

Notice is given that an ordinary meeting of the Audit and Risk Committee will be held on:

Date: Thursday 12 June 2025
Time: 1.00pm
Meeting Room: Tasman Council Chamber
Venue: 189 Queen Street, Richmond
Zoom conference link: <https://us02web.zoom.us/j/84036965442?pwd=ZWbHjL8BIShpe0H0Q0NprgWsxpAa3Z.1>
Meeting ID: 840 3696 5442
Meeting Passcode: 851068

Audit and Risk Committee

Komiti Tatari me te Tuponotanga

AGENDA

MEMBERSHIP

Chairperson	Mr G McGlinn
Deputy Chairperson	Ms A Elstob
Councillors	Deputy Mayor S Bryant Councillor C Butler Councillor C Mackenzie Councillor T Walker
Ex-Officio	Mayor T King

(Quorum 3 members)

Contact Telephone: 03 543 8400
Email: tdc.governance@tasman.govt.nz
Website: www.tasman.govt.nz

AGENDA

1 OPENING, WELCOME, KARAKIA

2 APOLOGIES AND LEAVE OF ABSENCE

Recommendation

That the apologies be accepted.

3 DECLARATIONS OF INTEREST

4 LATE ITEMS

5 CONFIRMATION OF [MINUTES](#)

That the minutes of the Audit and Risk Committee meeting held on Thursday, 20 March 2025, be confirmed as a true and correct record of the meeting.

That the confidential minutes of the Audit and Risk Committee meeting held on Thursday, 20 March 2025, be confirmed as a true and correct record of the meeting.

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8 CLOSING KARAKIA

6 REPORTS

6.1 RISK AND ASSURANCE

Information Only - No Decision Required

Report To:	Audit and Risk Committee
Meeting Date:	12 June 2025
Report Author:	Amy Clarke, Risk & Assurance Advisor
Report Authorisers:	Deidre Hemera, Assurance and Improvement Manager; Steve Manners, Chief Operating Officer
Report Number:	RFNAU25-06-1

1. Summary / Te Tuhinga Whakarāpoto

- 1.1 The Risk Report is attached.
- 1.2 An Internal Audit Plan has been drafted, and internal consultation is underway to confirm priorities.
- 1.3 A number of reviews and audits are underway, with the draft audit report due for both the NZTA Technical Investment Audit and the Flood Protection Audit.
- 1.4 Progress is being made on audit and review recommendations, with several key activities nearing completion. This will enable substantial closure of outstanding actions.

2. Recommendation/s / Ngā Tūtohunga

That the Audit and Risk Committee

1. **receives the Risk and Assurance report RFNAU25-06-1.**

3. Quarterly Risk Report

- 3.1 The Quarterly Risk Report is attached.
- 3.2 The Financial strategic risk remains rated Very High. Despite proposed mitigation measures in the Annual Plan, there remain significant tension between what is required by legislation, what has been strategically committed to, and what is deliverable within existing budget constraints. Council decisions or external pressures that increase expenditure without corresponding savings or reprioritisation may further exacerbate the operating deficit.

4. Internal Audit Plan

- 4.1 An internal audit plan has been drafted to provide structured assurance over key risks and functions; however, further internal consultation is required to confirm priorities and resourcing before a final version is brought to the Committee for endorsement.
- 4.2 The draft plan includes a mix of compliance reviews, strategic evaluations, and risk-based assessments across high-priority areas. It proposes lighter touch approaches and leverages

external audits where available. The intent is to provide proportionate and practical assurance within current resource constraints, while supporting improved oversight and accountability.

5. Upcoming and in progress audits and reviews

5.1 The following audits or reviews are underway or scheduled.

Ref	Name	Auditor	Report Due	Update
1	Flood Protection Audit	OAG	April 2025	Draft report not received
2	NZTA Technical investment audit	NZTA	May 2025	Draft report not received
3	Insurance Review	Internal – Deidre Hemera	June 2025	
4	Asset Management Evaluation	Internal – Deidre Hemera	June 2025	
5	Building Consent Authority Assessment	IANZ	October 2025	
6	Quality Assurance Review	Internal – Amy Clarke	September 2025	
7	Community Funding Review	Internal – Brylee Wayman	June 2026	

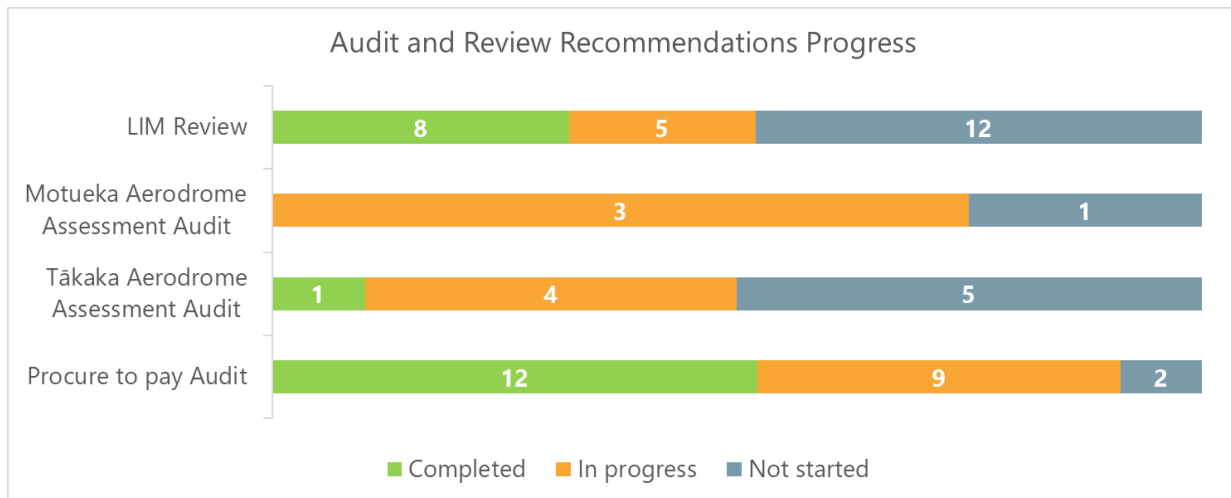
5.2 The **NZTA Investment Audit (technical)** was conducted on 6-8 April. The purpose of the audit is to: ensure compliance with Transport Agency requirements; assess network performance, including value for money; engage and share good practice (for more information, **the scope is attached**). The auditors provided a debrief of initial findings which were that we are generally performing well, though they would like to see a continued focus on improving drainage. Their draft report is being prepared, and we expect to receive this in May 2025.

5.3 **Community Funding Review.** An internal review of the community funding framework is underway, covering how Council supports community organisations, schools, businesses, and individuals. The aim is to improve efficiency, transparency, equity, and consistency across funding processes, while exploring options for longer-term funding certainty. The review will also assess alignment with Council's strategic objectives, and examine funding categories, criteria, decision-making, and accountability. The initial scope includes most contestable funds and existing funding agreements with external organisations.

6. Audit and Review Recommendation Progress

6.1 Progress has been made on several recommendations; however, completion of others is dependent on key factors including the appointment of the LIM and Property Information

Team Leader (currently under recruitment), approval of the Procurement Policy, and availability of resources to advance the Airport Management Plan.



7. Attachments / Tuhinga tāpiri

- | | | |
|----|--|----|
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| 2. |   NZTA Technical Audit Scope | 17 |

Quarterly Risk Report

Author: Amy Clarke, Risk and Assurance Advisor

Date: 22 May 2025

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1.0 Summary

Strategic risk ratings largely unchanged, with the Financial Strategic Risk continuing to be rated Very High. Through the Annual Plan process, Council has proposed several changes to previously planned workstreams, including deferrals, reprioritisation, and adjustments to levels of service. These changes aim to manage affordability for ratepayers while supporting a level of financial sustainability. However, they also illustrate the ongoing tension between what is legally required or strategically planned and what can be delivered within current budget constraints. Iwi Relationships risk has been re-rated as Medium, as a reflection of established relationships, with the ongoing focus now on maintaining and deepening these partnerships.

