

**Date:** Tuesday, 13 May 2025  
**Time:** 2.00pm  
**Meeting Room:** Room 1, Level 26  
**Venue:** Te Wharau o Tāmaki - Auckland House  
135 Albert Street  
Auckland

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## **Komiti mō te Tātari me te Mātai Tūraru / Audit and Risk Committee**

### **OPEN ATTACHMENTS**

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**Komiti Tātari me te Mātai Raru Tūpono / Audit and Risk Committee  
Forward Work Programme 2024-2025**

This committee assists and advises the Governing Body in discharging its responsibility and ownership of governance, risk management and internal control across Auckland Council group. Responsibilities include reviewing the effectiveness of enterprise risk management, internal and external audit assurance, health safety and wellbeing, business continuity and resilience, integrity and investigations. The Committee monitors compliance, risk management in significant projects and programmes of work and procurements and has oversight of risk management and assurance of CCOs, the preparation of the LTP, Annual Report and other statutory financial reports. The full Terms of Reference is available [here](#)

Area of work and lead	2024	2025				
	3 December	18 February	13 May	26 August	16 September	9 December
<b>Forward work programme</b> <i>Chief Risk and Assurance Officer</i>	Work programme <a href="#">Link to decision</a> Committee's Annual performance report <a href="#">Link to decision</a> Summary of Audit and Risk Committee information memoranda, workshops, and briefings	Work programme <a href="#">Link to decision</a> Summary of Audit and Risk Committee information memoranda, workshops, and briefings	Work programme Summary of Audit and Risk Committee information memoranda, workshops, and briefings	Work programme Summary of Audit and Risk Committee information memoranda, workshops, and briefings	Work programme Summary of Audit and Risk Committee information memoranda, workshops, and briefings	Work programme Committee's Annual performance report Summary of Audit and Risk Committee information memoranda, workshops, and briefings
<b>Assurance</b> <i>Chief Risk and Assurance Officer</i>	Internal Audit activities update <a href="#">Link to decision</a> - restated	Internal Audit and integrity update <a href="#">Link to decision</a> - restated	Internal Audit update <ul style="list-style-type: none"> <li>Internal Audit activities update</li> <li>Internal Audit strategy and audit plan (July 2025 – June 2026)</li> <li>Internal Audit Charter</li> </ul>	Internal Audit and integrity update		Internal Audit activities update
<b>Houkura - He Waka Kōtuia - Te Tiriti o Waitangi Audit</b> <i>Chief Risk and Assurance Officer</i>		Treaty Audit Monitoring update. <a href="#">Link to decision</a>		Treaty Audit Monitoring update.		
<b>Enterprise Risk</b> <i>Chief Risk and Assurance Officer</i>	Enterprise Risk Update <a href="#">Link to decision</a> <a href="#">Link to decision</a> - restated		Enterprise Risk Update.			Enterprise Risk Update
<b>CCO Risk management</b> <i>Chief Risk and Assurance Officer</i>	CCO quarterly risk report Attendance by Watercare <a href="#">Link to decision</a> - restated	CCO and GSS quarterly risk report Attendance by Auckland Transport <a href="#">Link to decision</a> - restated	CCO and GSS quarterly risk report	CCO and GSS quarterly risk report Attendance by Tātaki Auckland Unlimited Attendance by GSS		CCOs and GSS quarterly risk report Attendance by Watercare
<b>Port of Auckland Limited (POAL) Risk management</b> <i>Governance &amp; Risk Manager (POAL)</i>			POAL risk update Attendance by POAL			
<b>Key Strategic Project updates</b> <i>Director Resilience and Infrastructure</i> <i>Deputy Director Resilience and Infrastructure</i> <i>Director Policy, Planning and</i>	Local Water Done Well <a href="#">Link to decision</a> City Rail Link update <a href="#">Link to decision</a> - restated Recovery Project update		Recovery Project Update	City Rail Link update		City Rail Link update Recovery Project update

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Attachment A

Area of work and lead	2024	2025				
	3 December	18 February	13 May	26 August	16 September	9 December
<i>Governance</i> <i>Group Recovery Manager</i>	<a href="#">Link to decision</a>					
<b>Health, Safety and Wellbeing</b> <i>Head of Health, Safety and Wellbeing</i>	Health, safety, and wellbeing update <a href="#">Link to decision</a>	Health, safety, and wellbeing update <a href="#">Link to decision</a>	Health, safety, and wellbeing update	Health, safety, and wellbeing update		Health, safety and wellbeing update
<b>Legal Risk</b> <i>General Counsel</i>	Legal risk report <a href="#">Link to decision</a> - restated		Legal risk report			Legal risk report
<b>Insurance</b> <i>Resilience and Insurance Manager</i>		Update on insurance activities <a href="#">Link to decision</a> - restated		Update on insurance activities		
<b>Data and privacy</b> <i>Director of GSS</i>				Data and privacy update		Data and privacy update
<b>Cyber security</b> <i>GM Technology Services</i>	Cyber security update <a href="#">Link to decision</a> - restated	Cyber security update <a href="#">Link to decision</a> - restated	Cyber security update	Cyber security update		Cyber security update
<b>Interim Report</b> <i>Group Financial Controller</i>	Review arrangements 31 December 2024 <a href="#">Link to decision</a> 31 December 2024 Interim Financial Statements & NZX Announcement Update <a href="#">Link to decision</a> <a href="#">Link to decision</a> - restated Proforma interim financial statements and accounting policies 31 December 2024 <a href="#">Link to decision</a> - restated	31 December 2024 half year results announcement for the NZX and Interim Report clearance <a href="#">Link to decision</a> <a href="#">Link to decision</a> - restated	Audit New Zealand Review Engagement management report for the six months ended 31 December 2024			Review arrangements 31 December 2025 31 December 2025 Interim Financial Statements & NZX Announcement Update Proforma interim financial statements and accounting policies 31 December 2025
<b>Annual Report</b> <i>Group Financial Controller</i>	Audit New Zealand final audit management report 30 June 2024 <a href="#">Link to decision</a> Limited assurance engagement on consolidated greenhouse gas emissions for the year ended 30 June 2025 <a href="#">Link to decision</a>	30 June 2025 Arrangements (Audit New Zealand audit plan) <a href="#">Link to decision</a> Engagement letter for 2025 GHG emissions assurance <a href="#">Link to decision</a>	NZX Announcement 30 June 2025 / Annual Report 30 June 2025 update for committee Proforma Annual Report 30 June 2025 (financial statements and accounting policies) Proforma Volume 4 - Climate Change Risk 30 June 2025 (including Climate disclosure work programme - progress update)	NZX Announcement 2025/ Annual Report 30 June 2025 update for committee Audit New Zealand Interim audit management report 30 June 2025	30 June 2025 Annual Report and Volume 4 - Climate Related Disclosure 30 June 2025 CCO annual reports on risk (matters raised through annual audit process and summary of any significant findings raised by auditors) Attendance by Auckland Transport, Tātaki Auckland Unlimited, Eke Panuku and Watercare POAL annual reports on risk (matters raised through annual audit process and summary of any significant findings raised by auditors) Attendance by POAL	Audit New Zealand final audit management report 30 June 2025 Greenhouse Gas (GHG) paper

