

Audit & Risk Subcommittee Agenda

12 May 2022



Meeting conducted in the Council Chamber, Lvl 2 Philip Laing House
144 Rattray St, Dunedin - Councillors and participating staff only

Members of the public may view livestream on the [Otago Regional Council YouTube Channel](#)

Members:

Cr Hilary Calvert (Chair)
Mr Andrew Douglas (Independent member)
Cr Kevin Malcolm
Cr Andrew Noone
Cr Kate Wilson

Senior Officer: Sarah Gardner, Chief Executive

Meeting Support: Liz Spector, Governance Support Officer

12 May 2022 01:00 PM

Agenda Topic	Page
1. APOLOGIES No apologies were noted prior to publication of the agenda.	
2. PUBLIC FORUM No requests from members of the public to address the Audit and Risk Subcommittee were received prior to publication of the agenda.	
3. CONFIRMATION OF AGENDA Note: Any additions must be approved by resolution with an explanation as to why they cannot be delayed until a future meeting.	
4. CONFLICT OF INTEREST Members are reminded of the need to stand aside from decision-making when a conflict arises between their role as an elected representative and any private or other external interest they might have.	
5. CONFIRMATION OF MINUTES The Subcommittee will consider minutes of the previous meeting as a true and accurate record, with or without changes.	3
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7.1	ANNUAL REPORT TIMETABLE AND MATTERS UNDER CONSIDERATION	15
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	This report provides a summary of progress on key strategic priorities and safety performance indicators for the third quarter of financial year 2022.	
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8.	RESOLUTION TO EXCLUDE THE PUBLIC	47
	That the public be excluded from the following items under LGOIMA 48(1)(a):	
	- Minutes of the 24/02/2022 public excluded portion of the Audit and Risk Subcommittee meeting	
	- Deloitte ORC Audit Plan	
	- Wilding Conifer Contract Mgmt Update	
	- Managed Fund - March 2022	
	- Insurance Renewal	
	- Insurance Disclosures	
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Minutes of a meeting of the Audit and Risk Subcommittee held in
the Council Chamber on Thursday 24 February 2022,
commencing at 1:00 PM

Membership

Cr Hilary Calvert

(Chairperson)

Mr Andrew Douglas

(Independent Member)

Cr Kevin Malcolm

Cr Andrew Noone

Cr Kate Wilson

Welcome

Chairperson Hilary Calvert welcomed Councillors and staff to the meeting at 1:01 pm. Staff present included Amanda Vercoe (GM Governance, Culture and Customer) and Liz Spector (Governance Support Officer) and present electronically were Sarah Gardner (Chief Executive), Nick Donnelly (GM Corporate Services), Gwyneth Elsum (GM Strategy, Policy and Science), Gavin Palmer (GM Operations), Richard Saunders (GM Regulatory and Communications), Rebecca Webster, and Nicole Ross.

1. APOLOGIES

There were no apologies. Cr Forbes was present electronically to observe the meeting.

2. PUBLIC FORUM

There was no request to address the Subcommittee under Public Forum.

3. CONFIRMATION OF AGENDA

Cr Wilson requested to conduct discussions on the Audit and Risk Work Programme paper following conclusion of the public-excluded items as she wanted to ensure nothing that was discussed in public-excluded would impact any decisions made related to the proposed work programme.

Resolution: Cr Wilson moved, Cr Noone seconded

That the agenda be confirmed to move consideration of the Audit and Risk Work Programme paper following conclusion of the public-excluded reports.

MOTION CARRIED

4. CONFLICT OF INTEREST

No conflicts of interest were advised.

5. CONFIRMATION OF MINUTES

Resolution: Cr Wilson Moved, Cr Malcolm Seconded

That the minutes of the (public portion of the) meeting held on 11 November 2021 be received and confirmed as a true and accurate record.

MOTION CARRIED

6. ACTIONS (STATUS OF COMMITTEE RESOLUTIONS)

The Actions Register was reviewed, noting no open actions.

7. MATTERS FOR CONSIDERATION

7.1. GOV2205 Safety and Wellbeing Report

This report summarised progress towards the Safety and Wellbeing Team's key strategic priorities and safety performance indicators for Quarters 1 & 2 FY 21/22 and key areas of focus for the Team for the 2021/22 financial year and beyond. Rebecca Webster (Team Leader People and Safety) and Nicole Ross (Manager People and Culture) were present electronically to speak to the report and respond to questions.

Following a discussion of the report, Cr Wilson moved for the ORC COVID-19 Protection Framework document to be tabled, seconded by Cr Calvert. This document is included with the minutes.

Cr Wilson moved; Cr Calvert seconded:

That the ORC COVID-19 Protection Framework document be tabled.

MOTION CARRIED

Following further discussion of the report, Cr Malcolm moved that the report be noted.

Resolution AR22-101: Cr Malcolm Moved, Cr Noone Seconded

That the Subcommittee:

- 1) **Notes** this report.

MOTION CARRIED

7.2. A&R2201 Legislative Compliance and Mandatory Documents Register

This report was provided to deliver the ORC's legislative Warrant of Fitness and Mandatory Documents Register. Nick Donnelly (GM Corporate Services) was present electronically to speak to the report and respond to questions.

Cr Wilson questioned what procedures were in place regarding meeting recordings of public-excluded meeting or non-public workshops. She said she may raise this later when in public-excluded, given the leave of the Chair. CE Gardner suggested discussion of such procedures be discussed in a meeting of the Governance, Communications and Engagement Committee. Cr Wilson suggested this be referred to that committee by the Audit and Risk Subcommittee. Cr Malcolm said he agreed this could be directed to that committee, but direction should come from a resolution made in the public-excluded part of today's meeting.

Cr Malcolm asked about the Council's records management system, noting a non-compliance listed in the register. Mr Donnelly said staff were currently going through a tender process and had selected a new system. He indicated it would be implemented over the next six months.

Cr Calvert asked that the subcommittee be notified as implementation of the new system is completed, and she moved:

Resolution AR22-102: Cr Calvert Moved, Cr Noone Seconded

That the Audit and Risk Subcommittee:

- 1) **Requests** tracking of Public Records Act 2005 record keeping be included on the action register until a new system is added.

MOTION CARRIED

Cr Malcolm then asked about documented processes related to RMA plans. Mrs Gardner said the documented processes are the legislative and various NES and NPS that have been handed down. She agreed the Coast and Air plans are outstanding. Further discussion of the outstanding plans was held, and Cr Wilson moved:

Resolution AR22-103: Cr Wilson Moved, Cr Noone Seconded

That the Audit and Risk Subcommittee:

- 1) **Notes** this report and asks staff to amend comments on Resource Management Act to incorporate scheduled reviews of the Waste, Coast and Air plans.

MOTION CARRIED

7.3. CS2206 Corporate Policy Overview Report

This report provided an update of Council's organisational policies to the Audit and Risk Subcommittee. Nick Donnelly (GM Corporate Services) was present electronically to speak to the report and respond to questions. Mr Donnelly reviewed the work underway by the staff Policy Review Group, noting work through the previous 17 February 2022 meeting will be reviewed with the Subcommittee at the 12 May 2022 Audit and Risk Subcommittee meeting. Cr Calvert said she had concerns about the work being done towards a Contract Management Policy and foreshadowed a motion creating a working party comprised of Councillors and the independent member of A & R to review the sufficiency of the proposed processes. Following discussion of the foreshadowed motion, Cr Wilson moved a procedural motion to end the public debate and move consideration of the paper to public-excluded under code sections 7(2)(a) to protect the privacy of individuals and 7(2)(h) to enable local authorities to carry out, without prejudice or disadvantage, commercial activities.

Resolution: Cr Wilson Moved, Cr Noone Seconded

That this report be lain on the table and considered with the public excluded under LGOIMA 48(1)a section 7(2)(a) and 7(2)(h).

MOTION CARRIED**7.4. GOV2209 Quarterly Actions Register Update - November 2021**

The report was provided to allow discussion of the November 2021 quarterly action list, with a view to consideration of the processes that ORC has in place, and to ensure that Local Government Act requirements are being met (as per the Governance, Communications and Engagement Committee referral in Resolution GCE21-109). Amanda Vercoe (GM Governance, Culture and Customer) was present to speak to the report and respond to questions.

A discussion was held about why the Quarterly Actions Register was referred to the committee, with Mr Douglas noting questions had arisen as to budgeted and unbudgeted expenditures related to resolutions of Council and Committees. He said it was important to track unbudgeted work. Mrs Gardner said unless she raised how to budget for unplanned work at the time it is requested during a meeting, there was no consideration given. She said it was critical that she understood priorities of any unplanned work. Mr Douglas suggested there could be a process where such requests are reviewed annually and potentially culled due to lack of money or change in priorities.

Chair Calvert said she understood the frustration with unbudgeted and unplanned work and suggested to discuss these concerns when Council/Committee Chairs meet to review meeting agendas. Cr Noone said staff include financial implications in each report brought to a meeting, but the decisions made on the fly are ones that need to be identified as to how they will be budgeted. Mrs Gardner said it was important to be strategic and link costs with work programme commitments made when adopting LTPs.

Chair Calvert noted the discussion and said she would work with Mr Douglas and Mrs Gardner on ways to incorporate more discipline and rigor into what is happening with resolutions. Cr Wilson noted that it was still important to be able to be flexible to allow responsiveness to constituent concerns. There were no further discussions and Cr Calvert moved noting of the report.

Resolution AR22-104: Cr Calvert Moved, Cr Noone Seconded

That the Audit and Risk Subcommittee:

- 1) **Notes** this report.

MOTION CARRIED

8. RESOLUTION TO EXCLUDE THE PUBLIC

Resolution: Cr Wilson Moved, Cr Malcolm Seconded:

That the meeting move into public excluded at 2:25pm under LGOIMA 48(1)(a) per the order paper to consider:

- Minutes of the 11/11/2021 public excluded portion of the Audit and Risk Subcommittee meeting
- Wilding Conifer Contract Management
- Managed Fund - 31/12/2021 Report
- Corporate Policy Overview Report, 7(2)(a) and 7(2)(h)

MOTION CARRIED

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 are as follows:

General subject of each matter to be considered	Reason for passing this resolution in relation to each matter	Ground(s) under section 48(1) for the passing of this resolution
<i>Minutes of the 11 November 2021 Audit and Risk Subcommittee meeting</i>	<p>Section 7(2)(b)(ii) - To protect information where the making available of the information—would be likely unreasonably to prejudice the commercial position of the person who supplied or who is the subject of the information;</p> <p>Section 7(2)(c)(i) - 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 prejudice the supply of similar information, or information from the same source, and it is in the public interest that such information should continue to be supplied;</p>	Section 48(1)(a);

	<p>Section 7(2)(g) - To maintain legal professional privilege;</p> <p>Section 7(2)(h) - To enable any local authority holding the information to carry out, without prejudice or disadvantage, commercial activities;</p> <p>Section 7(2)(j) - To prevent the disclosure or use of official information for improper gain or improper advantage.</p>	
<p><i>Wilding Conifer Contract Management</i></p>	<p>Section 7(2)(e) - To avoid prejudice to measures that prevent or mitigate material loss to members of the public;</p> <p>Section 7(2)(g) - To maintain legal professional privilege;</p> <p>Section 7(2)(h) - To enable any local authority holding the information to carry out, without prejudice or disadvantage, commercial activities.</p>	<p>Section 48(1)(a): Subject to subsection (3), a local authority may by resolution exclude the public from the whole or any part of the proceedings of any meeting only on 1 or more of the following grounds:</p> <p>(a) that the public conduct of the whole or the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding would exist.</p>
<p><i>Managed Fund – 31 December 2021 Report</i></p>	<p>Section 7(2)(b)(ii) - To protect information where the making available of the information—would be likely unreasonably to prejudice the commercial position of the person who supplied or who is the subject of the information;</p> <p>Section 7(2)(c)(i) - 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 prejudice the supply of similar information, or information from the same source, and it is in the public interest that such information should continue to be supplied;</p> <p>Section 7(2)(h) - To enable any local authority holding the information to carry out, without prejudice or disadvantage, commercial activities.</p>	<p>Section 48(1)(a): Subject to subsection (3), a local authority may by resolution exclude the public from the whole or any part of the proceedings of any meeting only on 1 or more of the following grounds:</p> <p>(a) that the public conduct of the whole or the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding would exist.</p>

<p><i>Risk Review</i></p>	<p>Section 7(2)(e) - To avoid prejudice to measures that prevent or mitigate material loss to members of the public; Section 7(2)(j) - To prevent the disclosure or use of official information for improper gain or improper advantage.</p>	<p>Section 48(1)(a): Subject to subsection (3), a local authority may by resolution exclude the public from the whole or any part of the proceedings of any meeting only on 1 or more of the following grounds: (a) that the public conduct of the whole or the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding would exist.</p>
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Chair Calvert reconvened the public meeting.

