

Audit & Risk Subcommittee Agenda

23 March 2023



Meeting conducted in the Council Chamber, Lvl 2 Philip Laing House
144 Rattray St, Dunedin

Meetings may be viewed live on the [ORC Official YouTube Channel](#)

Members:

Cr Tim Mepham, Co-Chair
Mr Andrew Douglas, Co-Chair (Independent member)
Cr Alexa Forbes
Cr Gary Kelliher
Cr Kevin Malcolm
Cr Gretchen Robertson
Cr Kate Wilson

Senior Officer: Pim Borren, interim Chief Executive

Meeting Support: Liz Spector, Governance Support Officer

23 March 2023 09:00 AM

Agenda Topic	Page
1. WELCOME	
2. APOLOGIES No apologies were noted prior to publication of the agenda.	
3. PUBLIC FORUM No requests from members of the public to address the Audit and Risk Subcommittee were received prior to publication of the agenda.	
4. 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.	
5. DECLARATIONS 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. ORC Councillors Declarations of Interests are published on the website.	
6. MATTERS FOR CONSIDERATION	3
6.1 AUDIT & RISK WORK PROGRAM 2023	3
6.1.1 Audit and Risk Work Programme 2023	5
6.2 CORPORATE POLICY OVERVIEW REPORT	6

6.2.1	Master Policy Table - March 2023	9
6.3	ETHICAL INVESTMENT POLICY	12
6.3.1	JBW Ethical Investing Slides 2020.09.23	15
6.4	PEOPLE AND SAFETY SIX MONTH REPORT	22
6.4.1	People and Safety Report Q1 Q2 March 2023	24
6.4.2	Incident and Near Miss Report Q1 and Q2	32
6.4.3	Health and Safety Committee Key Objectives 2022/23	36
7.	RESOLUTION TO EXCLUDE THE PUBLIC	37
	That the public be excluded from the following items under LGOIMA 48(1)(a):	
	<ul style="list-style-type: none"> - Managed Fund - December 2023 Report - Strategic Risk Register Review - Audit Management Letter - Initial Response 	
7.1	Public Excluded Reason and Grounds	37
8.	CLOSURE	

6.1. CS2305 Audit & Risk Work Program 2023

Prepared for: Audit and Risk Subcommittee
Report No. CS2305
Activity: Governance Report
Author: Nick Donnelly, General Manager Corporate Services
Endorsed by: Nick Donnelly, General Manager Corporate Services
Date: 23 March 2023

PURPOSE

- [1] The Audit and Risk Subcommittee is governed by its Terms of Reference which define the purpose and responsibilities of the Subcommittee. This paper outlines the proposed work programme to be covered at Audit and Risk Subcommittee meetings in the 2023 calendar year to ensure the responsibilities outlined in the Terms of Reference are fulfilled.

RECOMMENDATION

That the Audit and Risk Subcommittee:

- 1) **Notes** this report.
- 2) **Endorses** the proposed work programme for the 2023 calendar year.

BACKGROUND

- [2] It is intended to hold ordinary Audit and Risk Subcommittee meetings quarterly in March, June, September, and December 2023. The meeting in September will be held the week prior to the September Council meeting and will include the review of the Annual Report prior to the Report going to Council for adoption.
- [3] The responsibilities of the Audit and Risk Subcommittee as defined in the Terms of Reference are covered under the headings of:
- Audit and Annual Report
 - Risk Management
 - Health, Safety and Wellbeing
 - Investment Management
 - Legal Compliance
 - Other (any other matters referred by Council or the Finance Committee)
- [4] A proposed timetable to cover these matters is attached.

DISCUSSION

- [5] Audit and Risk Subcommittee meetings are scheduled to be held the month following Finance Committee meetings which allows finance matters to be referred to Audit and Risk for further consideration. In previous years the Audit and Risk Subcommittee meetings were held two weeks ahead of Finance Committee meetings. This didn't align well with the intended work programme especially around the time the Annual Report was adopted.

- [6] The work program is largely the same as previous years. Some items are included in all agendas i.e., Health, Safety and Wellbeing, while others are only considered every second meeting i.e., Risk Register or annually i.e., Annual Report.
- [7] A standing item for a Corporate Policy Overview Report is included in all meetings as resolved at the November 2021 Audit and Risk meeting. This report is included in the current meeting agenda and it is recommended the Subcommittee consider whether this report is required at every meeting or whether less frequency is more appropriate.

CONSIDERATIONS

Strategic Framework and Policy Considerations

- [8] Not applicable.

Financial Considerations

- [9] There are no financial considerations. The cost of the proposed work programme is included in existing budgets under the assumption it is completed by existing staff. No provision has been made for engagement of external consultants to undertake any of the work programme.

Significance and Engagement Considerations

- [10] Not applicable.

Legislative and Risk Considerations

- [11] There are no legislative or risk considerations in setting the work programme itself.
- [12] Specific pieces of work defined in the programme are included to ensure the Audit and Risk Subcommittee has oversight over various legislative requirements i.e., statutory reporting and audit requirements under the Local Government Act 2002 and health and safety requirements under the Health and Safety at Work Act 2015.
- [13] The Terms of Reference of the Audit and Risk Subcommittee include responsibility for maintaining oversight of Council's management of risk. Not having a defined work programme and not adhering to that programme increases the risk that the Audit and Risk Subcommittee will not fulfil its purpose and responsibilities including risk management.

Climate Change Considerations

- [14] Not applicable.

Communications Considerations

- [15] Not applicable.

ATTACHMENTS

1. Audit and Risk Work Programme 2023 [6.1.1 - 1 page]

AUDIT AND RISK SUBCOMMITTEE						
Purpose: To assist the ORC in fulfilling governance responsibilities relating to its financial, reporting, legislative, health and risk management practices.						
Terms of Reference	Responsibility	Comments / Agenda Items	Mar	Jun	Sep (Annual Report)	Dec
Audit and Annual Report	Review the external Auditor's audit plan, audit management letter and management response to any issues raised during the external audit	Audit plan presented prior to year end (Auditors to attend)		Auditors to attend		
		Audit management letter (Auditors to attend)			Auditors to attend	
		Management response (initial response November, follow up February if required)				
	Consider changes in accounting policies, standards or reporting requirements and make recommendations for Council adoption	Matters under consideration prior to year end				
	Oversee internal control processes and procedures including financial policies, delegations and sensitive expenditure.	As required				
	Review the draft Annual Report including the Statement of Service and Performance and Financial Statements and make recommendation for Council adoption.	Extraordinary A&R meeting week prior to adoption			Annual Report	
Oversee any internal audit functions or reviews and consider any matters referred to it by that function	As required					
Risk Management	Ensure a corporate risk management framework is in place and review risk reports	Risk report (six monthly)				
	Review Council's insurance matters and annual renewal process	Insurance renewal prior to year end				
		Insurance disclosures (six monthly)				
	Review Council's business continuity and disaster recovery matters	As required				
Health, Safety and Wellbeing	Review Council's adherence to the Health and Safety at Work Act 2015 including monitoring health and safety performance, incidents and response	Safety and wellbeing quarterly report				
Investment Management	Review the performance of Council's investment portfolio including the long-term managed fund	Managed fund quarterly performance reports provided to each meeting (Fund Manager to report in person annually)				Fund Manager to attend
	Oversee the performance of Council's investment manager including compliance of the managed fund with the Statement of Investment Policies and Objectives (SIPO)					
	Review the Treasury Management Policy and SIPO and recommend changes to Council as required	As required				
	Oversee the Investment Manager appointment process and make recommendations to Council on that appointment	As required				
Legal Compliance	Review Council's adherence to legislation that affects Council	Legislative compliance and mandatory documents register				
		Corporate policy overview				
	Receive and consider updates on legislation that Council is required to operate under and/or enact	Report as legislation changes occur				
Other	Review any other financial matters referred to the Subcommittee by Council or the Finance Committee	As required				
Key:		meeting this item will be covered in	item as required or by request at any meeting			

6.2. CS2306 Corporate Policy Overview Report

Prepared for: Audit and Risk Subcommittee
Report No. CS2306
Activity: Governance Report
Author: Nick Donnelly, General Manager Corporate Services
Endorsed by: Nick Donnelly, General Manager Corporate Services
Date: 23 March 2023

PURPOSE

- [1] To provide an update of the ORC’s internal 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 polices, 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 the Audit and Risk Subcommittee at the 11 August 2022 meeting, the PRG met on 17 August 2022, 6 December 2022 and 2 June 2023. The following policies were reviewed at those meetings.

