

## Audit & Risk Subcommittee 23 September 2020

Meeting is held in the Council Chamber, Level 2, Philip Laing House  
144 Rattray Street, Dunedin



### Members:

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

Senior Officer: Sarah Gardner, Chief Executive

Meeting Support: Liz Spector, Committee Secretary

23 September 2020 01:00 PM

<b>Agenda Topic</b>	<b>Page</b>
1. APOLOGIES No apologies have been received.	
2. 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.	
3. 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.	
4. PUBLIC FORUM No requests to address the Audit and Risk Subcommittee have been received.	
5. CONFIRMATION OF MINUTES The Subcommittee will consider minutes of the previous meeting as a true and accurate record, with or without changes.	3
5.1 <a href="#">Minutes of the 3 June 2020 Audit and Risk Subcommittee Meeting</a>	3
6. ACTIONS (Status of Subcommittee Resolutions) There are no outstanding actions of the Audit & Risk Subcommittee.	
7. MATTERS FOR DECISION There are no Matters for Decision.	
8. MATTERS FOR NOTING	8

8.1	<b>SAFETY AND WELLBEING REPORT</b>	8
	This report summarises progress towards the Safety and Wellbeing Team's key strategic priorities and safety performance indicators for the period April 2020 – June 2020 (Quarter 4, FY 19/20). The report also summarises key areas of focus for the Safety and Wellbeing team for the 2020/21 financial year.	
8.1.1	<b>Attachment 1: Health &amp; Safety Wellbeing Hazard and Risk Register</b>	13
8.1.2	<b>Attachment 2: Safety and Wellbeing Dashboard , Q4 FY2020</b>	24
8.1.3	<b>Attachment 3: Safety and Wellbeing Dashboard, FY2020</b>	25
9.	<b>RESOLUTION TO EXCLUDE THE PUBLIC</b>	26
	That the public be excluded from the following items:	
	- 3.1 Annual Report and Audit Management Letter (LGOIMA 48(1)(1): Sec 7(2)(c)(i)	
	- 4.1 Managed Fund Report June 2020 (LGOIMA 48(1)(a): Sec 7(2)(b)(ii), 7(2)(c)(i), and 7(2)(h))	
	- 4.2 Risk Report (LGOIMA 48(1)(a): Sec 7(2)(c)(i) and 7(2)(c)(ii))	
9.1	<b>Public Excluded Reason and Grounds</b>	26
10.	<b>CLOSURE</b>	



Minutes of a meeting of the Audit and Risk Subcommittee held in  
the Council Chamber at Level 2 Philip Laing House, 144 Rattray  
Street, Dunedin on  
Wednesday 3 June 2020, commencing at 10:00 am

**Membership**

Cr Hilary Calvert	<i>(Chairperson)</i>
Cr Andrew Noone	
Mr Andrew Douglas	<i>(Independent Member)</i>
Cr Kevin Malcolm	
Cr Kate Wilson	

**Welcome**

Audit & Risk Subcommittee Chairperson Hilary Calvert welcomed Councillors, members of the public and staff to the meeting at 10 a.m.

*For our future*

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## 1. APOLOGIES

There were no apologies.

## 2. ATTENDANCE

Sarah Gardner (Chief Executive)  
Nick Donnelly (General Manager Corporate Services and CFO)  
Gavin Palmer (General Manager Operations)  
Sally Giddens (General Manager People, Culture and Communications)  
Gwyneth Elsum (General Manager Policy, Strategy and Science)  
Amanda Vercoe (Executive Advisor)  
Liz Spector (Committee Secretary)

## 3. CONFIRMATION OF AGENDA

The agenda was confirmed as circulated.

## 4. CONFLICT OF INTEREST

No conflicts of interest were advised.

## 5. PUBLIC FORUM

No public forum was held.

## 6. CONFIRMATION OF MINUTES

### Resolution

*That the minutes of the (public portion of the) meeting held on 26 February 2020 be received and confirmed as a true and accurate record.*

Moved: Cr Wilson  
Seconded: Cr Kevin Malcolm  
CARRIED

## 7. ACTIONS (STATUS OF COMMITTEE RESOLUTIONS)

There are no outstanding recommendation actions.

## 8. MATTERS FOR COUNCIL DECISION

Nick Donnelly, GM Corporate Services was present to answer questions on the report along with Deloitte representatives Heidi Rautjoki and Scott Hawkins. Several Councillors had questions related to the audit of Port Otago. Ms Rautjoki noted Audit NZ are the auditors for the Port and Deloitte works with them to determine some focuses of that audit. Cr Wilson had questions related to management override of controls. Ms Rautjoki noted this was covered in the Auditor General's auditing standards and much testing is done by Deloitte to ensure compliance.

Cr Calvert asked how ratepayers were informed of the Statement of Service Performance, which reports against the LTP. Ms Rautjoki said that would be up to the Council but the information is included in the Annual Report that is publicly available and on the Council's website.

There were no further questions and Chairperson Calvert asked for a motion.

### **Resolution**

*That the Audit and Risk Subcommittee:*

- 1) **Receives** this report and the attached Deloitte Audit Planning Report.

Moved: Cr Noone  
Seconded: Cr Kevin Malcolm  
CARRIED

### **8.2. GOV1920 Annual Report timetable and matters under consideration**

Nick Donnelly, GM Corporate Services was present to answer questions about the Annual Report timetable. After a general discussion, Chairperson Calvert asked for a motion to receive the report.

### **Resolution**

*That the Audit and Risk Subcommittee:*

- 1) **Receives** this report.

Moved: Cr Wilson  
Seconded: Cr Kevin Malcolm  
CARRIED

## **9. MATTERS FOR NOTING**

### **9.1. P&S1855 Health & Safety Report - June 2020**

Rebecca Webster, Safety and Wellbeing Partner, and Nicole Ross, Manager People and Safety, were present to speak to the quarterly Health and Safety Report. Andrew Douglas asked Ms Webster what some of the learnings had been during the 8-week COVID-19 shutdown. Ms Webster said there had been a huge amount of work done in the health and safety space during the pandemic. She said much work had been done to get staff set up safely working from home as well as ensuring they felt connected to the workplace during the shutdown using electronic meetings. She also noted the weekly newsletter that went to all staff. She said the ORC was getting comfortable with the idea of more staff working flexibly and how this might look in the future.

