

Audit & Risk Subcommittee Agenda

11 August 2022



Meeting conducted in the Council Chamber, Lvl 2 Philip Laing House
144 Rattray St, Dunedin - Councillors and participating staff only

Members of the public may view livestream on the [Otago Regional Council YouTube Channel](#)

Members:

Cr Hilary Calvert (Chair)
Mr Andrew Douglas (Independent member)
Cr Kevin Malcolm
Cr Andrew Noone
Cr Kate Wilson

Senior Officer: Pim Borren, interim Chief Executive

Meeting Support: Liz Spector, Governance Support Officer

11 August 2022 01:30 PM

Agenda Topic	Page
1. APOLOGIES No apologies were noted prior to publication of the agenda.	
2. PUBLIC FORUM No requests from members of the public to address the Audit and Risk Subcommittee were received prior to publication of the agenda.	
3. CONFIRMATION OF AGENDA Note: Any additions must be approved by resolution with an explanation as to why they cannot be delayed until a future meeting.	
4. CONFLICT OF INTEREST Members are reminded of the need to stand aside from decision-making when a conflict arises between their role as an elected representative and any private or other external interest they might have.	
5. CONFIRMATION OF MINUTES The Subcommittee will consider minutes of the previous meeting as a true and accurate record, with or without changes.	3
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8.	RESOLUTION TO EXCLUDE THE PUBLIC	67
	That the public be excluded from the following items under LGOIMA 48(1)(a):	
	<ul style="list-style-type: none"> - Minutes of the 12 May 2022 public excluded portion of the Audit and Risk Subcommittee meeting - Managed Fund Report - June 2022 - Risk Register - Vehicle Monitoring and Tracking - Wilding Conifer Contract Management Update 	
8.1	Public Excluded Reason and Grounds	67
9.	CLOSURE	



Minutes of a meeting of the Audit and Risk Subcommittee
held in the Council Chamber on Thursday 12 May 2022,
commencing at 1:00 PM

Membership

Cr Hilary Calvert

(Chairperson)

Mr Andrew Douglas

(Independent Member)

Cr Kevin Malcolm

Cr Andrew Noone

Cr Kate Wilson

Welcome

Subcommittee Chairperson Hilary Calvert welcomed Councillors, members of the public and staff to the meeting at 1:07 pm. Staff present included Amanda Vercoe (GM Governance, Culture and Customer), Gavin Palmer (GM Operations), Richard Saunders (GM Regulatory and Comms), Liz Spector (GSO) and Rebecca Webster (Acting Manager People and Safety). Present electronically included Sarah Gardner (Chief Executive), Anita Dawe (Acting GM Policy and Science), Sarah Munro (Manager Finance - Reporting), Mike Roesler (Manager Corporate Planning), and Jasmin Lamorie (Corporate Planning and Business Partner).

1. APOLOGIES

Resolution: Cr Wilson Moved, Cr Malcolm Seconded:

That the apologies for Cr Noone be accepted.

MOTION CARRIED

Subcommittee member Andrew Douglas was present electronically.

Cr Alexa Forbes was present as a non-member.

2. PUBLIC FORUM

No requests to address the Subcommittee under Public Forum were received.

3. CONFIRMATION OF AGENDA

Chairperson Calvert said to accommodate the representatives of the external auditor who were attending the meeting to speak to the first public-excluded report and to accommodate staff attending for the second public-excluded report, she would move to go into public excluded following *Item 6 Actions* of the public agenda. Following consideration of those two public-excluded items, she said she would adjourn the public-excluded meeting and reconvene the public meeting, following the published order.

4. CONFLICT OF INTEREST

No conflicts of interest were advised.

5. CONFIRMATION OF MINUTES

Resolution: Cr Malcolm Moved, Cr Wilson Seconded

That the minutes of the (public portion of the) meeting held on 24 February 2022 be received and confirmed as a true and accurate record.

MOTION CARRIED

6. ACTIONS

Open actions from resolutions of the subcommittee were reviewed.

Following consideration of open actions, Cr Calvert moved:

Resolution: Cr Calvert Moved, Cr Wilson Seconded.

- 1) *That the meeting moves into public-excluded to consider items of 3.1 and 3.2 of that agenda per the order paper immediately following **Item 6 Actions** on the public agenda to facilitate attendance by the auditors and staff. Following consideration of those two public-excluded reports, the public meeting will reconvene and follow the published order.*
- 2) *Further, Heidi Rautjoki and Aveshin Govender of Deloitte Limited shall be permitted to remain at this meeting, after the public has been excluded, because of their knowledge of the draft Audit Planning Report. This knowledge will be of assistance in relation to the matter to be discussed.*

MOTION CARRIED

Chairperson Calvert reconvened the public meeting at 2:11 p.m. following consideration of the first two items on the public-excluded agenda.

7. MATTERS FOR CONSIDERATION**7.1. CS2220 Annual Report Timetable and Matters Under Consideration**

This report was provided to outline the adoption timetable and changes in the accounting standards for the Annual Report and Financial Statements for the year ending 30 June 2022. Sarah Munro (Manager Finance - Reporting) and Nick Donnelly (GM Corporate Services) were present electronically to respond to questions about the report.

A discussion was held about the challenges presented in translating the information into something more easily interpreted by the community. Mr Donnelly said he will take the comments on board and look at ways to incorporate graphs and other tools into the reports.

Following further discussion, Cr Malcolm moved the staff recommendation.

Resolution AR22-113: Cr Malcolm Moved, Cr Calvert Seconded

That the Audit and Risk Subcommittee:

- 1) *Notes this report.*

MOTION CARRIED**7.2. CS2222 Procurement and Contract Management**

The Procurement and Contract Management Policy was updated to reflect changes that were released by the Ministry of Business, Innovation and Employment (MBIE) and to amend the policy to include ongoing contract management in accordance with a resolution of the 24 February 2022 Audit and Risk Subcommittee meeting. This report provided the revised draft policy for consideration. Nick Donnelly (GM Corporate Services) was present electronically to respond to questions about the report and draft policy.

Mr Andrew Douglas asked about an inconsistency he noticed between the draft policy presented to the subcommittee on 24 February 2022 and the draft policy included with the current agenda. He said the 24 February draft had a bullet point identifying obtaining three written quotes for items between \$25k and \$100k on page 3 of the draft policy that was not in the updated policy. Mr Donnelly noted Mr Douglas' question and said the procurement plan for purchases within those prices could require quotes, but per the policy, don't necessarily require three written quotes. He said he could modify the language in this section to make the intent clearer.

Mr Douglas asked how approved policies are circulated to relevant staff. Mr Donnelly said all internal policies are posted to the ORC intranet allowing all-staff access. He also noted in the case of this specific policy, Ms Munro and her team work with all staff involved with procurement, providing training and updates. Ms Munro also noted new staff are trained on the procurement policy prior to being granted approval to purchase anything.

A discussion was then held about who holds ultimate responsibility for management of specific contracts, with Mr Douglas noting General Managers would have oversight of contracts for their departments. It was noted to add mention that every contract must include the name of a person responsible and add to the second bullet point. Mr Douglas asked if further enhancement could be made to the policy to incorporate risk. Mr Donnelly said he had considered that and noted it was included in some bullet points in the procurement section of the document. He said he would incorporate something similar into the contract management section. Mr Donnelly further said he would develop guidelines in parallel with the policy as part of contract documentation for staff which would discuss development of a risk analysis as part of procurement planning documentation. Chairperson Calvert asked that a sentence be included that read "and in accordance with any guidelines and templates that from time to time may change." Mr Donnelly agreed.

There was no further discussion and Cr Malcolm moved to note the paper and draft policy.

Resolution AR22-114: Cr Malcolm Moved, Andrew Douglas Seconded

That the Audit and Risk Subcommittee:

- 1) **Notes this report and the draft Procurement and Contract Management Policy.**

MOTION CARRIED

7.3. CS2236 Corporate Policy Overview Report

This report was provided to update the subcommittee on the ORC's organisational policies per a resolution made at the 14 October 2021 meeting. Nick Donnelly (GM Corporate Services) was present electronically to respond to questions about the report.

Cr Malcolm asked if Mr Donnelly had any concerns related to the status of any of the organisational policies. Mr Donnelly said many of the policies are new or have been recently amended and he was comfortable with where the ORC was in relation to its internal policies.

Mrs Sarah Gardner (Chief Executive Officer) said a vast amount of work had gone into updating and circulating the policies. She noted much staff engagement had occurred with the policies, noting this had helped find any gaps. Mrs Gardner said it was important to have a drug and alcohol policy, and expert help on crafting this policy had been requested as it was complicated. She also said much work had gone into the recently completed Wellbeing Policy.

There were no further questions and Cr Calvert moved to note the report.

Resolution AR22-115: Cr Calvert Moved, Cr Wilson Seconded

That the Audit and Risk Subcommittee:

- 1) **Notes this report.**

MOTION CARRIED

7.4. GOV2223 Safety and Wellbeing Report

This report summarised progress towards the Safety and Wellbeing Team's key strategic priorities and safety performance indicators for the period January 2022 – March 2022 (Quarter 3 FY 21/22). The report also summarised key areas of focus for the Safety and Wellbeing team for the 2021/22 financial year and beyond. Rebecca Webster (Team Leader Safety and Wellbeing) and Amanda Vercoe (GM Governance, Culture and Customer) were present to respond to questions about the report.

A general discussion of the report was held, including questions about the ORC’s COVID-19 response and related staffing concerns. Mrs Gardner (CE) noted the ORC had been proactive in its management of COVID-19, with its Continuity Management Team up and running since the initial lockdown in 2020. She noted ORC had enacted a mandatory vaccination policy which had now been revised per government guidelines. She said no job losses had occurred due to the policy, not had the ORC had any significant business interruptions.

Chairperson Calvert noted a risk generally pending for local governments related to staffing difficulties. Mrs Gardner said recruitment, retention and resilience were real challenges and a point of difference for the ORC had been its flexible work policy and wellbeing arrangements. She said it was important to note these packages and that empathy for staff means they choose to work for the ORC over other organisations. She asked that Council manage this risk over the next few months to ensure the ORC continues to retain and attract talented staff.

Following further discussion, Cr Wilson moved the staff recommendation.

Resolution AR22-116: Cr Wilson Moved, Cr Malcolm Seconded

That the Subcommittee:

- 1) **Notes this report.**

MOTION CARRIED

8. RESOLUTION TO EXCLUDE THE PUBLIC

Resolution: Cr Wilson Moved, Cr Malcolm Seconded:

That the meeting move into public excluded to consider the remaining items, 3.3 through 3.7 of the public-excluded agenda per the order paper.

MOTION CARRIED

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
<i>Minutes of the 24 Feb 2022 public-excluded meeting</i>	<p>Section 7(2)(b)(ii) 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.</p> <p>Section 7(2)(c)(i) To protect information which is subject to an obligation of confidence or which any person has been or could be compelled to provide under the authority of any enactment, where the making available of the information—would be likely to prejudice the supply of similar information, or information from the same source, and it is in the public interest that such information should continue to be</p>	

	<p>supplied.</p> <p>Section 7(2)(e) To avoid prejudice to measures that prevent or mitigate material loss to members of the public.</p> <p>Section 7(2)(g) To maintain legal professional privilege.</p> <p>Section 7(2)(h) To enable any local authority holding the information to carry out, without prejudice or disadvantage, commercial activities.</p> <p>Section 7(2)(j) To prevent the disclosure or use of official information for improper gain or improper advantage.</p>	
<i>Deloitte ORC Audit Plan</i>	<p>Section 7(2)(c)(i) To protect information which is subject to an obligation of confidence or which any person has been or could be compelled to provide under the authority of any enactment, where the making available of the information—would be likely to prejudice the supply of similar information, or information from the same source, and it is in the public interest that such information should continue to be supplied.</p> <p>Section 7(2)(c)(ii) 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.</p>	<p>Section 48(1)(a): Subject to subsection (3), a local authority may by resolution exclude the public from the whole or any part of the proceedings of any meeting only on 1 or more of the following grounds:</p> <p>(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.</p>
<i>Wilding Conifer Contract Management Update</i>	<p>Section 7(2)(e) To avoid prejudice to measures that prevent or mitigate material loss to members of the public.</p> <p>Section 7(2)(g) To maintain legal professional privilege.</p> <p>Section 7(2)(h) To enable any local authority holding the information to carry out, without prejudice or disadvantage, commercial activities.</p>	<p>Section 48(1)(a): Subject to subsection (3), a local authority may by resolution exclude the public from the whole or any part of the proceedings of any meeting only on 1 or more of the following grounds:</p> <p>(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.</p>
<i>Managed Fund – March 2022</i>	<p>Section 7(2)(b)(ii) To protect information where the making available of the information—would be likely unreasonably to</p>	<p>Section 48(1)(a): Subject to subsection (3), a local authority may by resolution exclude the</p>

	<p>prejudice the commercial position of the person who supplied or who is the subject of the information.</p> <p>Section 7(2)(c)(i) To protect information which is subject to an obligation of confidence or which any person has been or could be compelled to provide under the authority of any enactment, where the making available of the information—would be likely to prejudice the supply of similar information, or information from the same source, and it is in the public interest that such information should continue to be supplied.</p> <p>Section 7(2)(h) To enable any local authority holding the information to carry out, without prejudice or disadvantage, commercial activities.</p>	<p>public from the whole or any part of the proceedings of any meeting only on 1 or more of the following grounds:</p> <p>(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.</p>
<i>Insurance Renewal</i>	<p>Section 7(2)(h) To enable any local authority holding the information to carry out, without prejudice or disadvantage, commercial activities.</p> <p>Section 7(2)(i) To enable any local authority holding the information to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations).</p>	<p>Section 48(1)(a): Subject to subsection (3), a local authority may by resolution exclude the public from the whole or any part of the proceedings of any meeting only on 1 or more of the following grounds:</p> <p>(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.</p>
<i>Insurance Disclosures</i>	<p>Section 7(2)(e) To avoid prejudice to measures that prevent or mitigate material loss to members of the public.</p> <p>Section 7(2)(h) To enable any local authority holding the information to carry out, without prejudice or disadvantage, commercial activities.</p>	<p>Section 48(1)(a): Subject to subsection (3), a local authority may by resolution exclude the public from the whole or any part of the proceedings of any meeting only on 1 or more of the following grounds:</p> <p>(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.</p>
<i>Vehicle Monitoring and</i>	<p>Section 7(2)(c)(ii) To protect information which is subject to an obligation of</p>	<p>Section 48(1)(a): Subject to subsection (3), a local authority</p>

<p><i>Tracking</i></p>	<p>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.</p>	<p>may by resolution exclude the public from the whole or any part of the proceedings of any meeting only on 1 or more of the following grounds: (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.</p>
<p><i>Risk Report</i></p>	<p>Section 7(2)(e) To avoid prejudice to measures that prevent or mitigate material loss to members of the public. Section 7(2)(i) To enable any local authority holding the information to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations).</p>	<p>Section 48(1)(a): Subject to subsection (3), a local authority may by resolution exclude the public from the whole or any part of the proceedings of any meeting only on 1 or more of the following grounds: (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.</p>

This resolution was made in reliance on [section 48\(1\)\(a\)](#) of the Local Government Official Information and Meetings Act 1987 and the particular interest or interests protected by [section 6](#) or [section 7](#) of that Act or [section 6](#) or [section 7](#) or [section 9](#) of the Official Information Act 1982, as the case may require, which would be prejudiced by the holding of the whole or the relevant part of the proceedings of the meeting in public.