Policy	Action
Protected Disclosures Policy <ul style="list-style-type: none"> • Amended to reflect legislation changes 	Approved
Drones Policy <ul style="list-style-type: none"> • New policy 	Amendments required – back legal/GM for approval
Health, Safety and Wellbeing Policy Statement	Approved

<ul style="list-style-type: none"> • General update and CE signature required 	
Procurement Policy <ul style="list-style-type: none"> • Amended to add firearms to prohibited goods 	Approved
Conflict of Interest and Gift Policy <ul style="list-style-type: none"> • Updated web form and process for gift disclosures 	No change to policy – new form released to staff pre-Christmas
Vehicle Policy <ul style="list-style-type: none"> • Amended GPS requirement 	Approved subject to adding definition of passenger vehicle

- [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 or have been approved by ELT/Council. 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 1 June 2023.

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 - March 2023 ARC [6.2.1 - 3 pages]

CORPORATE	Title	Description	Last Reviewed	Status / Notes	Review Period	Next Review Date	To ELT	Where published	Reformatted
Legal	Official Information (LGOIMA) Policy	The ORC's approach to managing information held by the ORC to ensure compliance with the Local Government Official Information and Meetings Act 1987 (LGOIMA).	Nov-20 PRG	Approved	Triennially	Dec-23	✓	Jostle, Crs, Website	✓
	Official Information (LGOIMA) Proactive Release Policy	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 (LGOIMA).	Nov-20 PRG	Approved	Triennially	Dec-23	✓	Jostle	✓
	Protected Disclosures (Whistleblower) Policy	The procedures to be followed in relation to protected disclosures under the terms of the Protected Disclosures Act 2000.	Aug-22 PRG	Approved	Triennially	Aug-25	✓	Jostle	✓
	Trespass Policy	Guidance on the types of trespass and the procedure for considering and issuing trespass notice on behalf of the Otago Regional Council ("Council").	Nov-20 PRG	Approved	Triennially	Dec-23	✓	Jostle	✓
	Customer Privacy Policy	Procedures for the control, collection, use and disclosure of personal information (as defined in the Privacy Act 2020).	May-22 PRG	Approved	Biennially	May-24	✓		✓
	Inhouse Privacy Policy	Outline of procedures staff must follow under the Privacy Act 2020 ("the Act") and reference to key considerations for a notifiable privacy breach.	Apr-21 PRG	Approved	Triennially	May-24	✓	Website, Jostle	✓
	Copyright Policy	To ensure compliance with the Copyright Act 1994 by protecting copyright owners from unauthorised use of their work.	Nov-21 PRG	Approved	Annually	Nov-22			
Enforcement	Formal Warning Policy	Ensures a consistent approach by ORC to use the warnings in appropriate circumstances; when addressing conduct that may be an offence, any response taken will follow due process and public interest considerations while at the same time not overburdening the Courts with matters that can be effectively resolved through other enforcement routes.	May-22 PRG	Approved	Annually	May-23			✓
	Drones Policy	An outline of the authorised use of drones.	Aug-22 PRG	Approved	Annually	Aug-23			
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	Approved	Biennially	Apr-23	✓	Jostle	✓
	Travel Policy	This document sets out Council's policy in relation to travel.	Apr-21 PRG	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 PRG	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	Review Jun-2023				Jostle	
	IT Policy	Provides guidelines for the use of technology and outlines expected behaviours when using IT systems.	Dec-14	New Policy Jun-2023				Jostle	
	Mobile Phone Policy	Outlines the principles for mobile phone usage, security, and hardware that ORC staff agree to when using and mobile phone services provided by ORC.	Apr-16	Merging with New 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. Note: May-22 update merged Vehicle Use and Smarttrak Policies into one Vehicle Policy	May-22 PRG	Approved	Biennially	Feb-25		Jostle	✓
PEOPLE & CULTURE	Title	Description	Last Reviewed	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	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	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 notice on behalf of the Otago Regional Council ("Council").	Jun-21 PRG	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	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	Approved	Biennially	Jun-23	✓	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 employed by ORC, or accessing or working from an ORC-owned or controlled site.	Mar-22 ELT	Approved	Every 3 months or as legislation changes	Aug-22	✓	Jostle	✓
	Storage of Employee Records Policy		NEW	In creation					
	Transition to Retirement Policy		NEW	In creation					
	Youth Engagement Policy		NEW	In creation					
	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	Review Jun-2023				Jostle	✗
	Equal Employment Opportunities Policy	The purpose of this policy is to outline the ORC's commitment to equal employment opportunity, diversity and inclusion.		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	To be reviewed - date TBC				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	To be reviewed - date TBC	Biennially	Nov-20	✓	Jostle	✗

PEOPLE & CULTURE	Title	Description	Last Reviewed	Status / Notes	Review Period	Next Review Date	To ELT	Where published	Reformatted
Leave and Timesheeting	Fair and Reasonable Sick and Wellbeing Leave Policy	Supports 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	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.	Jun-21 PRG	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	Approved	Biennially	Apr-23	✓	Jostle	✓
	Allowances for Stand-by Rosters and Call Out Policy	Sets out a framework on allowances for staff on Stand-by rosters and for call outs.	Apr-20	To be reviewed - date TBC	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	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	Approved	Biennially	Dec-22	✓	Jostle	✓
	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	Approved	Biennially	Jun-23	✗		
	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	To be reviewed - date TBC	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	To be reviewed - date TBC			✓	Jostle	✗
	Financial Assistance Policy - Education, Relocation		NEW	In creation					
	Recognition of Service / Reward Policy		NEW	Basic SOP complete Full Policy not started					
Safety and Wellbeing	Contractor H&S Policy & Procedure	This policy aims to support ORC comply with obligations under the HSWA 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.	Feb-22 PRG	Approved	Annually	Feb-23	✓	Jostle	✓
	Fatigue Management Policy & Toolbox	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.	Mar-21 PRG	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	Approved	Annually	Mar-22	✓	Jostle	✓
	Hazardous Manual Handling Policy	Provide instruction 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 minimized as far as is reasonably practicable.	Mar-21 PRG	Approved	Annually	Mar-22	✓	Jostle	✓
	Hazardous Substances Policy & Procedure	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 minimized 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	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	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	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	Approved	Annually	Mar-22	✓	Jostle	✓
	Safe Driving Policy		NEW	In creation					
	Drug and Alcohol Policy		NEW	In creation					
COMMS/CUSTOMER	Title	Description	Last Reviewed	Status / Notes	Review Period	Next Review Date	To ELT	Where published	Reformatted
	Media Policy	Outlines the ORCs position on speaking to the media, news releases and internal communication and is applicable to all staff.	Apr-16	To be reviewed - date TBC					
	Sending of Bulk Correspondence	To ensure correspondence from Otago Regional Council accurately reflects the values of the organisation.	Aug-16	To be reviewed - date TBC				Jostle	✗

