

# Customer Enabled Compliance

## Risk Framework

# LEGISLATION

Resource Management Act



Building Act



Dog Control Act



Health Act



Food Act



Sale and Supply of Alcohol Act



Each year we investigate...

- 57,000 noise complaints
- 40,000 animal management complaints
- 13,000 bylaw breach complaints
- 10,000 resource management complaints
- 4,000 building control complaints

Local Govt Act  
Bylaws



# CATALYSTS FOR CHANGE

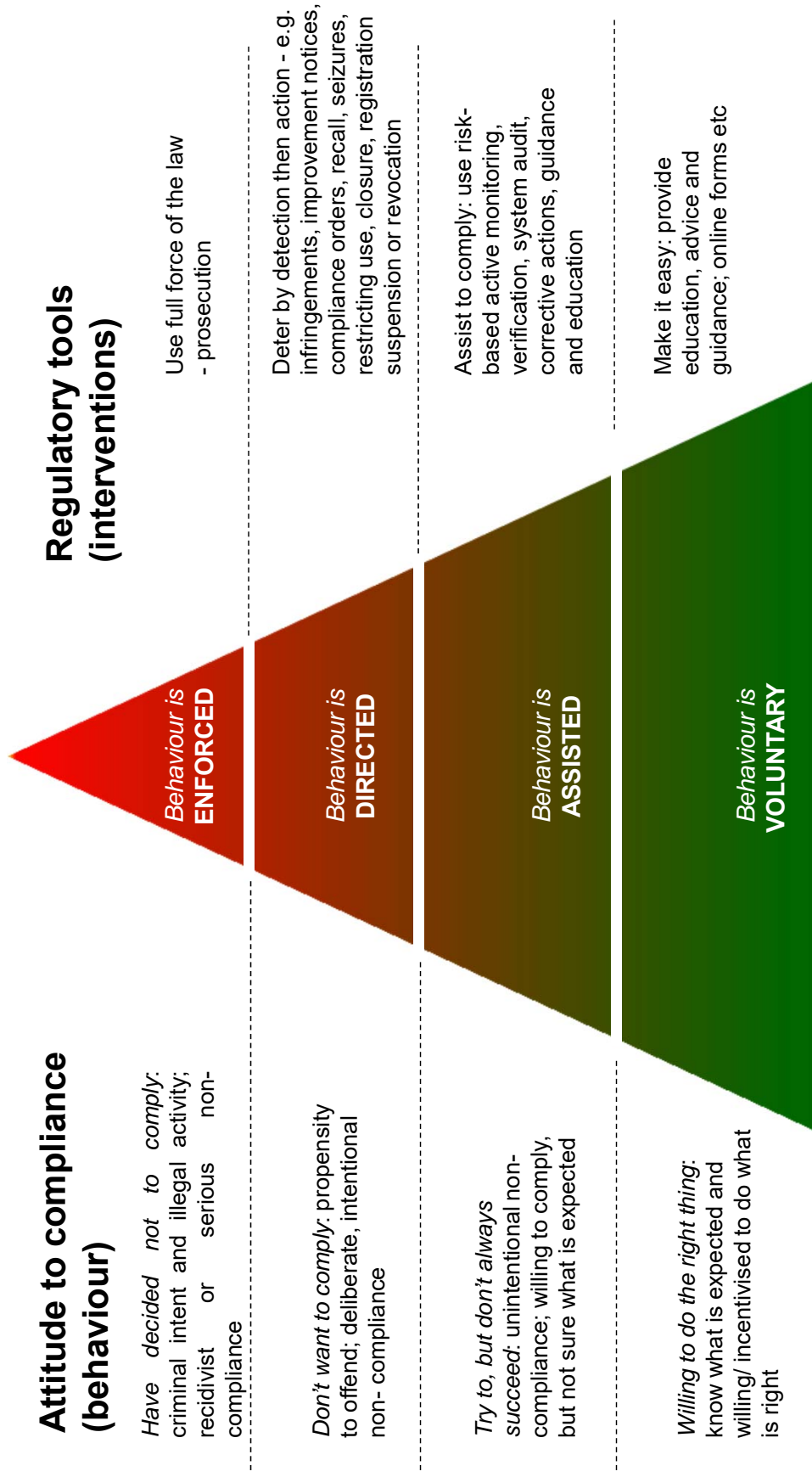
- Demand for compliance services is increasing
- Customer expectations are changing
- Operational challenges and opportunities

# PRINCIPLES

- We take a risk and evidence based approach to regulation
- We prioritise harm to inform resource allocation decisions
- We use tailor-made solutions for each harm, taking into consideration the unique circumstances of individual situations
- We use a range of tools for gaining compliance and managing risk
- We use enforcement actions economically, proportionate to the societal risk at stake

**“ We cant be everywhere, all of the time”**

# THE APPROACH TARGETS DIFFERENT ATTITUDES TO COMPLIANCE



**Actions at the top of the pyramid support actions at the bottom by clarifying expectations and demonstrating that those who don't comply will be held to account**

# ... AND DIFFERENT RISK PROFILES

**An effective regulatory approach requires both:**

- **Focusing on the right things** – targeting efforts at the areas where there is the greatest risk and potential harm
- **Applying the right approach** – selecting the compliance tool based on the attitude and motivation of regulated parties towards compliance

The matrix to the right shows the approaches that may be required when these two elements are combined.

