

**A Meeting of the Risk and Assurance Sub-Committee Meeting will be held as follows:**

**Date: Monday 8 April 2024**

**Time: 3:30pm**

**Venue: Council Chambers, 105 Tainui Street, Greymouth**

Paul Pretorius  
Acting Chief Executive

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# AGENDA

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**Members:**

Chair: Mr Rob Caldwell  
Deputy Chair: Mayor Tania Gibson  
Members: Councillor Robert Mallinson  
Councillor Rex MacDonald  
Councillor Jack O'Connor

*(Quorum 3 members)*

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*The information in this document is provided to facilitate good competent decisions by Council and does in no way reflect the views of Council. Reports and recommendations contained in this agenda are not to be considered as Council policy until adopted.*

# TERMS OF REFERENCE

Type of Committee	Council Subcommittee
Subordinate to:	Finance, Regulatory and Business Support
Subordinate Committee	None
Legislative Basis	Subcommittee reconstituted by Council as per Schedule 7, Section 30 (1) (A) Local Government Act 2002. Subcommittee delegated by powers by the Council as per Schedule 7 (Section 32) of the Local Government Act)
Membership	Independent Chair: Mr Rob Caldwell Deputy Chair: Mayor Gibson Member: Cr Robert Mallinson Member: Cr Rex MacDonald Member: Cr Jack O'Connor
Quorum	Three members
Meeting frequency	February, April, June, August and October.
Terms of Reference	<p>The purpose of the Risk and Assurance Committee is to assist the Council in discharging its responsibilities in relation to:</p> <ul style="list-style-type: none"> <li>• The robustness of the internal control framework and financial management practices.</li> <li>• The integrity and appropriateness of external reporting and accountability arrangements.</li> <li>• The robustness of risk management system, processes, and practices.</li> <li>• Compliance with applicable laws and regulations.</li> <li>• Standards and best practice guidelines, and</li> <li>• The establishment and maintenance of controls to safeguard the Council's financial and non-financial assets.</li> </ul> <p>Areas that broadly fall under the umbrella of this committee are:</p> <ul style="list-style-type: none"> <li>• Risk management framework</li> <li>• Financial risk management</li> <li>• Health and safety risk management</li> <li>• Compliance with legislation</li> </ul>

	<ul style="list-style-type: none"> <li>External audit or review of any Council activities, including but not limited to NZTA, Building Controls, Audits.</li> </ul>
<p>Power to Act</p> <p>Assurance</p>	<p>For Council's Annual Report, Consultation Document and Long Term Plan Audits,</p> <p>The Risk and Assurance Committee will:</p> <ul style="list-style-type: none"> <li>Approve the annual external audit proposal for the Annual Report and the audit of the Long Term Plan.</li> <li>Agree the appropriateness of the Council's existing accounting policies and principles and any proposed changes.</li> <li>Enquire of external auditors for any information that affects the quality and clarity of the Council's financial statements of service performance, and assess whether appropriate action has been taken by management in response to the above.</li> <li>Satisfy itself that the financial statements of service and performance are supported by appropriate management signoff on the statements and on the adequacy of the systems of internal control (i.e. letters of representation) and recommend to Council the signing of the financial statements by the Chief Executive / Mayor and adoption of the Annual Report.</li> <li>Identify and recommend to the Council the external auditor's remuneration and the terms of their engagement.</li> <li>Confirm consulting services and related fees provided by the external auditors.</li> <li>Consider and review any serious difficulties or disputes which management encountered during the audit.</li> <li>Consider and review any other matters related to the conduct of the audit.</li> <li>Consider and review any significant findings during the audit process and managements responses.</li> </ul>

<p>Risk</p>	<ul style="list-style-type: none"> <li>• Consider and review any matters considered appropriate, without the Chief Executive or other Council staff present in the meeting.</li> <li>• Consider and review any difficulties encountered during the audit including any restrictions on the scope of work.</li> <li>• Consider and review any changes required in the planned scope of the audit plan.</li> <li>• Consider and review the audit management letter prior to presentation to the Council.</li> <li>• Meet with the external Auditors at any time with or without management present as deemed appropriate by the Chairman of the committee.</li> </ul> <p>Council is responsible for setting the tolerance to risk and risk culture at the Grey District Council. The Chief Executive is charged with implementing appropriate risk management systems within Grey District Council.</p> <p>While the responsibility for risk lies with Council, oversight of the processes to manage risk within GDC is delegated to the Risk and Assurance Committee. The Council will receive periodic reporting on those areas of risk identified by the Committee.</p> <p>The Risk and Assurance Committee will:</p> <ul style="list-style-type: none"> <li>• Review and approve Council's risk management framework.</li> <li>• Review corporate risk assessment and internal work management practices.</li> <li>• Receive and review Health and Safety reports.</li> <li>• Oversight of the processes used to manage project risks.</li> <li>• Review insurance arrangement annually.</li> <li>• Overseeing Council's systems, processes, and practices for risk management: <ul style="list-style-type: none"> <li>a) Ensure that management has in place a current and comprehensive risk management framework and associated procedures for effective identification and management of the Council's</li> </ul> </li> </ul>
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<p>Assurance – other</p>	<p>significant risks (including financial and non-financial risks).</p> <p>b) Consider whether appropriate action is being taken by management in its treatment of risk to either accept or mitigate Council’s significant risks.</p> <ul style="list-style-type: none"> <li>• Monitoring insurance claims.</li> </ul> <p>It is anticipated that the Council will from time to time be required by third parties to undertake an audit process. They may include by not be limited to Waka Kotahi, Building Control, MBIE.</p> <p>The Risk and Assurance Committee will:</p> <ul style="list-style-type: none"> <li>• Approve (if required) any other external audit proposal.</li> <li>• Liaising with the relevant external auditor: <ul style="list-style-type: none"> <li>a) At the start of each audit, confirm the terms of engagement with the external auditor including the nature and scope of the audit, timetable and fees.</li> <li>b) Approve the external audit engagement letter and letter of undertaking and any additional services to be provided by the external auditor.</li> <li>c) Receive the external audit report (s) and review action to be taken by management on significant issues and audit recommendations raised within.</li> <li>d) Conduct a member only session (i.e. without any management present) with external audit to discuss any matters that the auditors wish to bring to the committee’s attention and / or any issues of independence.</li> </ul> </li> </ul>
<p>Conflicts of Interest</p>	<p>Once per year, Committee members will provide written declarations to the Mayor, stating they do not have any conflicts of interest that would preclude them from being members of the Committee.</p>

Delegations	The Committee will in general make recommendations to Council on certain matters. Where the Committee is delegated to approve a matter this is considered a decision by the Committee.
Limits to Delegations	<p>Matters that cannot be delegated by the Council include:</p> <ul style="list-style-type: none"> <li>• The power to make a rate.</li> <li>• The power to make a bylaw.</li> <li>• The power to borrow money, or purchase or dispose of assets, other than in accordance with the long term plan.</li> <li>• The power to adopt a long term plan, annual plan, annual report or strategic plan.</li> <li>• The power to appoint a Chief Executive.</li> <li>• The power to adopt policies required to be adopted and consulted on under this Act in association with the long term plan or developed for the purpose of the local governance statement.</li> <li>• The power to adopt a remuneration and employment policy.</li> </ul>
Reporting Procedures	<ul style="list-style-type: none"> <li>• After each meeting the Chair will report the committee's recommendations and findings to the Council.</li> <li>• The minutes of all meetings of the Committee will be presented to Council and to such other persons as the Council directs.</li> <li>• The Chair will present an annual report to the Council summarising the Committees activities during the year and any significant results and findings.</li> </ul>
Power to Act.	Generally recommending powers only, but certain decisions can be taken by the committee.
Referral to Council	The minutes of the subcommittee serve before Council as a recommendation.
Management responsibility	Chief Executive

# **SUB-COMMITTEE IN OPEN MEETING**

## **GENERAL BUSINESS AND TABLED ITEMS**

Items not on the agenda for the meeting require a resolution under section 46A of the Local Government Official Information and Meetings Act 1987 stating the reasons why the item was not on the agenda and why it cannot be dealt with at a subsequent meeting on the basis of a full agenda item. It is important to note that late items can only be dealt with when special circumstances exist and not as a means of avoiding or frustrating the requirements in the Act relating to notice, agendas, agenda format and content.

## **LOCAL AUTHORITIES (MEMBERS' INTERESTS) ACT 1968**

Sub-Committee members are reminded that if he/she has a direct or indirect interest in any item on the agenda be it pecuniary or on grounds of bias and predetermination, then he/she must declare this interest and refrain from discussing or voting on this item.

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## **1 APOLOGIES AND DECLARATIONS OF INTEREST**

### **1.1 APOLOGIES**

Nil

### **1.2 UPDATES TO THE INTERESTS REGISTER**

Sub-Committee members to please advise if there are any changes to be made to the current Interests Register.

### **1.3 IDENTIFY ANY CONFLICTS OF INTERESTS IN THE AGENDA**

Notification from committee members of:

- 1.3.1 Any interests that may create a conflict with their role as a committee member relating to the items of business for this meeting (prior to taking part in the deliberation of a particular item); and
- 1.3.2 Any interests in items in which they have a direct or indirect pecuniary interest as provided for in the Local Authorities (Members' Interests) Act 1968.

### **1.4 NOTIFICATION OF LATE ITEMS**

Where an item is not on the agenda for a meeting, that item may be dealt with at that meeting if:

- 1.4.1 The Committee by resolution so decides; and
- 1.4.2 The Chairperson explains at the meeting at a time when it is open to the public the reason why the item is not on the agenda, and the reason why the discussion of the item cannot be delayed until a subsequent meeting.