Resolution: Cr Noone moved, Cr Malcolm seconded
That the meeting resume in public session at 4:20PM.

MOTION CARRIED

7.5. CS2204 Audit and Risk Work Program

This paper outlined the proposed work programme to be covered at Audit and Risk Subcommittee meetings in the 2022 calendar year to ensure the responsibilities outlined in the Terms of Reference are fulfilled. Nick Donnelly (GM Corporate Services) was present electronically to speak to the report and respond to questions. Following questions of the report, Cr Wilson moved:

Resolution AR22-105: Cr Wilson Moved, Cr Malcolm Seconded
That the Audit and Risk Subcommittee:

- 1) **Notes** this report.
- 2) **Endorses** the proposed work programme for the 2022 calendar year.

MOTION CARRIED

9. CLOSURE

There was no further business and Chairperson Calvert declared the public meeting closed at 4:22pm.

 Chairperson

 Date

DOCUMENT TABLED AT 24 FEB 2022 MEETING

ORC COVID19 Protection Framework

Principles:

- Staff safety and wellbeing is paramount
- A vaccinated workforce will be one of our best controls
- Good hygiene, scanning in and staying home if you are sick will also be important controls
- ORC will make best efforts to take account of individual comfort levels, balanced with necessary business continuity, across all levels of the CPF and particularly during the transition phases
- Government policy and regional health response will inform and guide our response
- Council will continue to deliver services to our communities safely through business continuity planning
- Flexible work will enable us to continue to deliver

Note: This framework is intended to be read alongside the [ORC Vaccination Policy](#). Staff are also required (as necessary) to comply with Vaccination Policy requirements of other businesses/stakeholders.

	Green	Orange	Red
Personal movement (on ORC business)	Movement unrestricted; scanning in required at each site (including separate QR codes for Annex and Regional House, and floors at PLH)	Movement unrestricted; scanning in required at each site (including separate QR codes for Annex and Regional House, and floors at PLH)	Movement between ORC buildings to be minimised where possible Scanning in required at each site (including separate QR codes for Annex and Regional House, and floors at PLH)
Working from home	Normal flexible working applies	Staff at increased risk may wish to work from home	Working from home strongly encouraged where productive work can be undertaken; 50% max capacity in all office spaces In some cases, teams may be split (ie red team/blue team); this will be

Version 1.6

Date: 23 February 2022

Owner: People and Safety

DOCUMENT TABLED AT 24 FEB 2022 MEETING

			managed as part of business continuity planning at a team-by-team level.
Protocols inside buildings	Business as usual, staff should avoid congregating in hallways etc.	1m distancing recommended, staff should avoid congregating in hallways etc.	1m distancing required, staff should avoid congregating in hallways etc. Masks to be worn when moving around the office, including in bathrooms, tearooms (except while eating/drinking) and in-person meetings. Additional cleaning measures for publicly accessible buildings. Whenever reasonably possible, increase ventilation by opening windows.
Other people coming onsite (meetings, interviews)	Business as usual (with record keeping)	Visitors allowed on-site, however consideration should be given to the necessity of meeting in-person. Masks and 1m distancing recommended	Meetings with externals to be conducted via video conferencing
Building contractors and couriers	Business as usual (with record keeping)	Allowed on-site, however consideration should be given to the necessity of conducting the work in Orange. Masks and 1m distancing recommended	Contractors allowed on-site for priority works only. Couriers continue, limit contact with staff Masks and 1m distancing required.
Customer experience	Face coverings encouraged	Face coverings required 1m distancing	Face coverings required 1m distancing
Council meetings	In-person; 1m distancing; public allowed (potential capacity limits)	In-person; 1m distancing; public can attend online	Per decisions of 9 February 2022 Council meeting.

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Owner: People and Safety

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<p>Attending off-site meetings</p>	<p>Business as usual provided the staff member is comfortable. Heed vaccination policy requirements of other businesses where required</p>	<p>Masks and 1m distancing recommended. Heed vaccination policy requirements of other businesses where required</p>	<p>Staff may attend off-site meetings if they are comfortable to do so, and after checking the comfort levels of others attending.</p> <p>Masks and 1m distancing recommended.</p> <p>Heed vaccination policy requirements of other businesses where required</p>
<p>Community engagement</p>	<p><i>Refer to CPF for event limits, based on vaccination requirements.</i> Heed vaccination policy requirements of other businesses where required</p>	<p><i>Refer to CPF for event limits, based on vaccination requirements.</i> Heed vaccination policy requirements of other businesses where required</p>	<p>Community engagement events held online for February</p> <p><i>[Positioning on this for March and beyond will be reviewed during Feb]</i></p>
<p>Going onto properties for compliance etc (includes Pollution Hotline)</p>	<p>Maintain 1m distancing, masks encouraged. Heed vaccination policy requirements of other businesses where required</p>	<p>Maintain 1m distancing, masks recommended. Heed vaccination policy requirements of other businesses where required</p>	<p>Masks and 1m distancing required. Heed vaccination policy requirements of other businesses where required</p>
<p>Vehicles</p>	<p>Normal vehicle use policy applies. Additional hygiene measures available and use encouraged</p>	<p>Normal vehicle use policy applies. Additionally: Masks and 1m distancing recommended. Additional hygiene measures available and use recommended</p>	<p>Masks and/or 1m distancing required where passengers are present.</p> <p>Additional hygiene measures available and use required.</p> <p>Pool vehicles: -try to book the same vehicle rather than switch around. -note that some Pool vehicles have been reassigned at Red to aid in</p>

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			business continuity for core functions.
Work-Related Travel	Business as usual (provided staff are happy to travel, and subject to usual travel policy). No travel to areas in Red Heed vaccination policy requirements of other businesses where required	Consider need to travel vs. risks of going (also providing staff are happy to travel, and subject to usual travel policy). Heed vaccination policy requirements of other businesses where required. No travel to areas in Red	Travel within the region can continue, with consideration given to minimising where possible. Travel outside Otago is by GM approval. Refer below for guidance on non-customer facing field work. Heed vaccination policy requirements of other businesses where required
Field Work	Field work continues as normal, subject to the below. Maintain 1m distancing if encountering members of the public/landowners, masks encouraged. Heed vaccination policy requirements of other businesses where required	Field work continues as normal, subject to the below. Maintain 1m distancing if encountering members of the public/landowners, masks recommended. Heed vaccination policy requirements of other businesses where required	Field work continues as normal, subject to the below. Masks and 1m distancing required. Heed vaccination policy requirements of other businesses where required

Version 1.6
Date: 23 February 2022
Owner: People and Safety

OPEN ACTIONS OF RESOLUTIONS OF THE AUDIT & RISK SUBCOMMITTEE AT 12 MAY 2022

Date	Item	Status	Action Required	Assignee/s	Action Taken	Due Date
24/02/2022	A&R2201 Legislative Compliance and Mandatory Documents Register	Completed	Amend comments on Resource Management Act to incorporate scheduled review of the Waste, Coast and Air Plans. Res AR22-103	General Manager Corporate Services, Legal Counsel	02/05/2022 General Manager Corporate Services The master document has been amended to reflect the comment that reviews are scheduled for the noted plans.	12/05/2022
24/02/2022	A&R2201 Legislative Compliance and Mandatory Documents Register	In Progress	Track Public Records Act 2005 recordkeeping on the Action Register until the new records management system is implemented. Res AR22-102	General Manager Corporate Services, Legal Counsel	02/05/2022 General Manager Corporate Services Action will remain until new records system is implemented later in 2022	30/09/2022

7.1. CS2220 Annual Report Timetable and Matters Under Consideration

Prepared for:	Audit and Risk Subcommittee
Report No.	CS2220
Activity:	Governance Report
Author:	Sarah Munro, Finance Manager Expenditure and Reporting
Endorsed by:	Nick Donnelly, General Manager Corporate Services
Date:	12 May 2022

PURPOSE

- [1] The purpose of this report is to outline the adoption timetable and changes in the accounting standards for Council's Annual Report and Financial Statements for the year ending 30 June 2022.

EXECUTIVE SUMMARY

- [2] This report details the Annual Report timetable. The Annual Report will be presented to the Audit and Risk Subcommittee on 21 September 2022. The Annual Report will include Council and Group audited Financial Statements.
- [3] The Annual Report will be presented to Council on 28 September 2022 for adoption.
- [4] This report also outlines key changes to financial statement accounting standards that are applicable to Council. It is anticipated that there will be no significant impact to the Council financial statements as a result of these accounting standard charges.

RECOMMENDATION

That the Audit and Risk Subcommittee:

- 1) **Notes this report.**

BACKGROUND

- [5] The Local Government Act 2002 requires local authorities to prepare and adopt by resolution an Annual Report comparing the actual activities and the actual performance of the local authority with the intended activities and level of performance as set out in the Long Term Plan and Annual Plan. The statutory requirement is that the Annual Report must be adopted within four months of the end of the financial year, this year being 31 October 2022.
- [6] The Annual Report includes financial statements for the year ended 30 June 2022. Council financial statements consist of the Council and the Council Group. Council is the sole shareholder of Port Otago Limited and accordingly the Council and Port Otago Limited are regarded as a group for financial reporting purposes.
- [7] Council financial statements are audited by Deloitte on behalf of the Office of the Auditor General.

TIMETABLE

- [8] The Annual Report will be presented to the Audit and Risk subcommittee on 21 September 2022 for review which will include audited Council Financial Statements and audited Group Financial Statements.
- [9] Port Otago Limited is audited by Ernst & Young.
- [10] The final Annual Report will be presented to Council at the 28 September 2022 Council meeting for adoption.