Area of work and lead	2024	2025				
	3 December	18 February	13 May	26 August	16 September	9 December
<b>Climate Change Reporting and Sustainable Finance</b> <i>Group CFO</i>	Auckland Council's Sustainable Finance update <a href="#">Link to decision</a> Climate disclosure work programme - progress update <a href="#">Link to decision</a>					Auckland Council's Sustainable Finance update Climate disclosure work programme - progress update
<b>Annual Plan 2024/2025</b> <b>Annual Plan 2025/2026</b> <i>GM Financial Strategy</i>	Risk management approach for the Annual Plan 2025/2026 <a href="#">Link to decision</a>		Risk management update for the Annual Plan 2025/2026			Risk management approach for the Annual Plan 2026/2027
<b>Annual Green Bond report</b> <i>Head of Group Treasury</i>			Process for Annual Green Bond Report 30 June 2025		Annual Green Bond Report 30 June 2025	
<b>External Audit</b> <i>Office of Auditor-General (OAG)</i>	Briefing paper provided <a href="#">Link to decision</a> - restated	Briefing paper provided <a href="#">Link to decision</a> - restated Managements response to OAG's letter on Flagstaff Partners engagements (Presented by AC) <a href="#">Link to decision</a>	Briefing paper provided	Briefing paper provided	Briefing paper provided	Briefing paper provided
<b>Workshop</b>						

Item 8

Attachment A



**Health, Safety, and Wellbeing (HSW) Enterprise Risk and Control Performance Report: Q3 FY25**

For supplementary information, please refer to the HSW Workplan FY25

Satisfactory: 18	Needs improvement: 7	Unsatisfactory: 4
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Risk Title and Level	Risk Description	Controls	Control Effectiveness	Notes on Control Effectiveness	Improvement Plan	Progress on improvement plan	Workplan year	Due
Failure to comply with requirements within HSW legislation.  <b>Inherent Risk: Critical</b>  <b>Current Residual Risk: Critical</b>	The risk that non-compliant health and safety management systems and processes result in a systemic environment in which kaimahi may be seriously injured or killed due to unmitigated control gaps or failures.	Operational risk registers	Needs improvement	Risk registers are inconsistent or incomplete and are hard to access. Application of existing HSW risk standard is not consistent, resulting in inconsistent and incomplete risk registers, documents and approach across the organisation.  Significant progress: A consistent heat map approach has been taken to identifying and documenting risks within each directorate (through to team level in some cases). This information is being loaded into Donesafe currently and forms the basis of our risk registers.	<ul style="list-style-type: none"> <li>Identify and document existing controls and level of effectiveness.</li> </ul>	<ul style="list-style-type: none"> <li>Capturing of controls is underway and this information will be loaded into Donesafe risk registers once complete.</li> </ul>	FY25 FY26	Q2 FY26
		Critical control management approach in place	Unsatisfactory	A significant review of the HSW critical risks programme is underway, with the purpose of identifying causal pathways and critical controls (in collaboration with frontline teams) and a process for verifying and providing assurance to officers of the PCBU.	<ul style="list-style-type: none"> <li>Refreshed HSW risk management to align with ISO 31000:2018 (Risk management) and ISO 45001:2018 (Occupational health and safety management systems), as well as the ACC Accredited Employer Programme (AEP) Audit Standard, including ensuring the framework aligns with Council's overall approach to risk management.</li> <li>This will be completed as a component of the overall HSW risk management framework (currently being refreshed and simplified as per previous line).</li> </ul>	<ul style="list-style-type: none"> <li>A high-level approach to critical risk management has been mapped out (in alignment with the HSW risk framework).</li> </ul>	FY25 FY26	Q2 FY26
		HSW management framework, including safe systems of work	Unsatisfactory	Policy and framework management approach documented and released, however individual procedures and standards require rewriting.	<ul style="list-style-type: none"> <li>HSW risk management framework is under review with the aim of ensuring a simple and consistent approach is taken across the organisation – including ensuring the framework aligns with Council's general approach to risk management.</li> <li>A review of current risks has been completed, and a number of risks consolidated and definitions updated.</li> <li>Review of the existing materials has been paused due to lack of resource – 2 FTEs commencing April/May and will be focused on developing this framework.</li> <li>The HSW framework will focus on aligning with ISO 31000:2018 (Risk management) and ISO 45001:2018 (Occupational health and safety management systems), as well as the ACC Accredited Employer Programme (AEP) Audit Standard. Where possible existing documents are being refreshed, and new elements developed as needed.</li> </ul>	<ul style="list-style-type: none"> <li>Specific elements of the HSW framework have been confirmed and current state mapped.</li> <li>More intensive work will commence when new HSW Advisors start in April/May 2025.</li> <li>Basic risk management process has been mapped out, guided by ISO 31000 standard.</li> <li>Overall risk management standard is in final draft and will be shared for consultation April/May 2025.</li> <li>Writing of key safety requirements (minimum standard for each HSW risk) is underway.</li> </ul>	FY25 FY26	Q2 FY26

Risk Title and Level	Risk Description	Controls	Control Effectiveness	Notes on Control Effectiveness	Improvement Plan	Progress on improvement plan	Workplan year	Due
		Regular assurance and verification of system and control implementation	Unsatisfactory	Assurance activity is happening throughout the business; however, there is not a planned approach managed by the HSW Team. There are capability gaps, and the assurance activity being carried out is not documented and monitored in a central location and therefore reporting cannot be produced.	<ul style="list-style-type: none"> <li>As a result of the HSW planning review in December 2024, the development of a HSW assurance and verification programme for Auckland Council has been shifted to FY26 to allow for a focus on delivery of risk management and contractor safety management projects.</li> </ul>	No progress – on hold until FY26	FY26	TBC
		HSW resources employed and structured to provide appropriate expert advisory services.	Satisfactory	A review of the HSW function is required in order to undertake the HSW FY25 Workplan and to provide the business with the necessary capability and support.	<ul style="list-style-type: none"> <li>New HSW Team structure went live 23 November 2024.</li> <li>Recruitment of suitable candidates has been difficult due to market demand and pay scale.</li> </ul>	n/a	n/a	Nov 2024
		Sufficient budget available for management of HSW considerations across the organisation	Satisfactory	Compliance costs may pose additional challenges to budgets, and rationale/business case is required for funding requests. Noting that all HSW costs are not centralised, and the majority of funding for control implementation must come from directorates.	<ul style="list-style-type: none"> <li>Budgeting for FY26 is complete.</li> </ul>	n/a	n/a	Q3 FY25
		Due diligence applied by officers of PCBU	Needs improvement	Limited governance activity from officers, however previously the ELT have been operating as a governance team for HSW.	<ul style="list-style-type: none"> <li>A review of HSW reporting is underway with the purpose of ensuring HSW reporting supports officers to meet due diligence requirements (HSWA s.44).</li> <li>A discovery report has been completed (gap analysis).</li> <li>Refreshed reporting methodology and formatting is being presented to ELT for review 11/4/25.</li> <li>A second governance workshop has been completed for ELT in Q2 to provide information and resources to uplift capability across officers at Council. This will ensure governance activity is understood, applied and reported to meet the legislative requirements of due diligence under the HSWA s.44.</li> </ul>	<ul style="list-style-type: none"> <li>A third workshop is being planned to formalise governance activities, set objectives, agree on measures and reporting (Q4 FY25).</li> </ul>	FY25	Q2 FY25
		HSW Information system in place and functional	Satisfactory	Donesafe (HSW reporting system) is live across the organisation.	<ul style="list-style-type: none"> <li>Ongoing improvements will continue to be made as part of the standard operating procedure, and further Donesafe modules are in development (contractor management, risk management, health monitoring).</li> </ul>	n/a	n/a	Ongoing
		Leadership engagement on HSW considerations	Satisfactory	Peakon results are focused on Health and Wellbeing (there are no safety-specific question in the quarterly Peakon engagement survey across Auckland Council).	<ul style="list-style-type: none"> <li>The March 2025 Peakon result for health and wellbeing is 8.0 (no change from the previous two surveys, and 0.2 below the Peakon benchmark). This is considered a 'good' result, with 51% of respondents being promoters (36% passive, 13% detractors).</li> </ul>	<ul style="list-style-type: none"> <li>Planning on safety-specific questions to include in future Peakon surveys to commence Q4 FY25</li> </ul>	n/a	Ongoing
		Worker Engagement, Participation and Representation	Satisfactory	Ensuring Council meets WEPR legislative requirements through	<ul style="list-style-type: none"> <li>Reviewed documentation has been published.</li> <li>The nomination process for elections is completed.</li> <li>HSR of the Year appointed in December 2024.</li> </ul>	<ul style="list-style-type: none"> <li>Work is underway to re-establish the HSR Leadership Group</li> </ul>	FY25	Q2 FY25