## **2 CONFIRMATION OF MINUTES OF PREVIOUS MEETINGS**

### **2.1 CONFIRMATION OF THE RISK AND ASSURANCE SUB-COMMITTEE MEETING HELD ON 19 FEBRUARY 2024**

#### **SUGGESTED RECOMMENDATION**

That the minutes of the Risk and Assurance Sub-Committee Meeting held on 19 February 2024 be confirmed as true and correct.

**MINUTES OF THE RISK AND ASSURANCE SUB-COMMITTEE MEETING OF THE GREY DISTRICT COUNCIL**

**Held in Council Chambers, 105 Tainui Street, Greymouth  
on Monday 19 February 2024 commencing at 3.30pm**

**PRESENT:** Mr Rob Caldwell (Chair)  
Mayor Tania Gibson (Deputy Chair), Councillor Robert Mallinson, Councillor Rex MacDonald, Councillor Jack O'Connor (arrived 3.35pm)

**IN ATTENDANCE:** Paul Morris (Chief Executive), Gerhard Roux (Group Manager Support), Neil Englebrecht (Finance Manager), Gemma Trezise (People & Capabilities Business Partner) Trish Jellyman (Democracy Advisor), Megan Bourke (Communications Officer)

## **1 APOLOGIES AND DECLARATIONS OF INTEREST**

### **1.1 APOLOGIES**

Cr O'Connor apology for lateness.

### **1.2 UPDATES TO THE INTERESTS REGISTER**

The Chairman disclosed three changes to his Interests. It was agreed that the Interest Register would be updated to reflect these changes.

### **1.3 IDENTIFY ANY CONFLICTS OF INTERESTS IN THE AGENDA**

There were no conflicts of interest.

### **1.4 NOTIFICATION OF LATE ITEMS**

There were no late items.

## **2 CONFIRMATION OF MINUTES OF PREVIOUS MEETINGS**

### **2.1 CONFIRMATION OF THE RISK AND ASSURANCE SUB-COMMITTEE MEETING HELD ON 24 OCTOBER 2023**

**COMMITTEE RESOLUTION RA 24/02/001**

**Moved: Mayor Tania Gibson**

**Seconded: Cr Rex MacDonald**

That the minutes of the Risk and Assurance Sub-Committee Meeting held on 24 October 2023 be confirmed as true and correct.

**Carried Unanimously**

### 3 AGENDA ITEMS

#### 3.1 TREASURY UPDATE 31 DECEMBER 2023

Refer page 15 of the agenda. Cr MacDonald drew attention to page 19. The GMS advised that Council remains within its compliance thresholds and there is still room to move before there are any concerns.

In response to questions from Cr Mallinson, the CE advised Council can borrow up to 175% of total revenue. It was confirmed that Council can borrow up to around \$54M from LGFA but this would be on a case by case basis. It was noted that due to trading and interest rates LGFA is who Council would go to first for borrowing.

#### COMMITTEE RESOLUTION RA 24/02/002

**Moved:** Cr Robert Mallinson

**Seconded:** Mayor Tania Gibson

1. That the Risk and Assurance Sub-Committee Meeting:
2. Receives the report and notes the contents.

**Carried Unanimously**

#### 3.2 ICT STRATEGY 2023-2028

Refer page 24 of the agenda.

The GMS spoke to this report. Cr MacDonald asked if there is an opportunity for the ICT Manager to present to Council on this matter. It was agreed that the ICT Manager would attend a future meeting. Cr O'Connor acknowledged the amount of work that has gone into the strategy to get it to this stage. He asked if Council has an AI policy in place. The GMS advised that the strategy would develop into 36 policies in total including some external policies and AI will be included. It was confirmed that Council has the financial and staff resources in place to achieve this.

It was confirmed that the ISO 27000 framework will be adopted but accreditation will not be sought. The Chairman asked the committee if they feel that they are in the position to recommend that Council adopts the strategy. Cr Mallinson stated that this is a very comprehensive document and seems fit for purpose but there is the need to know what this will mean in terms of dollars for Council. Cr MacDonald agreed, he would like an indication of costs prior to making decisions that may cost Council a lot of money. The GMS advised that budget is assigned to all items as part of the Annual Plan / LTP process. He stated that the ICT strategy has a workable budget and is ready to go. In response to questions about resources, the GMS advised that there will be parts that are timebound and there may be a need for specific specialists or contractors for portions in some areas. The GMS confirmed that within the next few weeks he will be fully fledged with staff resources. The Chairman advised that to adopt the strategy in isolation of the budget would be the wrong thing to do. Cr O'Connor agreed and stated that Appendix A of the strategy reads very well. It was agreed that this committee would continue to have oversight and track progress. Her Worship commented that financial workshops for the LTP are yet to be held and costings and budget information is still awaited.

#### COMMITTEE RESOLUTION RA 24/02/003

**Moved:** Mr Rob Caldwell

**Seconded:** Cr Rex MacDonald

That the Risk and Assurance Sub-Committee:

1. Receives the 2023-2028 ICT Strategy report and accompanying Appendix.

**Moved:** Mr Rob Caldwell

**Seconded:** Mayor Tania Gibson

2. Advises Council that it has reviewed the ICT Strategy, and that Council considers this at its next meeting subject to the availability of budgets for the ICT Strategy.

**Carried Unanimously**

### 3.3 WHISTLEBLOWERS QUARTERLY REPORT - DECEMBER 2023

Refer page 75 of the agenda. In response to a question from Cr Mallinson, the CE advised that there is a policy in place that has been used once in the past 12 months. He advised that this policy is available and is publicised on the Council Intranet. It was confirmed that the policy does not cover external personnel and is designed for people within the organisation to be fully protected by the Whistleblower legislation. The Chairman confirmed that this is a service provided by PWC where people can call them to register a matter that they believe is under the Whistleblower legislation and is then referred through the appropriate channels. It was confirmed that this report is received quarterly.

#### **COMMITTEE RESOLUTION RA 24/02/004**

**Moved:** Cr Jack O'Connor

**Seconded:** Mayor Tania Gibson

That the Risk and Assurance Sub-Committee Meeting receives the report.

**Carried Unanimously**

### 3.4 UPDATE FROM MINISTER FOR LOCAL GOVERNMENT

Refer page 82 of the agenda.

The CE spoke to this report and advised that in view of the repeal of the Three Waters legislation and the replacement legislation that won't occur until around mid to late next year, the Government has offered three options. He outlined options that were made available and stated that none of these options looked attractive to Council, but Council could complete Year 1 as any of the delayed options could delay the rate strike. The CE stated that the intention is to continue with LTP but try to get a month's delay through until the end of July which means Council could still do the first instalment rate strike using the LTP numbers. The CE outlined the fourth option which is a "super" Annual Plan and contains a lot more detail around the water infrastructure, and this would take away the need to worry about what the next nine years looks like in view of the uncertainty of the new legislation. The CE stated this option is aimed at smaller Council's to allow them to do one year's Annual Plan, and Council could then do a two year LTP in 2025 / 2026 to catch up and get back into the three year cycle again. The CE advised that Council would still need to consult but will not need auditors involved, which would save a lot of time, and this is what staff are recommending. He stated that this is the best way for Council to deliver an Annual Plan and a LTP that is going to be meaningful. He said that the downside is that the LTP occurs in the same year as the local government election. It was agreed that the fourth option should be recommended to Council. The CE advised that Buller District Council and Westland District Council are also looking at taking this option. Cr Mallinson stated this is a very sensible course of action. Cr O'Connor stated he is happy to be led by staff, and it makes sense as Three Waters is still sitting in an unknown space. The CE advised this will be a mini LTP as it will only be for two years but the annual plan and the two year LTP will align to a three year cycle. He stated that there will still be a consultation process and any major projects can be done as an amendment to the LTP. The CE advised that Council is in the same position as it was just prior to the general election, as Council does not know what is going to happen and this now gives Council space to work through the process.

**COMMITTEE RESOLUTION RA 24/02/005****Moved: Mayor Tania Gibson****Seconded: Cr Robert Mallinson**

That the Risk and Assurance Sub-Committee Meeting

1. Receives the report.

**Moved: Cr Robert Mallinson****Seconded: Mr Rob Caldwell**

2. Recommend to Council that it supports the proposal to delay the Long Term Plan until 2025 – 26 year and produce an Annual Plan for the 2024 – 25 financial year.

**Carried Unanimously****4 IN COMMITTEE ITEMS**

That the public is excluded from:

The following parts of the proceedings of this meeting, namely;

**Agenda item(s) 4.1 – 4.8**

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

**COMMITTEE RESOLUTION RA 24/02/006****Moved: Mayor Tania Gibson****Seconded: Cr Jack O'Connor**

General subject of each matter to be considered	Reason for passing this resolution in relation to each matter	Ground(s) under section 48(1) for the passing of this resolution
4.1 - CONFIRMATION OF IN COMMITTEE MINUTES OF RISK AND ASSURANCE SUB-COMMITTEE MEETING HELD ON 24 OCTOBER 2023	s7(2)(c)(ii) - the withholding of the information is necessary to protect information which is subject to an obligation of confidence or which any person has been or could be compelled to provide under the authority of any enactment, where the making available of the information would be likely otherwise to damage the public interest	s48(1)(a)(i) - the public conduct of 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 under section 6 or section 7
4.2 - LONG TERM PLAN 2024-2034 RISK REGISTER	s7(2)(j) - the withholding of the information is necessary to prevent the disclosure or use of official information for improper gain or improper advantage	s48(1)(a)(i) - the public conduct of 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 under section 6 or section 7
4.3 - HEALTH AND SAFETY REPORT	s7(2)(d) - the withholding of the information is necessary to avoid prejudice to measures protecting the health or safety of members of the public	s48(1)(a)(i) - the public conduct of 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 under section 6 or section 7
4.4 - ICT AND CYBERSECURITY IMPLEMENTATION PLAN ON AUDITS PERFORMED	s7(2)(j) - the withholding of the information is necessary to prevent the disclosure or use of official information for improper gain or improper advantage	s48(1)(a)(i) - the public conduct of 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 under section 6 or section 7
4.5 - STRATEGIC PRIORITIES UPDATE	s7(2)(a) - the withholding of the information is necessary to protect the privacy of natural persons, including that of deceased natural persons	s48(1)(a)(i) - the public conduct of 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 under section 6 or section 7
4.6 - SENSITIVE EXPENDITURE REPORT - DECEMBER 2023	s7(2)(b)(ii) - the withholding of the information is necessary to protect information where the making available of the information would be likely unreasonably to prejudice the commercial position of the person who supplied or who is the subject of the information	s48(1)(a)(i) - the public conduct of 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 under section 6 or section 7
4.7 - REPORT ON AUDIT RECOMMENDATIONS FROM MANAGEMENT LETTER	s7(2)(g) - the withholding of the information is necessary to maintain legal professional privilege	s48(1)(a)(i) - the public conduct of 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 under section 6 or section 7
4.8 - INSURANCE RENEWAL	s7(2)(b)(ii) - the withholding of the information is necessary to protect information where the making available of the information would be likely unreasonably to prejudice the commercial position of the	s48(1)(a)(i) - the public conduct of the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for

	person who supplied or who is the subject of the information	withholding would exist under section 6 or section 7
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**Carried Unanimously**