CHANGES TO FINANCIAL STATEMENT ACCOUNTING STANDARDS

- [11] Council financial statements are prepared using Public Benefit Entity International Accounting Statements (PBE IPSAS). The table below shows the PBE IPSAS

Standard	Change	Impact on Council
PBE FRS 48 Service Performance Reporting	PBE FRS 48, Service Performance Reporting requires entities which are legally required to provide service performance information to provide the following information: <ul style="list-style-type: none"> • What the entity aims to achieve over the medium to long term, and how it will go about achieving this and • What the entity has done to achieve its broader aims and objectives, as stated above. 	No impact to Council due to this information already being disclosed in the Long-Term Plan and Annual Report.
PBE IPSAS 41 Financial Instruments	IPSAS 41, Financial Instruments, establishes new requirements for classifying, recognizing, and measuring financial instruments to replace those in IPSAS 29, Financial Instruments: Recognition and Measurement. IPSAS 41 provides users of financial statements with more useful information than IPSAS 29, by: <ul style="list-style-type: none"> • Applying a single classification and measurement model for financial assets that considers the characteristics of the asset's cash flows and the objective for which the asset is held; • Applying a single forward-looking expected credit loss model that is applicable to all financial instruments subject to impairment testing; and • Applying an improved hedge accounting 	No impact to Council due to our early adoption of PBE IFRS 9.

	<p>model that broadens the hedging arrangements in scope of the guidance. The model develops a strong link between an entity's risk management strategies and the accounting treatment for instruments held as part of the risk management strategy.</p>	
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GROUP

- [12] Port Otago Limited (POL) is a for profit entity and required to prepare financial statements using New Zealand Equivalent to the International Accounting Statement (NZ IFRS), a different accounting basis to the Council financial statements which are prepared using PBE IPSAS.
- [13] During the Council consolidation, POL financial information is recalculated from NZ IFRS to PBE IPSAS accounting standards. During the current year there have not been any changes in NZ IFRS standards which would require additional adjustments not performed in prior years.

CONSIDERATIONS

Strategic Framework and Policy Considerations

- [14] There are no strategic framework and policy considerations.

Financial Considerations

- [15] There are no financial considerations.

Significance and Engagement

- [16] There are no significant and engagement considerations.

Legislative and Risk Considerations

- [17] There are no legislative and risk considerations.

Climate Change Considerations

- [18] There are no climate change considerations.

Communications Considerations

- [19] There are no communication considerations.

ATTACHMENTS

Nil

7.2. CS2222 Procurement and Contract Management

Prepared for:	Audit and Risk Subcommittee
Report No.	CS2222
Activity:	Governance Report
Author:	Sarah Munro, Finance Manager Reporting and Expenditure
Endorsed by:	Nick Donnelly, General Manager Corporate Services
Date:	12 May 2022

PURPOSE

- [1] The purpose of this paper is to provide an updated draft procurement and contract management policy.

EXECUTIVE SUMMARY

- [2] This paper outlines the changes to the procurement and contract management policy, which outlines Council requirements for contract management and procurement.
- [3] The Policy was in the process of being revised to include elements of social procurement following recommendations from the Ministry of Business, Innovation and Employment (MBIE).
- [4] At the 24 February 2022 Audit and Risk Subcommittee meeting it was resolved:
That staff bring to the next Audit and Risk Subcommittee meeting on 12 May 2022 a draft Contract Management Section to be considered as part of a Procurement and Contract Management Policy. (Resolution AR22-109).

RECOMMENDATION

That the Audit and Risk Subcommittee:

- 1) **Notes this report and the draft Procurement and Contract Management Policy.**

DISCUSSION

- [5] The Procurement and contract management policy has been updated to reflect changes that were released by the Ministry of Business, Innovation and Employment (MBIE) and to amend the policy to include ongoing contact management.
- [6] The changes to the Procurement and Contract Management Policy were reviewed by the internal Council Policy Review Group on 3 May 2022. Following any feedback from the Audit and Risk Subcommittee the Policy will be finalised and approved at the next Policy Review Group meeting on 17 May 2022.
- [7] The most significant change to the policy were:
- The change in name of the policy to include both procurement and contract management. Previously the procurement policy had contract management requirements related to procurement, but these did not include the ongoing management of the contract post procurement and contract management was not reflected in the name of the policy.

- The inclusion and expansion of requirements for contract management, clause 5 and clause 6. Previously the policy did not provide on-going contract management requirements although a lot of the requirements now included in the Policy were previously held in guidelines and training support documents.
 - The Policy now separately defines the on-going requirements for contract management and defines the role and responsibility of a Contract Manager who is the person responsible for establishing and managing the contract.
 - The inclusion and expansion of social procurement. Clause 3.5 value te ao Māori has been added to the policy to endeavour to assess the value te ao Māori for all procurement over \$100,000.
- [8] The December 2020 Cabinet decision required that all government agencies needed to ensure that at least 5 % of relevant contracts are awarded to Māori businesses.
- [9] It is not mandatory for Council to have made this change to procurement and contract management policy; however, it strengthens our relationship with our Mana Whenua partners, and it is best practise for Council to follow the MBIE procurement requirements.
- [10] The rule has been mandated to central government agencies and has been included in our funding agreements with various ministry agencies.
- [11] All other changes to the procurement policy were minor.

CONSIDERATIONS

Strategic Framework and Policy Considerations

- [12] There are no strategic framework and policy considerations.

Financial Considerations

- [13] There are no financial considerations.

Significance and Engagement

- [14] There are no significance and engagement considerations.

Legislative and Risk Considerations

- [15] There are no legislative and risk considerations. However it is noted that the Contracts part of this policy was specifically identified as required by Council's Audit and Risk Committee.

Climate Change Considerations

- [16] There are no climate change considerations.

Communications Considerations

- [17] There are no communication considerations.

ATTACHMENTS

1. DRAFT Procurement and Contract Management Policy [7.2.1 - 9 pages]



Otago Regional Council

Procurement and Contract Management Policy

April 2022

	Document Name: ORC Procurement and Contract Management Policy
	Document Owner: General Manager Corporate Services
	Authorised By: Chief Executive
	Implementation Date: XX/XX/XXXX
	Review Period: Biennially
	Last Reviewed: XX/XX/XXXX
	Next Review: XX/XX/XXXX

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1. PURPOSE

This policy sets out the core framework for the procurement of both goods and services within the Otago Regional Council. It is supported by procurement guidelines that are designed to give practical guidance to confirm key policy requirements.

The objective is to keep the risks associated with procurement within Council's established risk criteria and ensure the required controls are being followed.

2. SCOPE

This policy applies to all employees including individuals hired by external parties and working for Otago Regional Council as a temporary employee.

Procurement is all business processes associated with the purchasing of goods and services, spanning the whole cycle from the identification of needs to the end of a service contract or the end of the useful life and subsequent disposal of an asset.

The procurement of some items is strictly controlled, including but not limited to vehicles, IT, travel, stationery, health and safety equipment, energy, and sensitive expenditure, and is dealt with at the corporate level to ensure both value for money and consistency.

3. PROCUREMENT PRINCIPLES

Council staff are to be guided by the following principles when procuring goods and/or services on behalf of the Otago Regional Council:

3.1. Value for Money

Council has a responsibility to manage its resources in an effective and efficient manner, and in doing so will consider best value for money over the whole life cycle when procuring goods and services. Staff are to make a balanced decision considering the possible social, sustainability, environmental, economic effects and cultural outcomes that should be achieved.

Projects need to be appropriately bundled with efficiently timed tenders to allow the market to manage the load and make procurement a large enough size to encouraging healthy competition.

The value for money principle is one of the highest weighted principles for procurement.

3.2. Be fair to all suppliers

- Competition Council will ensure open and effective competition as a competitive procurement process is likely to result in a better procurement outcome for Council.

- Fair Opportunities – Council procurement needs to treat all suppliers equally. Council does not discriminate between local, national or international suppliers nor do we give preference to the current supplier of the service. See 3.1.4 for local supplier requirements.
- All tender procurement activity will be publicly notified so all potential suppliers have equal access. The procurement documentation that is provided to the market will contain information which makes it clear what we are looking for by way of response, and evaluations will be undertaken in a manner that avoids bias. Ensuring probity of action is everyone’s responsibility when conducting procurement activities. Council will offer to de-brief any supplier who has taking part in a tender.
- Transparency – Follow procurement guidelines and be open to ensure spend and contract award information is available (subject to the Local Government Official Information and Meetings Act 1987) and documented, promotes a shared understanding of respective roles and obligations between Council and any external parties participating in procurement activities.
- Accountability – Be accountable for performance and be able to give complete accurate accounts of public funds, including funds passed on to others for a particular purposes.
- Ethical consideration – Behave ethically including; declaring any perceived conflicts of interest, comply with international standards of human rights and relevant labour laws in supply chains, and any other relevant internal policies.

3.3. Plan and manage procurement

Procurement planning and management is the responsibility of the department who is acquiring the goods or services. As a minimum the following questions should be asked;

- Identify what you need, including what broader outcomes should be achieved, and then plan how to get it.
- Involve suppliers early – let them know what you want and keep talking.
- Take the time to understand the market and your effect on it. Be open to new ideas and solutions.
- Choose the right procurement process – proportional to the size, complexity, cost and any risks involved. The entire procurement should be assessed and bundle together to provide the best procurement outcome.
- Manage the procurement that has been decided including service and cost.

3.4. Local Suppliers

Council promotes the use of local suppliers in the Otago region. Council will endeavour to ensure that at least one local supplier is approached for all quotes and tenders. If there is no local supplier available this need to be documented in the procurement plan.

3.5. Value te ao Māori

The Council will support a resilient and regenerative Māori economy by supporting economic opportunities for Māori business and iwi organisations.

To enable this, all procurement will consider:

- Our legislative obligations derived from the Treaty of Waitangi and our relationships with mana whenua.

- Working with suppliers to create quality employment opportunities through our contracts for Māori.
- Making our size and scale work for and with Māori.

Council will endeavour that the assessment of Māori suppliers is included for all procurement over \$100,000 to ensure that our mana whenua partner companies are considered.

3.6. Legislative compliance

Council will comply with all relevant legislation, policies and procedures when engaging in the procurement process.

Council shall ensure it meets its legislative requirements under the Health and Safety at Work Act 2015, and ensure that Council employees, contractors, members of the public and customers are not put at risk as far as reasonably practicable.

4. MEANS OF PROCUREMENT

An electronic purchase order must be made for all procurement before goods and/or services are requested. The purchase order must include all items of the procurement. The only exception to this is in the case of an emergency as defined within this policy section 8.

The following is required to be performed for all procurement transactions with the level of requirements based on the financial amount of the procurement items.

Procurement less than \$5,000

- Procurement less than \$5,000 can occur with any creditors included in the IPOS procurement system.
- It is recommended that a procurement plan is made (appropriate to the size of the procurement) to document how the principles of the procurement policy have been met.

Procurement between \$5,001 and \$25,000

- Procurement between \$5,001 and \$25,000 requires a procurement plan to be completed and either of the following:
 - 3 written quotes including at least one local supplier where possible, (exceptions are to be documented in the procurement plan). A written quote is a written offer (either in manual paper or email) which outlines;
 - Services to be performed or goods to be supplied
 - A fixed price or fixed charge out rate
 - Confirms the supplier can deliver the goods or provide the services
- OR
 - The purchase is made under a contract for either preferred services or a specific procurement contract that has been set up by the department who is ordering the goods/services. Contract establishment requirements are detailed in clause 5.

Procurement between \$25,001 and \$100,000

- Procurement between \$25,001 and \$100,000 requires a procurement plan and a contract to be established.

Procurement greater than \$100,000

- Procurement greater than \$100,000 requires a procurement plan to be completed and a tender process and contract established (unless an exception under section 7 applies which must be documented in the procurement plan).

All supporting documentation (including procurement plans, quotes and tender documents) must be recorded in the procurement system.