COUNCIL POLICIES									
GOVERNANCE	Title	Description	Last Reviewed	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	Approved	Triennially	When Council decides			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.	Jun-21	Approved	Triennially	Jun-23			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.	Ongoing updates	Approved	Triennially	Updated ongoing via weblinks			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.	Oct-22	Approved	Annually	Jun-23			
	Councillor Expenses, Allowances and Reimbursement Policy	The expenses regime for elected members of the Otago Regional Council.	Oct-22	Approved	Annually	Jun-23			
	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	Approved	Triennially	When needed	✓		
	Port Otago Constitution	Sets out the rights, powers and duties of the company (the Port), board, directors and the shareholder (Council).	Mar-21	Approved	N/a	N/a			
	He Maŋi 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	Approved	Triennially	Oct-24	N/a	Website, Jostle	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	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.	Mar-22	Approved	Triennially	Mar-25			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	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	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	Approved	Triennially	Jun-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	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	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	Approved					

6.3. CS2307 Ethical Investment Policy

Prepared for:	Audit and Risk Subcommittee
Report No.	CS2307
Activity:	Governance Report
Author:	Nick Donnelly, General Manager Corporate Services
Endorsed by:	Nick Donnelly, General Manager Corporate Services
Date:	23 March 2023

PURPOSE

- [1] To provide the Audit and Risk Subcommittee with information and background on Council's current SIPO and previous discussions in relation to ethical investment.

EXECUTIVE SUMMARY

- [2] At the Finance Committee meeting on 23 February 2023 the question was raised whether Council's managed fund was operated under an ethical investment policy. This question was referred to the Audit and Risk Committee to consider further.
- [3] Council's managed fund is governed by Council's Treasury Management Policy which includes the Statement of Investment Policies and Objectives. Council's Investment Manager, JB Were, is required to adhere to this policy.
- [4] Council's Statement of Investment Policies and Objectives contains a list of excluded investments however this list is based on asset classes and doesn't exclude investments based on the underlying activity of the entity being invested in.
- [5] Council's Investment Manager, JB Were, presented to Council in a workshop on 23 September 2020 and included in that presentation was a section on "responsible investing". The slides from that section of the presentation are attached to this paper for the information of the current members of the Audit and Risk Subcommittee.

RECOMMENDATION

That the Audit and Risk Subcommittee:

- 1) **Notes** this report.
- 2) **Provides** staff with direction on how they wish to progress ethical investing.

BACKGROUND

- [6] Ethical or ESG (environmental, sustainable, governance) investing was raised at the beginning at the previous triennium and is a topic that had also been raised in previous trienniums.
- [7] While Council has discussed this topic a number of times no firm view has been agreed on changes Council wishes to see to the current investment policy.

- [8] JB Were note the current portfolio applies some ESG ie excludes child labour, weapons, nuclear energy and while no formal negative screening policy they have selectively done some ie tobacco is also excluded.
- [9] This means the current portfolio meets the common list of exclusions shown on page 16 of the slides. These exclusions were based on those adopted by the New Zealand Superannuation Fund and adding this list to the Statement of Investment Policies and Objectives is therefore unlikely to have any impact on current investment returns as the portfolio already excludes these investments.

OPTIONS

- [10] Council can consider amending the investment policy to sit wherever it chooses on the responsible and ethical investment spectrum (page 12 of the slides).
- [11] Adding a negative screening list of exclusions (page 16 of slides) to the investment policy would be a quick and simple start to this process and give immediate assurance to Council those activities are not being invested in.
- [12] Council could then consider expanding this list to include other restrictions ie mining, oil, gas, fossil fuels. Council could also move to the impact investing end of the spectrum which focuses on positive outcomes rather than negative screening.
- [13] With the options outlined above in para 12 Council would need to consider the impact of those changes on investment returns and it would be advisable for JB Were to provide further information on those options before any policy changes were considered.

CONSIDERATIONS

Strategic Framework and Policy Considerations

- [14] Investments are covered in Council's Treasury Management Policy which also includes the Statement of Investment Policy and Objectives.

Financial Considerations

- [15] A more restrictive investment policy may impact returns especially if it limits diversification of the portfolio.

Significance and Engagement

- [16] Changes to the Treasury Management Policy and Statement of Investment Policies and Objectives are unlikely to trigger significance and engagement requirements.

Legislative and Risk Considerations

- [17] There are no legislative considerations.
- [18] There is financial risk associated with investment decisions and reputation risk associated with where Council chooses to invest.

Climate Change Considerations

[19] Climate change is a key consideration in ethical / responsible investing.

Communications Considerations

[20] There are no communication considerations.

ATTACHMENTS

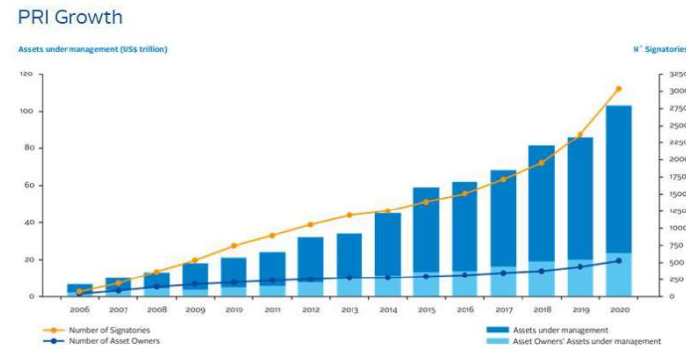
1. JBW Ethical Investing Slides 23- Sep-2020 [6.3.1 - 7 pages]

Responsible Investing



Socially Responsible Investing – What is it?

- According to the Responsible Investment Association Australasia (RIAA), “Responsible investing, also known as ethical or sustainable investing, is a holistic approach to investing, where social, environmental, corporate governance (ESG) and ethical themes are considered alongside financial performance when making an investment. It considers a broad range of risks and value drivers as part of the investment decision-making process in addition to reported financial risk.”
- As shown overleaf, there is a broad array of methods that responsible investors use to manage these non-financial risks – from excluding companies involved in controversial industries, to supporting the most sustainable companies, to a sharp focus on ESG risks, and using ownership to engage with companies.
- Responsible Investing is a rapidly growing area of finance. Globally, there are now over 3,000 signatories to the UN’s Principles of Responsible Investment (PRI), representing ~US\$100 trillion assets under management. This has more than doubled since 2014.
- In New Zealand, RIAA estimate that in the year to December 2019, the responsible investment market was worth NZ\$153.5 billion, which was 52% of the estimated NZ\$296.3 billion of total professionally managed assets under management in New Zealand.
- JBWere is itself a member of RIAA and heavily integrates ESG considerations in its own investment process.
- However, JBWere does not impose a one-size-fits-all ethical policy onto investors. Instead, we can tailor an ethical policy to suit the preferences of each client.