Risk Title and Level	Risk Description	Controls	Control Effectiveness	Notes on Control Effectiveness	Improvement Plan	Progress on improvement plan	Workplan year	Due
		(WEPR) arrangements in place		enabling work representation in matters relating to HSW.	<ul style="list-style-type: none"> <li>The HSR Leadership group has been non-functional for a number of months and work is underway to restart this.</li> </ul>			
<p>Failure to effectively manage ACC injury claims and entitlements.</p> <p><b>Inherent Risk:</b> High</p> <p><b>Current Residual Risk:</b> Medium</p>	<p>Poor or non-compliant ACC case management through the accredited employer programme may lead to loss of accreditation, reputational damage, increased ACC premium, high claims costs, and loss of employee productivity and engagement</p>	Use of third-party administrator to manage claims	Satisfactory	WellNZ is Auckland Council's third-party administrator.	No improvement required.	n/a	n/a	n/a
		Ongoing and regular AEP auditing	Satisfactory	Next audit scheduled for November 2025 – preparation is underway.	<ul style="list-style-type: none"> <li>The next ACC AEP audit is scheduled for November 2025 and will be a full audit (both injury management and health and safety systems).</li> </ul>	<ul style="list-style-type: none"> <li>New audit requirements (ISO 45001) are being mapped against current state, including the evidence required.</li> </ul>	FY26	Aug 2025
		Dedicated and competent injury management resources	Satisfactory	Gap in cover for Senior Injury Management Advisor should they be on leave; no business continuity planning exists currently.	<ul style="list-style-type: none"> <li>Additional injury management and rehabilitation specialist support role has been recruited</li> </ul>	n/a	n/a	Feb 2025
		Appropriate budget and contingency	Satisfactory	Costs are managed by each business unit.	No improvement required.	n/a	n/a	n/a
		Injury prevention programme in place	Needs improvement	The Senior Injury Management Advisor and HSW BPs work with each business unit to support injury prevention programmes as required.	No formal improvement plan is currently in place; resource increase as a result of the recent HSW structure change will support focus on this deliverable.	<ul style="list-style-type: none"> <li>No progress made for this activity.</li> </ul>	n/a	FY26
		Access to medical specialists for advice	Satisfactory	The Senior Injury Management Advisor organises this access as required (supported by the third-party administrator as needed).	No improvement required.	n/a	n/a	n/a
		Occupational health surveillance programme	Needs Improvement	Occupational health testing is inconsistent, and records are not centrally accessible.	<ul style="list-style-type: none"> <li>Occupational health surveillance programme to be developed.</li> <li>Procurement of a new Health Monitoring supplier for Council has been finalised.</li> <li>Implementation of the programme is still to be designed and delivered.</li> </ul>	Scheduled for FY26	FY26	TBC
		Communication and education	Satisfactory	Core role of the Senior Injury Management Advisor.	No improvement required.	n/a	n/a	n/a
		Regular monitoring of claims	Satisfactory	Core role of the Senior Injury Management Advisor.	No improvement required.	n/a	n/a	n/a
		Management of ACC claim handbacks	Satisfactory	Core role of the Senior Injury Management Advisor.	No improvement required.	n/a	n/a	n/a
		Stop loss cover applied	Satisfactory	Core role of the Senior Injury Management Advisor.	No improvement required.	n/a	n/a	n/a
		Appropriate systems and procedures within HSW Management Framework	Needs Improvement	Policy and framework management approach documented and released, however individual procedures and standards require rewriting.	<ul style="list-style-type: none"> <li>Continue to develop a new suite of procedures and documents as part of the framework refresh to align with ISO 31000:2018 (Risk management) and ISO 45001:2018 (Occupational health and safety management systems), as well as the ACC Accredited Employer Programme (AEP) Audit Standard.</li> </ul>	<ul style="list-style-type: none"> <li>Will be further supported by new team members joining April/May</li> </ul>	FY25 FY26	Q2 FY26

Risk Title and Level	Risk Description	Controls	Control Effectiveness	Notes on Control Effectiveness	Improvement Plan	Progress on improvement plan	Workplan year	Due
		Appropriate systems and procedures within P&C payroll team	Needs Improvement	Some processes still require updating to ensure that compensation entitlements are paid effectively.	<ul style="list-style-type: none"> <li>Continue to develop processes in consultation with WellNZ and ACC.</li> </ul>	Work continues, including integration into Project Galaxy.	n/a	Ongoing
<p>Insufficient effort applied to improve wellbeing of kaimahi.</p> <p><b>Inherent Risk: High</b></p> <p><b>Current Residual Risk: Medium</b></p>	<p>Loss of engagement of kaimahi, including impacts on productivity and quality of work. Impact on ability to attract and retain talent.</p>	Holistic wellbeing approach with a focus on supporting and nurturing positive wellbeing using Te Ao Māori perspectives on hauora/wellbeing	Satisfactory	Annual review of our Hauora (Wellbeing) strategy.	<ul style="list-style-type: none"> <li>Review of Hauora strategy is underway to ensure the approach is most suitable for our kaimahi, make adjustments as required, and is updated to include our new Mental Health Specialists.</li> </ul>	<ul style="list-style-type: none"> <li>Draft strategy has been completed and is going out for consultation (internal) in the first half of April 2025.</li> </ul>	FY25	Q4 FY25
		Communication and education	Satisfactory	Supported by our Pastoral Care Specialists and resources on Kotahi.	<ul style="list-style-type: none"> <li>Resources on Kotahi have recently been renewed. No further action required currently.</li> </ul>	n/a	n/a	n/a
		Mental health resourcing and support availability	Needs Improvement	Some kaimahi still struggle to access necessary support due to EAP provider limitations (lack of trained counsellors).	<ul style="list-style-type: none"> <li>EAP provision is being reviewed to ensure it is fit for purpose and appropriately addresses the need, a full procurement process has commenced</li> <li>Mental Health Specialists (x2) are now in place and supporting our people directly, alongside our existing Pastoral Care Team.</li> </ul>	<ul style="list-style-type: none"> <li>Procurement process underway to select EAP provider</li> </ul>	FY25	Q4 FY25
		Specialist advisory services in place	Satisfactory	Access to specialist services as needed via the Wellbeing Team.	No improvement required.	n/a	n/a	n/a
		Processes in place to address and control risks associated with wellbeing	Unsatisfactory	Critical risks programme is underway; however, controls have not yet been confirmed or implemented for those risks that impact wellbeing	<ul style="list-style-type: none"> <li>HSW risk management framework is under review (significant development is required) with the aim of ensuring a simple and consistent approach is taken across the organisation – including ensuring the framework aligns with Council’s general approach to risk management.</li> <li>A review of current risks has been completed, and a number of risks consolidated and definitions updated.</li> <li>A basic risk assessment process is underway across directorates including a self-assessment, control identification and effectiveness exercise across all directorates. This work is supported by the HSW Business Partnering Team. The results of this exercise will be used to update local risk registers.</li> </ul>	<ul style="list-style-type: none"> <li>Basic risk management process has been mapped out, guided by ISO 31000 standard.</li> <li>Overall risk management standard is in final draft and will be shared for consultation with worker representatives April/May.</li> <li>Writing of key safety requirements (minimum standard for each HSW risk) is underway.</li> </ul>	FY25 FY26	Q2 FY26
		Leadership engagement on wellbeing issues	Satisfactory	Peakon results are focused on Health and Wellbeing (there are no safety-specific question in the quarterly Peakon engagement survey across Auckland Council).	<ul style="list-style-type: none"> <li>The March 2025 Peakon result for health and wellbeing is 8.0 (no change from the previous two surveys, and 0.2 below the Peakon benchmark). This is considered a ‘good’ result, with 51% of respondents being promoters (36% passive, 13% detractors).</li> </ul>	Planning on safety-specific questions to include in future Peakon surveys to commence Q4 FY25.	n/a	Ongoing



