

# Komiti o te Mōrearea me te Tūmaru | Risk & Assurance Committee



## Kaupapataka Wātea | Open Agenda



Notice is hereby given that an ordinary meeting of Komiti o te Mōrearea me te Tūmaru | Risk & Assurance Committee will be held on:

**Ko te rā | Date:** Tuesday 19 November 2024  
**Wā | Time:** 9.00  
**Wāhi | Venue:** Council Chambers  
35 Kenrick Street  
TE AROHA

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### Ngā Mema | Membership

#### Tiamana | Chairperson

Jaydene Kana

#### Independent Member

Joanne Aoake

#### Koromatua | Mayor

Adrienne Wilcock, JP

#### Koromatua Tautoko | Deputy Mayor

James Thomas

#### Kaunihera ā-Rohe | District Councillors

Bruce Dewhurst

Kevin Tappin

Gary Thompson

**Waea | Phone:** 07-884-0060  
**Wāhitau | Address:** PO Box 266, Te Aroha 3342  
**Īmēra | Email:** [governance@mpdc.govt.nz](mailto:governance@mpdc.govt.nz)  
**Kāinga Ipuranga | Website:** [www.mpdc.govt.nz](http://www.mpdc.govt.nz)

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**1 Whakatūwheratanga o te hui | Meeting Opening**

Chairperson to welcome members and open the meeting.

**2 Karakia**

The opening karakia is to be performed.

**3 Ngā whakapāha/Tono whakawātea | Apologies/Leave of Absence**

At the close of the agenda no apologies had been received.

**4 Pānui i Ngā Take Ohore Anō | Notification of Urgent/Additional Business**

Section 46A(7) of the Local Government Official Information and Meetings Act 1987 (as amended) states:

“An item that is not on the agenda for a meeting may be dealt with at that meeting if-

- (a) The local authority by resolution so decides; and
- (b) The presiding member explains at the meeting, at a time when it is open to the public,-
  - (i) The reason why the item is not on the agenda; and
  - (ii) The reason why the discussion of the item cannot be delayed until a subsequent meeting.”

Section 46A(7A) of the Local Government Official Information and Meetings Act 1987 (as amended) states:

“Where an item is not on the agenda for a meeting,-

- (a) That item may be discussed at that meeting if-
  - (i) That item is a minor matter relating to the general business of the local authority; and
  - (ii) the presiding member explains at the beginning of the meeting, at a time when it is open to the public, that the item will be discussed at the meeting; but
- (b) no resolution, decision or recommendation may be made in respect of that item except to refer that item to a subsequent meeting of the local authority for further discussion.”

**5 Whākī pānga | Declaration of Interest**

Members are reminded of their obligation to declare any conflicts of interest they might have in respect of the items on this Agenda.

**6 Whakaaetanga mēneti | Confirmation of Minutes**

Minutes, as circulated, of the Ordinary meeting of Komiti o te Mōrearea me te Tūmaru | Risk & Assurance Committee, held on 10 September 2024

### 3 Pūrongo me whakatau | Decision Reports

## 3.1 Draft Annual Report and Summary 2023/24

CM No.: 2959075

### Te Kaupapa | Purpose

The purpose of this report is to:

- provide the Committee with the Draft Annual Report 2023/24 and Summary for feedback
- provide the Committee with an update from Council's Auditors, Audit New Zealand.

### Rāpopotonga Matua | Executive Summary

Council is required to prepare and adopt an Annual Report and Summary every year under the Local Government Act 2002 (LGA).

The Annual Report and Summary provided to the Committee is a draft and is current at the time of writing this report (11 November 2024) as the Audit process is ongoing.

The final Annual Report and Summary is scheduled for adoption by Council on 27 November.

Audit New Zealand Director, René van Zyl will provide a written update on progress (circulated separately) and provide a verbal update at the meeting.

### Tūtohunga | Recommendation

That:

1. **The Information including the Draft Annual Report and Draft Summary 2023/24 and Audit New Zealand Update is received.**
2. **Any feedback from the Committee is provided (*feedback to be specified*).**

### Horopaki | Background

Council opted to defer the Long Term Plan 2024-34 adoption to July 2024, which was an option provided to Councils in light of the changes to water services legislation. This option allows Council to defer the adoption of the 2023/24 annual report to the end of December 2024. A draft Annual Report and Summary was provided to Audit New Zealand on 30 August and Audit New Zealand began their audit on schedule. Due to a change in Audit New Zealand's schedule our audit was placed on hold for a small period and then resumed. At the time of writing this report, Audit are continuing to perform tests and checks on the information provided, however the audit opinion is anticipated to be received in time for adoption.