Cr Wilson asked if the ORC was investigating the use of online monitoring of staff while they were working at home. Ms Webster said that no plans to use this type of monitoring was being considered. Chief Executive Sarah Gardner said the ORC was working particularly hard on the culture of trust in the organisation and she saw no reason to implement technology monitoring software.

Mr Douglas asked about incident reporting during the period. Ms Webster said there were some reported incidents, but as most people were working from home, it had been a relatively low number. Cr Malcolm asked if there was trend reporting for Health and Safety. Ms Webster noted there had been previous inconsistencies in health and safety reporting and she is working to improve this. She said the ORC is looking to update its safety system to obtain more meaningful data in the future.

There were no further questions, and Chairperson Calvert asked for a motion to receive the report.

**Resolution**

*That the Audit and Risk Subcommittee:*

- 1) **Receives** this report.

Moved: Cr Wilson  
 Seconded: Cr Noone  
 CARRIED

**10. RESOLUTION TO EXCLUDE THE PUBLIC**

**Resolution**

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

- 4.1 Managed Fund Report March 2020
- 4.2 Risk Report
- 4.3 Insurance Renewal

Moved: Cr Wilson  
 Seconded: Andrew Douglas  
 CARRIED

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
4.1 <i>Managed Fund Report March 2020</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— Section 7(2)(c)(i); and, To enable any local authority holding the information to carry out, without prejudice or disadvantage, commercial activities – Section 7(2)(h)	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>4.2 <i>Risk Report</i></p>	<p>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— Section 7(2)(c)(i); and, 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 – Section 7(2)(c)(ii); and, To avoid prejudice to measures that prevent or mitigate material loss to members of the public – Section 7(2)(e)</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>
<p>4.3 <i>Insurance Renewal</i></p>	<p>To enable any local authority holding the information to carry out, without prejudice or disadvantage, commercial activities – Section 7(2)(h), and, To enable any local authority holding the information to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations) – Section 7(2)(i)</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>

**11. CLOSURE**

The meeting was declared closed at 12:06 pm.

\_\_\_\_\_  
Chairperson

\_\_\_\_\_  
Dated

### 8.1. P&S1871 Safety and Wellbeing Report

**Prepared for:** Audit and Risk Subcommittee  
**Report No.** P&S1871  
**Activity:** Governance Report  
**Author:** Rebecca Webster, Safety and Wellbeing Partner  
**Endorsed by:** Amanda Vercoe, Executive Advisor  
**Date:** 11 September 2020

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#### PURPOSE

- [1] This report summarises progress towards the Safety and Wellbeing Team’s key strategic priorities and safety performance indicators for the period April 2020 – June 2020 (Quarter 4, FY 19/20). The report also summarises key areas of focus for the Safety and Wellbeing team for the 2020/21 financial year.

#### RECOMMENDATION

*That the Audit and Risk Subcommittee:*

- 1) **Receives** this report.

#### LEGISLATIVE COMPLIANCE AND RISK MANAGEMENT

- [2] Continuous improvement of ORC’s safety system is a key priority for the Safety and Wellbeing Team to ensure legislative compliance and best practice in managing risk. A summary of key activities for Quarter 4 are as follows:

##### Health and Safety Committee (HSC)

- [3] The HSC meets every 6-8 weeks and has been progressing well since its re-instatement in December 2019. The HSC is enabling worker engagement and participation on health and safety matters at ORC and offers members an opportunity to contribute towards ongoing improvements of the health and safety system, for example providing ideas for how safety matters can be effectively communicated across the organisation. Training for Health and Safety Representatives (HSRs) is scheduled for October 2020. The HSC will be evaluated with a member survey as we lead up to our final meeting in December 2020 to evaluate effectiveness and plan for next year.

##### Policy and Procedure Development

- [4] An internal audit of current safety policies and safe work procedures is underway and as a result, new safety policies/procedures are in development with updates to existing policies also being progressed. Guidelines for Health and Safety Representatives (HSRs) have been completed. Topics of policies/procedures in development include contractor health and safety management systems, fatigue management, lone worker safety, first aid, Personal Protective Equipment (PPE), hazardous substance management and manual handling. This work will continue for the remainder of the 2020/21 financial year and beyond. A consultation process for safety policy and procedure reviews has been established to ensure that employees can contribute and provide feedback via the



HSC. There are also plans to implement an internal Policy Review Group to review and finalise policies/procedures across the organisation to ensure a consistent approach.

### **Risk Management**

- [5] A key goal for the Safety and Wellbeing Team is to partner with ORC leaders to ensure a focus on risk identification, elimination and mitigation, ensuring safety management forms part of each leadership role.
- [6] Rebecca Webster (Safety and Wellbeing Partner) and Gina Watts (Safety and Wellbeing Coordinator) have been working with teams particularly those who are field based, to assist in identifying and addressing key hazards and risks. This includes meeting with staff in the field to understand the work being done, and updating risk assessments, providing guidance to staff in developing Safe Operating Procedures (SOPs) and undertaking Site Safety Inspections which is a new initiative. Independent audits are also being undertaken for specific areas of risk including a hazardous substances review in August 2020 and a pump station safety review in September 2020.
- [7] An organisational Hazard and Risk Register has been agreed upon by the HSC members and has been endorsed by ELT. This register is available as an attachment to this report. The register will be continually updated as our safety system develops.
- [8] Ongoing improvement and review of ORC's risk management system is in progress and this will be supported by procurement of a fit for purpose health and safety management system (discussed later in this report).

