

Stratford District Council Risk Register - Detailed

| Risk Alert Number | Risk Category | Risk Subject | Risk Description | Risk Score Raw | Control Description | Residual Risk Score |
|-------------------|----------------------------|--|---|-------------------|--|---------------------|
| 1 | Compliance and Legislation | Legislation Changes | IF changes to legislation or case law occur and are not implemented by staff, THEN council may be acting illegally and in breach of legislation. | 4 High | Regular review and update Legislative Compliance Register. Staff training and attending relevant industry conferences. Regular policy review to ensure policies and procedures are in line with legislation changes. | 2 Moderate |
| 2 | Compliance and Legislation | Incorrect Planning Advice | IF Council gives out wrong advice on LIM, or issues Resource Consent when it should not have, THEN it could be subject to a judicial review or similar form of dispute process involving legal costs, possible fines, and reputational damage. | 3 Moderate | Quality assurance. Resourcing and ongoing training of competent staff. Low tolerance for poor quality documentation from consent applicants. Good quality legal counsel. Council has professional indemnity, public liability, and statutory liability insurance. | 1 Low |
| 3 | Compliance and Legislation | Statutory Reporting Commitment | IF Council does not meet statutory commitments (eg for reporting to the national monitoring system) THEN it may be acting illegally and receive attention from Ministry which could result in financial penalty and council functions being removed, or elected members being replaced. | 3 Moderate | Quality assurance. Resourcing levels maintained. Schedule of dates and commitments is regularly maintained and updated by Quality Assurance officer. Regular review and update of Legislative Compliance Register. | 1 Low |
| 4 | Compliance and Legislation | Council Bylaws, Strategies, Plans and Policies | IF Council fails to keep Bylaws, Strategies, Plans and Policies up to date, THEN the Bylaws, Strategies, Plans or Policies may become unenforceable and irrelevant, and council could be acting illegally, or the policy is not fit for purpose, or the Council may fail to secure available funding. | 8 High | Quality assurance, Resourcing levels maintained, Regular Policy Schedule review by CEO. Regular review of Bylaw timetable maintained in Content Manager. | 3 Moderate |
| 5 | Compliance and Legislation | Issue Regulatory Licence or Decision | Food/Health, Alcohol, Parking - IF Council issues a licence or decision that is not consistent with legislation, policy or bylaws, THEN Council may be subject to a judicial review or a similar form of dispute process. | 3 Moderate | Quality assurance, Ongoing training/awareness of HSE requirements and responsibilities. Compliance officer training. Keep bylaws and policies up to date with legislation. | 1 Low |
| 6 | Compliance and Legislation | Three Waters - Non-Compliance | IF Council does not comply with its obligations under legislation (i.e. Resource Management Act, NZ Drinking Water Standards, Health and Safety at Work Act) THEN administrative fines and penalties may result, in addition to reputational damage if publicised. | 3 Moderate | Ensure maintenance contractor and Council staff members are trained and up to date with legislative requirements through regular update of Legislative Compliance Register. Subscribe to regular email updates from local government and relevant industry bodies, council listserv to ensure staff are notified of legislation changes. | 2 Moderate |
| 7 | Compliance and Legislation | Property and Parks - Non-Compliance | IF Council does not comply with its obligations under legislation (eg. Resource Management Act 1991, Building Act 2004, Health and Safety at Work Act 2015) THEN administrative fines and penalties may result, and reputational damage. | 3 Moderate | Ensure maintenance contractor and Council staff members are trained and up to date with all legislative requirements impacting on property and park assets. Ensure maintenance contracts have robust out-clauses that cover a range of situations where non-compliance or unsatisfactory work is identified. Council has secured public liability insurance and statutory liability insurance. | Low |
| 8 | Compliance and Legislation | Annual Report Adoption and Publication | IF the Council's Annual Report is not adopted by 31 October and made publically available by 30 November, THEN there will be additional audit scrutiny and reputational damage within local government. Loss of community trust - the community is unable to assess Council performance in a timely manner. | 2 Moderate | Set annual report timetable to ensure statutory deadline is met. Good project management by key staff. Keep updated of possible changes to legislation and plan accordingly. Good communication to all staff, and establish rapport with Audit NZ and respond in a timely manner to all queries. | 1 Low |

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| 84 | Compliance and Legislation | Tax Compliance Breach | IF the Council files incorrect or misleading tax returns (specifically GST, FBT and PAYE), then it may be liable for financial penalties, IRD audit scrutiny, and lack of auditor confidence. | 4 High | Ensure staff are properly trained and stay up to date with tax legislation and current topical issues. All tax returns should be reviewed and signed off by someone other than the preparer of the tax return. All property purchases and sales should be reviewed by Finance specifically to check correct GST treatment. FBT on motor vehicles and private use should be reviewed at least annually. All entertainers and individual contractors must be reviewed for correct withholding tax treatment. | 3 Moderate |
| 9 | Compliance and Legislation | LTP/Annual Plan | IF LTP/Annual Plan is not adopted by 30 June THEN council cannot set rates, statutory breach reported to Minister, unable to commence service delivery, additional audit scrutiny, and uncertainty around future service provision for the community. | 12 - Very High | Set a timetable to ensure statutory deadline is met. Good project management. Good quality data is provided. Keep abreast of possible changes to legislation and plan accordingly. Good communication to all staff and liaison with Audit NZ. | 8 High |
| 94 | Compliance and Legislation | Consider climate change in decision-making | IF Council does not have regard to climate change issues in decision making, THEN it may result in decisions that are in breach of legislation and not meeting community expectations - which could lead to reputational, legal and financial harm. | 2 - Moderate | All decision reports to have regard to the impacts of climate change and sustainability on proposals, recommendations and options presented. Develop policy and sustainability strategy with Mana whenua and the community to adapt and mitigate climate change in our district. | 1 Low |