Source: UNPRI



Responsible Investing – a spectrum of approaches

RIAA's responsible investment spectrum

APPROACH	TRADITIONAL INVESTMENT	RESPONSIBLE & ETHICAL INVESTMENT						PHILANTHROPY	
		ESG Integration	Exclusionary/negative screening	Norms-based screening	Corporate engagement and shareholder action	Positive / best-in-class screening	Sustainability-themed investing	Impact investing	
METHOD	Providing limited or no regard for environmental, social, governance and ethical factors in investment decision making	Explicitly including ESG risks and opportunities into financial analysis and investment decisions based on a systematic process and appropriate research sources	Excluding certain sectors, companies, countries or issuers based on activities considered not investable due principally to unacceptable downside risk or values mis-alignment	Screening of companies and issuers that do not meet minimum standards of business practice based on international norms and conventions; can include screening for involvement in controversies	Executing shareholder rights and fulfilling fiduciary duties to signal desired corporate behaviours - includes corporate engagement and filing or co-filing shareholder proposals, and proxy voting guided by comprehensive ESG guidelines	Intentionally tilting a proportion of a portfolio towards solutions; or targeting companies or industries assessed to have better ESG performance relative to benchmarks or peers	Specifically targeting investment themes e.g. sustainable agriculture, green property, 'low carbon', Paris or SDG-aligned	Investing to achieve positive social and environmental impacts - requires measuring and reporting against these, demonstrating the intentionality of investor and underlying asset/ investee and (ideally) the investor contribution	Using grants to target positive social and environmental outcomes with no direct financial return
INTENTION				Avoids harm			Benefits stakeholders		
FEATURES AND OUTCOMES				Delivers competitive financial returns				Contributes to solutions	
				Manages ESG risks					
				Contributes to better system stability and economic sustainability					
					Pursues opportunities and creates real-economy outcomes				

* This spectrum has been adapted from frameworks developed by Bridges Fund Management, Sonen Capital and the Impact Management Project

Responsible Investing: How?



Negative screening

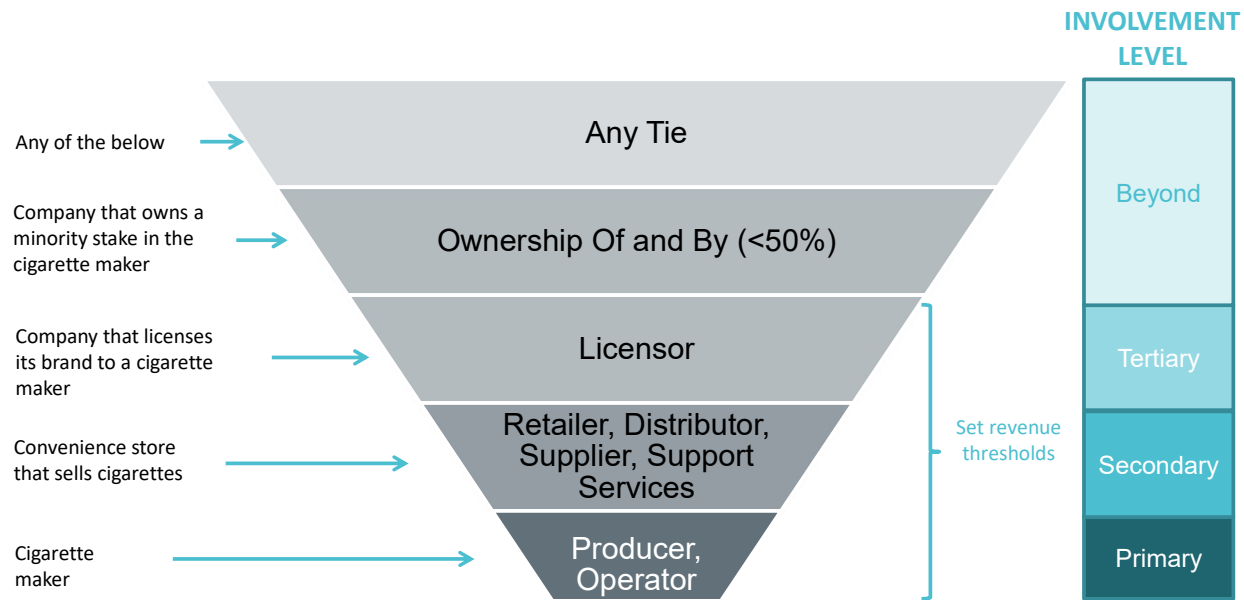
- Across JBWere’s client base (both in New Zealand and Australia), negative screening continues to be the most popular strategy (perhaps due to its simplicity and transparency) to undertake responsible investment.
- JBWere facilitates this through our relationship with MSCI (Morgan Stanley Capital International) – one of the world’s leading providers of global ethical and ESG research. MSCI’s Business Involvement Screening Research (BISR) platform is able to provide information on companies’ involvement (including revenue exposures) to a variety of business activities (as shown in the table below).
- A key consideration across any ethical screen is the classification of a company’s involvement, be it Direct, Semi-Direct and Indirect and/or revenue based.
- While for some activities and securities, a complete exclusion is likely to be desirable, we find that revenue-based thresholds are a practical way to approach screening. We also believe this is common industry practice in New Zealand, and the approach taken by the NZ Super Fund.
- Practically speaking, the screening of directly held security investments (across Cash, NZ Fixed Interest, NZ Equities, Australian Equities and Global Equities) for prohibited activities is reasonably simple.
- For indirect pooled investments (i.e. managed funds or exchange traded funds), exposure to entities involved in any prohibited activities will typically be limited to a materiality representation threshold (perhaps 10% of the total value of each of these pooled investment products).

MSCI ESG Business Involvement Screening Research covers the following factors:

VALUES	GLOBAL SANCTIONS	CONTROVERSIES	GLOBAL NORMS	CARBON & CLEAN TECH
<ul style="list-style-type: none"> • Abortion & Contraceptives • Adult Entertainment • Alcohol • Animal Welfare • Catholic, Islamic and other religious screens • Defense & Weapons • Dual-Use Export Violations • Fur • Gambling • Genetic Engineering • Nuclear Power • Predatory Lending • Stem Cell Research • Tobacco 	<ul style="list-style-type: none"> • Burma • Cuba • Iran • North Korea • Northern Ireland • Russia/Ukraine • Sudan • Syria • OFAC Cases • SEMA Cases 	<ul style="list-style-type: none"> • Child Labor • Employee Safety • Diversity • Employee Relations • Union Relations • Human Rights • Environment • Customer Relations • Marketing • Product Safety 	<ul style="list-style-type: none"> • UN Global Compact Screen • International Labour Organisation (ILO) • OECD Guidelines for Multinational Enterprises • UN Guiding Principles on Business & Human Rights 	<ul style="list-style-type: none"> • Fossil Fuel Reserves • Direct & Indirect Carbon Emissions and Intensity • CleanTech Metrics

Responsible Investing: A case study

Tobacco – how deep do you go?