### **SYSTEMS AND PROCESS IMPROVEMENT**

- [9] A fit for purpose, online safety management system is being sought. This system will provide real time data and comprehensive reporting on safety performance. It will allow workers to access the system on a mobile device, including the ability to report a hazard or incident from the field. The new system will provide several benefits including improved reporting, efficient contractor management and coordination of safety training. The associated change management programme to implement the new system will be a key piece of the project.
- [10] Action plans developed by the indoor/security working group are currently progressing well with most items addressed. Outstanding actions from these groups are now being tracked via the relevant Health and Safety Representatives (HSRs) and the HSC.

### **TRAINING AND DEVELOPMENT**

- [11] An audit of safety training records has continued during Quarter 4 however employee participation in training has been delayed due to COVID-19. 4WD and off-road driving safety is planned for November 2020 and first aid training resumed in September 2020. Training in de-escalation and managing conflict is also taking place in September 2020 to address the risks of physical and psychological harm due to aggression from customers and members of the public, a risk raised through the indoor/security working group.
- [12] A series of workshops focusing on mental health in farming communities commenced in July 2020. Approximately eighty field staff who interact regularly with farmers and the rural community have, or are scheduled to, participate in the "Good Yarns" workshop,

which offers practical advice on identifying mental distress and managing a conversation about mental health concerns, as well as where to go for help, when working with rural communities. Feedback from staff has been positive in response to these sessions, and it is intended that they will be ongoing. If there was appetite, a session for Councillors on matters of this nature could be arranged in future. Thought is also being given to internal (workplace) focussed mental health sessions in future, as part of the Wellbeing Programme.

- [13] Upskilling and development of the Health and Safety Representatives (HSR) group is occurring and will continue, to ensure HSRs are performing their roles effectively. An internal HSR induction program has been implemented, with formal HSR training scheduled for October 2020.
- [14] Focus areas for the future are to implement a training needs analysis for high risk and field-based positions; training for staff on incident and near miss reporting and training for managers on health and safety responsibilities.

#### **STAFF WELLBEING**

- [15] Staff wellbeing is an integral part of the safety and wellbeing work programme at ORC. In partnership with the wider People and Culture team, development of a fit for purpose organisational Wellbeing Framework is currently being finalised with a policy in its final stages and a programme of activities also in development to be launched in time for Mental Health Awareness Week (21-25 September 2020).
- [16] Initiatives to support employee resilience and wellbeing such as self-help strategies are underway with promotion and awareness of mental health supports such as the Employee Assistance Program (EAP). Initiatives to improve physical health are also being promoted such as a July 2020 stair challenge. This work is particularly important considering the ongoing impacts of COVID-19 on staff and their families.
- [17] Wellbeing activities will continue throughout for the remainder of the 2020/21 financial year and beyond, with outcomes evaluated annually to ensure they are meeting the needs of ORC employees.

#### **SAFETY AND WELLBEING PERFORMANCE REPORTING**

- [18] In Quarter 4 there were six incidents, two near misses and three hazards reported. Four incidents were due to slips/trips, one was due to manual handling and one was a potential COVID-19 exposure from a customer at reception in Stafford Street (note the customer was later confirmed not to have COVID-19). One of the near miss events involved a contractor rolling his ankle at reception when collecting an item. The other was non-violent protest action at a Council meeting. Three hazards were reported, two relating to slip/trip hazards and one due to lighting issues in the office.
- [19] Dashboard results showing trends for FY 19/20 are attached. There were 40 events reported in total: 3 hazards, 22 near misses and 15 incidents. Slips, trips and strains were the most common event reported at 14, followed by vehicles (11), environmental factors (9), equipment issues and events related to specific field tasks (2). Of the environmental events, 3 were related to animals and 4 due to aggression/adverse behaviour from members of the public or customers.

- [20] All incidents and near misses that have resulted in an injury or potential for injury have been investigated with corrective actions implemented as needed. For example, a new mail room for storing packages was introduced with a new trolley purchased following the incident and near miss involving packages/items at Stafford Street reception.
- [21] In addition to incident and near miss reporting, the Safety and Wellbeing Team have implemented reporting on proactive lead indicators such as participation in safety training and completion of safety activities such as risk assessments and SOP's. Further reporting on lead indicators will occur as the safety system continues to improve. A new "Safety and Wellbeing Dashboard" has been created to track progress of these performance indicators and key initiatives. Dashboard results for Quarter 4 FY 19/20 and the full FY 19/20 year are attached.

[22] Key Definitions for Incident/Near Miss Reporting:

<b>Equipment</b>	All reported near miss or incidents relating to any equipment used in the workplace.
<b>Vehicles</b>	All reported near miss or incidents relating to vehicles or their use.
<b>Field Activities</b>	All reported near miss or incidents relating to activities undertaken in the field.
<b>Chairs/Desks</b>	All reported near miss or incidents relating to chairs, desks or workstation ergonomics.
<b>Slips, Trips and Strains</b>	All reported near miss or incidents relating to slipping, tripping or strain injuries in the workplace (field or office).
<b>Environmental</b>	All reported near miss or incidents relating to the work environment, for example appropriate temperatures, or the psychological environment.

**COVID-19 INTERNAL RESPONSE**

- [23] In addition to business as usual Health and Safety activity, the Safety and Wellbeing team have worked with Council's Continuity Management Team (CMT) on the internal response to COVID-19. ORC has operated in line with Central Government advice and requirements for management of risks relating to COVID-19, having taken a cautious and humanistic approach through Alert Levels 3, 4 and 2. To date, one incident has been reported in relation to COVID-19 exposure as described above, however this was managed appropriately including notification to the police, CMT and Chief Executive, a deep clean of the reception area with staff removed from the area and the office closed. There have been no breaches of the Government or organisational requirements. 99.1% of staff could complete their roles from home during Alert Level 4, with 100% of staff able to complete their roles (whether from home, or limited field work) in Alert Level 3. For staff located physically in the workplace in Alert Level 2, all must be accompanied by an approved Safety Management Plan to ensure any risks arising from working outside of the home are eliminated where possible and managed where residual risk remains.
- [24] The CMT continues to review the Safety Plan for the organisation in line with advice from Central Government.