9. CLOSURE

There was no further business and Chairperson Hilary Calvert declared the public meeting closed at 3:25pm.

 Chairperson

 Date

Action Register

Search Criteria

Showing Completed Items: Yes

Include Items Completed From: 12/05/2022

Applied Filters

Meeting Types: Audit and Risk Subcommittee

Generated By: Liz Spector

Generated On: 03/08/2022 at 9:33am

Meeting Date	Item	Status	Action Required	Assignee/s	Action Taken	Due Date
24/02/2022	A&R2201 Legislative Compliance and Mandatory Documents Register	Completed	Amend comments on Resource Management Act to incorporate scheduled review of the Waste, Coast and Air Plans. Res AR22-103	General Manager Corporate Services and CFO, Legal Counsel	02/05/2022 General Manager Corporate Services and CFO The master document has been amended to reflect the comment that reviews are scheduled for the noted plans	12/05/2022
12/05/2022	CS2222 Procurement and Contract Management	Completed	Make minor changes to the PCM policy per discussions at the meeting to include language clarification re obtaining written quotes for contracts in the \$25k to \$100k range, incorporate risk into the contract mgmt section similar to that in the procurement section, and develop guidelines to include a risk analysis into procurement planning documentation, noting guidelines and templates may from time to time change.	General Manager Corporate Services and CFO, Manager Finance - Reporting	03/08/2022 General Manager Corporate Services and CFO Wording has been amended in PCM Policy to clarify that lower dollar value requirements continue to apply to higher value procurement not just the additional requirements. A risk analysis guideline has been developed and is reviewed. Once complete this will be included in the procurement material provided to staff.	11/08/2022
24/02/2022	A&R2201 Legislative Compliance and Mandatory Documents Register	In Progress	Track Public Records Act 2005 recordkeeping on the Action Register until the new records management system is implemented. Res AR22-102	General Manager Corporate Services and CFO, Legal Counsel	02/05/2022 General Manager Corporate Services and CFO Action will remain until new records system is implemented later in 2022	30/09/2022

7.1. GOV2243 Safety and Wellbeing Report

Prepared for:	Audit and Risk Subcommittee
Report No.	GOV2243
Activity:	Governance Report
Author:	Rebecca Webster, Team Leader Safety and Wellbeing
Endorsed by:	Amanda Vercoe, General Manager Governance, Culture and Customer
Date:	11 August 2022

PURPOSE

- [1] This report summarises progress towards the Safety and Wellbeing Team’s key strategic priorities and safety performance indicators for the period April 2022 – June 2022 (Quarter 4, FY 21/22). The report also summarises key areas of focus for the Safety and Wellbeing team for the 2021/22 financial year and beyond.
- [2] Refer to Appendix 1: for a “Summary Table of Key Strategic Initiatives” which provides additional detail on key activities discussed in this report, and the expected targets/outcomes.
- [3] Refer to Appendix 2: for the “Incident/Near Miss Dashboard” for quarter four.

EXECUTIVE SUMMARY

- [4] ORC’s approach to Health, Safety and Wellbeing is continuing to develop and improve. The new online health and safety management system “Haumarū” is now in place with staff reporting that it is easy to log a hazard, incident or near miss report. Incident/near miss numbers were moderate for the Quarter at 17 total (six ORC events, 11 contractor events). Additional components of the Haumarū system such as risk management and audit programmes will be gradually rolled out over FY 22/23 as systems and processes continue to develop.
- [5] Face-to-face training has picked up again in quarter four following COVID-19 restrictions, with 4WD training and situational safety training being key focus areas. A mental health for leaders’ full day programme which was piloted in April for managers and team leaders was a tremendous success, therefore another session is planned for August.
- [6] ORC’s wellbeing programme is in full swing. A highlight has been the 15-minute challenge which has included 140 staff competing in an online competition to exercise in achievable 15-minute blocks. The competition has been very popular and proved to be a great way to increase staff engagement.

RECOMMENDATION

That the Subcommittee:

- 1) **Notes this report.**

DISCUSSION

- [7] Senior Leadership Development & Engagement
 The Executive Leadership Team (ELT) participated in a mental health leadership session on 13 June facilitated by registered psychologist from “The Effect” workplace mental health services. The group discussed psychosocial risks at ORC and how best to role model maintaining good mental health. Further discussions will be held by ELT on opportunities to enhance mental health supports available to staff and how best to prevent psychosocial harm at work.

- [8] Manager Development & Engagement
 Training was provided to managers and team leaders during April on their incident reporting and investigation responsibilities. Ongoing training needs for managers and team leaders are currently under review with plans to ensure the programme is meeting needs. A mental health for leaders' full day training course was held in April for 14 managers/team leaders with excellent feedback. Another full day course is being held in August.

- [9] Employee Engagement
 The Health and Safety Committee (HSC) meets quarterly to discuss health and safety risks in their work areas and ideas for improvement. Participation guidelines and the role of the HSR at ORC have been updated to ensure that roles/responsibilities are clear. HSR objectives will be reviewed as we move into the next financial year to ensure the group remains effective.

- [10] Staff Wellbeing
 Quarter four – The Fit for Future wellbeing programme has featured several positive initiatives. A highlight was the completion of the 15-minute challenge, a challenge designed to enhance employee taha tinana/ physical wellbeing. 140 staff participated in the challenge resulting in a total of 269,775 minutes exercised, an average of 45.9 minutes per person. Not only was this challenge successful in helping to create healthy exercise habits, but the challenge also increased engagement across the organisation. Additional initiatives included the annual influenza vaccination programme (with an uptake of 151, increased from 120 in 2021), ORC blood drive, employee wellbeing discount card refresh, an ergonomics webinar and the conclusion of the staying mentally well workshops offered to all staff and delivered to people leaders.

- [11] Several wellbeing initiatives are planned for quarter four and beyond. Refer to Table 1. for details.

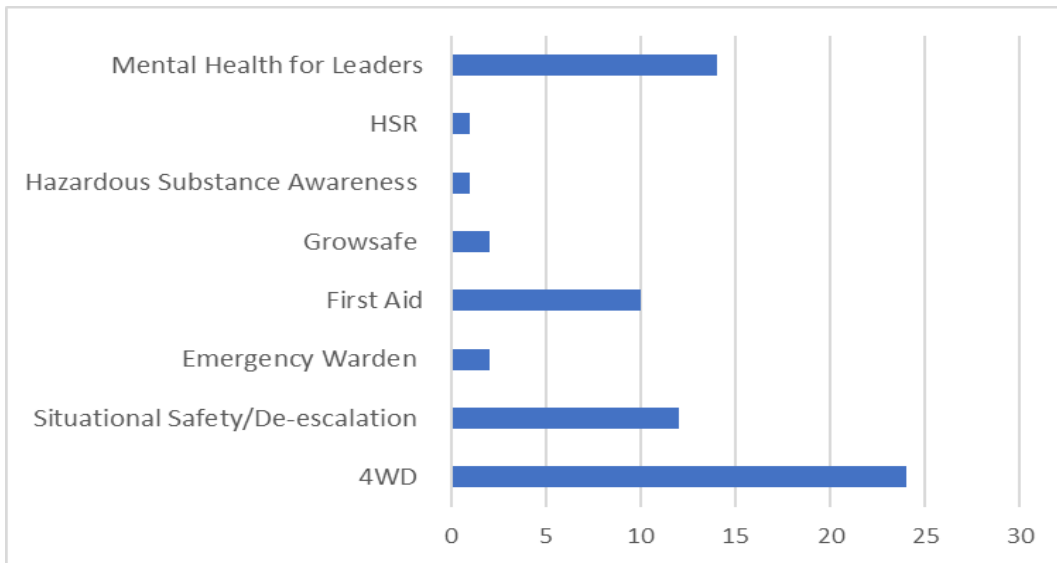
Table 1. Wellbeing Initiatives

Wellbeing Initiative	Planned Date
Ergonomic webinars for all staff that proactively address common issues with workstation setup and work design before issues arise, applicable to the home office	Quarterly
Financial wellbeing seminar suite, to be designed around key topics including planning for retirement, budgeting, managing debt, managing money in times of change, budgeting and saving	October/November 2022

National wellbeing events built into the wellbeing programme: Pink Shirt Day, Men’s Health Month, Money Week, Suicide Prevention Day, Mental Health Awareness Week, Melanoma Awareness Month	Ongoing
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- [12] Systems and Process Improvements
 All key policies and procedures with a focus on critical risks are now in place. A new vehicle policy was released in May which covered safe driving responsibilities. This policy was subject to staff consultation where valuable feedback was received, for example on recommendations to manage fatigue by arranging overnight accommodation to avoid long hours and clarifying the steps to take following an accident. This feedback was incorporated into the final policy. All policies are subject to continuous improvement and annual review.
- [13] A gradual implementation of other modules (components) of the Haumaru system will take place of the next 12-18 months including risk management, maintenance of training records, health monitoring, internal audits, and contractor safety.
- [14] Safety and Wellbeing Performance Reporting
 In Quarter four there were a total of 17 incidents/near misses, six for ORC staff and 11 for contractors/subcontractors. Refer to Appendix 2: Incident/Near Miss Dashboard. For ORC staff, all six incidents were classified as minor (no injury sustained).
- [15] There were 11 safety events for contractors/subcontractors in Quarter four. Four events were public transport related. One incident resulted in a passenger injury which was reported to WorkSafe but found not to be notifiable. Four events were related to the wilding conifer eradication contract and one on the wallaby eradication contract, which resulted in a worker sustaining an injury with no lost time away from work. Completing incident reports and investigations are the responsibility of the contractor and ORC maintain a central register. The Safety and Wellbeing team support and advise ORC project/contract managers, and relevant stakeholders, to ensure investigations are completed by the contractor, with actions/outcomes captured and communicated as per agreed incident management procedures.
- [16] Training and Development
 A total of 66 participants engaged in training during quarter four as shown in Figure 1. Participation was the greatest for 4WD safety skills (12 field staff) and virtual situational safety/de-escalation session (12 staff). Fourteen managers/team leaders participated in a pilot programme on mental health, reporting that the session provided helpful tools for self-care and recognising mental health challenges in others. The course was highly recommended by the pilot group to other leaders therefore another full day session is scheduled for August.
- [17] Upcoming training includes face-to-face situational safety and de-escalation in August for new staff on how to manage conflict and disengage from aggression or violence. A new online safe driving programme has been trialled with great feedback and will be rolled out to all staff driving an ORC vehicle. This will complement the practical advanced driver and 4WD training provided for staff that drive regularly, including regional travel and field work.

Figure 1. Training Completion for Quarter Four



[18] COVID-19 Internal Response

In addition to business-as-usual Health and Safety activity, the Safety and Wellbeing team liaise with Council’s Continuity Management Team (CMT) as needed on the internal response to COVID-19. This has included advice on aspects of ORC’s COVID Protection Framework (CPF) as required, such as recommendations for face coverings in office building.

OPTIONS

[19] N/A

CONSIDERATIONS

Strategic Framework and Policy Considerations

[20] ORC is compliant with government requirements regarding COVID-19 and has a COVID-19 policy and an internal ORC COVID Protection Framework (CPF) in place.

[21] ORC has a Health and Safety & Wellbeing Management system in place with relevant policies, procedures, and risk management framework subject to continuous improvement.

[22] All staff have health and safety key performance indicators in their performance & development plans.

Financial Considerations

[23] N/A

Significance and Engagement

[24] N/A

Legislative and Risk Considerations**[25] Critical Health and Safety Risk Projects**

Several projects are underway to address critical health and safety risks. Refer to Appendix 1: "Summary Table of Key Strategic Initiatives" which provides additional detail on key activities.

[26] An update on the Lone and Remote Worker Safety project is expected to be presented to ELT in August. The supporting risk assessment has identified four higher risk field-based teams. Safety and Wellbeing continue to consult with these groups and have been trialling interim control measures while recommendations for the final system and technology options are considered.

[27] Contractor Safety

Safety and Wellbeing continue to consult with ORC staff on health and safety duties, particularly in relation to contractor and supplier safety management. The monthly check for June 2022 indicated a 91% pre-approval rate for Med-High risk contractors, up from the 72% reported for the March 2022 period. A review of the ORC contractor management (H&S) framework is underway, the intention is to clarify legislative and organisational responsibilities, expectations, and the processes necessary for ensuring that works contracted, or directed/influenced, by the ORC is undertaken safely and to a consistent standard. A project working group will be established to ensure collaboration with the key stakeholder groups.

Strategic Risk Register

Health, safety and wellbeing is a strategic risk for the Otago Regional Council's Risk Register. This report outlines a number of controls and measures that are in place to manage the risk. The impact of these controls and measures on the residual risk rating of health, safety and wellbeing is subsequently discussed in the Risk Register Report in the Public Excluded section of the agenda.

Climate Change Considerations

[28] N/A

Communications Considerations

[29] There have been no ORC media releases relating to health and safety during Quarter four.

NEXT STEPS

[30] Nil.