### Ngā Take/Kōrerorero | Issues/Discussion

The draft Annual Report and Summary are attached. The highlighted sections are currently being worked on following feedback provided by Audit New Zealand (Audit).

#### Financial performance

In respect of the audit of the draft financial statements to date, there have been only a few changes requested by Audit that are reflected in the latest draft attached to this report. The more significant of which include:



### Better-off Funding

\$800,000 of Better-off funding was initially accrued and recognised as grant revenue in 2023/24 for the water activity, on the premise that the funding had been approved, was budgeted for in 2023/24 and had been effectively used for the purpose it was to be received by balance date. Audit's view however was that the fact the funding and subsequent evidence was not formally approved by balance date, meant that it did not meet the requirement of our accounting policy for recognition (i.e. that it had become receivable) in the 2023/24 financial year. This accrued income has been reversed in the latest draft and instead will be recognised as revenue in the 2025 financial year.

### Property, Plant and Equipment (PPE)

There were a small number of water and wastewater projects capitalised 'on the books' at 30 June 2023, because the work required to capitalise them in our asset system had not been completed in time. In our latest draft Annual Report, Audit requested that, we separately report the movements in respect of these assets in our PPE note, following their actual capitalisation in 2024.

A further \$6.3m of assets/projects initially included in our schedule of work in progress at 30 June 2024 have, on closer review, been identified as sufficiently complete or in use at balance date, so should have been capitalised. While \$6.3m accounts for only 0.6% of the total value of PPE, this amount exceeds Audit NZ's materiality thresholds. As such, these assets have been capitalised 'on the books' for 2023/24 in the latest draft. Staff have calculated that the fact the assets were not capitalised at the correct date has resulted in an understatement of depreciation of approximately \$191,000 for the 2023/24 financial year. As staff did not consider this amount to be material, and it was within Audit's materiality threshold, we have not made any adjustment to the financial statements for this estimated error.

It is acknowledged that we have some work to do to tidy up some of these outstanding capitalisations, and that work is in progress. Areas for improvement have been identified in our project management processes to hopefully minimise the recurrence of this going forward, and to improve the flow of capitalisations throughout the year to avoid the bottleneck of work typically created at the end of the year. Pleasingly, we have already seen a number of projects being completed and capitalised in the first quarter of 2024/25.

### Non-financial performance:

In respect of the audit of the draft non-financial performance reporting to date, there have been only a few minor changes requested by Audit that are reflected in the latest draft attached to this report. These include expanding on judgements, providing more explanations for measures that had results significantly below the set target, and providing the number or percentage with a result for clarity and comparison for the reader.

Testing and checking of non-financial performance is ongoing at the time of writing.

### Overall non-financial performance:

38 of the 65 (58%) performance measures were achieved in 2023/24, one was not measured as it is measured triennially and 26 measures were not achieved. Of the measures that were not achieved 5 were an improvement on the previous year.

In 2022/23 33 out of 57 measures were achieved (58%). The number of measures between 2022/23 and 2023/24 that are reported on are the same, however some measures have either been combined or separated for readability.

## Mōrearea | Risk

Staff and Audit are still working to have the Annual Report and Summary ready for Council adoption on 27 November. There is a risk the Annual Report will be subject to further delays.

### Timeframes

Key Task	Dates
Draft Annual Report and Summary available for Audit	30 August 2024
Final Audit begins	2 September 2024
Final Audit paused to allow temporary redeployment of Audit team	27 September 2024
Final Audit resumes	8 October 2024
Risk and Assurance meeting	19 November 2024
Council adoption	27 November 2024
Alternative adoption date if required	10 December 2024 (Risk and Assurance) 11 December 2024 (Council)

### Ngā Tāpiritanga | Attachments

- A. Draft Annual Report 2023/24 for RAC 19/11/24 *(Under Separate Cover)*
- B. Draft Annual Report Summary 2023/24 for RAC 19/11/2024 *(Under Separate Cover)*

### Ngā waitohu | Signatories

Author(s)	Olivia Picard <b>Graduate Policy Advisor</b>	
	Larnia Rushbrooke <b>Finance &amp; Business Services Manager</b>	

Approved by	Sandra Harris <b>Policy, Partnerships and Governance Manager</b>	
	Kelly Reith <b>Group Manager People, Governance &amp; Relationships</b>	
	Manaia Te Wiata <b>Group Manager Business Support</b>	

3 Pūrongo me whakatau | Decision Reports

## 3.2 Chair's Update

CM No.: 2824069

### Te Kaupapa | Purpose

The purpose of this report is for the Chairperson to update the Committee on activities following the last meeting.