**ATTACHMENTS**

1. Otago Regional Council Health Safety Wellbeing Hazard and Risk Register [8.1.1 - 11 pages]

2. Safety and Wellbeing Dashboard FY 19-20 Quarter 4 [**8.1.2** - 1 page]
3. SAFETY AND WELLBEING DASHBOARD FY 19 20 [**8.1.3** - 1 page]

# Otago Regional Council Health Safety & Wellbeing Hazard & Risk Register

## 1. Purpose

Under the Health and Safety at Work Act 2015 and the Health and Safety at Work (General Risk and Workplace Management) Regulations 2016, Otago Regional Council (ORC) have a duty to identify workplace hazards, assess health and safety risks and control risks as far as is reasonably practicable. This risk register has been prepared to outline the workplace hazards & risks present at ORC which may impact the health and safety of employees, contractors and other persons.

## 2. Assessing Risk - Risk Matrix

A risk matrix is used to assess the likelihood of an event occurring and the severity of the outcome and can be used to determine the effectiveness of risk controls.

**Table 1: Risk Matrix**

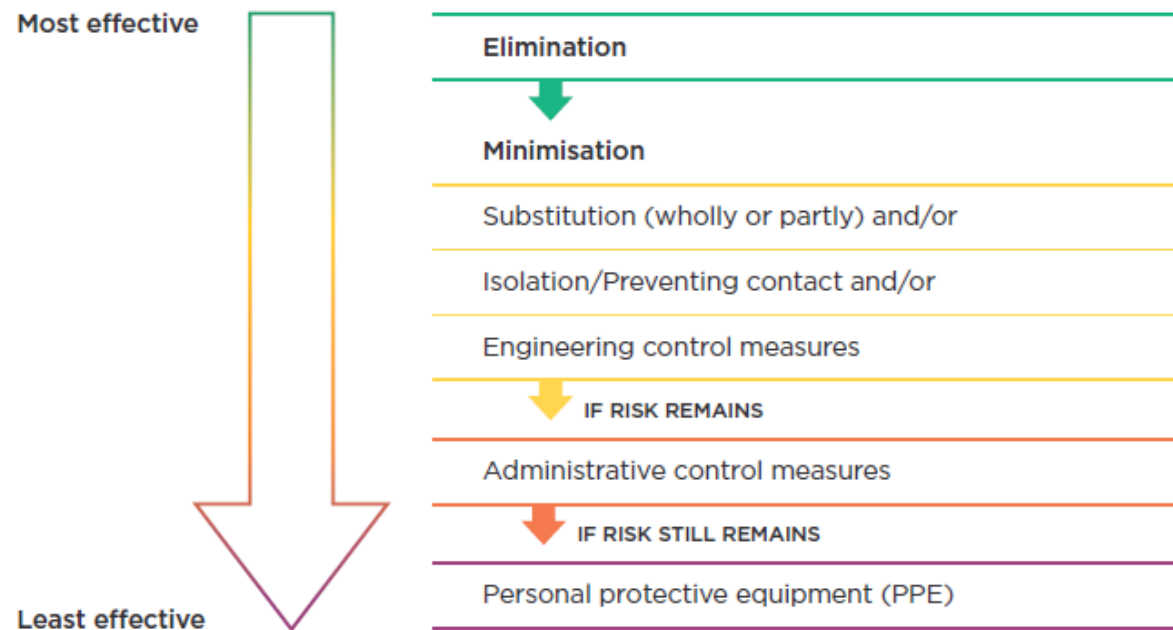
Likelihood	Consequences				
	Insignificant (Minor, no injury)	Minor (first aid treatment required)	Moderate (medical treatment, < 4 days off work)	Major (medical treatment, > 4 days off work)	Critical (death/fatality)
Rare (<3% of the time)	Low	Low	Low	Moderate	Moderate
Unlikely (3-10 % of the time)	Low	Moderate	Moderate	Moderate	High
Moderate (10-50% of the time)	Low	Moderate	Moderate	High	High
Likely (50%-90% of the time)	Moderate	Moderate	High	Extreme	Extreme
Almost Certain (>90%)	Moderate	High	High	Extreme	Extreme

Document Name: ORC Safety and Wellbeing Hazard & Risk Register	Date Finalised: 10/6/2020
Team: Safety and Wellbeing	Review Dates: June 2021

### 3. Selection of Risk Controls - Hierarchy of Controls

Risks must be eliminated, or if it is not possible to eliminate the risk, reduced as far as is reasonably practicable according to the hierarchy of controls.

**Figure 1: Hierarchy of Controls** (Worksafe, 2017)



Document Name: ORC Safety and Wellbeing Hazard & Risk Register	Date Finalised: 10/6/2020
Team: Safety and Wellbeing	Review Dates: June 2021

#### 4. Risk Register

Hazard	Risk Factors	Current Controls	Current Risk Rating	Recommended Actions	Residual Risk Rating (once actions complete)
<b>Psychosocial</b> - Fatigue; - High job demand; - Low role clarity; - Low job control; - Poor workplace relationships.	Exacerbation of pre-existing psychological health condition; Unplanned staff absence/sick leave; Poor worker health; Staff turnover; Poor work and poor productivity; Withdrawal and presenteeism.	Pre-employment health screening; People and Culture Policies and Procedures (Code of Conduct, Working Better Together Policy); Appropriate job design/workload including working hours supported by manager; Supportive management including early recognition of mental health concerns; Flexi-time and flexible work arrangements; Employee Assistance Programme.	Low – Moderate  <u>Potential harm:</u> Physical and/or psychological health conditions.	Fatigue management policy being finalised;  Wellbeing strategy being created with will include review of staff wellbeing initiatives;  Review requirements for additional resources for management and staff (e.g. mental health first aid).	Low
<b>Occupational Violence and Aggression (OVA)</b>	Exposure to aggressive and/or violent behaviour via members of the public; visitors, customers or colleagues.	People and Culture Policies and Procedures (Code of Conduct, Working Better Together Policy); Secure access to buildings with security tag access; Appropriate lighting around buildings after hours; Surveillance (CCTV); Mobile phones/duress buttons and emergency locator beacons during remote field work; Risk assessments to be conducted; Emergency management plans in place.	Low  <u>Potential harm:</u> Physical and/or psychological health conditions.	Lone worker policy being drafted; Photo ID or different coloured lanyards to be considered; Increased security into buildings to be considered (e.g. barrier entry); Duress processes in customer support to be reviewed; Additional training in conflict management/de-escalation for front-line staff is planned. Review of current field risk assessments to be reviewed; Emergency management plans to be reviewed.	Low