List of factors representative but not all-inclusive

Responsible Investing: Deciding what matters

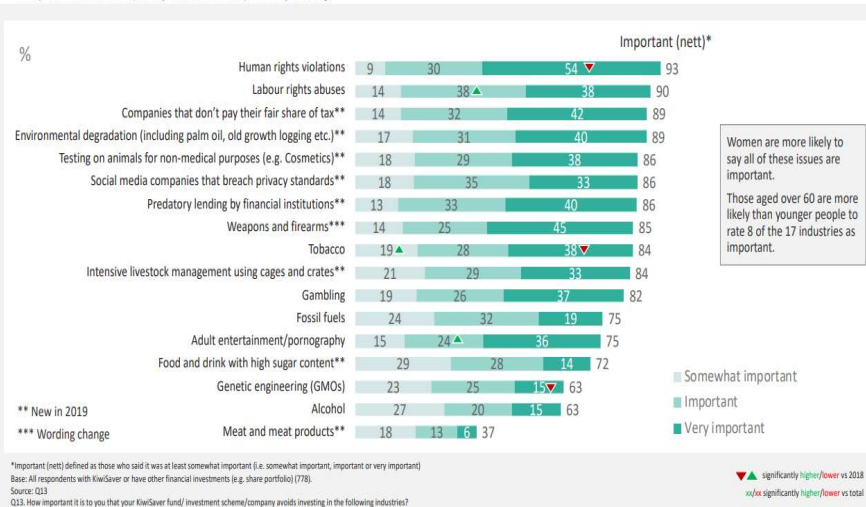


- As mentioned, JBWere doesn't impose a one-size-fits-all ethical policy onto investors. Instead, we can tailor an ethical policy to suit the preferences of each client.
- When setting an ethical policy, it is important to separate personal ethics from organisational ethics.
- Ultimately, the key question needing to be answered is: what issues, companies or industries are fundamentally misaligned with your values or those of your beneficiaries/stakeholders?
- For some of our religious and for-purpose clients, answering this question may be reasonably simple. For other clients, it may be more difficult and require some more thought and analysis and perhaps the involvement of key stakeholders.
- More often than not though, our clients see a transition towards Responsible Investing as a journey and something that can continually be refined over time.
- To perhaps help with the discussion (but for illustrative purposes only), the left hand chart (from a Mindful Money survey) shows some of the issues that domestic KiwiSaver investors want their investment scheme providers to avoid.
- As with anything though, there are trade-offs to consider. Investors need to be mindful of the fact that an overly exclusionary approach to ethical investing can dramatically reduce the investable universe and add financial and concentration risk to an investment portfolio.

Importance that KiwiSaver fund or investment scheme avoids the following issues



9 in 10 New Zealanders with KiwiSaver and other financial investments believe the most important issues to avoid are those that involve human rights violations and labour rights abuses. There are high levels of concerns with new issues added this year, including companies that do not pay their fair share of tax, animal testing, social media companies that breach privacy standards and predatory lending.



A useful starting point for ORC

A common list of exclusions

Exclusion	Nature of involvement	Threshold
Controversial Weapons	Manufacturer of: <ul style="list-style-type: none"> - cluster munitions - landmines - biological/chemical weapon systems - biological/chemical weapon components - depleted uranium weapons - components of nuclear weapon exclusive delivery platforms - nuclear weapon exclusive delivery platforms - nuclear weapon fissile materials - nuclear weapon intended-use components - nuclear weapon systems - nuclear weapon warheads & missiles - nuclear weapons support services 	0%
Cannabis	Cannabis Producer	0%
Firearms	Civilian Firearms Producer: <ul style="list-style-type: none"> - Automatic - Semi-automatic - Ammunition 	0%
Tobacco	Tobacco Producer	0%

Disclaimer

JBWere

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6.4. A&R2302 People and Safety Six-Month Report

Prepared for: Audit and Risk Subcommittee
Report No. A&R2302
Activity: Internal Projects: Corporate - Health & Safety
Internal Projects: Corporate - Human Resources
Author: Gina Watts, Team Leader Health, Safety and Wellbeing, Kelly Stuart,
People Services Lead
Endorsed by: Amanda Vercoe, General Manager Governance, Culture and Customer
Date: 23 March 2023

PURPOSE

- [1] To receive reporting on health, safety and wellbeing (HSW) and people (HR) related information at the ORC.

EXECUTIVE SUMMARY

- [2] The attached report details high-level activity, themes and outputs from the HSW team and the HR team from 1 June 2022 (Quarter 1 and Quarter 2 of the 2022/23 financial year). Ordinarily this will be provided on a quarterly basis.

RECOMMENDATION

That the Audit and Risk Subcommittee:

- 1) *Notes this report.*

BACKGROUND

- [3] Nil.

DISCUSSION

- [4] Contained in attached report.

OPTIONS

- [5] This is a noting report, so no options have been provided.

CONSIDERATIONS

Strategic Framework and Policy Considerations

- [6] HSW and HR issues fall under ORC's Strategic Direction commitment to "Enable a high performing organisation through an engaged, resilient and inclusive workforce".

Financial Considerations

- [7] HSW and HR activities are budgeted as part of annual planning.

Significance and Engagement Considerations

- [8] Nil.

Legislative and Risk Considerations

[9] Two key pieces of legislation guiding ORC's work in this area are the Health and Safety at Work Act, and the Employment Relations Act.

[10] People and Safety are both incorporated into the ORC's Strategic Risk Register, as noted in the attached report.

Climate Change Considerations

[11] Nil.

Communications Considerations

[12] Nil.

NEXT STEPS

[13] To report again next quarter.

ATTACHMENTS

1. People and Safety Report Q1 Q2 March 2023 A R [6.4.1 - 8 pages]
2. Audit-and- Risk- Incident-and- Near- Miss- Report- Q 1 Q 2 [6.4.2 - 4 pages]
3. Health and Safety Committee Key Objectives 2022 2023 1 [6.4.3 - 1 page]



People and Safety

Audit and Risk Report

Quarter One & Two 2022/2023

23 March 2023

Executive Summary: People & Safety

The purpose of this report is to receive quarterly reporting on health, safety and wellbeing (HSW) and people (HR) related information at the ORC. The report details high-level activity, themes and outputs from the HSW team and the HR team from 1 June 2022 (Quarter 1 and Quarter 2 of the 2022/23 financial year).

Work is currently underway on a draft ORC People and Safety Strategy; the intent is to align future ELT reporting to this strategy and implementation plan.

Health, Safety & Wellbeing

1. Safety and Wellbeing Performance Reporting

55 reports were completed in Haumaru during Q1 and Q2 inclusive of incidents, near miss and hazard reports.

1.1 ORC Events

Twenty-two incidents relating to ORC staff occurred in quarters 1 and 2

- 7 related to slip/trip and fall occurrences (one reported by tenant),
- 5 vehicle related
- 2 violence and aggression related.

Lost Time Injuries/Incidents

- 1 slip/trip and fall occurrence resulted lost time of 5 days.
- 1 crushing/laceration and fracture to a finger, this incident was investigated, and reported to WorkSafe.
- Other incidents were minor muscular/soft tissue stress/strain with no medical intervention needed.

Near Miss Reporting

Ten near misses occurred during quarters one and two, this included:

- 5 Vehicle related
- 2 slip/trip & fall
- 2 in relation to contact with objects

- 1 faulty equipment report.

Eight ORC hazard reports were submitted, these were assessed, and where required, actions were taken to mitigate or control any risks associated.

1.2 Contractor Events

There was a total of thirteen incidents and two near misses for contractors/subcontractors in quarters 1 and 2, this included:

- 6 from the wilding pines eradication project, 3 relating to chainsaw use prompted a safety alert re: Trending Hazard – Hot Surfaces.
- 3 relating to bus operations. One incident of violence and aggression, 1 reported a bus vs. cyclist event with nil. harm resulting; both incidents were investigated.
- One from a pest control contractor involved a partial side-by-side rollover resulting in a fractured arm. This incident was subject to an investigation and was notified to WorkSafe, with nil. follow-up.
- Remaining incidents were minor muscular strains/slips trips with no medical treatment needed.

Near miss reports were received from the wilding pines eradication, and a NIWA related project.

2. Legislative Compliance

2.1 Health and Safety Committee

The Health and Safety Committee (HSC) continues to meet quarterly to discuss health and safety risks across the organisation.

The November 2022 HSC survey confirmed the group felt it met objectives for 2021/2022.

HSC objectives were revised with key stakeholders and agreed upon during the December meeting. Refer to attachment 1 for detail.

Key topics for recent HSC discussion included manual handling, lone worker devices and procedures, vehicle reverse alerts and Haumaru.