### Rāpopotonga Matua | Executive Summary

Risk and Assurance Committee Chairperson, Jaydene Kana, to present the Chair's Update report. The report to be circulated separately.

### Tūtohunga | Recommendation

That:

1. The information be received.

### Ngā Tāpiritanga | Attachments

There are no attachments for this report.

### Ngā waitohu | Signatories

Author(s)	Tamara Kingi <b>Governance Team Leader</b>	
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Approved by	Sandra Harris <b>Policy, Partnerships and Governance Manager</b>	
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### 3 Pūrongo me whakatau | Decision Reports

## 3.3 Risk and Assurance Self-Assessment 2024 - Chair's report on results and annual review of the Charter

CM No.: 2960947

### Te Kaupapa | Purpose

The purpose of this report is to

- provide the results of committee members' self-assessment and allow discussion on results
- provide the current Risk and Assurance Charter and allow discussion on any potential amendments.

### Rāpopotonga Matua | Executive Summary

In line with the establishment of the Risk and Assurance Committee, on 9 November 2022, for the 2022-2025 triennium and subsequent revised Charter, the self-assessment was revised and updated on 12 September 2023, by the Risk and Assurance Committee.

The self-assessment is undertaken annually by the committee and includes a questionnaire followed by a rating system with comments. A survey monkey link was distributed to all members and requested to be completed by 14 October 2024.

Office of the Auditor General guidance recommends that the Risk and Assurance Committee Charter be reviewed annually and approved by the governing body. Accordingly, the Charter has been attached to the agenda for review.

### Tūtohunga | Recommendation

That:

1. **The information be received.**
  2. **The Risk and Assurance Committee Charter be confirmed.**
- or
3. **The Risk and Assurance Committee Charter be reviewed and recommended to Council (*amendments to be detailed*).**

### Horopaki | Background

Each year as part of its work programme the Risk and Assurance Committee completes a self-assessment of its performance during the calendar year.

All members of the Risk and Assurance Committee were asked to complete the assessment.

The assessment was circulated through a Survey Monkey link, the results will be reviewed by the Committee Chair, who will provide further comments and recommendations as part of the assessment process.

The results from the self-assessment will be discussed and a summary has been attached to the agenda.

### Ngā Tāpiritanga | Attachments

[A](#). RAC self-assessment 2024 results

[B](#). Risk and Assurance Committee Charter

### Ngā waitohu | Signatories

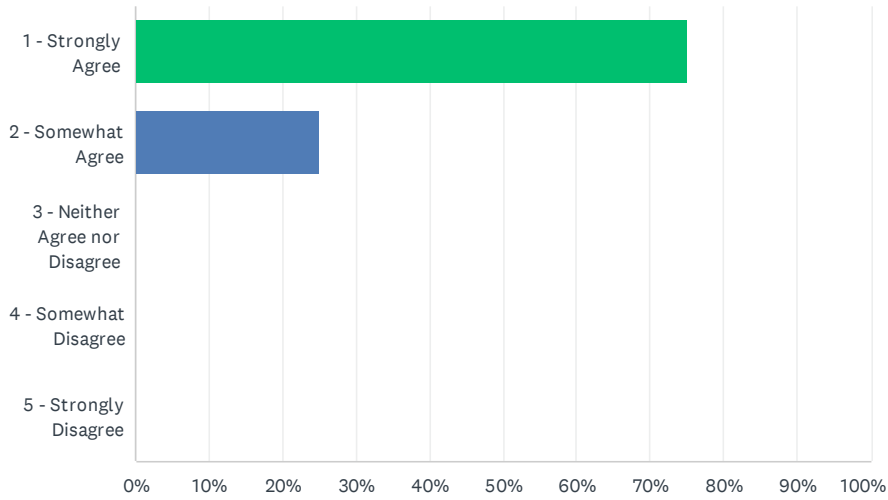
Author(s)	Tamara Kingi <b>Governance Team Leader</b>	
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Approved by	Sandra Harris <b>Policy, Partnerships and Governance Manager</b>	
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Q1 The Risk and Assurance Committee (RAC) Charter is clear in articulating the Committee’s responsibilities.