5. CONTRACT ESTABLISHMENT REQUIREMENTS

To establish a contract the principles of the procurement policy must be met as well as the following value for money considerations:

Contract procurement for a total contract value less than \$100,000

- A procurement plan
- 3 written quotes including at least one local supplier (where possible) are to be obtained
- Council signs up to an existing AOG contract. 3 written quotes are not required if an AOG contract is being used.

Contract procurement for a total contract value great than \$100,000

- A tender is required (unless an exception under section 7 applies and it is documented in the procurement plan).

Authority to sign off contracts' rests with the relevant staff who have a level of delegation consistent with the total expenditure of the contract. If a contract modification, extension or amendment is required this must be treated as being part of the original contract and can only be approved by the staff member of same or higher delegation level of that which approved the original contract, regardless of the size or value of the modification, extension or amendment.

Every Contract must include the position and title of the Otago Regional Council staff member accountable for the management of the contract. This person will be known as the "Contract Manager" and will be responsible for ensuring:

- All relevant documentation is complete and executed properly.
- All documentation is filed appropriately, and a copy of the contract is forwarded to the Finance department or department procurement officer and entered into iPos.
- Otago Regional Council's rights and obligations under the Contract are met.

Once in place, individual invoices under that contract may be authorised by staff with the level of delegation appropriate to each invoice.

5.1. Documentation of contract establishment

The document management system must be used to hold all related correspondence, and a copy of the signed original contract. References to these documents must be included in the procurement

plan and documented in the contracts module of the procurement system so that expenditure transactions can be recorded against the contract.

All Council contracts must:

- Be in writing.
- Include the position title of the Council staff member/s accountable for the management of the Contract.
- Contain contract terms, conditions, scope and deliverables, KPI reporting (if applicable) and relationship management that are clear and understood by all parties.
- Take all reasonable steps to ensure that Council is not exposed to unacceptable risk.
- Ensure all contracts fully comply with Council's Health and Safety Policy.

6. CONTRACT MANAGEMENT

Contract Management enables Councils and their suppliers to meet their contractual obligations at an agreed cost and quality by monitoring the contract throughout its lifecycle. Circumstances may change over the life of a contract, so contract management also involves managing changes and variations in terms of scope, terms and prices. It also enables appropriate contract forward planning to ensure that the Council achieves its objectives and that procurement takes place in a structured way in compliance with the law and the Council's rules.

Council will maintain a central database of all approved contracts in the iPos electronic procurement systems. It is the responsibility of the Contract Manager to ensure that all documentation is provided to Finance for this purpose.

The Contract Manager is responsible for the ongoing management of the contract including monitoring, auditing and reviewing contract delivery against the agreed contract deliverables and performance expectations. The Contract Manager must review live contracts on their anniversary and is responsible for managing the renewal and/or expiry and exit of the contract.

7. EXCEPTION FOR SOLE SUPPLIER

An exception to the procurement quote and tender requirements may be allowed where there is a single supplier or where an exemption from open advertising applies (refer Ministry of Business and Innovation (MBIE) rules on procurement). A business case must be prepared outlining the reasons why it is appropriate to depart from the procurement policy. The business case requires General Manager approval.

A business case must consider the following:

1. Background (including explaining how there is only one supplier)
2. Existing situation – risk considerations
3. Proposed situation
4. Benefits/negatives
5. Budget
6. Any training or transition implications
7. Recommendation

8. EMERGENCY PROCUREMENT

An emergency procurement situation can arise from natural disasters such as flooding and earthquakes. Emergency procurement is not available to compensate for poor planning or to procure without a purchase order.

In an emergency, the following procedure is to be followed:

1. An emergency for procurement purposes must be classified by either the Director of Corporate Services, CEO, Chairperson or Group Controller of Emergency Management Otago.
2. If available, the IPOS procurement system is to be used.
3. If it is not possible to use the IPOS system due to infrastructure failure (or by approval of the Director or Corporate Services, CEO, Chairperson or Group Controller of Emergency Management Otago), the manual purchase order books are to be used for all approved expenditure. A manual purchase order must state the following:
 - a) The supplier
 - b) An estimate of cost or the actual cost
 - c) The level of service approved (for example 50 hours of helicopter services)
 - d) Who approved the expenditure (note this must be within emergency delegation levels). This person must sign the purchase order.
4. When practicable all manual purchase order books must be returned to Finance and all manual purchase orders must be entered into the IPOS system.

Expenditure will not be paid without a valid purchase order from the IPOS system, or a record of the transaction in a manual purchase order book.

In the event of an oil spill emergency or Harbourmaster event, all purchases must be made through the IPOS system, and if required, finance may be used to raise requisition orders on behalf of active field staff.

9. DELEGATION AUTHORITY

By resolution of Council, the Chief Executive has the power to authorise delegation for expenditure to employees of Council.

When approving a procurement transaction, it is the responsibility of the approver to review the procurement:

1. Meets the principles and requirements of the procurement policy will all procurement plans, quotes and tender documents (if applicable) attached in IPOS.
2. Procurement expenditure is in line with budget for the job code area.
3. Procurement is in a budget area of Council the approver is responsible for.

10. CONFLICT OF INTEREST

Procurement is required to be undertaken in a transparent way. Documenting the procurement process provides for transparency. Staff must be aware of possible or actual conflicts of interest and staff should remove themselves from the procurement process altogether, advise management and complete a conflict of interest declaration form if there is a conflict of interest at any stage of the procurement.

11. BREACH OF POLICY

Any breach of this policy will be treated as serious misconduct and investigated by Council.

12. RELEVANT LEGISLATION

Council must comply with all applicable legislation and Council policies throughout the procurement process. This includes, but is not limited to:

- Local Government Act 2002
- Local Government Official Information and Meetings Act 1987
- Contract and Commercial Law Act 2017
- Health and Safety at Work Act 2015
- Public Records Act 2005
- Construction Contracts Act 2002
- Electronic Transactions Act 2002
- Public Audit Act 2001
- Public Finance Act 1989
- Commerce Act 1986
- Fair Trading Act 1986
- Land Transport Management Act 2003

7.3. CS2236 Corporate Policy Overview Report

Prepared for:	Audit and Risk Subcommittee
Report No.	CS2236
Activity:	Governance Report
Author:	Nick Donnelly, General Manager Corporate Services
Endorsed by:	Nick Donnelly, General Manager Corporate Services
Date:	12 May 2022

PURPOSE

[1] To provide an update of Council's organisational policies to the Audit and Risk Subcommittee.

RECOMMENDATION

That the Audit and Risk Subcommittee:

- 1) *Notes this report.*

BACKGROUND

- [2] The Policy Review Group (PRG) was established in October 2020 to oversee Council's internal organisational policies. This group meets quarterly and considers new policies and amendments to existing policies.
- [3] Since its establishment, the PRG has been through a process of standardising, simplifying, and amalgamating these policies, approving new policies and identifying where policy gaps existed.
- [4] An overview of this groups work, and a list of Council's policies was provided to the Audit and Risk Subcommittee at their October 2021 meeting. The Subcommittee requested that the updated policy table was provide to subsequent Audit and Risk meetings.

DISCUSSION

- [5] Following the previous update to Audit and Risk in February 2021, the PRG met on 17 February 2022 and 3 May 2022. The following policies were discussed at the meetings:

Policy	Action
Contractor Health and Safety Policy and Procedure	Approved
Vehicle Policy	Approved for staff consultation
Procurement and Contract Management Policy	Approved to go to Audit and Risk

- [6] An updated copy of the master policy spreadsheet is attached. This is a living document and is being reviewed and updated on an on-going basis. The policies are shown in two categories:

- Internal – organisational policies that mainly relate to how staff undertake their day-to-day activities and are approved by the Chief Executive.
- Council – policies that specifically relate to Councillors and the Council and are approved by Council itself. These are generally policies that Council is required to have under the Local Government Act 2002.

[7] Internal policies are sub-grouped into functional areas. Those shown in green have been through the PRG review process. Notes are included on other policies that are intended to be reviewed in the near future or are to be developed. This may include merger/amalgamation of policies in some instances.

[8] The PRG is scheduled to meet again on 17 May 2022 and an update from that meeting will be provided to the August 2022 Audit and Risk Subcommittee meeting.

CONSIDERATIONS

Strategic Framework and Policy Considerations

[9] There are no strategic or policy considerations other than this paper relates to the development and review of Council policies themselves. Any policy considerations are outlined in the paper or attached policies (if included).

Financial Considerations

[10] There are no financial considerations.

Significance and Engagement Considerations

[11] There are no significance and engagement considerations.

Legislative and Risk Considerations

[12] There are no legislative or risk considerations.

Climate Change Considerations

[13] There are no climate change considerations.

Communications Considerations

[14] There are no communications considerations.