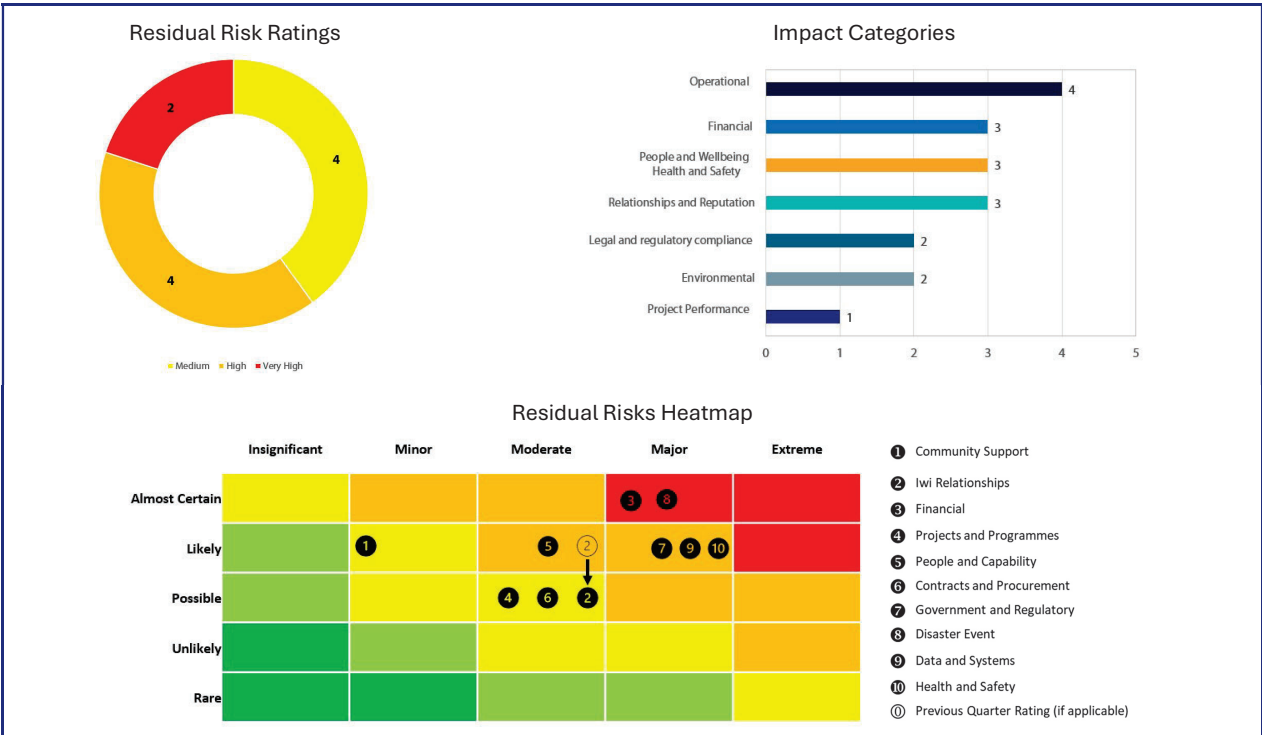
A mapping of strategic risks to Council's strategic priorities and initiatives is included in this report to demonstrate alignment and reinforce the role of risk management as a critical enabler in achieving our long-term objectives.

Emerging risks include the 2025 local government elections and changing legislative landscape, which may affect strategic direction, regulatory compliance, and community expectations. These changes could introduce new risks or shift the Council's priorities, making it essential to retain flexibility in planning and risk response.

Several operational risks remain rated High or Very High. The most significant is the risk of an operating deficit, which is being managed through the Annual Plan via deferrals and service reprioritisation. Infrastructure vulnerabilities (e.g. water service crossings), resourcing gaps in critical teams, and ongoing cybersecurity and privacy compliance risks continue to require close oversight. While mitigation actions are underway—including recruitment, infrastructure planning, and system upgrades—some risks remain elevated due to funding constraints, timing, or external factors. Additional emerging risks include compliance with LIM legislation, pressure on flood response capability, and interactions with high-risk public groups, all of which require continued monitoring and governance attention.

To support improved oversight and decision-making, Council is using the All-of-Government Risk Maturity Framework to assess and lift capability. The focus for the coming quarters is on embedding risk into the Long-Term Plan programme and strengthening the monitoring and documentation of strategic risks as part of our risk maturity journey.

2.0 Strategic Risks



2.1 Residual Risk Rating Changes

ID	Risk Name	Risk Description	Residual Risk Rating	Previous Rating	Change	Treat or Accept	Owner
S-03	Financial	Insufficient funds to deliver services and functions required by legislation, strategy or business plan.	Very High (20)	Very High (20)	●	Treat	CFO
S-08	Disaster Event	Impact or loss suffered due to a natural or human induced disaster event including long-term events such as drought and sea level rise.	Very High (20)	Very High (20)	●	Treat	GM-ES
S-07	Government and Regulatory	Impact or loss suffered due failure to adhere to laws or regulations.	High (16)	High (16)	●	Treat	GM-EA
S-09	Data and Systems	Impact or loss suffered due to a failure in data quality, integrity or system inefficiency or integration.	High (16)	High (16)	●	Treat	COO
S-10	Health and Safety	Impact or loss suffered due to a failure to meet our health and safety obligations.	High (16)	High (16)	●	Treat	CEO
S-05	People and Capability	Impact or loss suffered due to inability to fund, recruit, or retain skilled competent staff.	High (12)	High (12)	●	Treat	CEO
S-02	Iwi Relationships	Impact or loss suffered from an inability to establish and maintain successful relationships with iwi.	Medium (9)	High (12)	▼	Treat	KH
S-04	Projects and Programmes	Impact or loss suffered as a result of the failure to deliver projects and programmes.	Medium (9)	Medium (9)	●	Accept	GM-CI
S-06	Contracts and Procurement	Loss suffered or inability to deliver services or regulatory functions arising from the expiry, cancellation, non-renewal or material variation of a key contract.	Medium (9)	Medium (9)	●	Treat	COO
S-01	Community Support	Impact or loss suffered due to a loss or decline in community support.	Medium (8)	Medium (8)	●	Treat	GM-S&S

▲ Risk rating increased ▼ Risk rating reduced ● no change (since last reported)

2.2 High and Very High Strategic Risk Commentary

ID	Risk Name	Risk Description	Residual Risk Rating	Commentary
S-03	Financial	Insufficient funds to deliver services and functions required by legislation, strategy or business plan.	Very High (20)	Risk remains Very High. The Annual Plan process is progressing changes to manage rates affordability. There is continued tension around balancing legal requirements, financial resilience and strategic priorities against affordability.
S-08	Disaster Event	Impact or loss suffered due to a natural or human induced disaster event including long-term events such as drought and sea level rise.	Very High (20)	This risk remains Very High. The AF8 roadshow held public science talks in Richmond and Tapawera, building community awareness of risks.
S-07	Government and Regulatory	Impact or loss suffered due failure to adhere to laws or regulations.	High (16)	The risk remains High. Legislation change from central government also creates uncertainty for Council
S-09	Data and Systems	Impact or loss suffered due to a failure in data quality, integrity or system inefficiency or integration.	High (10)	Risk remains High. Completion of Digital Innovation Programme projects over the coming years is expected to lower the risk level.
S-10	Health and Safety	Impact or loss suffered due to a failure to meet our health and safety obligations.	High (16)	Risk remains High. A health and safety improvement plan has been developed and is being progressed. Health and Safety is likely to remain High risk.
S-05	People and Capability	Impact or loss suffered due to inability to fund, recruit, or retain skilled competent staff.	High (12)	Risk remains High. Several teams across Council are reporting key person risks and gaps between objectives and resourcing.

2.3 Risk to Priority Mapping

This mapping offers a clear, visual framework for understanding how strategic risks intersect with the Council's goals. It highlights potential areas of vulnerability and guides where attention may be needed. The mapping also demonstrates how risk is integrated with strategic delivery and provides a structured approach for cross-functional mitigation planning. The risks listed are examples, and do not necessarily provide a full picture of all risks impacting on strategy or all aspects of a strategic risk.