ATTACHMENTS

1. Appendix 1 Summary of Key Strategic Initiatives for Safety and Wellbeing [7.1.1 - 5 pages]
2. Appendix 2. Incident-and- Near- Miss- Report- Quarter 4 FY 21-22 [7.1.2 - 7 pages]

Appendix 1: Summary of Key Strategic Initiatives for Safety and Wellbeing

Date reviewed: 26 July 2022

Strategic Initiative	Item	Target/Outcome	Expected Completion Date
1) Upskill leadership to support legislative compliance and build capacity to lead safety and wellbeing	Follow up ELT workshop to be scheduled to discuss due diligence responsibilities under the HSWA 2015 (initial session completed March 2021).	ELT awareness & understanding of due diligence responsibilities.	TBC 2022
	ELT Workshop on Leading Mental Health, facilitated by “The Effect” workplace mental health services.	ELT discussed psychosocial risks at ORC and steps to role model maintaining good mental health. EFT to hold further discussions on opportunities for further mental health supports for ORC staff.	Completed 13 June 2022
	“People and Safety 101” sessions for managers to be developed and implemented.	Programme completed, additional sessions on incident reporting & investigation provided in April. Feedback from Managers was positive with a high participation rate. Plan to review programme to ensure ongoing training meets needs.	April 2022 & Ongoing activity
2) Build employee engagement and participation	Ongoing support of Health and Safety Representative (HSR) meetings and Health and Safety Committee (HSC) meetings.	Quarterly meetings completed, progress tracked according to HSC Objectives for 2021-22 and annual feedback surveys.	Ongoing activity
	Reward and recognise positive behaviour relating to health, safety, and wellbeing.	Annual “Safety & Wellbeing Champion” staff (introduced in Dec 2021). New initiative from April 2022 includes reporting of “safety and wellbeing insights” where staff can report positive safety actions and behaviours.	Ongoing activity
	Promote safety and wellbeing initiatives via a variety of methods including “sharing safety”	Maximise staff engagement to achieve high participation rates in health, safety & wellbeing	Ongoing activity

1

	communications on Jostle, hosting “lunch and learns” and “info sessions” on topics of interest.	activities and ensure staff report hazards, near misses and incidents.	
3) Improve systems, tools, and processes to manage health, safety, and wellbeing more effectively	Implementation of new online safety management system “Haumarū”.	Launch of hazard, incident/near miss and safety & wellbeing insight reporting. Implementation of risk management & safety training modules – gradual role out with teams when risk management plans are indicated. Implementation of audit module.	April 2022 July 2022 Jan 2023
	Internal audit of all policies/procedures (note that this is subject to ongoing continuous improvement).	Internal audit completed with all new policies in place and existing policies subject to ongoing review. Release of updated Health, Safety & Wellbeing Manual 4 April 2022.	April 2022
4) Improve risk management with a focus on critical risk	Organisational Risk Management Plan (RMP) in place.	The organisational RMP sets out risk management at a high level. The RMP has been reviewed & endorsed by HSR’s. RMP to be reviewed annually and as required to ensure effective controls are in place.	March 2022 and Ongoing activity
	Critical Risk Management Plan (RMP).	Critical RMP to be prioritised. Recent HSR workshop to review critical risks on 12 July 2022. Note that critical risks are also indicated in the organisational RMP.	Ongoing activity
	Group/Team level RMP’s currently in development in “Haumarū”.	Partner with ORC teams to ensure RMP’s are in place for work and activity involving health and safety risks, to ensure adequate controls are in place.	From July 2022, ongoing activity

<p>5) Improve contractor safety</p>	<p>Contractor health and safety policy/procedure revised</p>	<p>Revised Contractor health and safety policy/procedure released & communicated in March 2022.</p>	<p>Completed March 2022</p>
	<p>Staff training/communication regarding contractor safety process.</p>	<p>Staff training regarding contractor safety planned for May 2022, will form part of the ongoing training calendar.</p> <p>Science Team to pilot/review initial ORC Contractor Safety Management (“101”) module.</p>	<p>Launching May 2022, ongoing activity</p>
<p>5) Improve Contractor Safety</p>	<p>Internal audit of adherence to policy/procedure, contractor spot H&S assurance checks.</p>	<p>Review of all medium to high-risk contractors used in part 18 months conducted from Feb – May 2022 to ensure all contractors meet H&S requirements.</p> <p>Monthly audits on contractor H&S approval status. Target is for 100% adherence to contractor H&S pre-qualification requirements. Review of the March period indicated 72% pre-approval rate for the Med-High Risk group.</p>	<p>May 2022</p> <p>Ongoing activity</p>
	<p>Resourcing systems/solutions to support proactive review of contractor H&S approval status.</p>	<p>ORC has registered with Construction Health and Safety NZ’s (CHASNZ) Totika Scheme. This is a cross-recognition framework that provides access to review contractor pre-qualification reports across a series of leading 3rd party providers, in a range of industries.</p>	<p>Ongoing activity</p>
<p>6) Improve Staff Learning and Development</p>	<p>Health and Safety Representatives (HSR’s) training.</p>	<p>All HSR’s formally trained (1-day course) and entitled to 2 days per year of development training.</p>	<p>Ongoing activity</p>

	Key health and safety training requirements for staff to be determined (note this is subject to continuous improvement)	Health and Safety training calendar in place, updated annually.	Ongoing activity
	Training needs analysis (TNA) to be undertaken.	TNA to be completed for field-based roles to determine training requirements.	Currently on hold
7) Implementation of Wellbeing Programme	Wellbeing programme to be implemented with quarterly themes.	<p>Maximise participation in wellbeing activities. Attendance was the greatest for take time leave (165 or 47.5% of staff); resilience education sessions (62 or 42%) and financial wellbeing sessions (77 or 26.7%) in 2021. A focus for 2022 will be to increase participation in the programme.</p> <p>Participation rates and engagement with wellbeing activities in 2022 are off to a solid start; house lending banking seminar 24%, 35 attendees in mental wellbeing workshops, 37% (115 staff) registration for influenza vaccination (so far). Additionally, several wellbeing activities/ initiatives have been recorded/ made available online enabling ongoing engagement.</p> <p>Upcoming activities have a focus on enabling dynamic engagement, thus meaning employees can connect and enhance their wellbeing at any time.</p>	Ongoing activity
	Review/evaluation of programme of contribute towards continuous improvement.	<p>Programme evaluated in Dec 2021 with a staff survey, very positive feedback received from all who participated with staff requesting more resources and education on mental health.</p> <p>Annual evaluation to continue to ensure the programme meets the needs of staff. Additionally,</p>	Ongoing activity

		anecdotal feedback is collected during and following wellbeing activities enabling prompt adjustment if required.	
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Audit and Risk Incident and Near Miss Report 19 Jul 2022 03:04:40 Incident

Filters Incident Date 06/2022, 05/2022, 04/2022 | TimeZone New Zealand Standard Time

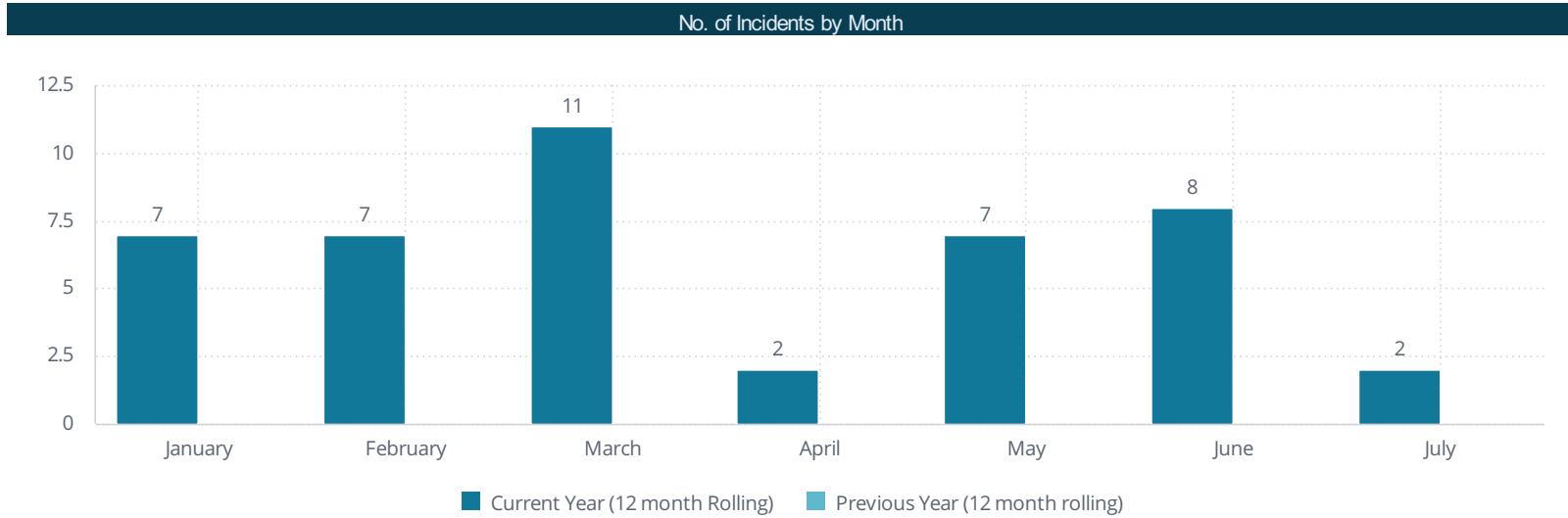
Incident / Near Miss Dashboard

- See bottom of screen for a list of records.
- Click on a graph segment to filter the rest of the dashboard based on that selection.
- To see other data relating to a segment right-click and 'Drill' to the desired field.
 - Access other filters using the right-hand filters panel.
 - NOTE: counters may be affected by any filters you apply.



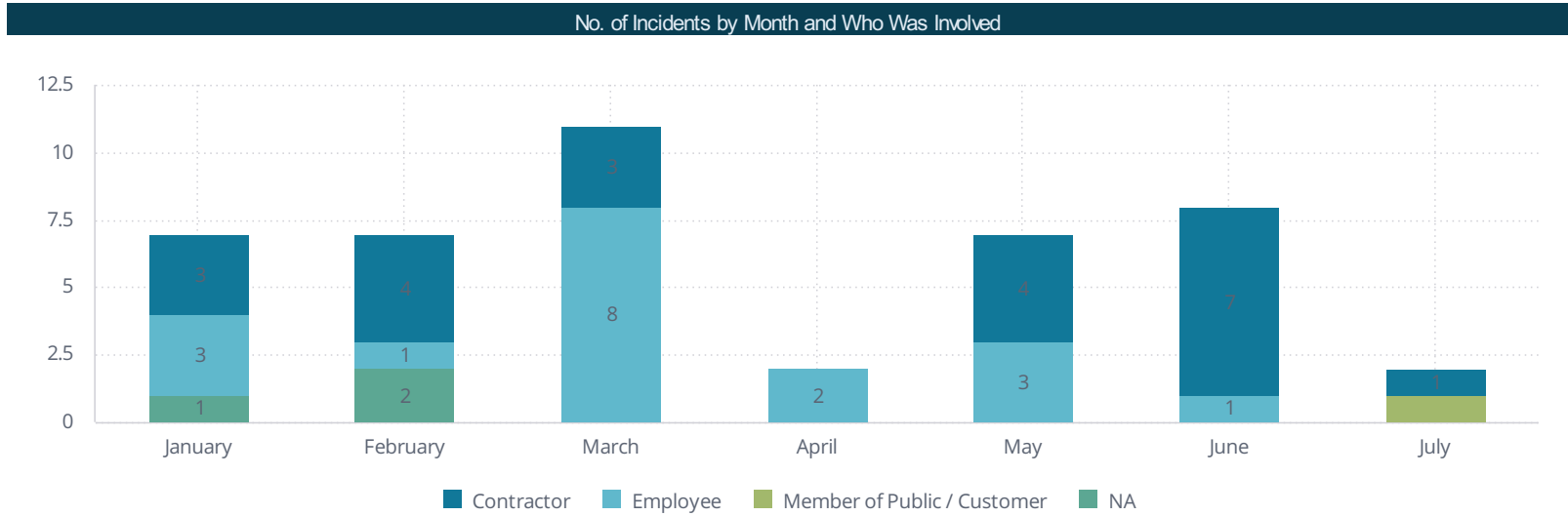
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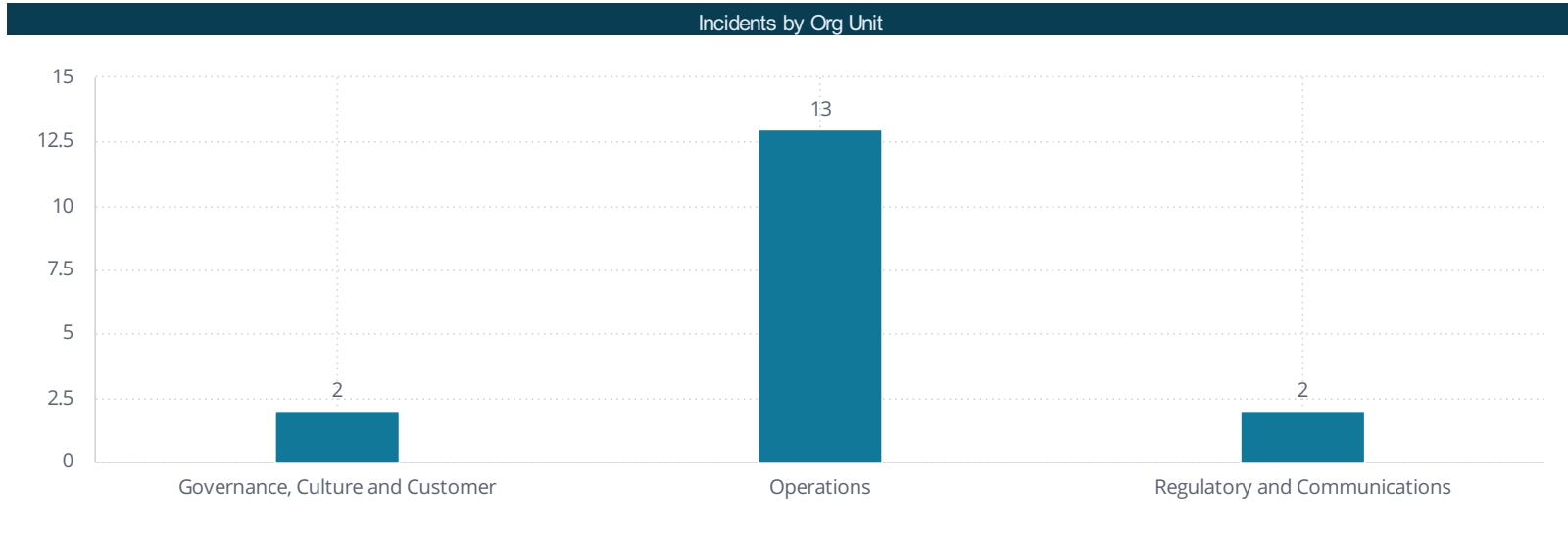
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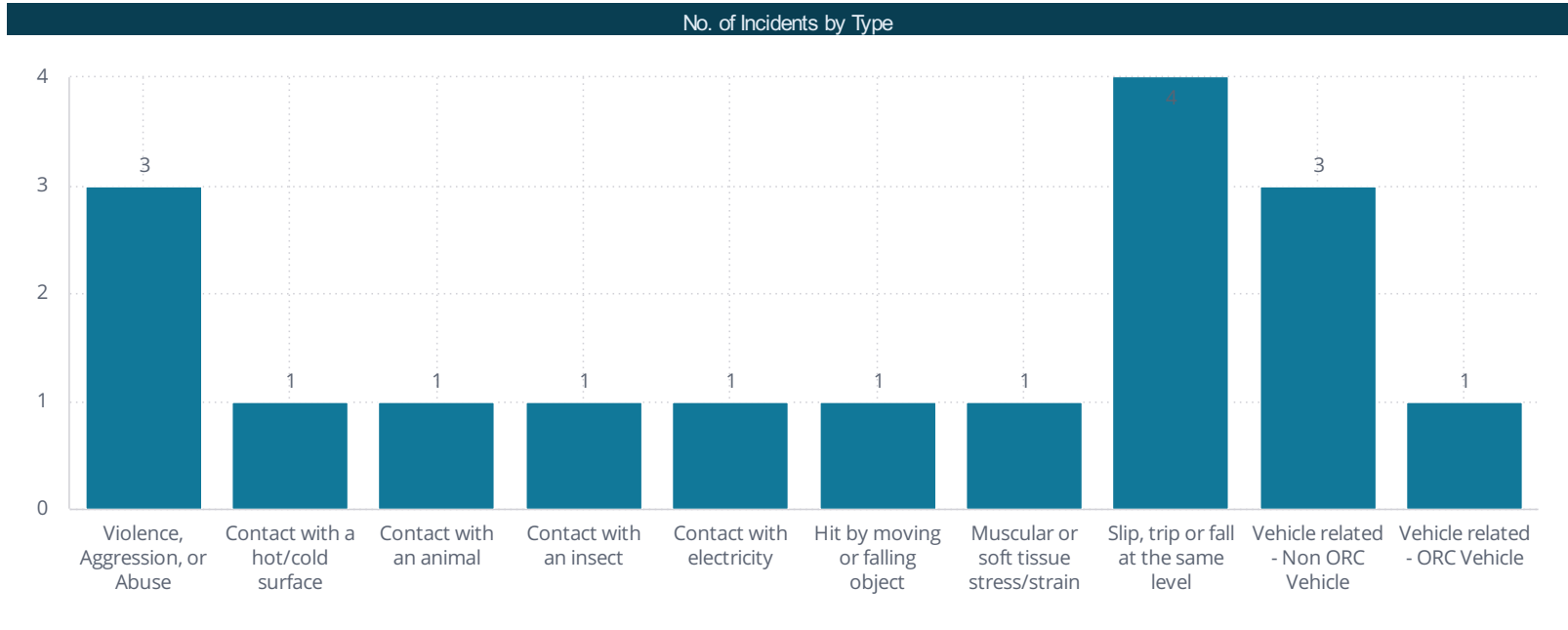
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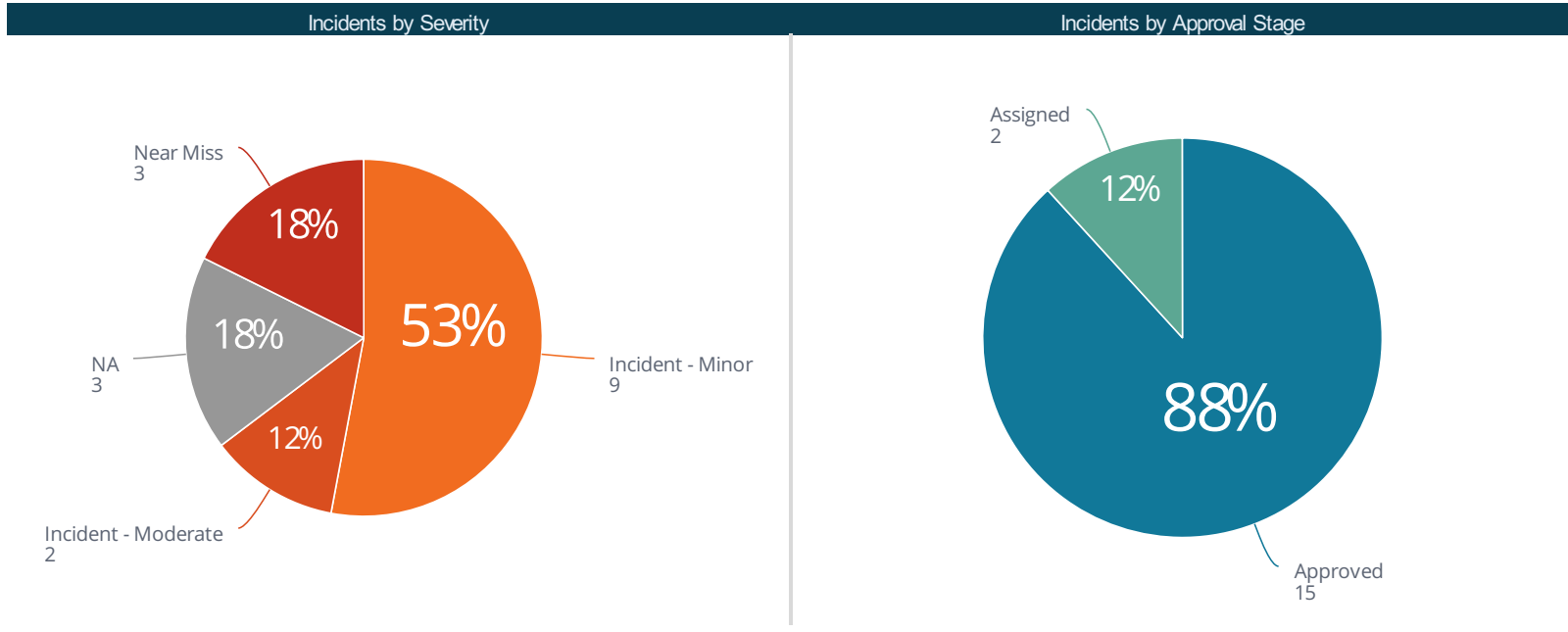
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Audit and Risk Incident and Near Miss Report 19 Jul 2022 03:04:40 Incident