ATTACHMENTS

1. MASTER Policy Table - Revised May 2022 [7.3.1 - 3 pages]

CORPORATE	Title	Description	Last Reviewed	Person Responsible	Status / Notes	Review Period	Next Review Date	To ELT	Where published	Reformatted
Legal	Official Information Policy and Procedure	Sets out ORC's approach to managing information held by the ORC to ensure compliance with the Local Government Official Information and Meetings Act 1987 (LGOMMA or Act).	Nov-20 PRG	Peter	Approved	Triennially	Dec-23	✓	Jostle, Crs, Website	✓
	Official Information Proactive Release Policy	To set out the high-level principles and guidelines for how the ORC can proactively publish official information online, including any responses to requests under the Local Government Official Information and Meetings Act 1987 (LGOMMA).	Nov-20 PRG	Peter	Approved	Triennially	Dec-23	✓	Jostle	✓
	Protected Disclosures Policy	This policy outlines the procedures to be followed in relation to protected disclosures under the terms of the Protected Disclosures Act 2000 (the Act).	Nov-20 PRG	Peter	Approved	Biennially	Dec-22	✓	Jostle	✓
	Trespass Policy	The purpose of this policy is to set out guidance on the types of trespass and the procedure for considering and issuing trespass notices on behalf of the Otago Regional Council ("Council").	Nov-20 PRG	Peter	Approved	Triennially	Dec-23	✓	Jostle	✓
	Customer Privacy Policy	For the control of our collection, use and disclosure of your personal information (as defined in the Privacy Act 2020).	Nov-20 PRG	Peter	Approved	Biennially	Dec-22	✓	Website, Jostle	✓
	Inhouse Privacy Policy	Part A: to outline the procedures that Council staff must follow to ensure its responsibilities under Council's Inhouse Privacy Policy and the Privacy Act 2020 ("the Act") are complied with. Part B: to provide a reference to staff on key considerations when carrying out the Council's internal procedure for notifiable privacy breaches.	Apr-21 PRG	Peter	Approved	Triennially	May-24	✓	Website, Jostle	✓
	Copyright Policy		Nov-21 PRG	Peter	Approved	Annually	Nov-22			
	Drones Policy		NEW	Peter	In creation (Nov-2021)					
Finance	Sensitive Expenditure Policy	This document sets out Council's policy around controlling 'sensitive expenditure'. 'Sensitive expenditure' in the context of this policy is expenditure which may provide, or has the potential to provide, or may be perceived as providing, a private benefit to an elected member or staff member.	Apr-21 PRG	Sarah	Approved	Annually	Apr-22		Jostle	✓
	Travel Policy	This document sets out Council's policy in relation to travel.	Apr-21 PRG	Sarah	Approved	Biennially	Apr-23	✓	Jostle	✓
	Procurement and Contract Management Policy	Sets out the core framework for the procurement of goods and service within ORC.	May-22	Sarah	Approved	Biennially	May-24		Jostle	✓
	Fraud Policy	To identify that processes are in place to deal with fraudulent behaviour by anyone employed by, or elected to, the Otago Regional Council.	Jan-11	Sarah	Review Nov-2021 (Aug-2021)				Jostle	
	IT Policy	Provides guidelines for the use of technology and outlines expected behaviours when using IT systems.	Dec-14	Sarah	Review Nov-2021 (Aug-2021)				Jostle	
	- Mobile Phone Policy	Outlines the principles for mobile phone usage, security, and hardware that ORC staff agree to when using mobile phone services provided by ORC.	Apr-16	Sarah	- Merge with IT Policy above				Jostle	
	Vehicle Policy	To provide a clear framework for the use of Council vehicles and personal vehicles, for business use, including the required processes, procedures and general expectations.	May-22	Sarah	Approved				Jostle	✓
	- Vehicle Use Policy	To promote a safe driving culture by encouraging sensible and safe use of ORC vehicles, thereby eliminating or reducing the number of motor vehicle incidents and injuries.	May-22	Sarah	- Merged with Vehicle Policy above				Jostle	✓
	- Smartrak Vehicle Policy	The Health & Safety in Employment Act recognises company (Council) vehicles as a place of work. Smartrak introduces another control to help ensure the safety of staff by enabling vehicles to be tracked to a location for prompt incident response. It also provides for the monitoring of driver behaviour which is outside the law and therefore potentially unsafe.	Jan-15	Sarah	- Merge with Vehicle Policy above				Jostle	
PEOPLE & CULTURE	Title	Description	Last Reviewed	Person Responsible	Status / Notes	Review Period	Next Review Date	To ELT	Where published	Reformatted
Employee Conduct and Welfare	Good Employer Policy Statement	We will ensure all employees understand why those affected by family violence may need to avail themselves of the entitlements provided by the Family Violence Act 2018 and acknowledge the reasons for providing support.	Mar-21 PRG	Rebecca	Approved	Biennially	Mar-23	✓	Jostle	N/A
	Health, Safety and Wellbeing Policy Statement	The Otago Regional Council (ORC) sees health, safety and wellbeing as a cornerstone of how we do business. We are committed to providing a safe and healthy environment for all employees, contractors, volunteers and visitors who may take part in, or be impacted by our work.	Mar-21 PRG	Rebecca	Approved	Biennially	Mar-23		Jostle	N/A
	Code of Conduct Policy	The purpose of this policy is to set out guidance on the types of trespass and the procedure for considering and issuing trespass notices on behalf of the Otago Regional Council ("Council").	Jun-21 PRG	Rebecca	Approved	Biennially	Jun-23	✓	Jostle	✗
	Family Violence Policy	We will ensure all employees understand why those affected by family violence may need to avail themselves of the entitlements provided by the Family Violence Act 2018 and acknowledge the reasons for providing support.	Jun-21 PRG	Rebecca	Approved	Biennially	Jun-23	✓	Jostle	✓
	Performance Management and Disciplinary Policy	The purpose of this policy is to ensure all employees and managers are aware of their entitlements and obligations in relation to legislated rest and meal breaks. It should be noted that the breaks outlined below are the minimum legislative entitlements, and ORC provisions are in some cases more generous than those in the legislation.	Jun-21 PRG	Rebecca	Approved	Biennially	Jun-23	✓	Jostle	✓
	Storage of Employee Records Policy		NEW	Rebecca	In creation					
	Transition to Retirement Policy		NEW	Rebecca	In creation					
	Youth Engagement Policy		NEW	Rebecca	In creation (Nov-2021)					
	Conflict of Interest and Gift Policy	This policy is created to avoid or successfully manage conflicts of interest occurring and to clarify the circumstances where activities, including secondary employment would be incompatible with employment at the Council.	Oct-19	Rebecca	Approved	Biennially	Oct-21	✓	Jostle	✗
	Equal Employment Opportunities Policy	The purpose of this policy is to outline the ORC's commitment to equal employment opportunity, diversity and inclusion.	?	Rebecca	To be superseded by Diversity and Inclusion Policy?			✓	Jostle	✗
	Staff Consultation Policy	Otago Regional Council is committed to consulting with staff on matters that may have a substantial impact on their working conditions. This document sets out the requirements of the consultation processes to be followed.	Jan-17	Rebecca	To be reviewed - TBC	Biennially	Jan-19		Jostle	✗
	COVID-19 Vaccination Policy	ORC is implementing this COVID-19 Vaccination Policy to support and encourage ORC staff to become vaccinated as part of the national COVID-19 vaccination program where possible, and to set out clear processes and expectations of vaccination requirements for those employ by ORC, or accessing or working from an ORC-owned or controlled site.	Feb-22	Rebecca	Approved	Every 3 months or as legislation changes	May-22	✓	Jostle	✓
	Working Better Together Policy	Provides guiding principles to ensure that the workplace is free from fear and judgement, enables open communication and values diversity across our workplace and with all those we interact with.	Nov-18	Rebecca	To be reviewed - TBC	Biennially	Nov-20	✓	Jostle	✗

PEOPLE & CULTURE	Title	Description	Last Reviewed	Person Responsible	Status / Notes	Review Period	Next Review Date	To ELT	Where published	Reformatted
Leave and Timesheeting	Fair and Reasonable Sick and Wellbeing Leave Policy	Council recognises that a cornerstone of an engaged and productive workforce is to have healthy and 'well' employees. The purpose of the Fair and Reasonable Sick and Wellbeing Leave Policy is to support employment agreement commitments, provide pathways for employees to access additional sick leave should the need arise, outline clear parameters for employees applying for the leave, and for managers when considering such applications.	Nov-20 ELT	Rebecca	Approved	Biennially	Nov-22	✓	Jostle (Nov 2020)	✓
	Leave Management Policy	Taking time for rest and recreation is key to maintaining a healthy 'work/life' balance, supports employee wellbeing, and contributes to an engaged and productive workforce.	Apr-21 PRG Jun-21 PRG	Rebecca	Approved	Biennially	Jun-23	✓	Jostle	✓
	Rest and Meal Breaks Policy	Ensure all employees and managers are aware of their entitlements and obligations in relation to legislated rest and meal breaks.	Apr-21 PRG	Rebecca	Approved	Biennially	Apr-23	✓	Jostle	✓
	Allowances for Stand-by Rosters and Call Out	Sets out a framework on allowances for staff on Stand-by rosters and for call outs.	Apr-20	Rebecca	Approved	Annually	Apr-21	✓	Jostle	✗
Remuneration	Flexible Working Policy	Our Flexible Work Policy sets out the avenues and process for those who wish to request flexibility in their work, as well as examples of common arrangements, and guidance on the decision-making and approval process for people leaders	Nov-20 ELT	Rebecca	Approved	Biennially	Nov-22	✓	Jostle (Nov 2020)	✓
	Parental Leave Policy	The purpose of this policy is to ensure Parental Leave is managed in a manner supportive to the employee and in accordance with the applicable legislation, taking into account both the needs of the family and of the organisation.	Nov-20 PRG	Rebecca	Approved	Biennially	Dec-22	✓	Jostle	✓
	Training, Learning and Development Policy	The purpose of this policy is to provide guidelines for managers and employees to ensure consistency in eligibility, planning and delivery of the various aspects of employee learning and development.	Jun-21 PRG	Rebecca	Approved	Biennially		✗		
	Remuneration Policy	To ensure that the ORC attracts and retains employees through effective remuneration and reward practices, in line with Council remuneration objectives and principles.	Dec-19	Rebecca	Approved	Biennially	Dec-21	✓	Jostle	✓
	Superannuation Schemes Policy	The Council offers staff three schemes for superannuation savings - ASB Master Trust, Civic SuperEasy and Kiwisaver.	Apr-19	Rebecca	Approved	Biennially	Apr-21	✓	Jostle	✗
	Financial Assistance Policy - Education, Relocation		NEW	Rebecca	In creation					
	Recognition of Service / Reward Policy		NEW	Rebecca	Basic SOP complete, full Policy not started					
Safety and Wellbeing	Policy & Procedure for H&S of Contractors and Subcontractors	This policy aims to support ORC comply with obligations under the MSHA in language that is easy to understand for the end user. The procedure covers the end-to-end process of contractor management from selection, pre-approval, entering into the contract and ongoing monitoring and review. Additional supporting documents are also provided as listed below.	Mar-22	Rebecca	Approved	Annually	Mar-23	✓	Jostle	✓
	Fatigue Management Policy & Toolbox	As prescribed by the Health and Safety at Work Act (2015), Otago Regional Council must ensure, so far as reasonably practicable, the health and safety of its workers, and that others are not put at risk by their work. ORC must eliminate risks that arise from their work so far as reasonably practicable. If a risk can't be eliminated, it must be minimised so far as is reasonably practicable. Fatigue has been identified as a risk by ORC, and as such it is good practice to develop and adopt a fit for purpose fatigue management policy which supports us to manage the risks that arise from fatigue.	Mar-21 PRG	Rebecca	Approved	Annually	Mar-22	✓	Jostle	✓
	First Aid Policy	The Purpose of this policy is to: a) set out the Otago Regional Council's commitment to and arrangements for the provision of first aid, and b) set out responsibilities with respect to the provision of qualified first aid personnel and equipment.	Mar-21 PRG	Rebecca	Approved	Annually	Mar-22	✓	Jostle	✓
	Hazardous Manual Handling Policy	The purpose of this document is to provide instruction to Otago Regional Council (ORC) about how to comply with its duties under the Health and Safety at Work Act 2015 and Health and Safety at Work (General Risk and Workplace Management) Regulations 2016 in relation to managing the risks associated with hazardous manual handling. ORC must eliminate risks associated with hazardous manual handling. If the risk cannot be eliminated it must be minimised as far as is reasonably practicable.	Mar-21 PRG	Rebecca	Approved	Annually	Mar-22	✓	Jostle	✓
	Hazardous Substances Policy & Procedure	The purpose of this document is to provide instruction to Otago Regional Council (ORC) about how to comply with its duties under the legislation regarding hazardous substances. ORC must eliminate risks associated with hazardous substances. If the risk cannot be eliminated it must be minimised as far as is reasonably practicable. ORC's current strategy regarding hazardous substances is to reduce their use and work towards elimination where possible.	Mar-21 PRG	Rebecca	Approved	Annually	Mar-22	✓	Jostle	✓
	Lone Worker & Out of Office Travel Policy	The purpose of this document is to provide instruction to Otago Regional Council (ORC) about how to comply with its duties under legislation in relation to managing the health and safety risks of lone, remote, and isolated work.	Jun-21 PRG	Rebecca	Approved	Annually	Jun-22	✓	Jostle	✓
	Occupational Violence and Aggression (OVA) Policy	The purpose of this document is to provide instruction to Otago Regional Council (ORC) about how to comply with its duties under legislation in relation to managing the health and safety risks associated with Occupational Aggression and Violence (OVA).	Jun-21 PRG	Rebecca	Approved	Annually	Jun-22	✓	Jostle	✓
	Smoke and Vape Free Policy	In line with the Otago Regional Council Wellbeing Policy, the organisation commits to promoting a safe and healthy environment for all employees, contractors and visitors, which includes a smoke and vape free working environment. As part of its wider role in promoting health and wellbeing, Otago Regional Council has a responsibility to encourage and support employees and their families/whanau to become Smokefree.	Mar-21 PRG	Rebecca	Approved	Annually	Mar-22	✓	Jostle	✓
	Safe Driving Policy		NEW	Rebecca	In creation (Aug-2021)					
	Drug and Alcohol Policy		NEW	Amanda	In creation (Aug-2021)					
	Illness and Injury at Work Policy	The purpose of this policy is to provide a framework which applies to all staff so they can recover and return to work from injury or illness. Included also are guidelines to follow if a staff member falls ill at work.	Jan-17	Rebecca	To review Rebecca to bring info (Nov-2021)		Nov-17		Jostle	
	Personal Locator Beacons	Provides a framework for the use of PLBs by council staff. PLBs have been installed in the glove box of all Council vehicles to provide for an enhanced level of personal safety for our staff.	Aug-15	Rebecca	Review - policy and required?				Jostle	
Worker Health Monitoring Policy	Outlines the health monitoring processes that the Otago Regional Council uses to monitor the adequacy and effectiveness of precautions taken to protect staff health from occupational and environmental hazards. The basis of monitoring is to assess exposure to those hazards and, where necessary, the health effects to staff that may have been exposed. This guideline includes requirements and rationale for pre-employment, task and exit assessments.	Aug-20	Rebecca	Approved	Annually	Aug-21		Jostle	✗	
Personal Protective Equipment Guide (PPE)	The Purpose of this policy is to: a) set out the Otago Regional Council's commitment to and arrangements for the provision of personal protection equipment, and b) set out responsibilities with respect to the provision of personal protective equipment.	Aug-20	Rebecca	Approved	Annually	Aug-21		Jostle	✗	
COMMS/CUSTOMER	Title	Description	Last Reviewed	Person Responsible	Status / Notes	Review Period	Next Review Date	To ELT	Where published	Reformatted
	Media Policy	Outlines the ORC's position on speaking to the media, news releases and internal communication and is applicable to all staff.	Apr-16	Eleanor	To be reviewed - TBC					
	Sending of Bulk Correspondence	To ensure correspondence from Otago Regional Council accurately reflects the values of the organisation.	Aug-16	Eleanor	To be reviewed - TBC				Jostle	✗

