



If calling, please ask for Democratic Services

Finance, Risk and Assurance Committee

Tuesday 12 October 2021, 9.30am

Remotely, via Microsoft Teams

Members

Martin Matthews (Chair)

Cr Blakeley

Cr Hughes

Cr Kirk-Burnnand (Deputy Chair)

Cr Connelly

Cr Lamason

Recommendations in reports are not to be construed as Council policy until adopted by Council

Finance, Risk and Assurance Committee

Tuesday 12 October 2021, 9.30am

Remotely, via Microsoft Teams

Public Business

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3.	Public participation		
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Please note these minutes remain unconfirmed until the Finance, Risk and Assurance Committee meeting on 12 October 2021.

Report 21.355

Public minutes of the Finance, Risk and Assurance Committee meeting on 3 August 2021

Taumata Kōrero Council Chamber, Greater Wellington Regional Council
100 Cuba Street, Te Aro, Wellington, at 9.30 am.

Members Present

Martin Matthews (Chair)
Councillor Kirk-Burnnand (Deputy Chair)
Councillor Blakeley
Councillor Connelly
Councillor Hughes
Councillor Lamason

Public Business

1 Apologies

There were no apologies

2 Declarations of conflicts of interest

There were no declarations of conflicts of interest.

3 Public participation

There was no public participation.

4 Confirmation of the Public minutes of the Finance, Risk and Assurance Committee meeting on 4 May 2021 - Report 21.180

Moved: Cr Lamason / Cr Blakeley

That the Committee confirms the Public minutes of the Finance Risk and Assurance Committee meeting of 4 May 2021 - Report 21.180

The motion was **carried**.

5 Update on the progress of action items from previous Finance, Risk and Assurance Committee meeting – August 2021 – Report 21.202 [For information]

Samantha Gain, General Manager, Corporate Services, spoke to the report.

6 Quarterly Financial Update – Quarter 4 – Report 21.338 [For information]

Alison Trustrum-Rainey, Chief Financial Officer, spoke to the report.

7 Quarterly Risk Update – Quarter 4 – Report 21.301 [For information]

Mike Timmer, Treasurer, spoke to the report.

Noted: The Committee Chair requested that officers prepare a workshop item on risk preparedness focusing on a specific risk from the register.

8 Health, Safety and Wellbeing Update – Quarter 4 - Report 21.42 [For information]

Julie Barber, Manager, Health and Safety, spoke to the report.

9 Business Assurance Update - Report 21.302 [For information]

Mike Timmer, Treasurer introduced the report and Vaughan Harrison, Partner, PricewaterhouseCoopers, spoke to the report.

The Committee acknowledged the positive outcome of the Health and Safety internal audit and the work of Julie Barber, Manager, Health and Safety, and her team in achieving the result.

10 Harbour Management – Risk and Compliance Update - Report 21.325 [For information]

Grant Nalder, Harbour Master, spoke to the report.

The Committee Chair accorded priority to agenda items 13 – *Audit New Zealand Management Reports*, and item 14 – *Report on the Audit of the 2021-31 Long Term Plan*, in accordance with Standing Order 3.5.2.

11 Audit New Zealand Management Reports - Report 21.326 [For information]

Ashwin Pai, Financial Controller, spoke to the report.

12 Report on the Audit of the 2021-31 Long Term Plan - Report 21.330 [For information]

Alison Trustrum-Rainey, Chief Financial Officer, introduced the report and Clint Ramoo, Audit Director, Audit New Zealand, spoke to the report.

Mr Ramoo advised that Audit New Zealand has issued an unqualified opinion on the 2021-31 Long Term Plan and consultation document and that the financial statements are free from material misstatements.

The meeting adjourned at 10.52am and resumed at 11.11am.

13 Optimus Update - Report 21.331 [For information]

Samantha Gain, General Manager, Corporate Services and Jenni Horton, ERP Programme Manager, spoke to the report.

14 Procurement Policy - Report 21.173 [For information]

Deborah Kessell-Haak, Manager, Legal and Procurement and Graham Dennie, Senior Procurement Advisor spoke to the report.

Resolution to exclude the public

15 Resolution to exclude the public – Report 21.343

Moved: Cr Blakeley / Cr Hughes

That the Committee excludes the public from the following parts of the proceedings of this meeting, namely:

Confirmation of the Public Excluded minutes of the Finance, Risk and Assurance Committee meeting on 4 May 2021 – Report PE21.343

Insurance Update for 2021/22 – Report PE21.300

Cyber Security Update – August 2021 – Report PE21.344

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

Confirmation of the Public Excluded minutes of the Finance, Risk and Assurance Committee meeting on 4 May 2021 – Report PE21.181	
<i>Reason for passing this resolution in relation to each matter</i>	<i>Ground/s under section 48(1) for the passing of this resolution</i>
The information in these minutes related to pricing of banking facilities. Greater Wellington has not been able to identify a public interest favouring disclosure of this particular information in public proceedings of the meeting that would override the need to withhold the information.	The public conduct of this part of the meeting is excluded as per section 7(2)(h) of the Act – to enable Greater Wellington to carry out, without prejudice or disadvantage, commercial activities.
Insurance Update for 2021/22 – Report PE21.300	
<i>Reason for passing this resolution in relation to each matter</i>	<i>Ground under section 48(1) for the passing of this resolution</i>

<p>The report contains information provided by insurance providers relating to pricing for the renewal of Greater Wellington’s insurance. Release of this information would likely prejudice Greater Wellington’s commercial position in the market as it would reveal the related pricing. Greater Wellington has not been able to identify a public interest favouring disclosure of this particular information in public proceedings of the meeting that would override this prejudice to the insurers’ commercial position.</p>	<p>The public conduct of this part of the meeting is excluded as per section 7(2)(b)(ii) of the Act – to protect information where the making available of the information would likely unreasonably to prejudice the commercial position of the person who supplied or who is the subject of the information.</p>
<p>Cyber Security Update – August 2021 – Report PE21.344</p>	
<p><i>Reason for passing this resolution in relation to each matter</i></p>	<p><i>Ground under section 48(1) for the passing of this resolution</i></p>
<p>The report contains information about Greater Wellington’s cyber security status. Release of this information exposes Greater Wellington to cyber-attack threats by making it easier for the public to know our cyber security status. It is necessary for Greater Wellington to exclude the information contained in this report from the public domain to protect our information assets and reduce our likelihood of cyber-attack. Greater Wellington has not been able to identify a public interest favouring disclosure of this particular information in public proceedings of the meeting that would override this risk.</p>	<p>The public conduct of this part of the meeting is excluded as per section 7(2)(j) of the Act – to prevent the disclosure of use of official information for improper gain or improper advantage.</p>

This resolution is made in reliance on section 48(1)(a) of the Act 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.

The motion was **carried**.

The public part of the meeting closed at 11.32am.

M Matthews

Chair

Date:



Please note these minutes remain unconfirmed until the Finance, Risk and Assurance Committee meeting on 12 October 2021.

The matters referred to in these minutes were considered by the Finance, Risk and Assurance Committee in Public Excluded business. These minutes do not require confidentiality and may be considered in the public part of the meeting.

Report PE21.358

Public Excluded minutes of the Finance, Risk and Assurance Committee meeting on 3 August 2021

Taumata Kōrero Council Chamber, Greater Wellington Regional Council
100 Cuba Street, Te Aro, Wellington, at 11.33am.

Members Present

Martin Matthews (Chair)
Councillor Kirk-Burnnand (Deputy Chair)
Councillor Blakeley
Councillor Connelly
Councillor Hughes
Councillor Lamason

Public excluded Business

- 1 Confirmation of the Public excluded minutes of the Finance, Risk and Assurance Committee meeting of 4 May 2021 - Report PE21.181**

Moved: Cr Blakeley / Cr Hughes

That the Committee confirms the Public minutes of the Finance Risk and Assurance Committee meeting of 4 May 2021 - Report PE21.181

The motion was **carried**.

- 2 Insurance Update for 2021/22 – Report PE21.300 [For information]**

Mike Timmer, Treasurer, spoke to the report.

The Committee Chair acknowledged the contribution of Mr Timmer to the work of the Committee and Greater Wellington over the years and wished him well for his retirement.

3 Cyber Security Update – August 2021 – Report PE21.344 [For information]

Sam Bell, ICT Operations Manager, spoke to the report.

Noted: The Committee requested that a future Cyber Security Update report provide detail regarding the secure storage of private data at Greater Wellington.

The meeting closed at 12.07pm

M Matthews

Chair

Date:

Finance, Risk and Assurance Committee
12 October 2021
Report 21.458



For Information

UPDATE ON PROGRESS OF ACTION ITEMS FROM PREVIOUS FINANCE, RISK AND ASSURANCE COMMITTEE MEETINGS – OCTOBER 2021

Te take mō te pūrongo

Purpose

1. To update the Finance, Risk and Assurance Committee (the Committee) on the progress of action items arising from previous Committee meetings.

Te horopaki

Context

2. Items raised at Committee meetings, that require actions from officers, are listed in the table of action items from previous Council meetings ([Attachment 1](#) – Action items from previous Finance Risk and Assurance Committee meetings – October 2021). All action items include an outline of the current status and a brief comment.

Ngā hua ahumoni

Financial implications

3. There are no financial implications from this report, but there may be implications arising from the actions listed.

Ngā tūāoma e whai ake nei

Next steps

4. Completed items will be removed from the action items table for the next report. Items not completed will continue to be progressed and reported. Any new items will be added to the table following this Committee meeting and circulated to the relevant business group/s for action.

Ngā āpitihanga

Attachment

Number	Title
1	Action items from previous Finance Risk and Assurance Committee meetings – October 2021

Ngā kaiwaitohu

Signatory

Writer	Samantha Gain – General Manager, Corporate Services
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<p>He whakarāpopoto i ngā huritaonga Summary of considerations</p>
<p><i>Fit with Council's roles or with Committee's terms of reference</i></p> <p>The action items are of an administrative nature and support the functioning of the Committee.</p>
<p><i>Implications for Māori</i></p> <p>There are no direct implications for Māori arising from this report.</p>
<p><i>Contribution to Annual Plan / Long Term Plan / Other key strategies and policies</i></p> <p>Action items contribute to Council's and Greater Wellington's related strategies, policies and plans to the extent identified in Attachment 1.</p>
<p><i>Internal consultation</i></p> <p>There was no internal consultation.</p>
<p><i>Risks and impacts - legal / health and safety etc.</i></p> <p>There are no known risks.</p>

Attachment 1 to Report 21.458**Action items from previous Finance, Risk and Assurance Committee Meetings – October 2021**

Meeting date	Action	Status and comment
4 May 2021	<p>Harbour Management – Risk and Compliance update (May 2021) – Report 21.160</p> <p>Noted: The Committee requested that officers prepare a letter to be sent by the Council Chair to Porirua City Council, regarding working to resolve bridge jumping concerns at the Mana bridge.</p>	<p>Status: Completed</p> <p>Comment: See report 21.459 for an update.</p>
3 August 2021	<p>Quarterly Risk Update – Quarter 4 – Report 21.301</p> <p>Noted: The Committee Chair requested that officers prepare a workshop item on risk preparedness focusing on a specific risk from the register</p>	<p>Status: Under way</p> <p>Comment: To take place after the next meeting – 30 November 2021</p>
3 August 2021	<p>Cyber Security Update – August 2021 – Report PE21.344</p> <p>Noted: The Committee requested that a future Cyber Security Update report provide further detail regarding the secure storage of private data at Greater Wellington.</p>	<p>Status: Under way</p> <p>Comment: To be included in the next update</p>

Finance Risk and Assurance Committee
12 October 2021
Report 21.430



For Information

HEALTH SAFETY AND WELLBEING UPDATE

Te take mō te pūrongo

Purpose

1. To advise the Finance, Risk and Assurance Committee (the Committee) of Greater Wellington Regional Council's Health, Safety and Wellbeing (HSW) performance and activity.

Te horopaki

Context

2. The HSW performance scorecard for the period June – August 2021 is outlined in [Attachment 1](#).

HSW Fatal and Severe risk controls programme

3. Fatal and Severe Risk (FSR) work programmes currently underway are:
 - a transportation and driving
 - b lone and remote working
 - c working on or over water.

Progress on each work programme are outlined below:

Transportation and driving

4. Key progress elements are:
 - a Implementation of the mandatory FleetCoach online driver training programme due to start in August was deferred as the country went in to COVID-19 Levels 4 & 3 lockdowns, and the HSW team switched focus to supporting the business to remain at / return to work safely.
 - b Implementation has been rescheduled for early October 2021 and will be accompanied by an extensive communication and change management programme.
5. The business case for centralising the Greater Wellington vehicle fleet and the appointment of a dedicated fleet manager has been approved by the Executive Leadership Team.
6. This is an important step in the strategic management and oversight of Greater Wellington's vehicle fleet safety, fitness for purpose, maintenance and inspection

schedules and driver competency, which, once in place, should contribute to the driving risk (currently high) reduced to the target level of medium risk.