## Health, Safety, and Wellbeing Dashboard

### FY25/Q3: January - March 2025

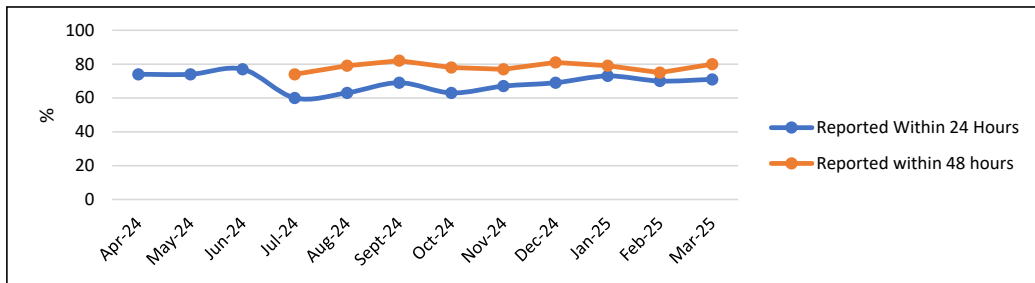
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#### Incident Performance

Number of incidents reported			Worksafe Notifiable incidents
Jan 2025	Feb 2025	Mar 2025	4
602	547	546	

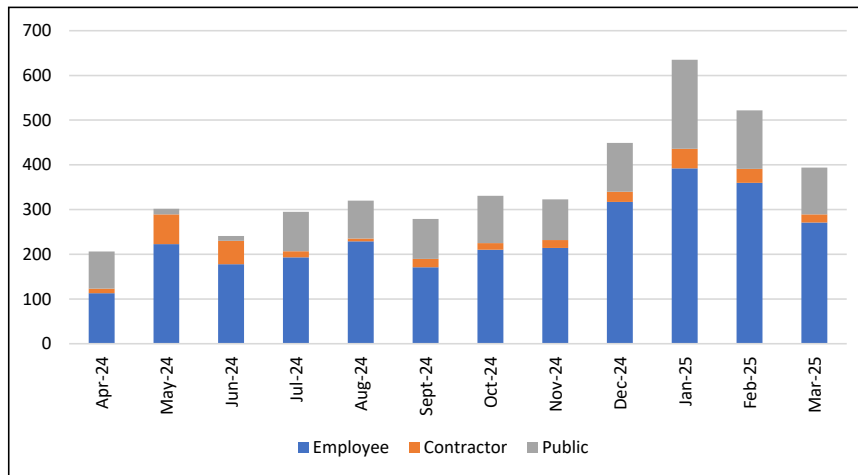
#### % Incidents Reported Within 24 and 48 hours

(Adjusted for weekends and public holidays)