COUNCIL POLICIES										
GOVERNANCE	Title	Description	Last Reviewed	Person Responsible	Status / Notes	Review Period	Next Review Date	To ELT	Where published	Requirement
	Standing Orders	Standing orders contain rules for the conduct of the proceedings of local authorities, committees, subcommittees and subordinate decision-making bodies. Their purpose is to enable local authorities to exercise their decision-making responsibilities in a transparent, inclusive and lawful manner.	May-21	Amanda	Approved	Triennially	Oct-22			Sch7, clause 27
	Code of Conduct	The Code of Conduct (the Code) sets out the standards of behaviour expected from elected members in the exercise of their duties.	Nov-19	Amanda	Approved	Triennially	Oct-22			Sch7, clause 15(1)
	Local Governance Statement	The information found in this document includes details about what we do, what legislation we work under and the responsibilities we have under that legislation, how we consult and what our management processes are.	Jul-21	Amanda	Approved	Triennially	Jan-23			S40
	Remuneration Authority Determination	Not a Council Policy but the Determination sets the remuneration pool for Council and this must be fully allocated by Council.	Aug-21	Amanda	Approved	Annually	Aug-22			
	Councillor Expenses, Allowances and Reimbursement Policy	The expenses regime for elected members of the Otago Regional Council.	Aug-21	Amanda	Approved	Annually	Aug-22			
	ORC Recruitment Policy – Governance	The Otago Regional Council is committed to a fair and transparent recruitment and selection process, with appointments based on merit in order to attract and retain appropriately skilled and qualified appointees.	Mar-21	Amanda	Approved	Triennially	May-23	✓		
	Port Otago Constitution	Sets out the rights, powers and duties of the company (the Port), board, directors and the shareholder (Council).	Mar-21	Nick	Approved	N/a	N/a			
	He Mahi Rau Rika: Significance, Engagement and Māori Participation Policy	This policy provides guidelines for determining the significance of proposals and decisions in relation to issues, assets or other matters affecting the Otago region, people likely to be affected, and the council's capability to perform.	Oct-21	Richard	Approved	Triennially	Oct-24	N/a	Website, Ioste	S76AA
	Revenue and Financing Policy	Sets out the sources of funding Council will use for each activity, including the use of rates, fees, subsidies, reserves or other funding tools and gives consideration to who will benefit from each activity and how much they benefit.	Jun-21	Nick	Approved	Triennially	Jun-24			S102, 103
	Treasury Management Policy	The Local Government Act 2002 requires local authorities to adopt a Liability Management Policy and an Investment Policy. The Otago Regional Council's prepared policies have been combined into one document called the Treasury Management Policy.	Jun-21	Nick	Approved	Triennially	Jun-24			S102, 104, 105
	Statement of Investment Policies and Objectives	Provides the framework for Council to effectively supervise, monitor and evaluate the management of Council's investment activities.	Jun-21	Nick	Approved	Annually	Jun-22			S102, 105
	Rates Remission & Postponement Policy	The Otago Regional Council carries out its rating function in accordance with the requirements of the Local Government (Rating) Act 2002, and the Local Government Act 2002. This document provides the policy framework for granting remissions and postponing the payment of rates.	Feb-21	Sarah H	Approved	Triennially	Mar-24			S109
	Policy on Remission and Postponement of Rates on Maori Freehold Land	The Council has recognised that certain Maori freehold land have particular conditions, ownership structures or other circumstances which make it appropriate to remit or postpone rates for defined periods of time.	Feb-21	Sarah H	Approved	Triennially	Mar-24			S102, 108
	Financial Strategy	Sets out how the Otago Regional Council will manage its finances over the next 10 years including rating, borrowing and investments.	Jun-21	Nick	Approved	Triennially	Jun-24			S101A
	Infrastructure Strategy	Provides Council and the Otago community with information about what significant issues the flood protection and drainage infrastructure face over the next 30 years and beyond, and identifies the principal options for managing those challenges, including the implications of those options, before presenting the most likely scenarios for each issue and when any significant decisions will need to be made.	Jun-21	Gavin	Approved	Triennially	Jun-24			S101B
	Risk Management Framework	This aims to allow the organisation to exploit the opportunities and minimise the threats presented by the risks inherent in the organisations activities.	Sep-19	Nick	Currently under review					

7.4. GOV2223 Safety and Wellbeing Report

Prepared for:	Audit and Risk Subcommittee
Report No.	GOV2223
Activity:	Governance Report
Author:	Rebecca Webster, Acting Manager People & Safety
Endorsed by:	Amanda Vercoe, General Manager Governance, Culture and Customer
Date:	12 May 2022

PURPOSE

- [1] This report summarises progress towards the Safety and Wellbeing Team’s key strategic priorities and safety performance indicators for the period January 2022 – March 2022 (Quarter 3 FY 21/22). The report also summarises key areas of focus for the Safety and Wellbeing team for the 2021/22 financial year and beyond.
- [2] Refer to appendix 1 for a “Summary Table of Key Strategic Initiatives” which provides additional detail on key activities discussed in this report, and the expected targets/outcomes.

EXECUTIVE SUMMARY

- [3] ORC’s approach to Health, Safety and Wellbeing is continuing to develop and improve. A significant development has been intensive training and a successful organisation-wide communication campaign to launch the new online safety system, “Haumarū,” which was released on 4 April 2022.
- [4] Participation in training has been strong in Quarter 3 with high participation rates for staff training on hazard, incident/near miss, and positive safety behaviour reporting during March in preparation for launch of the new system. Staff have adapted well to the new system so far and are reporting that it is very easy to use on both a PC and mobile device. We expect safety reports to increase over time due to the ease of use of Haumarū and increased staff engagement in the reporting process achieved via training.
- [5] The second year of ORC’s Wellbeing programme is now in motion, with mental health education and awareness being a key focus. Positive feedback has been received from “staying mentally well at work” workshops in March run by a registered psychologist from “The Effect” workplace mental health services.

RECOMMENDATION

That the Subcommittee:

- 1) **Notes** this report.

DISCUSSION

[6] Senior Leadership Development & Engagement

The Executive Leadership Team (ELT) continue to develop and execute their due diligence responsibilities under the health and safety legislation and engage with their work groups to understand the key critical risks in their work areas. A particular upcoming focus for this work will be to work with the Executive to facilitate their demonstrable visible leadership to further integrate safety and wellbeing into the culture of ORC. A “deep dive” session took place with ELT on 15 March 2022, which is a new initiative to explore critical risks. The deep dive covered incident trends and risks related to Occupational Violence and Aggression (OVA). ELT reviewed current controls and opportunities for improvement such as procedural updates and enhancing our training programme. With mental health continuing to be a strong focus, a leadership session was planned for 4 May, facilitated by registered psychologist from “The Effect” workplace mental health services. The aim of this session is to explore what opportunities are available to ORC to improve mental health support for staff and minimise psychosocial risks in the workplace. Unfortunately, due to unforeseen availability issues we have deferred this workshop until a later time.

[7] Manager Development & Engagement

The safety component of the “People and Safety 101” training programme was completed in March 2022. The series provides ongoing knowledge to Managers on their health and safety responsibilities. Training on Incident reporting and Investigation was extended to Team Leaders in March and April to support the launch of Haumaru. Participation levels were high with attendees reporting that the sessions were “*relevant and engaging*” and “*the new system will help with increased reporting and ease of reporting.*” Ongoing sessions will be available as refreshers and new starters, with plans to roll out the programme to Team Leaders later in 2022.

[8] Employee Engagement

The Health and Safety Committee (HSC) meets quarterly to discuss health and safety risks in their work areas and ideas for improvement. The group objectives will be reviewed as we move into the next financial year to ensure the group remains effective. Hot topics recently discussed at the HSC were keeping items secured in vehicles, and communication during lone and remote working. Advice and guidance on these matters is provided either at the meeting or as a follow up action. HSRs are encouraged to attend annual refresher training.

[9] Staff Wellbeing

Quarter 3 – The 2022 Fit for Future Wellbeing programme was launched in January, with a focus on increasing programme engagement and participation. Several initiatives have taken place in Quarter 3 that have not been constrained to a specific wellbeing theme, thus giving holistic support to overall employee wellbeing. Initiatives included the Aotearoa Bike Challenge, wellbeing webinars “Creating Healthy Habits that Stick in 2022”; “Housing Lending in the Current Regulatory & Rising Inflation Environment”; “Ergonomics at Home and In the Office”; an ORC blood drive, the launch of the annual influenza vaccination programme and the “Staying Mentally Well” workshops for staff. Attendee feedback on what they found most useful from the mental health workshops included: “*How to help someone with mental illness - know that you do not need to be*

the professional"; "The discussions around recognition of your own mental wellbeing and the things to consider when you move towards the risk space."

- [6] Several wellbeing initiatives are planned for Quarter 4 and beyond. Refer to Table 1. for details.