7. Recruitment will commence once the consultation process around the implications of change on existing functions and roles is complete in early October.

Lone and remote working

8. Key progress elements relating to the Radio Network Project are:
 - a A Radio Network privacy impact assessment (PIA) resulted in a number of actions, now assigned and underway
 - b As a result, officers are looking to replace crosswire network monitoring software with a better solution to safeguard privacy
 - c Radio handsets and vehicle kits are now being rolled out to Environmental Science and Land management staff
 - d An electronic whiteboard (staff fieldwork intentions board) minimum viable product trial is due in early October 2021
 - e The project is running longer and costing more than the projected December target
 - f Scoping continues to assess practical commercial lone worker solutions (e.g. phone based apps, alarm devices etc.) for Greater Wellington employees not covered by the upgraded radio network.

Working on or over water

9. The key progress elements are:
 - a Progress slowed during Alert Levels 4 and 3 lockdowns
 - b The final draft Working on or Over Water standard, essential controls and toolkit guidance, is being finalised after consultation and feedback from target groups
 - c Environment and Catchment General Manager approval and sign-off as joint risk owners is now expected in early October 2021.

Wellbeing

10. The key progress elements are:
 - a Supporting employee wellbeing has been a primary focus activity during August and September as we move through various COVID-19 alert levels.
 - b This includes multi-media messaging, development and provision of online resources, webinars with key speakers and setting up a wellbeing blog.

HSW support during COVID-19 Alert Levels

11. All members of the HSW team switched to providing essential support to the organisation and the Wellington Regional Emergency Management Office (WREMO) in Level 4 lockdown and as we moved into Level 3, including:
 - a Two HSW advisors seconded to the Emergency Coordination Centre (ECC) to provide safety and wellbeing support

- b Senior advisors providing support and guidance to operational field teams working in Level 4 and preparing to return to work in Level 3 & Level 2
 - c As members of the Crisis Management Team (CMT), providing risk management and the development of guidance materials as we move through various levels to allow the organisation to remain at / return to work safely
 - d Supporting employee wellbeing and provision of multimedia wellbeing resources.
12. Essential and emergency services such as Harbours and Flood Protection (where required) continued to work in Level 4 with strict COVID-19 protocols in place, in addition to usual HSW plans.
13. The Predator Free activity was able to continue to work safely in a limited capacity under Schedule 2 (pest control) of the current Health Order in Level 4. Work was limited to areas where there would have been significant reversal in eradication and pest control efforts if this did not occur resulting in adverse biosecurity and public health outcomes.
14. All other operational and field work recommenced in Level 3, again with strict COVID-19 protocols in place.
15. All office based staff worked from home in Level 4 and Level 3 with a return to office permitted in Level 2 at 50 percent occupancy to make sure physical distances and other public health requirements are met.

Serious motor vehicle accident report findings

16. Two serious motor vehicle accidents occurred on rural roads in the Wairarapa in July 2021:
- a Collision with a third party approaching an uncontrolled intersection
 - b Skid on black ice causing the vehicle to roll over down a bank.
17. Both events happened during normal work that was going to plan and highlights the risks faced by drivers in remote and rural locations.
18. The combination of the essential controls that were in place were pivotal in minimising harm to both drivers and should be considered a successful outcome under the circumstances.
19. The event review findings are outlined in [Attachment 2](#) and [Attachment 3](#).
20. Event learning reviews will detect weakness in process and opportunities for action and improvement wider than just the event itself, as evidenced in both cases.

Trained health, safety and wellbeing representatives

21. HSW reps play an important role in supporting and advocating for HSW in their workplace. Having effective worker engagement and participation processes in place is a significant requirement of the Health and Safety at Work Act 2015.
22. A recent HSW representative recruitment drive resulted in the cohort of HSW representatives increasing from 17 to 31.

23. All HSW representatives have the endorsement of their managers and colleagues to act in the role and provider wider HSW visibility and input across all business units.
24. External approved HSW representative training has been arranged for the new cohort in early November 2021 (deferred from September due to Level 2 capacity restrictions).

Ngā āpitihanga

Attachments

Number	Title
1	HSW Performance scorecard for the period June – August 2021
2	Event learning review – third party collision
3	Event learning review – skid on black ice

Ngā kaiwaitohu

Signatories

Writer	Julie Barber – Manager, Health Safety and Wellbeing
Approvers	Donna Hickey - Acting General Manager, People and Customer Samantha Gain - General Manager, Corporate Services

He whakarāpopoto i ngā huritaonga Summary of considerations
<i>Fit with Council's roles or with Committee's terms of reference</i> This report assures the Committee that Greater Wellington's legal obligations under the Health and Safety at Work Act 2015 are maintained and met.
<i>Implications for Māori</i> There are no known implications for Māori.
<i>Contribution to Annual Plan / Long Term Plan / Other key strategies and policies</i> The HSW Policy and Wellbeing Strategy are included in Greater Wellington's Annual Plan 2020/21.
<i>Internal consultation</i> No internal consultation was required or carried out.
<i>Risks and impacts - legal / health and safety etc.</i> The HSW risks and treatment are outlined in this report.

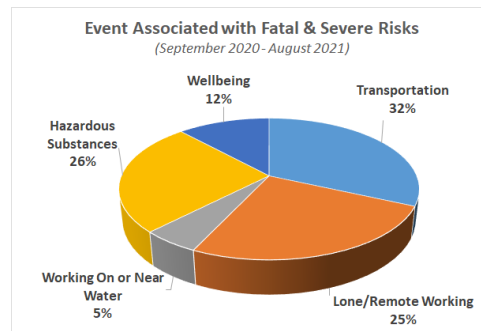
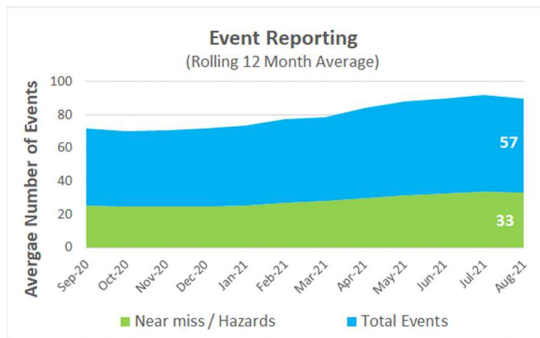
Attachment 1 to Report 21.430

Health, Safety and Wellbeing Performance Scorecard to end August 2021

Fatal and Severe Risk (FSR) Controls Programme

FSR title	Inherent risk	Residual risk	Target risk	Activity this quarter	
Transportation and driving	Very high	High	Medium	FleetCoach online driver training programme delayed due to COVID support activities	On track
Lone and remote working	Very high	High	Medium	Actions resulting from Privacy Impact assessment being implemented	On track
Working on or over water	Very high	High	Medium	Final review and update following feedback and consultation with stakeholders	On track

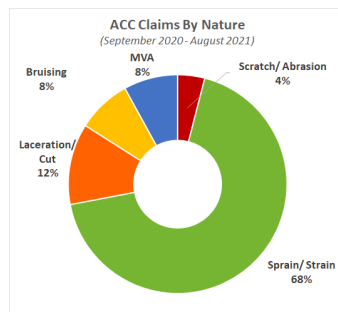
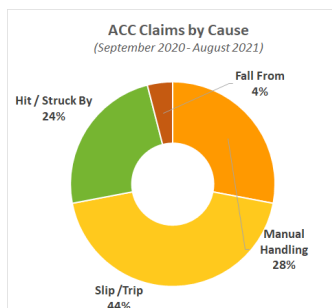
Event reporting



New / emerging trends June - August 2021

- Working from home in lockdown
- Vehicle break in and minor thefts
- Serious motor vehicle incidents
- Pole drops from helicopter

ACC work injury claims



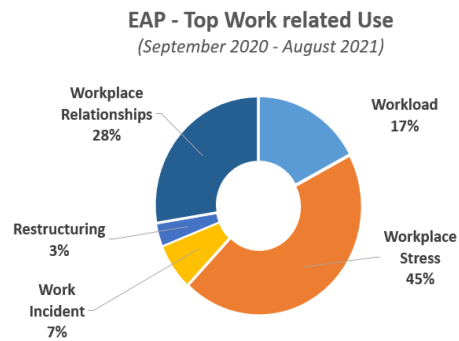
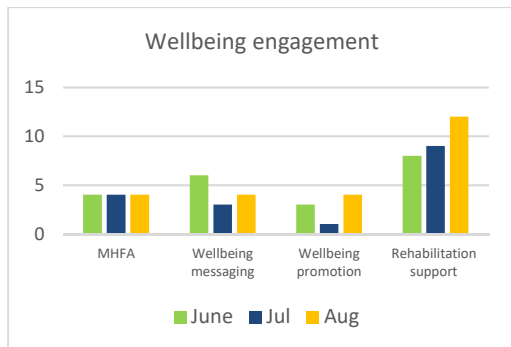
September 2020 – August 2021

Total claims	25
Lost time claims	6
Total days lost	394
Increase in lost days due to recovery and rehabilitation following surgery in 2 cases	



Attachment 1 to Report 21.430 Health, Safety and Wellbeing Performance Scorecard to end August 2021

Wellbeing



*Mental health first aid * Work, non-work and illness rehabilitation EAP – Employee Assistance Programme

High Consequence Events: June – August 2021

Dept	Event type	Event description	Corrective action
E Sci	Accident (including injuries)	Loss of control and vehicle roll over after skid on black ice. Driver sustained minor cuts, bruises and suspected concussion.	Vehicle inspected by Mitsubishi Motors and findings documented. Event learning review undertaken
Bio Security	Accident (including injuries)	GW Vehicle collided with vehicle failing to give way. Driver sustained suspected concussion	Reported and investigated by Police. Other driver found to be at fault. Event learning review undertaken
Land mgt	Near Miss	Two separate incidents involving pole bundles falling during helicopter transportation.	Bundling and lifting processes reviewed by GW and helicopter contractor. Improvements implemented.
Esci	Near Miss	Rolling door in the loading bay safety feature missing	Reported to facilities to arrange addition of safety features



Health, Safety and Wellbeing Event Learning Review

Key risk event: GW vehicle collided with vehicle failing to give way.

Date: 01/07/2021

Time: 11am

Location: Millars Rd, Wairarapa

Context

Understanding the context in which an event happens in normal work is key to understanding what went well and where any potential opportunities for improvement lie.

This event happened while the driver was undertaking biocontrol inspections to access Tradescantia future release sites in rural Wairarapa. The crash occurred while on route to the second site that was to be visited. The driver was familiar with the vehicle and the road and had planned and printed relevant information regarding the properties and route.

While travelling Northeast on Millars Road, nearing the intersection with Longbush Road the driver began slowing for an intersection ahead. A vehicle travelling south on Longbush Road has failed to give way when turning onto Millars Road and began in drive across the path of the GW vehicle.

The GW driver took evasive action but was unable to avoid the collision. The front of the GW vehicle has impacted the front driver's side corner of the other vehicle. The GW driver suffered whiplash and concussion

The other driver was uninjured. Both vehicles were extensively damaged, and the GW vehicle subsequently written off.

Police attended and investigated the crash. The other driver was found to be at fault, having failed to give way at an uncontrolled intersection.



Key learning and discussion

This event highlights the residual risk faced by GW staff despite both good planning and manner of driving. The driver had planned, minimising the risk associated with unfamiliar roads, getting lost, and time pressures. EROAD data showed the driver complied with all speed restrictions throughout the journey.

Such as in this case, unfortunately we are unable to influence the actions of other road users. It is also worth mentioning that the other vehicle involved held a 1-star ANCAP safety rating, with very few safety features.

The GW vehicle's 5-star ANCAP safety rating may have played a part in preventing a more serious outcome.



It was noted by the driver that as the foot well airbag deployed it impacted the keys and key tags attached the ignition key with significant force, causing them to come loose and fly throughout the passenger compartment. Fortunately, the driver was not hit.

Essential controls that worked (what went right)

A combination of essential controls in place worked to minimise harm to the driver. These are

- The work was planned, and sufficient time allowed to complete the task safely
- Driving was within the speed limit and appropriate for the conditions
- A seat belt was worn
- The driver was trained, competent and familiar with driving the vehicle
- The Toyota Hilux has a 5-star ANCAP rating and airbags deployed upon impact
- An EROAD Inspect check was carried out on the vehicle 6 days prior to the crash
- Tyres were in good condition
- EROAD tracking was operational during the journey

Opportunities for improvement

- In the event of a crash keys and other items attached to the ignition key could be impacted by the airbag and become projectiles. The strength of the split ring and items attached should be carefully considered.
- Raise the need for signage at the uncontrolled intersection with the local TIA

	Name	Role	Date
Prepared by	Clint MacDonald	Senior HSW Advisor	
Reviewed by	Mark McAlpine	Team Leader Biosecurity, Pest Plants	
Approved by	Julie Barber	Manager, HSW	



Health, Safety and Wellbeing Event Learning Review

Key risk event: Loss of control and vehicle roll over after skid on black ice

Date: 05/07/2021

Time: 11am

Location: Hinakura Rd, Wairarapa

Context

Understanding the context in which an event happens in normal work is key to understanding what went well and where any potential opportunities for improvement lie.

