



NAPIER
CITY COUNCIL
Te Kaunihera o Ahuriri

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AUDIT AND RISK COMMITTEE

Open Agenda

Meeting Date:	Thursday 6 December 2018
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Time:	1.00pm
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Venue:	Ikatere Meeting Room 2 nd Floor Napier City Council 265 Marine Parade Napier
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Committee Members	John Palairet (In the Chair), Mayor Bill Dalton, Geoff Foster, Councillor Claire Hague and Councillor Kirsten Wise
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Officer Responsible	Director Corporate Services
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Administration	Governance Team
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ORDER OF BUSINESS

Apologies

Nil

Conflicts of interest

Public forum

Nil

Announcements by the Mayor

Announcements by the Chairperson

Announcements by the management

Confirmation of minutes

That the Minutes of the Audit and Risk Committee meeting held on Thursday, 11 October 2018 be taken as a true and accurate record of the meeting.29

Agenda items

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- 4 Risk Management Report.....10
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Public excluded28

AGENDA ITEMS

1. AUDIT NEW ZEALAND MANAGEMENT LETTER

<i>Type of Report:</i>	Information
<i>Legal Reference:</i>	Local Government Act 2002
<i>Document ID:</i>	433397
<i>Reporting Officer/s & Unit:</i>	Caroline Thomson, Chief Financial Officer

1.1 Purpose of Report

To consider the Audit NZ management letter: Napier City Council Audit for the year ended 30 June 2018 (to be tabled at the meeting).

Officer's Recommendation

That the Audit and Risk Committee:

- a. Receive the Audit New Zealand management letter: Napier City Council Audit for the year ended 30 June 2018.

Chairperson's Recommendation

That the Committee resolve that the officer's recommendation be adopted.

1.2 Attachments

Nil

2. PROPOSED AUDIT AND RISK COMMITTEE 2019 MEETING CALENDAR

Type of Report:	Operational
Legal Reference:	N/A
Document ID:	433409
Reporting Officer/s & Unit:	Caroline Thomson, Chief Financial Officer

2.1 Purpose of Report

To consider the proposed timetable of meetings for the Audit and Risk Committee in 2018, as detailed below.

Officer's Recommendation

That the Audit and Risk Committee:

- a. Receive the proposed timetable of meetings for the Audit and Risk Committee for 2019.

Chairperson's Recommendation

That the Committee resolve that the officer's recommendation be adopted.

2.2 Background Summary

The following table sets out the meetings held during 2018 together with the proposed schedule for meetings for 2019:

Proposed Audit and Risk Committee meetings timetable 2019			
2018	Content	2019	Content
15 March 2018	Insurance, Draft Long Term Plan	14 March 2019	Insurance, Draft Annual Plan
14 June 2018	General	13 June 2019	General
13 September 2018	Draft Annual Report	12 September 2019	Draft Annual Report
6 December 2018	General	5 December 2019	General

2.3 Issues

No issues

2.4 Significance and Consultation

N/A

2.5 Implications

Financial

N/A

Social & Policy

N/A

Risk

N/A

2.6 Attachments

Nil

3. HEALTH AND SAFETY REPORT

Type of Report: Operational

Legal Reference: N/A

Document ID: 433412

Reporting Officer/s & Unit: Sue Matkin, Manager People & Capability

3.1 Purpose of Report

The purpose of the report is to provide the Audit and Risk Committee with an overview of the health and safety performance as at 31st October 2018.

Officer's Recommendation

That the Audit and Risk Committee:

- a. Receive the Health and Safety report as at 31 October 2018.

Chairperson's Recommendation

That the Committee resolve that the officer's recommendation be adopted.

3.2 Attachments

- A Health and Safety report as at 31st October 2018. [↓](#)

INFORMATION PAPER

TO: NCC Staff
 REPORT DATE: 5 November 2018
 PREPARED BY: Sue Matkin
 SUBJECT: HEALTH & SAFETY STATISTICS
 AGENDA ITEM: OCTOBER 2018 H&S REPORTING

PURPOSE

The purpose of this report is to provide all NCC Staff with an overview of the health and safety performance as at **31 October 2018**.

SUMMARY – KEY PERFORMANCE INDICATORS

October LTIs = 0

Reported Incidents (Total Company)	Aug 2017	Aug 2018	Sept 2017	Sept 2018	Oct 2017	Oct 2018	YTD 2018	YTD 2019	Targets FY18
Lost time injuries (LTIs):	0	1	2	0	1	0	3	1	<=10
Medically treated injuries (MTIs):	4	2	3	5	3	1	11	9	<=40
Total recordable injuries (MTIs + LTIs):	4	3	5	5	4	1	14	10	<=50
Near miss/hit & property damage reporting	23	15	19	10	22	11	75	50	>=180
Incidents involving Public using our facilities	11	4	6	4	12	16	42	38	<=200
Significant Incidents or Accidents involving Contractors	2	1	0	1	0	0	2	3	<=10

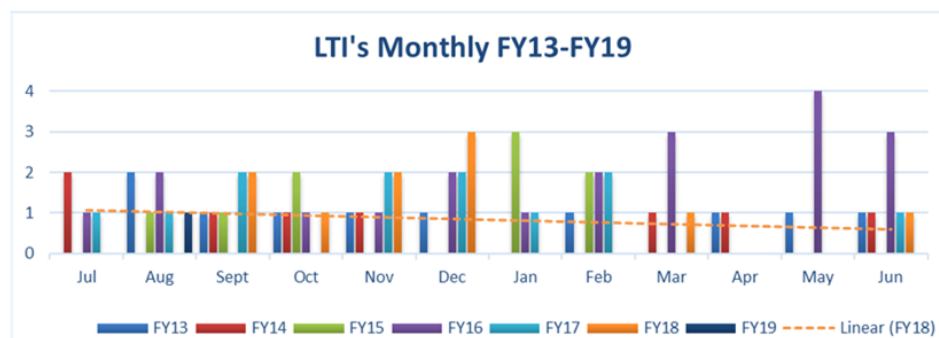
LTIs July/Aug/Sept

LTIs and MTIs YTD as at 31 October 2018 (Comparison between FY18 and FY19)