| 10 | Data and Information | Systems Down - Natural Disaster | IF there is a natural disaster THEN systems may be down temporarily, reduction in worker productivity, unable to respond to customers, data unavailable, potential permanent loss of data. | 8 High | Backups done daily and stored off-site. Most critical data is in the cloud, data centre is overseas so workers can access system remotely from anywhere. Civil Defence will make hardware available for emergency response. | 3 Moderate |
| 11 | Data and Information | Server Failure | IF the server failed THEN systems down, data unavailable, potential data loss | 12 Very High | Restore from backup - backups encrypted, and stored off-site at approved data-centres (Tier 3). Fail-over for Melbourne data centre replicates to Sydney data centre. | 3 Moderate |
| 12 | Data and Information | Cyber Attack | IF the systems are compromised and subject to a cyber attack, THEN system downtime, loss of data, ransoms may be demanded, potential privacy breach, reputational damage, and potential loss of funds. | 16 Very High | Council have several security measures in place such as enterprise grade firewalls, email filtering, backups, antivirus and device management. If a breach was detected Council would activate the insurance policy and engage an IT security company resource to assist with recovery. | 4 High |
| 13 | Data and Information | Communication to data centre | IF there is a loss of communication to the Data Centre (due to IT failure, power failure, or other damage to link) THEN systems downtime will cause temporary disruption. Council staff will be unable to access data and complete work and respond to customers satisfactorily. | 4 High | Can access private link or an internet link - reroute the traffic. Backup generator if power supply lost. | 3 Moderate |
| 14 | Data and Information | Uncontrolled access to Physical and Digital Records | IF there is uncontrolled or unauthorised access to archives, THEN records/ files could go missing, privacy breached, possible legislative breaches. | 2 Moderate | Access to physical archives is limited to IM Specialist and IT Manager, door is locked at all other times. Digital records must be stored in IT approved repositories, with access restricted where necessary. Electronic access is restricted to staff who have a SDC login and have also been granted the relevant security permissions to access applications relevant to their job role. | 1 Low |
| 15 | Data and Information | Records Handling | IF hard copy protected records are handled in a way that could cause damage, degradation or misorganisation, THEN this could lead to loss of protected records, non-compliance with legislation and potential financial penalties. | 3 Moderate | Access to archives is limited to trained staff. Ensure the Information Management Specialist is fully trained in all areas of protected records management. Maintain a register of archived records, and a process by which records will be archived. Storage area must be restricted and temperature controlled. | Low |
| 16 | Data and Information | Unapproved online platforms used | IF unapproved online platforms are used for Council business, THEN Council sensitive information and individual private details could be hacked and made available publically. | 3 Moderate | All Council information should only be stored on platforms that are approved by IT and gone through proper procedures and checks by IT. | 1 Low |

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| 88 | Data and Information | External (online) Communication Systems are not Functioning | IF external/online communication systems are not functioning temporarily, THEN Council may be unable to effectively deliver important messages to the community - resulting in public confusion and inadequate guidance on potentially important or emergency situations. | 3 Moderate | Ensure alternative communication options are available when Facebook is unable to be used to communicate to the public. Use of Antenno app, Stratford Press, mailouts by post or email, the digital sign on Broadway, and Council's website are other options that are able to be used as alternative communication methods. Council website to be single source of truth. | Low |
| 93 | Data and Information | Record Identification, Access and Retrieval | IF records (mostly electronic) are not filed in a way that enables efficient identification, access, and retrieval, THEN Council may not be meeting its LGOIMA, Public Records Act and other obligations, and may not be able to produce evidence substantiating claims or may be found negligent in omitting information that should have been provided, which may lead to financial and/or reputational damage. | 6 - High | Ensure all records are filed into Content Manager, in accordance with the Information and Records Management Policy. Retention and disposal routinely scheduled in CM to ensure records are retained for an appropriate period of time. | 3 Moderate |
| 17 | Financial | Roading Annual Work Programme | IF non-availability of labour and plant or weather events affect ability to complete annual programme of work, THEN risk of spend being under budget (over-rating) and unable to access NZTA claims originally budgeted for, and services being unavailable to the public. | 3 Moderate | Encourage maintenance contractor to sub-contract out work if they do not have sufficient resources in-house. Ensure there is a clear understanding between Council and Contractor of completion timeframes, as per the Contract. Outsource work to another contractor - this has to be considered carefully due to contract obligations and commitments. | 2 Moderate |
| 18 | Financial | Accessing Funding | IF incorrect assessment is made to determine required maintenance funding, all funding options are not sought, or insufficient funding is made available THEN Council may miss out on funding and Council has to fully fund projects. | 3 Moderate | Ensure funding assessments are carried out by sufficiently experienced personnel and strong cases are made for funding. A system should be established to regularly monitor all available funding for council projects. | 1 Low |
| 19 | Financial | Internal Financial Controls | IF internal financial controls are compromised and ineffective, THEN possible fraud, budget blowout, delayed service | 6 High | Good quality controls. Implement annual external and internal audit recommendations. Adhere to Procurement and Delegations Policy. Communications of internal controls to all staff. Recommend internal audit conducted every year. Annual leave not to accrue > 2 years. Electronic signature images not to be relied upon. | 1 Low |
| 20 | Financial | Creditor Payments | IF creditors are not paid correctly or on time THEN goods and services delayed, increased costs, reputational damage and possible fraud. | 2 Moderate | Ongoing training of competent staff and appropriate staffing levels. Adhere to Procurement Policy. Good planning and time management Creditor statement reconciliations. Cash and treasury management. | Low |
| 21 | Financial | Assessment of Rates | IF rates are assessed incorrectly or inaccurately THEN ratepayers could legally challenge the rates assessment and Council could be forced into a legal battle. | 4 High | Resourcing and training of competent staff. Test EOY prior to June. Have Civica rectify errors prior to 30 June. Re-test EOY after errors corrected. Check FIS and Rates Resolution align and legal advice taken. | 2 Moderate |