			2025/2026 Strategic Priorities and Key Initiatives				Organisational Priorities		
			Financial Sustainability	Infrastructure Development	Environmental Stewardship	Community Engagement	Partnering with Iwi	Leading Change	Valuing Our Staff
Strategic Risks	Financial	Very High (20)	■ Funding shortfalls affect service delivery and debt management	■ Lack of funds delays key infrastructure projects	■ Limited funding reduces investment in sustainability	■ Financial pressures affect service quality and responsiveness	■ Underfunding can limit partnership investment	■ Funding gaps restrict transformation	■ Budget constraints limit training, development, and pay
	Disaster Event	Very High (20)	■ Disaster recovery costs strain budgets and planning	■ Disaster damage or disruption to assets	■ Climate events threaten natural resources	■ Events disrupt services and cause distress	■ Disaster recovery should consider iwi perspectives	■ Events test adaptive leadership and systems	■ Disaster impacts wellbeing and workload
	Government and Regulatory	High (16)	■ Regulatory penalties or unfunded mandates affect finances	■ Regulation affects compliance and delivery frameworks	■ Non-compliance with environmental law	■ Regulatory complexity undermines public understanding	■ Regulatory obligations include Te Tiriti responsibilities	■ Constant change in legislation requires responsiveness	■ Regulation drives staff workload and stress
	Data and Systems	High (16)	■ System inefficiencies can drive unplanned costs	■ Weak data systems hinder asset planning and maintenance	■ Data gaps hinder environmental monitoring	■ Poor digital systems limit engagement tools	■ Systems must support data sovereignty	■ Digital modernisation key to enabling innovation	■ Poor systems create frustration and burnout
	Health and Safety	High (16)	■ Incident-related costs and insurance premiums	■ Health risks on sites delay or halt construction	■ Safety issues during fieldwork or compliance	■ Safety incidents erode public trust	■ Health practices may need cultural adaptation	■ Culture of safety underpins credibility of change	■ Physical and psychological safety is fundamental
	People and Capability	High (12)	■ Insufficient workforce affects financial planning and efficiency	■ Capacity gaps affect delivery timelines	■ Skills needed for effective environmental management	■ Staff shortage affects engagement efforts	■ Staff need cultural competency and engagement skills	■ People capability is foundational to leading change	■ Core to recruitment, retention, and morale
	Iwi Relationships	Medium (9)	■ Partnership gaps can hinder cost-effective, co-funded solutions	■ Lack of partnership in planning impacts outcomes	■ Iwi partnership critical for Kaitiakitanga	■ Key to culturally appropriate and effective engagement	■ Central risk and strategic priority - poor relationships create system-wide impact	■ Partnership models require adaptive leadership	■ Cultural respect builds inclusive workplaces
	Projects and Programmes	Medium (9)	■ Poor delivery impacts financial ROI and reputation	■ Project failure undermines infrastructure goals	■ Project delays affect environmental outcomes	■ Projects that lack engagement face opposition	■ Joint planning and delivery essential for many projects	■ Change fatigue or failure in delivery weakens confidence	■ Overwork and poor support lead to project failures
	Contracts and Procurement	Medium (9)	■ Poor contract terms or failure impacts cost-effectiveness	■ Contract failure affects delivery and timelines	■ Supplier performance affects environmental compliance	■ Contracted services affect frontline experiences	■ Procurement may not reflect partnership goals	■ Legacy contracts inhibit innovation	■ Poor contract oversight burdens internal teams
	Community Support	Medium (8)	■ Loss of support affects willingness to fund Council activities	■ Community resistance may delay or block projects	■ Community buy-in essential for environmental initiatives	■ Declining support undermines democratic process	■ Lack of iwi voice reduces effectiveness and trust	■ Community pushback can stall change	■ Community pressure can affect staff morale

■ Strong / Primary alignment ■ Moderate / Indirect alignment

2.5 Strategic Risks Updates

This section includes commentary concerning strategic risks, including changes or updates to strategic risks and may include completed mitigations, incidents or metrics.

Financial Risk

In the Annual Plan¹, Council has proposed several changes to previously planned workstreams, including deferrals, reprioritisation, and adjustments to levels of service. These changes aim to manage affordability for ratepayers while supporting a level of financial sustainability. However, they also illustrate the ongoing tension between what is legally required, financial resilience or strategically planned and what can be delivered within current budget constraints.

The Council actively sought feedback from the community on the proposed rates increase and service level adjustments. The consultation process was a key tool in balancing community expectations with financial realities, but it does not eliminate the underlying risk. If cost pressures continue to escalate or revenue assumptions prove optimistic, the Council may face difficult trade-offs, including further delays to infrastructure upgrades, reductions in non-essential services and increases in debt levels.

Maintaining adequate funding to meet core responsibilities and financial sustainability & resilience remains a challenge. The risk is monitored closely through regular financial reporting and strategic oversight.

Disaster Event Risk

The risk was reviewed, with particular consideration given to whether the rating should be reduced to reflect the extended timeframe before a major event such as an Alpine Fault earthquake becomes ‘almost certain’. Current estimates indicate a 75% probability of an Alpine Fault rupture within the next 50 years, with an 80% likelihood that it would be magnitude 8 or greater. However, the disaster event risk category encompasses a broader range of potential hazards. Given the inherent uncertainty, the high cost of mitigation, and the potentially severe impacts on the community, it remains appropriate to retain a very high risk rating.

To support community awareness and preparedness, the AF8 Roadshow delivered public science talks in Richmond and Tapawera, helping to increase understanding of the associated risks.

Iwi Relationships Risk

The Iwi Relationships strategic risk has been reevaluated and it is believed that strong relationships have been developed with matiatence being the priority. This has allowed us to reduce the risk rating to Medium.

3.0 Emerging Risks

This section includes new emerging risks, or updates to existing emerging risks (i.e. those we have previously reported but were awaiting more clarity or decisions on what actions should be taken).

Pre-election instability and political change

As the October 2025 local elections approaches, there is likely a period of political and operational uncertainty. This transitional phase can disrupt momentum on key strategic initiatives, affect decision-making consistency, and create tension between short-term responsiveness and long-term planning.

¹ Out for consultation 12-25 May 2025

Key drivers:

- **Elected Member Turnover:** Changes in elected members may shift strategic direction, priorities, and appetite for risk—particularly around spending, infrastructure, iwi partnerships, and climate initiatives.
- **Caretaker Period:** The lead-up to elections typically triggers a “caretaker” approach where significant decisions may be paused or deferred, slowing delivery and delaying approvals.
- **Political Sensitivities:** Projects, rate increases, or controversial policies may be postponed or reshaped to avoid pre-election backlash—impacting infrastructure delivery, LTP planning, and engagement.
- **Staff and Leadership Disruption:** Internal uncertainty or increased workload during elections (e.g. induction planning, briefing packs, agenda shifts) can strain leadership capacity and impact organisational performance.
- **Heightened public scrutiny:** Increased community engagement may be accompanied by vocal opposition or politicisation of Council decisions, particularly in areas like rates, housing, or environmental regulation.

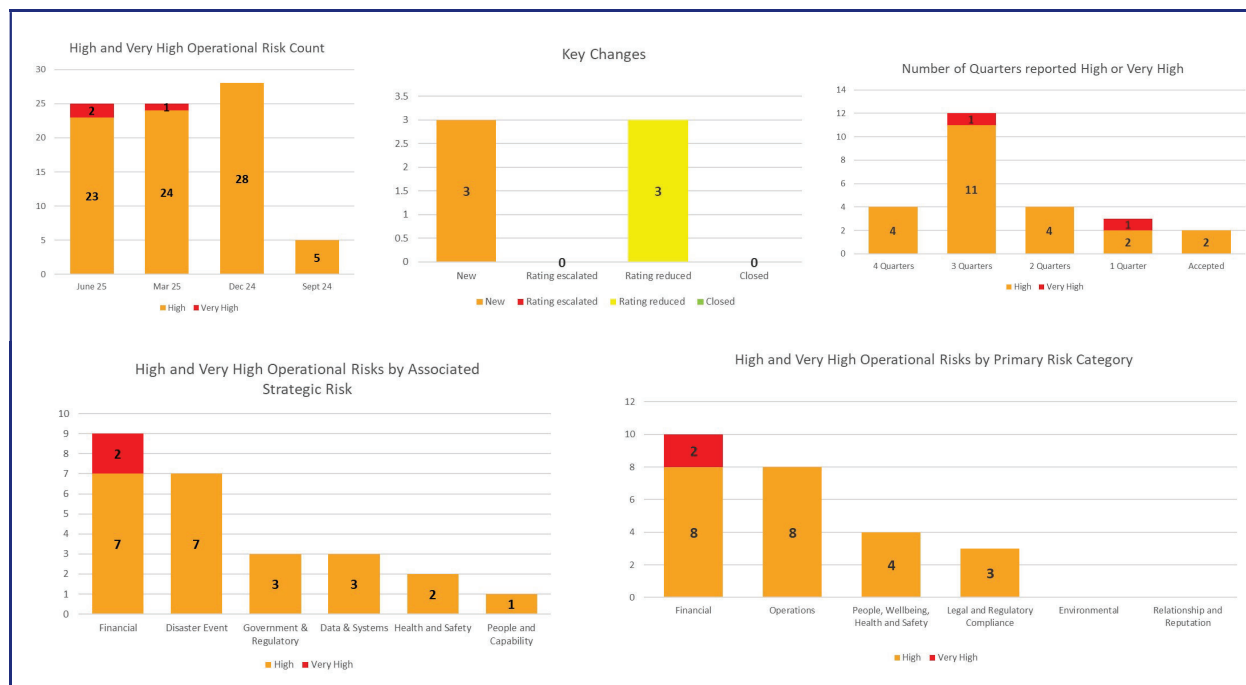
Ongoing legislative and policy change

Legislative and policy change continues to present an ongoing risk for Council. The pace of change across multiple areas of local government responsibility creates uncertainty and increases the complexity of compliance, planning, and service delivery.