Effective intelligence gathering and data analysis is fundamental to inform the focus and approach to take.



**.....SOME EXAMPLES**

# Risk Pritisation Matrix - Building Incidents

Risk of harm to human health /environment

<b>5. Severe:</b> Fatality/Safety matter that could cause a fatality to human or wild life						<b>Dangerous Building, imminent danger</b>	
<b>4. Major:</b> Injury or illness – causing permanent/irreversible impairment on human health or wildlife Irremediable damage to infrastructure/habitats/ecosystems/Mana Whenua						<b>Retaining wall, leaning but no imminent danger</b>	
<b>3. Moderate</b> Injury or illness requiring treatment (human or wildlife) with no lasting effect Remediable damage to infrastructure/habitats/ecosystems/Mana Whenua							
<b>2. Minor</b> An injury/discomfort (human/wildlife) that doesn't require treatment. No discernible effects to infrastructure/habitats/ecosystems/Mana Whenua or effects have ceased							
<b>1. Not significant</b> No effect/harm to the health /safety of human , wildlife, environment No measurable/physical effects Nuisance only							<b>Garden shed</b>
	<b>1. Rare:</b> Could happen, but probably never will	<b>2. Unlikely:</b> Not likely to occur in normal (controlled) environment	<b>3. Possible:</b> May occur at some time	<b>4. Likely:</b> Expected to occur at some time	<b>5. Almost certain:</b> Expected to occur regularly under normal (controlled) circumstances		

We consider the unique circumstances for every case

Factors such as ongoing effect, cumulative effect, or the need to collect evidence may drive up the risk or likelihood rating and therefore the priority of our response

Likelihood of event occurring



# Risk Prioritisation Matrix - RMA/AUP Incidents

Risk of harm to human health /environment

<p><b>5. Severe:</b> Fatality/Safety matter that could cause a fatality to human or wild life</p>						
<p><b>4. Major:</b> Injury or illness – causing permanent/irreversible impairment on human health or wildlife Irremediable damage to infrastructure/habitats/ ecosystems/Mana Whenua</p>						<p><b>Damage to Scheduled Heritage Building</b></p>
<p><b>3. Moderate</b> Injury or illness requiring treatment (human or wildlife) with no lasting effect Remediable damage to infrastructure/habitats/ecosystems/Mana Whenua</p>						
<p><b>2. Minor</b> An injury/discomfort (human/wildlife) that doesn't require treatment. No discernible effects to infrastructure/habitats/ecosystems/Mana Whenua or effects have ceased</p>						<p><b>Mud on road from construction site</b></p>
<p><b>1. Not significant</b> No effect/harm to the health /safety of human , wildlife, environment No measurable/physical effects Nuisance only</p>						<p><b>Domestic food odour</b></p>
	<p><b>1. Rare:</b> Could happen, but probably never will</p>	<p><b>2. Unlikely:</b> Not likely to occur in normal (controlled) environment</p>	<p><b>3. Possible:</b> May occur at some time</p>	<p><b>4. Likely:</b> Expected to occur at some time</p>	<p><b>5. Almost certain:</b> Expected to occur regularly under normal (controlled) circumstances</p>	

We consider the unique circumstances for every case

Factors such as ongoing effect, cumulative effect, or the need to collect evidence may drive up the risk or likelihood rating and therefore the priority of our response

Likelihood of event occurring

# Risk Prioritisation Matrix - Bylaws

Risk of harm to human health /environment

<b>5. Severe:</b> Fatality/Safety matter that could cause a fatality to human or wild life						
<b>4. Major:</b> Injury or illness – causing permanent/irreversible impairment on human health or wildlife Irremediable damage to infrastructure/habitats/ecosystems/Mana Whenua		Fire hazard due to overgrown vegetation				
<b>3. Moderate</b> Injury or illness requiring treatment (human or wildlife) with no lasting effect Remediable damage to infrastructure/habitats/ecosystems/Mana Whenua			Vehicle window washing			
<b>2. Minor</b> An injury/discomfort (human/wildlife) that doesn't require treatment. No discernible effects to infrastructure/habitats/ecosystems/Mana Whenua or effects have ceased						
<b>1. Not significant</b> No effect/harm to the health /safety of human , wildlife, environment No measurable/physical effects Nuisance only					Boat ramp obstruction	
	<b>1. Rare:</b> Could happen , but probably never will	<b>2. Unlikely:</b> Not likely to occur in normal (controlled) environment	<b>3. Possible:</b> May occur at some time	<b>4. Likely:</b> Expected to occur at some time	<b>5. Almost certain:</b> Expected to occur regularly under normal (controlled) circumstances	