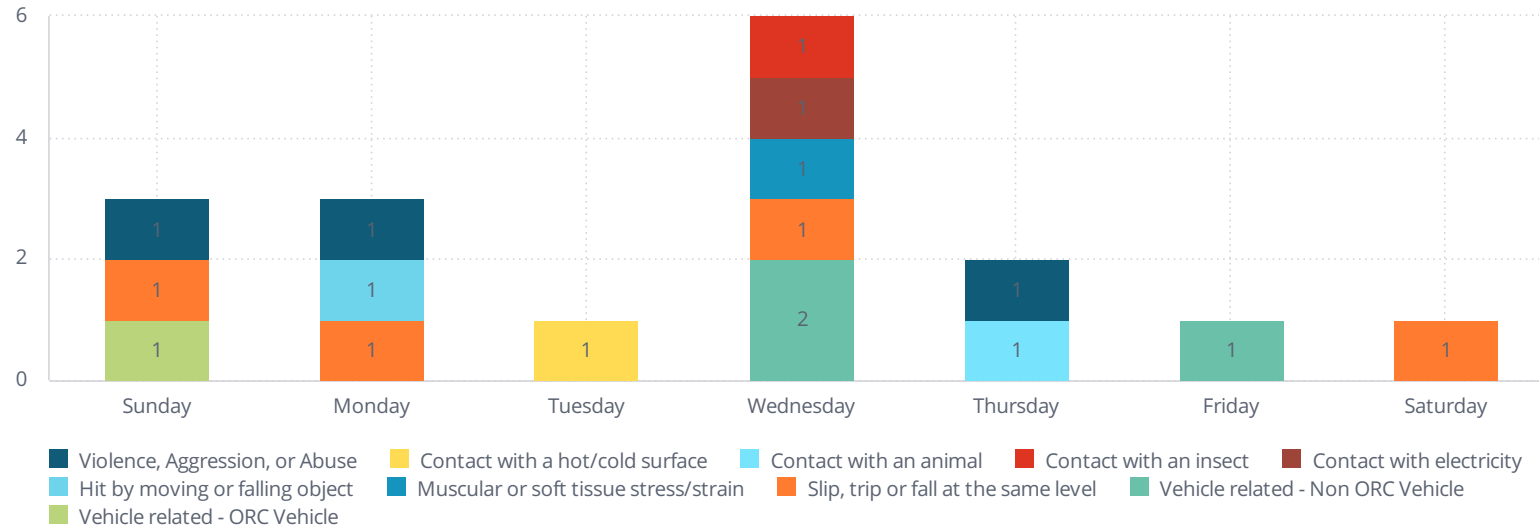
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Audit and Risk Incident and Near Miss Report 19 Jul 2022 03:04:40 Incident

Filters Incident Date 06/2022, 05/2022, 04/2022 | TimeZone New Zealand Standard Time

No. of Incidents by Weekday by Incident Type



7.2. CS2242 Corporate Policy Overview Report

Prepared for:	Audit and Risk Subcommittee
Report No.	CS2242
Activity:	Governance Report
Author:	Nick Donnelly, General Manager Corporate Services Amanda Vercoe, General Manager Governance, Culture and Customer
Endorsed by:	Nick Donnelly, General Manager Corporate Services
Date:	11 August 2022

PURPOSE

[1] To provide an update of the ORC’s organisational policies to the Audit and Risk Subcommittee.

RECOMMENDATION

That the Audit and Risk Subcommittee:

- 1) Notes this report.**

BACKGROUND

- [2] The Policy Review Group (PRG) was established in October 2020 to oversee Council’s internal organisational policies. This group meets quarterly and considers new policies and amendments to existing policies.
- [3] Since its establishment, the PRG has been through a process of standardising, simplifying, and amalgamating these policies, approving new policies and identifying where policy gaps existed.
- [4] An overview of this groups work, and a list of Council’s policies was provided to the Audit and Risk Subcommittee at their October 2021 meeting. The Subcommittee requested that the updated policy table was provide to subsequent Audit and Risk meetings.

DISCUSSION

[5] Following the previous update to Audit and Risk at the 12 May 2022 meeting, the PRG met on 31 May 2022. The following policies were reviewed at that meeting:

Policy	Action
Procurement and Contract Management Policy	Approved
Vehicle Policy	Staff consultation completed Approved
Customer Privacy Policy	Approved
Formal Warning Policy (Regulatory)	Approved

[6] An updated copy of the master policy spreadsheet is attached. This is a living document and is being reviewed and updated on an on-going basis. The policies are shown in two categories:

- Internal – organisational policies that mainly relate to how staff undertake their day-to-day activities and are approved by the Chief Executive.
 - Council – policies that specifically relate to Councillors and the Council and are approved by Council itself. These are generally policies that Council is required to have under the Local Government Act 2002.
- [7] Internal policies are sub-grouped into functional areas. Those shown in green have been through the PRG review process. Notes are included on other policies that are intended to be reviewed in the near future or are to be developed. This may include merger/amalgamation of policies in some instances.
- [8] The PRG is scheduled to meet again on 17 August 2022 and an update from that meeting will be provided in the new triennium.

Working together better framework (Anti-bullying)

- [9] ORC has a suite of policy documents that guide an approach of zero tolerance towards bullying and anti-social behaviour in the workplace. These policies provide options for staff to follow should they experience bullying in the workplace. The Employee Assistance Programme “EAP” is available to provide staff support if they do experience bullying in the workplace. ORC undertakes advocacy and supports the annual Pink Shirt Day in particular, and promotes a values led culture to assist in reinforcing a zero tolerance for bullying.
- [10] The framework includes:
- a. Staff Code of Conduct
 - b. How we work together Policy
 - c. Working Together Better Guidelines
 - d. Performance Management and Disciplinary Policy
- [11] As highlighted recently by the Office of the Auditor General, an absence of bullying complaints does not necessarily mean there is no issue. ORC uses employee engagement survey data, our health and safety network, and high-level EAP data to help tell the story. Staff are in the process of developing some dashboard data to report to Audit and Risk in the future. ORC undertakes a staff engagement survey every two years, which helps provide data on staff experience at work. The most recent survey was done in November 2021.

CONSIDERATIONS

Strategic Framework and Policy Considerations

- [12] There are no strategic or policy considerations other than this paper relates to the development and review of Council policies themselves. Any policy considerations are outlined in the paper or attached policies (if included).

Financial Considerations

- [13] There are no financial considerations.

Significance and Engagement Considerations

- [14] There are no significance and engagement considerations.

Legislative and Risk Considerations

[15] There are no legislative or risk considerations.

Climate Change Considerations

[16] There are no climate change considerations.

Communications Considerations

[17] There are no communications considerations.

ATTACHMENTS

1. MASTER Policy Table Revised August 2022 [**7.2.1** - 3 pages]
2. Working Better Together Policy [**7.2.2** - 8 pages]
3. How We Work Together (1) [**7.2.3** - 1 page]
4. Performance Management and Disciplinary Policy [**7.2.4** - 9 pages]
5. Code of Conduct [**7.2.5** - 13 pages]