This environment requires Council to regularly interpret and implement new requirements while maintaining continuity for staff, elected members, and the community. Without proactive monitoring and coordination, there is a risk of non-compliance, resource strain, and delays in delivering strategic priorities.

4.0 Operational Risk Dashboard

This section provides information on operational risks with High or Very High residual risk ratings.



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4.1 Operational Risks

Tasman District Council is actively managing a number of high-rated operational risks, many of which reflect the complex financial, infrastructure, and regulatory environment we operate in. The most significant is the risk of an operating deficit, which is being addressed through the Annual Plan 2024/25 by reprioritising work and adjusting service levels to maintain financial sustainability. Positive steps are also being taken to strengthen insurance coverage, resourcing, and core systems such as FMIS and CRM.

Several infrastructure-related risks are being mitigated through ongoing investment and planning. These include critical water and wastewater crossings, flood response capacity, and coastal infrastructure risks. Recruitment efforts are improving resourcing in key areas like Waters, Planning, and Compliance, and further enhancements are planned through the Long-Term Plan.

In the digital and regulatory space, progress is being made on cybersecurity, privacy compliance, and information management. Staff training, policy updates, and system improvements are helping to address these risks, though some remain elevated due to external factors and timing. Continued oversight and support from ELT and the Audit and Risk Committee will ensure we stay on track and focused on key improvement areas.

5.0 ‘No Surprises’ Notifications

Any incidents, events or risks which have occurred which either have already or may need notification on a ‘no surprises’ basis.

1. None

6.0 Risk Management Progress

All-of-Government (AoG) Risk Maturity Matrix

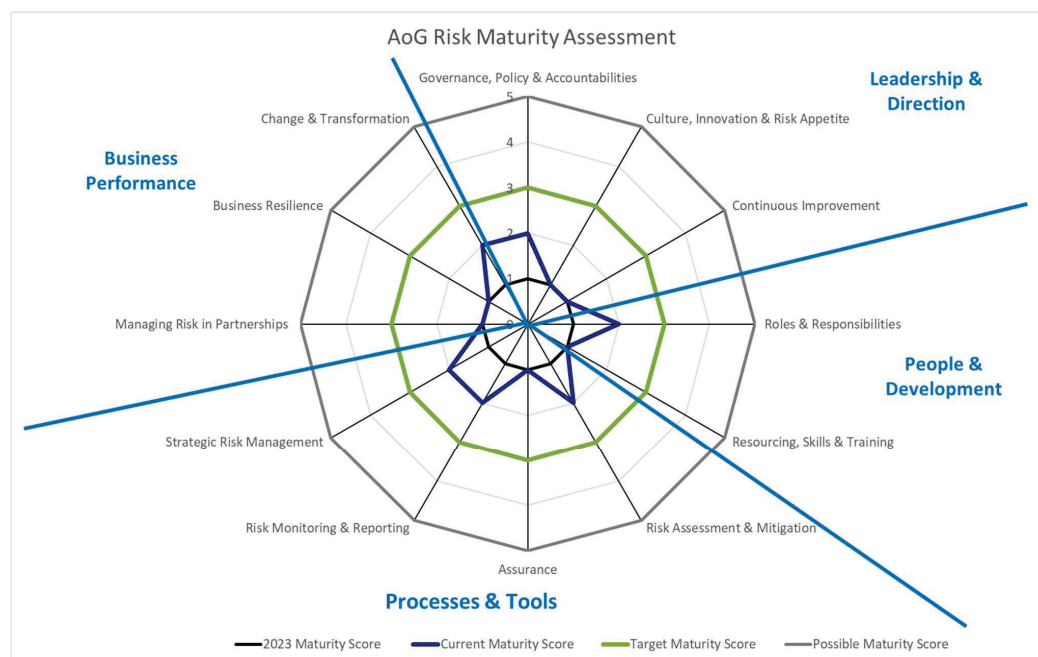
The All-of-Government (AoG) Risk Maturity Matrix is a framework developed by the New Zealand Government to support public sector agencies in assessing and strengthening their risk management capability. It sets out progressive levels of maturity across key domains—such as leadership, culture, systems, and integration—allowing organisations to identify current strengths, capability gaps, and areas for improvement.

Using this tool, we assessed our Minimum Maturity Level as Level 3, which reflects a recommended standard where:

“Risk management practices are well defined, documented and there is consistent application across all business units. Senior business leaders actively promote the value of enterprise risk management across the agency. There is good use of evidence-based data and more sophisticated risk management techniques to support risk informed decision making and provide risk-based assurance that risks are being managed effectively. As a result, overall business performance is predictable with limited variation from expected outcomes.”

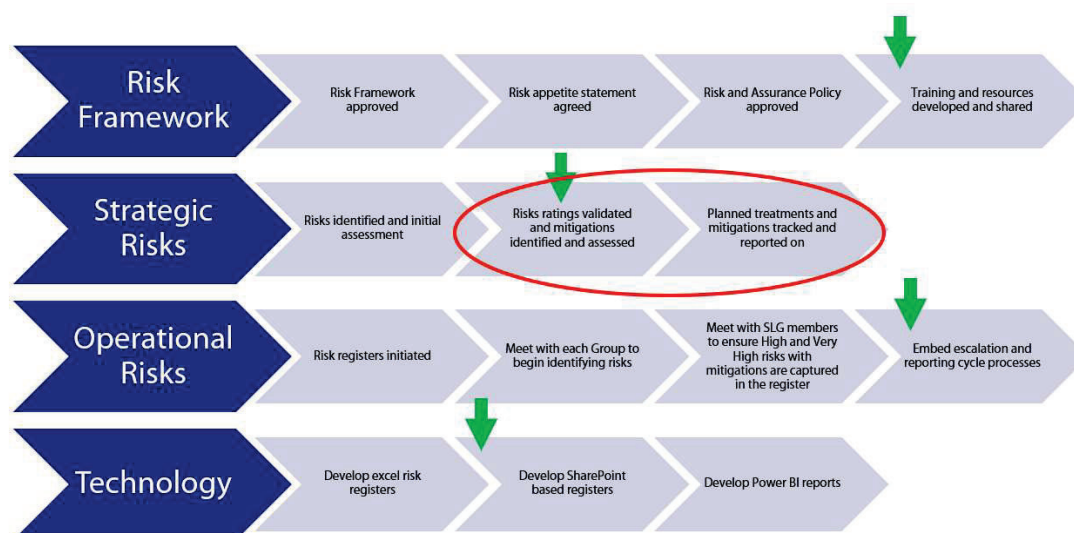
We have self-assessed our current maturity across the four core aspects of risk management. We have made progress in all areas, increasing our overall rating from **1.0** in 2023 to **1.5**. Our target remains Level 3. Risk maturity builds over time, and we remain committed to steadily advancing our capability.

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Next Steps

The focus for the coming quarters is on embedding risk management into the Long Term Plan programme and strengthening strategic risk oversight. This supports ongoing maturity by ensuring risks are clearly documented, monitored, and integrated into key decision-making processes.



www.nzta.govt.nz

10 February 2025

Jamie McPherson
Transportation Manager
Tasman District Council
Private Bag 4
RICHMOND 7050

By Email: Jamie.McPherson@tasman.govt.nz

Dear Jamie,

Re: Upcoming Investment Audit (technical) for Tasman District Council

Further to our previous correspondence, please accept this Letter of Engagement as confirmation of an upcoming Investment Audit (Technical).