**5 SUB-COMMITTEE RESUME IN OPEN MEETING**

**CLOSURE OR RATIFICATION OF DECISIONS IN OPEN MEETING.**

The meeting concluded at 5.40 pm.

**Confirmed**

\_\_\_\_\_

**R Caldwell**

**Chairperson**

\_\_\_\_/\_\_\_\_/\_\_\_\_

**Date**

UNCONFIRMED



### **3 AGENDA ITEMS**

#### **3.1 HEALTH AND SAFETY REPORT**

**File Number:** F/7

**Report Author:** People and Capability Business Partner

**Report Authoriser:** Acting Chief Executive

**Appendices:** 1. Health & Safety Report 01 February - 22 March 2024

#### **1. REPORT PURPOSE**

- 1.1. To update the Audit and Risk Committee on Council's health and safety performance.

#### **2. EXECUTIVE SUMMARY**

- 2.1. Council's Safe365 HSWA Competence rating is 61% with zero high-risk modules, three medium-risk modules and seven low-risk modules.
- 2.2. A Safe365 HSWA Competence rating target of 88% has been allocated. A summary of the 3 year Safety Capability Improvement Plan has been provided.
- 2.3. A total number of 12 safety reports have been recorded during the reporting period (01 February to 22 March) with none of these reports requiring action.

Council engages with 117 contractors, of which 66 meet a pre-approved status. 51 Contractors do not meet a pre-approved status.

#### **3. OFFICER RECOMMENDATION**

1. That the Risk and Assurance Sub-Committee Meeting receives the report.

#### **4. BACKGROUND**

- 4.1. This report provides an overview of the current status of Council specific to Occupational Health, Safety and Wellbeing Practices.
- 4.2. Under the Health and Safety at Work Act 2015 (HSWA), Council must exercise a duty of due diligence in relation to health and safety. These reports will provide information to allow informed decision making and appropriate assessment of risk within the Council.

#### **5. ANALYSIS AND ADVICE**

- 5.1. Council's key safety indicators include four key metrics: lost time injury frequency rate (LTIFR), near misses, safety observations (unsafe conditions), and corrective actions/critical risks.
- 5.2. Council measurement of safety risk, compliance, and capability in relation to the HSWA has remained stable at 61%.
- 5.3. A target rate of 88% has been assigned following a review conducted in February 2024. The timeframe and plan to achieve the target rate is three years. A Safety Improvement Plan has been provided.
- 5.4. Council's external Health and Safety Audit 2023 included nine corrective actions, four are completed, five are in progress.
- 5.5. Council's external Health and Safety Audit 2022 included 40 corrective actions, 39 are completed, with one brought forward as an addition to a corrective action in the 2023 audit.

5.6. The Council has had two work related accidents reported, thus our LTIFR (the number of lost time injuries that occurred during the reporting period) is currently 11.31.

## 6. SIGNIFICANCE AND ENGAGEMENT

6.1. The assessment of significance is low.

Issue	Level of Significance	Explanation of Assessment
Is there a high level of public interest, or is decision likely to be controversial?	Low	Report is not a decision report but an action list of work on from the H&S Audit Action Plan.
Is there a significant impact arising from duration of the effects from the decision?	N/A	N/A
Does the decision relate to a strategic asset? (refer Significance and Engagement Policy for list of strategic assets)	No	N/A
Does the decision create a substantial change in the level of service provided by Council?	No	N/A
Does the proposal, activity or decision substantially affect debt, rates or Council finances in any one year or more of the LTP?	No	N/A
Does the decision involve the sale of a substantial proportion or controlling interest in a CCO or CCTO?	No	N/A
Does the proposal or decision involve entry into a private sector partnership or contract to carry out the deliver on any Council group of activities?	No	N/A
Does the proposal or decision involve Council exiting from or entering into a group of activities?	No	N/A














## Confirmation of Statutory Compliance

Compliance with Statutory Decision-making Requirements (ss 76 - 81 Local Government Act 2002).

- (a) This report contains:
- (i) sufficient information about all reasonably practicable options identified and assessed in terms of their advantages and disadvantages; and
  - (ii) adequate consideration of the views and preferences of affected and interested persons bearing in mind any proposed or previous community engagement.
- (b) The information reflects the level of significance of the matters covered by the report, as determined in accordance with the Council's significance and engagement policy.



### Health, Safety & Wellbeing Report – Reporting Period 01 February 2024 to 22 March 2024

Lost Time Injury Frequency Rate (LTIFR)		Risk Categories	Total Reports During Reporting Period	Total Reports requiring action	YTD reports (Rolling 12mths)
<p>Target = 0</p> <p><b>11.31</b> LTIFR YTD</p> <p>There have been 2 injuries (6 days) sustained year to date.</p> <p><u>Safety Information</u></p> <p>Health and Safety Advisor is not approved for recruitment.</p> <p>Appointment made as Chair for the Health, Safety and Wellbeing Committee</p> <p>Health Safety and Wellbeing Committee meeting 11 April 2024</p> <p>Focus: Strategic 3 Year Improvement Plan to attain goal of Safety Index 88%</p>		<p>Contractor Reports </p> <p>Heights </p> <p>Plant &amp; Equipment </p> <p>Aggression </p> <p>Illness &amp; Exposure Incident </p> <p>Injury Incident </p> <p>Environmental Incident (WRC) </p> <p>Slip, Trip and Fall </p> <p>Vehicle Incidents </p> <p>Stress and Wellbeing </p> <p>Quality Incident </p> <p>Near Miss / Close Call </p> <p>Observations &amp; Hazards </p>			
		<b>Totals</b>	<b>12</b>	<b>0</b>	<b>296</b>

**Accidents, Near Misses and Safety Observations**

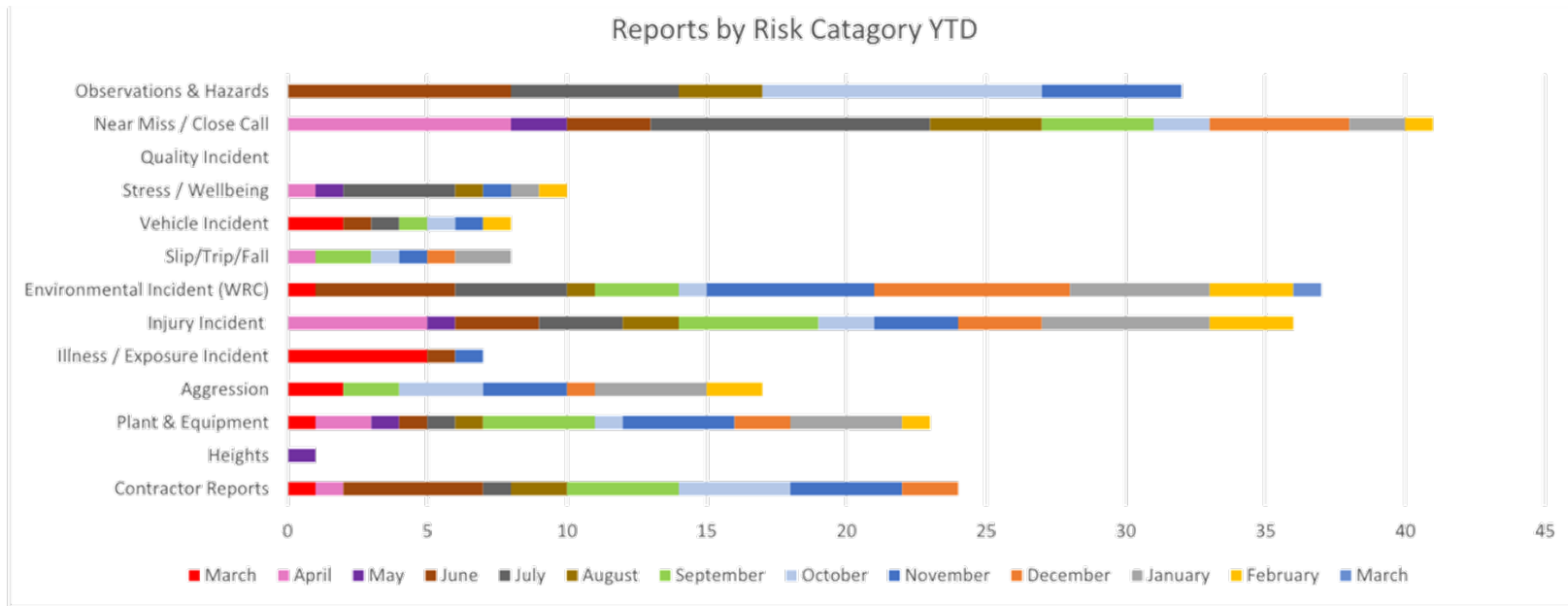
- Year to date the Council has received 296 reports, with 12 reported during the period between 01 February and 22 March 2024. They have been categorised in the accompanying table and chart.
- The council uses Safe365 to report accidents, near misses and safety observations (unsafe conditions).
- Council current Safety Index is 61%
- Council Safety Index goal is 88% (3 year plan 2024-26)