- 66.6% decrease in LTIs
- 18.1 decrease to MTIs
- 28.5% decrease in TRIs

64 days since last LTI

	Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Total
FY13	0	2	1	1	1	1	0	1	0	1	1	1	10
FY14	2	0	1	1	1	0	0	0	1	1	0	1	8
FY15	0	1	1	2	0	0	3	2	0	0	0	0	9
FY16	1	2	0	1	1	2	1	2	3	0	4	3	20
FY17	1	1	2	0	2	2	1	2	0	0	0	1	12
FY18	0	0	2	1	2	3	0	0	1	0	0	1	10
FY19	0	1	0	0									1



HEALTH AND SAFETY PERFORMANCE LEAD INDICATORS AS AT OCTOBER 2018

Lead Indicators	Detail	Aug 18	Sept 18	Oct 18	YTD 19	Full Year Target FY19
Body discomfort reporting (1 in 5 people)	An early intervention programme to resolve the cause of the discomfort in the workplace and/or medical treatment before developing into chronic pain and an injury. Online e-learning videos are part of the programme. Resolutions:	3	2	4	13	=<50
Work Station Assessments (10 / 10)	New employees receive workstation assessments and e-learning videos. Re assessments completed as required or where new areas or equipment set up. <ul style="list-style-type: none"> New Employees Existing Employees in different BU/Area/New desks or chairs 	8	3	10	34	100%
Near miss incident reporting	Incidents without an injury reported. 510/12 months = 42pm	15	10	11	50	180
Incident investigations	All LTIs and MTIs investigations commenced within seven days of the event.	1	0	0	1	100%
Health and Safety Meetings	Health and safety meetings at each workplace. <ul style="list-style-type: none"> Civic Committee Community Services City Services 	4	2	3	13	30
Internal Health and Safety Audits (1 per week)	Health and safety audit of health and safety management system at nominated workplaces. <ul style="list-style-type: none"> Drainage Painters Workshop 	7	2	2	16	52
Contractor Health & Safety Audits and/or Safety Observations	Contractor Audits / Safety Observations <ul style="list-style-type: none"> N/A 	2	1	0	11	26
Planned visible leadership - workplace health & safety observation & conversation	Workplace health and safety observations, including a conversation with staff during a workplace visit by a core management team member. Walk around chats HS safety observation 1 per quarter Attend HS mtgs e.g. toolbox 3 per year	25	29	13	87	240
Planned visible leadership – participating in a health and safety meeting	SLT team member participating in a workplace or work group health and safety meeting at the workplace or joining a conference call.	26	35	41	126	250
Inductions	New Staff inducted to Napier City Council or staff who have moved business unit and re-inducted	8	5	12	35	100%
Safety Alerts	Safety alerts published to educate and prevent the same or similar injury occurring again. <ul style="list-style-type: none"> N/A 	0	0	0	1	10

HEALTH AND SAFETY PERFORMANCE LAG INDICATORS AS AT OCTOBER 2018

Lag Indicators	Detail	Aug 18	Sept 18	Oct 18	YTD 18	Full Year Target FY19
Number of Total Recordable Injuries	Injuries requiring treatment by a professional health provider e.g. Doctor Injuries includes MTIs and LTIs	3	5	1	10	<=50
Lost Time Injuries	Total incapacity – unable to work any hours. • N/A	1	0	0	1	<=10
Medically Treated Injuries	Capacity to work normal duties or restricted duties.	2	5	1	10	<=40
Days Since Last LTI	Total number of days since the last lost time injury for employees.	3	33	64	64	>=200
ACC Work Injury Entitlement Claims	Entitlement claims are where the injured worker is off work for more than 7 calendar days on weekly compensation. • N/A	1	0	0	1	90%

HEALTH AND SAFETY OTHER REPORTING

Other	Detail	Aug 18	Sept 18	Oct 18	Result YTD 18/19
Significant incident	An event in a different circumstance may result in serious harm. • N/A	0	0	0	0
Significant Issues or Incidents Involving Contractors	An event involving a Contractors causing significant concern.	1	1	0	3
HSWA, Regulations, WorkSafe Updates and/or notifications	Any updates communicated to management.	0	0	0	0
Return To Work in Progress	Employees who are on a return to work programme. • Depot – Long term injury work related to previous financial year – Full RTW planned for Nov 5th	0	0	0	0

Training	No Staff
First Aid	3
Confined Spaces	1
Hazardous Substances	140
Growsafe	5
Aggressive Customer Training	3
Site Safe Civil	11
Working at Heights	4
Permit to Work: Issuer & Receiver	6
Total trainings for October	173

4. RISK MANAGEMENT REPORT

<i>Type of Report:</i>	Information
<i>Legal Reference:</i>	N/A
<i>Document ID:</i>	433414
<i>Reporting Officer/s & Unit:</i>	Ross Franklin, Consultant

4.1 Purpose of Report

To provide the Audit and Risk Committee (Committee) with an update on progress with risk management work and to report on the highest rated risks.

Officer's Recommendation

That the Audit and Risk Committee:

- a. Note the risk management work being undertaken by the NCC Risk Committee.
- b. Receive the report titled: Highest rated risks report 24 September 2018.
- c. Receive the report titled; NCC Risk Maturity Roadmap: 5 Year Plan

Chairperson's Recommendation

That the Committee resolve that the officer's recommendations be adopted.

4.2 Background Summary

Napier City Council (NCC) has a programme of work to develop and mature its enterprise risk capability. A risk maturity roadmap has been developed to guide this work.