This event happened on the driver's normal monthly water quality run in rural Wairarapa. On the day they set off from base later than the usual because it was a shorter run. Two sites were scheduled that day, with the crash happening on route to the second site.

The driver was familiar with the vehicle and the road, having driven it numerous times over the past two years. The task had gone to plan until the black ice was encountered. This was the first time the driver had encountered black ice on this route, although there had been two reports in KESAW of other vehicles skidding on black ice in the region that week.

The road is narrow, windy and shaded, with no shoulder at the point the vehicle skidded across the road and rolled down the opposite bank.

The vehicle rolled approx. 70 metres coming to rest sideways on the passenger side against a tree, which undoubtedly prevented it rolling further down the hill into a gully below. Damage to the tree trunk indicate the vehicle was likely airborne at the point of impact.

The canopy had been ripped off which allowed the driver to exit via the rear window and make their way up to the roadside where they flagged down a passer-by and taken to a local medical centre.

The driver suffered cuts and bruises and a probable mild concussion, with the vehicle extensively damaged and subsequently written off.



Key learning and discussion

This event highlights challenges faced by GW driver during winter months, particularly in remote and rural locations. The presence of black ice would have been difficult to detect, and once encountered extremely difficult to navigate the vehicle to safety. While several factors influenced a positive outcome, with the driver sustaining relatively minor injuries, a number of necessary improvements have also been identified to minimise harm not just in this type of event but vehicle accidents involving GW vehicles generally.

We have an obligation to make sure our drivers (and any passengers and other road users) are as safe as they can be when a driver gets behind the wheel of a GW vehicle, including ready and timely



access to emergency assistance. In this case driver competency, driving behaviour and the vehicle's 5 star ANCAP safety rating played a significant part in minimising trauma, and preventing what could have been much more serious outcome.

The wellbeing support the driver's manager wrapped around not only the driver, but the wider team after the event also deserves special mention.

However, breakdowns in regular vehicle inspections appear to highlight a wide-reaching problem that requires attention across our vehicle fleet. Also noted is a lack of internal guidance around the correct selection and application of tyres, and how tyre condition impacts traction on a range of different terrains. The review also identified the risk associated with heavy and hazardous items stowed within vehicle passenger compartments during a crash or with heavy braking, and the need to find safer storage solutions.

The lack of ready access to emergency communication channels could have had a more serious outcome, had the driver been more seriously injured. The road is a minor rural road with generally little traffic, and fortunate another driver came by just after the event and provided emergency support.

What went right and opportunities to improve are detailed below, with work underway to address improvements needed.

Essential controls that worked (what went right)

A combination of essential controls in place worked to minimise harm to the driver. These are

- The work was planned, and sufficient time allowed to complete the task safely
- Driving was within the speed limit and appropriate for the general conditions – no more than 50km/hr
- A seat belt was worn, restraining the driver as the vehicle rolled and came to rest preventing more serious injury
- The driver was trained, competent and familiar with driving the vehicle
- The driver followed the right protocols for a vehicle skid on black ice
- The safety features on the vehicle, a late model 5 star ANCAP rated Mitsubishi Triton ute performed as intended under the circumstances. Post-crash inspection by a Mitsubishi technician confirmed the air bags did not deploy as the front and side impact wasn't sufficient to trigger the sensors due to the nature of the roll

Opportunities for improvement

- While the driver was able to locate their cell phone, their PLB was loose in the vehicle and not able to be found. The PLB and cell phone are usually worn on the body, either in a bum bag or belt clip but are often removed for comfort when driving
- The vehicle was out of cell phone coverage, with one bar only available when the driver made it back to the road. Because it was out of cell phone coverage, EROAD had stopped reporting the vehicle location approx. 10 minutes before the crash. The current EROAD system also doesn't have a vehicle roll alert.
- The upgraded radio and remote worker alarm system had yet to be installed in the vehicle. A post-crash test found the new radio did work as intended at the crash site





- The front wheels were fitted with all terrain tyres with very little wear, with the rear wheels fitted with a different model all terrain tyre. The right rear tyre was found to be considerably worn (2mm tread depth) compared to the left, however the driver was not aware of this before getting in the vehicle. Of note: the same vehicle received minor damage three weeks earlier after losing traction off road and hitting the rear against a fence smashing the tail light. There had been some discussion about fit for purpose replacement tyres for this vehicle, which had yet to be actioned.
- EROAD inspect is yet to be fully rolled out in the team and it's believed the vehicle was overdue for its quarterly inspection
- Loose and unrestrained items in the cab could have caused injury. Items are often carried in the vehicles because they can be difficult access and / or items get wet in the canopy space

	Name	Role	Date
Prepared by	Clint MacDonald	Senior HSW Advisor	
Reviewed by	Evan Harrison	Team Leader Marine and Freshwater	13/8/21
Approved by	Julie Barber	Manager, HSW	



**Finance, Risk and Assurance Committee
12 September 2021
Report 21.459**



For Information

HARBOUR MANAGEMENT – RISK AND COMPLIANCE UPDATE (OCTOBER 2021)

Te take mō te pūrongo

Purpose

1. To update the Finance, Risk and Assurance Committee (the Committee) on any significant compliance issues or emerging or changing risks affecting Greater Wellington's Harbours function.

Te tātaritanga

Analysis

Shelly Bay wharves

2. Greater Wellington officers meet with The Wellington Company and Taranaki Whanui. There was discussion regarding the current ownership of the wharves and possible development options. Officers are awaiting further feedback from both parties regarding this.

Channel Risk Assessment

3. The final report has been received. Officers have distributed copies to the stakeholders who contributed to the report.
4. The report has taken a broad and comprehensive look at the areas of concern. There are several options and recommendations presented.
5. The general finding was that the management of navigation safety is mature, and nothing has been identified as wrong or non-compliant. The recommendations in the report are more about realigning some parts with current best practise and setting ourselves up for the future.
6. In conjunction with Centreport, officers are arranging stakeholder meetings to consider and discuss the report and its recommendations.

Reduced channel soundings - dredging

7. The survey confirmed the channel is back to the previous depth and normal tracks are being followed as a result.
8. Centreport is developing a regular maintenance dredging plan. Maintenance dredging is intended to maintain the present depth and not increase it.

Sunken/Derelict vessels

Sealion

9. The vessel is berthed at Glasgow wharf, where the owner is continuing to work on the vessel.
10. Officers will continue to monitor the situation.

Derelict vessel on Porirua City Council pile moorings

11. Including the sunken launch which officers have previously reported, Greater Wellington has assisted Porirua City Council (PCC) to remove four derelict vessels from the pile moorings. Greater Wellington contributed to the disposal of one vessel, all other external costs were met by PCC or vessel owner.

Mana bridge jumping

12. The letter from the Council Chair on behalf of the Committee has been sent to the PCC. The PCC Councillor workshop where this issue is being raised by PCC officers will be held in October.
13. As a trial, flexible marker poles have been installed in the sand to the side of the launching area, in an attempt to mark the edge of the launching area when the security guard is not present.
14. Officers will be meeting with the security company soon to make arrangements for the coming summer.

Unseaworthy bylaw clause

15. As part of the review of the Navigation Safety Bylaws, questions were raised in relation to the operational effect of the bylaw requiring a vessel to be seaworthy.
16. The concern relates to Greater Wellington's liability to reimburse any party for loss, where an unseaworthy vessel causes damage to third party property (by escaping its mooring for example) in a situation where Greater Wellington had never assessed the condition of the vessel.
17. In relation to assessing the likelihood that Greater Wellington would be found to be liable in such a situation, the usual assessments relating to Greater Wellington's exercise (or failure to exercise) of its powers under the Bylaws would apply on a case-by-case basis. It is not, therefore, taking on additional risk that it would not normally apply in relation to the exercise of any of its powers under the Bylaws.
18. Advice from Greater Wellington's specialist marine insurance brokers has confirmed that our existing insurance policy would likely cover both situations, i.e., where Greater Wellington had assessed or had never assessed the vessel in question.

Hazard to navigation

19. Further questions were raised in relation to the restrictive nature of the "hazard to navigation" criteria in the Bylaws (cl2.4.2(a)). The concern is that these criteria restrict Greater Wellington's ability to manage relevant vessels proactively. While we agree that this is a possible effect, these criteria fall within the limits of the relevant sections of the

Maritime Transport Act and any moves to widen the criteria or increase Greater Wellington's powers in this regard would require careful legal consideration.

20. There are good reasons for greater proactivity in relation to assessing 'hazard' status including proactively carrying out a periodic review of problematic vessels and potentially maintaining a register, although identifying there may be practical difficulties achieving this. This is currently happening to a limited degree and Greater Wellington will look at options for formalising this process and seeking appropriate advice as required.

Viking Bay fishing vessel

21. Once all the crew had recovered from COVID-19 and deep cleaning was undertaken, the vessel departed Wellington. A Pilot in appropriate protective equipment was on board to take the vessel out.
22. In a subsequent debrief the process of bringing the vessel in was discussed and the Centreport SOP for Pilotage by Leading was updated as a result.

Wave measuring buoys

23. Through NIWA we provide two wave recording buoys in Cook Strait to measure and record wave heights, length and direction.
24. This data is used by a variety of organisations. Primarily it is used by Wellington Harbour Radio and Centreport to inform shipping (Piloted ships and Cook Strait ferries) on sea conditions and assist in making safe decisions.
25. In line with council policy, data from the buoys available for other users. Currently these include (either directly or through contractors): NIWA forecasting, Greater Wellington Regional Council, MetService, Waka Kotahi, Wellington City Council, Hutt City Council, Wellington Water, Metoceans – Te Tiro Moana (Eyes on the sea) and the University of New South Wales.
26. The Taputeranga marine reserve buoy has been in place just over one year. As per agreement, NIWA are producing a report comparing the data from the two buoys. With the increased reliance on the data by shipping we are committed to maintaining two buoys, this report will give guidance on the best location for the second buoy.
27. Over recent months there have been battery power issues affecting the reliability of data delivery from the buoys. We are working with NIWA and Centreport to establish an optimum balance between wave update frequency and reliability.
28. The batteries have been changed on one buoy on 30 September 2021 and a sensor fault on the other is being investigated.

Port and Harbour Marine Safety Code Forum

29. Greater Wellington's Chief Executive is the Regional Council representative on the Code Steering Group forum. This has now transitioned from Greg Campbell to Nigel Corry. Centreport Marine Operations Manager, Josh Rodgers, has stepped down from his time on the Code working group. Wellington has been well represented by both Greg and Josh in terms of the Code guidance and development.

30. At this stage Wellington will be peer reviewed for compliance with the Code early in 2022. The last review was in May 2019.

Ngā hua ahumoni
Financial implications

31. The disposal of derelict or uninsured vessels will be an unplanned expenditure from our operating budget.
32. Recommendations from the channel risk assessment will have a variety of financial implications for both Centreport and Greater Wellington. Depending upon the recommendations followed and how they are developed changes can be planned for over time.

Ngā tūāoma e whai ake nei
Next steps

48. The Committee will be updated on these risks, and any new issues, in future reports.

Ngā kaiwaitohu
Signatories

Writer	Grant Nalder – Manager, Harbours, Harbourmaster
Approvers	Al Cross – General Manager, Environment Management Samantha Gain – General Manager, Corporate Services

<p>He whakarāpopoto i ngā huritaonga Summary of considerations</p>
<p><i>Fit with Council's roles or with Committee's terms of reference</i></p> <p>This report allows the Committee to “review... Greater Wellington’s identification and management of risks faced by Council and the organisation... [including]... whether Greater Wellington is taking effective action to mitigate significant risks.”</p>
<p><i>Implications for Māori</i></p> <p>Risk mitigation can protect and preserve taonga.</p>
<p><i>Contribution to Annual Plan / Long Term Plan / Other key strategies and policies</i></p> <p>This report does not contribute directly to Council’s or Greater Wellington’s key strategies, plans, or policies.</p>
<p><i>Internal consultation</i></p> <p>Environmental regulation were consulted regarding Shelly Bay wharves.</p>
<p><i>Risks and impacts - legal / health and safety etc.</i></p> <p>Specific risks and related mitigations are discussed in the Analysis section of this report.</p>

Finance, Risk and Assurance Committee
12 October 2021
Report 21.465



For Decision

BUSINESS ASSURANCE UPDATE

Te take mō te pūrongo

Purpose

1. To provide the Finance, Risk and Audit Committee (the Committee) with an update on Business Assurance reviews and related action points.
2. To provide the proposed updated Business Assurance Plan for the period 2021 – 2024, for the Committee’s approval.