Answered: 4 Skipped: 0



ANSWER CHOICES	RESPONSES	
1 - Strongly Agree	75.00%	3
2 - Somewhat Agree	25.00%	1
3 - Neither Agree nor Disagree	0.00%	0
4 - Somewhat Disagree	0.00%	0
5 - Strongly Disagree	0.00%	0
TOTAL		4

Item 3.3

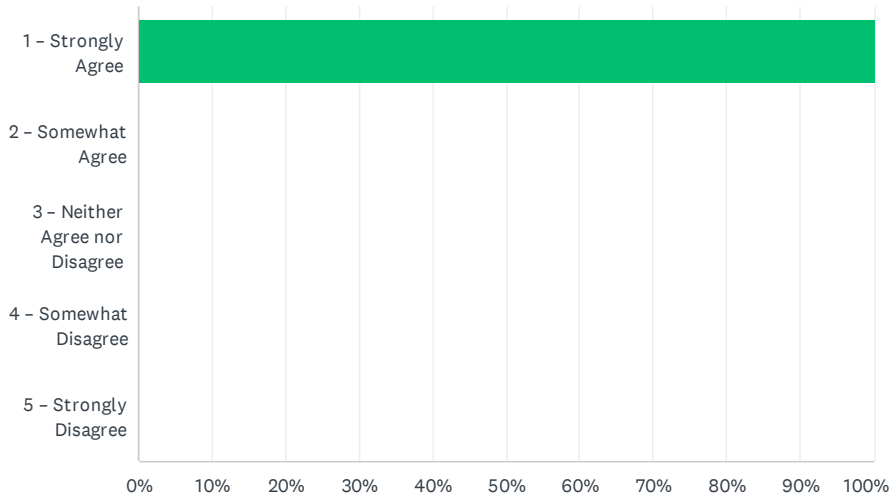
Attachment A





Q2 The RAC Annual Work plan ensures the Committee can meet its responsibilities outlined in the Charter

Answered: 4 Skipped: 0



ANSWER CHOICES	RESPONSES	
1 – Strongly Agree	100.00%	4
2 – Somewhat Agree	0.00%	0
3 – Neither Agree nor Disagree	0.00%	0
4 – Somewhat Disagree	0.00%	0
5 – Strongly Disagree	0.00%	0
TOTAL		4



Q3 Please share any comments on improving the RAC Charter or Annual Work plan:

Answered: 4 Skipped: 0

#	RESPONSES	DATE
1	Charter and Work Plan - Suggest review by Committee Members at the last triennium RAC meeting for 2025, to gain their perspective and expertise from serving on the Committee for the triennium.	10/25/2024 12:54 PM
2	Orientation of the charter when first being a member of the committee. It is as one becomes more knowledgeable with what the role of the committee and policy associated with that role can one work to achieve intended outcomes.	10/15/2024 6:53 PM
3	works well as it is. very clear	9/25/2024 1:14 PM
4	I think many improvements have already been made this year. There is always an opportunity to improve as we go but feel we are in a better position.	9/9/2024 7:44 PM

Item 3.3

Attachment A



1!

Q4 Please share any comments on improving the RAC composition:

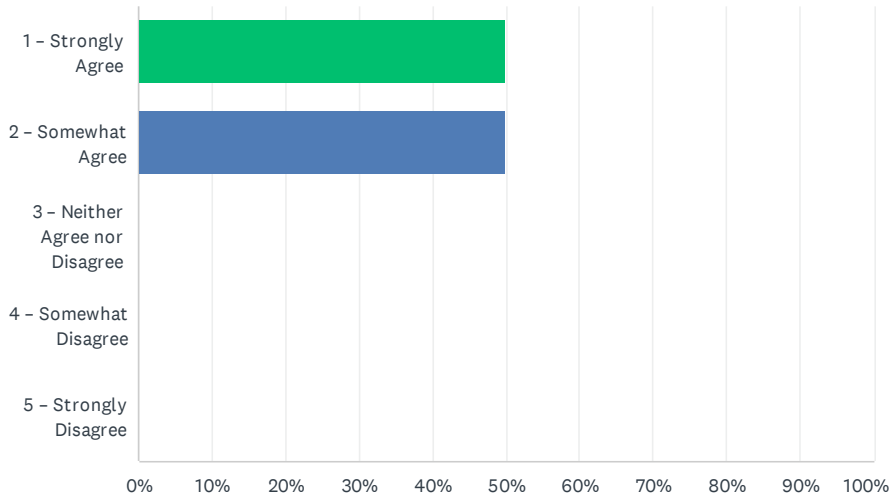
Answered: 3 Skipped: 1

#	RESPONSES	DATE
1	Council should continue to review the risks to its strategic goals, and select RAC members based on the skills need for oversight of those risks.	10/25/2024 12:54 PM
2	Make Jaydene current chair permanent It is important that the committee continues to represent financial, social, cultural and environmental views.	10/15/2024 6:53 PM
3	A taxpayers union surveyed the composition of RAC committees and it appeared having a lawyer was favourable. Is this recommended? Our Chair is a critical leader in this space and Jaydene brings a broad understanding and expertise to the role. Her engagement in the role and learnings from external hui are helping to improve our performance.	9/9/2024 7:44 PM