The Committee supports this work by acting in a monitoring and advisory role. This report provides an update to the Committee on progress against the roadmap and reports the highest rated risks to ensure they are being actively managed.

NCC has a Risk Management Framework document together with a Risk Management Strategy. These document set out the NCC risk appetite and the risk management roles, responsibilities and reporting requirements.

NCC risks are recorded in a risk management software solution known as "Sycle". Each risk is assigned a risk owner and the risk is rated based on an assessment against the NCC risk matrix and based on the level of residual risk once any control measures and actions (or work programmes) designed to prevent or mitigate the risk have been identified and implemented.

NCC has an internal Risk Committee made up of officers from different areas of the organisation. The role of the risk committee is to coordinate the risk management process; monitor the risk profile, risk appetite and effectiveness of controls; monitor & review high and extreme risks and report extreme and high risks to Council's senior leadership team. The committee is chaired by the Manager Business Excellence & Transformation.

The Risk Management Strategy requires high and extreme risks to be reported to the Audit & Risk Committee. Recognising the level or NCC risk maturity all high\extreme

strategic risks and extreme operational risks are reported to each Audit & Risk Committee meeting.

4.3 Issues

Since our last report to the Committee progress has continued to be made in the following areas:

- Further development of the Sycle Projects module
- Commencement of a Business Continuity Management programme of work
- Review risk processes, systems and of the risk register

Sycle Projects Module

As reported to the last meeting work is progressing on the implementation of the projects module in Sycle.

Once implemented, all small and large projects undertaken by NCC will be maintained in the Projects module and the risks for each project will be entered against the project.

As small and large project risks will be monitored within Sycle it has been recognised that to include all project risks within the formal risk management processes could result in an unnecessary volume of low level project risks clogging up the register. Prior to 'going live' with the sycle projects module a further review will take place on the best mechanism of reporting on any significant project risks. Until we have confidence that only relevant risks on major projects would roll up into the main register reporting to the Committee will continue to focus only on risks in the Strategic and Operational risk registers.

Full implementation of the Projects module is now expected to be achieved by the end of March 2019.

Business Continuity Management

As reported to the last meeting we have commenced our Business Continuity Management (BCM) work in early 2018. The aim of BCM is to achieve a framework for resilience and response capability in order to safeguard people and operations as well as to uphold confidence in NCC. An initial draft of a BCM policy has been prepared as the first part of the framework and work has commenced on the next stage which is a business impact analysis.

The BCM framework responds to the strategic risk SR5 – 'Event causing disruption or destruction of critical business functions and/or production and delivery of council services'.

Review of the Risk Register

As set out in the risk roadmap, regular review of risk, risk controls and risk treatments are critical to effective risk management. Sycle allows us to set review dates for each of these risk components.

The bulk load of risks into Sycle took place in July 2017. As most risks in the register were part of the bulk load they have all been scheduled for review.

We have identified some areas where the data and risk reporting needs refinement. This includes taking the opportunity, now that we have improved our knowledge of risk management, to progressively review and refine what we have in the register. This requires others, as well as the risk owner, to review each risk to determine whether:-

- The risk description adequately describes the risk
- The correct officer has been assigned to be responsible for the risk
- The risk rating is still correct

The intended risk management process is for the individual risk owners to review their risks on an ongoing basis, however this time we believe we should take a little more time to ensure we are comfortable with all the base data in the register. This means additional support needs to be provided and the process to complete the review of all overdue risks will take a little longer. The benefit should be an improvement in the quality of data within the risk registers.

Once round of reviews is complete we can again focus on embedding the practice, of regular reviews of all risks into the normal business practices and move NCC along the risk maturity scale in the roadmap.

Review of the Corporate Risk Management Framework and NCC Risk Management Strategy

As reported to the last meeting work is underway to review these key risk documents. We expect to be able to present a new Risk Management Policy (to replace the current Risk Management Framework document) and updated risk management strategy to the committee in early 2019. The Framework was first adopted in 2015 and an updated Framework document was adopted in April 2017. In April 2017 the Risk Management Strategy was approved as the underlying document for the Cycle risk management module. The framework is a higher-level policy document while the Strategy is a more detailed "how to" strategy document to guide staff when they are recording and managing risks in the Cycle module.

The current documents were prepared/reviewed at the time staff were identifying the initial organisational risks to be loaded into the Cycle module. Now that the system has been in operation for a year it is a good time to have a closer look at the documents and identify any improvements that can be made.

Risk Maturity Roadmap

The NCC Risk maturity Roadmap has been updated and is attached. New comments to show recent progress have been added in red text.

Regional Collaboration

A regional risk management forum has been set up where risk managers for a range of organisations within Hawkes' Bay can meet and share information. A meeting was held on 15th November and this included representations from other non-council organisations. This meeting was followed by a meeting of Council representatives facilitated by H B LASS to explore opportunities for collaboration between the councils. While it is early days with these forums any opportunities to enhance the knowledge

base within NCC through shared learning can only be beneficial for risk management at NCC going forward.

1.4 Highest rated risks

There are currently 5 strategic and 177 operational risks in the risk register. (Project risks have been excluded from reporting). In addition there are approximately 650 control measures that have been identified to prevent or mitigate the risks that have been identified in the registers. In addition there are 80 actions or programmes of work that have been identified to help manage and mitigate risks in the register. 4 of these actions or programs of work have been completed and the rest of these are still in varying stages of completion.

No risks have been added to or removed from the registers since the last meeting of the Committee.

There are seven risks to report to the Committee as the highest rated risks; three are operational risks rated Extreme (OR155, OR164 and OR 178) and four are strategic risks rated High (SR2, SR3, SR5 and SR6).

These risks are reported in the attached spreadsheet and they are the same as reported to the last meeting (Attachment A).