He tūtohu

Recommendations

That the Committee **approves** the outline Business Assurance Plan 2021-24 (Attachment 3).

Te horopaki

Context

Business assurance/Internal audit action points

3. The action points and relevant updates from prior audit reports are appended in [Attachment 1](#).
4. All action points from the *Cyber security audit* have now been completed.
5. The *PMO audit* action points have been completed, with further work on a PMO roadmap being completed.
6. The *Health and Safety audit* completed in July 2021 has several action points. These points will assist with informing the Health and Safety Strategy going forward and will be cleared in accordance with their priority.

Business Assurance Plan

7. Just prior to the Committee’s meeting on 3 August 2021, an update of the Internal Audit/Business Assurance Plan was discussed by Council. Items raised in the discussion are noted in [Attachment 2](#). Outcomes of this discussion have been incorporated into an updated plan.

Te tātaritanga

Analysis

Updated Business Assurance Plan

8. The proposed updated Business Assurance Plan through to 2024 is set out as a 'plan on a page' in [Attachment 3](#). The plan on a page also includes other assurance activity outside the business assurance programme.
9. The matters included are:
 - a Capital works delivery
 - b Procurement and contract management (including public transport)
 - c Change management
 - d Post Optimus implementation
 - e Asset management
 - f NZTA/Waka Kotahi funding – RLTP
 - g Indirect taxes
 - h Core financial controls
 - i Rating model
 - j Treasury management
 - k Fixed assets disposal, acquisition and capitalisation
10. Capital works delivery and change management are new topics, not previously included.
11. The outline scope of each review is set out in [Attachment 4](#).

Ngā hua ahumoni
Financial implications

12. There are no financial implications. The costs of having the business assurance reviews undertaken are covered in operational budgets.

Ngā tikanga whakatau
Decision-making process

13. The matters requiring decision in this report were considered against the decision-making requirements of Part 6 of the Local Government Act 2002.

Te hiranga
Significance

14. Officers considered the significance (as defined by part 6 of the Local Government Act 2002) of these matters, taking into account Greater Wellington's *Significance and Engagement Policy* and Greater Wellington's *Decision-making Guidelines*. Officers consider these matters are of low significance, due to their administrative nature.

Te whakatūtakitaki
Engagement

15. Given the low significance of these matters, no engagement was considered necessary.

Ngā tūāoma e whai ake nei

Next steps

16. Officers will work with Greater Wellington’s business assurance partner PricewaterhouseCoopers (PwC) to refine scope and timing of the reviews.
17. Officers will continue to report back to the Committee on the implementation of the business assurance plan as the audits are completed and will continue to monitor the audit action points for completion.

Ngā āpitihanga

Attachment

Number	Title
1	Audit Status Update October 2021
2	Feedback from FRAC and Council on business assurance plan items
3	Business Assurance Plan on a page (schedule)
4	Business Assurance Plan Details (outline scope)

Ngā kaiwaitohu

Signatory

Approver	Samantha Gain – General Manager, Corporate Services
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He whakarāpopoto i ngā huritaonga Summary of considerations
<p><i>Fit with Committee’s terms of reference</i></p> <p>The Committee’s Terms of Reference provide for it to “approve an internal audit plan”.</p>
<p><i>Implications for Māori</i></p> <p>There are no known impacts for Māori.</p>
<p><i>Contribution to Annual Plan / Long term Plan / Other key strategies and policies</i></p> <p>Internal audit / business assurance reviews the effectiveness of Greater Wellington’s internal controls framework and processes such that Council can deliver effectively on its objectives, including safeguarding assets as set out in its Long Term Plan and Annual Plans. Internal audit supports the risk management policy and risk management framework.</p>
<p><i>Internal consultation</i></p> <p>The proposed internal audit arrangements were developed by management in consultation with a number of Greater Wellington’s third tier managers, with ELT oversight and review, and taking into account Committee and Council input provided in a workshop on 27 July 2021.</p>
<p><i>Risks and impacts: legal / health and safety etc.</i></p> <p>Internal audit acts to reduce risk by ensuring controls are operating as Greater Wellington has developed through its policies and procedures.</p>

Attachment 1 to Report 21.465

Recommendations and responses for internal audit reviews

Audit point action item	Responsibility	Audit Priority	Expected completion date	Action (required/completed) to address audit point	Complete Yes ✓
Health, Safety & Wellbeing (July 2021)					
Review management, and broader employee, HSW KPIs and update to align to and promote the Council's HSW vision and specific HSW role accountabilities. This should also include continuing the work underway to define and set the HSE annual targets and objectives for the Finance, Risk and Audit Committee (FRAC) and ELT	HSW manager	P1	March 2022	CE HSW KPI revised from measuring LTIFR to number of HSW site visits/ interactions and reporting findings to Council, in September when the new CE came into office. This will cascade to ELT and senior leaders	
Establish competency measures or criteria for team leaders and management as part of their performance measurement framework	HSW manager	P2	June 2022	Linked to above	
Establish an upwards feedback mechanism that allows individuals and teams to capture how well their direct managers and leaders are enabling the HSW vision	HSW manager	P2	Aug 2022	HSW culture survey	
Continue developing the current initiatives to a) improve the HSW conversations at Executive level and b) developing and rolling out the 'lessons worth sharing' approach.	HSW manager	P2	June 2022	Lessons worth sharing format in development currently	
Review the FSR register for risk rating and action clarity and consistency	HSW manager and team	P1	March 2022	Risk register review scheduled to commence in Q2 business plan	

Attachment 1 to Report 21.465

Recommendations and responses for internal audit reviews

Audit point action item	Responsibility	Audit Priority	Expected completion date	Action (required/completed) to address audit point	Complete Yes ✓
Work with employees to identify those critical risks where there is not a clear and complete understanding of the required mitigations, and support through appropriate education, mentoring or partnering. Progress on this should be included in HSW reporting given the critical nature of these risks	HSW manager	P2	June 2022	Workers working with the risk included in development of risk review (above) and control/ development of risk controls HSW training a package which covers this currently in development	
Continue developing standards, guidelines and assessment tools for managing this important FSR		P3	TBC		
The Human Resources team should consult with the Health and Safety team to refresh the training register to reflect the training completed to date, and develop processes to maintain the training register. This could include exploring opportunities to use KESAW to record the training completed by individuals	HSW / HR managers	P2	June 2022	Some dependency on HR implementing an LMS system in the next 12 months	
Set up working on or near water competency evaluation measures to confirm personnel continue to have the right capability to manage this critical risk.	HSW manager and team	P1		Working on or near water standard, guidance and essential control have been finalised after consultation and feedback with risk holders and due for GM signoff. Working on or near water assessment tool in place. Training and	

Attachment 1 to Report 21.465

Recommendations and responses for internal audit reviews

Audit point action item	Responsibility	Audit Priority	Expected completion date	Action (required/completed) to address audit point	Complete Yes ✓
				competency matrix review and update underway	
Develop an appropriate action plan to address the wellbeing concerns highlighted in the recent wellbeing survey. Given the specialised nature of wellbeing and mental health, consideration should be applied to sourcing external expertise to help and/or guide the development of the Council's response	HSW / HR managers	P1	March 2022	Procurement for Rongoma Maori mental health providers underway Planning for protecting mental health at work pilot underway	
<p>Develop a change management approach that helps the Council further develop the maturity and buy-in of its HSW approaches. This should include consideration given to:</p> <ul style="list-style-type: none"> • Continuing engaging with operational teams to understand what is working well and opportunities to improve the efficiency of HSW process whilst still managing HSW risks • Developing a map of all HSW processes and systems to understand the level of relevance, consistency and utilisation, and identify where approaches and enablers can be consolidated or streamlined • Continuing to consult with operational teams on upcoming changes, initiatives and suggestions 	HSW manager	P3	TBC		

Attachment 1 to Report 21.465

Recommendations and responses for internal audit reviews

Audit point action item	Responsibility	Audit Priority	Expected completion date	Action (required/completed) to address audit point	Complete Yes ✓
before implementation to avoid hesitance in acceptance, inefficiencies and inconsistencies <ul style="list-style-type: none"> • Identification of opportunities for improving system functionality (where possible) 					
Continue to emphasise and enforce the contractor procurement policies and due diligence checks related to Health and Safety.	HSW manager/ senior advisors	P2	June 2022	Review and update of contractor policies and procedures is planned in Q3 of the HSW business plan	
Develop an approach to provide assurance over the operation of GWRC's health and safety obligations and commitments (refer to the report for the objectives described that is required for management to develop an HSW oversight/ assurance framework).	HSW manager	P1	June 2022	Development of an HSW assurance framework is planned in Q3 of the HSW business plan	
Our of scope observations and recommendations					
Develop a consistent employee induction process	HSW / HR managers	P3	TBC		
Progress against the Wilson report actions has been made and this should be shared to encourage work and to provide positive recognition while maintaining focus on outstanding actions.		P3	TBC		
Key person risk and reliance on the Health and Safety Manger should be monitored and succession planning needs to be considered		P3	TBC	Considered in teams personal development plans	

Attachment 1 to Report 21.465

Recommendations and responses for internal audit reviews

Audit point action item	Responsibility	Audit Priority	Expected completion date	Action (required/completed) to address audit point	Complete Yes ✓
GWRC should consider performing a review of all policy, procedural and guideline documents to look for opportunities to streamline and consolidate.		P2	June 2022	Review and update of outdated documents underway	
GWRC should consider how it allocates resources across the Council and review the current roles and responsibilities to ensure they are relevant, clear, and appropriate and understood.		P1	June 2022	Dependency on Fit for Future Structure	
GWRC should consider whether the administration tasks are appropriate given the risk profile and maturity of the associated teams, or where relevant reinforce their importance and identify how additional support or training could help		P3			

The following priority ratings have been used to prioritise the recommendations outlined in the H&S Audit above above:

Priority Rating	Definition
Priority 1	This action addresses matters that are fundamental to the GWRC’s system of internal control. The matters observed may cause a business objective not to be met, or leave a risk unmitigated, and need to be addressed as soon as possible.
Priority 2	This action addresses matters that have an important effect on internal controls, but do not require immediate action. A business objective may still be met in full or in part, or a risk adequately mitigated, but the weakness represents a deficiency in the system that needs to be addressed.

Attachment 1 to Report 21.465

Recommendations and responses for internal audit reviews

Priority 3	The action addresses an opportunity for continuous improvement which improves the overall efficiency and effectiveness of the process. This action does not address control weaknesses or control failures.
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Feedback and suggestions from the Workshop with FRAC & Councillors on 27 July 2021

The following feedback, comments and questions we noted in the Workshop with FRAC & Councillors on 27 July 2021. We have captured the comments and feedback in the table below alongside some recommended actions to affect the comments and feedback.

Topic	Committee Comments	Proposed actions to address
Underdelivering on the Capital Works programme and procurement management	What are the present systematic issues causing poor procurement management and failure to deliver on the Capital Works programme (e.g. Policy implementation issues)? How do we tune our underlying business processes to drive them to deliver what is promised?	Business Assurance - Consider inclusion in the three-year business assurance plan
Regulatory Risks (including Data assurance and accuracy)	How does the Council ensure compliance with the everchanging regulatory environment? Especially, in an environment where they rely on third parties to collect or provide information and where the Council lacks procedures in place to ensure the integrity of the information relied on.	Management Action - Consider through FFF 'Water that counts' project underway
Clarity of role	How do we balance our legal responsibilities with an obligation to revitalize the economy through creating more employment opportunities?	Management Action - Social procurement / broader outcomes. Policies and practices under development Future for local government review
Unknown Risks	How do we plan and prepare for future risks and where are unknown risks factored into the Business Plan? How do we ensure that organisations are prepared and ready to overcome unanticipated change?	Management Action – risk management approach – currently under consideration
Quarterly vs Monthly Reporting	Financial quarterly reporting is insufficient because once received it is considerably out of date. There is a risk that councillors are not kept up to date with finances. How can more timely information be provided e.g. dashboards?	Management Action – Management to investigate further opportunities to address this need as part of other initiatives and projects already underway. (Project Optimus, when Ngatahi is implemented – FY 22/23)