CORPORATE	Title	Description	Last Reviewed	Person Responsible	Status / Notes	Review Period	Next Review Date	To ELT	Where published	Reformatted	
Legal	Official Information Policy and Procedure	Sets out ORC's approach to managing information held by the ORC to ensure compliance with the Local Government Official Information and Meetings Act 1987 (LGOIMA or Act).	Nov-20 PRG	Peter	Approved	Triennially	Dec-23	✓	Jostle, Crs, Website	✓	
	Official Information Proactive Release Policy	To set out the high-level principles and guidelines for how the ORC can proactively publish official information online, including any responses to requests under the Local Government Official Information and Meetings Act 1987 (LGOIMA).	Nov-20 PRG	Peter	Approved	Triennially	Dec-23	✓	Jostle	✓	
	Protected Disclosures Policy	This policy outlines the procedures to be followed in relation to protected disclosures under the terms of the Protected Disclosures Act 2000 (the Act).	Nov-20 PRG	Peter	Approved	Biennially	Dec-22	✓	Jostle	✓	
	Trespass Policy	The purpose of this policy is to set out guidance on the types of trespass and the procedure for considering and issuing trespass notice on behalf of the Otago Regional Council ("Council").	Nov-20 PRG	Peter	Approved	Triennially	Dec-23	✓	Jostle	✓	
	Customer Privacy Policy	For the control of our collection, use and disclosure of your personal information (as defined in the Privacy Act 2020).	May-22 PRG	Peter	Approved	Biennially	May-24	✓		✓	
	Inhouse Privacy Policy	Part A: to outline the procedures that Council staff must follow to ensure its responsibilities under Council's Inhouse Privacy Policy and the Privacy Act 2020 ("the Act") are complied with. Part B: to provide a reference to staff on key considerations when carrying out the Council's internal procedure for notifiable privacy breaches.	Apr-21 PRG	Peter	Approved	Triennially	May-24	✓	Website, Jostle	✓	
	Copyright Policy		Nov-21 PRG	Peter	Approved	Annually	Nov-22				
	Formal Warning Policy	This policy is aimed at ensuring a consistent approach by ORC to use the warnings in appropriate circumstances; when addressing conduct that may be an offence, any response taken will follow due process and public interest considerations while at the same time not overburdening the Courts with matters that can be effectively resolved through other enforcement routes.	May-22 PRG	Peter		Annually	May-23			✓	
	Drones Policy		NEW	Peter	In creation (Nov-2021)						
	Finance	Sensitive Expenditure Policy	This document sets out Council's policy around controlling 'sensitive expenditure'. 'Sensitive expenditure' in the context of this policy is expenditure which may provide, or has the potential to provide, or may be perceived as providing, a private benefit to an elected member or staff member.	Apr-21 PRG	Sarah	Approved	Annually	Apr-22		Jostle	✓
Travel Policy		This document sets out Council's policy in relation to travel.	Apr-21 PRG	Sarah	Approved	Biennially	Apr-23	✓	Jostle	✓	
Procurement and Contract Management Policy		Sets out the core framework for the procurement of goods and service within ORC	May-22	Sarah	Approved	Biennially	May-24	✓	Jostle	✓	
Fraud Policy		To identify that processes are in place to deal with fraudulent behaviour by anyone employed by, or elected to, the Otago Regional Council.	Jan-11	Sarah	Review Nov-2021 (Aug-2021)				Jostle		
IT Policy		Provides guidelines for the use of technology and outlines expected behaviours when using IT systems.	Dec-14	Sarah	Review Nov-2021 (Aug-2021)				Jostle		
- Mobile Phone Policy		Outlines the principles for mobile phone usage, security, and hardware that ORC staff agree to when using mobile phone services provided by ORC.	Apr-16	Sarah	- Merge with IT Policy above				Jostle		
Vehicle Policy		To provide a clear framework for the use of Council vehicles and personal vehicles, for business use, including the required processes, procedures and general expectations.	May-22	Sarah	Approved	Biennially	May-24		Jostle	✓	
- Vehicle Use Policy		To promote a safe driving culture by encouraging sensible and safe use of ORC vehicles, thereby eliminating or reducing the number of motor vehicle incidents and injuries.	May-22	Sarah	- Merged with Vehicle Policy above	Biennially	May-24		Jostle	✓	
- Smartrak Vehicle Policy		The Health & Safety in Employment Act recognises company (Council) vehicles as a place of work. Smartrak introduces another control to help ensure the safety of staff by enabling vehicles to be tracked to a location for prompt incident response. It also provides for the monitoring of driver behaviour which is outside the law and therefore potentially unsafe.	Jan-15	Sarah	- Merge with Vehicle Policy above				Jostle		
PEOPLE & CULTURE			Description	Last Reviewed	Person Responsible	Status / Notes	Review Period	Next Review Date	To ELT	Where published	Reformatted
	Employee Conduct and Welfare	Good Employer Policy Statement	We will ensure all employees understand why those affected by family violence may need to avail themselves of the entitlements provided by the Family Violence Act 2018 and acknowledge the reasons for providing support.	Mar-21 PRG	Rebecca	Approved	Biennially	Mar-23	✓	Jostle	N/A
	Health, Safety and Wellbeing Policy Statement	The Otago Regional Council (ORC) sees health, safety and wellbeing as a cornerstone of how we do business. We are committed to providing a safe and healthy environment for all employees, contractors, volunteers and visitors who may take part in, or be impacted by, our work.	Mar-21 PRG	Rebecca	Approved	Biennially	Mar-23		Jostle	N/A	
	Code of Conduct Policy	The purpose of this policy is to set out guidance on the types of trespass and the procedure for considering and issuing trespass notice on behalf of the Otago Regional Council ("Council").	Jun-21 PRG	Rebecca	Approved	Biennially	Jun-23	✓	Jostle	✗	
	Family Violence Policy	We will ensure all employees understand why those affected by family violence may need to avail themselves of the entitlements provided by the Family Violence Act 2018 and acknowledge the reasons for providing support.	Jun-21 PRG	Rebecca	Approved	Biennially	Jun-23	✓	Jostle	✓	
	Performance Management and Disciplinary Policy	The purpose of this policy is to ensure all employees and managers are aware of their entitlements and obligations in relation to legislated rest and meal breaks. It should be noted that the breaks outlined below are the minimum legislative entitlements, and ORC provisions are in some cases more generous than those in the legislation.	Jun-21 PRG	Rebecca	Approved	Biennially	Jun-23	✓	Jostle	✓	
	Storage of Employee Records Policy		NEW	Rebecca	In creation						
	Transition to Retirement Policy		NEW	Rebecca	In creation						
	Youth Engagement Policy		NEW	Rebecca	In creation (Nov-2021)						
	Conflict of Interest and Gift Policy	This policy is created to avoid or successfully manage conflicts of interest occurring and to clarify the circumstances where activities, including secondary employment would be incompatible with employment at the Council.	Oct-19	Rebecca	Approved	Biennially	Oct-21		Jostle	✗	
Equal Employment Opportunities Policy	The purpose of this policy is to outline the ORC's commitment to equal employment opportunity, diversity and inclusion.	?	Rebecca	To be superseded by Diversity and Inclusion Policy?			✓	Jostle	✗		
Staff Consultation Policy	Otago Regional Council is committed to consulting with staff on matters that may have a substantial impact on their working conditions. This document sets out the requirements of the consultation processes to be followed.	Jan-17	Rebecca	To be reviewed - TBC	Biennially	Jan-19		Jostle	✗		
COVID-19 Vaccination Policy	ORC is implementing this COVID-19 Vaccination Policy to support and encourage ORC staff to become vaccinated as part of the national COVID-19 vaccination program where possible, and to set out clear processes and expectations of vaccination requirements for those employ by ORC, or access to or working from an ORC owned or controlled site.	Feb-22	Rebecca	Approved	Every 3 months or as legislation changes	May-22	✓	Jostle	✓		
Working Better Together Policy	Provides guiding principles to ensure that the workplace is free from fear and judgement, enables open communication and values diversity across our workplace and with all those we interact with.	Nov-18	Rebecca	To be reviewed - TBC	Biennially	Nov-20	✓	Jostle	✗		


PEOPLE & CULTURE	Title	Description	Last Reviewed	Person Responsible	Status / Notes	Review Period	Next Review Date	To ELT	Where published	Reformatted
Leave and Timesheeting	Fair and Reasonable Sick and Wellbeing Leave Policy	Council recognises that a cornerstone of an engaged and productive workforce is to have healthy and 'well' employees. The purpose of the Fair and Reasonable Sick and Wellbeing Leave Policy is to support employment agreement commitments, provide pathways for employees to access additional sick leave should the need arise, outline clear parameters for employees applying for the leave, and for managers when considering such applications.	Nov-20 ELT	Rebecca	Approved	Biennially	Nov-22	✓	Jostle (Nov 2020)	✓
	Leave Management Policy	Taking time for rest and recreation is key to maintaining a healthy 'work/life' balance, supports employee wellbeing, and contributes to an engaged and productive workforce.	Apr-21 PRG Jun-21 PRG	Rebecca	Approved	Biennially	Jun-23	✓	Jostle	✓
	Rest and Meal Breaks Policy	Ensure all employees and managers are aware of their entitlements and obligations in relation to legislated rest and meal breaks	Apr-21 PRG	Rebecca	Approved	Biennially	Apr-23	✓	Jostle	✓
	Allowances for Stand-by Rosters and Call Out	Sets out a framework on allowances for staff on Stand-by rosters and for call outs.	Apr-20	Rebecca	Approved	Annually	Nov-21	✓	Jostle	✗
Remuneration	Flexible Working Policy	Our Flexible Work Policy sets out the avenues and process for those who wish to request flexibility in their work, as well as examples of common arrangements, and guidance on the decision-making and approval process for people leaders.	Nov-20 ELT	Rebecca	Approved	Biennially	Nov-22	✓	Jostle (Nov 2020)	✓
	Parental Leave Policy	The purpose of this policy is to ensure Parental Leave is managed in a manner supportive to the employee and in accordance with the applicable legislation, taking into account both the needs of the family and of the organisation.	Nov-20 PRG	Rebecca	Approved	Biennially	Dec-22	✓	Jostle	✓
	Training, Learning and Development Policy	The purpose of this policy is to provide guidelines for managers and employees to ensure consistency in eligibility, planning and delivery of the various aspects of employee learning and development.	Jun-21 PRG	Rebecca	Approved	Biennially		✗		
	Remuneration Policy	To ensure that the ORC attracts and retains employees through effective remuneration and reward practices, in line with Council remuneration objectives and principles.	Dec-19	Rebecca	Approved	Biennially	Dec-21	✓	Jostle	✓
	Superannuation Schemes Policy	The Council offers staff three schemes for superannuation saving - ASB Master Trust, Civic SuperEasy and KiwiSaver.	Apr-19	Rebecca	Approved	Biennially	Apr-21	✓	Jostle	✗
	Financial Assistance Policy - Education, Relocation		NEW	Rebecca	In creation					
	Recognition of Service / Reward Policy		NEW	Rebecca	Basic SOP complete, full Policy not started					
Safety and Wellbeing	Policy & Procedure for H&S of Contractors and Subcontractors	This policy aims to support ORC comply with obligations under the HSWA in language that is easy to understand for the end user. The procedure covers the end-to-end process of contractor management from selection, pre-approval, entering into the contract and ongoing monitoring and review. Additional supporting documents are also provided as listed below.	Mar-22	Rebecca	Approved	Annually	Mar-23	✓	Jostle	✓
	Fatigue Management Policy & Toolbox	As prescribed by the Health and Safety at Work Act (2015), Otago Regional Council must ensure, so far as reasonably practicable, the health and safety of its workers, and that others are not put at risk by their work. ORC must eliminate risks that arise from their work so far as reasonably practicable. If a risk can't be eliminated, it must be minimised so far as is reasonably practicable. Fatigue has been identified as a risk by ORC, and as such it is good practice to develop and adopt a fit for purpose fatigue management policy which supports us to manage the risks that arise from fatigue.	Mar-21 PRG	Rebecca	Approved	Annually	Mar-22	✓	Jostle	✓
	First Aid Policy	The Purpose of this policy is to: a) set out the Otago Regional Council's commitment to and arrangements for the provision of first aid, and b) set out responsibilities with respect to the provision of qualified first aid personnel and equipment.	Mar-21 PRG	Rebecca	Approved	Annually	Mar-22	✓	Jostle	✓
	Hazardous Manual Handling Policy	The purpose of this document is to provide instruction to Otago Regional Council (ORC) about how to comply with its duties under the Health and Safety at Work Act 2015 and Health and Safety at Work (General Risk and Workplace Management) Regulations 2016 in relation to managing the risks associated with hazardous manual handling. ORC must eliminate risks associated with hazardous manual handling. If the risk cannot be eliminated it must be minimized as far as is reasonably practicable.	Mar-21 PRG	Rebecca	Approved	Annually	Mar-22	✓	Jostle	✓
	Hazardous Substances Policy & Procedure	The purpose of this document is to provide instruction to Otago Regional Council (ORC) about how to comply with its duties under the legislation regarding hazardous substances. ORC must eliminate risks associated with hazardous substances. If the risk cannot be eliminated it must be minimized as far as is reasonably practicable. ORC's current strategy regarding hazardous substances is to reduce their use and work towards elimination where possible.	Mar-21 PRG	Rebecca	Approved	Annually	Mar-22	✓	Jostle	✓
	Lone Worker & Out of Office Travel Policy	The purpose of this document is to provide instruction to Otago Regional Council (ORC) about how to comply with its duties under legislation in relation to managing the health and safety risks of lone, remote, and isolated work.	Jun-21 PRG	Rebecca	Approved	Annually	Jun-22	✓	Jostle	✓
	Occupational Violence and Aggression (OVA) Policy	The purpose of this document is to provide instruction to Otago Regional Council (ORC) about how to comply with its duties under legislation in relation to managing the health and safety risks associated with Occupational Aggression and Violence (OVA).	Jun-21 PRG	Rebecca	Approved	Annually	Jun-22	✓	Jostle	✓
	Smoke and Vape Free Policy	In line with the Otago Regional Council Wellbeing Policy, the organisation commits to promoting a safe and healthy environment for all employees, contractors and visitors, which includes a smoke and vape free working environment. As part of its wider role in promoting health and wellbeing, Otago Regional Council has a responsibility to encourage and support employees and their families/whānau to become Smokefree.	Mar-21 PRG	Rebecca	Approved	Annually	Mar-22	✓	Jostle	✓
	Safe Driving Policy		NEW	Rebecca	In creation (Aug-2021)					
	Drug and Alcohol Policy		NEW	Amanda	In creation (Aug-2021)					
	Illness and Injury at Work Policy	The purpose of this policy is to provide a framework which applies to all staff so they can recover and return to work from injury or illness. Included also are guidelines to follow if a staff member falls ill at work.	Jan-17	Rebecca	To review Rebecca to bring info (Nov-2021)		Nov-22		Jostle	
	Personal Locator Beacons	Provides a framework for the use of PLBs by council staff. PLBs have been installed in the glove box of all Council vehicles to provide for an enhanced level of personal safety for our staff.	Aug-15	Rebecca	Review - policy and required?				Jostle	
	Worker Health Monitoring Policy	Outlines the health monitoring processes that the Otago Regional Council uses to monitor the adequacy and effectiveness of precautions taken to protect staff health from occupational and environmental hazards. The basis of monitoring is to assess exposure to those hazards and, where necessary, the health effects to staff that may have been exposed. This guideline includes requirements and rationale for an annual assessment task and exit assessment.	Aug-20	Rebecca	Approved	Annually	Aug-21		Jostle	✗
	Personal Protective Equipment Guide (PPE)	The Purpose of this policy is to: a) set out the Otago Regional Council's commitment to and arrangements for the provision of personal protection equipment, and b) set out responsibilities with respect to the provision of personal protective equipment.	Aug-20	Rebecca	Approved	Annually	Aug-21		Jostle	✗
	COMMS/CUSTOMER	Title	Description	Last Reviewed	Person Responsible	Status / Notes	Review Period	Next Review Date	To ELT	Where published
	Media Policy	Outlines the ORC's position on speaking to the media, news releases and internal communication and is applicable to all staff.	Apr-16	Eleanor	To be reviewed - TBC					
	Sending of Bulk Correspondence	To ensure correspondence from Otago Regional Council accurately reflects the values of the organisation.	Aug-16	Eleanor	To be reviewed - TBC				Jostle	✗