| 22 | Financial | Rates Invoices Processing | IF rates invoices are not sent out accurately and on time THEN cashflow delayed, legal obligation not met. Can result in reputational damage with ratepayer community. | 3 Moderate | Resourcing and training of competent staff. Clear accountability for rates invoicing and appropriate training in systems given. Timetables for processing and posting to be clarified ahead of due dates. Good communication with NZ Post. | 2 Moderate |
| 23 | Financial | Outstanding Debt | IF debts are not collected in a timely manner THEN cashflow delayed or is impacted on and bad debt may need to be written off resulting in expense to Council. | 3 Moderate | Clear debt collection process, ensuring debt is chased as early as possible. Ensure debt collection procedures for all categories of debt are documented. Work towards getting all ratepayers on direct debit. | 1 Low |
| 24 | Financial | Direct Debits | IF direct debits are not processed correctly, and on the due date, THEN cash flow delayed, and may result in public distrust of Council's direct debit process resulting in a reduction in ratepayers who choose to pay by direct debit. | 2 Moderate | Direct debit processing treated as a daily priority done early as possible in the day. If any IT issues get onto it as soon as possible. Ensure at least 2 staff are trained in processing the direct debits. | 1 Low |

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| 25 | Financial | Procurement contracts | IF procurement contracts entered into are not cost-effective and do not comply with Council's Procurement Policies THEN council projects could go over budget and council procurement could be subject to industry, media, legal scrutiny. | 6 High | Ensure procurement policy and procurement manual are appropriate, comply with legislation and good practice, and followed by all staff and significant contracts are reviewed by an independent professional. | 1 Low |
| 26 | Financial | Credit Risk | IF Council is unable to increase borrowing to fund urgent capital or operational expenditure, or is unable to renew borrowing once it matures, or is called to repay a loan if covenants are breached THEN projects will not proceed, council may have to cease operations, possible replacement of councillors. | 8 High | Regularly monitor debt covenants and cashflow forecasts reported monthly to Policy and Services Committee, and quarterly to Audit and Risk Committee. | 4 Moderate |
| 27 | Financial | Significant Population Reduction | IF there is a significant population reduction, resulting in loss of ratepayer base and reduction in property values - THEN this could result in higher rates for others and significant cost reductions may be required. | 5 High | Ensure variable costs are clearly identifiable, and therefore able to be isolated and adjusted if ratepayer base reduced. Council actions to align with council mission and vision to make Stratford a great place to live. | 4 Moderate |
| 28 | Financial | Interest Costs | IF financing costs increase THEN this results in increased costs to council and budget being exceeded or increase to rates. | 4 - High | Treasury management programme in place to ensure interest rate maturity risk profile is spread evenly over the next 5 plus years. Could investigate longer term swap options. Borrowings and investments must be maintained within treasury policy covenants. Regular reporting to Policy and Services committee meeting. | 6 High |
| 62 | Financial | New Regulations require Significant Investment | IF new environmental regulations or legislation imposed on councils requires a significant increase in capital expenditure, THEN ability to finance investment could be compromised and rates increases could breach limits. | 6 High | Attempt to keep debt and expenditure low and achieve cost efficiencies regularly so that council can weather any necessary investment in order to be compliant with changing legislative environment. | 4 High |
| 63 | Financial | Theft by Contractors | IF contractors have unrestricted access to council property and/or information, THEN there is an opportunity for theft and consequently loss of Council assets. | 4 Moderate | All contractors must go through a pre-qualification process. Visitors to Council buildings must sign in. Access to the building has now been restricted with the use of fobs. Protected records are stored in a safe or locked storage room. | 2 Moderate |
| 74 | Financial | Inadequate financial provision to fund asset replacement | IF there is inadequate financial provision in reserves to fund the replacement of assets, THEN the Council may have to borrow more than expected, or asset replacement may need to be delayed which may affect service level performance. | 12 - Very High | Ensure annual depreciation is based on accurate fixed asset values (replacement cost) and accurate useful lives. Assets should not, unless necessary, be replaced before the end of their useful life. | 2 Moderate |
| 79 | Financial | Bribery and Corruption | IF elected members or staff act in a way that is, or is perceived to be, influenced by Bribery or Corruption, THEN the Council's reputation could be damaged, there is potential for legal action against Council, increased scrutiny by the Office of the Auditor General. There is also the risk that Council could have lost financially, or in some other way, by entering into an unethical contract. | 4 High | Ensure HR Policy, Procurement Policy, Anti-Fraud and Corruption Policy and Elected Members' Code of Conduct cover these areas sufficiently and that guidance is given to all staff and elected members at least annually on conflicts of interest, and Policies are widely distributed within Council and made available to all staff, particularly new staff. The Fraud Policy includes a process for reporting any suspected instances of bribery and corruption - ensure this is widely available and all staff are aware of reporting process. | 3 Moderate |
| 81 | Financial | Management Override of Internal Controls | IF a Manager uses their unique position to override internal controls, THEN fraud may occur, resulting in theft of Council assets/funds and incorrect/misleading financial statements. | 4 High | Audit and Risk Committee oversight. Internal and External audits annually. Fraud Policy awareness training for all staff at least three yearly. Regular review of policies to ensure in line with best practice. SLT to undergo ethics training. Prior to new employment, full reference checking of at least one recent, direct manager (particularly for financial and management roles). Zero tolerance for any bullying type behaviour. | 3 Moderate |

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| 85 | Financial | Failure of a Financial Investment | IF a Council financial investment fails or devalues significantly, Council's assets reduce, resulting in lower revenues in future and potentially higher rates increases. | 12 Very High | Ensure security is taken over assets where applicable, regular reporting requirements and audits are met where applicable, and adhere to Treasury Management Policy at all times unless approved by Audit and Risk Committee. | 8 High |