Table 1. Wellbeing Initiatives

Wellbeing Initiative	Planned Date
15-minute challenge, an initiative designed to enhance employee taha tinana/ physical wellbeing during the winter months. The online challenge platform provides resources, encouragement, and a social aspect to support employee social connections	June 2022
Health seminars designed around health issues that many New Zealanders face	July/August 2022
Ergonomic webinars for all staff that proactively address common issues with workstation setup and work design before issues arise, applicable to the home office	Quarterly
Financial wellbeing seminar suite, to be designed around key topics including planning for retirement, budgeting, managing debt, managing money in times of change, budgeting and saving	October/November 2022
National wellbeing events built into the wellbeing programme: Pink Shirt Day, Men’s Health Month, Money Week, Suicide Prevention Day, Mental Health Awareness Week, Melanoma Awareness Month	Ongoing

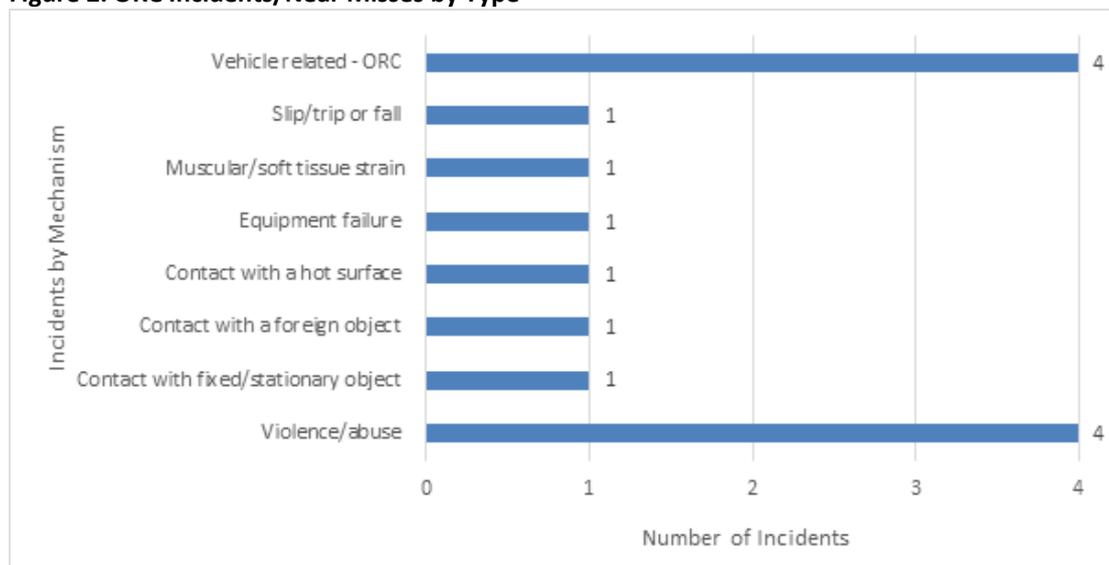
- [7] Systems and Process Improvements
All key policies and procedures with a focus on critical risks are now in place, except for a new safe driving policy expected to be released end of May 2022 after staff consultation. All policies are subject to continuous improvement and annual review. The team is also focussed on implementation – to ensure staff aware of them and using them to make their work practices safer. The Health, Safety & Wellbeing Manual has also been revised and released to reflect policy and process updates.

- [8] SHE/Evotix Software was selected as the vendor for our online safety management system. The incident/near miss, hazard and positive safety behaviour reporting module has launched in April 2022. A staged implementation of other modules (components) of the system will take place of the next 18 months including risk management, safety training, internal audits, and contractor safety.

- [13] Safety and Wellbeing Performance Reporting
Twelve incidents and 2 near misses relating to ORC staff occurred in Quarter 3. Four incident reports were due to aggression/abuse towards staff, two incidents and two

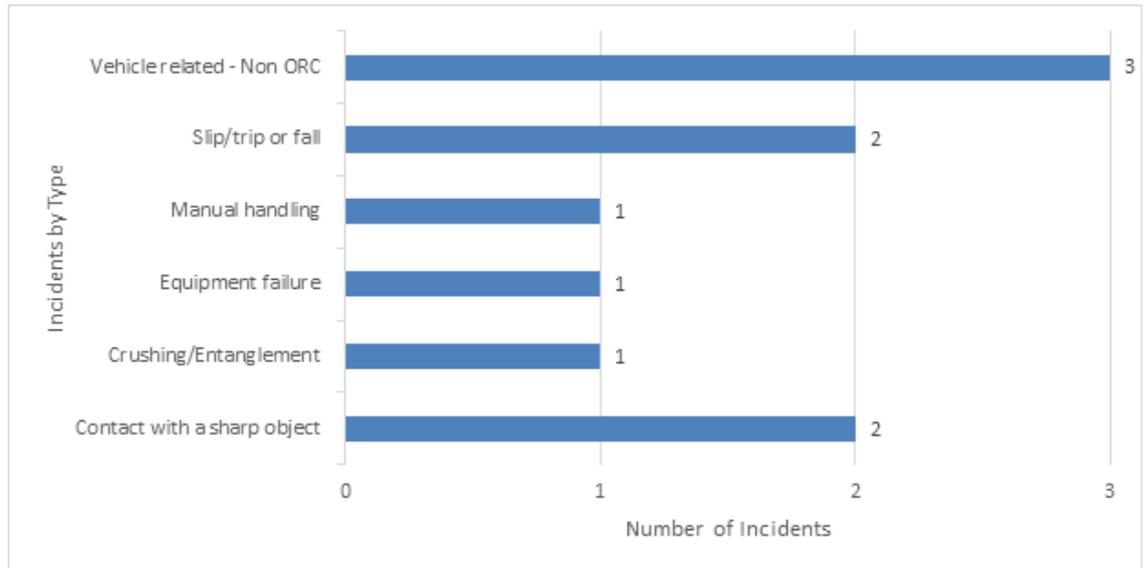
near misses related to use of an ORC vehicle. One of the vehicle incidents remains under investigation by the Team Leader/Manager (note that no injury was sustained). Two incidents resulted in minor medical treatment and no lost time: a slip/trip and a blade of tussock in the eye, both of which resolved as expected. For both incidents requiring medical treatment, investigations were required. One recent incident investigation is in progress and the other resulted in no further controls being required. All other incidents/near misses were minor requiring no follow up action.

Figure 2. ORC Incidents/Near Misses by Type



- [9] Contractor/Subcontractors incidents – there were a total of 9 incidents and 1 near miss for contractors/subcontractors in Quarter 3. The near miss was vehicle related in the wallaby eradication programme, there were 7 incidents in the wilding pines eradication programme and two in public transport. Two incidents were due to vehicle related issues. In the wilding pines programme, there were 2 lacerations from chainsaws (not operating) with one requiring medical treatment. One incident involved a fractured foot due to a log rolling on it. This incident was subject to an investigation by the Contractor. The other incidents were minor muscular strains/slips trips with no medical treatment needed.

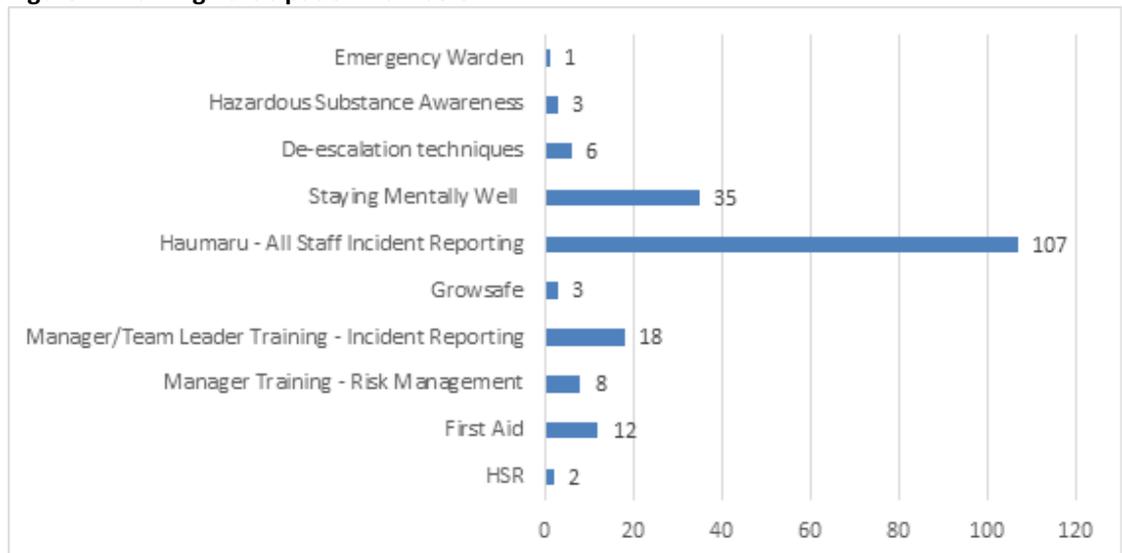
Figure 3. Contractor Incidents/Near Misses by Type



[15] Training and Development

ORC’s health and safety training programme has picked up again from mid-January after the Christmas break. Training has focussed on introducing staff to the new online safety system, including how to lodge a hazard, incident/near miss report or positive safety behaviour report, and the importance of making reports (107 staff participating). Additional training has been provided to Managers and Team Leaders on their responsibilities (18 participants) with ongoing training planned. Figure 1. shows the number of training participants per course.

Figure 4. Training Participation Numbers



[10] Upcoming training includes situational awareness and de-escalation (May and July/August) for new staff on how to manage conflict and disengage from aggression or violence. We are also planning to expand our mental health education programme for both staff and Managers/Team Leaders. Operation of a vehicle and driving are priority

risks at ORC, and we are trialling a new online driver safety programme to complement our practical driver skills training.

[17] Covid-19 Internal Response

In addition to business-as-usual Health and Safety activity, the Safety and Wellbeing team liaise with Council's Continuity Management Team (CMT) as needed on the internal response to COVID-19. This has included reviewing risk assessments and controls to minimise transmission. This information is being used to assist in the decision-making for ORC's COVID-19 Vaccination Policy which is currently under review with the proposition to remove vaccination requirements and amend Traffic Light Operating Framework as needed. ORC has operated in line with Central Government advice and requirements for management of risks relating to COVID-19, having taken a cautious and humanistic approach through all COVID-19 Alert Levels and the COVID-19 Protection Framework (Traffic Light System).

- [18] The organisation has moved to ORC's "Orange Traffic Light" settings which has allowed staff return to the office unless they are at risk, with the ongoing support of flexible work arrangements and controls such as mask use, physical distancing, and hygiene still in place. The CMT continues to review the Safety Plan for the organisation in line with advice from Central Government.

OPTIONS

- [11] N/A

CONSIDERATIONS

Strategic Framework and Policy Considerations

- [12] ORC is compliant with government requirements regarding Covid-19 and has a Covid-19 policy and an internal ORC Covid Protection Framework in place.
- [13] ORC has a Health and Safety & Wellbeing Management system in place with relevant policies, procedures, and risk management framework subject to continuous improvement.
- [14] All staff have health and safety key performance indicators in their performance & development plans.

Financial Considerations

- [15] N/A

Significance and Engagement

- [16] N/A

Legislative and Risk Considerations

[25] Critical Health and Safety Risk Projects

Several projects are underway to address critical health and safety risks. Refer to appendix 1 for a "Summary Table of Key Strategic Initiatives" which provides additional detail on key activities.

[17] Of note is the lone and remote worker project which aims to explore systems and technology to ensure the safety of field workers, for example to provide two-way communication when staff may be out of cell phone coverage. An initial business case was presented to ELT in June 2021 with support to proceed with the project. Risk assessments have been completed with field-based teams to assess the need for a solution. It is expected that a third party will be engaged to supply a fit for purpose system and technology to address the risks associated with lone, remote, and isolated work.

[27] Contractor Safety

Contractor safety is a key focus for the Safety and Wellbeing team. The Contractor Health & Safety Policy has been revised and released with minor adjustments which provide further clarity on roles and responsibilities. Staff training on contractor safety requirements will commence in May. Contractors/suppliers who carry some risk need to be pre-approved from a health and safety perspective prior to use. Overall improvements are being seen during monthly checks of contractor health and safety status, with a 72% pre-approval rate for medium to high-risk contractors in March 2022 compared to 50% in December 2021. A project with the finance team to review all existing contractors/suppliers who do not meet health and safety requirements has been completed, with contractors/suppliers not meeting requirements being restricted from use.