COUNCIL POLICIES										
GOVERNANCE	Title	Description	Last Reviewed	Person Responsible	Status / Notes	Review Period	Next Review Date	To ELT	Where published	Requirement
	Standing Orders	Standing orders contain rules for the conduct of the proceedings of local authorities, committees, subcommittees and subordinate decision-making bodies. Their purpose is to enable local authorities to exercise their decision-making responsibilities in a transparent, inclusive and lawful manner.	May-21	Amanda	Approved	Triennially	Oct-22			Sch7, clause 27
	Code of Conduct	The Code of Conduct (the Code) sets out the standards of behaviour expected from elected members in the exercise of their duties.	Nov-19	Amanda	Approved	Triennially	Oct-22			Sch7, clause 15(1)
	Local Governance Statement	The information found in this document includes details about what we do, what legislation we work under and the responsibilities we have under that legislation, how we consult and what our management processes are.	Jul-21	Amanda	Approved	Triennially	Jan-23			S40
	Remuneration Authority Determination	Not a Council Policy but the Determination sets the remuneration pool for Council and this must be fully allocated by Council.	Aug-21	Amanda	Approved	Annually	Aug-22			
	Councillor Expenses, Allowances and Reimbursement Policy	The expenses regime for elected members of the Otago Regional Council.	Aug-21	Amanda	Approved	Annually	Aug-22			
	ORC Recruitment Policy – Governance	The Otago Regional Council is committed to a fair and transparent recruitment and selection process, with appointments based on merit in order to attract and retain appropriately skilled and qualified appointees.	Mar-21	Amanda	Approved	Triennially	May-23	✓		
	Port Otago Constitution	Sets out the rights, powers and duties of the company (the Port), board, directors and the shareholder (Council).	Mar-21	Nick	Approved	N/a	N/a			
	He Mahi Rau Rika: Significance, Engagement and Māori Participation Policy	This policy provides guidelines for determining the significance of proposals and decisions in relation to issues, assets or other matters affecting the Otago region, people likely to be affected, and the council's capability to perform.	Oct-21	Richard	Approved	Triennially	Oct-24	N/a	Website, Jostie	S76AA
	Revenue and Financing Policy	Sets out the sources of funding Council will use for each activity, including the use of rates, fees, subsidies, reserves or other funding tools and gives consideration to who will benefit from each activity and how much they benefit.	Jun-21	Nick	Approved	Triennially	Jun-24			S102, 103
	Treasury Management Policy	The Local Government Act 2002 requires local authorities to adopt a Liability Management Policy and an Investment Policy. The Otago Regional Council's prepared policies have been combined into one document called the Treasury Management Policy.	Jun-21	Nick	Approved	Triennially	Jun-24			S102, 104, 105
	Statement of Investment Policies and Objectives	Provides the framework for Council to effectively supervise, monitor and evaluate the management of Council's investment activities.	Jun-21	Nick	Approved	Annually	Jun-22			S102, 105
	Rates Remission & Postponement Policy	The Otago Regional Council carries out its rating function in accordance with the requirements of the Local Government (Rating) Act 2002, and the Local Government Act 2002. This document provides the policy framework for granting remissions and postponing the payment of rates.	Feb-21	Sarah H	Approved	Triennially	Mar-24			S109
	Policy on Remission and Postponement of Rates on Maori Freehold Land	The Council has recognised that certain Maori freehold land have particular conditions, ownership structures or other circumstances which make it appropriate to remit or postpone rates for defined periods of time.	Feb-21	Sarah H	Approved	Triennially	Mar-24			S102, 108
	Financial Strategy	Sets out how the Otago Regional Council will manage its finances over the next 10 years including raising, borrowing and investments.	Jun-21	Nick	Approved	Triennially	Jun-24			S101A
	Infrastructure Strategy	Provides Council and the Otago community with information about what significant issues the flood protection and drainage infrastructure face over the next 30 years and beyond, and identifies the principal options for managing those challenges, including the implications of those options, before presenting the most likely scenarios for each issue and when any significant decisions will need to be made.	Jun-21	Gavin	Approved	Triennially	Jun-24			S101B
	Enforcement Policy	To come from Compliance								
	- Formal Warning Policy (Regulatory)	This policy is aimed at ensuring a consistent approach by ORC to the use of warnings in appropriate circumstances.	May-22	Peter	Approved but to go to Council with the Enforcement Policy	Annually	May-23			
	Risk Management Framework	This aims to allow the organisation to exploit the opportunities and minimise the threats presented by the risks inherent in the organisations activities.	Sep-19	Nick	Currently under review					



Otago Regional Council Working Better Together Policy

November 2018

	Document Name: ORC Working Better Together Policy
	Document Owner: General Manager People, Culture & Communications
	Authorised By: Chief Executive
	Implementation Date: November 2018
	Review Period: Biennially
	Last Reviewed: N/A
	Next Review: November 2020

Introduction

How we behave towards one another is integral to how we deliver on our organizational purpose and live our values and pillars.

The Working Better Together Policy supports the “How We Work Together” framework (*appendix 3*), which outlines how we live our values in our day to day working relationships, supporting a culture of honest and timely feedback between colleagues.

All Council staff have a role to play in ensuring a positive, collaborative and inclusive culture, so that ORC remains as a place where diversity in people and perspectives are valued, and mutual respect is conveyed in all that we do.

Purpose

This policy provides guiding principles to ensure that the workplace is free from fear and judgement, enables open communication and values diversity across our workplace and with all those we interact with.

By acknowledging and working to the Working Better Together Policy, we ensure that we at ORC:

- Are not exposed to or affected by harassment or bullying behaviours
- Are able to identify, understand and manage the potential risks associated with bullying and harassment in the workplace (or through external channels, such as social media), which may include:
 - A person to experience health problems, loss in self-esteem or work performance issues
 - Divisions in the workplace if people take sides
 - Financial and productivity losses for individuals and the organisation
- Know our options for resolution when faced with bullying or harassment
- Are able to take appropriate action through either informal or formal resolution methods

What is Bullying?

You don't like what is happening at work – but, *is it bullying?*

The Worksafe [Good Practice Guidelines for Preventing and Responding to Bullying at Work](#) provide helpful definitions for what is and isn't bullying in an employment context.

ORC Working Better Together Policy

Workplace bullying is:

Repeated and unreasonable behaviour directed towards a worker or a group of workers that can lead to physical or psychological harm.

- Repeated behaviour is persistent (occurs more than once) and can involve a range of actions over time.
- Unreasonable behaviour means actions that a reasonable person in the same circumstances would see as unreasonable. It includes victimising, humiliating, intimidating, or threatening a person.
- Bullying may also include harassment, discrimination, or violence

Harassment is:

Conduct that constitutes any unwanted and unwarranted behaviour that a person finds offensive, intimidating or humiliating and has a detrimental effect upon a person's dignity, safety, or privacy.

The New Zealand Employment Relations Act has ruled that to come within a broad definition of bullying, *"behaviour must include repeated actions; be carried out with the desire to gain power or exert dominance, and be carried out with the intention to cause fear and distress."*

Workplace bullying is not:

- one-off or occasional instances of forgetfulness, rudeness, or tactlessness
- setting high performance standards
- constructive feedback and legitimate advice or peer review
- a manager requiring reasonable verbal or written work instructions to be carried out
- warning or disciplining workers in line with the ORC Code of Conduct
- a single incident of unreasonable behaviour
- reasonable management actions delivered in a reasonable way
- differences in opinion or personality clashes that do not escalate into bullying, harassment, or violence.

Scope

The Working Better Together Policy applies to all employees of the Otago Regional Council. We all have a duty to one another to behave in a manner that is akin to our organisational values, ensuring the workplace is a safe and productive environment for all.

CARING – TRUSTWORTHY – OPEN & HONEST – COLLABORATIVE – ACCOUNTABLE – CREATIVE

Our Organisational Commitment

As an Executive Leadership Team, we commit to:

ORC Working Better Together Policy

- Respecting the wide range of personal values and character strengths that drive the performance of our organisation
- Encouraging positive leadership styles and investing in our People Leaders to help them achieve this
- Focusing on behaviours instead of people, aiming to promote collaborative and constructive working relationships across the organisation
- Identifying risk factors within the workplace and implementing preventative measures where possible
- Openly discussing bullying and harassment to alleviate any stigma
- Engaging openly with employees to ensure morale and organisational culture remains high

As Managers we commit to:

- Ensuring employees have clarity on the scope, expectations, and responsibilities of their roles
- Identifying and intervening at an early stage if there are beginnings of unreasonable behaviour
- Maintaining accurate records and undertaking thorough investigations when formal complaints are made
- Looking for constructive solutions (at the lowest possible level), through the use of the 'How We Work Together' framework, before escalating turning to formal means of resolution

As Staff we commit to:

- Treating each other with respect
- 'Standing in the gap' – speaking up if we see something that does not align with our organisational values
- Reporting all incidences of bullying behaviour [whether as a victim or bystander] to our Managers. If the Manager is the person perceived as displaying bullying behaviours, report to the HR Business Partner
- Try to "talk it out" before resorting to formal processes
- Follow ORC process if making a complaint (*see flowchart – appendix 1*)
- Have each-other's backs – providing support where necessary and identifying when people are isolated

Steps to Rectify:

If a complaint of bullying or harassment is made, our organisational commitment is to:

- Listen to the person and support them in resolving the matter through the use of their preferred approach of either formal or informal resolution

ORC Working Better Together Policy

- Providing the person support either internal or through an external provider (EAP)
- Treat all matters seriously and investigate promptly and impartially (*see appendix 2 - principles of investigation*)
- Ensure neither the complainant nor the alleged bully are victimised
- Provide support to all parties involved
- Find appropriate remedies and consequences for confirmed bullying as well as malicious false reports
- Communicate throughout the process and the outcome once reached
- Ensure confidentiality and keep sound documentation
- Use the principles of natural justice
- Have specialist external advisors available to help if required
- Have related materials available for consultation, such as the ORC Whistle-blower Policy

Policy review

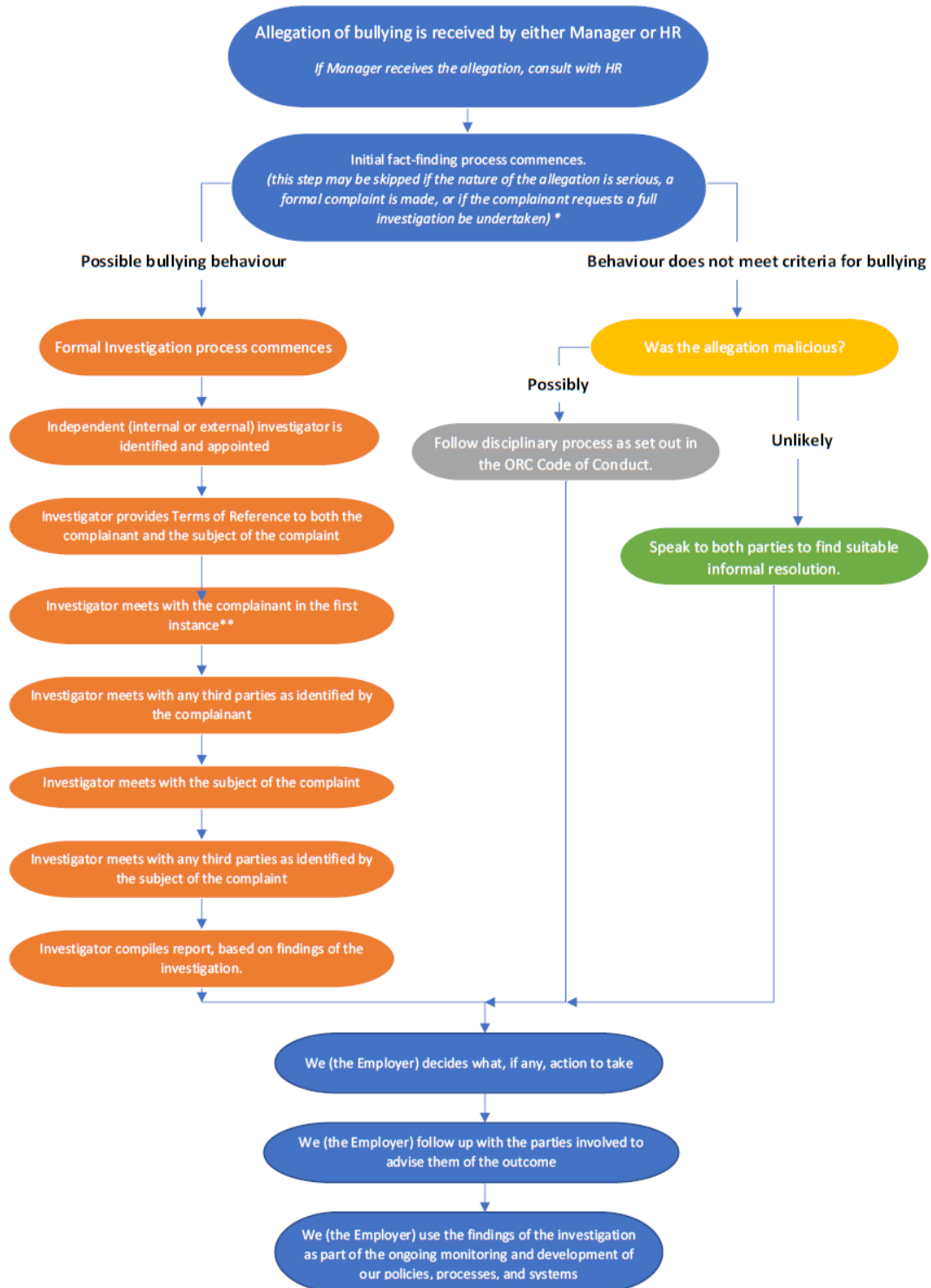
This policy will be reviewed after its first year and every two years thereafter.

Related Documents

- ORC Code of Conduct
- ORC Whistle-blower Policy
- [Worksafe Bullying Prevention Toolbox](#) [external link]

ORC Working Better Together Policy

Appendix 1
ORC Formal Investigation Process



* The New Zealand Employment Relations Act stipulates that upon receipt of an employee complaint concerning another member of staff, an employer has particular obligations. First, it must undertake a full and fair investigation into that complaint, second, the complainant is entitled to be told the outcome of the investigation and third, if the employer is satisfied that the alleged behaviour did take place, it must advise the complainant what steps the employer has taken or proposes to take to prevent a repetition of this behaviour.

** As outlined in the guidelines set by Worksafe NZ defining a 'fair' investigation process, it is best practice to meet with the complainant first, to gain background and further insights into the complaint, prior to meeting and raising these with the respondent.

Appendix 2

Otago Regional Council Investigation Principles

Natural Justice

Before taking any action against the subject of the complaint, ORC will:

- raise the allegations/concerns with the subject of the complaint
- carry out an impartial and independent investigation into the allegations/concerns
- give the subject of the complaint a reasonable opportunity to respond to the allegations/concerns
- genuinely consider the subject of the complaint's explanation.

Further

- We will ensure that the decision-maker is as impartial as possible
- We will treat workers equally, avoiding 'disparity of treatment'
- We will allow support people and/or representatives to be present
- We will maintain privacy (confidentiality)
- We will act on matters in a timely fashion
- We will be actively communicative throughout the investigative process.

Appendix 3
How We Work Together Framework

CARING – TRUSTWORTHY – OPEN & HONEST – COLLABORATIVE – ACCOUNTABLE – CREATIVE

HOW WE WORK TOGETHER

FOR OUR FUTURE



How we behave at ORC is at the core of how well we serve our communities; living our organisational values in our daily interactions with our stakeholders and one another.