| 89 | Financial | Council Rates are Applied Inconsistently | IF Council Rates are perceived to be inconsistently applied by Council to ratepayers, THEN Council could be subject to legal or central government scrutiny, and/or reputational damage and community mistrust and disengagement. | 6 High | Ensure legislation is complied with at all times to avoid legal action. Rates Remissions Policy and Rates Postponement Policy should be used to counteract some negative impact of rates. LTP workshops and Annual Plan workshops should refer to the Revenue and Financing Policy, which is the overarching guide in how rates will be used to fund Council Activities (this Policy may be reviewed at any time). Ensure any changes to rates are publically notified and subject to the Special Consultative Procedure (Annual Plan open for feedback instead). Seek expert legal advice where implementing a new rate or new way of applying an existing rate. | 3 Moderate |
| 29 | Health, Safety, and Wellbeing | Public Events | IF health and safety accidents or incidents occur during events THEN increased costs can occur to the events, reputation is damaged | 4 High | Health and Safety plans are established well in advance to an event being planned. Physical hazards and risks are eliminated Hazard Identification records are kept. Events do not proceed without correct Health and Safety sign off. Good communication to all staff | 2 Moderate |
| 31 | Health, Safety, and Wellbeing | Abusive Customers | IF council staff and/or representatives are exposed to abuse from the public during, or as a result of their association with council, THEN this could impact on staff safety and council's responsibility to ensure the safety of staff. | 12 - Very High | Staff have personal alert alarms if in danger, customer service training and policies on how to deal with situations so they do not escalate. Security cameras in place. Fob access required to access staff office area. Mayor's office is secured by glass entry way. | 4 High |
| 32 | Health, Safety, and Wellbeing | Lone Worker | IF a staff member is seriously injured or killed during field inspections/site visits, THEN possible health and safety breaches, death or serious injury. | 12 Very High | Quality assurance, Ongoing training/awareness of HSE requirements and responsibilities, Better use of council data/knowledge base on dangerous or insanitary sites before staff member deploys to site, Use of GPS tracking, mobile phone tracking. Compliance officers to wear body cameras when on duty. | 3 Moderate |
| 34 | Health, Safety, and Wellbeing | Food / Health Safety | IF Council doesn't adequately respond to a complaint and a member of the public falls ill or dies, THEN Council is at risk of legal proceedings under the Food Act/Health Act. | 4 High | Quality assurance standards and process in place and adhered to by staff. Ongoing training/awareness of HSE requirements and responsibilities. Ensure Food safety bylaw is regularly reviewed. | 2 Moderate |
| 35 | Health, Safety, and Wellbeing | Parking control | In the process of administering the Parking function, IF a member of the public is injured or vehicle is damaged, THEN possible death or serious injury could result. | 4 High | Quality assurance, Ongoing training/awareness of HSE requirements and responsibilities. Body cameras to be worn by compliance officer when out on duty. | 2 Moderate |
| 36 | Health, Safety, and Wellbeing | Council Vehicle accident | IF a staff member has an accident in a council vehicle, THEN this could result in possible death or serious injury and damage to motor vehicle asset. | 4 High | All staff must have a full drivers licence, all staff are aware of procedures if there is an accident. Staff driver training to be provided to regular drivers. GPS and mobile phone tracking. | 3 Moderate |
| 37 | Health, Safety, and Wellbeing | Staff under Stress | IF staff are affected by personal issues or by work pressures and experiencing high levels of stress, THEN work performance may decline and/or fatigue, illness, unsafe work practices may result. | 7 High | New Wellbeing Strategy implemented and regularly monitored by the Health and Safety Committee. Managers are responsible for being aware of the wellbeing of their direct reports. There are various options available for relieving the pressure of staff who are overworked including increasing staff or reallocating work - regular wellbeing newsletters emailed out to all staff by H&S officer. EAP service is widely communicated to all staff. All critical staff have a backup option available so they can take annual leave for at least a week at a time. | 3 Moderate |

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| 38 | Health, Safety, and Wellbeing | Exposure to Hazardous Substances | IF staff are affected by exposure to hazardous substances eg chemicals, liquids, fumes and other toxic substances THEN there are possible risks to staff health and wellbeing. | 6 High | All hazardous substances are correctly labelled and stored according to best practice safety procedures and guidelines. Training is mandatory for all staff working with hazardous substances. Use appropriate PPE gear at all times in the vicinity of the hazardous substances. Regular health checks for staff. Regular testing of hazardous substances and chemicals LABELLING and STORAGE be carried out RANDOMLY. The Stratford Water Treatment Plant has site licences for the storage of chemicals, these must be kept up to date. Fire extinguishers are on site, all signage is current and covers off on all of the chemicals held on site, labels are all correct and current. We currently have 5 authorised handlers. Ixom also do site audits when their representative is in the immediate area. | 3 Moderate |
| 39 | Health, Safety, and Wellbeing | Playground Equipment Failure | IF Playground equipment, or other recreational equipment fails THEN a member of the public could be seriously injured or killed. | 8 High | Biennial playground inspection report and quarterly compliance checks by contractor to bring any issues to attention of council staff. | 3 Moderate |
| 40 | Health, Safety, and Wellbeing | Swimming Pool Accident | IF a member of the public has an accident in the water or a medical emergency at the Stratford Pool, THEN this could result in possible death or serious injury. | 4 High | Training and qualifications are mandatory for lifeguards, children and elderly are monitored by lifeguard/s at all times. More staff brought on at busier periods. | 3 Moderate |
| 41 | Health, Safety, and Wellbeing | Workplace Bullying or Harrassment | IF Bullying and harrassment in the workplace occurs THEN it can have an impact on the health and wellbeing of staff subject to the bullying and other staff witnessing the behavior. This may impact on staff productivity and the ability of Council to attract good quality candidates. | 4 High | Top down culture against bullying and harassment of any kind, policy is followed through by management, staff are aware of the reporting process. The reporting process to deal with bullying and harassment is fair, transparent, confidential and dealt with in a timely manner. | 3 Moderate |