Document Name: ORC Safety and Wellbeing Hazard & Risk Register	Date Finalised: 10/6/2020
Team: Safety and Wellbeing	Review Dates: June 2021

Hazard	Risk Factors	Current Controls	Current Risk Rating	Recommended Actions	Residual Risk Rating (once actions complete)
<b>Driving</b>	Traffic accident due to: impaired driver (e.g. drug/alcohol affected, medical factors, distracted or fatigued); obstacles; road conditions; other road users.	All drivers' licenced and required to follow current traffic laws; Smart Trac system for driver monitoring; Hands free-kits for communication; Code of conduct (driver behaviour).	Moderate  <u>Potential harm:</u> Musculoskeletal Injury/fractures or other injury/ Fatality.	Policies regarding fatigue management; drug/alcohol policies; fitness to drive (e.g. if unwell) in progress.  Risk assessments to be undertaken in adverse conditions (e.g. snow/ice).  Updated vehicle policy and implementation of vehicle use agreements in progress.	Low
<b>Traffic Management</b>	Accident occurring when workers operating near roads to access waterways.	Traffic Management Plans and Risk Assessments undertaken onsite.	Low  <u>Potential harm:</u> Musculoskeletal Injury/fractures or other injury.	Additional training requirements for traffic management to be reviewed.	Low
<b>Working Alone</b>	Unable to access timely assistance in the case of first aid/emergency; Occupational Violence (lone workers at greater risk if exposed).	Buddy system; Smart Trac system for driver monitoring if in vehicle; Emergency beacon/dress procedures; mobile phone to be carried.	Low - Moderate  <u>Potential harm:</u> Musculoskeletal Injury/fractures or other injury.	Lone worker policy currently being drafted;  Requirements for advanced first aid training to be reviewed for remote staff.	Low

Document Name: ORC Safety and Wellbeing Hazard & Risk Register	Date Finalised: 10/6/2020
Team: Safety and Wellbeing	Review Dates: June 2021



Hazard	Risk Factors	Current Controls	Current Risk Rating	Recommended Actions	Residual Risk Rating ( <i>once actions complete</i> )
<b>Biological</b>	Exposure to diseases/infections when working around water and animals; Exposure to diseases/infections in the community (e.g. flu).	Risk Assessments; Adequate training in safe work practices/operating procedures; Appropriate hygiene practices; Vaccination programs; Health monitoring; PPE use.	Low  <u>Potential harm:</u> Illness/infectious disease.	Further review into work practices in this area.  Review of current vaccination process and worker health monitoring to understand what vaccinations are required.	Low
<b>Firearms Use</b>	Firearm discharging unexpectedly or in an uncontrolled manner; unauthorised persons accessing firearms; Noise during discharge.	All operators licenced and experienced; PPE used; appropriate secure storage of firearms and ammunition as per legislative requirements.  Recent audit resulted in all old firearms being withdrawn.	Moderate  <u>Potential harm:</u> Musculoskeletal Injury/fractures/laceration or other injury/fatality.	Additional training requirements under review, SOP's, firearms policy and risk assessments to be updated.	Low
<b>Manual Handling</b>	Manual handling of heavy, awkward objects; Handling objects that are unstable or difficult to grasp; Repetitive/sustained movements; Awkward postures;	Appropriate job design and size/weight of objects/equipment handled; Use of a mechanical aid (e.g. trolley, wheeled case) to avoid lifting/carrying; Risk assessments to be conducted specific to tasks.	Low  <u>Potential harm:</u> Musculoskeletal Injury.	Review of hazardous manual handling tasks to take place in relevant work areas to undertake any risk assessments and review controls where needed.	Low

Document Name: ORC Safety and Wellbeing Hazard & Risk Register	Date Finalised: 10/6/2020
Team: Safety and Wellbeing	Review Dates: June 2021

Hazard	Risk Factors	Current Controls	Current Risk Rating	Recommended Actions	Residual Risk Rating ( <i>once actions complete</i> )
<b>Plant &amp; Equipment Including Power Tools and Vehicles</b>	Vehicles unsafe/not fit for purpose; Vehicles/equipment not maintained and may fail; Staff not competent in safe operation of plant/equipment; Collision between mobile plant (e.g. boat, vehicle) due to unsafe operation; Mobile plant rollover (e.g. mule).	Preventative maintenance schedules in place for all plant/equipment; Pre-operational start checks for mobile plant (forklifts, mules); SOP's in place for correct and safe operation of all plant/equipment; Guarding in place for all plant/equipment with access to danger areas; Operator licencing as required (e.g. forklifts); Roll Over Protection System (ROPS) in mule vehicles.	Low - Moderate  <u>Potential harm:</u> Musculoskeletal Injury/fractures/laceration or other injury.	Additional training requirements, SOP updates and risk assessments to be reviewed; Document control and review process to be implemented for all risk assessments and SOP's to ensure routine review. Review of current preventative maintenance/operational pre-start checklists and other operational safety checklists.	Low - Low - Moderate  To be reviewed once actions completed
<b>Working in/around aircraft (excluding commercial airlines) including Helicopters</b>	Aircraft failure leading to crash/accident/collision; Manual handling and ergonomic injuries.  (Note: Staff are passengers only – pilots/aircraft managed by contractors)	Robust contractor management procedures to ensure SOPS in place and compliance with Aviation Laws.  Helicopter Underwater Evacuation Training (HUET) completed for staff conducting flow gauging work; induction provided by Helicopter agencies for first time flyers.	Low	Nil recommendations	Low