Jason Morgan (Principal Investment Advisor, NZTA), Marc Love (Senior Investment Auditor – Technical, NZTA) and I, Sol Hessel (Principal Investment Auditor - Technical, NZTA), will visit Tasman District Council to complete an Investment Audit (Technical) from **Tuesday April 8th to Thursday April 10th, 2025**. It is likely that a peer auditor, yet to be confirmed, will also join the audit team. The audit will be to:

- Ensure compliance with Transport Agency requirements.
- Assess network performance, including value for money.
- Engage, sharing good practice.

The objective of this audit is to provide assurance that Tasman District Council's land transport programme is being well managed, delivers value for money, is appropriately managing risk associated with NZTA Waka Kotahi's investment, and where appropriate we may recommend performance improvements. An outline of the audit programme and requirements is attached to this letter.

At the end of the audit, a debrief of the initial findings will be held with those staff you consider may have an interest. After the audit, a report will be prepared and sent to you for comment, and any comments made will be considered when finalising the report.

Should you have any questions in relation to the audit, please contact me.

Yours sincerely,

Sol Hessel

Principal Investment Auditor (Technical)

Email: sol.hessel@nzta.govt.nz

Phone: 09 928 8724

Mobile: 021 674 367

Tasman District Council Requirements

<p>At the entry meeting the technical audit team would like to hear about Council's:</p> <ul style="list-style-type: none"> • transport activity • challenges that face Council; and • how Council is responding. <p>This information should align with Council's Long-Term Plan and summarise the Activity Management Plan (AMP).</p>	
<p>Please ensure relevant staff are available for the entry and exit meetings and for up to five staff members to accompany / inform / guide / drive the audit team during the field inspections.</p> <p>Please also ensure that:</p> <ul style="list-style-type: none"> • building passes are provided for the audit team for duration of the audit if necessary. • Council provides any site-specific PPE if necessary (we provide our own hi-vis vests and safety footwear). <p>It is essential that Council's activity manager accompany the audit team on these inspections.</p>	
<p>Meeting rooms</p> <p>Please invite the technical audit team to all the following meeting room bookings. It would also be useful to have someone to assist with the technology for the PowerPoint presentations (if required). The rooms will need to accommodate Council staff, the technical audit team and any senior managers who have an interest.</p> <ol style="list-style-type: none"> 1) Entry Meeting - The entry meeting will be at 9am on Tuesday April 8th. Allow up to three hours for this meeting. 2) Exit Meeting - This will be on the afternoon of Thursday April 10th. Please book a meeting room for 3pm but with flexibility to do it earlier if necessary. Allow 1-2 hours for the meeting. In the event that additional time is required to inspect the network and the exit meeting cannot be held before the audit team leave, it will be via a Teams meeting the following week. 3) Please also provide a work room for the technical audit team on Thursday April 10th to prepare for the exit meeting. 	
<p>Network inspection requirements</p> <ul style="list-style-type: none"> • Staff time, including a Council appointed driver and relevant staff – the van seats twelve including the visiting audit team. • Council TMP requirements for the field inspection. NZTA will provide the van, but Council will need to brief the audit team on any general or site-specific H & S requirements and provide flashing lights and road inspection signage for the van. • A parking space for the van at the Council offices 	

Audit Assessment

The audit assessment will cover:

<ul style="list-style-type: none"> Alignment with the latest Government Policy Statement 	
<ul style="list-style-type: none"> REG/Te Ringa Maimoa reports 	
<ul style="list-style-type: none"> Recommendations from the previous technical audit, what issues, if any, remain unresolved from the previous audit? 	
<ul style="list-style-type: none"> Network Management, is Council following good practice in network management? 	
<ul style="list-style-type: none"> Activity Management, do the Activity Management Plan (AMP) and Council's Land Transport Programme reflect the network needs? 	
<ul style="list-style-type: none"> Database; does Council understand their databases and is the data accurate and timely? 	
<ul style="list-style-type: none"> Safety, is safety performance understood and being well managed? 	
<ul style="list-style-type: none"> We expect Council is able to demonstrate how current road maintenance, operations and renewals and improvement activities meet agreed levels of service and optimise the life-cycle costs of the road network. 	

Audit Requirements - documentation

For audit preparation and prior to arrival please upload the following to the Teams site that will be created for collaboration on the audit as soon as possible (no later than Friday March 7 th ,2025).	
• Latest version of your Activity Management Plan	
• An organisation structure chart (incl. roading team – with positions and names)	
• Any dTIMS or similar modelling reports	
• Resurfacing and pavement rehabilitation forward work programme (preferably in MS excel format)	
• NPV's in excel format	
• Low cost, low risk programme (including programme delivered over the previous 3 financial years)	
• Speed Management plan and/or proposals for speed limit changes	
• Maintenance intervention / pavement management strategy (or similar) showing alignment between maintenance and renewal work programming	
• Copy of Maintenance contract (including the maintenance specifications section)	
• Maintenance contract monthly reports for previous 3 months	
• Night audit/inspection reports	
• Recent Safe System Audit (SSA) / Road Safety Audit (RSA) reports. Ensure that post-construction SSA's are included	
• TTM quarterly reports	
• Bridge and culvert inspection records	
• Any additional documentation you think might improve our understanding of issues affecting the road network.	

<p>During the audit you must be able to <u>demonstrate</u> compliance with PIKB regarding:</p>	
<ul style="list-style-type: none"> • Renewals, incl. present value analysis 	
<ul style="list-style-type: none"> • Safety, including safe system (road safety) audits. 	
<ul style="list-style-type: none"> • Network condition rating data that demonstrates condition survey frequency. 	
<ul style="list-style-type: none"> • Bridge inspection records, demonstrating application of good practice. 	
<p>The field visits are an opportunity for the team to assess alignment ('line of sight') between the AMP, on-road service delivery, the quality of general maintenance, and to inspect a sample of the renewal and improvement projects completed in the last 3 years and planned for the coming year. The field visit will also provide an opportunity for Council to showcase innovation.</p> <ul style="list-style-type: none"> • We will book a large van for the field visit. This vehicle will have capacity for up to twelve occupants (including the TDC driver), however we suggest we limit the total number of occupants to nine for comfort and to enable the audit to maximise value from the conversations that are had. • The audit is also an opportunity for you to showcase new techniques or designs that have been introduced to the network that we can share with other local authorities. A simple question is - does the initiative demonstrate a measurable benefit that delivers value for money? • A more detailed itinerary is provided in Appendix A. A draft list of roads and locations that we would like to be considered when the field visit routes are prepared (based on our initial data review) will be shared prior to the audit. 	

Appendix A - ITINERARY

Outlined is an indicative audit programme, subject to weather, staff availability, flight delays, etc:

Tuesday	Entry meeting in the morning at 9am – NZTA technical audit presentation summarising TDC's transport network performance data mined from the AMP and various transport information systems (REG/Te Ringa Maimoa Transport Insights, RAMM, TIO etc).
	Option for Tasman District Council to provide a transport activity overview covering network condition trends, transport related challenges facing Council and its response.
	Network drive-over in the afternoon visiting sites that include; recently completed and proposed pavement and surfacing renewals, improvement and LCLR projects, structures plus anything Council would like the audit team to see such as unique challenges, innovation, new techniques / designs that have recently been introduced, or your response to particular issues.
Wednesday	All day network drive-over visiting sites that include; recently completed and proposed pavement and surfacing renewals, improvement and LCLR projects, structures plus anything Council would like the audit team to see such as unique challenges, innovation, new techniques / designs that have recently been introduced, or your response to particular issues.
Thursday	Morning – additional site visits if required. Audit team to review initial audit findings and prepare for exit meeting.
	Exit meeting in the afternoon from 3pm (earlier if possible). Summary of the audit findings including observations from the network drive over and any concerns and suggestions. This meeting also provides an opportunity for Council to present any initial audit feedback. If for some reason the exit meeting cannot be held on the Thursday, it will be via a Teams meeting the following week.