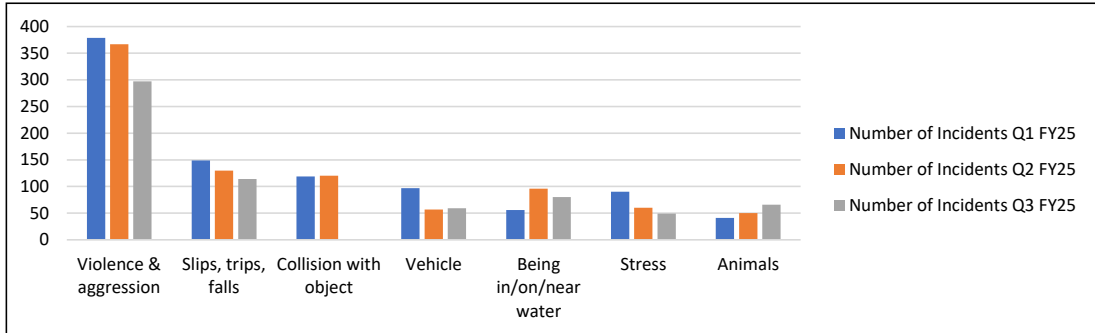


Attachment B

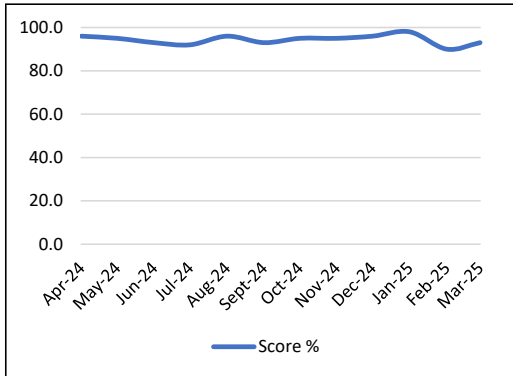
#### Type of Person Involved



### Risk Mechanism Involved (Top 5)

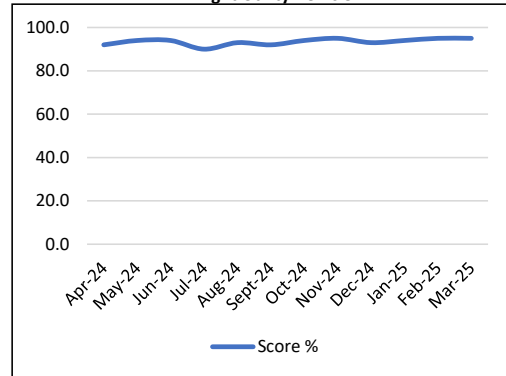


### Workplace Inspection Scores



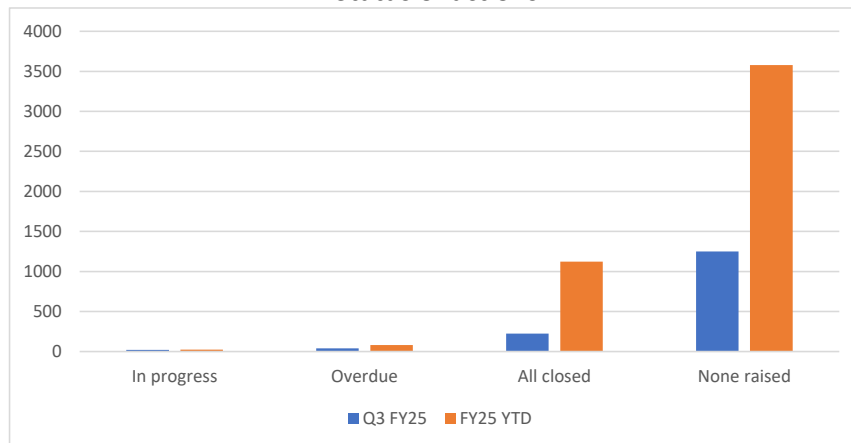
12 month average: 94%

### Check Scores Light Utility Vehicle



12 month average: 93%

### Status of actions





High potential events

Incident	What	When	Who	Where	Risk	Actions	HSR Involved	Stage
INC32702	Two guards took a bottle of Powerade without the owner's knowledge and added a small amount of Germex (disinfectant) to it. The owner unknowingly drank some, felt sick immediately.	1/01/2020 5 18:20	Employee	Albany Stadium Pool	Hazardous Substances	Review training on safety and include it in the monthly training plan.	Yes	Closed
INC32864	While testing a customer's pass card employee had a back spasm, and accidentally pressed the accelerator instead of the brake, driving golf cart through the barrier arm.	29/12/20 24 17:30	Employee	Martins Bay Holiday Park	Vehicle	Implement an appropriate safety procedure.	Yes	Closed
INC32976	After unlocking gate padlock for mobile library, the gate remained stuck and as a member of the café staff attempted to move it, her finger was crushed. First aid was provided. Injured person's family transported her to the hospital for treatment.	9/01/2020 5 10:00	Employee, Member of the Public	Te Henga (Bethells Beach)	Stored Energy	Communicate site-specific hazards and risks to the team before visits. Check the maintenance schedule for Te Henga Park gate.	No	Under Investigation
INC33053	Employee was investigating a dosing pump when they were sprayed in the face with 1% chlorine, primarily affecting their left eye. The eye was rinsed with saline and the external eye wash station was used.	13/01/20 25 11:20	Employee	West Wave Aquatic Centre	Hazardous Substances	H2O & Wavelength to inspect all chlorine lines. Develop and implement plant room checklists for pools and leisure.	No	Action In Progress
INC33261	A member of the public verbally threatened staff and a customer while waving a rifle-length BB gun around the front entrance area.	16/01/20 25 16:30	Employee	Moana-Nui-a-Kiwa Pool & Leisure Centre	Violent and Aggressive Behaviour	Request CCTV footage. Implement lock-down procedure.	No	Under Investigation
INC33326	Power was lost at the new water treatment plant. Electricians discovered that a wire to a new switch had not been properly secured. This live wire was close to the corrugated iron wall and if it had touched the iron, it could have made the entire workshop electrically live.	16/01/20 25 12:30	NA	Tawharanui Regional Park	Electricity	Verify board inspection certificate is current (annual check).	No	Under Investigation
INC33508	A contractor identified a potential electrocution risk to suppliers who removed a safety tag.	21/01/20 25 22:35	Contractor	135 Albert Street	Electricity	Follow electrical tag-out process.	No	Closed
INC33743	Some power points (Vector pillars and Montrose boxes) still had power, which was later addressed during a project.	27/01/20 25 15:12	Contractor	1951 Great North Road, Avondale	Electricity	Notify Vector and Auckland connections team about missed power supplies.	Yes	Closed

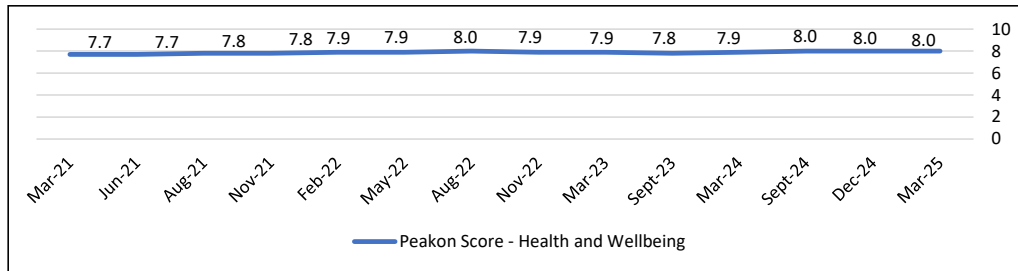


INC34277	A 5-year-old was underwater for approximately 1.5 minutes. A bystander noticed and pulled him up. An employee attempted CPR. As the AED was prepared, the boy regained consciousness and began breathing. Taken to hospital via ambulance.	15/02/20 25 14:40	Employee, Member of the Public	Albany Stadium Pool	Water	Inspect pool lane rope, safety messages, and pool rules Senior leadership to shadow staff Check carpark lighting Conduct lifeguard rescue simulations Review pool tiles and lifeguard shadowing hours Monitor air quality and complete lifeguard review	No	Under Investigation
INC34453	Digger damaged asbestos ceiling boards on roof overhang.	19/02/20 25 12:58	Unknown	7/166 Calliope Road, Stanley Point	Hazardous Substances	Manage asbestos disturbance	No	Under Investigation
INC34861	A 15-year-old was found unresponsive in the dive well of the pool. Lifeguards performed a wet rescue. He regained consciousness but remained unresponsive and was taken to hospital via ambulance.	2/03/202 5 12:15	Employee	Glenfield Leisure Centre	Water	None yet	No	Under Investigation
INC34992	Dangerously low water levels in the scrubber sump, allowing raw biogas to escape.	5/03/202 5 16:49	Unknown	3103 Broadlands Road, Broadlands	Hazardous Substances	An investigation is underway with the contracting company to determine the cause and prevent future occurrences. In the meantime, manual controls are in place to maintain safe water levels, and operators continue using personal gas monitors to detect harmful gases.	No	Under Investigation
INC35507	A man, previously involved in an incident, followed an employee to the front of the building while shouting and pointing at her. Later, the man approached a manager and asked if he wanted to "mess with him," showing a knife he had in his pocket.	18/03/20 25 11:00	Employee	Tepid Baths	Violent and Aggressive Behaviour	None yet	No	Under Investigation

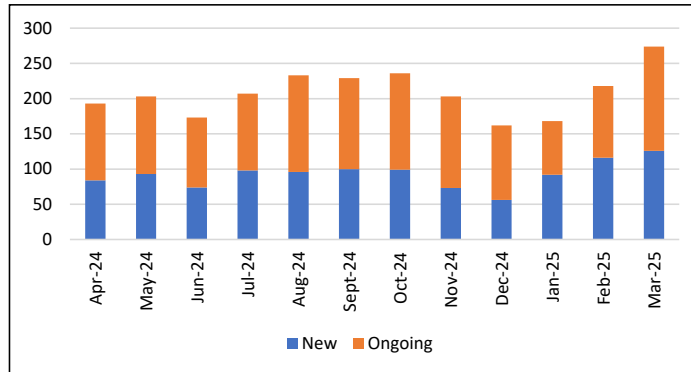


## Wellbeing

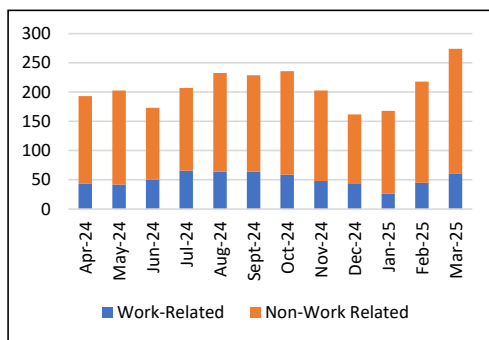
**Health and Wellbeing Scores**  
From Peakon Engagement Survey (all Council score)