All seven risks have treatment actions to further manage the causes or consequences of each risk.

Extreme Risks

The Extreme risks in the operational risk register are:

- OR155 Pandora Pond – customer drowning
- OR164 Bluff Hill – fall from cliff top
- OR178 Reliance on monopoly contractors for waste management

These risks were previously reported to you on 19 July and they have not changed. The Pandora Pond facility is currently closed for the winter season and measures will be put in place to mitigate some of the risk prior to the Summer opening, and a project to replace the fence around the cliff top is currently being commissioned.

Work is underway to identify effective control measures to mitigate the waste management risk.

High Risks

The four high risks in the strategic register are:

- SR2 Removal of three waters delivery and management
- SR3 Increased number and/or severity of major/natural disaster events
- SR5 Event causing disruption or destruction of critical business functions and/or production and delivery of council services.
- SR 6 Risk management practices

These risks were previously reported to you on 11 October and have not changed. The risks are outside the control of NCC. The risks treatments listed against these risks are ongoing.

4.4 Significance and Consultation

There are no significance or consultation requirements associated with this report.

4.5 Implications

Financial

There are no financial implications

Social & Policy

There are no social and policy implications apart from the management of the Councils risk management framework and strategy.

Risk

This report focuses on organisational risk. The purpose is to advise the committee on NCC risk management practices and on high strategic and high and extreme operational risks.

4.6 Options

The options available to the committee are as follows:

- a. Receive the report and attachments
- b. Receive the report and attachments and request additional information

4.7 Development of Preferred Option

The preferred option is for the committee to receive the report and attachments

4.8 Attachments

- A Report on Highest Rated Risks [↓](#)
- B Risk Maturity Roadmap [↓](#)