- Additional guidance on these matters is provided either at the meeting or, as a follow-up action.

2.2 Work on policies, procedures, guidelines

- **Stay at Work and Return to Work Procedure:** Development of the Stay at Work and Return to Work procedure is underway. This procedure will outline support available to staff returning to work after an injury, and/or illness, and the processes to implement a stay at work programme.
- **Health Monitoring Procedure:** Development of ORC health monitoring procedures continues. Key elements include identifying health exposure risks through worker consultation, outlining health monitoring requirements bespoke to teams and

individual positions, and identifying health monitoring that would enhance employee wellbeing.

- **Working Around Water Guideline:** Worker consultation is ongoing as Safety & Wellbeing progress the development of these guidelines, data collected will inform the final risk profile, recommendations, and guidance. This is expected to be ready for consultation by the end of the fiscal year.

3. Operational Risk Management

3.1. Site Safety

Site safety audits are completed on a regular basis for all ORC depots and offices.

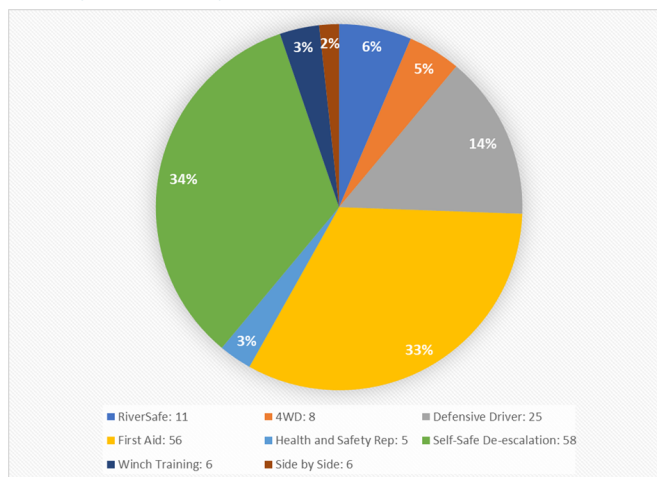
Q1 and Q2 site safety audits were conducted at the following depots: Wanaka, Cromwell, Ngapara, Alexandra CODC (Central Otago District Council) and Queenstown.

Overall compliance with audit criteria was positive, some minor corrective actions were identified and assigned to their appropriate owners, and/or Support Services, for implementation.

3.2. Training & Development

- The health and safety training programme had a high output for Q1 / Q2, 172 staff attended courses, Figure 1 shows the number of training participants per course.

Figure 1: Training Participation Numbers, Q1 – Q2 2022/2023



Upcoming training for Q3 includes: Haumaru 101- all staff and Manager training sessions, River safe, First aid, 4WD, and De-escalation training.

3.3 Summary of Critical Risks and Countermeasures

3.3.1. Lone Worker Safety Management:

Q2 saw a successful trial of the TrackMe Pro+ monitoring system by ORC’s higher-risk lone worker groups. Overall, user group feedback endorsed the continuation of this solution.

Currently finalising terms of the Service Level Agreement (SLA) with the provider TrackMe NZ.

- Implementation is expected to be completed by end of Q3, this will include: Training (Lone workers and Team Leaders/Managers).
- The ORC Lone Worker Safety Management - System Guide. To replace the current ORC Lone, Remote, and Isolated Working Policy.

3.3.2. Contractor Safety Management – System Review:

- The review of the ORC Contractor Safety Management Systems continued through Q2. In line with the review of ORC contractor management practices the team has been utilising Haumarū risk and audit modules to develop a suite of planning and assurance tools for staff engaging and managing contractors.

3.3.3. Key Q2 Projects Consulted On

- Toitū Te Hākapupu (Pleasant River Catchment) Restoration
- Wilding Conifer Control & ORC Wallaby Operations
- Outram Contour Channels and Weighted Blanket

3.3.4. Vehicle Operations

The Vehicle Policy was released in June, a key control in relation to safe driving.

Gap analysis identified the requirement of a theory-based approach to assess overall competence, and training that would be initiated for 'at risk drivers'. Current training includes 4WD, defensive driver, side-by-side, and two-wheeler training.

Additionally, 4WD training course customisation is being investigated for different risk profiles (e.g., high vs low-frequency off-road drivers and typical operating environments).

3.4 COVID

The HSW team continues to monitor COVID case numbers in the Southern region and provides advice to the ORC's Continuity Management Group (set up in February 2020 to manage ORC's internal response to COVID). ORC's COVID protection framework was stood down in September 2022, following the removal of restrictions by the Government. Regular messaging has continued to be distributed to staff since then, with a focus on maintaining healthy habits and following the Government's rules if you test positive or a member of your household tests positive.

4. Business Improvement

4.1. Haumarū

The online safety management system, Haumarū moved out of the project stage in September 2022.

Principal modules (Risk, Incident, People, Assets) have been implemented and will continue to be developed as required.

Audit, Project, and Contractor modules will serve as support and resource modules.

Q1 and Q2 key resource developments included site safety audit, event risk management and task safety plan.

Ongoing development for back end elements of the system including training, health monitoring and personal protective equipment. Future development of these modules will allow for manager/ team leader oversight for their team's personal protective equipment and safety training.

[4.2. Training Service Approach](#)

Training service models are being analysed to ensure safety training can take place throughout the region, which would result in a reduction of associated travel requirements.

[4.3. Health, Safety and Wellbeing A-Z](#)

A health, safety and wellbeing directory is under development. Accessible to all staff, this will define health, safety, and wellbeing terms used within ORC and allow staff to easily locate information they need.

5. Employee Wellbeing

[5.1. Wellbeing Survey 2022](#)

The annual wellbeing survey was conducted in November, feedback from the survey was positive and survey participation increased by 3% to 36%. The five initiatives for the 2022 programme included:

- I. Mental health awareness week reconnect leave,
- II. 15-minute challenge,
- III. Influenza vaccinations,
- IV. Staying mentally well at ORC workshops
- V. Staff Wellbeing Discounts.

The overall rating of the programme was 3.73 (weighted on a scale of 1 not satisfied – 5 very satisfied), 61% of respondents rated between 4-5.

General comments included:

“I really appreciate what the organisation already does in this space. I think we are extremely lucky”

“I enjoy the seminars as they are beneficial for both at work and in a person's personal life”

“The wellbeing programme is such a great offering to have in place - it really gives a feeling of care and support to ORC”.

[5.2. Q1 & Q2 Initiatives and Activities](#)

Initiatives and activities during quarter 1 and 2 are summarised in the table 1 below.

Table 1: Wellbeing Initiatives, Q1 & Q2

Wellbeing Initiative	Uptake metrics	Date
Food Mood seminars	30 attended	August
Ergonomic webinar	22 attended	August

Money Week	48 attended	August
Mental Health Awareness Week + Reconnect Leave	75% uptake	September
Blood drive	6 donated	September
Walk at work promotion	63 Jostle views	October
Ergonomics webinar – vehicle optimisation	58 (22 attended, 32 views since)	November
Superannuation seminars	38 attended (37 views since)	November
Wellbeing discount promotion	119 Jostle views	November
Wellbeing survey	36% response rate	November
Workstation Assessments	4 (80% reduction compared to 2021 Q1/2 since introduction of ergonomic webinars)	July - Dec
Stay at Work Plan	3	July - Dec
Return to Work Plan	1	July - Dec

5.3. Quarter Three and Beyond

Initiatives for Q3 and beyond are summarised in table 2 below. Noting several proposed initiatives are still under consideration.