Incident Investigations	
Raised	0
Under Action	0
Completed	0

Worksafe Notifications	
Reporting Period	0
YTD	0

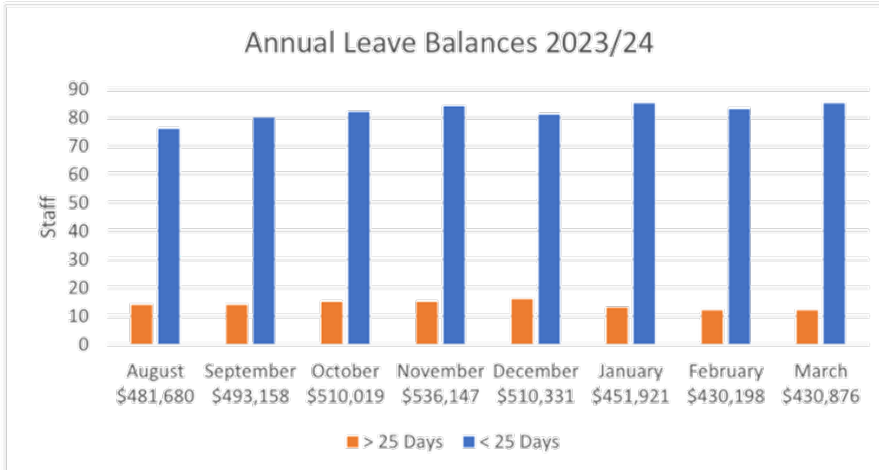
**Incident Investigation Details**

- Nil

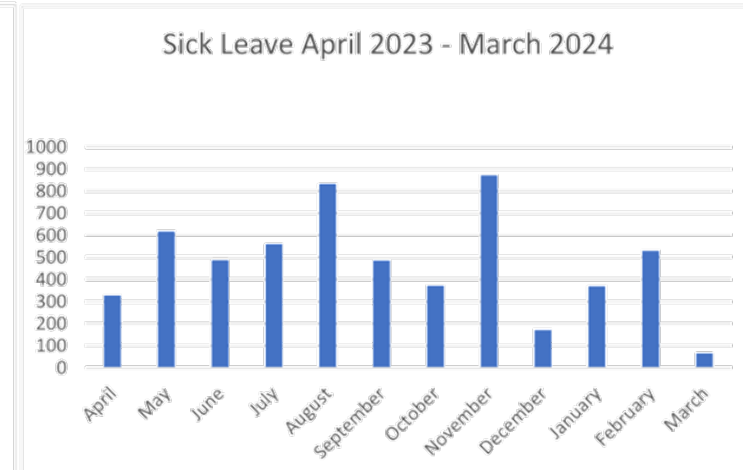


**Leave Balances:**

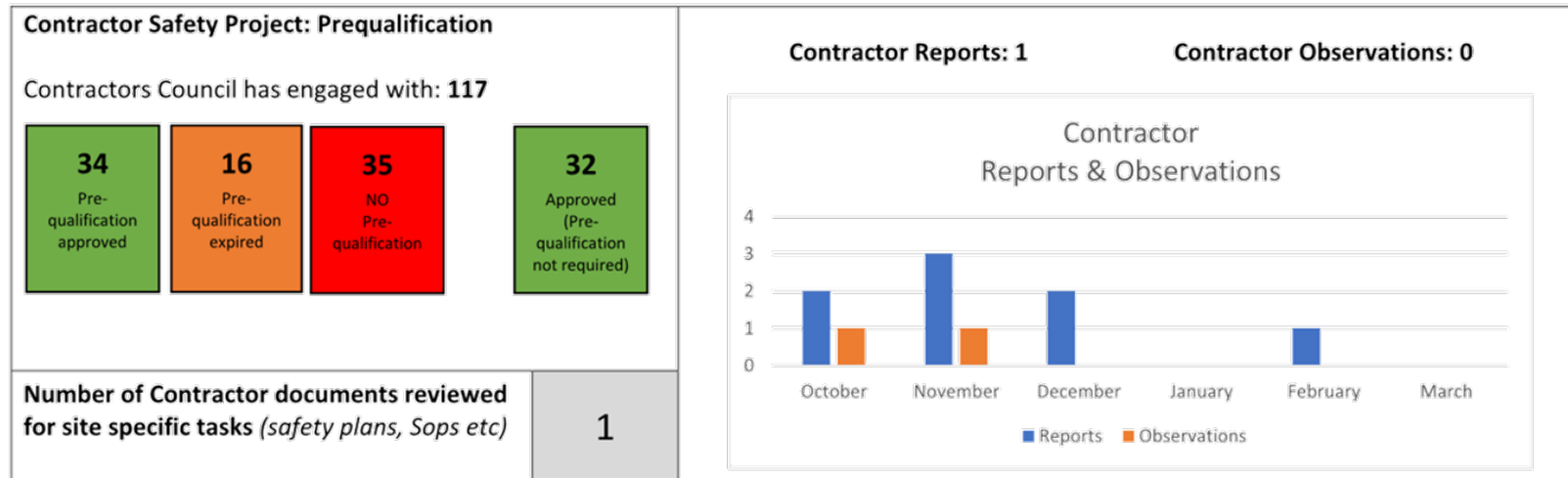
**Annual Leave**



**Sick Leave**



## Contactor Safety



## External Audit – A1 Health & Safety Consulting Ltd

Summary of the External Audit Progress as of 22 March 2024

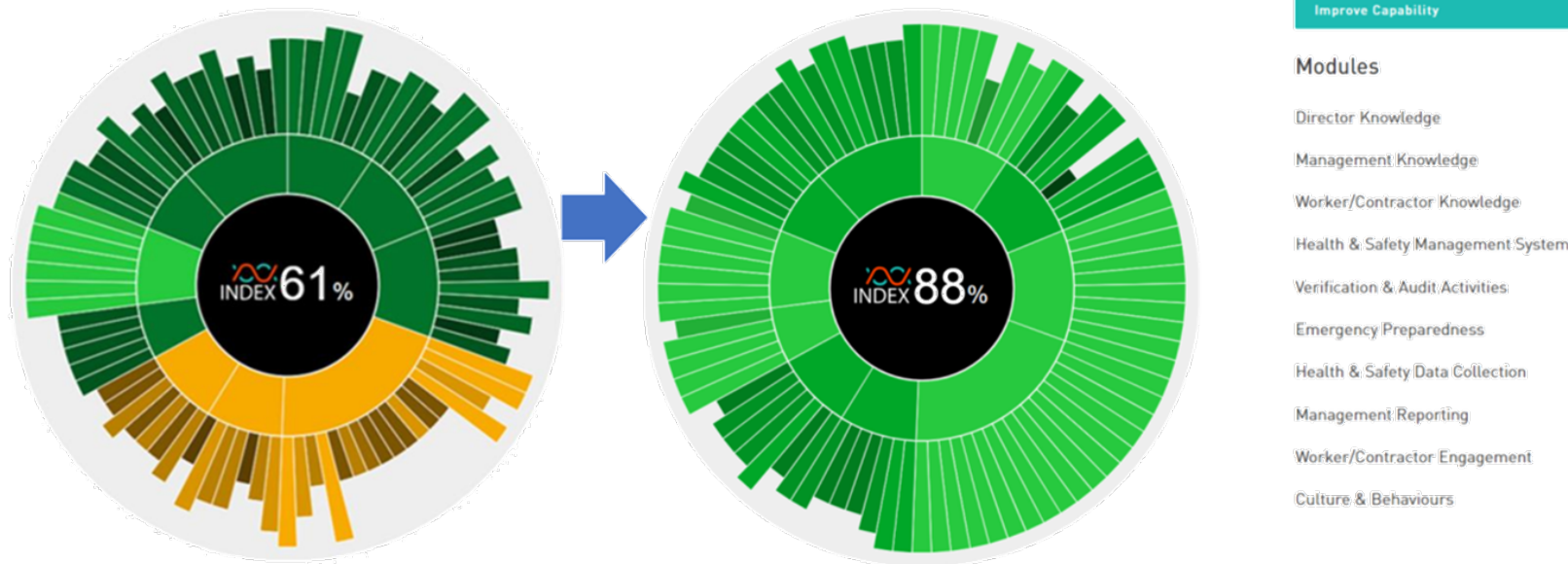
<p><b>2023 Audit Report</b></p> <ul style="list-style-type: none"> <li>The external health and safety audit contained nine corrective actions / recommendations.</li> <li>Five of the nine corrective actions / recommendations require action</li> <li>Four of the nine corrective actions / recommendations are complete / closed</li> </ul> <p><b>2022 Audit Report - COMPLETE</b></p> <ul style="list-style-type: none"> <li>The external health and safety audit contained forty corrective actions / recommendations.</li> <li>Thirty nine of the forty corrective actions / recommendations require are complete / closed.</li> <li>One of the of the forty corrective actions / recommendations was brought forward and 'added' to the reoccurring corrective actions / recommendations of the of the 2023 Audit Report.</li> </ul>
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## HSWA Competence (SAFE365)

### Summary of Safety

**Safety Index:**

- The Councils present compliance rate is 61%. This has been maintained over the February – March period.
- Target capability for Council is 88%
- An increase of 9% and the ability to maintain current rating (requiring ongoing work) is required to meet desired capability rating in a 3 years (2024-27) period.
- Our capability improvement plan has been developed
- The aligning strategy is in development.