| 61 | Health, Safety, and Wellbeing | Asbestos Related Work | IF council buildings are contaminated with asbestos, THEN there is the possibility of asbestos exposure to staff and the public and increased risk of asbestosis and other lung and pleural disorders. | 4 Moderate | Asbestos protocols need to be developed in line with the asbestos regulations. Community needs to be made aware of Asbestos disposal guidelines. Staff involved in building compliance or construction work should be appropriately trained in handling of asbestos materials. | 2 Moderate |
| 66 | Health, Safety, and Wellbeing | Dog Attack | IF a dog attacks a member of the public and the dog control team have been slow or negligent in responding to complaints, THEN the the council may be liable for costs, and the public safety may be compromised. | 4 High | Compliance officer to respond immediately to dog complaints. Ensure all dogs in the district are registered and the dog bylaw is complied with. Dogs are microchipped. Ensure dog pound is secure and access is restricted. | 1 Low |
| 67 | Health, Safety, and Wellbeing | Muscular discomfort - Ergonomics | IF muscular pain or discomfort or eye strain occurs as a result of the work environment and setting, THEN this will impact on staff health and wellbeing and long term comfort at work. | 2 Moderate | Apply ACC Habit At Work guidelines. Workstation assessments should be carried out to reduce the likelihood of onset of long term discomfort and pain conditions. | 1 Low |
| 68 | Health, Safety, and Wellbeing | Armed Robbery | IF there is an armed robbery at any of council's services centres, THEN there is the potential for death or serious harm. | 8 High | Establish emergency procedures, including use of panic buttons. Security cameras in place. Ensure staff are trained to deal with potential threat. Design / limit access to building so that threats are minimised. | 4 Moderate |
| 69 | Health, Safety, and Wellbeing | Employee Substance Abuse | IF staff are affected by drugs or alcohol while at work, THEN there is an increased risk of an accident or injury, property damage, and reduced work performance. | 8 High | Ensure staff are aware of drug and alcohol policy. Initial drug testing done prior to employment to filter out regular users. Utilise EAP. | 2 Moderate |
| 70 | Health, Safety, and Wellbeing | Dangerous Roads due to weather events | IF there are dangerous road conditions that are not managed and communicated to the public appropriately, THEN there is a higher potential for car accidents and possible road fatalities. | 2 Moderate | Ensure standard operating procedures are in place for potential weather events that may cause damage to the roads. This should include timely social media communications, installation of temporary barriers, cordons and signage in affected areas. | 1 Low |

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| 73 | Health, Safety, and Wellbeing | Water supply network is Contaminated | IF the Water supply network becomes contaminated THEN the public health is at risk and Council could be liable for financial penalties and will suffer reputational damage. | 8 High | Implement regular (at least annually), systematic routine testing of raw AND treated water for a range of heavy metals. Backflow preventors to be installed for high risk properties. Relevant staff must be trained and qualified in the use of chemicals. | 8 High |
| 80 | Health, Safety, and Wellbeing | Fatigue Management | IF Fatigue affects an employee, as a result of working extraordinary hours, THEN the employee may have limited functionality which could result in personal injury or injury to others. It could also lead to stress and long term mental illness if it is reoccurring and could mean Council is in breach of the Health and Safety Act. | 3 Moderate | Ensure employees take regular, quality rest breaks during the working day, in line with the Employment Relations Act (HR Policy requires this). Ensure all staff know their responsibilities in terms of managing fatigue. Ensure shift workers rostered times are manageable. The Vehicle Use Policy has limits on driving a Council vehicle after exceeding max number of work hours. Contractor fatigue management to be reported and monitored through regular contractor meetings. | 1 Low |
| 83 | Health, Safety, and Wellbeing | Aerodrome - Unsafe Conditions | IF the Council fails to carry out its legislative responsibilities to ensure aircraft movements are restricted or prohibited in unsafe conditions/areas of the Aerodrome, THEN lives could be put at risk and property damaged. | 4 High | Establish operational procedures specific to this risk, and regularly monitor compliance. Council has Airport Owner and Operators Liability insurance cover of up to \$10m for all related costs Council is legally obligated to pay for property damage or bodily injury including death. | 2 Moderate |
| 42 | Operational | Payroll Processing | IF Staff are not paid correctly or on time THEN staff may become disgruntled and distrustful of their employer, work standards could drop and employment laws could be breached. | 3 Moderate | Training of practices and legislation. Staff competent and levels appropriate. Good planning for staff leave in the finance team and time management. External notification of updates and changes. More than one staff member should be fully functional in payroll. Ensure facility available to access cash if Council is short. | 1 Low |
| 43 | Operational | Roading - other work clashing | IF there is work being carried out by others on/in road reserve, e.g. Broadspectrum, THEN council may not be able to complete its own work programme. | 3 Moderate | Co-ordination of planned works with other contractors in the area when planning physical works. | 2 Moderate |
| 44 | Operational | Road Closures - unplanned | IF there are un-planned road closures due to collapse of damage to culverts or bridges, or a landslide or for any other reason THEN access in/out of district could be lost and people could be injured as a result. | 4 High | Asset criticality review to identify critical roading assets and increase monitoring activities. Ensure quality workmanship and contractors are aware of their obligations to report and repair any damages to roads. Resources diverted from other planned projects to remediate repairs to enable the road to be re-opened. | 3 Moderate |
| 45 | Operational | Contractor - Damage to Property | IF maintenance contractor damages council or private property while carrying out contracted work, THEN council could be liable for damages and additional expenditure. | 4 High | Stringent Operational procedures: Daily reporting of compliance. Regular liaison with contractor and regulators to monitor performance to ensure compliance. Contractor pre-approval process. Council has material damage insurance policy, excess \$5k. | 3 Moderate |
| 46 | Operational | Other Contractors in Network Corridor | IF work by others in Network Corridor results in damage to components of the 3 waters infrastructure THEN services to the public may cease or become unreliable or compromised. | 3 Moderate | Co-ordination between services before major projects begin. Ensure all works have Corridor Access Requests. | 1 Low |