### Active EAP Cases

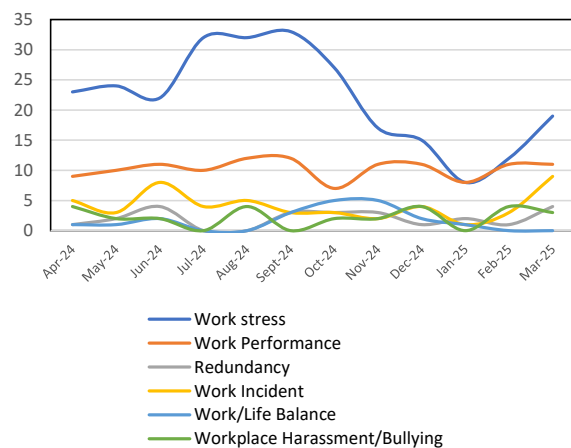


### EAP Case Type



### EAP Presenting Issues

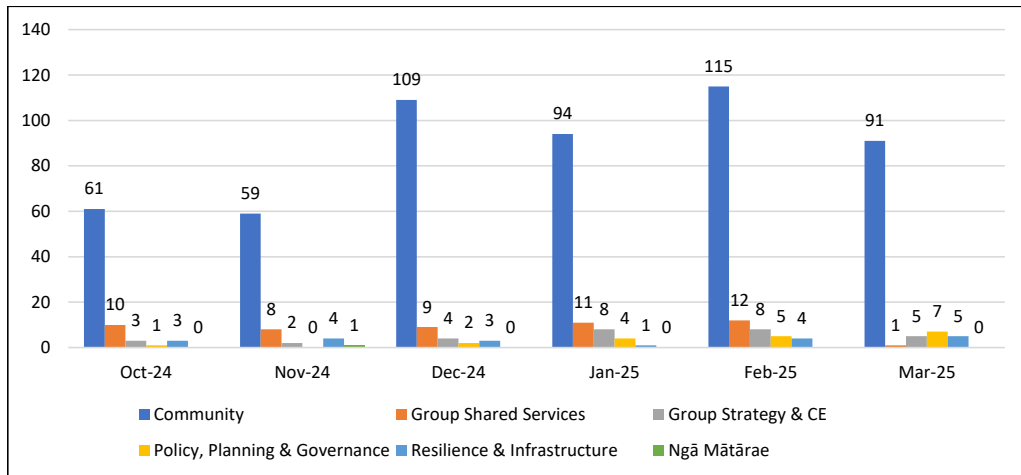
*Work Related*



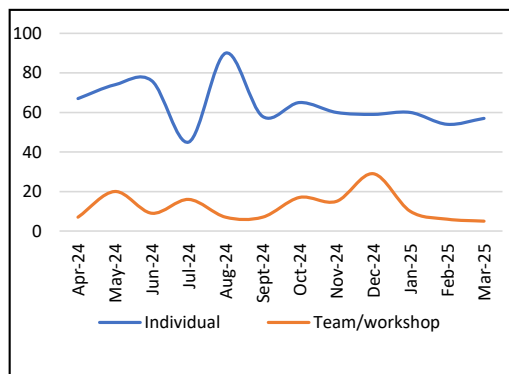
**EAP Cases by Directorate**  
*All Cases*

	Q1	Q2	Q3	Q4
Community	117	50	194	
Resilience & Infrastructure	33	40	47	
Group Shared Services	22	7	42	
Policy, Planning & Governance	37	9	Not reported	
Other	77	7	14	

**Pastoral Care Cases**  
*By Directorate*



**Pastoral Care Cases**  
*By Type*







March 2025

# STRATEGIC RISKS



# Strategic risks

March 2025 update

## Purpose

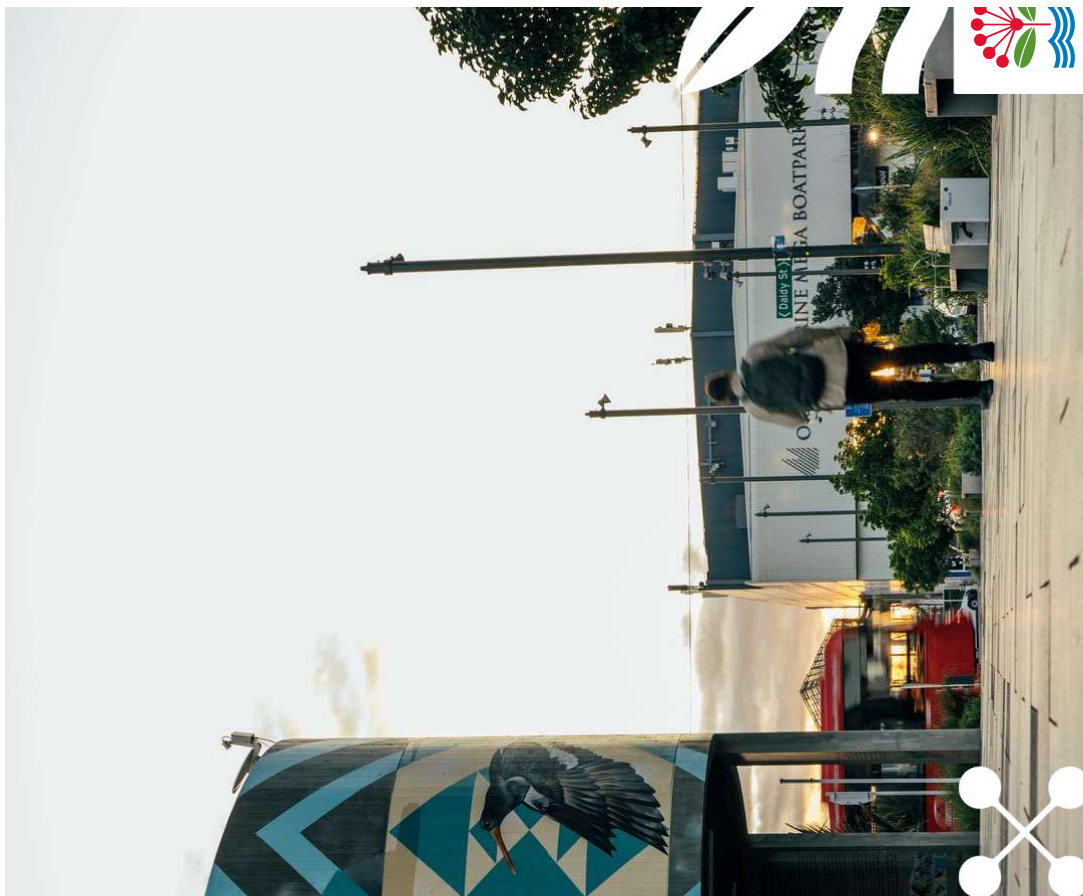
The purpose of this report is to present Auckland Council's strategic risks, as at March 2025, to the Audit and Risk Committee. It was presented to the ELT in April 2025 for their feedback.

