide, accompanied by pictures for those who cannot read</p> <p>New development scheduled for June 2021 in which the design of the slide will change</p>	In progress	NA	Asset failure	Yes

15	21/03/2021	Parks, Sport and Recreation	Wadestown Play Area	<p>3rd party did not witness the incident but arrived just after and comforted the driver.</p> <p>Key Person (KP) Parked truck to get out and inspect the surrounding area for the setup of the bouncy castle. Upon exiting the truck, the handbrake released, and the truck began to roll back, the van rolled into the fence and started to pin him, but he managed to pull himself free before any injury occurred. He managed to climb in and stop and secure the vehicle, but only after it had hit the nearby fence, damaging the mirror and front light of the truck and possibly damage to the fence.</p> <p>Immediate Actions Taken He shifted the vehicle away from the fence and secured the brake and called his manager.</p>	Ranger followed event permit SOP. Advice from Safety Security and Wellbeing Team to include: Travel to and from site and loading of items in their risk management plan. This feedback was passed on to Ranger AG as well as the WCC safety alert about runaway vehicles	Complete	NA	Vehicle, traffic, and mobile equipment	Yes
16	11/03/2021	Resilience and Sustainability	Waste Operations: Recycling Collection: cnr Coromandel I & Mein St Newtown	<p>On Thursday 11 March 2021, an Enviro Waste Driver (Driver), started work at approx. 5.30am, commencing recycling collections. in Mount Victoria, Wellington at 8.03am. As the Driver was in collection mode he was operating from the left-hand side of the Truck. As the Driver turned into Coromandel St video footage confirms he has looked out of the left door to scan for traffic, and not the windscreen, and has proceeded to hit a Person on a Mobility Scooter who was close to the centreline on Coromandel Street.</p> <p>The Driver stated he did not see the Mobility Scooter until the moment of impact. The estimated speed of the truck was confirmed as 5-10km. The Driver stepped out of the truck immediately after impact to assist the Mobility Scooter Driver. He proceeded to move him to the side of the road. No Authorities were called.</p> <p>A member of the public, a nurse known to the Mobility Scooter Driver, stopped to assist. The nurse offered to take the Mobility Scooter Driver to the Hospital for assessment, where he was kept overnight for observation and released the next day without significant injury. The Driver continued to complete his collections for the day, leaving the scene at 1.29pm.</p> <p>Immediate Actions Taken None - this was not reported to emergency services or Envirowaste Management at the time of the incident The Driver continued to complete his collections for the day, leaving the scene at 1.29pm. He stated he had almost finished his route at the time of the incident, arriving at the Enviro Waste yard in Seaview at approx. 3.14pm.</p>	Disciplinary Action 29 March 2021 Driver to be re-trained, competency assessed and be monitored for a three-month period on LEV	In progress	NA	Vehicle, traffic, and mobile equipment	Yes
17	8/03/2021	Wellington City Libraries and Community Spaces: Northern Cluster	Waitohi Library	<p>Staff member was supporting other staff to shift three teens who had been served a ban notice a previous week. On the way upstairs four teenagers were observed with the security guard, by the entrance foyer near the cafe (this was closed). Staff member then saw the security guard fall and the teens run off.</p> <p>Immediate Actions Taken Rang 111 for assistance. One of the teens had kicked the guard in his knee and he was unable to walk. The guard called for an ambulance while staff member was talking to the Police. On arrival, the Police were able to identify the teens from photos that the guard had on his phone, as well as on one of the customer's phones. These teens are well known to the Police, WCC has also asked for their details so we can serve Trespass notices</p> <p>Staff member immediately rang security control room for a guard for the last 45 minutes, and the night manager from Recon, a guard, came to support the three staff members. A request for two guards every afternoon from now on until this is all resolved was submitted. Meeting with the local Community Constable to talk about obtaining details for our Trespass Notices</p>	Reported to Police - File# 230309-1178 Recommendation for Trespass Notices in progress	Complete	NA	Personal Confrontation	Yes
18	23/02/2021	Parks, Sport and Recreation	Coronation Community Centre	<p>Poison was in a public space open and a risk to the public and pets.</p> <p>A report came through the contact centre that someone dumped rat poison at the entrance of coronation community centre. I responded by going to the site to inspect and there were about 4 handfuls of rat poison on the ground near the compost bins. At the time there were kids playing on the play park about 10 - 15 meters away and people were accessing the area, walking over the poison pellets.</p> <p>Immediate Actions Taken Cleaned it up and put the pellets in a plastic bag. Area swept and cleaned and reported it to the police. PPE worn (gloves) and plastic bag of pellets will be disposed of correctly. Incident will be reviewed The standard protocol for transporting bait was not followed by the volunteer. Volunteer was spoken to in person The poison bait was given to GWRC who has disposed of it correctly. There has been no reports from the public as to anyone being affected by this incident.</p>	Dedicated backpack and extra plastic bag will be purchased for the volunteer to improve their handling of the hazardous substance. Refresher training session for all volunteers is being arranged in the next month and all volunteers reminded of the health and safety risks around this type of operation	Complete	Yes	Hazardous Substances	Yes