Table 2: Wellbeing Initiatives Planned Q3 & Q4 22/23, Q1 & Q2 23/24

Wellbeing Initiative	Proposed Date
Ergonomic webinar	February
Aotearoa Bike Challenge	February
Blood drive	March/ April
Influenza Vaccinations	April – August
Refresh of employee discount cards	May
Pink Shirt Day	May
Ergonomic webinar	June
Blood drive	July
Proposed release of ‘Fit for Future’ wellbeing programme 2023/2024	July
Money Week	August
Mental Health Awareness Week	September
Blood drive	October

People Services

Key projects for June 2022 – February 2023

- **Getting Team ORC Back Together:** Supporting Chief Executive led programme to encourage staff to return to return to working in the office as part of a hybrid work model.

A phased approach to staff returning to the office at least three days a week was implemented in September 2022 (as the risk from COVID was receding). The programme is showing good results to date, with a staff survey in November showing that of those surveyed, over ¾ said that there were no barriers to them returning to the office.

- **Collective bargaining** with the Public Services Association concluded, with a new Collective Agreement in place for June 2022 – July 2023.
- **Annual staff salary review** completed and implemented by December 2022.
- Ongoing **recruitment support** for the significant recruitment that has been underway at ORC.
- **Accredited Employer Work Visa Scheme** accreditation gained and three hard to fill roles successfully recruited under the scheme (which enables ORC to access talent).
- New **Corporate Induction programme** established, as a CE initiative. Includes sessions for new starters with the CE, and Chair of Council, along with briefings from a cross section of General Managers and managers.
- **Leadership training** for team leaders and **Bicultural Competency training** for staff were delivered.

[Human Resources Dashboard reporting – Quarter 1 and Quarter 2](#)

Workforce snapshot information

- 303 total staff, 270 permanent / 33 fixed term
- Average tenure is 4.3 years, median tenure is 2.2 years

Workforce mobility

- 3 Internal sideways moves
- 15 Internal promotions/upwards moves
- 10 Internal secondments commenced

Recruitment snapshot

- 2022/23 roles that have gone to market: 113
- Roles successfully filled: 77

Vacancies








22/23 FTE Report as at pay period ending 03/03/2023

Report generated on 13 March 2023 at 12:23:25 AM

Directorate	Homebase Desc	Staff Name	Position Description	Employee Status	FTE	Bgt FTE
☐ Chief Executive					1.0	2.1
☐ Corporate Services					49.3	55.3
☐ Governance, Culture & Customer					19.7	25.5
☐ Operations					82.7	91.7
☐ Regulatory & Communications					84.4	91.0
☐ Science, Environmental Monitoring & Policy					56.2	68.4
Total					293.3	334.1

Strategic Risks (from ORC’s Strategic Risk Register)

Strategic Risks	Main countermeasures	Impact
<p>Risk number one: “People” Unable to attract and retain people with the right skills and experience to deliver the strategic priorities</p> <p>Trend: </p>	<ul style="list-style-type: none"> Monitoring vacancies to determine whether work programmes are at risk due to vacancies. This is captured as part of quarterly activity reporting. Retention a focus. Currently identifying key projects to progress in order to support retention. 2021 employee engagement survey returned a 74 percent engagement “score”. Survey due to be undertaken in 2023, which provides metrics to how we are tracking. 	<p>High</p>
<p>Risk number two: “Health, Safety and Wellbeing” Not ensuring the safety, health and wellbeing of ORC staff, contractors, and the community</p> <p>Trend: </p>	<ul style="list-style-type: none"> Support Council understanding of “good” health, safety, and wellbeing within ORC through regular reporting to Audit and Risk. Regular ELT monitoring and review of health, safety and wellbeing environment and operational risks at ORC. Regular review of systems and policies, and compliance with these. Ongoing training, education and promotion of a positive health, safety, and wellbeing culture, led by the Health, Safety and Wellbeing team. 	<p>High</p>
<p>Key:  Risk is increasing  Risk is stable  Risk is decreasing</p>		

Audit and Risk Incident and Near Miss Report 8 Mar 2023 04:35:29 [Incident](#)

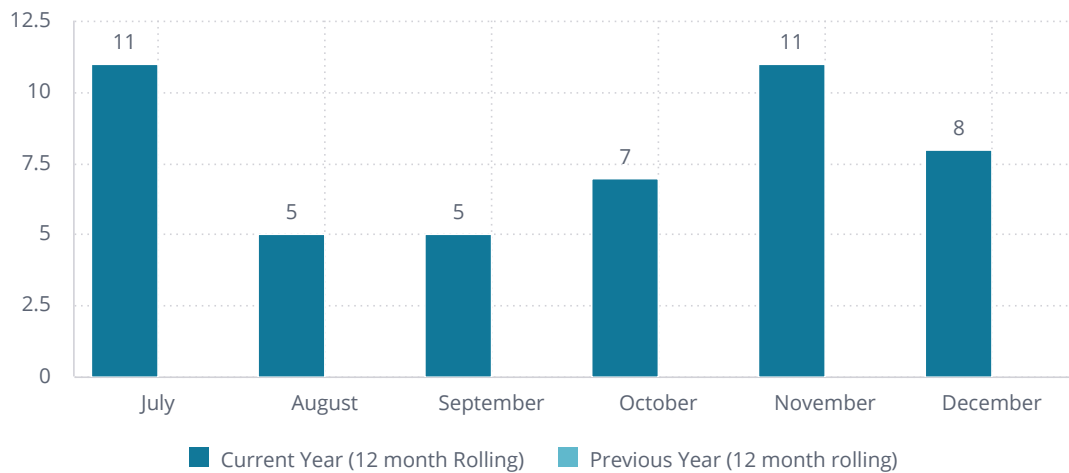
Filters **Incident Date** 7/1/22 to 12/31/22 | **TimeZone** New Zealand Standard Time

Incident / Near Miss Dashboard

- See bottom of screen for a list of records.
- Click on a graph segment to filter the rest of the dashboard based on that selection.
- To see other data relating to a segment right-click and 'Drill' to the desired field.
 - Access other filters using the right-hand filters panel.
 - NOTE: counters may be affected by any filters you apply.



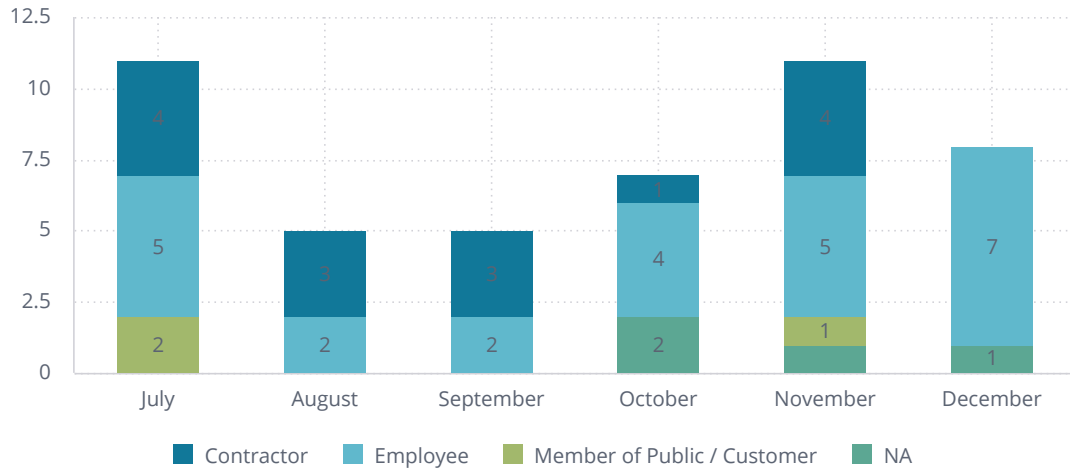
No. of Incidents by Month



Audit and Risk Incident and Near Miss Report 8 Mar 2023 04:35:29 [Incident](#)