Q5 The RAC Committee composition enables the Committee to meet its responsibilities outlined in the Charter

Answered: 4 Skipped: 0



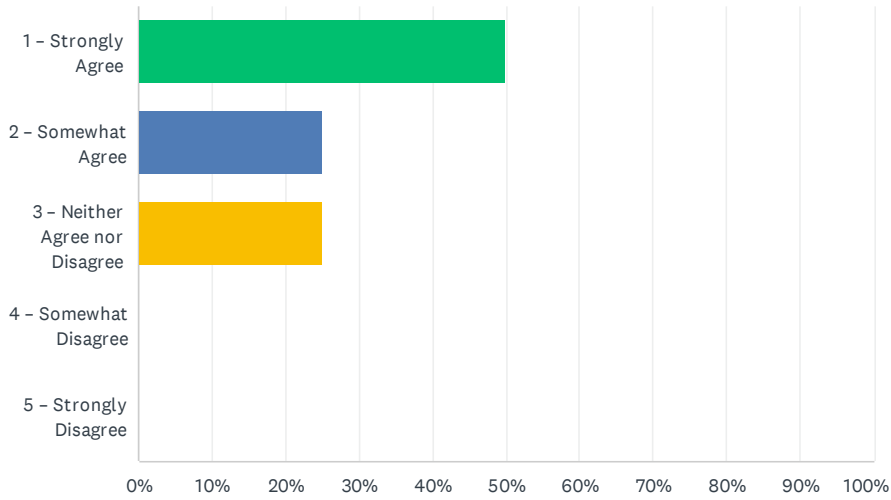
ANSWER CHOICES	RESPONSES	
1 – Strongly Agree	50.00%	2
2 – Somewhat Agree	50.00%	2
3 – Neither Agree nor Disagree	0.00%	0
4 – Somewhat Disagree	0.00%	0
5 – Strongly Disagree	0.00%	0
TOTAL		4

Item 3.3  
Attachment A



Q6 The RAC papers are received with sufficient time for members to prepare for Committee meetings

Answered: 4 Skipped: 0



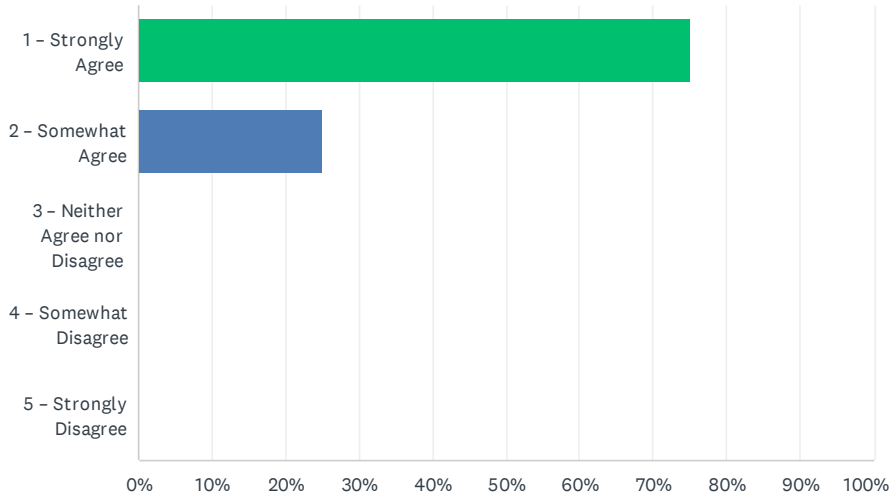
ANSWER CHOICES	RESPONSES	
1 – Strongly Agree	50.00%	2
2 – Somewhat Agree	25.00%	1
3 – Neither Agree nor Disagree	25.00%	1
4 – Somewhat Disagree	0.00%	0
5 – Strongly Disagree	0.00%	0
TOTAL		4



1!

Q7 The RAC papers contain the right amount and quality of information for members to make decisions and meet its responsibilities outlined in the Charter

Answered: 4 Skipped: 0



ANSWER CHOICES	RESPONSES	
1 – Strongly Agree	75.00%	3
2 – Somewhat Agree	25.00%	1
3 – Neither Agree nor Disagree	0.00%	0
4 – Somewhat Disagree	0.00%	0
5 – Strongly Disagree	0.00%	0
TOTAL		4

Item 3.3  
Attachment A





Q8 Please share any comments on improving the RAC papers timeframe or content:

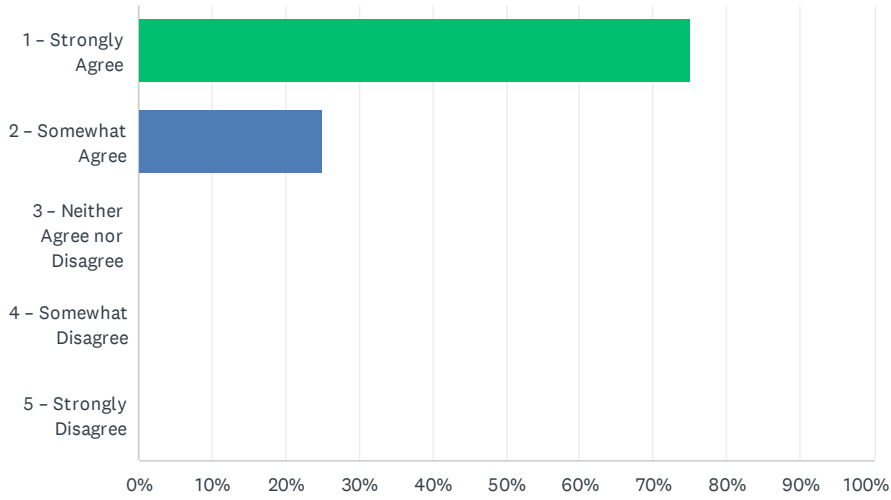
Answered: 2 Skipped: 2

#	RESPONSES	DATE
1	There is sometimes a repeat of information in the way that the information is displayed and sent to us. It helps if papers are sent as soon as they are able.	10/15/2024 6:53 PM
2	Nothing to add as I don't have other experience to compare.	9/9/2024 7:44 PM



### Q9 The frequency of RAC meetings is appropriate

Answered: 4 Skipped: 0

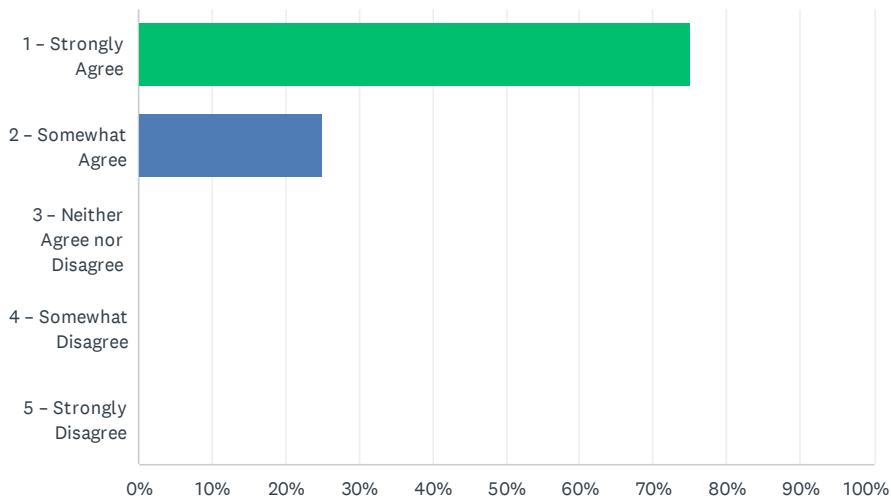


ANSWER CHOICES	RESPONSES	
1 – Strongly Agree	75.00%	3
2 – Somewhat Agree	25.00%	1
3 – Neither Agree nor Disagree	0.00%	0
4 – Somewhat Disagree	0.00%	0
5 – Strongly Disagree	0.00%	0
<b>TOTAL</b>		<b>4</b>



Q10 The duration of RAC meetings is sufficient for members to discuss and conclude the agenda without undue pressure

Answered: 4 Skipped: 0



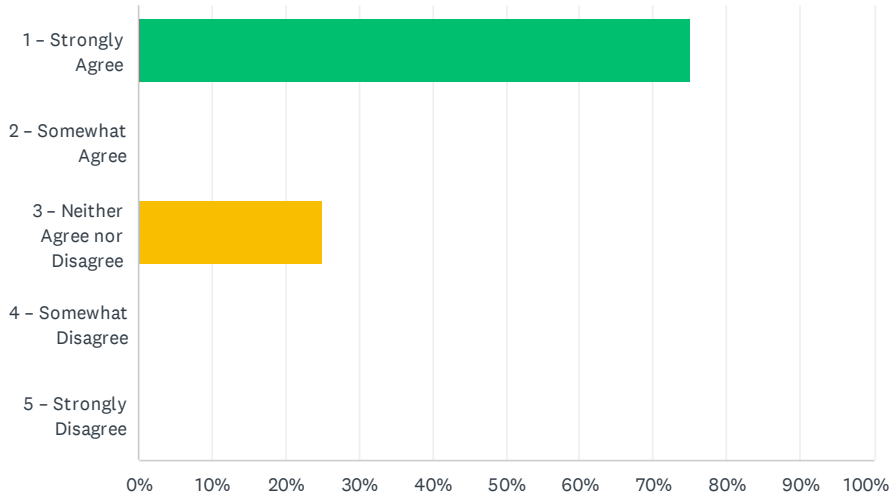
ANSWER CHOICES	RESPONSES	
1 – Strongly Agree	75.00%	3
2 – Somewhat Agree	25.00%	1
3 – Neither Agree nor Disagree	0.00%	0
4 – Somewhat Disagree	0.00%	0
5 – Strongly Disagree	0.00%	0
TOTAL		4