Document Name: ORC Safety and Wellbeing Hazard & Risk Register	Date Finalised: 10/6/2020
Team: Safety and Wellbeing	Review Dates: June 2021

Hazard	Risk Factors	Current Controls	Current Risk Rating	Recommended Actions	Residual Risk Rating ( <i>once actions complete</i> )
<b>Working at Heights</b>	Fall from a height above 2m, or below 2m when working near bridges, cliffs, water, unprotected edge.	Appropriate fall protection used for task (e.g. edge protection, elevated work platform/EWP, fall arrest system) for work above 2m; Risk Assessments undertaken onsite; Training/instruction provided to staff (SOP's, NZQA Required Training: Working at Heights Training; Rope Access & equipment, simple patient recovery, inspection of height safety equipment); Appropriate PPE use. Working at Heights assessment undertaken by NZ Safety Blackwoods Training on 20/6/2019.	Moderate  <u>Potential harm:</u> Musculoskeletal Injury/fractures/laceration or other injury/fatality	Further review of work practices required in this area.  Refresher training in NZQA approved courses every 2 years (as recommended in report dated 20/6/2019)	Low – Moderate  To be reviewed once actions developed and completed.
<b>Objects Falling from Heights</b>	Working at a height; Inadequate barriers in place; Working in unpredictable outdoor environments where objects (e.g. rocks) may dislodge and fall.	Risk Assessments undertaken onsite; Training/instruction provided to staff (SOP's). Appropriate PPE use (e.g. hard hat);	Low - Moderate  <u>Potential harm:</u> Musculoskeletal Injury/fractures/laceration or other injury/fatality.	Further review of work practices required in this area.	Low – Moderate  To be reviewed once actions developed and completed.

Document Name: ORC Safety and Wellbeing Hazard & Risk Register	Date Finalised: 10/6/2020
Team: Safety and Wellbeing	Review Dates: June 2021

Hazard	Risk Factors	Current Controls	Current Risk Rating	Recommended Actions	Residual Risk Rating ( <i>once actions complete</i> )
<b>Hazardous Chemicals and Materials; Dangerous Goods</b>	Incorrect use, handling or storage which may cause: Injury/disease; Fire/explosion; Production of hazardous waste.	All chemicals/substances not required to be safely disposed of; All hazardous chemicals/dangerous goods to be used, stored and handled according to Safety Data Sheets (SDS); Chemical management plan/register in place.	Low  <u>Potential harm:</u> Burns, disease, poisoning.	Further review of work practices required in this area; recommended independent audit of substances stored at depots and at Stafford St Office.	Low
<b>Asbestos</b>	Exposure to airborne asbestos; Exposure to airborne asbestos during construction (e.g. drilling).	Asbestos Management Plan in place for ORC buildings where Asbestos Containing Material (ACM) has been identified.	Low  <u>Potential harm:</u> Asbestos related disease.	No current recommended actions.	Low
<b>Contact with electricity</b>	Exposure to live cables/overhead powerlines; Exposure to electric gates; Faulty electrical leads and tools; Electrical leads in damp/wet areas.	Risk Assessments undertaken specific to task; Training/instruction provided to staff (SOP's); Lock Out/Tag Out procedures; Regular inspection and maintenance of electrical cabling and devices (e.g. test/tag); Safe distances used around underground and overhead cables; Appropriate PPE use.	Low  <u>Potential harm:</u> Burns, electrocution, nerve damage.	No current recommended actions.	Low

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Hazard	Risk Factors	Current Controls	Current Risk Rating	Recommended Actions	Residual Risk Rating ( <i>once actions complete</i> )
<b>Slips, Trips and Falls</b>	Slippery and wet environments; Obstacles in the field work environment including uneven terrain; Poor housekeeping in the office.	Risk Assessments undertaken specific to task; Appropriate PPE use (footwear); Maintain good housekeeping practices (e.g. clean up spills).	Low  <u>Potential harm:</u> Musculoskeletal Injury/fractures or other injury.	No current recommended actions.	Low
<b>Contractor Management</b>	Inadequate contractor engagement; Contractor non-compliance with safe work practices.	Appropriate contractor selection process; Contractor management systems in place; Safe work permits/Job Safety Analysis (JSA)/Safe Work Method Statements (SWMS) provided as required; Contractor monitoring and spot audits; Contractor site induction and training; Sign in/sign out procedures.	Low  <u>Potential harm:</u> Physical/psychological injury.	Contractor management procedures currently being updated.	Low – Moderate  To be reviewed once actions developed and completed.
<b>Ergonomic Hazards</b>	Prolonged computer use with limited breaks; Poor/awkward posture; Repetitive/sustained movements.	Appropriate workstation set up; Appropriate job design and management of tasks; Use of rest breaks.	Low  <u>Potential harm:</u> Musculoskeletal Injury, eye strain.	No current recommended actions.	Low