19	17/02/2021	Transport & Infrastructure	Wadestown	<p>Downers vegetation team cutting vegetation on the bank the flail hit a gas pipe.</p> <p>Immediate Actions Taken</p> <p>Stopped work, notified the fire service, contacted manager, and made area safe, informed residents</p>	Reported to WorkSafe(WS), no further action received from WS	Complete	NA	Work with or in the vicinity of services	Yes
20	15/02/2021	Parks, Sport and Recreation	Makara Peak MTB Park	<p>Downers Work Vehicle Telco</p> <p>Downers went to do a fault at W6KPK. After completion it started to drizzle on and off. While reversing on a 4x4 track to find a spot to turn around the right rear wheel slipped off the track on a bend and the Ute slid into a ditch. We tried digging, stones, winch, second Ute but can't get it out. Wheels are not getting enough grip and the belly of the Ute is on the ground. We were in 4L the whole time. Safety belts was on.</p>	waiting for Downer to submit investigation	Not complete	Yes	Vehicle, traffic, and mobile equipment	Yes
21	03/02/2021	Transport and Infrastructure	Evans Bay Parade	<p>Drilling contractor has hit a 150mm gas main on Evans bay parade out side property no; 140 (approximately) while carrying out the ground drilling work. All relevant officials informed and service provider attended for repair works.</p> <p>Immediate Actions Taken:</p> <p>All work stopped and site closed. Service provider informed. Traffic management implemented for repair works. There wasn't a clear line of comms with all concerned/involved. If the contractor was trying to get hold of Team Leader (whom was in meetings), there should have been a secondary point of contact either at the Contractor or directly to WCC Team leader. It is common that services are not always at locations as shown on as-builts, so alternative checks/confirmation should have been done prior to the drilling.</p>	Reported to WorkSafe – Fo further Action Lessons learnt shared with Bus Unit in regards to Service Strikes	Complete	NA	Working with or in the vicinity of services	Yes
22	22/01/2021	Transport & Infrastructure	60 Wright Street	<p>Fulton Hogan's - Sub Contractor KRN</p> <p>Staff Member of KRN, Fulton Hogan's Resurfacing Contractor, was removing the combi ride on roller from the transporter, on the way down the steel drum started to slip, the operator tried to rectify the problem but knew it had gone past the point of no return, he jumped off as the roller started to tip off the side of the truck approx. 1 metre high</p> <p>Immediate Actions Taken</p> <p>Roller operator, witnesses were being interviewed by Fulton Hogan H&S team. We are awaiting final report to be received</p>	<p>Tailgate item, Reminder to all staff if you are not assessed as competent to load /unload plant , Don't</p> <p>Transport operators to check slope of ground before commencing load and unload</p> <p>Engineer and fit appropriate rails to trailer decks</p> <p>Engineer and fit level bubbles and danger zone indicators to trailers</p>	Complete	NA	Vehicle, traffic, and mobile equipment	Yes
23	21/01/2021	Transport & Infrastructure	173 Karori Road	<p>Member of the public (MOP) called and advised his son was struck by a car at a crossing near Samuel Marsden School last night. Mercifully he is alive and recovering in hospital, but he hit the windscreen and is dealing with some head damage. MOP advised the issue was linked to a road sign advising the speed limit changed from 30kmh to 50kmh shortly before the road crossing; this coupled with the sun shining in the face of the driver meant they accelerated as required but then couldn't actually see the crossing properly</p> <p>The following has been recommended:</p> <p>The current vegetation near the crossing creates a dark shaded area at the crossing location. To improve the visibility and allow adequate daylight into the area we will trim the existing vegetation along this boundary. This will also help improve sight lines to the new 30km/hr speed limit sign. WCC will investigate extending the reduced 30km/hr speed limit beyond the pedestrian crossing. Traffic counts will be completed to ascertain speeds between speed limit change and pedestrian crossing. Obtain traffic counts on Karori Road between the pedestrian crossing and the end of the 30km/hr reduced speed zone. Obtain traffic counts on Karori Road east of Hatton Street to assess effectiveness of new 30km/hr speed limit. Some work as part of the Marsden Village speed limit reduction has still not been completed. A reminder to the contractor has been issued to complete this work.</p> <p>This includes: 30km/hr Roundel pavement markings, 1x 30km/hr speed limit sign, relocation of some signage to better comply with MOTSAM guidance, relocation of the Belisha Beacon and dedicated pedestrian crossing flood light closer to the crossing. Signage for pedestrians reminding them to look right and check that both lanes have stopped before crossing similar improvement was carried out on the Hutt Road Zebra crossing.</p>	<p>Still to be completed:</p> <p>"Check both lanes have stopped" signs, Repeater Roundels, "look right" road marking, Investigation of extending reduced speed limit – this is a long process and will probably require 3-4 months of work. Extending reduced speed limit past zebra crossing - 31 March</p>	In progress	NA	Vehicle, traffic, and mobile equipment	Yes
24	18/01/2021	Parks, Sport and Recreation	Central Park	<p>Member of the public (MOP) advised that her son broke his collarbone using the flying fox at Central Park on the 18th of January around 4pm. He said that it went very fast when he was on it, and when he hit the tyres at the end it sent him</p>	Review the wire tension of Flying Fox Inspection report from external company	In progress	NA	Asset failure	Yes