1!

Q11 The RAC Chair enables and environment where members are given the opportunity to voice their comments before recommendations presented in the papers are voted on

Answered: 4 Skipped: 0



ANSWER CHOICES	RESPONSES	
1 – Strongly Agree	75.00%	3
2 – Somewhat Agree	0.00%	0
3 – Neither Agree nor Disagree	25.00%	1
4 – Somewhat Disagree	0.00%	0
5 – Strongly Disagree	0.00%	0
TOTAL		4

Item 3.3  
Attachment A



1:

Q12 Please share any comments on improving RAC meetings, including improvements in chairing RAC meetings:

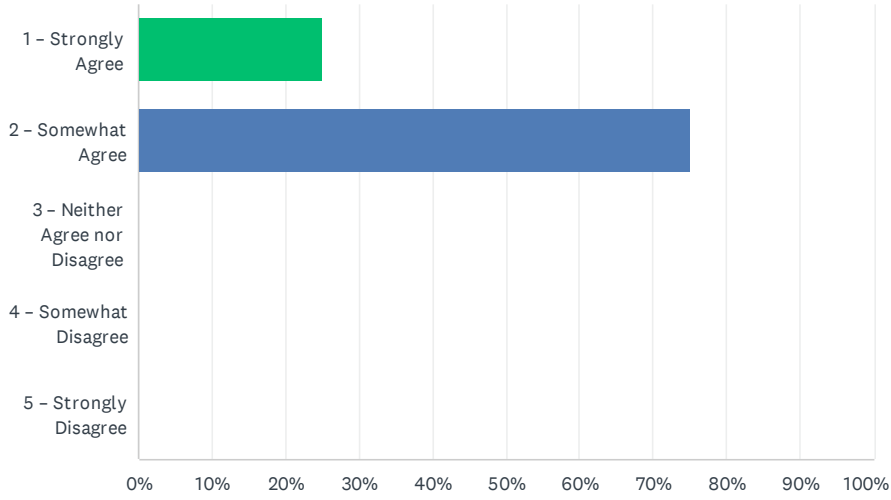
Answered: 3 Skipped: 1

#	RESPONSES	DATE
1	Happy with the meeting and the current chairperson's management of the committee.	10/15/2024 6:53 PM
2	the Chair is excellent in translating into plain English!	9/25/2024 1:14 PM
3	Can't think of anything.	9/9/2024 7:44 PM



Q13 The RAC is effective in reviewing: The integrity of Council's financial management and reporting processes

Answered: 4 Skipped: 0



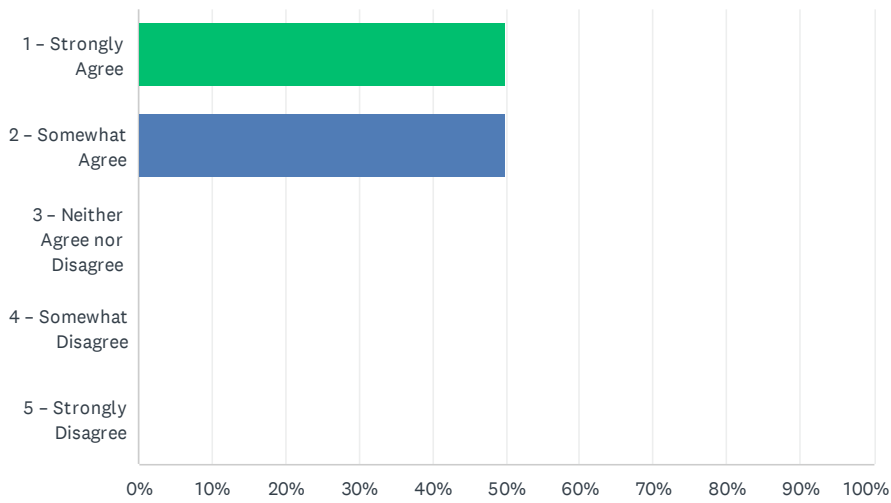
ANSWER CHOICES	RESPONSES	
1 – Strongly Agree	25.00%	1
2 – Somewhat Agree	75.00%	3
3 – Neither Agree nor Disagree	0.00%	0
4 – Somewhat Disagree	0.00%	0
5 – Strongly Disagree	0.00%	0
TOTAL		4