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Hazard	Risk Factors	Current Controls	Current Risk Rating	Recommended Actions	Residual Risk Rating ( <i>once actions complete</i> )
<b>Exposure to Heat/Sun or Adverse Weather Conditions</b>	Outdoor work where workers are exposed to the elements and sun.	Job design and task rotation to limit exposure; Risk assessments and SOPs in place; Appropriate PPE use (hat, long sleeves, sunscreen, sunglasses, jackets); Training/instruction provided to staff.	Low  <u>Potential harm:</u> Skin damage/illness/cancer.	No current recommended actions.	Low
<b>Noise Exposure</b>	Noise exposure in excess of the exposure standard due to power tool/firearm use.	Selection of less noisy tools/equipment; Engineering controls such as insulation/shock absorption; Risk assessments and SOPs in place; Appropriate PPE use (hearing protection).	Low  <u>Potential harm:</u> Hearing damage.	No current recommended actions.	Low
<b>Emergency Management</b>	Poor emergency management planning; Impaired emergency response due to lack of awareness and training.	All sites to have an Emergency Management Plan in place; Risk assessments; Training/instruction provided to staff on emergency procedures (e.g. evacuations, fire warden training).	Low  <u>Potential harm:</u> Physical and/or psychological injury.	Current training and emergency management plans to be reviewed to ensure they are in place and up to date.	Low
<b>Event Management</b>	Poor planning and preparation for events; Range of risk factors include failure of plant/equipment; Lack of security leading to OVA exposure.	System for planning for events; Risk assessments for specific events; Training/instruction provided to staff; Appropriate security measures in place.	Low  <u>Potential harm:</u> Physical and/or psychological injury.	No current recommended actions.	Low

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<b>Workplace Environment and Amenities</b>	Inadequate facilities and amenities such as availability of drinking water, adequate space. Thermal discomfort due to comfort due to inadequate heating/cooling; Nuisance noise which can raise stress levels and cause distraction.	System for reporting any maintenance amenities issues; Amenities such as tea rooms, bathrooms/toilets to be maintained.	<u>Low</u>  <u>Potential harm:</u> Physical and/or psychological injury/illness.	Workplace inspections to be implemented.	Low
<b>Non-Compliance with Health and Safety Legislation and Regulations</b>	Failure to comply with due diligence, worker engagement and participation and injury reporting may lead to prosecution by the Regulator (Worksafe).	Health and Safety Management system including policies/procedures; safe systems of work; staff engagement and consultation processes including H&S committee meetings; Appropriate training and instruction provided to staff.	Low – Moderate  <u>Potential harm:</u> Physical and/or psychological injury; reputational and organisational impacts for ORC.	Review underway to update the ORC Safety Management System.	Low

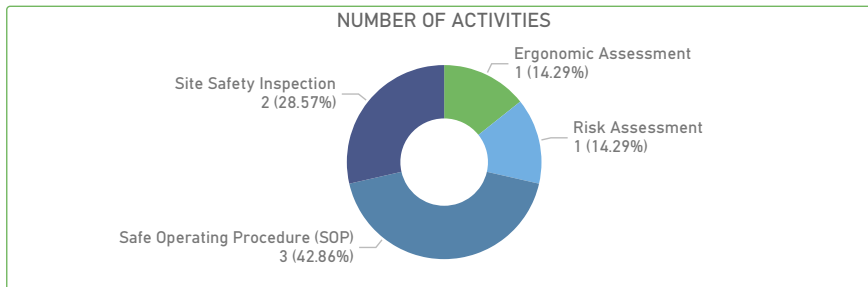
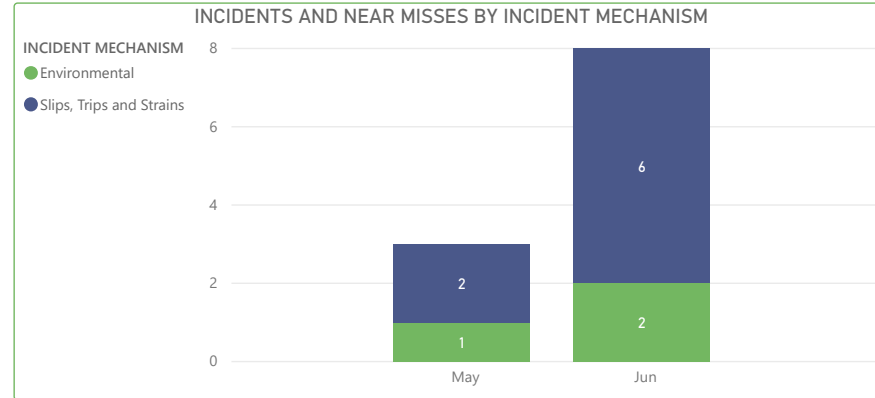
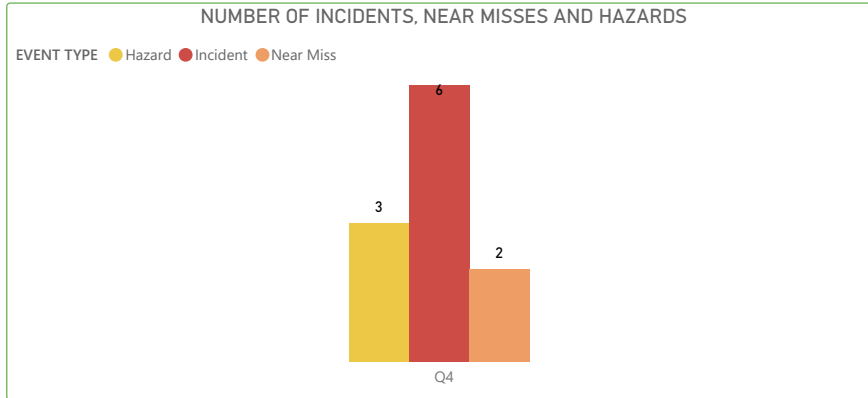
**References:**

Mental Health, Safe Work Australia, 2020 (<https://www.safeworkaustralia.gov.au/topic/mental-health>)  
 Identifying, Assessing and Managing Work Risks, Worksafe NZ, July 2017 (<https://worksafe.govt.nz/>)

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ORC SAFETY AND WELLBEING DASHBOARD

2018-19		2019-20	
Q1	Q2	Q3	Q4



**Strategic Initiatives**

- Exploring options for a new online safety management system
- Field visits to assess risks and facilitate safety improvements
- Independent Hazardous Substances Audit
- Organisational Safety Training Needs Analysis
- Wellbeing framework in development
- Wellbeing initiatives underway (e.g flu shots, Mens Health Month, July stair challenge)