Asset Management Plans and ownership	How do we manage the risk of engaging with external parties that provide assets if they were no longer able to provide these e.g. buses? Do we have activity management plans in place or contingency plans?	Business Assurance – Part of planned Asset Management business assurance review
Reliance on Revenue Streams	Risk of over reliance on current revenue streams. What other funds are available beyond our current revenue streams? What capacity do we have to access other revenue or change rates?	Management Action - Incorporate in Revenue & Financing Policy review Future for Local Government Review
Disclosure on Climate Change Financial Risks	What are the risks in terms of our asset ownership and potential damage to assets as a result of the requirement to disclose climate change financial risks? This is becoming a focus for agencies, especially with it being mandated for private organisations to consider.	Management Action –will consider CCFD, for FY 2022/23 Annual Report
Cybersecurity	What are the lessons learnt from the cyberattack on the Waikato District Health Board? How can these lessons be leveraged? How do we capture lessons learnt and share them?	Addressed - Lessons learnt, covered in risk paper Management action – planning ‘Game of Threats’ exercise for councillors and ELT
Project Management and Evaluation	There is a lack of project management and post-project evaluation/benefits realisation. There is a need to better monitor project performance to ensure the Council is delivering value for money, how can this be achieved?	Management Action - benefits realisation framework being developed by PMO this FY and next
Compliance with Policies and Procedures	Ensuring comprehensive reporting and that the underlying way the Council operates is based on sound policies and procedures.	Management Action – ELT responsibility – regular reporting in place
Change management and horizon scanning	How do we ensure that we are currently looking at and considering changes that will affect and impact the Council? How do we respond to these? Is a dashboard for monitoring these trends and emerging changes?	Management Action – function of Strategy team and operational teams re eg legislative change Change programmes in the organisation – candidate for business assurance review
Performance management / LTP	This relates to information collation and analysis, measurement and	Management Action – Aware of this and will

Attachment 2 to Report 21.465



performance measures	reporting on performance of the Council as a whole.	consider appropriate approach to address
General	Focus has been on past events and historic events for a long time, can we also focus on looking forward when conducting these audits?	Noted
	There is a need to create an environment built on effective accountability and transparency.	Management Action – working on clarity of roles and accountabilities

Business Assurance Plan

Business Assurance 2021 to 2024 plan on a page

Key Council functions	Remainder of 2021	2022	2023	2024
Environmental management	←	External: Continue Maritime NZ regular reviews and on-going planned park asset inspections (Maritime NZ inspection providers)		→
Catchment management				
Metlink	External: Transdev revenue controls assessment (PwC)	External: Transdev revenue controls assessment (PwC)	External: Transdev revenue controls assessment (PwC)	External: Transdev revenue controls assessment (PwC)
Maori	←	Business Assurance: Consider in the planning of all Business Assurance reviews		→
Strategy			Business Assurance: NZTA funding - Regional Land Transport Plan	
People and customer		Business Assurance: Change Management	External: Transport providers and contractors HSW	
Corporate services	Business Assurance: Procurement and contract management (including Public Transport procurement)	Business Assurance: Post Optimus implementation Business Assurance: Capital works Business Assurance: Asset management plans, processes and maturity	Business Assurance: Indirect taxes Business Assurance: Core financial controls Business Assurance: Rating model	Business Assurance: Treasury management Business Assurance: Fixed assets disposal, acquisition and capitalisation
Number of Business Assurance reviews	1	4	4	2
Total assurance reviews	2	5	5	3

2021 Business Assurance three year rolling plan

Business Assurance Plan – Details on each assurance engagement**Procurement and contract management (including Public Transport procurement)**

Indicative focus	Assess the current Council procurement and contract processes, including public transport, and their alignment to Council policy and expectations across the following scopes: <ul style="list-style-type: none"> • Procurement: Identify and define procurement needs, engage the market, evaluate and select vendors, and manage performance and financials. Please note our scope will exclude the work already performed across core financial controls (Project ArCee) • Prepare and agree contracts, review and approve, manage contractor performance, renewal and refresh contracts.
Rationale for review and linkage to risk	Contract and procurement management has been identified as an area that needs to be improved by management. The Council has undertaken work to improve this area over the last year, however, requires more work to be completed.
ELT sponsor	Samantha Gain
Suggested timing	Q4 2021

Capital Works Delivery

Indicative focus	Whilst a review of procurement and contract management is planned, this review will focus on the Council's capital works programme to identify challenges and root causes impacting the full delivery of the Council's capital plans, and identify practical and pragmatic recommendations to address.
Rationale for review and linkage to risk	Capital works is a key area of focus for Council and Councillors with recognition the capital plans have not been delivered in full in the past, and a very large programme this financial year/LTP cycle.
ELT sponsor	Samantha Gain
Suggested timing	Q1 2022

Change Management

Indicative focus	Assess the approach used by the Council to identify and understand the internal and external drivers of change, assess and prioritise the change portfolio, proactively plan and implement change, and monitor and assess the outcomes of our change.
Rationale for review and linkage to risk	Council and Committee members specifically asked for this review to be included in the Business Assurance Plan
ELT sponsor	Donna Hickey
Suggested timing	Q2 2022

Post Optimus implementation	
Indicative focus	Complete a post implementation review to identify governance, management and delivery strengths and lessons learned, and assess whether Optimus' objectives and outcomes were met by assessing the approach used by the Council to realise planned benefits.
Rationale for review and linkage to risk	Optimus is a major Council investment and there is value in determine what lessons can be learned for future projects and how the Council has realised its Optimus investment.
ELT sponsor	Samantha Gain
Suggested timing	Q3 2022
Asset management plans, processes, and maturity	
Indicative focus	Assess the Council's asset management approach and maturity by reviewing practices, asset management plans, assessment management processes, and selecting a sample of asset classes to assess how the Council's asset management approaches come to life
Rationale for review and linkage to risk	The Audit New Zealand management letter identified the need for this review and it is part of the Councils regular health check on key Council processes.
ELT sponsor	Samantha Gain
Suggested timing	Q1 2022
NZTA funding - Regional Land Transport Plan (RLTP)	
Indicative focus	Review the NZTA funding application process undertaken by the Council in relation to the RLTP and business case development, focusing on determining if the Council is using the best quality information and is maximising its opportunities.
Rationale for review and linkage to risk	Key area of focus from management which has a direct impact to the Council's strategy.
ELT sponsor	Luke Troy
Suggested timing	2023
Indirect taxes	
Indicative focus	Assess the approach and ERP functionality used to enable the Council to fulfil its indirect tax obligations.
Rationale for review and linkage to risk	Identified by management as a key compliance requirement and a risk that needs to be actively managed within the new ERP system.
ELT sponsor	Ali Trustrum-Rainey
Suggested timing	2023
Core financial controls	
Indicative focus	Assess the design, operation and alignment of key core financial controls to policy requirements across the Council's financial processes and ERP, and identify any areas of inefficiency or pain points faced by teams

Attachment 4 to Report 21.465

Rationale for review and linkage to risk	The Council's financial control environment is important and good governance provides regular assurance over these important controls.
ELT sponsor	Ali Trustrum-Rainey
Suggested timing	2023
Rating model	
Indicative focus	Assess the processes and controls responsible for supporting the integrity, accuracy and robustness of the rating model to calculate rates in accordance with the Rating Act, and identify any unmitigated risks or areas to help improve the management of the model and its integrity.
Rationale for review and linkage to risk	Rates are a major revenue source and must be accurate and aligned to Rating Act requirements
ELT sponsor	Ali Trustrum-Rainey
Suggested timing	2023
Treasury management	
Indicative focus	Complete a health check on Treasury systems and processes to assess compliance with Council policy, and complete a follow-up of findings from the previous 2018 Treasury Health check audit.
Rationale for review and linkage to risk	Treasury is an important function responsible for managing key Council financial risk.
ELT sponsor	Ali Trustrum-Rainey
Suggested timing	2024
Fixed assets disposal, acquisition and capitalisation	
Indicative focus	Assess the policies, processes and controls used by the Council to manage the end-to-end fixed asset lifecycle to identify key strengths, challenges and opportunities for improvement.
Rationale for review and linkage to risk	Fixed assets are a major part of the Council's balance sheet and good processes and controls are required to ensure they are managed appropriately.
ELT sponsor	Ali Trustrum-Rainey
Suggested timing	2024

Finance, Risk and Assurance Committee
12 October 2021
Report 21.463



For Information

INTERIM AUDIT – 2020/21 ANNUAL REPORT

Te take mō te pūrongo

Purpose

1. To provide to the Finance, Risk and Assurance Committee (the Committee) for information, the interim audit letter from Audit New Zealand (Audit NZ).

Te tāhū korero

Background

2. Audit NZ complete an annual audit review as part of the 30 June financial year-end audit of Greater Wellington Regional Council (Greater Wellington). As part of this process, an interim audit is undertaken. The interim audit includes an assessment of Greater Wellington's internal control environment.
3. The interim audit letter from Audit NZ is included as [Attachment 1](#). It sets out Audit NZ's assessment of Greater Wellington's internal control environment, highlights any associated findings, and provides an update on the timeline for the Annual Report.
4. The letter notes that Audit NZ:
 - a Assessed the management control environment as effective for the purpose of the audit
 - b have not identified any significant control weaknesses for key financial systems
 - c are still working through the non-financial information controls and controls relating to payroll.
5. The letter also notes the delay of the final audit of the Annual Report this year.

Ngā tūāoma e whai ake nei

Next steps

6. Audit NZ is undertaking the work for the final audit of Greater Wellington's 2020/21 Annual Report at the moment, working to the timelines outlined in the interim audit letter. It is intended that the final Annual Report (including the audit report) will be brought to the Committee at its next meeting on 30 November 2021, and then presented to Council for adoption at its meeting on 9 December 2021.

**Ngā āpitihanga
Attachment**

Number	Title
1	Interim audit letter from Audit NZ to Greater Wellington dated 28 September 2021

**Ngā kaiwaitohu
Signatories**

Writer	Alison Trustrum-Rainey - Chief Financial Officer
Approver	Samantha Gain - General Manager, Corporate Services

He whakarāpopoto i ngā huritaonga Summary of considerations
<i>Fit with Council's roles or with Committee's terms of reference</i> The Committee provides assurance to the Council of the noting and review of the Audit report.
<i>Implications for Māori</i> There are no known impacts for Māori.
<i>Contribution to Annual Plan / Long Term Plan / Other key strategies and policies</i> The report to Council on the interim audit of the Annual report is an interim step in the audit and Annual Report process.
<i>Internal consultation</i> The Finance and Strategic and Corporate Planning departments were consulted in preparing this report.
<i>Risks and impacts – legal / health and safety etc.</i> There are no specific risks arising from the matters covered in this report.



Attachment 1 to Report 21.463

AUDIT NEW ZEALAND

Mana Arotake Aotearoa

28 September 2021

Level 2, 100 Molesworth Street
Thorndon
PO Box 99, Wellington 6140

Daran Ponter
Council Chair
Greater Wellington Regional Council
P O Box 11644
Wellington 6140

Tēnā koe Daran

Interim audit of the Greater Wellington Regional Council for the year ended 30 June 2021

We have substantially completed our interim audit of the Greater Wellington Regional Council (the Regional Council) for the year ended 30 June 2021.

The purpose of this letter is to:

- report on our assessment of your internal control environment, and highlight any associated findings;
- provide an update on the timeline for the Annual Report; and
- communicate any other matters that we need to bring to your attention.

1 Assessment of your control environment

The Council, with support from management, is responsible for the effective design, implementation, and maintenance of internal controls. Our audit considers the internal controls relevant to preparing the financial statements and the service performance information. We review internal controls relevant to the audit to design audit procedures that are appropriate in the circumstances. Our findings relate to our normal audit work, and may not include all weaknesses for internal controls relevant to the audit.

The control environment reflects the overall attitudes, awareness and actions of those involved in decision-making in the Regional Council. It encompasses the attitude towards the development of accounting and performance estimates and its external reporting philosophy, and is the context in which the accounting system and control procedures operate. Management, with the oversight of Council, need to establish and maintain a culture of honesty and ethical behaviour through implementation of policies, procedures

Attachment 1 to Report 21.463

and monitoring controls. This provides the basis to ensure that the other components of internal control can be effective.

We have performed a high-level assessment of the control environment, risk management processes, and monitoring of controls relevant to financial and service performance reporting. This assessment was performed for the purpose of planning the most effective and efficient audit approach, in order to enable us to express an audit opinion on the Regional Council's financial statements and the non-financial information. We considered the overall attitude, awareness, and actions of the Council and management to establish and maintain effective management procedures and internal controls.

In performing this assessment, we consider both the "design effectiveness¹" and "operational effectiveness²" of internal controls, as necessary. However, it is not the purpose of our assessment to provide you with assurance on internal controls in its own right. As such we provide no assurance that our assessment will necessarily identify and detect all matters in relation to internal control.

We assessed the management control environment as effective for the purpose of our audit.

2 Internal controls

We have not identified any significant control weaknesses for key financial systems that we need to bring to your attention.

We reviewed the design effectiveness of internal controls in place for your key financial systems. We are still working through the non-financial information controls and controls relating to payroll.

Internal controls are the policies and processes that are designed to provide reasonable assurance as to the reliability and accuracy of financial and non-financial reporting, as well as compliance with significant legislative requirements. These internal controls are designed, implemented and maintained by the Council and management. Both "design effective" and "operationally effective" internal controls is important in minimising the risk of either fraud or misstatement occurring. The responsibility for the effective design, implementation and maintenance of internal control rests with the Council.

¹Control is effective to either prevent or detect a material error in either the financial statements and/or non-financial information. The control is "fit for purpose"

²Control has operated effectively throughout the period tested

Attachment 1 to Report 21.463**3 Annual Report Proposed Timeframe**

Management has provided us with the internal timeline for the Annual Report and we meet regularly with the Finance Team and Corporate Planning and Reporting Team to update ourselves on any risks and issues.