| 47 | Operational | Attracting and Retaining Staff | IF Council is unable to attract and retain suitably qualified personnel, THEN services may become under threat and may cease. | 3 - Moderate | Internal training and succession planning programs. Ensure market wages are offered for all high demand positions. Recruit off shore option should be available for high-demand positions. Make greater use of consultants if necessary and/or shared services with neighbouring Councils. Make Stratford District Council a great place to work - measure staff engagement and respond to any issues expediently. | 2 Moderate |

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| 48 | Operational | Maintenance Contractor fails to deliver | IF maintenance contractor fails to deliver contractual service necessitating termination of contract and re-tendering, THEN assets may become under threat, unreliable, or unable to meet community needs. | 4 High | Careful assessment of tender to ensure contract price viable for contractor to deliver level of service. Regular liaison with contractor to monitor performance and ensure compliance. Contractor pre-approval process must not be bypassed. | 3 Moderate |
| 49 | Operational | Property design /construction information | IF Council does not have adequate information on original design or construction of asset, THEN there is a greater potential for failure of future work and unsafe future construction. | 3 Moderate | Carry out regular condition assessment of assets. Reassess use of asset or redesign to suit. | 1 Low |
| 50 | Operational | Key Person risk | IF a key person in the organisation could not work for a significant period of time THEN this could affect council's ability to perform core functions and duties. | 4 High | Ensure Promapp is up to date with all staff day to day processes, if known absence ahead of time ensure an appropriate training plan in place. Make use of local consultants where appropriate. Connect with colleagues from neighbouring three councils to share resource if needed. | 2 Moderate |
| 51 | Operational | Natural Disaster or Fire - Response preparedness | IF a Natural Disaster or Fire causes significant damage to infrastructure and buildings THEN community welfare may be severely compromised, putting peoples lives at risk, and staff may be unable to access systems to carry out their day to day duties and functions. | 15 Very High | Civil Defence Emergency Management plans are in place. Procedures following an emergency event are widely known by a number of staff due to Civil Defence Foundational training being rolled out to majority of council staff. Business Continuity Plans need to be in place and practiced regularly for all activities - Directors responsible for having a plan in place for each of their departments to ensure core functions can continue to be delivered. | 12 Very High |
| 64 | Operational | Infectious Disease Outbreak / Pandemic | IF an infectious human disease outbreak / pandemic threatened NZ and reached the district, THEN this could impact staff availability, local services could temporarily close down, and the community access to healthcare is limited potentially resulting in population decline. | 4 - High | Health and Safety Advisor to keep aware of any public health notifications of disease outbreaks. Ensure there is a plan to respond to any notifications. Civil Defence covers infectious human disease pandemics and will take responsibility for local management. Follow Ministry of Health's NZ Influenza Pandemic Action Plan. | 3 Moderate |
| 65 | Operational | Biosecurity threat risk | IF there is a biosecurity threat to animals, or plant life THEN this could affect the economic, cultural, social, and environmental wellbeing of the district and the ability of council to financially meet community needs. | 4 High | Ensure council takes a proactive approach to working with Biosecurity NZ, MPI, TRC, mana whenua, and the community where a threat is identified. | 2 Moderate |
| 71 | Operational | Critical Asset Failure | IF a critical asset (water treatment plants, stormwater, wastewater, reticulation, roading) failed, THEN unexpected financial burden may arise and there could be significant disadvantage and risk to the community. | 15 Very High | Conduct 2 yearly Asset Criticality Review. Ensure there are established Civil Defence Emergency Management response procedures in relation to fixing critical assets in an emergency event. Management practices and staff training, retention to ensure appropriate skill level in critical asset maintenance. | 4 High |
| 76 | Operational | Heavy/Extreme Rainfall incidents | IF the Stratford District experiences heavy rainfall continually over a period THEN roads may flood, restricting accessibility, landslips and mudslides may restrict road access and cause property damage, productive land areas may flood reducing functions, Stormwater, Wastewater and Water Supply assets may fail from overburdening, and overflows from Wastewater system may result in untreated water entering the Patea River. | 8 High | Asset Management Plans and Incident Control Response Plans to document critical asset areas and response plan in the event of heavy rainfall incidents. | 3 Moderate |
| 77 | Operational | Terrorist Attack | IF a terrorist attack occurred in Stratford, THEN loss of life, property damage, and business discontinuity may result. | 4 Moderate | Develop Lockdown procedures for all Council public sites i.e. Library, I-Site, Council Office, TSB Pool. Be alert and aware of potential threats, work closely with Police and establish plan to minimize damage to people and property. | 4 Moderate |

| Risk Alert Number | Risk Category | Risk Subject | Risk Description | Risk Score Raw | Control Description | Residual Risk Score |
|-------------------|---------------|--|---|---------------------|--|---------------------|
| 78 | Operational | Government Policy Impacting on Local Government | IF Government Policy significantly changes the services Council delivers or the way they are delivered, THEN this could put financial pressure on the district to fund investment in changes, or it may mean previous investment has become redundant. | 20 Extreme | Where a policy change may have a significant negative impact on the Council then staff and elected members should consider making a submission to suggest and encourage alternative options. Council officers and elected members need to keep up to date with proposed changes to legislation and govt policy, and anticipate potential impacts of legislative changes and respond strategically, rather than being in a reactive position or being overly proactive. This could include joint collaboration with business and other councils, accessing alternative funding sources, or obtaining legal or professional advice. Council should aim to maintain a position where it can be adaptive and respond well to change, e.g. low to medium debt levels, diversification, good employment relationships. | 20 Extreme |