**APPENDIX A - Capability Progress Improvement Plan**

The tasks have been staggered to start at different times across the three years. Please note that some of the tasks are performed weekly, monthly, or annually. Once a task has started in the year allocated it will continue on a permanent basis (it is a reoccurring task).



- Year one:** 38 tasks are initiated (total of 38 tasks)
- Year two:** 14 tasks are initiated (total of 52 tasks)
- Year three:** 13 tasks are initiated (total of 65 tasks)

Year 1			
Director Knowledge	Inductions HSW Agenda Items on Meeting Minutes Advise when required and recorded Induction to HSWA (Internal Training) & Training Register Updated Review of HIGH RISK Activities and impact to Organisation	Management Reporting	Annual Safety Report Committee Reporting ELT Reporting Report to SLT when received
Management Knowledge	Inductions HSW Agenda Items on Meeting Minutes Advise when required and recorded Induction to HSWA (Internal Training) & Training Register Updated	Worker/Contractor Engagement	HSW Committee Safety Updates
Worker / Contractor Knowledge	Inductions HSW Agenda Items on Meeting Minutes Record Training Record Training & PPE Register Induction to HSWA (Internal Training) & Training Register Updated	Culture & Behaviours	Promote Safety Promote Safety - meetings
Health & Safety Management System	H&S Management System HSW Meetings HSW Strategy HS Policy Safe Operating Producers & Risk and Hazard Registers		
Verification & Audit Activities	Internal Audit - Teams Results of Audit - Review & Improvement Plan for Risks Survey Staff		
Emergency Preparedness	Review ER plans Staff ER Induction ER Test Survey Staff		
Health & Safety Data Collection	Report Hazards Report Illness Report Near-Miss Report Hazards		
<b>Total Tasks</b>			<b>38</b>

Year 2			
Director Knowledge	Inductions HSW Agenda Items on Meeting Minutes Advise when required and recorded Induction to HSWA (Internal Training) & Training Register Updated Review of HIGH RISK Activities and impact to Organisation	Management Reporting	Annual Safety Report Committee Reporting ELT Reporting Report to SLT when received
	Induction to Risk Management (Internal Training) & Training Register Updated Induction to industry-specific HSW requirements (Internal Training) & Training Register Updated		Worker/Contractor Engagement HSW Committee Safety Updates Promoting Safety H&S Promotion in Meetings
Management Knowledge	Inductions HSW Agenda Items on Meeting Minutes Advise when required and recorded Induction to HSWA (Internal Training) & Training Register Updated Induction to Risk Management (Internal Training) Training Register Updated Induction to industry-specific HSW requirements (Internal Training) Training Register Updated Review of HIGH RISK Activities and impact to Organisation	Culture & Behaviours	Promote Safety Promote Safety - meetings Survey Workers - reporting Survey ELT
	Worker / Contractor Knowledge		Inductions HSW Agenda Items on Meeting Minutes Record Training Record Training & PPE Register Induction to HSWA (Internal Training) & Training Register Updated Internal Training - Safe365 & Training Register Updated Induction to industry-specific HSW requirements (Internal Training) * Training Register Updated
Health & Safety Management System	H&S Management System HSW Meetings HSW Strategy HS Policy Safe Operating Producers & Risk and Hazard Registers Hazard and Risk Register workshop Hazard and Risk Register workshop		
Verification & Audit Activities	Internal Audit - Teams Results of Audit - Review & Improvement Plan for Risks Survey Staff		
Emergency Preparedness	Review ER plans Staff ER Induction ER Test Survey Staff Update ER role list		
Health & Safety Data Collection	Report Hazards Report Illness Report Near-Miss Report Hazards		
		<b>Total Tasks</b>	<b>52</b>



Year 3			
Director Knowledge	Inductions HSW Agenda Items on Meeting Minutes Advise when required and recorded Induction to HSWA (Internal Training) & Training Register Updated Review of HIGH RISK Activities and impact to Organisation Induction to Risk Management (Internal Training) & Training Register Updated Induction to industry-specific HSW requirements (Internal Training) & Training Register Updated	Health & Safety Data Collection	Report Hazards Report Illness Report Near-Miss Report Hazards Review Process & Educate Team Survey Staff & Survey Contractors
Management Knowledge	Inductions HSW Agenda Items on Meeting Minutes Advise when required and recorded Induction to HSWA (Internal Training) & Training Register Updated Induction to Risk Management (Internal Training) Training Register Updated Induction to industry-specific HSW requirements (Internal Training) Training Register Updated Review of HIGH RISK Activities and impact to Organisation	Management Reporting	Annual Safety Report Committee Reporting ELT Reporting Report to SLT when received
Worker / Contractor Knowledge	Inductions HSW Agenda Items on Meeting Minutes Record Training Record Training & PPE Register Induction to HSWA (Internal Training) & Training Register Updated Internal Training - Safe365 & Training Register Updated Induction to industry-specific HSW requirements (Internal Training) * Training Register Updated Review of PPE & Training session - how to check PPE quality	Worker/Contractor Engagement	HSW Committee Safety Updates Promoting Safety H&S Promotion in Meetings Survey Contractors
Health & Safety Management System	H&S Management System HSW Meetings HSW Strategy HS Policy Safe Operating Producers & Risk and Hazard Registers Hazard and Risk Register workshop Hazard and Risk Register workshop	Culture & Behaviours	Promote Safety Promote Safety - meetings Survey Workers - reporting Survey ELT Safety Recognition Address HSW behaviours Review Safety Values Survey Workers - values Promote Safety Values Induction - include Safety Values
Verification & Audit Activities	Internal Audit - Teams Results of Audit - Review & Improvement Plan for Risks Survey Staff Audit - High Risk Contractors Survey Contractors		
Emergency Preparedness	Review ER plans Staff ER Induction ER Test Survey Staff Update ER role list ER Training		
		<b>Total Tasks</b>	<b>65</b>



**Module 1: Director Knowledge (The Executive Leadership Team, Tier 2)**

STAGE	REFERENCE	ACTIVITY	Annual	Bi-Annual	Monthly	Weekly	Daily	Sporadic	Action	Resource
Director Knowledge	Induction	1. Do all directors receive an induction on the company health & safety system? a. Develop & implement a director induction process b. Formalise & file induction evidence	Inductions						Induction Process	Director OHSW Induction Template
	Risk Expertise	2. Do one or more directors have risk management expertise? a. Complete a director competency register to capture & document current risk management expertise b. Formalise risk management expertise c. Increase director risk management knowledge d. Keep up to date on risk management knowledge	Induction to Risk Management (Internal Training) Training Register Updated						Internal Training Session Training Register Updated	Induction to Risk Management resource Training Register
	Meeting Agenda	3. Is health & safety a permanent agenda item at each director meeting? a. Make health & safety a permanent agenda item b. Record minutes, action plans & complete follow-up activities					HSW Agenda Items on Meeting Minutes		Comfirm HSW Agenda item on minites with commentary	Meeting Agenda
	Advice	4. Do the directors take independent advice on the quality of the health & safety programme? a. Obtain independent advice regarding your health & safety capability b. Continue to review regularly & update your Safe365 account to underpin your health & safety						Advise when required and recorded	Confirm recording of OHS advice (minutes)	Meeting Template / File Note Template
	ISO31000 Expertise	5. Do all directors have an understanding of the ISO31000:2018 risk management standard and framework? a. Complete a director competency register to capture & document current understanding of ISO31000:2018. b. Undertake formal training in ISO31000:2018 risk management.								
	Legislation Expertise	6. Do all directors have an understanding of their duties under health & safety legislation? a. Increase the knowledge of directors to ensure all directors have a comprehensive understanding b. Document director knowledge of health & safety legislation c. Complete an annual refresher to ensure director knowledge of legislation remains current d. Learn about NZ health & safety legislation	Induction to HSWA (Internal Training) Training Register Updated						Internal Training Session Training Register Updated	Induction to HSWA resource Training Register
	Industry Expertise	7. Do all directors have an understanding of particular industry health & safety requirements for the organisations operations? a. Ensure directors have a comprehensive knowledge of industry specific regulations & codes of practice for health & safety b. Complete a director competency register to capture & document current understanding of industry-specific health & safety regulations or codes of practice	Induction to industry-specific HSW requirements (Internal Training) Training Register Updated						Internal Training Session Training Register Updated	Induction to industry-specific HSW requirements (Internal Training) Training Register Updated
	Director Engagement	8. Do all directors take practical steps to understand the operations of the organisation & the impact of those operations on health & safety? a. Take practical steps to ensure directors understand the organisations operations & their health & safety impact b. Implement a director health & safety participation plan c. Examples of health & safety questions directors could ask	Review of HIGH RISK Activities and impact to Organisation						Workshop Update High Risk Register Action Plan	HIGH Risk Register Action Plan