## Strategic risk updates

During this update cycle risk leads have focused on reviewing and updating information related to the strategic risks, including controls and treatment actions. While ratings have remained unchanged from the last update, controls and treatment actions have been reviewed and updated to support overall effectiveness.

The Risk team has mapped each of the strategic risks to a corresponding risk appetite from the Auckland Council ARC-approved risk appetite statements. The overview slide on **page 3** provides each risk's mapped risk appetite and the aligned risk rating that would bring it within appetite. Our approach to determining risk appetite against each risk can be found on **page 4**.

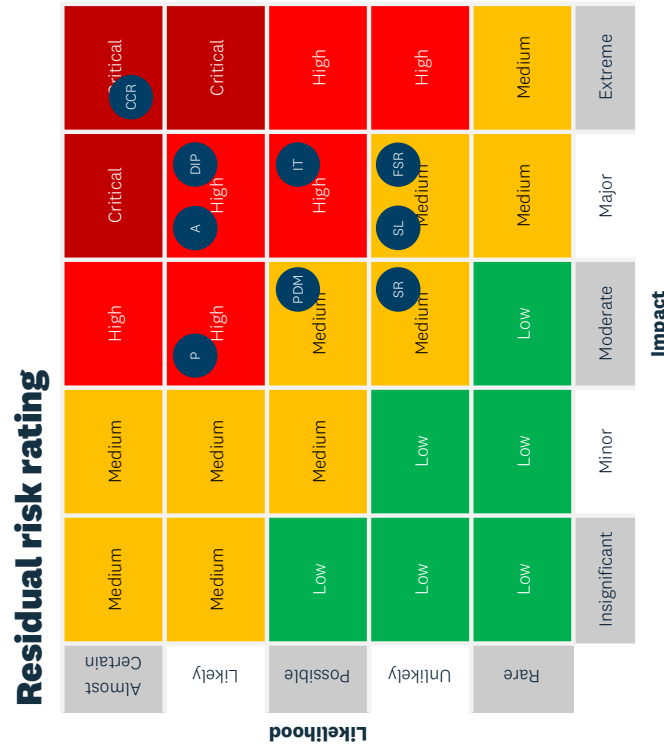
A refresh of Auckland Council's strategic risks is planned for June / July 2025.





# Strategic risks – March 2025

ID	Risk title	Inherent risk rating	Residual risk rating	Target risk rating	Risk appetite level	Aligned risk rating
A	Assets	Critical	High	Medium	Cautious	Low
CCR	Climate change response	Critical	Critical	Medium	Minimal	Low
DIP	Data, information and privacy	Critical	High	Medium	Minimal	Low
FSR	Financial stability and resilience	Critical	Medium	Medium	Minimal	Low
IT	IT currency and security	Critical	High	Medium	Minimal	Low
P	People	Critical	High	Medium	Minimal	Low
PDM	Political decision making	Critical	Medium	Medium	Cautious	Low
SL	Social licence	Critical	Medium	Medium	Cautious	Low
SR	Strategic relationships	Critical	Medium	Medium	Cautious	Low





## Assets

### Risk description

Risk that the council does not adequately plan for and fund key investments, including local board community assets, to support growth and/or perform necessary asset renewal, upgrade and maintenance. This would lead to inability to deliver required service levels or grow these to meet the needs of a growing Auckland region, increased costs of maintaining a deteriorating asset base, reduced resilience to extreme events, and unexpected failures which could put lives and services at risk.

<b>Risk Sponsor</b>	<b>Director, Resilience and Infrastructure</b>
<b>Risk Lead(s)</b>	GM, Engineering, Assets and Technical Advisory GM, Corporate Support Services GM, Parks and Community Facilities GM, Waste Solutions EO, Resilience and Infrastructure GM, Healthy Waters and Flood Resilience GM, Pools & Leisure Manager Infrastructure Strategy

<b>Risk appetite</b>	● Cautious	●●●●●	● Low	●●●●●	Aligned rating
----------------------	------------	-------	-------	-------	----------------

<b>Risk rating</b>	<b>October 2024</b>	<b>March 2025</b>
Inherent risk	● Critical	● Critical
Residual risk	● High	● High
Target risk	● Medium	● Medium



## Climate change response

### Risk description

Risk that council does not have the necessary funding, effective planning and delivery and financial resilience to manage the speed and scale of mitigation, transition and adaptation efforts, resulting in amplified impact of natural disasters to the community and the economy.

Risk that the council fails to provide strong leadership to Auckland or change the way we consider work programmes and priorities under a climate change future. This will impact our ability to report adequately on our climate response progress, invest in climate-positive outcomes, and lead Auckland in the change that is required.

<b>Risk Sponsor</b>	<b>Director Group Strategy and CE Office</b>
<b>Risk Lead(s)</b>	Chief Sustainability Officer GM Environmental Services GM Policy GM, Engineering, Assets & Technical Advisory Manager Group Sustainable Finance

<b>Risk appetite</b>	● Minimal	●●●●●	● Low	●●●●●	Aligned rating
----------------------	-----------	-------	-------	-------	----------------

<b>Risk rating</b>	<b>October 2024</b>	<b>March 2025</b>
Inherent risk	● Critical	● Critical
Residual risk	● Critical	● Critical
Target risk	● Medium	● Medium



## Data, information and privacy

### Risk description

1. Risk that a lack of substantive controls for data integrity, lineage availability, change, security and confidentiality lead to ill-informed business decisions, inaccurate advice for elected members and public makers, as well as a lack of confidence in the data.

2. Risk that the maintenance, storage, and availability of public personal information generated and collected by council is poor managed. Collaborative cloud-based ways of working have further deteriorated the consistency of protocols for storing public information and have introduced complexities for council to comply with the Public Records Act.

3. Risk that a lack of systemic controls and a poor understanding of privacy and data regulation at Council may lead to non-compliance, or more importantly, serious harm to those affected by breaches of personal information. Council's current guardrails are not adequate for appropriate use of data, and there is a significant reliance on kaimahi to know understand and act appropriately regarding collection, storage, usage disposal and sharing of data and information.

<b>Risk Sponsor</b>	<b>Director, Group Shared Services</b>
<b>Risk Lead(s)</b>	GM, Data Services Privacy and Official Information Manager Chief Information Security Officer

<b>Risk appetite</b>	● Minimal	●●●●●	● Low	●●●●●	Aligned rating
----------------------	-----------	-------	-------	-------	----------------

<b>Risk rating</b>	<b>October 2024</b>	<b>March 2025</b>
Inherent risk	● Critical	● Critical
Residual risk	● High	● High
Target risk	● Medium	● Medium



## Financial stability and resilience

### Risk description

Risk of an unsustainable funding model that impacts the council's long-term ability to fund essential services and projects and jeopardises its financial health, resulting in a lack of resilience to resource and support major economic and natural events and/or service delivery failures for our communities.