| 82 | Operational | Failure of a Significant Contractor | IF a Contractor's financial situation deteriorates and impacts on their ability to deliver on a procurement contract, THEN the project may be left unfinished, Council may lose out on funds already spent, and may have to put contract out for tender again - resulting in project delays and additional cost. | 4 High | Due Diligence required for all significant contracts that are required to go out for tender. Refer process in Procurement Manual (D19/33336), and Due Diligence Checklist (D18/35114). | 2 Moderate |
| 86 | Operational | Asset / Infrastructure Failure causing Public Health risk. | IF Council assets or infrastructure fail to work as intended, are unsafe, cause harm, public damage or endanger the public, THEN the public may be exposed to health, wellbeing or safety risks, that may put Council's reputation at risk, and Council could be subject to various penalties if found negligent. | 6 High | Ensure asset replacement programmes are identified through physical checks of the individual assets. The capital investment required to replace these assets is aligned with a developed replacement programme which is included in the respective AMP. Identify any issues that may arise at the time of renewing existing resource consents. Maintain and update incident response plans for each asset group, including any public notification where required. Ensure staff and contractors are trained on the requirements of the incident response plans. | 3 Moderate |
| 87 | Operational | Public Damage to Council Assets and Infrastructure | IF the public cause damage to Council assets and infrastructure, THEN existing service levels may discontinue and/or Council will incur financial loss. | 6 High | Use security cameras for areas that are at high risk of vandalism or deliberate damage. Have insurance on Council assets and infrastructure (in accordance with the Insurance Framework) that is sufficient to cover replacement. Require insurance indemnity for organised events. | 2 Moderate |
| 95 | Operational | Manage Drought or Extreme Heat | IF the Stratford District experiences drought and or extreme heat THEN water infrastructure capacity may be impacted. With 15,000 hectares of forestry in the district land and livelihoods are at risk of drought that exacerbates the risk of wildfires. Lives may be put at risk, and access routes blocked. | 8 - High | Reduce emissions wherever possible. Work closely with mana whenua, TEMO and other agencies that can assist with planning for alternative exit routes, alternate water supplies and evacuation plans. Consider, all new builds to have alternative water supplies, enable retrofitting of alternative water supplies. | 3 Moderate |
| 96 | Operational | Significant Population Increase | IF the Stratford district population was to increase significantly THEN we may not be prepared to cope with the increased demand and reduced capacity for council services which would impact on all four community wellbeings. | 2 - Moderate | Create strategies for housing that is both sustainable and allows for more people to live in smaller footprints. Be prepared for potential environmental migrants coming from coastal areas | 1 Low |
| 97 | Operational | Non-council owned Infrastructure Failure | IF council experiences disruption of essential lifeline services such as energy, gas, internet, and communications THEN Council may not be able to operate effectively, if at all. | 8 - High | Prepare backup plans for the outages of all key lifeline areas. Plan to reduce energy use / reliance, plan to access and alternative energy sources. Local energy produced is used locally- Circular systems. | 3 Moderate |

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|-------------------|--------------------------|---|---|---------------------|--|---------------------|
| 33 | Reputational and Conduct | Animal Welfare | IF an animal that has been impounded is injured or dies due to maltreatment, THEN this could result in animal welfare agency scrutiny, possible court and legal costs, and reputational damage. | 3 Moderate | Quality assurance, Ongoing training/awareness of HSE requirements and responsibilities, Vet Care/Assessments. Ensure notification is given to new animals being impounded so that compliance officer ensures the animals are being cared for and regularly fed and have access to water. Monthly farm meetings to bring up any animal welfare issues. Property Manager to regularly visit farm and make visual assessment of cow welfare. | 2 Moderate |
| 53 | Reputational and Conduct | Release of incorrect or confidential information | IF incorrect or confidential information was given out through social media, media releases, staff actions at the services desks, LGOIMA requests, council meetings, and/or functions THEN risk of damaged reputation, ratepayer distrust and actions from Local Government ministry and/or Privacy Commissioner. | 8 High | All Media releases are to be checked off by Dir – Community Services, and signed off by CEO or Mayor. Social Media Policy in place for clear guidance of social media use. Front counter training needs and communication guidelines established - a resource centre (knowledge base) maintained for FAQ's from public. Consider implementing a Privacy Impact Assessment for how council handles personal information. | 2 Moderate |
| 54 | Reputational and Conduct | Building Consent Authority (BCA) Accreditation | IF Council loses BCA accreditation, THEN council cannot perform its building control function and there is no approval process for construction work and building compliance for the Stratford district. | 4 High | Ensure best practice processes and procedures are in place and staff numbers and skill levels in the building consents team are appropriate. IAANZ audit recommendations to be taken on board. QA process implemented. | 1 Low |
| 55 | Reputational and Conduct | Building Control functions undertaken negligently | IF council issues building consent/s, code of compliance certificates, or other building function decisions negligently or without appropriate quality controls and the structural integrity of the building work fails or the work is unsafe THEN the property owner could demand compensation, and it could result in reputational damage, possible legal costs, and building industry distrust may result. | 8 High | Quality assurance. Resourcing and ongoing training of competent staff. Low tolerance for poor quality documentation from consent applicants. Reporting of substandard work practices observed. More use of standard online templates for processing applications. Council has public liability insurance. | 2 Moderate |
| 56 | Reputational and Conduct | Building Consent location | IF Council issues consent and/or code compliance and the location of the building or structure that council signs off on is found to be in the wrong location THEN reputation damage could result and legal action may be taken against Council. | 4 Moderate | Quality assurance. Resourcing and ongoing training of competent staff. Low tolerance for poor quality documentation from consent applicants. Reporting of substandard work practices observed. Engage professional surveyor if considered high risk. Council has public liability insurance. | 1 Low |