				<p>flying in the air, whereupon he landed heavily on his side. On top of that, his sister apparently also noted the swing was oddly fast and she banged her head on the tyres at the end.</p> <p>Immediate Actions Taken:</p> <p>Playground specialist went to site and observed users, concluded that it looked too fast and removed seat prohibiting use. Site visit completed. Observed and inspected the flying foxes MOP went down to test all three and well as observing two 10-year-old boys use them. Tyres at the end are designed to compact for cushioning the impact, when the children hit the end of line, the tyres did not compact, and the boys swung in a high arch.</p> <p>Out of the three flying foxes on site, one has been deemed to have the highest arch at time of impact. Staff and contractors do not grease the wire or moving parts.</p> <p>Inspection from outside company at Central Park due Feb/March - this has been brought forward and prioritised</p>	<p>(Dynamic) from 2020 states to change over tyre breaks to a spring system- due to happen Feb 2021 and John is going to confirm this change is happening in this inspection</p> <p>Review other flying foxes in WCC playgrounds</p> <p>Review wire tension of flying fox - 31 March</p> <p>Confirm external company (Dynamic) is replacing tyres with spring system - 31 March</p>				
25	12/01/2021	Transport & Infrastructure	Khandallah Road	<p>Downers Road Side Trimming Team.</p> <p>Trimming the vegetation for visibility and clearance vegetation had completely covered pipe and it was struck by the flail.</p> <p>Immediate Actions Taken</p> <p>111 was called, call centre advised, residents were notified and pedestrians redirected.</p> <p>Fire service attended Downers repaired pipe. Team discussed incident and learnings from it.</p>	<p>WorkSafe(WS) notified, no further actions required from WS</p>	Complete	NA	Work with or in the vicinity of services	Yes

3. Public Excluded

Recommendation

That the Kāwai Māhirahira - Audit and Risk 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 Strategic Risk Update	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.	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.