Napier City Council Risk Register

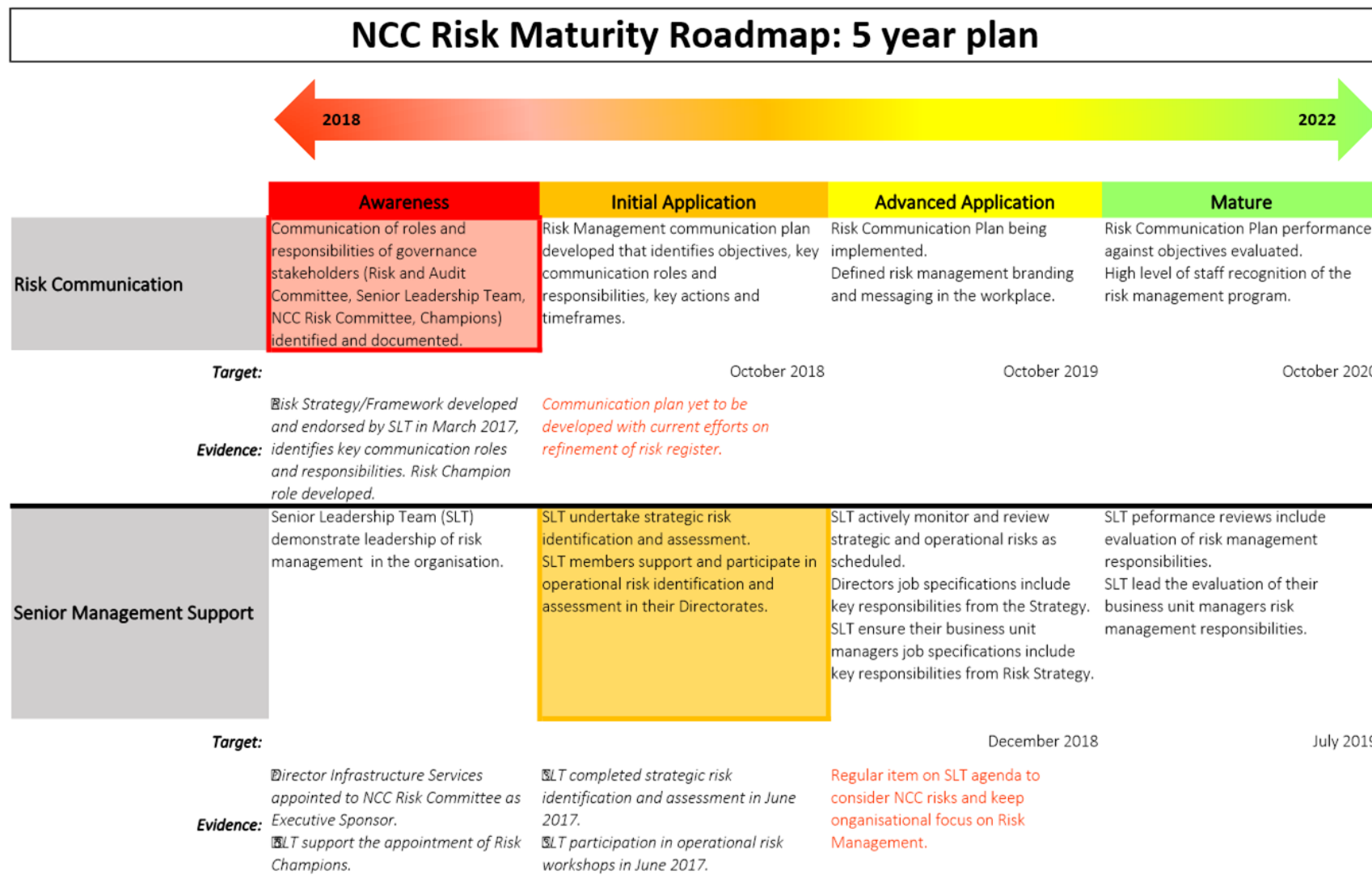
21-Sep-2018

Risk Code	Risk Issue	Causes	Treatment Actions	Primary Category / Sub Category	Inherent			Revised			
		Inherent			Consequence	Likelihood	Risk Rating	Consequence	Effectiveness of Controls	Likelihood	Risk Rating
OR178	We are heavily reliant on monopoly contractors for waste management and recycling and therefore if one terminates or defaults on contract with little notice/warning, this could lead to disruption to acceptable level of service	Inability for Council to deliver recycling and solid waste management services to a significant portion of the City, due to reliance on monopoly contractor	- Contingency measures are in place in the event of a default on contract, termination with little notice or breakdown - Ensure that contracts have set agreed KPIs which are reviewed with the contractor frequently	Service Delivery	Severe	Possible	Extreme	Severe	Partially Effective	Possible	Extreme
OR155	Pandora Pond - Customer drowning	Murky water visibility. Poor quality or no parental supervision Insufficient lifeguards Lifeguards slow to respond Dangerous customer behaviour	- Adopt a human-centred design approach to addressing collective whanau responsibility for toddlers at the pond - External review of lifeguarding model performed by NZRA - Improve communications (signage, briefings) to parents to advise of their responsibilities for supervising children while swimming. - Investigate the possibility of providing a safe space for toddlers (e.g. paddling pool) at the pond to keep them away from the waters edge	Health and Safety	Severe	Possible	Extreme	Severe	Substantially Effective	Unlikely	Extreme
OR164	Bluff Hill - fall from cliff top	Easy access to cliff top	- Construct a more suitable fence to significantly deter people crossing fence and accessing the clifftop.	Health and Safety	Severe	Possible	Extreme	Severe	Partially Effective	Unlikely	Extreme
SR5	Event causing disruption or destruction of critical business functions and/or production and delivery of council services.	Natural disaster or event, malicious attack, critical failure of assets, infrastructure, or systems	- Business Continuity Framework developed for NCC - Each Directorate must develop business continuity plans for its operations. - Information Services have a disaster recovery plan	Service Delivery	Severe	Possible	Extreme	Major	Partially Effective	Possible	High