6.2 HEALTH AND SAFETY

Information Only - No Decision Required

Report To:	Audit and Risk Committee
Meeting Date:	12 June 2025
Report Author:	Ian Abbott, Health and Safety Senior Advisor; Amy Clarke, Risk & Assurance Advisor
Report Authorisers:	Deidre Hemera, Assurance and Improvement Manager; Steve Manners, Chief Operating Officer
Report Number:	RFNAU25-06-2

1. Summary / Te Tuhinga Whakarāpoto

- 1.1 Attached to this report is the Quarterly Health, Safety and Wellbeing Report Q3 24/25.

2. Recommendation/s / Ngā Tūtohunga

That the Audit and Risk Committee

1. receives the Health and Safety report RFNAU25-06-2.

3. Health, Safety and Wellbeing

- 3.1 The details of the quarterly trends, lead and lag performance indicators are attached to this report.

4. Attachments / Tuhinga tāpiri

1.   Quarterly Health, Safety and Wellbeing Report Q3 24/25

24



Quarterly Health, Safety and Wellbeing Report

Q3 24/25

Contributors: Ian Abbott, Team Leader – Health & Safety; Joanna Cranness, People & Wellbeing Manager, Kelly Holmes, Health & Safety Co-ordinator, Rhys Van de Waardt, Health & Safety Advisor, Amy Clarke, Acting Assurance and Improvement Manager

Date: 30 April 2025

Officer's Duties under the HSWA

As a large and diverse organisation, Tasman District Council has a broad impact on staff, the community, and those it works with. Council officers—including elected members—have a key role in ensuring health, safety, and wellbeing are upheld across all operations.

Under the Health and Safety at Work Act 2015, officers must exercise due diligence to ensure Council meets its health and safety obligations. This includes understanding operations, overseeing effective systems, staying informed, and ensuring risks are actively managed and resourced.

While officers aren't expected to be health and safety experts, they must ask the right questions and rely on sound advice. WorkSafe may act where failures in governance result in a breach of duty by the organisation.

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1.0 Summary

The quarterly Health and Safety report has been updated to reflect a whole-of-system view. While this report is more detailed than usual, the additional commentary reflects the significant improvements currently underway across the function. As these improvements are embedded, future reports will be able to focus more on high-level trends and insights. Some explanatory notes have also been included to provide context during this transition phase and may not be needed in future updates.

This quarter, our team has focused on making risk management more visible across the wider organisation and building stronger relationships both internally and with our contractors and others working on behalf of council. By increasing engagement and sharing more information, we're gaining better insights into risks and how to manage them.

The rise in near-miss reports is a positive sign of improved reporting, not an increase in incidents. As more internal teams get involved, we're also getting better at capturing contractor reports, spotting emerging risks, and identifying ways to improve safety across the board.

We've seen a noticeable increase in teams reaching out for support with risk management. While we don't currently track this formally, it's a great sign that health and safety is front of mind and that our support is valued.

We've also introduced driver licence checks and alerts to make sure anyone booking vehicles through Eroads has a current licence – an important compliance step.

The "Good Drills" training is being rolled out in stages and tailored to different roles. It's aimed at reducing the risk of aggression or violence towards council staff, both on the job and outside of work hours. There's a sense that more of these incidents are happening than are being reported, so we're encouraging staff to speak up and making it easier to report concerns, while offering support where it's needed.

2.0 Governance and Leadership

Health and Safety Leadership activities

The Executive Leadership Team has committed to undertaking at least one site visit each quarter. Details and insights from these visits will be included in future reports.

Site Visit Observation – Main Road Hope

In April CEO Leonie Rae, accompanied one of our Project Managers for a site visit to observe ongoing works. Leonie visited the Main Road Hope (Ranzau Road) site, where she conducted an observation of the water main installation.

During the visit, they reviewed the traffic management setup and observed trench excavation activities. The site appeared well-managed, and the team was adhering to safety and operational standards.

KPIs

The following KPIs relate to Council employees.

Lagging KPIs (outcome-focused)	Q1	Q2	Q3	Q4
Number of Lost Time Injuries (LTI)	0	1	0	
Number of Medical Treatment Injuries (MTI)	3	4	0	
Number of Notifiable Events	0	0	0	

Leading KPIs (proactive management)	Q1	Q2	Q3	Q4
Near Miss Reporting Rate (near miss/staff) ¹	1.0%	2.4%	3.6%	
Safety observations	12	24	26	

	2022	2023	2024	2025
Staff survey score on safety culture ²	71%	79%	77%	-

Progress on 'reimagining H&S' Action plan

The Health and Safety team have made a number of improvements across the function, including promotion of reporting, investigation of incidents, risk register reviews, training requirement reviews, introduction of a health and safety newsletter, updates to Damstra (H&S software) and improved support for our teams and people.

~~When the newly appointed~~ Team Leader – Health and Safety ~~is appointed, they~~ will review and progress the action plan.

¹ Near Miss Reporting Q1 - 4 / 410, Q2 - 10 / 413, Q3 - 15 / 416)

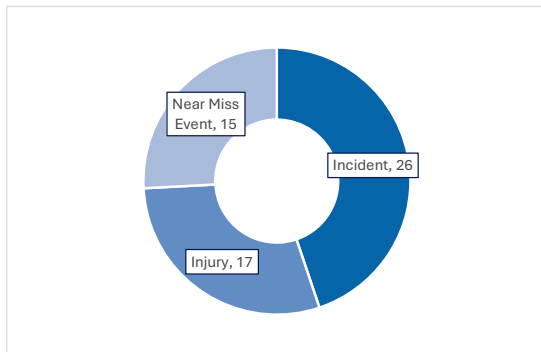
² As part of the annual 'Ask Your Team' Survey: "The health, safety, and wellbeing of staff is important in how we do things"

3.0 Risk Profile

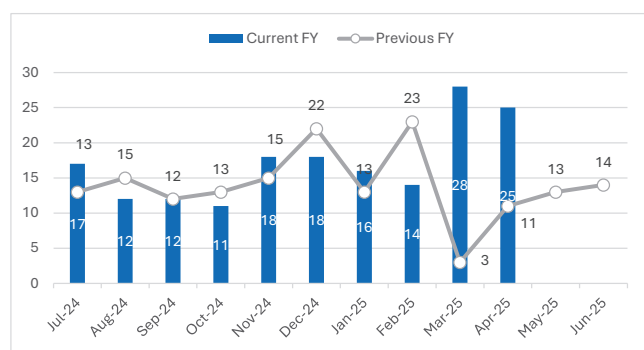
Top 5 Risks	Description	Controls in place	Updates
Aggressive or Abusive Behaviour	Workers may be exposed to aggressive or abusive behaviour from customers, clients, or the public, leading to potential harm or distress.	<ul style="list-style-type: none"> De-escalation training for staff Reporting incidents and identifying high risk areas where additional controls may be required. (i.e two up, police assistance) Access to support services (Telus Health EAP) for affected employees. 	<ul style="list-style-type: none"> Introduction to the Good Drills Training – Situational Awareness training being rolled out Launch of new EAP service Telus.
Vehicle Safety	Accidents or injuries involving vehicles, especially for employees driving as part of their role.	<ul style="list-style-type: none"> Use of vehicles with high safety ratings and safety features. Regular vehicle maintenance and safety checks. Driver training and adherence to road safety guidelines. Monitoring of driving behaviours (e.g., speed, safety compliance). 	<ul style="list-style-type: none"> Implementation of Driver License checks with NZTA
Workload Impacts on Wellbeing (Psychosocial Risks)	High workload or pressure can contribute to employee stress, burnout, and overall wellbeing and mental health challenges.	<ul style="list-style-type: none"> Wellbeing support programs, including Employee Assistance Programs (Telus). Flexible work arrangements where applicable. 	<ul style="list-style-type: none"> Launch of new EAP service Telus. Wellbeing Ambassadors introduced. Wellbeing Tick Culture Check assessment under way.
Working Alone	Employees working alone are at greater risk of accidents or incidents due to limited immediate support or assistance.	<ul style="list-style-type: none"> Lone worker policies, including regular check-ins and emergency protocols. Personal protective equipment (PPE) and communication tools for remote employees. 	<ul style="list-style-type: none"> Outdoor first-aid training added to schedule CallCare procedures for afterhours lone workers
Contractor Safety Management	Contractors may face safety hazards in high-risk environments or while working on Council premises, or worksites they manage.	<ul style="list-style-type: none"> Pre-qualification processes for contractors. Programme Delivery Office compliance monitoring during contractor work. 	<ul style="list-style-type: none"> Whole of project lifecycle Health and Safety Management framework launched (May 25). See '6.0 Contractor Management' Increased focus on assessing worksite risk management practices.