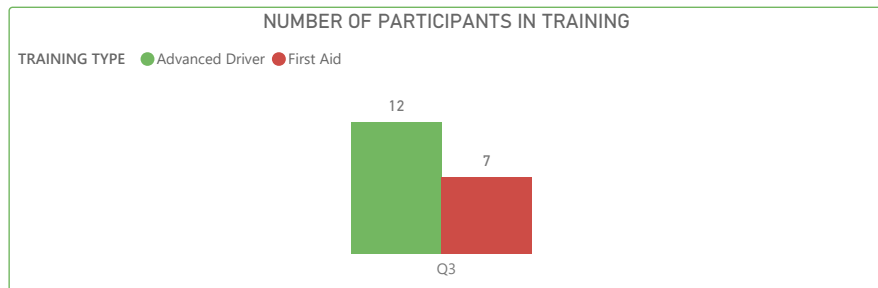
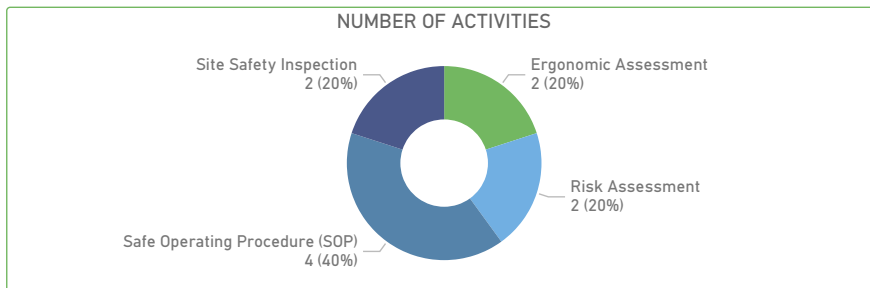
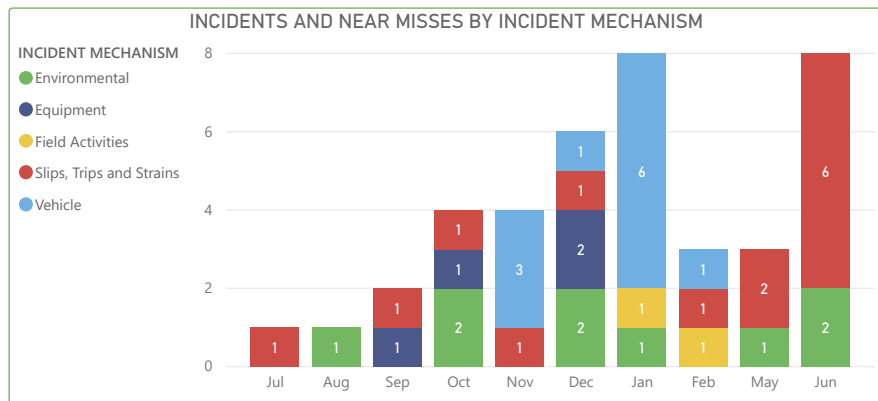
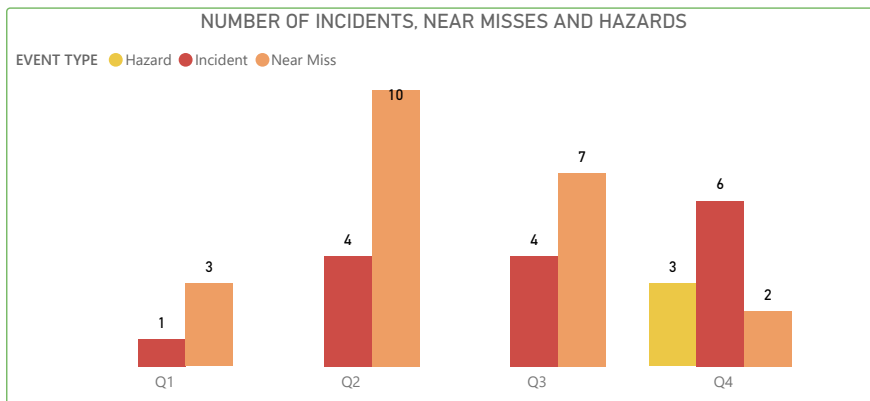
**New Policies & Procedures**

IN PROGRESS
Remote & Isolated Workers; Fatigue Management, First Aid, PPE, Hazardous Manual Handling, Contractor H&S Management.
COMPLETED
HSR Engagement, Representation & Participation Guidelines



# ORC SAFETY AND WELLBEING DASHBOARD

2018-19		2019-20		2020-21	
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## Strategic Initiatives

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## New Policies & Procedures

IN PROGRESS
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COMPLETED
HSR Engagement, Representation & Participation Guidelines; PPE Guidelines

That the Subcommittee excludes the public from the following part of the proceedings of this meeting (pursuant to the provisions of the Local Government Official Information and Meetings Act 1987) namely:

<b>General subject of each matter to be considered</b>	<b>Reason for passing this resolution in relation to each matter</b>	<b>Ground(s) under section 48(1) for the passing of this resolution</b>
<i>3.1 Annual Report and Audit Management Letter</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 – Section 7(2)(c)(i)	(a) that the public conduct of the whole or the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding would exist.
<i>4.1 Managed Fund Report</i>	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 – Section 7(2)(b)(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 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 – Section 7(2)(c)(i); To enable any local authority holding the information to carry out, without prejudice or disadvantage, commercial activities – Section 7(2)(h).	(a) that the public conduct of the whole or the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding would exist.
<i>4.2 Risk Report</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	(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>from the same source, and it is in the public interest that such information should continue to be supplied – Section 7(2)(c)(i);</p> <p>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 – Section 7(2)(c)(ii).</p>	
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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 are as shown above after each item and that Ms Heidi Rautjoki and Mr Scott Hawkins of the Deloitte audit team be permitted to remain in the meeting and provide assistance in relation to the matters to be discussed.