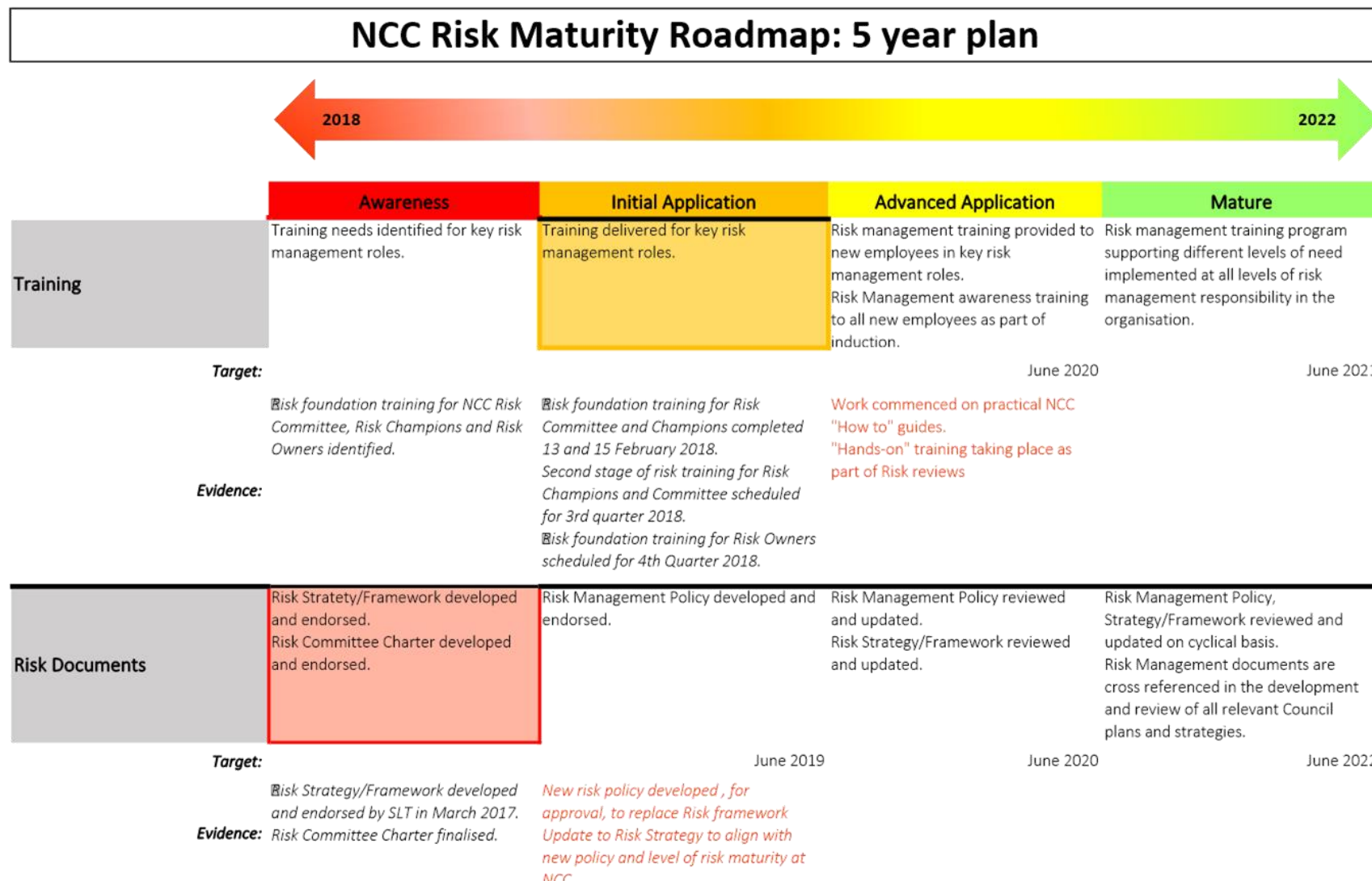
Napier City Council Risk Register

21-Sep-2018

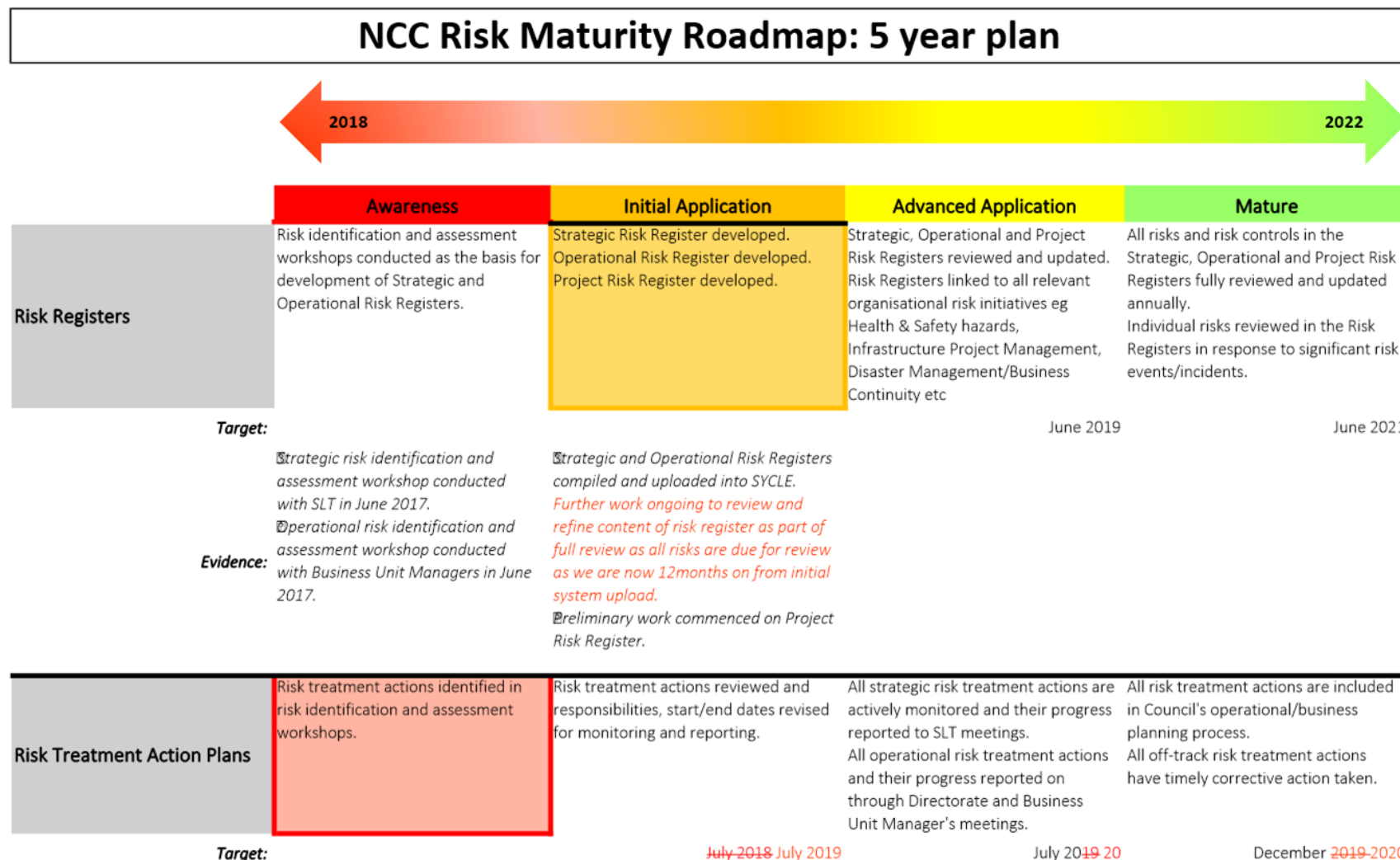
Risk Code	Risk Issue	Causes	Treatment Actions	Primary Category / Sub Category	Inherent			Revised			
		Inherent			Consequence	Likelihood	Risk Rating	Consequence	Effectiveness of Controls	Likelihood	Risk Rating
SR6	Incomplete risk management processes fail to manage risk related to Infrastructure Services	Risk delegates lack competence. Operational tempo. Process gaps around asset knowledge, assurance, and follow up. Processes not being fully implemented.	- Develop and deploy and tune network models for infrastructure networks - Improve asset condition and performance data through deployment of maintenance management transformation programme. - Risk management and control training to be deployed to directorate risk owners. - Set up risk reviews as standing agenda item in 1:1 meetings with reports.	Service Delivery	Major	Likely	Extreme	Major	Partially Effective	Possible	High
SR3	Increased number and/or severity of major/natural disaster events	Earthquake. Tsunami. Volcanic ash. Flooding. Epidemic or pandemic.	- Evaluate Council's insurance cover - Review and test Business Continuity Plans and procedures	Service Delivery	Severe	Rare	High	Severe	Partially Effective	Rare	High
SR2	Removal of 3 waters delivery and management	Central government water enquiry. Repeated non-compliance with water quality standards. Public health issues. Public outcry.	- Guide change with the objective of delivering a regional solution - Improving 3 waters asset management practices - Improving 3 waters operations - Planning for additional resources - Submission to the Water Enquiry	Service Delivery	Moderate	Possible	High	Moderate	Partially Effective	Likely	High