4.0 Incident Reporting and Trends

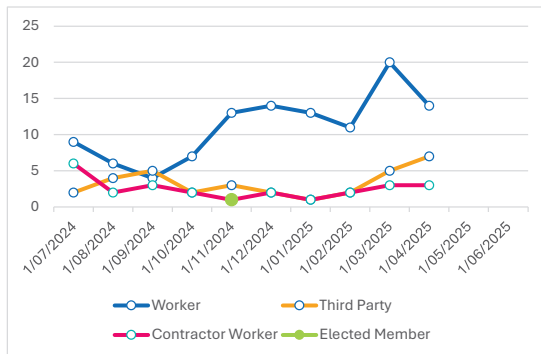
Event type – Q3



Current year vs last year



Events by person type



Top event categories

	Q1	Q2	Q3	Change
Activity/Task causing unsafe conditions	3	3	7	▲
Vehicle	5	7	6	▼
Insect bite / Insect Sting	0	1	6	▲
Equipment malfunctions / Or incorrect use of equipment	1	3	4	▲
Unsafe Conditions	1	3	4	▲
Abusive/aggressive/intimidating behaviour	6	7	2	▼
Slip, trip, fall	4	3	1	▼

Commentary

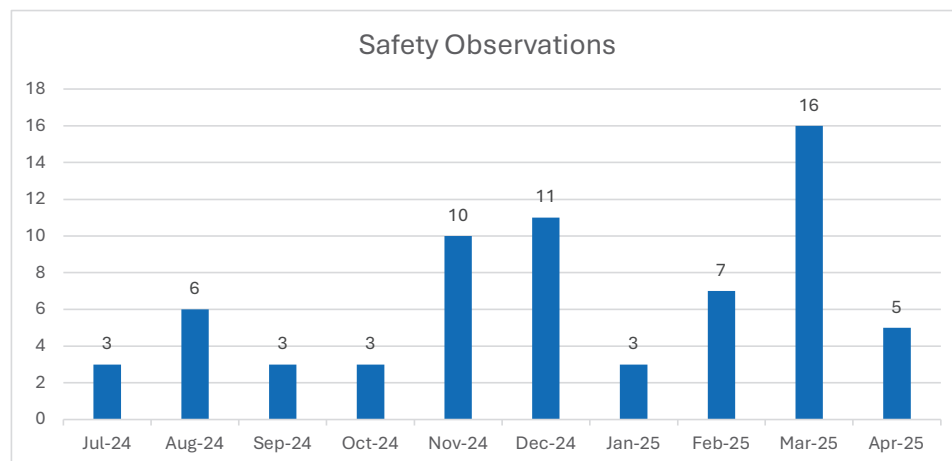
The Health and Safety team has actively encouraged event reporting, with a particular focus on near misses. This has resulted in a significant increase in reported events, which reflects improved reporting culture rather than an actual increase in unsafe conditions.

The increase in insect stings and bites is consistent with seasonal patterns. The reduction in reports of abusive behaviour may reflect underreporting rather than an actual decline. We expect reported incidents to increase as staff and elected members are encouraged to report all forms of unacceptable behaviour.

The categories 'Activity/task causing unsafe conditions' and 'Unsafe conditions' are currently too broad and encompass a wide range of event types. The team is reviewing and refining these categories to improve clarity and ensure they more accurately reflect specific risks.

5.0 Compliance and Assurance

Safety Observations



March saw a significant increase in Safety Observations, reflecting strong engagement from the Community Infrastructure group and focused leadership from the Health and Safety team. This uplift demonstrates progress in embedding a culture of proactive safety assurance across Council operations.

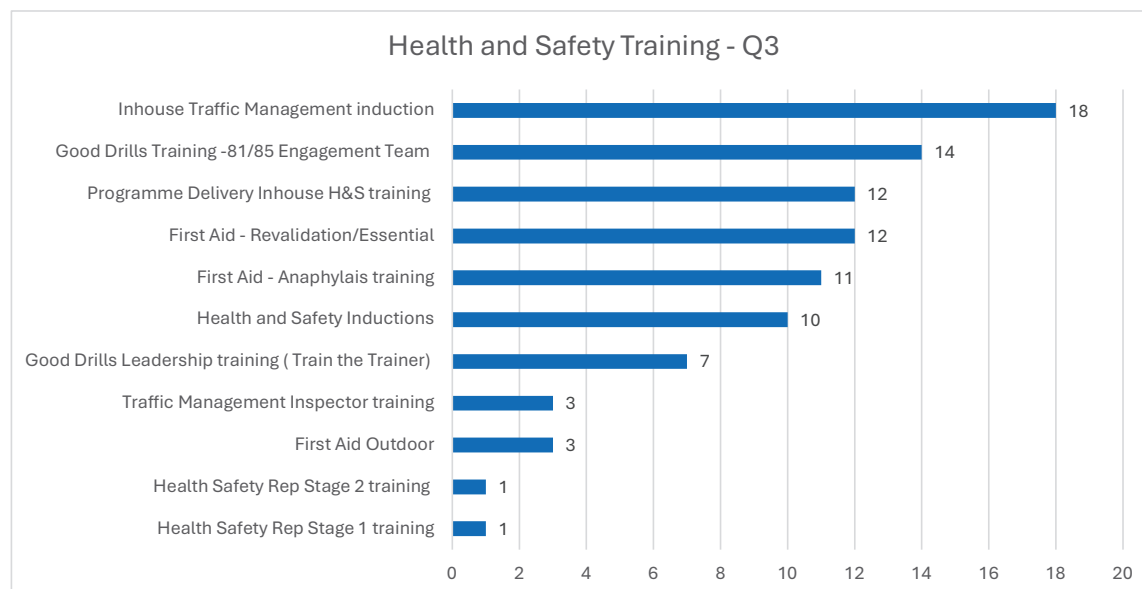
Safety Observations—used as audit-style checks on safe practices and conditions—are essential for driving continuous improvement and supporting compliance. The increased use of the mobile app has enabled more efficient, on-site reporting, broadened participation and improving visibility of safety performance.

The ongoing focus includes:

- Expanding Safety Observations across all Groups.
- Providing targeted support from Health and Safety team where needed.
- Reinforcing the role of observations as tools for learning and assurance.
- Encouraging shared responsibility for safety at all levels.

This trend highlights Council's commitment to embedding Safety Observations as a core part of everyday operations and strengthening our overall safety culture.

Health and safety training



Upcoming training:

- Driver safety training – 29 attendees
- Health and Safety Representative Stage 1 – 3 attendees

Good Drills Training

This de-escalation training was developed in collaboration with Marlborough District and Nelson City Councils. Seven staff from Health and Safety, Customer Services, and Libraries teams are now trained to deliver the programme, which includes both theory and practical exercises. The concept is that by practicing how to respond in challenging situations, people are better prepared to handle them in real life.

Team members involved in the Plan Change 81/85 engagement have attended the training in March. Training is being arranged for the Executive Leadership Team to demonstrate visible leadership and support for the programme. Customer Services is also in the process of rolling out the training across their team.

WorkSafe Interactions

On 08 March, WorkSafe conducted a proactive assessment of hazardous substances management at the Richmond Water Treatment Plant (WTP). The Inspector commended the overall management of hazardous substances, noting it met a high standard. In preparation for the visit, an internal audit successfully identified that a stationary container test certificate had expired. This early detection enabled timely action, and

WorkSafe is now working collaboratively with Council and the WTP Contractor to ensure the renewal of the certificate. In line with standard policy, an Improvement Notice will be issued to formalize the process and support the timely completion of this requirement.

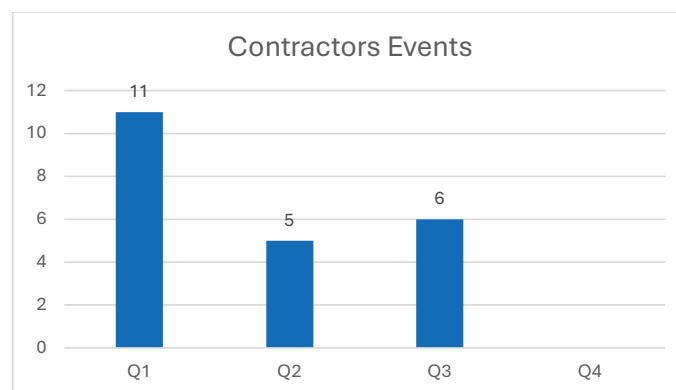
Additionally, the Inspector provided verbal direction to ensure that the diesel tank associated with the generator onsite is also inspected, further supporting compliance and safety improvements on site.