| 57 | Reputational and Conduct | Online Passwords | IF online passwords are shared or used inappropriately, THEN there is the risk that staff can access or hack Council owned systems and release sensitive information. | 4 High | Ensure that where a staff member leaves and they have access to logins accessible online that the passwords are changed and access ceases. Limit use of online accounts. | 2 Moderate |
| 58 | Reputational and Conduct | Contractor Damage or Breach | IF Council and/or council contractors are found to be liable for public/environmental damage, or any actions that are unsafe or non-compliant with legislation and applicable policies and standards, THEN fines, possible injury, long-term damage, reputational damage could result. | 12 Very High | Appropriate procedures and guidelines are in place to monitor contractor actions and our own including health and safety audits, contractor meetings/KPI's. The Council requires all physical works contractors to go through a thorough health and safety pre-qualification process and become approved before commencing any physical work. All relevant staff are kept up to date with pre-approved contractors register. Mini audits and random checks should be built into contracts. Contractor public liability insurance required for all major contracts. | 3 Moderate |
| 59 | Reputational and Conduct | CCO and other Outsourced Functions | IF Council's non-core activities (farm, aerodrome) or CCO (Percy Thomson Trust) operate in a way that has potential for non-compliance with the law or potential for financial loss THEN there may be legal, financial, environmental and health implications. | 4 High | Ensure regular meetings between council staff and external operators are held and there is good reporting and monitoring of key risks and KPI's by council staff. CCO's must report six-monthly to Council. Farm Business plan is prepared annually, separate to the Annual Plan, which contains all other council operations. | 3 Moderate |

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|-------------------|--------------------------|---|---|-----------------------|---|---------------------|
| 60 | Reputational and Conduct | Elected Members Communication | IF elected members disclose incorrect or confidential information to the public or talk about council negatively, THEN this could damage the reputation and public trust of elected members and council staff. | 6 High | Ensure elected members have a good awareness and understanding of the SDC Code of Conduct. Induction for new councillors should be thorough and cover communication with the public, in private, and at Council meetings. | 3 Moderate |
| 72 | Reputational and Conduct | Elected Members - Decision Making | IF elected members make significant decisions based on inaccurate/insufficient information, "biased" influences, conflicts of interest not disclosed, or lack of understanding of the financial or legislative impacts, THEN there could be funding access difficulties, audit scrutiny, financial penalties, and/or community distrust in elected members. Potential breach of Local Authorities (Member's Interests) Act 1968, and Councillors may be personally financially liable under S.47 of LGA 2002. | 12 Very High | Relies on the accuracy and quality of the advice given by staff to elected members - ensure agenda, reports, and other papers are always reviewed by CEO, and Directors if appropriate. Information related to decision making should be given to elected members in a timely manner. Elected members should receive initial induction training and attend LGNZ, SOLGM conferences where material is relevant to get a better understanding of governance decision making. Council has a Professional Indemnity insurance policy for all elected members and independent committee members. | 4 High |
| 75 | Reputational and Conduct | Council employees abuse members of the public | IF Council employees, during the course of their Council duties abuse members of the public, particularly children, THEN the Council may suffer significant reputational damage and potentially be taken to court. | 8 High | All staff in public facing roles should undertake de-escalation training, customer service training, and possible social media training. Also use behavioural type interview questions to investigate how potential new employees would deal with customers. This should also cover contractors. Minimising stress levels at work and providing a good work place environment where reported behaviours are dealt with efficiently is necessary. | 4 Moderate |
| 90 | Reputational and Conduct | Consultation and Engagement with Maori | IF Council does not effectively engage with Maori on matters of interest, THEN Council decisions will lack a Maori perspective which may lead to substandard community outcomes, and decisions that may not be supported by Maori which could harm relationships. | 12 - Very High | Build and maintain strong relationships with all iwi in the Whakaahurangi rohe - between Chairs and Mayor, CEO levels, and between operational staff. All decision reports to Council must outline what consultation has been undertaken with Maori. Develop an iwi partnerships framework. | 3 Moderate |
| 91 | Reputational and Conduct | Maori Tikanga and Protocols | IF Council representatives show disrespect or ignorance to Maori tikanga, customs, protocols and /or environment, THEN this may cause harm to Council's relationships with the Maori community and put Council into disrepute. | 4 - High | Build and maintain cultural competency amongst Council representatives. Council staff lead initiatives to promote tikanga Maori and te reo in the workplace, by developing and maintaining a plan to encourage learning, and celebration, of tikanga Maori and te reo in the workplace. Seeking external advice and support where necessary to ensure tikanga is upheld appropriately. | 3 Moderate |
| 92 | Reputational and Conduct | Community Engagement | IF Council does not engage with the community in line with its Significance and Engagement Policy and the requirements of sections 76-82 of the Local Government Act 2002, THEN Council decisions will lack a community mandate, may not be fit for purpose, and may be scrutinised and subject to legal challenge. | 12 - Very High | Prepare engagement strategy and communication plans for major decisions. An engagement strategy for the LTP is a must. Targeted engagement should be considered where decisions affect particular groups or individuals disproportionately. | 4 High |
| 98 | Reputational and Conduct | Environmental Degradation and Biodiversity Loss | IF council owned properties, including the farm, suffer due to lack of consideration of climate adaptation and mitigation THEN we may be at risk of creating emissions beyond our ability to offset. | 3 - Moderate | Undertake independent emissions profile of all council assets. Work with mana whenua to design and implement biodiversity nature-based solutions to restore ecosystems in the rohe. (Fund with proposed Biodiversity credits) Explore large scale carbon sinks on council land. | 2 Moderate |