Please find below our current timetable for the audit:

Item	Responsible	Date
Draft financial statements available for audit (including notes to the financial statements) with actual year-end figures	Regional Council	27 September 2021
Final audit commences	Audit New Zealand (5 weeks on site)	28 September 2021
Final financial statements available, incorporating all the amendments agreed to between us	Regional Council	5 November 2021
Annual report available, including any Chair and Chief Executive's overview or reports	Regional Council	11 November 2021
Verbal clearance	Audit New Zealand	18 November 2021
Report to Council	Audit New Zealand	25 November 2021
Adoption of Annual Report and issuing of audit report	Regional Council and Audit New Zealand	9 December 2021

With regard to the dates of the audit, you may or may not be aware that the auditing profession (like many others) has been significantly impacted by the border closures as a result of the Covid-19 pandemic. Normally, New Zealand relies on bringing in auditors from overseas to manage the auditing workload at this time of the year (the CA firms rely on global mobility programmes, and equally we second from the CA firms to assist us with capacity). Without that flow of overseas auditors, the workload for auditors here has increased and led to staff exiting the audit industry in New Zealand. The impact of this is that all the firms carrying out work for the Auditor-General are having difficulty managing workloads and their scarce resource.

Recognising the pressure auditing firms are facing the FMA recently announced [extensions to reporting timeframes for financial market companies](#), due to the shortage of auditors. Subsequent to this, Parliament approved the extension to the reporting timeframes for Councils, Council controlled organisations and Crown Entities.

Our priority, given the circumstances we are facing this year, is to maintain the quality of our audit work to maintain trust and confidence in the public sector. We are also very committed to looking after our staff and their wellbeing as best we can. Although we would

Attachment 1 to Report 21.463

much rather not be the cause of your own timetable or statutory deadlines being missed, we will not be able to put the deadlines ahead of a high-quality audit nor ahead of people's safety and well-being.

In the meantime, we acknowledge your revised statutory reporting deadline of 31 December 2021 and will endeavour to work with you to meeting this deadline or signal to you at an early stage if we are unable to do so in order to enable you to communicate this to your stakeholders.

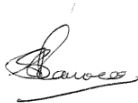
Thank You

There are no other matters that we wish to bring to your attention at this time.

We will complete the remainder of our interim audit work for 2020/21 as part of our final audit visit.

We would like to thank Council's staff for their co-operation and assistance during the interim audit visit.

Nāku noa, nā



Clint Ramoo
Appointed Auditor

Finance, Risk and Assurance Committee
12 October 2021
Report 21.453



For Information

RECENT DERAILMENT INCIDENT ON THE NETWORK

Te take mō te pūrongo

Purpose

1. To inform the Finance, Risk and Assurance Committee on the derailment incident that occurred on Tuesday 17 August 2021.

Te tāhū kōrero

Background

2. On Tuesday 17 August 2021, at approximately 5.50am, Metlink service 6205 from Waikanae to Wellington impacted a slip and consequently derailed on the down main of the North Island Main Trunk (NIMT) between Paekākāriki and Pukerua Bay.
3. At this location, the curve speed limit was 65km/hr. The on-board event recorder has confirmed that train was travelling at this speed at the time.
4. The units were re-railed overnight using mobile cranes, and full track clearance was given at 5.37pm on 18 August 2021.
5. The service was carrying 82 passengers and three train crew at the time of the incident; no injuries were reported. The passengers and crew were safely evacuated with assistance from emergency services.
6. Two Matangi units (5281 and 4218) were delivering the service; both units have sustained damage because of the impact and derailment.





Figure 1. FP5218 derailed and pantograph overextended

7. The location of the slip was at a cutting at 36.073km on the NIMT. This slope had last been assessed on 5 October 2019, at which time the slope was rated at 165 with a Medium risk rating.
8. The derailment site did not have a previous record of failure or debris inundation during heavy rainfall so it would have been unlikely to have been treated as a location of risk or point of interest for pre-weather inspection.
9. At a rating of 165, according to KiwiRail's assessment criteria, the slope was not prioritised for remediation.
10. The slip was caused by a weather event involving a short period of intense rainfall leading up to the time of the derailment.
11. A large volume of water from the rainfall had collected debris (rocks and vegetation) from higher up the escarpment, which wiped out a section of track access walkway as it swept down a stream to a stormwater culvert. All the resulting debris collected and blocked the inlet of the culvert. The debris then backed up at the culvert and spilled over the track.

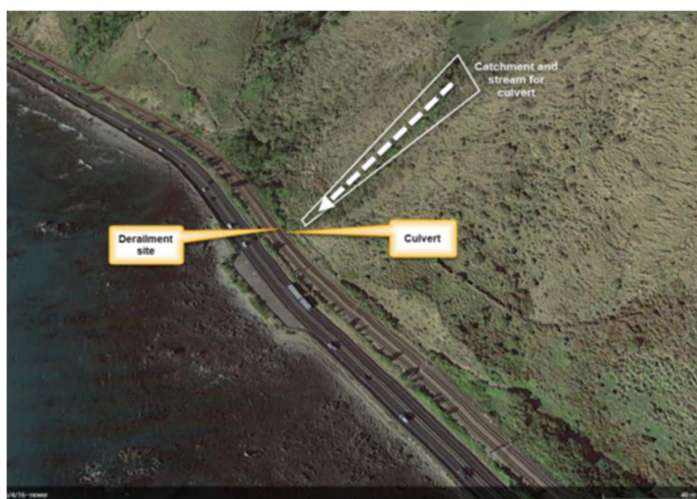


Figure 2 Catchment area and culvert location.



Figure 3 Culvert in relation to derailment location



Figure 4. Slip above Culvert

12. Both Matangi units involved in this event have suffered impact damage to Pantographs, underframe equipment, bogies, and wheels and potential water damage to several underframe components. This damage needs to be assessed and quantified when the units return to the Wellington Depot.
13. These units will potentially not be available for service for a considerable length of time. In previous events where Matangi have been damaged, units have been out of service for 3 to 6 months awaiting parts and labour availability.
14. A full assessment and costs have not been established, but costs are likely to be in the order of \$300,000 – \$500,000 for both units, which is below the insurance excess of \$2 million.
15. There was minimal damage to the track or overhead wires caused by the slip and subsequent derailment.

16. A report on this incident was presented to the Transport Committee on 9 September 2021 (Report 21.402) and Greater Wellington Rail Limited (as owner of the rail assets) on 14 September 2021.

Slope stability risk

Risk assessment

17. Risks relating to slope stability are currently recorded in Greater Wellington's risk register. The two risks are described as follows:
 - a The condition of third-party rail network assets (excluding Wellington Railway Station) to withstand mismanagement, under investment or reduced funding is compromising our ability to provide safe and healthy services
 - b The condition of third-party rail network asset (excluding Wellington Railway Station) to withstand mismanagement, under investment or reduced funding is compromising our ability to provide service continuity
18. Each quarter, the Metlink risks are considered and reported to the Chief Executive. Greater Wellington's top 10 risks are reported to this Committee.
19. A copy of the most recent Greater Wellington risk assessment for these risks is attached as **Attachment 1** to this report.
20. Following the derailment incident, officers have reviewed the current Greater Wellington assessments; the current assessments are considered appropriate based on current knowledge. However, as this incident is still under investigation, and conversations with KiwiRail are ongoing, we will monitor current assessed levels closely.

Work undertaken/in progress on slope stability issues

21. Greater Wellington has been working with KiwiRail to raise visibility of the slope stability on the Wellington Metro between organisations and within KiwiRail. This has led to a joint steering group being formed to look at the higher risk slopes on the Wellington Metro Network. The purpose of the steering group is to agree on the prioritisation approach for the higher risk slopes in the Wellington Metro area, and to establish the appropriate action to take either reduce the likelihood and/or consequence of the risk.
22. The steering group includes representation from Greater Wellington, KiwiRail professional engineering, KiwiRail Wellington Metro Leadership, and the KiwiRail capital upgrade programme. It will be looking at the risks from both a health and safety risk perspective, and from a network service resilience perspective.
23. The Wellington Metro Upgrade Programme includes \$10 million of funding to remedy high risk slopes on the Wellington Metro network (200+ rating). Typically, an engineering solution will cost between \$500,000 and \$1million. Mitigating solutions such as catch ditches or barriers may be appropriate at some locations; these have a lower capital cost and ongoing maintenance is required to ensure their effectiveness.
24. However, the current funding is insufficient to lower the rating of all 42 high risk slopes. As such, we are working with KiwiRail as part of the metro upgrade discussions and the Wellington Network Access Agreement negotiations to identify further funding that will be required to lower the risks.

25. In addition, and following this event, we are commencing discussions with KiwiRail regarding the current risk assessment process. This process is used to prioritise slopes for remediation. The slope rating process is based on a geological assessment of the slope at the time, historic information, track usage and consequence failure. However, in our view, we need to collectively review the KiwiRail risk rating process to ensure:
- a We are clear as to how the risks are assessed to provide the overall risk score; and
 - b The risks to people safety, service, worker safety, our financial position, and our assets is well covered by the assessment process and methodology.
26. We have commenced conversations with KiwiRail regarding the above and expect to progress them within the next few weeks.

Ngā tūāoma e whai ake nei

Next steps

27. Officers will continue to monitor slope stability issues on the network; updates will be provided to the Committee as required.

Ngā āpitihanga

Attachment

Number	Title
1	Quantate risk assessments

Ngā kaiwaitohu

Signatories

Writer	Barry Fryer – Rail Assets Lead, Metlink
Approvers	Fiona Abbott – Manager, Assets and Infrastructure, Metlink Scott Gallacher – General Manager, Metlink

He whakarāpopoto i ngā huritaonga Summary of considerations
<i>Fit with Council's roles or with Committee's terms of reference</i> It is appropriate for the Committee to be informed of the derailment as it has oversight of the Council's risks.
<i>Implications for Māori</i> There are no implications for Māori.
<i>Contribution to Annual Plan / Long Term Plan / Other key strategies and policies</i> The delivery of public transport is a key activity in the Long Term Plan 2021-31.
<i>Internal consultation</i> There has been no internal consultation outside of Metlink.
<i>Risks and impacts - legal / health and safety etc.</i> This report informs the Committee of an incident that is within our current risk register.

Public Transport Risk Register

Overall ranking by residual score (1)	Risk Id	Risk category	Description	Inherent risk level before Controls	Controls	Residual risk level after Controls	Residual score	Risk Appetite	Outlook/Trending	Owner	Status Change since last quarterly review plus risk treatments being considered
7 (5)	106	<ul style="list-style-type: none"> Services being severely curtailed Physical harm to the general public Political 	The condition of third party rail network assets(excluding Wellington Railway Station) to withstand mismanagement, under investment or reduced funding is compromising our ability to provide safe and healthy services	Very High Risk	<ul style="list-style-type: none"> GW ensures that KiwiRail has a robust network management plan that: <ul style="list-style-type: none"> - focuses funded renewal activities on critical components of the network - provides for infrastructure maintenance, monitoring and inspections GW ensures that KiwiRail has an emergency response plan with the network owner and operator Maintain strong relationships with the network operator, including regular meetings and reporting against a clear set of performance targets GW ensures that KiwiRail has a safety plan and current safety case GW partners application to the crown (via NZTA) for additional funding for 'catch up renewals' for network infrastructure Vehicle design and maintenance to reduce injury in the event of incidents 	Medium Risk	560	Averse	↔	Fiona Abbott	<p>On 17 August 2021 a train derailment occurred on the network caused by a slip. Officers have reviewed the risk assessment in light of this. Officers consider that the current assessment of this risk remains appropriate. We considered whether the likelihood of this risk occurring should increase following the incident and determined that 'Likely' was still the appropriate rating; the debris that came down in the slip was of a nature that we wouldn't expect to cause significant injury.</p> <p>We have added a new control "Vehicle design and maintenance to reduce injury in the event of incidents" this reflects the design of the Matangi units. Our reliance on this control is "important" and confidence in this control is "effective".</p> <p>The overall effectiveness of the controls for this risk remains ineffective. These changes result from the following three controls remaining ineffective:</p> <p>Control 1: GW ensures that KiwiRail has a robust network management plan that: focuses funded renewal activities on critical components of the network; provides for infrastructure maintenance, monitoring and inspections</p> <p>Control 4: GW partners application to the crown (via NZTA) for additional funding for 'catch up renewals' for network infrastructure</p> <p>Control 5: Maintain strong relationships with the network operator, including regular meetings and reporting against a clear set of performance targets</p> <p>The treatments set out below aim to increase the effectiveness of these controls</p> <p>Treatments:</p> <p>Option 1: GW leads application to the crown (via MoT) for additional funding for 'catch up renewals' for network infrastructure</p> <p>Option 2: Increase oversight of KiwiRail (we will receive funding from NZTA to build capability and capacity to enable us to take the oversight)</p>

* 1) The number in brackets is the risk ranking as per the end of the previous quarter.