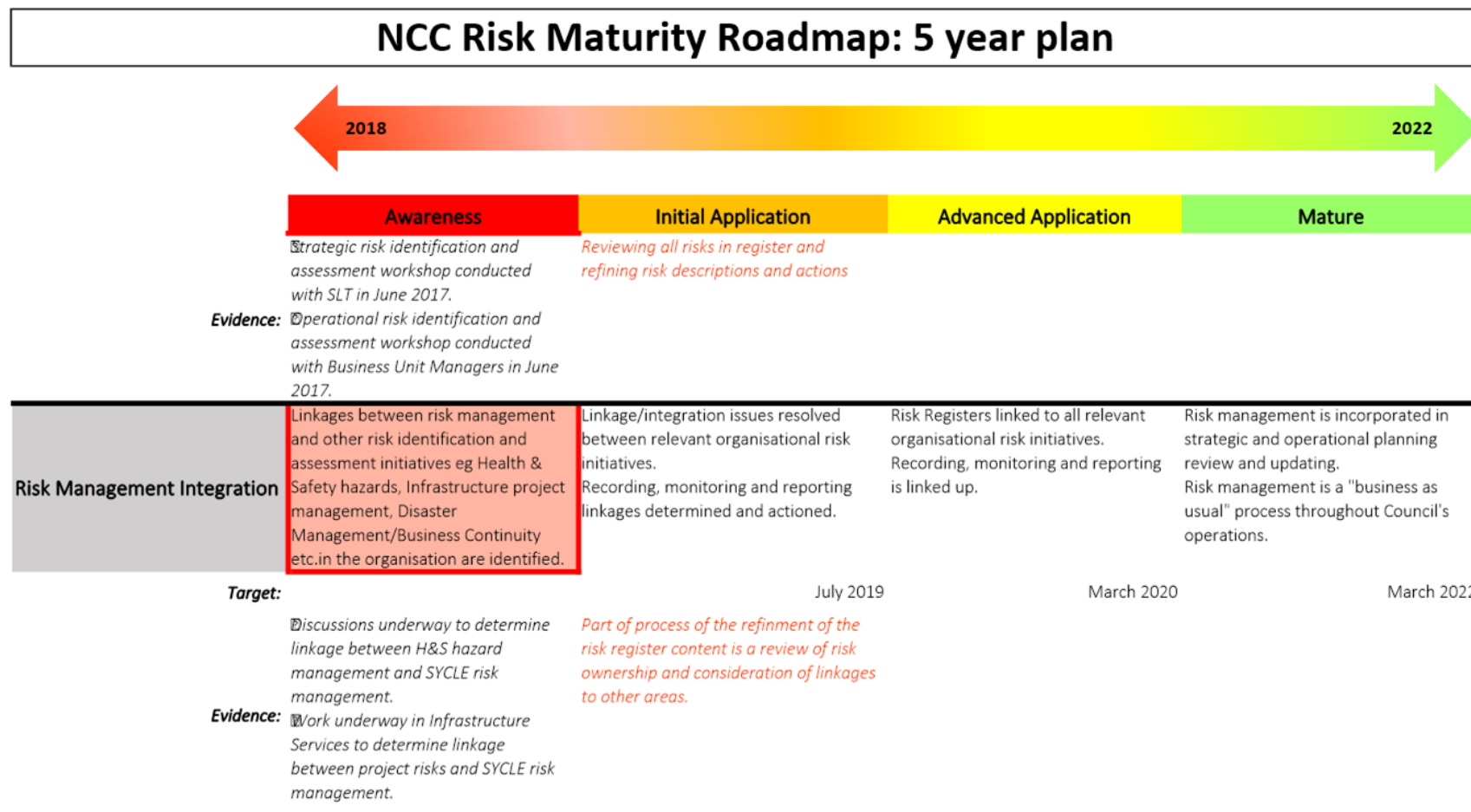
as at 22 February 2018



as at 22 February 2018



as at 22 February 2018



as at 22 February 2018

5. INTERNAL AUDIT PROGRAMME 2018/19

<i>Type of Report:</i>	Operational
<i>Legal Reference:</i>	Local Government Act 2002
<i>Document ID:</i>	671251
<i>Reporting Officer/s & Unit:</i>	Caroline Thomson, Chief Financial Officer

5.1 Purpose of Report

To table to the Committee the internal audit programme for 2017/18 and 2018/19 from Crowe Horwath. Recommendations, feedback and any other review priorities the Committee deems relevant, is sought.

Officer's Recommendation

That the Audit and Risk Committee:

- a. Resolve that the internal audit programme for 2017/18 and 2018/19 from Crowe Horwath is received.

Chairperson's Recommendation

That the Committee resolve that the officer's recommendation be adopted.

5.2 Background Summary

In June 2017 Council engaged Crowe Horwath for the provision of internal audit services for an initial contract term of three years. The following table sets out the internal audit programme for 2017/18 and 2018/19:

Internal audit	Status
Cash handling – i-Site, Kennedy park, MTG	Completed September 2017
Cash handling – Transfer Station	Completed September 2017
Data analytics	Completed November 2017
Fraud workshop	Completed November 2017
Enforcement and inspection review	Completed July 2018
Fraud workshop	Completed September 2018
Accounts receivable and credit control	Draft report received – November 2018
Sensitive expenditure	In progress – November 2018
Contract management	Planned for February 2019
Data analytics	Planned for April 2019
Follow up activities	Planned for May 2019

5.3 Issues

No Issues

5.4 Significance and Engagement

N/A

5.5 Implications

Financial

N/A

Social & Policy

N/A

Risk

N/A

5.6 Attachments

Nil

PUBLIC EXCLUDED ITEMS

That the public be excluded from the following parts of the proceedings of this meeting, namely:

AGENDA ITEMS

1. Independent Audit Member Appointment

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

General subject of each matter to be considered.	Reason for passing this resolution in relation to each matter.	Ground(s) under section 48(1) to the passing of this resolution.
1. Independent Audit Member Appointment	7(2)(a) Protect the privacy of natural persons, including that of a deceased person	48(1)A That the public conduct of the whole or the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding would exist: (i) Where the local authority is named or specified in Schedule 1 of this Act, under Section 6 or 7 (except 7(2)(f)(i)) of the Local Government Official Information and Meetings Act 1987.