Climate Change Considerations

[18] N/A

Communications Considerations

[19] The Chief Executive was interviewed for an article that appeared in the ODT on 2 April 2022, which was a feature on occupational violence and aggression in the local government sector for both officials and elected representatives.

NEXT STEPS

[20] N/A

ATTACHMENTS

1. Appendix 1 Summary of Key Strategic Initiatives for Safety and Wellbeing [7.4.1 - 5 pages]

Appendix 1: Summary of Key Strategic Initiatives for Safety and Wellbeing

Date reviewed: 29 April 2022

Strategic Initiative	Item	Target/Outcome	Expected Completion Date
1) Upskill leadership to support legislative compliance and build capacity to lead safety and wellbeing	Follow up ELT workshop to be scheduled to discuss due diligence responsibilities under the HSWA 2015 (initial session completed March 2021).	ELT awareness & understanding of due diligence responsibilities.	TBC 2022
	ELT Workshop on Leading Mental Health, facilitated by “The Effect” workplace mental health services.	ELT to build awareness of psychosocial risk management and explore opportunities for further mental health supports for ORC staff.	May 2022
	“People and Safety 101” sessions for managers to be developed and implemented.	Programme completed, additional sessions on incident reporting & investigation added including Team Leaders in April. Feedback from Managers has been positive thus far with a high participation rate.	April 2022
2) Build employee engagement and participation	Ongoing support of Health and Safety Representative (HSR) meetings and Health and Safety Committee (HSC) meetings.	Quarterly meetings completed, progress tracked according to HSC Objectives for 2021-22 and annual feedback surveys.	Ongoing Activity
	Reward and recognise positive behaviour relating to health, safety, and wellbeing.	Annual “Safety & Wellbeing Champion” staff (introduced in Dec 2021). New initiative from April 2022 includes reporting of “safety and wellbeing insights” where staff can report positive safety actions and behaviours.	Ongoing Activity
	Promote safety and wellbeing initiatives via a variety of methods including “sharing safety” communications on Jostle, hosting “lunch	Maximise staff engagement to achieve high participation rates in health, safety & wellbeing	Ongoing Activity

	and learns” and “info sessions” on topics of interest.	activities and ensure staff report hazards, near misses and incidents.	
3) Improve systems, tools, and processes to manage health, safety, and wellbeing more effectively	Implementation of new online safety management system “Haumarū”.	Launch of hazard, incident/near miss and safety & wellbeing insight reporting. Implementation of risk management & safety training modules. Implementation of audit module.	April 2022 July 2022 Jan 2023
	Internal audit of all policies/procedures (note that this is subject to ongoing continuous improvement).	Internal audit completed with all new policies in place and existing policies subject to ongoing review. Release of updated Health, Safety & Wellbeing Manual 4 April 2022.	April 2022
4) Improve risk management with a focus on critical risk	Organisational Risk Management Plan (RMP) in place.	The organisational RMP sets out risk management at a high level. The RMP has been reviewed & endorsed by HSR’s. RMP to be reviewed annually and as required to ensure effective controls are in place.	March 2022 and Ongoing Activity
	Critical Risk Management Plan (RMP).	Critical RMP to be prioritised, maintained, and reviewed annually and as required to ensure effective controls are in place. Note that critical risks are also indicated in the organisational RMP.	Ongoing Activity
	Group/Team level RMP’s currently in development in “Haumarū”.	Partner with ORC teams to ensure RMP’s are in place for work and activity involving health and safety risks, to ensure adequate controls are in place.	Launching July 2022, ongoing activity

5) Improve contractor safety	Contractor health and safety policy/procedure revised	Revised Contractor health and safety policy/procedure released & communicated in March 2022.	Completed March 2022
	Staff training/communication regarding contractor safety process.	Staff training regarding contractor safety planned for May 2022, will form part of the ongoing training calendar. Science Team to pilot/review initial ORC Contractor Safety Management (“101”) module.	Launching May 2022, ongoing activity
5) Improve Contractor Safety	Internal audit of adherence to policy/procedure, contractor spot H&S assurance checks.	Review of all medium to high-risk contractors used in part 18 months conducted from Feb – May 2022 to ensure all contractors meet H&S requirements. Monthly audits on contractor H&S approval status. Target is for 100% adherence to contractor H&S pre-qualification requirements. Review of the March period indicated 72% pre-approval rate for the Med-High Risk group.	May 2022 Ongoing activity
	Resourcing systems/solutions to support proactive review of contractor H&S approval status.	ORC has registered with Construction Health and Safety NZ’s (CHASNZ) Totika Scheme. This is a cross-recognition framework that provides access to review contractor pre-qualification reports across a series of leading 3rd party providers, in a range of industries.	Ongoing activity
6) Improve Staff Learning and Development	Health and Safety Representatives (HSR’s) training.	All HSR’s formally trained (1-day course) and entitled to 2 days per year of development training.	Ongoing activity

	Key health and safety training requirements for staff to be determined (note this is subject to continuous improvement)	Health and Safety training calendar in place, updated annually.	Ongoing activity
	Training needs analysis (TNA) to be undertaken.	TNA to be completed for field-based roles to determine training requirements.	Currently on hold
7) Implementation of Wellbeing Programme	Wellbeing programme to be implemented with quarterly themes.	<p>Maximise participation in wellbeing activities. Attendance was the greatest for take time leave (165 or 47.5% of staff); resilience education sessions (62 or 42%) and financial wellbeing sessions (77 or 26.7%) in 2021. A focus for 2022 will be to increase participation in the programme.</p> <p>Participation rates and engagement with wellbeing activities in 2022 are off to a solid start; house lending banking seminar 24%, 35 attendees in mental wellbeing workshops, 37% (115 staff) registration for influenza vaccination (so far). Additionally, several wellbeing activities/ initiatives have been recorded/ made available online enabling ongoing engagement.</p> <p>Upcoming activities have a focus on enabling dynamic engagement, thus meaning employees can connect and enhance their wellbeing at any time.</p>	Ongoing Activity
	Review/evaluation of programme of contribute towards continuous improvement.	<p>Programme evaluated in Dec 2021 with a staff survey, very positive feedback received from all who participated with staff requesting more resources and education on mental health.</p> <p>Annual evaluation to continue to ensure the programme meets the needs of staff. Additionally,</p>	Ongoing Activity

		anecdotal feedback is collected during and following wellbeing activities enabling prompt adjustment if required.	
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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 are as follows:

General subject of each matter to be considered	Reason for passing this resolution in relation to each matter	Ground(s) under section 48(1) for the passing of this resolution
<p><i>Minutes of the 24 Feb 2022 public-excluded meeting</i></p>	<p>Section 7(2)(b)(ii) To protect information where the making available of the information—would be likely unreasonably to prejudice the commercial position of the person who supplied or who is the subject of the information.</p> <p>Section 7(2)(c)(i) 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 prejudice the supply of similar information, or information from the same source, and it is in the public interest that such information should continue to be supplied.</p> <p>Section 7(2)(e) To avoid prejudice to measures that prevent or mitigate material loss to members of the public.</p> <p>Section 7(2)(g) To maintain legal professional privilege.</p> <p>Section 7(2)(h) To enable any local authority holding the information to carry out, without prejudice or disadvantage, commercial activities.</p> <p>Section 7(2)(j) To prevent the disclosure or use of official information for improper gain or improper advantage.</p>	
<p><i>Deloitte ORC Audit Plan</i></p>	<p>Section 7(2)(c)(i) 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 prejudice the supply of similar information, or information from the same source, and it is in the public interest that such information should continue to be supplied.</p> <p>Section 7(2)(c)(ii) To protect information which is subject to an obligation of</p>	<p>Section 48(1)(a): Subject to subsection (3), a local authority may by resolution exclude the public from the whole or any part of the proceedings of any meeting only on 1 or more of the following grounds:</p> <p>(a) that the public conduct of the whole or the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good</p>

	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 otherwise to damage the public interest.	reason for withholding would exist.
<i>Wilding Conifer Contract Management Update</i>	<p>Section 7(2)(e) To avoid prejudice to measures that prevent or mitigate material loss to members of the public.</p> <p>Section 7(2)(g) To maintain legal professional privilege.</p> <p>Section 7(2)(h) To enable any local authority holding the information to carry out, without prejudice or disadvantage, commercial activities.</p>	<p>Section 48(1)(a): Subject to subsection (3), a local authority may by resolution exclude the public from the whole or any part of the proceedings of any meeting only on 1 or more of the following grounds:</p> <p>(a) that the public conduct of the whole or the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding would exist.</p>
<i>Managed Fund – March 2022</i>	<p>Section 7(2)(b)(ii) To protect information where the making available of the information—would be likely unreasonably to prejudice the commercial position of the person who supplied or who is the subject of the information.</p> <p>Section 7(2)(c)(i) 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 prejudice the supply of similar information, or information from the same source, and it is in the public interest that such information should continue to be supplied.</p> <p>Section 7(2)(h) To enable any local authority holding the information to carry out, without prejudice or disadvantage, commercial activities.</p>	<p>Section 48(1)(a): Subject to subsection (3), a local authority may by resolution exclude the public from the whole or any part of the proceedings of any meeting only on 1 or more of the following grounds:</p> <p>(a) that the public conduct of the whole or the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding would exist.</p>
<i>Insurance Renewal</i>	<p>Section 7(2)(h) To enable any local authority holding the information to carry out, without prejudice or disadvantage, commercial activities.</p> <p>Section 7(2)(i) To enable any local authority holding the information to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial</p>	<p>Section 48(1)(a): Subject to subsection (3), a local authority may by resolution exclude the public from the whole or any part of the proceedings of any meeting only on 1 or more of the following grounds:</p> <p>(a) that the public conduct of</p>

	negotiations).	the whole or the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding would exist.
<i>Insurance Disclosures</i>	<p>Section 7(2)(e) To avoid prejudice to measures that prevent or mitigate material loss to members of the public.</p> <p>Section 7(2)(h) To enable any local authority holding the information to carry out, without prejudice or disadvantage, commercial activities.</p>	<p>Section 48(1)(a): Subject to subsection (3), a local authority may by resolution exclude the public from the whole or any part of the proceedings of any meeting only on 1 or more of the following grounds:</p> <p>(a) that the public conduct of the whole or the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding would exist.</p>
<i>Vehicle Monitoring and Tracking</i>	<p>Section 7(2)(c)(ii) 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 otherwise to damage the public interest.</p>	<p>Section 48(1)(a): Subject to subsection (3), a local authority may by resolution exclude the public from the whole or any part of the proceedings of any meeting only on 1 or more of the following grounds:</p> <p>(a) that the public conduct of the whole or the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding would exist.</p>
<i>Risk Report</i>	<p>Section 7(2)(e) To avoid prejudice to measures that prevent or mitigate material loss to members of the public.</p> <p>Section 7(2)(i) To enable any local authority holding the information to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations).</p>	<p>Section 48(1)(a): Subject to subsection (3), a local authority may by resolution exclude the public from the whole or any part of the proceedings of any meeting only on 1 or more of the following grounds:</p> <p>(a) that the public conduct of the whole or the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good</p>

		reason for withholding would exist.
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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 or [section 6](#) or [section 7](#) or [section 9](#) of the Official Information Act 1982, as the case may require, which would be prejudiced by the holding of the whole or the relevant part of the proceedings of the meeting in public.