Public Transport Risk Register

Overall ranking by residual score (1)	Risk Id	Risk category	Description	Inherent risk level before Controls	Controls	Residual risk level after Controls	Residual score	Risk Appetite	Outlook/Trending	Owner	Status Change since last quarterly review plus risk treatments being considered
											<p>Option 3: Currently reviewing Wellington Network Agreement - we aim to improve KiwiRail's Asset Management processes</p> <p>Option 4: Request quarterly reporting from KiwiRail on its management of the risks (slope stability - progress against planned activity).</p> <p><u>Treatment update: Option 2:</u> We have received funding from NZTA; we are in the process of determining FTE gap to be filled.</p>
11 (10)	115	<ul style="list-style-type: none"> Services being severely curtailed Financial Political 	The condition of third party rail network asset owners (excluding Wellington Railway Station) to withstand mismanagement, under investment or reduced funding is compromising our ability to provide service continuity	High Risk	<ul style="list-style-type: none"> GW ensures that KiwiRail has a robust emergency response plan that: <ul style="list-style-type: none"> - provides for efficient bus replacements - provides for effective customer communications in the event of a failure - includes a separate set of operational parameters relating to earthquake magnitudes and readings from network based ground acceleration sensors GW ensures that KiwiRail has a robust network management plan that: <ul style="list-style-type: none"> - focuses funded renewal activities on critical components of the network - provides for infrastructure maintenance, monitoring and inspections Maintain strong relationships with network owner and the rail operator, including regular meetings and reporting against a clear set of performance targets GW partners an application to the crown (via NZTA) for additional funding for 'catch up renewals' for network infrastructure GW participates in Metro Operating Model review led by MoT & Treasury 	Medium Risk	455	Balanced	↔	Fiona Abbott	<p>On 17 August 2021 a train derailment occurred on the network caused by a slip; services were disrupted. However, the line was back in operation within 48 hours and (when available) bus replacement services were put on for the effected part of the line. Officers have reviewed the risk assessment in light of this. Officers consider that the current assessment of this risk remains appropriate.</p> <p>We have added a new treatment "Consider taking active role in managing bus replacements and overall PT network prioritisation"</p> <p>The overall effectiveness of the controls for this risk remains ineffective. These changes result from the following three controls moving from satisfactory to ineffective:</p> <p>Option 1: Increase oversight of KiwiRail (we will receive funding from NZTA to build capability and capacity to enable us to take the oversight)</p> <p>Option 2: Build relationship with MOT/KiwiRail</p> <p>Option 3: Develop further contract oversight</p> <p>Option 4: Renegotiate WNA to better reflect risks with KiwiRail in network</p> <p>Option 5: Consider taking active role in managing bus replacements and overall PT network prioritisation (new)</p> <p>Treatment update: Option 1 We have received funding from NZTA; we are in the process of determining FTE gap to be filled.</p>

Public Transport Risk Register

Finance, Risk and Assurance Committee
12 October 2021
Report 21.438



For Information

QUARTERLY RISK UPDATE – QUARTER 1 2021/22

Te take mō te pūrongo

Purpose

1. To provide the Finance, Risk and Assurance Committee (the Committee) with an update on the review of risk management within Greater Wellington.

Te horopaki

Context

2. A formal risk management approach has been in place within Greater Wellington for several years. This approach involves traditional risk management practices, the maintenance of a risk register containing just under a hundred specific enterprise-wide risks and results in periodic risk reporting to the Executive Leadership Team (ELT) and the Committee.
3. Greater Wellington's Treasurer, Mike Timmer, retired from Greater Wellington in July 2021 after many years acting as the Risk Manager, coordinating a network of risk champions and facilitating the risk process.
4. With the retirement of the Risk Manager, Greater Wellington has taken the opportunity to take a fresh look at how it approaches risk management, how the ELT and wider organisation engages with risk management and ways in which Greater Wellington can enhance this for the future. This review has been undertaken from an external perspective by David Nalder, an experienced risk and assurance practitioner.
5. This report outlines the key themes emerging from this review together with a view of Greater Wellington's key risks as identified by the ELT and as identified in the Quarterly Risk Report.

Te tātaritanga

Analysis

6. In August 2021 a range of interviews were undertaken with the outgoing and incoming Chief Executives, each member of the ELT, the Chair of this Committee and several Tier 3 managers with accountabilities with risk management aspects (including Health & Safety, Asset Management, Programme Office, Legal, Procurement, Resilience) and each of the Risk Champions within individual business areas
7. Common themes emerged, both around the good foundation for risk management already in place, and how this could be enhanced and embedded better into the core

ways of working within Greater Wellington. Good discussion took place at the ELT August monthly meeting, where these findings were shared and the way forward was discussed

8. Key themes emerging from these discussions are as follows.

Stakeholder expectations:

9. There are many stakeholder groups to whom Greater Wellington is accountable to including (in addition to the public/rate payers): other territorial local authorities, mana whenua, Central Government agencies and regulators.
10. Throughout discussions, the need to maintain the confidence and trust of these stakeholder groups can through strongly.
11. The central ultimate risk faced by Greater Wellington could be seen as '*loss of stakeholder confidence and social licence to operate*' (or words to that effect). This is effectively the ultimate consequence of all other risks faced by Greater Wellington, that if not managed well, would result in.

Change:

12. There are many drivers of uncertainty (i.e. risk) that are impacting Greater Wellington now and in the future. These include external changes/uncertainty driven by reform programmes (such as Local Government Reform, Three Water Reform, Resource Management Act Reform), impacts on Greater Wellington driven by climate change, social/demographic change, financial affordability (Covid responses, supply chain disruptions and cost escalation), together with internal changes (leadership change, Fit for the Future transformational change) and the recent completion of the Long-Term Planning process

Engagement:

13. All those interviewed as part of the review of risk management were open and engaged. They understood the big picture of Greater Wellington's purpose, priorities and the role they play in this. Risk is generally front and centre of the ELT's view (particularly reputational risk, environmental risk, health & safety risk and project delivery risk), albeit not always in a systematized way.
14. To date, risks have been identified on a bottom-up basis, primarily periodically by risk champions, and collated within an electronic system, which also captures details of related controls, treatments and mitigations.
15. Staff spoken with reflected that they generally engage with risk management at specific points in time (usually associated with quarterly risk reporting) rather than as an everyday part of management, with an opportunity for closer connection between risk management, day to day activity and decision making, resource allocation and trade-off choices.
16. Suggestions have been made as to how existing risk practices can be simplified and embedded into day-to-day decision making and the operating model for Greater Wellington.
17. **Attachment 1** provides an update on the top 10 risks of Greater Wellington, as captured, and maintained within the risk management system.

Ngā tūāoma e whai ake nei

Next Steps

18. Officers will update the Committee on the progress of the risk management review.

Ngā āpitihanga

Attachment

Number	Title
1	Top 10 Risk summary (per Quantate risk register)

Ngā kaiwaitohu

Signatories

Writer	David Nalder – Risk Advisor
Approver	Samantha Gain - General Manager Corporate Services

<p>He whakarāpopoto i ngā huritaonga Summary of considerations</p>
<p><i>Fit with Council’s roles or with Committee’s terms of reference</i></p> <p>The Committee has a specific responsibility to “review the effectiveness of Greater Wellington’s identification and management of risks faced by Council and the organisation. This review includes whether Greater Wellington is taking effective action to mitigate significant risks”</p>
<p><i>Implications for Māori</i></p> <p>There are no known impacts for Māori arising from this report.</p>
<p><i>Contribution to Annual Plan / Long Term Plan / Other key strategies and policies</i></p> <p>Greater Wellington makes decisions every day on order to deliver it’s to what it has committed to through the Long Term Plan. Risk management is essentially enabling good decisions to be made that reflects a good understanding of uncertainty within the environment and tradeoffs between competing choices.</p> <p>In this regard, a practical working definition for ‘Risk Management’ that is being suggested for Greater Wellington is <i>“To bring relevant information (on uncertainty) to decision making”</i>.</p>
<p><i>Internal consultation</i></p> <p>In reviewing the current approach to risk management and providing suggestions as to how existing practices could be enhances, extensive consultation took place, including with:</p> <ul style="list-style-type: none"> - The outgoing and incoming Chief Executive - Individually with each member of the Executive Leadership Team and then feedback and discussion collectively at the monthly ELT meetings for July and August - A number of Tier 3 managers including those with responsibility for various risk related areas such as Health & Safety, Business Continuity, Legal, Programme Management Office and Asset Management - Those staff with “Risk Champion” accountabilities - The Chair of the Finance, Risk and Assurance Committee
<p><i>Risks and impacts - legal / health and safety etc.</i></p> <p>Several areas of risk (and opportunity) have emerged from this work. These are described in the body of this paper.</p>

Attachment 1: Quarterly Risk Report - September 2021 quarter

QUARTERLY RISK REPORT 30 SEPTEMBER 2021											
Overall ranking by residual score 1)	Risk Id	Risk category	Description	Inherent risk level before Controls	Controls	Residual risk level after Controls	Residual score 2)	Risk Appetite	Outlook / Trending	Risk Owner	Status Change since last quarterly review, including any risk treatments being considered
1 (1)	155	Physical harm to the general public Health & safety to staff and contractors Legislative and regulatory	GW people , or other road users, could be killed or seriously harmed in an accident involving GW vehicles, or other vehicles used to carry out GW duties. This includes all on and off road (4WD, LUV's, quads & motorcycles) fleet, rented vehicles and use of personal vehicles for GW duties.	Very High Risk	Statutory Compliance Health & amp; Safety Plan Standard Operating Procedures E Road monitoring system as part of vehicle policy Standard Operating Procedures for Quad bikes, trailers and Motor bikes Vehicle Procurement policy provides minimum safety standards e.g. for 4 star ANCAP rating Monitoring via E Road system of Statutory requirements COF and WOF for Vehicles. Core driver training as part of Induction Process Driving for GW Standard and Essential and Supplementary Controls are inplace	High Risk	1295 (1295)	Averse	improving ↑	Nigel Corry	Key progress elements are: Implementation of the mandatory FleetCoach online driver training programme due to start in August was deferred as the country went in to Levels 4 & 3 lockdowns, and the HSW team switched focus to supporting the business to remain at / return to work safely This has been rescheduled for early October, and will be accompanied by an extensive communications and change management programme The business case for centralising the GW vehicle fleet and the appointment of a dedicated fleet manager has been approved by ELT. This is an important step in the strategic management and oversight of our vehicle fleet safety, fitness for purpose, maintenance and inspection schedules and driver competency, which once in place should contribute to the driving risk (currently high) reduced to the target level of medium. Recruitment will commence once the consultation process around the implications of change on existing functions and roles is complete in early October. Ownership of risk to be reviewed in Q2.
2 (3)	130	Services being severely curtailed Political	The state and capacity of our services to meet customer demand is compromising our ability to attract and retain customers on the network	High Risk	Ongoing major and minor timetable reviews/enhancements (incl vehicle size req) Patronage forecasting Planning/strategies Rail contracts Fleet purchasing Forecasting to meet demand (drivers, buses)	High Risk	950 (950)	Balanced	stable ↔	Bonnie Parfitt	There has been no change to the status of this risk. Customer demand has been impacted during this quarter by the change in COVID-19 Alert Levels; the resulting impact on service levels and patronage makes it difficult to assess at this stage whether the risk status should change. Note also that during this quarter we have implemented timetable changes to better meet available resources and provide customer certainty. It is difficult to assess the impact of these changes (due to COVID-19 impacts on patronage and the recentness of the changes) Current treatments: Option 1: Develop stronger patronage forecasting mechanism Option 2: Develop future fleet strategy

1) The number in brackets is the risk ranking as per the end of the previous quarter.

2) The number in bracket is the residual risk score as at the end of the previous quarter.