**Module 2: Management Knowledge (The Senior Leadership Team, Tier 3)**

STAGE	REFERENCE	ACTIVITY	Annual	Bi-Annual	Monthly	Weekly	Daily	Sporadic	Action	Resource
Management Knowledge	Induction	1. Do all managers receive an induction on the company health & safety system? a. Develop & implement a director induction process b. Formalise & file induction evidence c. Review the director induction process d. Undertake practical induction activities	Inductions						Induction Process	OHSW Induction Template
	Risk Expertise	2. Do one or more management have risk management expertise? a. Complete a director competency register to capture & document current risk management expertise b. Formalise risk management expertise c. Increase director risk management knowledge d. Keep up to date on risk management knowledge	Induction to Risk Management (Internal Training) Training Register Updated						Internal Training Session Training Register Updated	Induction to Risk Management resource Training Register
	Meeting Agenda	3. Is health & safety a permanent agenda item at each management meeting? a. Make health & safety a permanent agenda item b. Record minutes, action plans & complete follow-up activities					HSW Agenda Items on Meeting Minutes		Confirm HSW Agenda item on minutes with commentary	Meeting Agenda
	Advice	4. Do the management take independent advice on the quality of the health & safety programme? a. Obtain independent advice regarding your health & safety capability b. Continue to review regularly & update your Safe365 account to underpin your health & safety						Advise when required and recorded	Confirm recording of OHS advice (minutes)	Meeting Template / File Note Template
	ISO31000 Expertise	5. Do all managers have an understanding of the ISO31000:2018 risk management standard and framework? a. Complete a director competency register to capture & document current understanding of ISO31000:2018. b. Undertake formal training in ISO31000:2018 risk management.								
	Legislation Expertise	6. Do all managers have an understanding of their duties under health & safety legislation? a. Increase the knowledge of directors to ensure all directors have a comprehensive understanding b. Document director knowledge of health & safety legislation c. Complete an annual refresher to ensure director knowledge of legislation remains current d. Learn about NZ health & safety legislation	Induction to HSWA (Internal Training) Training Register Updated						Internal Training Session Training Register Updated	Induction to HSWA resource Training Register
	Industry Expertise	7. Do all managers have an understanding of particular industry health & safety requirements for the organisations operations? a. Ensure directors have a comprehensive knowledge of industry specific regulations & codes of practice for health & safety b. Complete a director competency register to capture & document current understanding of industry-specific health & safety regulations or codes of practice	Induction to industry-specific HSW requirements (Internal Training) Training Register Updated						Internal Training Session Training Register Updated	Induction to industry-specific HSW requirements (Internal Training) Training Register Updated
	Manager Engagement	8. Do all managers take practical steps to understand the operations of the organisation & the impact of those operations on health & safety? a. Take practical steps to ensure managers understand the organisations operations & their health & safety impact b. Implement a manager health & safety participation plan c. Examples of health & safety questions directors could ask d. Learn about generating manager involvement in health & safety	Review of HIGH RISK Activities and Impact to Organisation						Workshop Update High Risk Register Action Plan	HIGH Risk Register Action Plan



**Module 3: Worker / Contractor Knowledge**

STAGE	REFERENCE	ACTIVITY	Annual	Bi-Annual	Monthly	Weekly	Daily	Sporadic	Action	Resource
Worker / Contractor Knowledge	Worker Induction	<b>1. Worker Induction</b> a. Develop & Implement an OSH Induction b. Publish on KIA c. Formalise & File Inductions - % completed (Questions) d. Review the worker induction process (Feedback questionnaire?) c. Undertake practical induction activities Department based ie PPE d. Update score in Safe 365	Inductions						Induction Process	OHSW Induction Template
	Knowledge of OSH System	<b>2. Knowledge of OSH System</b> a. During Induction (1a) b. Review Info (1d) c. Workers have knowledge (questionnaire?)								
	Knowledge of Hazard Identification	<b>3. Knowledge of Hazard Identification</b> a. During Induction (1a) b. Formalise & File Competencies (Understanding what a hazard is) c. Update score in Safe365								
	Knowledge of Hazard Reporting	<b>4. Knowledge of Hazard Reporting</b> a. Take steps to ensure workers know how to report hazards in the workplace b. Include your organisations hazard reporting processes in the worker induction c. Learn more about ensuring workers know how to report hazards at work	Internal Training - Safe365 Training Register Updated						Internal Training Session Training Register Updated	Induction to SAFE365 resource Safe365 Training Register
	Knowledge of Immediate Safety	<b>5. Knowledge of Immediate Safety Actions</b> a. Take steps to ensure workers understand what immediate safety action they should take following recognition of a hazardous situation b. Provide knowledge of immediate safety actions in the worker induction c. Learn more about ensuring workers know what immediate action to take when exposed to significant								
	Meeting Agenda	<b>6. Meeting Agenda</b> a. Make health & safety a permanent agenda item at worker & contractor meetings b. Record minutes, action plans & complete follow-up activities c. Read the overview fact sheet & learn about the benefits of including health & safety discussion in worker meetings					HSW Agenda Items on Meeting Minutes		Confirm HSW Agenda item on minutes with commentary	Meeting Agenda
	Professional Development	<b>7. Professional Development</b> a. Provide health & safety professional development opportunities to workers b. Record all health & safety professional development completed by workers c. Develop & implement an annual health & safety professional development plan for the workforce d. Learn more about providing professional development to workers on health & safety						Record Training		Training Plan Training Register
	Knowledge of PPE	<b>8. Knowledge of PPE</b> a. Include your workplace PPE requirements in the worker & contractor induction b. Provide signage & information in the workplace to reinforce PPE requirements c. Ensure all workers & contractors understand any PPE requirements for your workplace d. Learn more about the use of personal protective equipment at work	Review of PPE Training session - how to check PPE quality					Record Training PPE Register		Training Plan PPE Register Training Register
	Legislation Knowledge	<b>9. Legislation Knowledge</b> a. Ensure all workers & contractors understand their legal responsibilities b. Document worker knowledge of health & safety legislation c. Complete an annual refresher to ensure worker knowledge of legislation remains current d. Learn more about health & safety legislation for workers & contractors	Induction to HSWA (Internal Training) Training Register Updated						Internal Training Session Training Register Updated	Induction to HSWA resource Training Register
	Industry Knowledge	<b>10. Industry Knowledge</b> a. Ensure workers & contractors have a comprehensive knowledge of industry specific regulations & codes of practice for health & safety that apply to their specific role b. Complete a worker competency register to capture & document current understanding of industry-specific health & safety regulations or codes of practice c. Read the overview fact sheet & learn about how specific codes of practice may affect workers d. Learn more about how industry-specific codes of practice affect workers	Induction to industry-specific HSW requirements (Internal Training) Training Register Updated						Internal Training Session Training Register Updated	Induction to industry-specific HSW requirements (Internal Training) Training Register Updated

Year Colour Legend		
Year 1	Year 2	Year 3

**Module 4: Health & Safety Management System**

STAGE	REFERENCE	ACTIVITY	Annual	Bi-Annual	Monthly	Weekly	Daily	Sporadic	Action	Resource	
Health & Safety Management System	Health & Safety Management Sys	1. Health & Safety Management System Does your organisation have a documented health & safety management system?	H&S Management System						Update and access to all staff	H&S Management System	
	Context Objectives	2. Context Objectives a. Include an overview of the primary objectives & functions of your business in the introduction of your documented health & safety system. b. Implement a health & safety management system c. Review your health & safety management system & ensure it remains relevant	HSW Strategy		HSW Meetings				Update and access to all staff	HSW Strategy HSW Committee	
	Context Operations	3. Context Operations Does the introduction of the health & safety management system clearly describe the operations of the	HSW Strategy						Update and access to all staff	HSW Strategy	
	H & S Policy	4. H & S Policy a. Develop & implement a health & safety policy b. Implement a health & safety management system c. Review your health & safety management system & ensure it remains relevant d. Read the overview fact sheet & learn about developing a health & safety policy	HS Policy						Update and access to all staff	HS Policy	
	Hazard Identification	5. Hazard Identification a. Document hazards & risks on your health & safety risk register b. Implement a health & safety management system c. Review your health & safety management system & ensure it remains relevant	Safe Operating Producers Risk and Hazard Registers						Safe Operating Producers Risk and Hazard Registers	Develop, review, train relevant employees, review / observe relevant employees	Safe Operating Producers Risk and Hazard Registers
	Risk Identification	6. Risk Identification a. Document the cause of each risk on your health & safety risk register b. Implement a health & safety management system c. Review your health & safety management system & ensure it remains relevant									
	Risk Analysis Susceptibility	7. Risk Analysis Susceptibility a. Document who is most 'at risk' for each risk on your health & safety risk register b. Implement a health & safety management system c. Review your health & safety management system & ensure it remains relevant									
	Consequence	8. Consequence a. Assess & document the severity or impact of each risk on your health & safety risk register b. Implement a health & safety management system c. Review your health & safety management system & ensure it remains relevant									
	Likelihood	9. Likelihood a. Assess & document the likelihood or probability of each risk on your health & safety risk register b. Implement a health & safety management system c. Review your health & safety management system & ensure it remains relevant									
	Evaluation of Risk Level	10. Evaluation of Risk Level a. Evaluate & document the risk level for each risk on your health & safety risk register b. Implement a health & safety management system c. Review your health & safety management system & ensure it remains relevant									
	Tolerance	11. Tolerance a. Evaluate & document the risk tolerance category for each risk on your health & safety risk register b. Implement a health & safety management system c. Review your health & safety management system & ensure it remains relevant	Hazard and Risk Register workshop						Update and review at a workshop	Hazard and Risk Register	
	Risk Delegation	12. Risk Delegation a. Identify, assign & document who is responsible for managing each risk in the health & safety risk register b. Implement a health & safety management system									
	Treatment	13. Treatment a. Document actions to manage risks on your health & safety risk register to tolerable levels b. Implement a health & safety management system c. Review your health & safety management system & ensure it remains relevant									
	Monitor	14. Monitor a. Document how each risk on the health & safety risk register will be monitored b. Implement a health & safety management system c. Review your health & safety management system & ensure it remains relevant									
	Review	15. Review a. Document when each risk on your health & safety risk register will be reviewed b. Implement a health & safety management system c. Review your health & safety management system & ensure it remains relevant									
	Consultation	16. Consultation a. Document who needs to be consulted for each risk on the health & safety risk register b. Implement a health & safety management system c. Review your health & safety management system & ensure it remains relevant									