**Risk Sponsor** Group Chief Financial Officer

**Risk Lead(s)** Group Treasurer

GM, Financial Strategy

GM, Financial Advisory

GM, Group Strategy, Transformation and Partnerships

Manager CCO/External Partnerships

**Risk appetite** ● Minimal ..... ● Low **Aligned rating**

**Risk rating** **October 2024** **March 2025**

Inherent risk ● Critical ● Critical

Residual risk ● Medium ● Medium

Target risk ● Medium ● Medium



## IT Currency and Security

### Risk description

Risk that the currency and design of technology hardware and software degrades to a point where incidents, outages, threats, and cyber security breaches are sustained. The flow on impact of this is lower confidence in Council, an increased cost to operate, and increased kaimahi turnover.

A cyber security breach could result in the loss of business-critical systems (e.g. Website) or a systemic failure that impacts all information systems. Our ability to operate technology assets, protect sensitive (e.g. personal) information from disclosure may be impacted over a sustained period. This would lead to the failure of core business processes and projects in the near term with a high cost of recovery in the medium term.

**Risk Sponsor** Director, Group Shared Services

**Risk Lead(s)** GM, Technology Services

Chief Information Security Officer

**Risk appetite** ● Minimal ..... ● Low **Aligned rating**

**Risk rating** **October 2024** **March 2025**

Inherent risk ● Critical ● Critical

Residual risk ● High ● High

Target risk ● Medium ● Medium



## People

### Risk description

1. Risk that increased skill shortages in technical areas due to national and internal market shortages could exacerbate the lack of critical skills available to service cumulative, large-scale emergency response and recovery event affecting our ability to keep lifeline services operational.

2. The risk of systemic and ongoing engagement and wellbeing challenges for kaimahi due to an increasing range and complexity of external factors and societal pressures, the industrial relationship landscape, poor leadership and lack of diverse thought and participation in leadership teams.

3. Potential risk of non-compliance to pay legislation/agreements in payroll and workforce capability.

4. The risk that non-compliant health and safety management systems and processes result in a systemic environment in which kaimahi may be seriously injured or killed due to unmitigated control gaps or failures.

**Risk Sponsor** Director, Group Strategy and CE's Office

**Risk Lead(s)** GM, People Services

Chief People, Safety & Wellbeing Officer

**Risk appetite** ● Minimal ..... ● Low **Aligned rating**

**Risk rating** **October 2024** **March 2025**

Inherent risk ● Critical ● Critical

Residual risk ● High ● High

Target risk ● Medium ● Medium



## Political decision making

### Risk description

Risk of compromised political decision-making due to changes to the political environment, complex legislative obligations (e.g. LGA and GACA), external influences (public opinion and pressure), changes in regulatory framework, reporting process shortcomings, an unclear understanding of decision-making roles and insufficient advice or a lack of confidence in the same.

These factors can result in unclear, delayed, inconsistent decisions or decisions that may be subject to legal challenge or judicial reviews, regulatory non-compliance, delays in implementation, increased financial strain, misalignment with community needs and expectations and erosion of community support and engagement.

**Risk Sponsor** Director, Policy Planning & Governance

**Risk Lead(s)** General Counsel  
GM, Governance and Engagement  
GM, Group Strategy, Transformation and Partnerships

**Risk appetite** ● Cautious ..... ● Low **Aligned rating**

**Risk rating** **October 2024** **March 2025**

Inherent risk	● Critical	● Critical
Residual risk	● Medium	● Medium
Target risk	● Medium	● Medium



## Social Licence

### Risk description

The risk of Aucklanders disengaging from council, leading to a loss of relevance and council being unable to establish or maintain acceptable levels of satisfaction and social licence within the community. As a result, council may fail to understand the community's values, needs and preferences, leading to a decline in trust and confidence and council not being able to meet Aucklanders' expectations.

Failure to address this risk could result in increased negative public sentiment about council, reduced community participation and support of initiatives (such as in the local elections), and increased scrutiny of council decision making, potentially hindering our ability to deliver services and achieve our objectives effectively.

**Risk Sponsor** Director, Community

**Risk Lead(s)** Tumuaki Huanga - Māori  
Chief Communication & Marketing Manager  
Director, Group Shared Services  
GM, Governance and Engagement  
GM, Customer Experience and Digital Services  
GM Community Wellbeing

**Risk appetite** ● Cautious ..... ● Low **Aligned rating**

**Risk rating** **October 2024** **March 2025**

Inherent risk	● Critical	● Critical
Residual risk	● Medium	● Medium
Target risk	● Medium	● Medium



## Strategic relationships

### Risk description

The risk of failing to maintain strong relationships with man whenua iwi, mātauraka, and strategic partners, primarily government significantly impacting council's ability to achieve the best outcome for Auckland. Changes in the political landscape nationally and local can create challenges and opportunities. A lack of shared work programmes or agreed objectives can dramatically change the direction and derail strategic programmes of work, with long-term impacts to the strategic outcomes of the Auckland Council group and Tāmaki Makaurau.

**Risk Sponsor** Director, Group Strategy and CE's Office

**Risk Lead(s)** Tumuaki Huanga – Māori  
EO, Chief Executive  
EO, Policy, Planning and Governance.  
GM, Group Strategy, Transformation and Partnerships

**Risk appetite** ● Cautious ..... ● Low **Aligned rating**

**Risk rating** **October 2024** **March 2025**

Inherent risk	● Critical	● Critical
Residual risk	● Medium	● Medium
Target risk	● Medium	● Medium



Te Kaunihera o  
Tāmaki Makaurau

# Risk Management Framework

May 2025, Version 2.0

[aucklandcouncil.govt.nz](http://aucklandcouncil.govt.nz)

# Foreword

Risk management is an integral part of Auckland Council's decision-making process, woven into the fabric of every activity, initiative, and decision made by our kaimahi (staff) each day. Whether small or large, anticipated or unforeseen, risks come in many forms and can significantly impact our operations and objectives. It is therefore essential to ensure that risk management is not only a process but a mindset that supports informed, consistent decision-making.

This **Risk Management Framework** is designed to empower our kaimahi, providing them with the methodology, tools, and guidance necessary to make well-informed decisions that drive Auckland Council forward. By embedding this framework into our daily operations, we foster a culture where risks are understood, managed, and mitigated effectively.

It is important to recognise that, as an organisation, we must accept some level of risk. The **Risk Management Framework** equips us with a structured approach to manage these risks, from identification and analysis to rating and mitigation. Understanding our collective risk appetite is key to knowing how much attention and resources should be dedicated to addressing each risk. By aligning our risk tolerance across the organisation, we ensure that kaimahi can direct their efforts toward the most critical areas, while confidently navigating uncertainty.

The latest iteration of this framework builds on previous methodologies, incorporating climate change and natural hazard risk assessments to provide a unified and aligned approach to risk management across the council. In doing so, it ensures that we are not only prepared for the challenges of today but are also anticipating and mitigating the risks of tomorrow.

We understand that risks and risk scenarios vary widely in nature and impact, and the complexity of managing them requires ongoing collaboration and expertise. We encourage all kaimahi to engage with the risk team and the Head of Risk and Audit for guidance and support in navigating risk management activities. We also welcome feedback to continuously improve this framework and our risk management practices. Please feel free to reach out to us at [risk@aucklandcouncil.govt.nz](mailto:risk@aucklandcouncil.govt.nz) for any risk-related queries or suggestions for enhancement. Together, through a unified and proactive approach to risk management, we can ensure a resilient and forward-thinking Auckland Council.

## Emma Burke

Chief Risk and Assurance Officer







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