Caring	Trustworthy
<p>As a guardian of Otago's environment and people, we take great care in all we do. Without a sense of caring there can be no sense of community.</p> <ul style="list-style-type: none"> • Taking due care • Using resources appropriately • Kaitiakitanga • Being responsive to our customers' needs • Valuing the opinions and diversity of others • Taking time to connect with people 	<p>We do the right thing even when it's not the easy thing. We do what we say we'll do, and treasure the trust of our community. We are ethical and principled in everything we do.</p> <ul style="list-style-type: none"> • Following through on commitments • Acting ethically and with mana • Seeking help when it's needed • Speaking up • Doing the right thing, even if it's not easy • Enabling great outcomes for all
Open & Honest	Collaborative
<p>We encourage openness and honesty between ourselves and our community & stakeholders, especially when the conversations are challenging.</p> <ul style="list-style-type: none"> • Respecting others • Being approachable • Speaking with integrity • Seeking feedback • Listening openly • "No surprises" approach 	<p>We all love Otago so we build relationships to achieve great things.</p> <ul style="list-style-type: none"> • Sharing a common vision • Sharing knowledge, resources and learnings • Creating partnerships with common goals • Working together as 'one team' • Actively building constructive relationships and networks • Supporting each-other to achieve
Accountable	Creative
<p>Know it. Own it. Do it</p> <ul style="list-style-type: none"> • Having honest, constructive conversations • Having clear roles and responsibilities • Taking the initiative • Reflecting on oneself and the role we play • Owning our work • Maintaining objectivity 	<p>We are bold and curious in our thinking, always seeking better ways of doing things. We have the courage to leave it better than we found it.</p> <ul style="list-style-type: none"> • Challenging the 'status quo' • Committing to continuous improvement • Creative problem solving • Understanding the 'why' • Accepting mistakes and learning from them • Encouraging the curiosity of others

ORC Working Better Together Policy

CARING | TRUSTWORTHY | OPEN & HONEST | COLLABORATIVE | ACCOUNTABLE | CREATIVE

HOW WE WORK TOGETHER

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<p>Caring</p> <p>As a guardian of Otago’s environment and people, we take great care in all we do. Without a sense of caring there can be no sense of community.</p> <ul style="list-style-type: none"> • Taking due care • Using resources appropriately • Kaitiakitanga • Being responsive to our customers’ needs • Valuing the opinions and diversity of others • Taking time to connect with people 	<p>Trustworthy</p> <p>We do the right thing even when it’s not the easy thing. We do what we say we’ll do, and treasure the trust of our community. We are ethical and principled in everything we do.</p> <ul style="list-style-type: none"> • Following through on commitments • Acting ethically and with mana • Seeking help when it’s needed • Speaking up • Doing the right thing, even if it’s not easy • Enabling great outcomes for all
<p>Open & Honest</p> <p>We encourage openness and honesty between ourselves and our community & stakeholders, especially when the conversations are challenging.</p> <ul style="list-style-type: none"> • Respecting others • Being approachable • Speaking with integrity • Seeking feedback • Listening openly • “No surprises” approach 	<p>Collaborative</p> <p>We all love Otago so we build relationships to achieve great things.</p> <ul style="list-style-type: none"> • Sharing a common vision • Sharing knowledge, resources and learnings • Creating partnerships with common goals • Working together as ‘one team’ • Actively building constructive relationships and networks • Supporting each-other to achieve
<p>Accountable</p> <p>Know it. Own it. Do it</p> <ul style="list-style-type: none"> • Having honest, constructive conversations • Having clear roles and responsibilities • Taking the initiative • Reflecting on oneself and the role we play • Owning our work • Maintaining objectivity 	<p>Creative</p> <p>We are bold and curious in our thinking, always seeking better ways of doing things. We have the courage to leave it better than we found it.</p> <ul style="list-style-type: none"> • Challenging the ‘status quo’ • Committing to continuous improvement • Creative problem solving • Understanding the ‘why’ • Accepting mistakes and learning from them • Encouraging the curiosity of others



Otago Regional Council Performance Management and Disciplinary Policy

October 2021

	Document Name: ORC Performance Management and Disciplinary Policy
	Document Owner: Manager People and Safety
	Authorised By: Chief Executive
	Implementation Date: October 2021
	Review Period: Biennially
	Last Reviewed: N/A
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1. POLICY STATEMENT

Otago Regional Council (ORC) recognises that our employees are integral to achieving our strategic directions, through the embodiment of our vision, pillars and values.

ORC is committed to enabling employees to perform to the best of their abilities, providing support and guidance to maintain satisfactory conduct and performance and, where necessary, focusing on improvement where things fall short.

The organisation aims to have a values-led culture, and to achieve this there must be a clear and consistent approach for dealing with any performance and/or conduct concerns.

This approach is in line with contemporary Human Resources best practice and upholds the rights of 'natural justice' and the 'Good Faith' provisions as set out in the Employment Relations Act (2000).

2. PURPOSE

The main purpose of the Performance Management and Disciplinary Policy is to ensure that there is a clear set of principles in place which govern the steps we take to address poor-performance, and to manage misconduct issues, should they arise.

The general principles and associated procedures aim to ensure consistency of approach across the organisation, however they will not cover all eventualities or replace advice from the People and Culture team, which should always be sought in the first instance.

3. SCOPE

This policy applies to all fixed term and permanent Council employees. Individual employee terms and conditions are detailed or implied in employment agreements. Any other terms and conditions are at the sole discretion of the Chief Executive.

4. DEFINITIONS

Employee	For the operation of this policy, 'employee' carries the same meaning as that stated in s6(1)(a) of the Employment Relations Act 2000.
Good Faith	<p>Good faith underpins the nature of the employment relationship, and it includes the following three key elements:</p> <ul style="list-style-type: none"> • Parties must not act in a misleading or deceptive way; • Parties must be responsive and communicative; • Before making a decision which may materially impact the employee's employment status, the employer must give the affected employee sufficient information to be able to understand the proposal and then give them a proper opportunity to comment.

Natural Justice	<p>The principles of natural justice require the following:</p> <ul style="list-style-type: none"> • Identification of unacceptable conduct/performance and advice of such to the staff member; • An opportunity for the staff member to explain the alleged conduct/performance; • An opportunity within a specified timeframe for the staff member to correct the conduct/performance, with the assistance and support of the employer; • That the employer act fairly toward the staff member.
Procedural Fairness	<p>To ensure procedural fairness where an allegation may lead to a formal disciplinary process, ORC will ensure;</p> <ul style="list-style-type: none"> • That the allegation is fully considered before a process commences; • The employee is informed of his/her right to be represented or bring a support person at any stage of the process; • The employee is notified of the possible consequences should the allegation be substantiated; • An employee receives notice of the specific allegation, the seriousness of the allegation, and of the possible consequences should the allegation be substantiated; • The employee has a right to (and will be provided with as a matter of course) all information uncovered as a result of the investigation; • The employee has the opportunity to provide an explanation in relation to the allegation; • The employee’s explanation is given full consideration.
Maintaining and enabling good performance	<p>Not to be confused with ‘performance management’ (i.e. the act of managing sub-standard performance), maintaining and enabling good performance is done through tools such as the Performance Planning process.</p>
Performance Management	<p>Performance management is undertaken when an employee fails to meet and maintain the expected standards of performance in their role. ‘Performance management’ can take both an informal and formal pathway. Refer to the Performance Management Procedure for further guidance.</p>
Disciplinary Action	<p>Consists of several steps with the primary objective of managing inappropriate behaviour, or sub-standard performance. The Disciplinary Procedure and the Performance Management Procedure offer step by step guidance to each respective process.</p>
Misconduct	<p>Behaviour or actions that, if proven, would be considered a breach of the Otago Regional Council Code of Conduct and may lead to the disciplinary process being initiated. Examples of misconduct can be found as Appendix A to this document. Please note however, this list is not exhaustive.</p>
Serious Misconduct	<p>Behaviour or actions that, if proven, can have the effect of destroying or undermining the relationship of trust and confidence between an employee and their employer. Actions of this nature would be considered a serious breach of the Otago Regional Council Code of Conduct. Examples of serious misconduct can be found as Appendix A to this document. Please note however, this list is not exhaustive.</p>

Verbal Warning	A verbal warning is given verbally, though should be confirmed in writing. The verbal warning will identify the conduct/performance which is unsatisfactory, the improvements required (where appropriate) and the possible consequences of future non-compliance.
Written Warning	A written warning will be identified as either a 'first written warning' or a 'second written warning'. This warning will be in writing and will also outline the conduct/performance which is unsatisfactory, the improvements required (where appropriate) and the possible consequences of future non-compliance.
Final Written Warning	Where conduct/sub-standard performance is sufficiently serious a final warning may be given. This will be in writing and will be identified as a 'final warning'. As with the verbal and other written warnings, it will outline the conduct/performance which is unsatisfactory, the improvements required (where appropriate) and the possible consequences of future non-compliance (i.e. dismissal).

5. PRINCIPLES

5.1. A Fair and Reasonable Employer

When Otago Regional Council is working with an employee to address performance issues or investigate alleged misconduct, it is important that both the process and decisions made are in keeping with those of a 'fair and reasonable' employer. This means that the employer needs to carry out a fair and reasonable process (in keeping with the principles of natural justice), under the Employment Relations Act 2000. 'Good Faith' applies to managing both poor performance and misconduct.

In a disciplinary context, the Principles of Natural Justice are:

- When an allegation of misconduct arises, the employee should be informed of the detail of the allegation and provided with all information that the employer will rely on to make a decision as it becomes available.
- An investigation should be carried out in sufficient detail so as to determine whether the allegations are substantiated or not, and whether or not misconduct may have occurred. The initial investigation may take the form of an informal discussion with the employee involved, or it may involve a full, formal, investigation process. In either scenario, the employee must also be told that what they say could be relevant in any disciplinary process.
- The employee has the right to all information uncovered as part of the misconduct investigation.
- The employee is made aware of the potential outcomes of the process in writing prior to them being asked to respond to any issues.
- The employee should be given prior written warning of any formal meeting which will take place with no less than 24 hours' notice, at which time they will have a genuine opportunity to either rebut the allegation or provide an explanation to justify their actions.
- The employee should always be advised of their right to be accompanied by a support person or representative where performance issues and/or alleged misconduct are being discussed.

- The employee is entitled to have their explanation or response considered by someone who is unbiased; who has not predetermined the conclusion; and who is not influenced by irrelevant consideration.
- In all cases the process followed, along with a record of meetings and related conversations, should be documented.

5.2. Making Decisions

When making decisions in respect of potential disciplinary action, managers should weigh up the employee's responses 'on the balance of probabilities,' and conduct their thoughts in keeping with what a 'fair and reasonable employer' would do. Any decisions taken must be in-keeping with the current ORC Delegations of Authority. Prior to taking disciplinary action, consider whether or not other factors (such as the below) may have any mitigating impacts:

- The employee's level of experience (younger or less experienced employees are less likely to be aware of implied conditions of employment)
- Length of service (new employees are less likely to be aware of house rules or performance standards)
- Whether the employee has been adequately trained
- Employee's disciplinary record – whether the employee has been disciplined in the past, time span, and whether for the same problem
- Employee's work record with the Council
- Communication of the standard – the employee must be aware both that the conduct/performance standard exists, and of the consequences of breaching it
- Role responsibility – in some positions of responsibility, an action may result in more serious consequences and may therefore be treated differently
- Any extenuating circumstances
- The employer's policy and previous history – if the employer has a policy of taking certain actions, or a history of certain actions, then these precedents should be adhered to
- Employee's responses – did the employee undertake to improve in future or remedy the action?
- Whether the required standard was reasonable and lawful
- Whether the employee's actions were the result of unawareness or deliberate disobedience
- Relevant clauses in the employee's employment agreement
- Level of the allegations made
- Level of risk to the organisation.

5.3. The Importance of Documentation

It is imperative that all complaints, evidence, investigation notes, meeting, notes, reprimands, warnings and dismissals are properly recorded. The Disciplinary Interview Record/Performance Management Meeting Record (appended to the Disciplinary and Performance Management Procedures) should be substantively and comprehensively completed and a copy must be placed on the employee's personnel file. In addition, all disciplinary or other action taken should be confirmed by a letter to the employee.

Should a case be taken against ORC as the employer, this documentation is imperative to a case which goes to mediation, or the Employment Relations Authority (ERA).

6. RELATED DOCUMENTS

6.1. Related Policies and Procedures

- [ORC Working Better Together Document](#)
- [How We Work Together Guidelines](#)
- [ORC Conflict of Interest and Gift Policy](#)
- [ORC Code of Conduct](#)
- ORC Delegations of Authority
- Disciplinary Procedure
- Performance Management Procedure

6.2. Relevant Statutes

- [Employment Relations Act 2000](#) (includes amendments)
- [Wages Protection Act 1983](#)
- [Holidays Act 2003](#)
- [Parental Leave and Employment Protection Act 1987](#)
- [Human Rights Act 1993](#)
- [Accident Compensation Act 2001](#)
- [Health & Safety at Work Act 2015](#)
- [Smoke-free Environments Act 1990](#)

Appendix A: Examples of Misconduct and Serious Misconduct

Misconduct

Misconduct is defined as behaviour or actions that, if proven, would be considered a breach of the Otago Regional Council Code of Conduct and could lead to disciplinary action being initiated. The misconduct may be deemed not to be ‘serious misconduct’ as, on its own, the action does not undermine or destroy the trust and confidence between the employee and their employer.

Misconduct includes, **but is not confined to**, the examples below:

1	Consistent failure to maintain an acceptable level of work performance or standard.
2	Reporting for work in such condition that in the Council’s opinion you are unable to perform your duties properly and safely.
3	Misuse or unauthorised use of Council tools, name, vehicles, plant, services, equipment and Council documentation, or defacing Council property.
4	Waste of Council time and/or materials.
5	Unless on a period of planned or notified absence, or because of some personal emergency (which must be advised to the appropriate line manager), failing to complete the normal days’ work.
6	Failure to report to a manager on the day of an incident and before leaving the site any accident or incident resulting in personal injury, damage or loss to Council, or that may have resulted in harm to any person.
7	Smoking or vaping in restricted and/or ‘Smokefree’ areas, including plant and vehicles.
8	Unjustifiable lateness and/or absenteeism.
9	Motor vehicle offences.
10	Inappropriate or unwelcome behaviour towards other employees, contractors and visitors.
11	Damage to ORC plant or property.
12	Any other breach of the ORC Code of Conduct or other Policies, Procedures and guiding documents.

Serious Misconduct

Serious misconduct undermines the trust and confidence in the employment relationship between the staff member concerned and the Council, and/or threatens the wellbeing of the Council, its staff or our stakeholders.

Serious misconduct includes, **but is not confined to**, the examples below:

1	Falsifying your own or another employee's time sheet or any other ORC records or documentation, including using a document for pecuniary advantage.
2	Being in possession of alcohol or drugs (including mind altering substances such as legal highs) (except drugs prescribed by a medical practitioner for the named employee); or affected by alcohol or drugs; or selling or receiving drugs, while on Council premises, in an ORC vehicle or on any other ORC work site, or in your personal life if it could harm ORC’s reputation.
3	Removal or possession of Council or any other person’s property without written authorisation, or taking property from ORC premises or an ORC vehicle without first obtaining the proper authorisation.
4	Distribution of offensive material(s).
5	Significant motor vehicle offences including overloading of a vehicle, unsafe loading of a vehicle, dangerous or careless driving.

6	Assaulting or threatening to assault, harassing, and intimidation or bullying another person in the workplace.
7	Failure to comply with any health and safety policies, instructions or guidelines for the workplace (including misuse or non-use of safety equipment or PPE), or otherwise working in an unsafe manner.
8	Sleeping during working hours.
9	Refusal to carry out the lawful and reasonable instructions of a General Manager, Manager or Team Leader, or walking off the job.
10	Using abusive or offensive language directed at another person (whether in person or in writing). Council reserves the right to monitor email and other electronic communications transmitted from Council-owned devices.
11	The unauthorised disclosure of any confidential Council information or of personal information, including information relating to an individual who is an employee, contractor, client, service user of the Council.
12	Inappropriate use of email, internet, mobile phones, software and/or hardware applications.
13	Acting in a way that is in conflict with the reputational, commercial or legal interests of the Council.
14	Any significant breach of the ORC Code of Conduct or other compliance documents.
15	Admitting to or being convicted of an offence which brings into question the employee's suitability for employment.
16	Failure to disclose information on appointment which was misleading and the breaches trust of the employer.
17	Behaviour or conduct that brings Council into disrepute.
18	Bullying and/or harassment (sexual, racial, physical or psychological).
19	Wilful breach of any term of the employment agreement.
20	Any other conduct which is destructive to the relationship between ORC and the employee.