We consider the unique circumstances for every case

Factors such as ongoing effect, cumulative effect, or the need to collect evidence may drive up the risk or likelihood rating and therefore the priority of our response

Likelihood of event occurring

# Risk Prioritisation Matrix - Environmental Health

Risk of harm to human health /environment

<b>5. Severe:</b> Fatality/Safety matter that could cause a fatality to human or wild life						
<b>4. Major:</b> Injury or illness – causing permanent/irreversible impairment on human health or wildlife Irremediable damage to infrastructure/habitats/ecosystems/Mana Whenua	Asbestos					
<b>3. Moderate</b> Injury or illness requiring treatment (human or wildlife) with no lasting effect Remediable damage to infrastructure/habitats/ecosystems/Mana Whenua						Pest at food premises
<b>2. Minor</b> An injury/discomfort (human/wildlife) that doesn't require treatment. No discernible effects to infrastructure/habitats/ecosystems/Mana Whenua or effects have ceased						
<b>1. Not significant</b> No effect/harm to the health /safety of human , wildlife, environment No measurable/physical effects Nuisance only						Food grade not displayed
	<b>1. Rare:</b> Could happen , but probably never will	<b>2. Unlikely:</b> Not likely to occur in normal (controlled) environment	<b>3. Possible:</b> May occur at some time	<b>4. Likely:</b> Expected to occur at some time	<b>5. Almost certain:</b> Expected to occur regularly under normal (controlled) circumstances	

We consider the unique circumstances for every case

Factors such as ongoing effect, cumulative effect, or the need to collect evidence may drive up the risk or likelihood rating and therefore the priority of our response

Likelihood of event occurring

# Risk Prioritisation Matrix - Noise Control

Risk of harm to human health /environment

<b>5. Severe:</b> Fatality/Safety matter that could cause a fatality to human or wild life						
<b>4. Major:</b> Injury or illness – causing permanent/irreversible impairment on human health or wildlife Irremediable damage to infrastructure/habitats/ecosystems/Mana Whenua						
<b>3. Moderate</b> Injury or illness requiring treatment (human or wildlife) with no lasting effect Remediable damage to infrastructure/habitats/ecosystems/Mana Whenua						
<b>2. Minor</b> An injury/discomfort (human/wildlife) that doesn't require treatment. No discernible effects to infrastructure/habitats/ecosystems/Mana Whenua or effects have ceased						
<b>1. Not significant</b> No effect/harm to the health /safety of human , wildlife, environment No measurable/physical effects Nuisance only						
	<b>1. Rare:</b> Could happen , but probably never will	<b>2. Unlikely:</b> Not likely to occur in normal (controlled) environment	<b>3. Possible:</b> May occur at some time	<b>4. Likely:</b> Expected to occur at some time	<b>5. Almost certain:</b> Expected to occur regularly under normal (controlled) circumstances	

Ongoing excessive construction noise

One-off party noise

Car alarm during day

We consider the unique circumstances for every case  
Factors such as ongoing effect, cumulative effect, or the need to collect evidence may drive up the risk or likelihood rating and therefore the priority of our response

Likelihood of event occurring



# Risk Prioritisation Matrix - Animal Mgt

Risk of harm to human health /environment

<p><b>5. Severe:</b> Fatality/Safety matter that could cause a fatality to human or wild life</p>						<p><b>Dog attack on person</b></p>
<p><b>4. Major:</b> Injury or illness – causing permanent/irreversible impairment on human health or wildlife Irremediable damage to infrastructure/habitats/ ecosystems/Mana Whenua</p>						
<p><b>3. Moderate</b> Injury or illness requiring treatment (human or wildlife) with no lasting effect Remediable damage to infrastructure/habitats/ecosystems/Mana Whenua</p>						<p><b>Roaming Dog</b></p>
<p><b>2. Minor</b> An injury/discomfort (human/wildlife) that doesn't require treatment. No discernible effects to infrastructure/habitats/ecosystems/Mana Whenua or effects have ceased</p>						
<p><b>1. Not significant</b> No effect/harm to the health /safety of human , wildlife, environment No measurable/physical effects Nuisance only</p>						<p><b>Barking</b></p>
	<p><b>1. Rare:</b> Could happen, but probably never will</p>	<p><b>2. Unlikely:</b> Not likely to occur in normal (controlled) environment</p>	<p><b>3. Possible:</b> May occur at some time</p>	<p><b>4. Likely:</b> Expected to occur at some time</p>	<p><b>5. Almost certain:</b> Expected to occur regularly under normal (controlled) circumstances</p>	