Health & Safety Management System	Health & Safety Management Sys	No System	Documented System			No System	Documented System		
	Context Objectives	No System	Some Information	Describes Accurately	Accurate & Reviewed	No System	Some Information	Describes Accurately	Accurate & Reviewed
	Context Operations	No System	Some Information	Describes Accurately	Accurate & Reviewed	No System	Some Information	Describes Accurately	Accurate & Reviewed
	H & S Policy	No Policy	Policy Out of Date	Accurate Policy	Accurate & Reviewed Policy	No Policy	Policy Out of Date	Accurate Policy	Accurate & Reviewed Policy
	Hazard Identification	No Hazard ID	Some Hazard ID	All Hazards Recorded	Comprehensive, Current and Reviewed	No Hazard ID	Some Hazard ID	All Hazards Recorded	Comprehensive, Current and Reviewed
	Risk Identification	No Risk ID	Some Risk ID	All Risks Recorded	Comprehensive, Current and Reviewed	No Risk ID	Some Risk ID	All Risks Recorded	Comprehensive, Current and Reviewed
	Risk Analysis Susceptibility	No Analysis	Some Analysis	All Risks Analysed	Comprehensive, Current and Reviewed	No Analysis	Some Analysis	All Risks Analysed	Comprehensive, Current and Reviewed
	Consequence	No Analysis	Some Analysis	All Risks Analysed	Comprehensive, Current and Reviewed	No Analysis	Some Analysis	All Risks Analysed	Comprehensive, Current and Reviewed
	Likelihood	No Analysis	Some Analysis	All Risks Analysed	Comprehensive, Current and Reviewed	No Analysis	Some Analysis	All Risks Analysed	Comprehensive, Current and Reviewed
	Evaluation of Risk Level	No Evaluation Process	Some Evaluation	All Risks Evaluated	Comprehensive, Current and Reviewed	No Evaluation Process	Some Evaluation	All Risks Evaluated	Comprehensive, Current and Reviewed
	Tolerance	No Evaluation Process	Some Evaluation	All Risks Evaluated	Comprehensive, Current and Reviewed	No Evaluation Process	Some Evaluation	All Risks Evaluated	Comprehensive, Current and Reviewed
	Risk Delegation	No Allocation	Some Allocation	All Risks Allocated	Comprehensive, Current and Reviewed	No Allocation	Some Allocation	All Risks Allocated	Comprehensive, Current and Reviewed
	Treatment	No Treatment Described	Some Risk Treatment	All Risks Treated Effectively	Comprehensive, Current and Reviewed	No Treatment Described	Some Risk Treatment	All Risks Treated Effectively	Comprehensive, Current and Reviewed
	Monitor	No Monitoring Process	Some Monitoring	All Risks Monitored	Comprehensive, Current and Reviewed	No Monitoring Process	Some Monitoring	All Risks Monitored	Comprehensive, Current and Reviewed
	Review	No Review Process	Some Review Processes	All Risks Reviewed	Comprehensive, Current and Reviewed	No Review Process	Some Review Processes	All Risks Reviewed	Comprehensive, Current and Reviewed
	Consultation	No Consultation Process	Some Consultation	Consultation On All Risks	Comprehensive, Current and Reviewed	No Consultation Process	Some Consultation	Consultation On All Risks	Comprehensive, Current and Reviewed
Communication	No Communication Process	Some Risk Communication	Clear Communication Processes	Comprehensive, Current and Reviewed	No Communication Process	Some Risk Communication	Clear Communication Processes	Comprehensive, Current and Reviewed	

Module 5: Verification & Audit Activities

Year Colour Legend		
Year 1	Year 2	Year 3

STAGE	REFERENCE	ACTIVITY	Annual	Bi-Annual	Monthly	Weekly	Daily	Sporadic	Action	Resource
Verification & Audit Activities	Internal Auditing	<b>1. Internal Auditing</b> a. Undertake regular (i.e. fortnightly) observational checks to ensure risk treatments are in place in practice b. Read the overview fact sheet & learn about undertaking internal health & safety audits	Internal Audit - Teams	Audit - High Risk Contractors					Conduct Audit	Audit Template
	Control Effectiveness	<b>2. Control Effectiveness</b> a. Evaluate the effectiveness of risk treatments or control measures b. Undertake an annual review to consider how control measure effectiveness is monitored, evaluated, recorded & reported	Results of Audit - Review & Improvement Plan for Risks						Conduct Risk Review	Risk Register
	Risk Separation	<b>3. Risk Separation</b> a. Ensure multiple personnel are involved in undertaking health & safety risk assessments b. Conduct a risk workshop to ensure multiple people consider the health & safety risks in your organisation c. Keep a documented record of all risk workshops or risk management meetings undertaken								
	System Assurance	<b>4. System Assurance</b> a. Engage a certified professional risk manager or health & safety advisor to audit your health & safety capability b. Ensure you maintain your Safe365 assessment & work towards achieving, & sustaining, a Safe365								
	Practice Assurance	<b>5. Practice Assurance</b> a. Engage a certified professional risk manager or health & safety advisor to undertake observational verification of risk treatments								
	Risk Advice	<b>6. Risk Advice</b> a. Engage a certified professional risk manager or health & safety advisor to provide objective health & safety risk advice								
	Systems vs. Practice	<b>7. Systems vs. Practice</b> a. Survey workers, contractors & managers to understand their views regarding how aligned behaviours are to documented practices b. Maintain a documented record of all internal & external verification & audit activity undertaken c. Read the overview fact sheet & learn more about aligning your health & safety plans & practices d. Learn more about ensuring your health & safety plans & practices are aligned	Survey Staff	Survey Contractors					Survey staff and contractors	staff survey template contractor survey template

**Module 6: Emergency Preparedness**



STAGE	REFERENCE	ACTIVITY	Annual	Bi-Annual	Monthly	Weekly	Daily	Sporadic	Action	Resource
Emergency Preparedness	Emergency Response Plan	<b>1. Emergency Response Plan</b> a. Develop & implement emergency response plans b. Read the overview fact sheet to learn about emergency response plans c. Learn more about emergency response plans	Review ER plans						Workshop - Each location	ER Plans
	First Aid Capability	<b>2. First Aid Capability</b> a. Undertake a first aid training & equipment audit to determine your first aid & medical needs b. Provide formal first aid or medical training to selected workers or contractors c. Include an overview of first aid equipment & how to access trained first responders as part of the worker & contractor induction d. Read the overview fact sheet to learn about having an appropriate level of first aid capability at work								
	Emergency Stress Testing	<b>3. Emergency Stress Testing</b> a. Undertake emergency scenarios to improve workforce preparedness b. Read the overview fact sheet to learn about stress testing & scenarios to improve emergency response planning			ER Test				ER Drill	ER Drill Template
	Emergency Role Clarity	<b>4. Emergency Role Clarity</b> a. Include the role personnel are expected to play in an emergency at work as part of the induction process b. Read the overview fact sheet to learn about ensuring personnel have role clarity in emergency	Update ER role list						Update ER Role	ER Role Template
	Management Crisis Expertise	<b>5. Management Crisis Expertise</b> a. Ensure the organisation has personnel 'at the ready' to provide leadership in the event of a crisis b. Provide a basic overview of leadership expectations of managers during a crisis as part of the induction process	ER Training					Staff ER Induction	Training Session ER Induction	Training Resources ER Induction
	Crisis Anticipation	<b>6. Crisis Anticipation</b> a. Take steps to anticipate the range of possible crisis events that could occur at your workplace b. Include a briefing on the range of anticipated crisis events that could occur at work as part of the induction process								
	Preparedness Maturity	<b>7. Preparedness Maturity</b> a. Undertake regular surveys of all personnel to understand their attitudes & perceptions regarding how prepared the organisation is to respond effectively to anticipated emergency situations. b. Read the overview fact sheet to learn about how to be prepared for emergencies at work c. Learn more about how to be prepared for emergencies at work	Survey Staff						Survey Staff	Survey Template

**Module 7: Health & Safety Data Collection**

STAGE	REFERENCE	ACTIVITY	Annual	Bi-Annual	Monthly	Weekly	Daily	Sporadic	Action	Resource
Health & Safety Data Collection	Collecting Hazard/Risk Data	<b>1. Collecting Hazard/Risk Data</b> a. Put in place a documented process for workers or contractors to report hazards in the workplace b. Include hazard reporting processes as part of worker & contractor inductions c. Learn more about collecting hazard & risk data						Report Hazards		
	Collecting Injury & Illness Data	<b>2. Collecting Injury &amp; Illness Data</b> a. Put in place a documented process for workers or contractors to report injuries & illnesses in the workplace b. Include injury & illness reporting processes as part of worker & contractor inductions c. Learn more about collecting injury & illness data						Report Illness		
	Collecting Near-Miss Data	<b>3. Collecting Near-Miss Data</b> a. Put in place a documented process for workers or contractors to report 'near miss's incidents in the workplace b. Include 'near miss's reporting processes as part of worker & contractor inductions						Report Near-Miss		
	Management of Health and Safety	<b>4. Management of Health and Safety Disclosures</b> a. Put in place a documented process for how managers treat any health & safety disclosures made by workers or contractors b. Include the processes for management of health & safety disclosures as part of manager inductions						Report Hazards		
	Confidence in Management Personnel	<b>5. Confidence in Management Personnel</b> a. Survey workers & contractors to understand their attitudes & perceptions regarding management of their health & safety concerns b. Read the overview fact sheet & learn about building confidence in management c. Learn more about building confidence of management in relation to health & safety	Survey Staff Survey Contractors						Survey Staff Survey Contractors	Survey Templates