AUDIT AND RISK COMMITTEE

Open Minutes

Meeting Date:	Thursday 11 October 2018
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Time:	1.00pm – 1.33pm
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Venue	Council Chamber Hawke's Bay Regional Council 159 Dalton Street Napier
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Present	John Palairet (In the Chair), Mayor Bill Dalton, Geoff Foster, Councillor Claire Hague, and Councillor Kirsten Wise
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In Attendance	Stephen Lucy – Audit New Zealand Director Corporate Services, Director Infrastructure Services, Director City Strategy [from 1.14pm], Chief Financial Officer, Manager Property [from 1.14pm], Accounting Consultant/ Acting Risk Manager
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Administration	Governance Team
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Apologies

Nil

Conflicts of interest

Nil

Public forum

Nil

Announcements by the Mayor

Nil

Announcements by the Chairperson

Nil

Announcements by the management

Nil

Confirmation of minutes

Councillors Wise / Hague

That the Minutes of the meeting held on 19 July 2018 were taken as a true and accurate record of the meeting.

Carried

AGENDA ITEMS

1. HEALTH AND SAFETY REPORT

Type of Report:	Operational
Legal Reference:	Health and Safety at Work Act 2015
Document ID:	433376
Reporting Officer/s & Unit:	Sue Matkin, Manager People & Capability

1.1 Purpose of Report

The purpose of this report is to provide Audit and Risk with an overview of the health and safety performance as at 31st August 2018.

At the Meeting

The Manager People and Capability spoke to the report, noting that in the period to 31 August 2018 there had been one Lost Time Injury (LTI) – the lost time being a couple of days – and an incident involving a contractor at the MTG. Both matters had been followed up with appropriate actions. It was also noted that in the month of September there had been another LTI involving a cleaner, and an incident involving a contractor digging around power cables without the correct permit. The Contractor was issued with a notice and retrained. It is believed that the current lag indicator for LTIs is set at an appropriate level for the organisation.

A strong focus is currently being placed on employee health and wellbeing with a number of events being arranged in the months leading up to the December break that will be made available to attend.

Other current actions underway include the creation of a central log for all chemicals and their safety information, including the appropriate personal protection equipment to use if handling.

Council has performed well in the recent Health and Safety related audits undertaken.

Specific attention is not currently given to supporting Local Government staff through difficult interactions with the public; however this may be addressed indirectly through some of the wellness programmes underway.

Although all new staff are drug tested prior to beginning work, this is not a requirement for Elected Members. Council would have to resolve that they wished to undertake the same testing as staff for this to be implemented.

Committee's Recommendation

Councillors Wise / Hague

- a. That the committee receive the report.

Carried

2. RISK MANAGEMENT REPORT

<i>Type of Report:</i>	Information
<i>Legal Reference:</i>	N/A
<i>Document ID:</i>	433390
<i>Reporting Officer/s & Unit:</i>	Ross Franklin, Consultant Rachael Horton, Manager Business Excellence & Transformation

2.1 Purpose of Report

To provide the Audit and Risk Committee (Committee) with an update on progress with risk management work and to report on the highest rated risks.

At the Meeting

The acting risk manager spoke to the report, noting that there are two new risks for the last period: reliance on a sole contractor for waste management, and the strategic risk that in the time that the organisation is moving to full maturity in its risk management that not all risks may be covered despite all best efforts. A review of existing risks and mitigations is underway to ensure that all are still relevant.

It was noted that Pandora Pond remains an extreme risk due to the serious nature of the possible consequences. Further signage has been erected as part of the mitigating actions. It is only a risk as it is a recreational space that Council provides equipment for.

The Committee requested that an update on the risk roadmap be brought to its next meeting.

Committee's Recommendation

Councillors Taylor / Wise

That the Committee:

- Note the risk management work being undertaken by the NCC Risk Committee.
- Receive the report titled: Highest rated risks report 24 September 2018.

Carried

PUBLIC EXCLUDED ITEMS

Councillors Wise / Hague

That the public be excluded from the following parts of the proceedings of this meeting, namely:

1. Draft Annual Report 2017/18
2. Freeholding
3. Legal update as at 30 June 2018

Carried

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

General subject of each matter to be considered.	Reason for passing this resolution in relation to each matter.	Ground(s) under section 48(1) to the passing of this resolution.
1. Draft Annual Report 2017/18	7(2)(f)(ii) Maintain the effective conduct of public affairs through the protection of such members, officers, employees and persons from improper pressure or harassment	48(1)A That the public conduct of the whole or the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding would exist: (i) Where the local authority is named or specified in Schedule 1 of this Act, under Section 6 or 7 (except 7(2)(f)(i)) of the Local Government Official Information and Meetings Act 1987.
2. Freeholding	7(2)(i) Enable the local authority to carry on, without prejudice or disadvantage, negotiations (including	48(1)A That the public conduct of the whole or the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for

	commercial and industrial negotiations)	which good reason for withholding would exist: (i) Where the local authority is named or specified in Schedule 1 of this Act, under Section 6 or 7 (except 7(2)(f)(i)) of the Local Government Official Information and Meetings Act 1987.
3. Legal update as at 30 June 2018	7(2)(i) Enable the local authority to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations)	48(1)A That the public conduct of the whole or the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding would exist: (i) Where the local authority is named or specified in Schedule 1 of this Act, under Section 6 or 7 (except 7(2)(f)(i)) of the Local Government Official Information and Meetings Act 1987.

The meeting moved into committee at 1.33pm

Approved and adopted as a true and accurate record of the meeting.

Chairperson

Date of approval