6.0 Contractor Management

Pre-Qualification Focus

- Contractor management remains a key area of due diligence for Council.
- The Health and Safety team focused on the contractor pre-qualification process ensuring this is completed to legislation requirements.
- **24** contractors were successfully pre-qualified this quarter.
- This process ensures contractors have appropriate health and safety systems in place before beginning work for Council.

Incident & Event Reporting



- Contractors are expected to report health and safety incidents to Council, even if they conduct their own internal investigations.
- Currently, not all incidents may be captured or reported to Council, limiting visibility of contractor-related risks.
- Council is committed to strengthening this process through continued engagement and clearer expectations.
- We are actively working with contractors to improve the timeliness and consistency of incident reporting.

Ongoing Engagement

Council is reinforcing the need for open communication and shared responsibility in health and safety.

Future improvements will focus on:

- Educating contractors on their reporting obligations.

- Ensuring all incidents, including near misses, are brought to Council's attention.
- Pre-qualification is set at high standards to ensure we comply with the Health and Safety at Work Act.
- Coordinating and consulting with contractors to ensure that there are appropriate systems to ensure risks are managed for the work undertaken.

7.0 Worker Engagement and Participation

Health, Safety and Wellbeing Committee and Representatives

The Health, Safety, and Wellbeing (HS&W) Committee met on Wednesday, 16th April 2025, to discuss incidents, training, wellbeing initiatives, and other general business.

The next meeting is scheduled for 17th June, with meetings planned every 8 weeks to ensure ongoing oversight and prompt action on relevant matters.

The committee operates within a defined Terms of Reference structure, is chaired by the Chief Operating Officer, includes Senior Leadership Group (SLG) members, Health and Safety team members, People and Wellbeing Manager, and a set number of Health and Safety Representatives and Wellbeing Ambassadors. This collaborative structure allows for comprehensive discussions on improving workplace health, safety, and wellbeing.

The 11 Health and Safety (H&S) Representatives, spread across the Council, meet every 8 weeks to bring forward concerns or suggestions to be addressed in the Health, Safety, and Wellbeing Committee meetings. This network plays a key role in ensuring that employee feedback is heard and acted upon.

Future reporting will include key outcomes and focuses from the HS&W Committee.

Initiatives and Campaigns

- Health and Safety Monthly Newsletter has been introduced, which includes topical information, reporting trends and key message from the team and the H&S Representatives.
- Flu vaccine campaign, with an onsite clinic on 7 May, as well as other clinics arranged through April.

8.0 Employee Wellbeing

Telus Health EAP

In early April the Council moved to a new EAP service provider – Telus Health. Part of the launch of the new provider and platform Telus provided a series of online employee and people leader health briefings designed to provide a walk-through of the new platform and its features.

Platform features include access to resources (video and articles) on a range of topics under the headings of family, health, life, money and work; 17 self-paced online programmes, monthly free lunchtime 30-minute webinars alongside the traditional counselling support services.

At the time of preparing this report nearly 200 employees have registered on the platform as users.

Wellbeing Ambassadors

Our Wellbeing Ambassadors recently completed a short foundational wellbeing champion training course. The course was delivered by Revolutionaries of Wellbeing and the training outcomes for the Wellbeing Ambassadors were:

- A solid understanding of key wellbeing concepts and knowledge areas.
- Clarity on the roles and responsibilities of a wellbeing champion, along with effective boundary-setting skills.
- Practical strategies to effectively support wellbeing in the workplace.
- Confidence and skills to conduct meaningful wellbeing check-in conversations.

The Wellbeing Ambassadors have also developed a 'canvas' that outlines the Group's purpose, role, responsibilities, goals, risks and challenges.

Wellbeing Tick

In March this year the Executive Leadership Team agreed to the Council participating in a Wellbeing Tick Culture Check. Wellbeing Tick is a New Zealand based accreditation programme and Culture Check is the first level of accreditation.

Participation starts with a self-assessment against a set of 18 workplace wellbeing related criteria which is then submitted for review. We are then provided with report with a set of recommendations, alongside a report debrief and action planning session. An action plan / programme will be developed from the debriefing session.

9. Priorities for Next Quarter

In the coming quarter, we're excited to continue building strong, proactive partnerships across council teams by deepening our involvement in risk management activities. We'll also be enhancing our oversight of contractor risk management to foster greater collaboration and engagement. This approach is all about breaking down silos, empowering our workforce, and showcasing the real value that effective risk management brings to our people and our operations.

HPAI, commonly known as avian flu, poses a potential biosecurity risk due to migratory wild birds. While the risk of transmission to humans is currently considered low, it remains a factor that requires health and safety oversight. A coordinated response is being developed alongside Biosecurity team, contractors, and commercial poultry stakeholders.

Ian Abbott has been appointed Team Leader – Health and Safety. This results in a full health and safety team (3.0 FTE) and allow the function to continue progressing improvements across the organisation.

7 CONFIDENTIAL SESSION

7.1 Procedural motion to exclude the public

The following motion is submitted for consideration:

That the public be excluded from the following part(s) of the proceedings of this meeting. The general subject of each matter to be considered while the public is excluded, the reason for passing this resolution in relation to each matter, and the specific grounds under section 48(1) of the Local Government Official Information and Meetings Act 1987 for the passing of this resolution follows.

This resolution is made in reliance on section 48(1)(a) of the Local Government Official Information and Meetings Act 1987 and the particular interest or interests protected by section 6 or section 7 of that Act which would be prejudiced by the holding of the whole or relevant part of the proceedings of the meeting in public, as follows:

7.2 Legal Services Report

Reason for passing this resolution in relation to each matter	Particular interest(s) protected (where applicable)	Ground(s) under section 48(1) for the passing of this resolution
The public conduct of the part of the meeting would be likely to result in the disclosure of information for which good reason for withholding exists under section 7.	s7(2)(g) - The withholding of the information is necessary to maintain legal professional privilege.	s48(1)(a) The public conduct of the part of the meeting would be likely to result in the disclosure of information for which good reason for withholding exists under section 7.

7.3 Risk and Assurance Confidential Attachments

Reason for passing this resolution in relation to each matter	Particular interest(s) protected (where applicable)	Ground(s) under section 48(1) for the passing of this resolution
The public conduct of the part of the meeting would be likely to result in the disclosure of information for which good reason for withholding exists under section 7.	s7(2)(c)(ii) - The withholding of the information is necessary to protect information which is subject to an obligation of confidence or which any person has been or could be compelled to provide under the authority of any enactment, where the making available of the information would be likely to damage the public interest.	s48(1)(a) The public conduct of the part of the meeting would be likely to result in the disclosure of information for which good reason for withholding exists under section 7.

	s7(2)(j) - The withholding of the information is necessary to prevent the disclosure or use of official information for improper gain or improper advantage.	
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7.4 Cybersecurity Update

Reason for passing this resolution in relation to each matter	Particular interest(s) protected (where applicable)	Ground(s) under section 48(1) for the passing of this resolution
The public conduct of the part of the meeting would be likely to result in the disclosure of information for which good reason for withholding exists under section 7.	s7(2)(j) - The withholding of the information is necessary to prevent the disclosure or use of official information for improper gain or improper advantage.	s48(1)(a) The public conduct of the part of the meeting would be likely to result in the disclosure of information for which good reason for withholding exists under section 7.

7.5 External Audit Matters

Reason for passing this resolution in relation to each matter	Particular interest(s) protected (where applicable)	Ground(s) under section 48(1) for the passing of this resolution
The public conduct of the part of the meeting would be likely to result in the disclosure of information for which good reason for withholding exists under section 7.	s7(2)(h) - The withholding of the information is necessary to enable the local authority to carry out, without prejudice or disadvantage, commercial activities.	s48(1)(a) The public conduct of the part of the meeting would be likely to result in the disclosure of information for which good reason for withholding exists under section 7.