ORC Code of Conduct June 2019



Code of Conduct

Document Name: ORC Code of Conduct
Document Owner: Chief Executive
Authorised By: Chief Executive

Implementation Date: October 2019
Review Period: Biennially
Last Reviewed: June 2021
Next Review: June 2023

Introduction

The Code of Conduct helps us to understand, whatever role we play, our obligations to achieve the mission and strategic objectives of the Otago Regional Council (ORC).

We all have functions and responsibilities. Our functions require us to do the best job that we can, in alignment with our organisational values. Our obligation includes observing certain standards of behaviour in all that we do.

Scope

This policy applies to all employees, contractors/consultants, casual staff, agency temporary staff, secondees, interns and volunteers, at the Otago Regional Council. The Code of Conduct sets down examples of behavioural expectations, and is designed to align with the ORC Working Better Together Policy. The Code should be read alongside of your Employment Agreement and its associated documents.

This policy does not apply to ORC elected representatives (Chairperson, Councillors, and other representatives elected to Council Committees from time to time) who are governed by a separate Code of Conduct.

Definitions

Chief Executive

The Chief Executive of the Otago Regional Council.

Employee

Any person employed by the Chief Executive of the Council to do any work for hire or reward under a contract for service.

Our Vision, Values and Pillars

VISION	<p>For our future Working together for a sustainable Otago</p>
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PILLARS	Protect	Enable	Enhance	Connect
	<p>We protect Otago’s environment and people through information, planning, regulation, infrastructure and emergency preparedness and response.</p>	<p>We share information, tools and knowledge to the community so they can do things better for the environment.</p>	<p>We work with people to enhance our Otago environment and its liveability by restoring and building on what is important for our environment.</p>	<p>We work to create connection and sense of pride in our region. We do that by linking diverse ideals, views, groups and sectors for sustainable outcomes.</p>

VALUES	Caring	Trustworthy	Open & Honest
	<p>As a gaurdian of Otago’s environment and people, we take great care in all we do. Without a sense of caring there can be no sense of community.</p>	<p>We do the right thing even when it’s not the easy thing. We do what we say we’ll do, and treasure the trust of our community. We are ethical and principled in everything we do.</p>	<p>We encourage openness and honesty between ourselves and our community & stakeholders, especially when the conversations are challenging.</p>
	Collaborative	Accountable	Creative
	<p>We all love Otago so we build relationships to achieve great things.</p> <p>Know it. Own it. Do it.</p>	<p>We are bold and curious in</p>	<p>our thinking, always seeking better ways of doing things. We have the courage to leave it better than we found it.</p>

Code of Conduct

This Code of Conduct is a guiding document for each of us on the standards of behaviour and actions that will help us to achieve our Shared Vision:

For Our Future – Working together for a sustainable Otago

In everything we do to:

- Protect** – the environment and people
- Enable** – by sharing information, tools and knowledge
- Enhance** – our environment
- Connect** – by linking ideas and groups

To achieve this we need to relate, behave and communicate in certain ways.

In this respect, our shared values guide us:

- Caring** – we take great care in all we do
- Trustworthy** – we do the right thing
- Open and Honest** – we encourage openness and honesty
- Collaborative** – we build relationships
- Accountable** – know it, own it, do it
- Creative** – seeking better ways of doing things

Responsibilities

No matter what role we hold, each of us have the same responsibilities in meeting our shared values.

These responsibilities are set out below under six key principles, each of which is aligned to one of our shared values. As a good employer, ORC is responsible for supporting employees to achieve those standards of behaviour and to address issues where they may fall short.

Work Performance

All employees are expected to carry out duties safely and in a careful, efficient and competent manner.

This means that you are expected to:

- a. Perform your duties to the best of your ability with care, competence and efficiency; avoiding behaviour which undermines work performance, or the credibility of ORC.
- b. Carry out any lawful and reasonable instructions you are given and work as directed. Follow the relevant policies and procedures in place, including (but not limited to) those concerning health and safety.
- c. Avoid behaviour which endangers or causes unnecessary distress to others or damages relationships to a degree that impacts on safety and welfare.
- d. Avoid reporting to work or carrying out your duties under the influence of drugs, alcohol or other substances which may cause impairment. Prescribed medications which may cause impairment should be disclosed to your line manager, and the Manager People and Culture. A decision will be made as to whether you may continue with your regular duties or whether, to protect the health and safety of yourself or others, you will be transferred to alternative duties for the duration of your treatment period.
- e. Be present in the workplace as required and leave when you have approval. Ensure that if you do arrive late at work or leave early that you have sought advice from your line manager in the first instance.
- f. Ensure you show proper and reasonable care when managing your time or using the organisation's property, resources and funds.
- g. Wear ORC (and affiliate) branded clothing as far as practicable, for work purposes only. Branded clothing is provided to enhance the image of the Council and staff wearing such clothing must exhibit behaviour consistent with the Code of Conduct.
- h. Maintain a level of personal appearance, hygiene and habits that are befitting of the professional image of the ORC.
- i. Ensure that if you are making decisions involving financial resources on behalf of ORC, or incurring liability on behalf of the Council, that it is within the scope of your delegated financial authority.
- j. The Code of Conduct is to be read in conjunction with your employment agreement. ORC undertakes to abide by the terms of your employment and expects that you do the same.

Gifts and Rewards

The nature of our work brings many staff into close contact with the community. It is important that you are seen to be trustworthy in all that you do and maintain professional boundaries as a representative of ORC. For your own protection, and for the protection of others, you must avoid situations where you could be seen to be taking advantage of other organisations or members of the public or using your position, or information available to you in your position, for personal gain.

For these reasons, you must ensure that you:

- a. Avoid situations where you unwittingly or intentionally solicit or accept gifts (outside of the ORC policy) or financial incentives from people or organisations you meet as a result of your employment.
- b. Avoid situations where it could be perceived that you or your family member/ friend could take advantage of organisations or for any type of personal gain.
- c. Avoid situations, perceived or real, where you could influence decisions or use information on ORC, for personal gain or profit.

TRUSTWORTHY
Gifts and Rewards

Integrity

Openness and honesty are the foundations for building trust and confidence in the employment relationship. It is important that you:

- a. Carry out your duties with professionalism, openness, honesty, and integrity, and to the best of your ability.
- b. Avoid situations where what you say or do, either inside or outside of your work, could call into question your honesty or integrity. Particularly those situations that could be damaging to your professional reputation and/or that of Otago Regional Council.
- c. Behave in a way that is compatible with the organisational values and avoid actions and behaviour that could:
 - interfere with your ability to do your job; and/or
 - bring the organisation into disrepute.
- d. Keep your line manager informed if there is anything that could impact on your credibility or ability to perform your role. For example: Health, legal or any other risk issues that may impact on your ability to undertake your role.
- e. Ensure that your timesheets or any other document or information you provide are both timely and accurate.
- f. Ensure that you consistently comply with all aspects of the law.
- g. Ensure you have the correct authorisation before using or taking Otago Regional Council property from authorised sites.

If your work requires you to use a computer or have access to a computer, you must:

- h. Ensure you do not give anyone your password.
- i. Ensure that you do not introduce your own software or flash drives without permission.
- j. Ensure that you do not access pornographic or other unacceptable material.
- k. Avoid any behavior, including any written communications that could be interpreted as misuse of the email, intranet, internet, social media or other business systems.

Integrity
OPEN AND HONEST

Confidentiality and Respect

When working together collaboratively, all staff members should expect to have a safe and respectful workplace culture that is aligned to the organisation's values.

In general, you are expected to:

- a. Treat your colleagues, contractors, and anyone you meet during your duty, with courtesy and respect. Avoid behaviour and actions which might cause distress to others or disruption in the workplace.
- b. Avoid any behaviour that could be perceived to be threatening, potentially violent, aggressive, intimidating or bullying.
- c. Follow the process and mechanisms for reporting and dealing with allegations of bullying behaviour as set down in the Working Together Better policy.
- d. Respect the personal privacy and confidentiality of others. You must maintain confidentiality in relation to Council business and ensure that information is not shared without the appropriate authority to do so.
- e. Ensure that workplace relationships do not have a negative effect on work performance.
- f. Respect the dignity, rights and views of others and avoid judgement of others based on their gender, age, disability, marital status, ethnicity, religious or ethical beliefs, sexual orientation or any other personal/ physical trait or preference.
- g. Do not, at any time, bring into the workplace any material that could be deemed offensive or objectionable by a colleague, or other reasonable person.

Conflicts of Interest

We need to be accountable in everything we say and do, including a conflict of interest, perceived or actual. A conflict of interest can occur when an employee's or contractor's independent interests may affect their actions in a way that is not in the best interest of Otago Regional Council.

To protect yourself and ORC from allegations of this nature, you need to:

- Avoid conflicts of interest in general. Therefore, if you are likely to become involved in a situation which could result in a conflict of interest such as being in competition with your employer, you must discuss the matter with your General Manager before making any final commitment.
- Discuss and agree any type of secondary employment or other interest that may impact on your ability to carry out your role with ORC both properly and safely.
- Avoid sharing your knowledge of ORC that could advantage another organisation and cause the detriment to the Council.
- Ensure that you do not make comments or statements to the media as a representative of ORC unless you have the delegated authority to do so.
- Ensure that you maintain appropriate boundaries in all your working relationships. You should avoid intimate relationships with employees under your supervision or avoid situations where you are directly managing your relatives. The risks need to be identified and actions taken in agreement with your line manager.
- Refer to the Conflict of Interest and Gift Policy for further guidance.

ACCOUNTABLE
Conflicts of Interest

Health and Safety

We are all committed to working together, ensuring that we are all able to go home safely, at the end of each day.

It is important that you:

- a. Always consider the safety of yourself and others in the workplace.
- b. Identify the correct safety standards and comply with these.
- c. Proactively identify and report any risk/hazard (including the activities of others) that might risk the safety or health of others in the workplace in a timely manner.
- d. Attend Health and Safety training sessions as required.
- e. Have the courage to speak up if you think that someone is not operating safely or is going to make decisions that could put others at risk.

ACCOUNTABLE
Health and Safety

Quality and Improvement

To ensure ORC provides high quality, continuously-improving services, we all need to be creative. We need to continually look at ways of improving what we do to increase customer benefits and reduce risk to ORC.

It is important that you:

- a. Use your initiative to resolve problems quickly.
- b. Ensure the quality and timeliness of service to customers and staff.
- c. Contribute your ideas for how things could be done better, to a higher standard, and/or carry less risk.
- d. Commit to resolving problems and issues at the lowest appropriate level.
- e. Use Council resources with the appropriate delegated authority, care and efficiency.

CREATIVE
Quality and Improvement

Please note: Potential breaches of the Code of Conduct may need to be investigated and/or discussed, and should the allegations have substance, they may result in disciplinary action being taken.

Information on ORC disciplinary procedures are available in the ORC Disciplinary Policy.

Other related policies or documents

Related Policies and Procedures

- ORC Working Better Together Document
- How We Work Together Guidelines
- Conflict of Interest and Gift Policy
- ORC Disciplinary Policy

Relevant Statutes

- Employment Relations Act 2000 (plus amendments)
- Wages Protection Act 1983
- Holidays Act 2003
- Parental Leave and Employment Protection Act 1987
- Human Rights Act 1993
- Accident Compensation Act 2001
- Health & Safety at Work Act 2015
- Smoke-free Environments Act 1990

Acceptance

I acknowledge that I have received, read and understood Council's Code of Conduct.

Signed:

Name

Date

Position

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

General subject of each matter to be considered	Reason for passing this resolution in relation to each matter	Ground(s) under section 48(1) for the passing of this resolution
<p><i>Minutes of the 12 May 2022 Audit and Risk Subcommittee meeting</i></p>	<p>Section 7(2)(b)(ii) - 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.</p> <p>Section 7(2)(c)(i) –To protect information which is subject to an obligation of confidence or which any person has been or could be compelled to provide under the authority of any enactment, where the making available of the information would be likely to prejudice the supply of similar information, or information from the same source, and it is in the public interest that such information should continue to be supplied.</p> <p>Section 7(2)(c)(ii) - 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.</p> <p>Section 7(2)(e) - To avoid prejudice to measures that prevent or mitigate material loss to members of the public.</p> <p>Section 7(2)(g) - To maintain legal professional privilege.</p> <p>Section 7(2)(h) - To enable any local authority holding the information to carry out, without prejudice or disadvantage, commercial activities.</p> <p>Section 7(2)(i) - To enable any local authority holding the information to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial</p>	

	<p>negotiations).</p> <p>Section 7(2)(j) - To prevent the disclosure or use of official information for improper gain or improper advantage.</p>	
<p><i>3.1 Managed Fund – June 2022</i></p>	<p>Section 7(2)(b)(ii) - 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.</p> <p>Section 7(2)(c)(i) –To protect information which is subject to an obligation of confidence or which any person has been or could be compelled to provide under the authority of any enactment, where the making available of the information would be likely to prejudice the supply of similar information, or information from the same source, and it is in the public interest that such information should continue to be supplied.</p> <p>Section 7(2)(h) - To enable any local authority holding the information to carry out, without prejudice or disadvantage, commercial activities.</p>	<p>Section 48(1)(a): Subject to subsection (3), a local authority may by resolution exclude the public from the whole or any part of the proceedings of any meeting only on 1 or more of the following grounds:</p> <p>(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.</p>
<p><i>3.2 Risk Register</i></p>	<p>Section 7(2)(e) - To avoid prejudice to measures that prevent or mitigate material loss to members of the public.</p> <p>Section 7(2)(j) - To prevent the disclosure or use of official information for improper gain or improper advantage.</p>	<p>Section 48(1)(a): Subject to subsection (3), a local authority may by resolution exclude the public from the whole or any part of the proceedings of any meeting only on 1 or more of the following grounds:</p> <p>(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.</p>
<p><i>3.3 Vehicle Monitoring and Tracking</i></p>	<p>Section 7(2)(c)(ii) - 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</p>	<p>Section 48(1)(a): Subject to subsection (3), a local authority may by resolution exclude the public from the whole or any part of the proceedings of any meeting</p>

	<p>of the information—would be likely otherwise to damage the public interest.</p>	<p>only on 1 or more of the following grounds: (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.</p>
<p><i>3.4 Wilding Conifer Contract Management Update</i></p>	<p>Section 7(2)(e) - To avoid prejudice to measures that prevent or mitigate material loss to members of the public. Section 7(2)(g) - To maintain legal professional privilege. Section 7(2)(h) - To enable any local authority holding the information to carry out, without prejudice or disadvantage, commercial activities.</p>	<p>Section 48(1)(a): Subject to subsection (3), a local authority may by resolution exclude the public from the whole or any part of the proceedings of any meeting only on 1 or more of the following grounds: (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.</p>

This resolution is made in reliance on [section 48\(1\)\(a\)](#) of the Local Government Official Information and Meetings Act 1987 and the particular interest or interests protected by [section 6](#) or [section 7](#) of that Act or [section 6](#) or [section 7](#) or [section 9](#) of the Official Information Act 1982, as the case may require, which would be prejudiced by the holding of the whole or the relevant part of the proceedings of the meeting in public.