We consider the unique circumstances for every case

Factors such as ongoing effect, cumulative effect, or the need to collect evidence may drive up the risk or likelihood rating and therefore the priority of our response

Likelihood of event occurring



# Risk Prioritisation Matrix - Regulatory Services

Risk of harm to human health /environment

<p><b>5. Severe:</b> Fatality/Safety matter that could cause a fatality to human or wild life</p>					<p>Dangerous Building, imminent danger</p> <p>Dog attack on person</p>
<p><b>4. Major:</b> Injury or illness – causing permanent/irreversible impairment on human health or wildlife Irremediable damage to infrastructure/habitats/ecosystems/Mana Whenua</p>	<p>Fire hazard due to overgrown vegetation</p> <p>Asbestos</p> <p>Damage to Scheduled Heritage Building</p> <p>Retaining wall, leaning but no imminent danger</p> <p>Pest at food premises</p> <p>Roaming Dog</p>				<p>Mud on road from construction site</p>
<p><b>3. Moderate</b> Injury or illness requiring treatment (human or wildlife) with no lasting effect Remediable damage to infrastructure/habitats/ecosystems/Mana Whenua</p>					<p>Ongoing excessive construction noise</p> <p>Vehicle window washing</p> <p>One-off party noise</p>
<p><b>2. Minor</b> An injury/discomfort (human/wildlife) that doesn't require treatment. No discernible effects to infrastructure/habitats/ecosystems/Mana Whenua or effects have ceased</p>					<p>Domestic food odour</p> <p>Garden shed</p> <p>Car alarm during day</p>
<p><b>1. Not significant</b> No effect/harm to the health /safety of human , wildlife, environment No measurable/physical effects Nuisance only</p>				<p><b>1. Rare:</b> Could happen, but probably never will</p>	<p><b>2. Unlikely:</b> Not likely to occur in normal (controlled) environment</p> <p><b>3. Possible:</b> May occur at some time</p> <p><b>4. Likely:</b> Expected to occur at some time</p> <p><b>5. Almost certain:</b> Expected to occur regularly under normal (controlled) circumstances</p>

We consider the unique circumstances for every case

Factors such as ongoing effect, cumulative effect, or the need to collect evidence may drive up the risk or likelihood rating and therefore the priority of our response

Likelihood of event occurring

# Example Response

ID#	Discipline	Harm	Response Time	Response Type
1	Animal Management	Dog Attack on a person	30-60 Mins	Priority Response
2	Building Incidents	Dangerous Building, imminent danger	30-60 Mins	Priority Response
3	RMA/AUP Incidents	Damage to Scheduled Heritage Building	30-60 Mins	Priority Response
4	Noise Control	One-off party noise	30-60 Mins	Priority Response
5	Animal Management	Roaming Dog	60 mins to 24 hours	Record, Evaluate, Determine response requirements (targeted)
6	Bylaws	Vehicle window washing	60 mins to 24 hours	Record, Evaluate, Determine response requirements (targeted)
7	Bylaws	Boat ramp obstruction	60 mins to 24 hours	Record, Evaluate, Determine response requirements (targeted)
8	Environmental Health	Asbestos	60 mins to 24 hours	Record, Evaluate, Determine response requirements (targeted)
9	Noise Control	Ongoing excessive construction noise	60 min to 24 hours	Record, Evaluate, Determine response requirements (targeted)
10	Noise Control	Car alarm during day	60 min to 24 hours	Record, Evaluate, Determine response requirements (targeted)
11	RMA/AUP Incidents	Domestic food odour	60 mins to 24 hours	Record, Evaluate, Determine response requirements (targeted)
12	Environmental Health	Pest at food premises	60 mins to 24 hours	Record, Evaluate, Determine response requirements (targeted)
13	Animal Management	Barking	2-5 days	Record, Evaluate, Determine response requirements (targeted)
14	Building Incidents	Retaining wall, leaning but not imminent danger	2-5 days	Inspection
15	Bylaws	Potential fire hazard due to overgrown vegetation	2-5 days	Inspection
16	RMA/AUP Incidents	Mud on road from construction site	2-5 days	Inspection
17	Building Incidents	Garden Shed	5-10 days	Inspection
18	Environmental Health	Food Grade not displayed	5-10 days	Record, Evaluate, Determine response requirements (targeted)

**Response may not always be in form of a physical inspection**

We consider the unique circumstances for every case

Factors such as ongoing effect, cumulative effect, or the need to collect evidence may drive up the risk or likelihood rating and therefore the priority of our response

**Not a replacement for good judgement!**