Attachment 1 to Report 21.438

QUARTERLY RISK REPORT 30 SEPTEMBER 2021											
Overall ranking by residual score 1)	Risk Id	Risk category	Description	Inherent risk level before Controls	Controls	Residual risk level after Controls	Residual score	Risk Appetite	Outlook / Trending	Risk Owner	Status Change since last quarterly review, including any risk treatments being considered
3 (4)	77	Physical harm to the general public Legislative and regulatory Political Environmental Damage	Significantly contaminated site(s) either known or unknown that release substances that harm environment and/or human health which compromises our organisational mandate, legislative requirements and reputation	Very High Risk	Resourcing - additional admin resource has been provided to ensure that the database is updated regularly. Also the reports provided to the public have been reviewed and reformatted to be more user friendly. Additional technical expertise has also been allocated to review the data provided by the TA's.	Medium Risk	630 (630)	Averse	stable ↔	Lucy Baker	A second round of sampling of soil and groundwater contaminant migration from the Miramar Gasworks contaminated site has been completed. It has been confirmed that there are no human health risks from contaminants migrating offsite and that the contaminant levels have been falling over time. A standalone factual report has been delivered including: summary table, comparison to 2019 results, updated plume maps and an updated piezometric surface. Risk treatment has included the use of a Communications Plan, which has involved making affected parties aware of the work.
4 (5)	196	Physical harm to the general public Health & safety to staff and contractors Legislative and regulatory Political	The seismic rating of the Wellington Railway Station to withstand an earthquake is compromising our ability to provide for the safety of our patrons	Medium Risk		Medium Risk	600 (600)	Averse	stable ↔	Fiona Abbott	There has been no change to the assessment of this risk. However, following ongoing review of this risk and treatments, officers have amended the treatments to reflect actions which when implemented will become controls that will reduce the risk. Note that there are no current controls for this risk. The Treatments are as follows: Option 1: Work with KiwiRail on potential temporary mitigations for the most vulnerable parts of the building Option 2: Engage with key stakeholders on long term development options for the Wellington Railway Station precinct We are in active dialogue with KiwiRail regarding this risk
5 (7)	106	Services being severely curtailed Physical harm to the general public Political	The condition of third party rail network assets (excluding Wellington Railway Station) to withstand mismanagement, under investment or reduced funding is compromising our ability to provide safe and healthy services	Very High Risk	GW ensures that KiwiRail has a robust network management plan that: - focuses funded renewal activities on critical components of the network - provides for infrastructure maintenance, monitoring and inspections GW ensures that KiwiRail has an emergency response plan with the network owner and operator Maintain strong relationships with the network operator, including regular meetings and reporting against a clear set of performance targets GW ensures that KiwiRail has a safety plan and current safety case GW partners application to the crown (via NZTA) for additional funding for 'catch up renewals' for network infrastructure Vehicle design and maintenance to reduce injury in the event of incidents	Medium Risk	560 (560)	Averse	stable ↔	Fiona Abbott	On 17 August 2021 a train derailment occurred on the network cause by a slip. Officers have reviewed the risk assessment in light of this. Officers consider that the current assessment of this risk remains appropriate. We considered whether the likelihood of this risk occurring should increase following the incident and determined that 'Likely' was still the appropriate rating; the debris that came down in the slip was of a nature that we wouldn't expect to cause significant injury. We have added a new control "Vehicle design and maintenance to reduce injury in the event of incidents"; this reflects the design of the Matangi units. Our reliance on this this control is "important"; and confidence in this risk is "effective". The overall effectiveness of the controls for this risk remains ineffective. These changes result from the following three controls moving from satisfactory to ineffective: Control 1: GW ensures that KiwiRail has a robust network management plan that: focuses funded renewal activities on critical components of the network; provides for infrastructure maintenance, monitoring and inspections Control 4: GW partners application to the crown (via NZTA) for additional funding for 'catch up renewals' for network infrastructure Control 5: Maintain strong relationships with the network operator, including regular meetings and reporting against a clear set of performance targets The treatments set out below aim to increase the effectiveness of these controls Treatments: Option 1: GW leads application to the crown (via MoT) for additional funding for 'catch up renewals' for network infrastructure Option 2: Increase oversight of KiwiRail (we will receive funding from NZTA to build capability and capacity to enable us to take the oversight) Option 3: Currently reviewing Wellington Network Agreement - we aim to improve KiwiRail's Asset Management processes Option 4: Request quarterly reporting from KiwiRail on its management of the risks (slope stability - progress against planned activity).

Attachment 1 to Report 21.438

QUARTERLY RISK REPORT 30 SEPTEMBER 2021											
Overall ranking by residual score 1)	Risk Id	Risk category	Description	Inherent risk level before Controls	Controls	Residual risk level after Controls	Residual score	Risk Appetite	Outlook / Trending	Risk Owner	Status Change since last quarterly review, including any risk treatments being considered
6 (8)	162	Health & safety to staff and contractors Human Resources	Staff mental health and wellbeing affected by stress and other workplace issues leading to adverse physical and psychological effects, increased sick leave, turn-over and loss of productivity.	Very High Risk	Employee Assistance Programme Good Yarn - staff mental health awareness training Organisation 5 Year Wellbeing plan as part of the GW People Strategy Rehabilitation Support for remaining and/or returning to work after a mental wellbeing event Trained Mental Health First Aiders Action Planning following on from annual Gallup Engagement survey	Medium Risk	490 (490)	Averse	improving ↑	Nigel Corry	Status update The key progress elements are: Supporting employee wellbeing has been a primary focus activity during August and September as we move through various COVID alert levels This includes multi-media messaging, development and provision of online resources, webinars with key speakers an setting up a wellbeing blog
7 (9)	186	Financial	The nature of our current commercial contracts/arrangements with third party rail asset owners (excluding Wellington Rail Station) to withstand contract renegotiation is compromising our ability to manage costs in the provision of services	Medium Risk	Contract renegotiation Relationships with Ministry of Transport & KiwiRail	Medium Risk	490 (490)	Balanced	stable ↔	Fiona Abbott	There has been no change to the assessment of this risk. There have been minor changes to the treatments to provide greater clarity of actions to be undertaken. Controls are currently classed as ineffective. Treatments: Option 1: Build relationship with MOT/KiwiRail/Waka Kotahi including a formal framework to oversee and deliver the infrastructure works Option 2: Develop further contract oversight through more formal governance arrangements Option 3: Seek additional funding from NZTA to fund oversight of third party owned assets (1% of total pass through funding) Option 4: Renegotiate Wellington Network Agreement to better reflect risks with KiwiRail in network

QUARTERLY RISK REPORT 30 SEPTEMBER 2021											
Overall ranking by residual score 1)	Risk Id	Risk category	Description	Inherent risk level before Controls	Controls	Residual risk level after Controls	Residual score	Risk Appetite	Outlook / Trending	Risk Owner	Status Change since last quarterly review, including any risk treatments being considered
8 (10)	103	Health & safety to staff and contractors	Fatality or permanent disability to CM staff arising from use of a quad bike in a manner that doesn't comply with organisational Health and Safety	Very High Risk	Department Hazard Registers Working Alone Procedures & Equipment Departmental Plans - Maintenance Schedules Health & Safety Plan Standard Operating Procedures	Medium Risk	468 (468)	Averse	improving ↑	Wayne O'Donnell	Land Management Department comments: Staff focus and culture around maintaining appropriate risk controls is strong. E.g. LUV and Quad bike refresher training and orientation provided both professionally and through internal peer training. Biosecurity Department comments: All staff using quads underwent refresher training and re-assessment in July 2021. All new staff are undergoing NZQA approved training courses and assessed by an internal expert rider before being allowed to use quads or LUVs on their own. Lot of attention was also devoted to transporting quads and LUVs using trailers and staff were re-assessed during the July refresher courses. Biosecurity staff are using other modes of off-road transport whenever possible including off-road bikes and electric bikes.
9 (13)	169	Financial Legislative and regulatory Political	The three water reform could have adverse impacts on Council's balance sheet. Assets, liabilities, debt and interest rate swaps need to potentially be transferred to a separate organisation. The values these are transferred at and the potential loss of liquidity contingency funds will impact Council's LGFA financial covenant ratios.	Medium Risk	Assets and Debt of Bulk Water are easily identified. Council will likely need to approve the transfer transaction, and unlikely to sign off on something that has an adverse financial impact on Council's Balance sheet.	Medium Risk	420 (420)	Balanced	stable ↔	Samantha Gain	Status update Government policy in this area continues to be developed. We are coming to the end of an 8 week period for councils to provide feedback to DIA. Further Government announcements as to the nature and timing of implementation of reform are expected during October. Announcements as to number of entities (4) now made. Discussions with regional working group, and CEs and Mayors/Chairs in 'Entity C', continue. No detail yet available about mechanism for transfer of assets/debt. Work will commence on assessing balance sheet impacts of transfer of assets, once that detail is known. This will be done in a manner consistent across the sector.
10 (11)	115	Services being severely curtailed Financial Political	The condition of third party rail network assets (excluding Wellington Railway Station) to withstand mismanagement, under investment or reduced funding is compromising our ability to provide service continuity	High Risk	GW ensures that KiwiRail has a robust emergency response plan that: - provides for efficient bus replacements - provides for effective customer communications in the event of a failure - includes a separate set of operational parameters relating to earthquake magnitudes and readings from network based ground acceleration sensors GW ensures that KiwiRail has a robust network management plan that: - focuses funded renewal activities on critical components of the network - provides for infrastructure maintenance, monitoring and inspections Maintain strong relationships with network owner and the rail operator, including regular meetings and reporting against a clear set of performance targets GW partners an application to the crown (via NZTA) for additional funding for 'catch up renewals' for network infrastructure GW participates in Metro Operating Model review led by MoT & Treasury	Medium Risk	385 (455)	Balanced	stable ↔	Fiona Abbott	On 17 August 2021 a train derailment occurred on the network caused by a slip; services were disrupted. However, the line was back in operation within 48 hours and (when available) bus replacement services were put on for the effected part of the line. Officers have reviewed the risk assessment in light of this. Officers consider that the current assessment of this risk remains appropriate. We have added a new treatment "Consider taking active role in managing bus replacements and overall PT network prioritisation"; The overall effectiveness of the controls for this risk remains ineffective. These changes result from the following three controls moving from satisfactory to ineffective: Controls are currently classed as ineffective. Treatments: Option 1: Increase oversight of KiwiRail (we will receive funding from NZTA to build capability and capacity to enable us to take the oversight) Option 2: Build relationship with MOT/KiwiRail Option 3: Develop further contract oversight Option 4: Renegotiate WNA to better reflect risks with KiwiRail in network Option 5: Consider taking active role in managing bus replacements and overall PT network prioritisation Treatment update: Option 1 We have received funding from NZTA; we are in the process of determining FTE gap to be filled.

A brief description of the Greater Wellingtons risk report columns and what they mean, is as follows:

Overall ranking by residual risk score: This essentially lists Greater Wellingtons risks by residual risk score discussed below. A lower ranking means it has a higher residual risk score relative to others. The risk rating as per the end of the last quarter is shown in brackets.

Risk ID: This is a unique system number assigned to a risk.

Risk Category: This is a category/ies of risk that the risk belongs to. Each category has a risk appetite which measures GWRC's propensity to accept risk. See risk appetite below.

Description: Brief description of the risk.

Inherent Risk level: The risk is assessed/scored and placed into a classification category (Very High, High, Medium, or Low) before any controls are in place. Or put another way, without controls working.

Controls: These are processes which mitigate/modify a risk. They reduce the likelihood of occurrence of a risk or reduce the consequences when it occurs or both.

Residual risk level after Controls: This is the risk classification category after the controls have been put in place and are working as expected.

Residual risk score: This is at a high level the multiplication of the residual likelihood value score multiplied by the weighted residual consequence value score.

Risk Appetite: Is the amount and type of risk that the Council is prepared to accept in the pursuit of its objectives. Each risk is assigned a risk appetite based on its risk category. Appetite can be either averse, balanced or tolerant. Health & safety, Legislative & regulatory and Environmental damages categories are risk averse. All other risk categories are balanced, there is no risk appetite for tolerant presently as per policy. The target residual risk level for Averse is Low. The target residual risk level for Balanced is Medium or Low.

Outlook / Trending: This is the current status of where the residual risk is compared to the last quarter. Improving means the residual risk score is likely to improve/reduce over the next quarters. Worsening means the risk is deteriorating and likely to show a higher residual risk score next quarter. Stable means the residual risk score is unlikely to change over the coming quarters.

Risk Owner: The person/group responsible for the risk. There is also a person assigned to each control who is not normally the risk owner.

Status Change since last quarterly review, including any risk treatments being considered: This provides a discussion around the risk, and any risk treatments being considered, which, if adopted, will become controls.

Finance, Risk and Assurance Committee
 12 October 2021
 Report 21.475



For Decision

RESOLUTION TO EXCLUDE THE PUBLIC

That the Committee excludes the public from the following parts of the proceedings of this meeting, namely:—

Cyber Security Roadmap Update – Report PE21.473

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

Cyber Security Roadmap Update – Report PE21.473	
<i>Reason for passing this resolution in relation to each matter</i>	<i>Ground(s) under section 48(1) for the passing of this resolution</i>
<p>The report contains information about Greater Wellington’s cyber security status. Release of this information exposes Greater Wellington to cyber-attack threats by making it easier for the public to know our cyber security status. It is necessary for Greater Wellington to exclude the information contained in this report from the public domain to protect our information assets and reduce our likelihood of cyber-attack.</p> <p>Greater Wellington has not been able to identify a public interest favouring disclosure of this particular information in public proceedings of the meeting that would override this risk.</p>	<p>The public conduct of this part of the meeting is excluded as per section 7(2)(j) of the Act – to prevent the disclosure of use of official information for improper gain or improper advantage.</p>

This resolution is made in reliance on section 48(1)(a) of the Act 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.