**Module 8: Management Reporting**

STAGE	REFERENCE	ACTIVITY	Annual	Bi-Annual	Monthly	Weekly	Daily	Sporadic	Action	Resource
Management Reporting	Incident Reporting	<b>1. Incident Reporting</b> a. Report consistent health & safety incident information to key people in the organisation b. Document & file health & safety incident reports c. Learn more about using incident information to improve health & safety	Annual Safety Report		Committee Reporting	ELT Reporting		Report to SLT when received	Produce Report	Report Templates x 4
	Near-Miss Reporting	<b>2. Near-Miss Reporting</b> a. Report near miss incident information to key people in the organisation b. Document & file health & safety near miss incident reports c. Learn more about using near miss information to improve health & safety								
	Health & Safety Operations Reporting	<b>3. Health &amp; Safety Operations Reporting</b> a. Provide regular reports regarding ongoing development of health & safety operations to key people in the organisation b. Document & file health & safety development reports								
	Notification of Policy Breach	<b>4. Notification of Policy Breach</b> a. Implement a systematic approach to notifying key people when an internal health & safety policy or procedure is breached b. Document & file reports regarding internal health & safety policy or procedure breaches								
	Notification of Regulatory Breach	<b>5. Notification of Regulatory Breach</b> a. Implement a systematic approach to notifying key people when a regulatory health & safety requirement is breached or detected b. Document & file reports regarding regulatory health & safety breaches								
	Control Measure Reporting	<b>6. Control Measure Reporting</b> a. Implement a systematic approach to reporting on actions taken to mitigate or control health & safety risks to key people in the organisation b. Document & file reports regarding actions taken to mitigate or control health & safety risks c. Learn more about communicating control measure information								
	Workforce Engagement Reporting	<b>7. Workforce Engagement Reporting</b> a. Implement a systematic approach to reporting on workforce engagement regarding health & safety to key people in the organisation b. Document & file reports regarding actions taken to mitigate or control health & safety risks								

Year Colour Legend		
Year 1	Year 2	Year 3

**Module 9: Worker / Contractor Engagement**

STAGE	REFERENCE	ACTIVITY	Annual	Bi-Annual	Monthly	Weekly	Daily	Sporadic	Action	Resource
Worker/Contractor Engagement	Open Discussion	<b>1. Open Discussion</b> a. Provide regular opportunities to discuss health & safety openly with workers & contractors b. Regularly survey workers & contractors to determine how open they feel health & safety is discussed c. Learn more about facilitating open discussion about health & safety matters d. Conduct a health & safety culture and engagement survey	Promoting Safety		HSW Committee	H&S Promotion in Meetings			Promote Safety	Marketing Material
	Updates	<b>2. Updates</b> a. Provide regular health & safety updates to workers & contractors b. Ensure workers & contractors understand the content in health & safety updates c. Keep a documented record of updates provided to workers & contractors d. Learn more about providing health & safety updates					Safety Updates	Promote Updates	Update Data	
	Managing Concerns	<b>3. Managing Concerns</b> a. Undertake regular surveys to understand how managers are performing in managing worker & contractor health & safety concerns b. Read the overview fact sheet & learn about managing worker health & safety concerns c. Learn more about managing Worker concerns about health & safety d. Conduct a health & safety culture and engagement survey	Survey Staff Survey Contractors						Conduct Survey	Survey
	Collective Ownership	<b>4. Collective Ownership</b> a. Undertake regular surveys to understand how empowered workers & contractors feel in driving health & safety in the organisation b. Read the overview fact sheet & learn about fostering collective ownership of health & safety at work c. Learn more about developing collective ownership of health & safety at work								
	Cross-level Discussion	<b>5. Cross-level Discussion</b> a. Undertake regular surveys to understand to what extent health & safety is being openly discussed across all levels of the organisation b. Read the overview fact sheet & learn about enabling cross-level discussion on health & safety matters								
	Sense of Partnership	<b>6. Sense of Partnership</b> a. Undertake regular surveys to understand how valued workers & contractors feel as partners in health & safety in your organisation. b. Read the overview fact sheet & learn about fostering a sense of partnership towards health & safety c. Learn more about supporting a sense of partnership on health & safety								

Year Colour Legend		
Year 1	Year 2	Year 3

**Module 10: Culture and Behaviours**

STAGE	REFERENCE	ACTIVITY	Annual	Bi-Annual	Monthly	Weekly	Daily	Sporadic	Action	Resource
Culture & Behaviours	Health & Safety Recognition	1. Health & Safety Recognition a. Take steps to recognise positive health & safety behaviours b. Learn more about recognition of positive health & safety performance	Safety Recognition						Acknowledge Safety Recognition	meeting minutes
	Health & Safety Accountability	2. Health & Safety Accountability a. Take steps to address inappropriate health & safety behaviours						Address HSW behaviours	Address poor behaviours	Template
	Management Health & Safety Value	3. Management Health & Safety Value a. Take steps to enhance value of health & safety b. Learn more about creating value in health & safety performance c. Survey directors to determine how important they see health & safety in your organisation d. Conduct a health & safety culture and engagement survey	Review Safety Values						Perform review	Values
	Worker/Contractor Health & Safety Value	4. Worker/Contractor Health & Safety Value a. Take steps to enhance worker & contractor value of health & safety b. Survey workers & contractors to determine how important they see health & safety in your organisation c. Learn more about creating worker value in health & safety performance d. Conduct a health & safety culture and engagement survey	Survey Workers - values						Conduct Survey	Survey Template
	Director Health & Safety Value	5. Director Health & Safety Value a. Take steps to enhance value of health & safety b. Learn more about creating director value in health & safety performance c. Survey directors to determine how important they see health & safety in your organisation d. Conduct a health & safety culture and engagement survey	Promote Safety Values						Promote values	meeting minutes
	Health & Safety Values	6. Health & Safety Values a. Establish a set of values to underpin the desired health & safety culture in your organisation b. Include an introduction to your organisations health & safety values as part of inductions for all personnel	Induction - include Safety Values					Induction - include Safety Values	Conduct Induction	Induction Template
	Willingness to Report	7. Willingness to Report a. Take steps to foster a willingness among workers to report health & safety information proactively to management b. Undertake regular surveys to understand how comfortable workers & contractors are with reporting health & safety concerns to management personnel c. Learn more about ensuring workers have the willingness to report health & safety information d. Conduct a health & safety culture and engagement survey	Survey Workers - reporting						Conduct Survey	Survey Template
	Worker/Contractor Support	8. Worker/Contractor Support a. Take steps to foster worker & contractor support of health & safety initiatives in your organisation b. Undertake regular surveys to understand worker & contractor support for health & safety initiatives in your organisation c. Learn more about enhancing worker support of health & safety initiatives	Promote Safety			Promote Safety - meetings			Promote Safety	meeting minutes
	Health & Safety Resourcing	9. Health & Safety Resourcing a. Allocate appropriate levels of resource to ensure the organisation provides a healthy, safe working environment							Appoint when required	
	Management Support	10. Management Support a. Take steps to foster management support of health & safety initiatives in your organisation b. Undertake regular surveys to understand management support for health & safety initiatives in your organisation c. Learn more about enhancing management support of health & safety initiatives d. Conduct a health & safety culture and engagement survey	Survey ELT						Conduct Survey	Survey Template

## 4 IN COMMITTEE ITEMS

### COUNCIL IN-COMMITTEE

That the public is excluded from this part of the meeting in relation to:

#### Agenda item(s)

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

#### OFFICER RECOMMENDATION

General subject of each matter to be considered	Reason for passing this resolution in relation to each matter	Ground(s) under section 48(1) for the passing of this resolution
<b>4.1 - CONFIRMATION OF IN COMMITTEE MINUTES OF RISK AND ASSURANCE SUB-COMMITTEE MEETING HELD ON 19 FEBRUARY 2024</b>	s7(2)(c)(ii) - the withholding of the information is necessary to protect information which is subject to an obligation of confidence or which any person has been or could be compelled to provide under the authority of any enactment, where the making available of the information would be likely otherwise to damage the public interest	s48(1)(a)(i) - the public conduct of 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 under section 6 or section 7
<b>4.2 - HEALTH &amp; SAFETY UPDATE</b>	s7(2)(a) - the withholding of the information is necessary to protect the privacy of natural persons, including that of deceased natural persons  s7(2)(c)(ii) - the withholding of the information is necessary to protect information which is subject to an obligation of confidence or which any person has been or could be compelled to provide under the authority of any enactment, where the making available of the information would be likely otherwise to damage the public interest	s48(1)(a)(i) - the public conduct of 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 under section 6 or section 7

<b>4.3 - REPORT ON AUDIT RECOMMENDATIONS FROM MANAGEMENT LETTER</b>	s7(2)(g) - the withholding of the information is necessary to maintain legal professional privilege	s48(1)(a)(i) - the public conduct of 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 under section 6 or section 7
<b>4.4 - INSURANCE CLAIMS HISTORY</b>	s7(2)(b)(ii) - the withholding of the information is necessary to protect information where the making available of the information would be likely unreasonably to prejudice the commercial position of the person who supplied or who is the subject of the information	s48(1)(a)(i) - the public conduct of 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 under section 6 or section 7
<b>4.5 - ICT AND CYBERSECURITY IMPLEMENTATION PLAN ON AUDITS PERFORMED</b>	s7(2)(j) - the withholding of the information is necessary to prevent the disclosure or use of official information for improper gain or improper advantage	s48(1)(a)(i) - the public conduct of 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 under section 6 or section 7
<b>4.6 - STRATEGIC PRIORITIES UPDATE</b>	s7(2)(a) - the withholding of the information is necessary to protect the privacy of natural persons, including that of deceased natural persons	s48(1)(a)(i) - the public conduct of 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 under section 6 or section 7

**5 SUB-COMMITTEE RESUMES IN OPEN MEETING**

**CLOSURE OR RATIFICATION OF DECISIONS IN OPEN MEETING**