Filters Incident Date 7/1/22 to 12/31/22 | TimeZone New Zealand Standard Time

No. of Incidents by Month and Who Was Involved



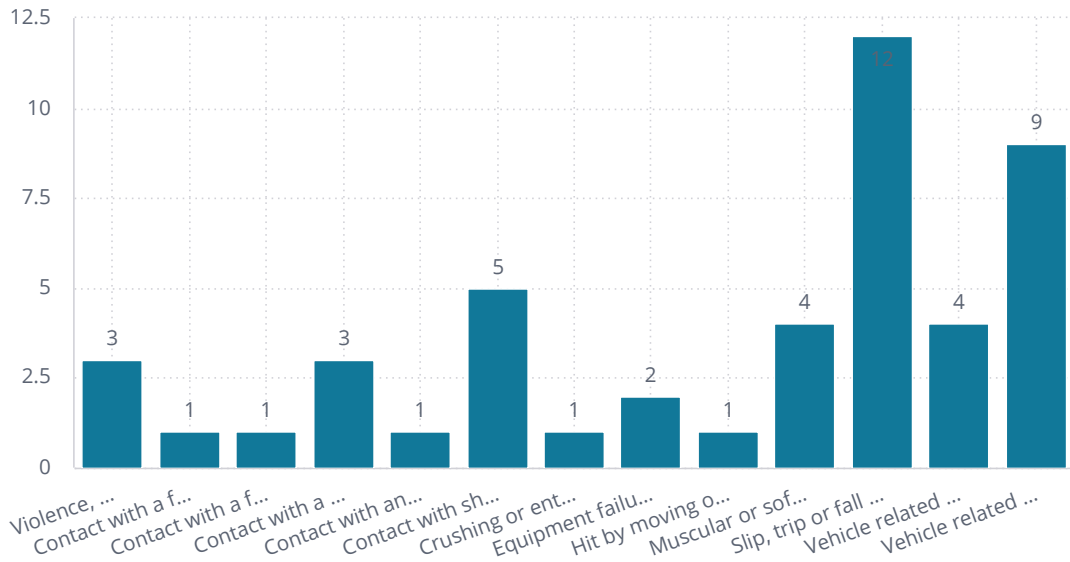
Incidents by Org Unit



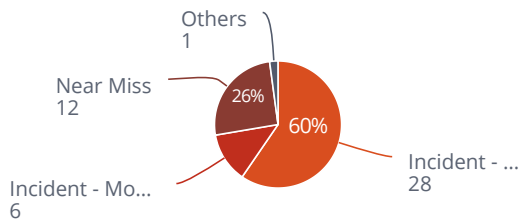
Audit and Risk Incident and Near Miss Report 8 Mar 2023 04:35:29 Incident

Filters Incident Date 7/1/22 to 12/31/22 | TimeZone New Zealand Standard Time

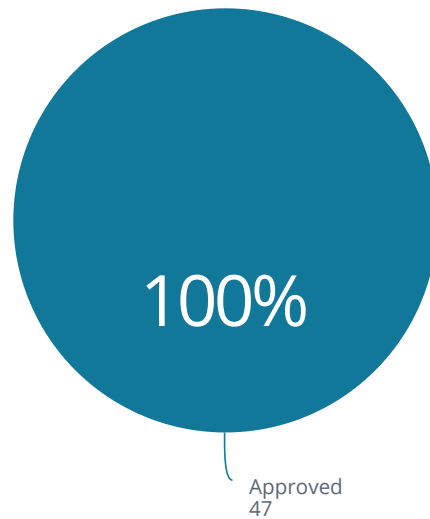
No. of Incidents by Type



Incidents by Severity



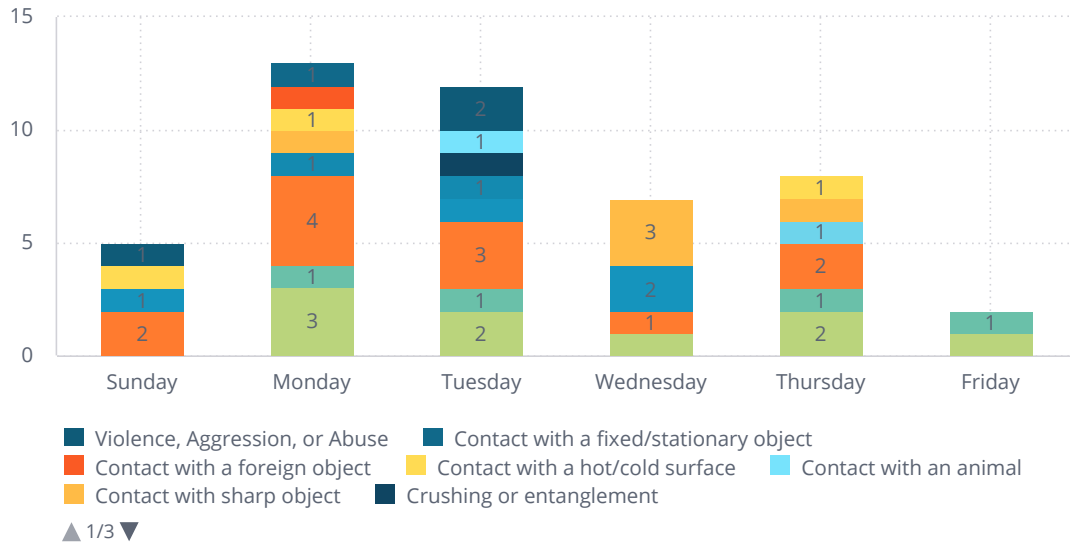
Incidents by Approval Stage



Audit and Risk Incident and Near Miss Report 8 Mar 2023 04:35:29 [Incident](#)

Filters Incident Date 7/1/22 to 12/31/22 | TimeZone New Zealand Standard Time

No. of Incidents by Weekday by Incident Type





Health and Safety Committee

Key Objectives 2022/2023

Protect:

- Contribute to raising the profile of health, safety, and wellbeing at ORC
- Promote the completion of hazard, near miss and incident reports

Enhance:

- Contribute to the ongoing improvement of ORC's health and safety management system
- Contribute to health, safety and wellbeing initiatives that will positively enhance health, safety & wellbeing across council

Connect:

- Increase HSR engagement with workgroups and each other
- Connect staff with best practice advice and support

Enable:

- Promote health, safety, and wellbeing through the HSC and HSR group
- Support staff to put their health, safety, and wellbeing at the forefront of what they do

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>1.1 Managed Fund – December 2022</i></p>	<p>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 – Section 7(2)(b)(ii)</p> <p>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 – Section 7(2)(c)(i)</p> <p>To enable any local authority holding the information to carry out, without prejudice or disadvantage, commercial activities – Section 7(2)(h)</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>1.2 Strategic Risk Register Review</i></p>	<p>To avoid prejudice to measures that prevent or mitigate material loss to members of the public – Section 7(2)(e)</p> <p>To prevent the disclosure or use of official information for improper gain or improper advantage – Section 7(2)(j)</p>	<p>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>1.3 Audit Management</i></p>	<p>To protect information which is subject to an obligation of confidence or which</p>	<p>Subject to subsection (3), a local authority may by</p>

<p><i>Letter – Initial Response</i></p>	<p>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 – Section 7(2)(c)(i)</p>	<p>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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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.