Q14 The RAC is effective in reviewing: The scope, time and effectiveness of Council's internal audit programme

Answered: 4 Skipped: 0

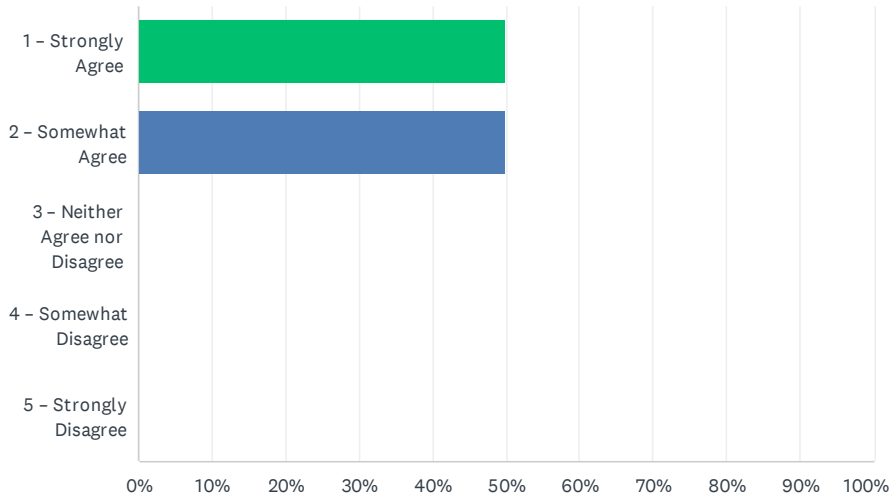


ANSWER CHOICES	RESPONSES	
1 – Strongly Agree	50.00%	2
2 – Somewhat Agree	50.00%	2
3 – Neither Agree nor Disagree	0.00%	0
4 – Somewhat Disagree	0.00%	0
5 – Strongly Disagree	0.00%	0
TOTAL		4



Q15 The RAC is effective in reviewing: The scope and timeliness of Council's external audit activity

Answered: 4 Skipped: 0



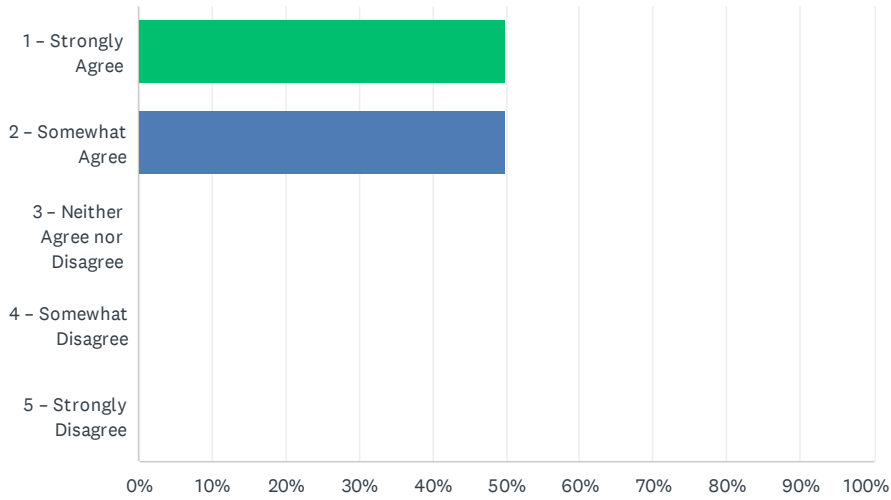
ANSWER CHOICES	RESPONSES	
1 – Strongly Agree	50.00%	2
2 – Somewhat Agree	50.00%	2
3 – Neither Agree nor Disagree	0.00%	0
4 – Somewhat Disagree	0.00%	0
5 – Strongly Disagree	0.00%	0
TOTAL		4



1!

Q16 The RAC is effective in reviewing: Council's process for monitoring compliance with laws and regulations.

Answered: 4 Skipped: 0



ANSWER CHOICES	RESPONSES	
1 – Strongly Agree	50.00%	2
2 – Somewhat Agree	50.00%	2
3 – Neither Agree nor Disagree	0.00%	0
4 – Somewhat Disagree	0.00%	0
5 – Strongly Disagree	0.00%	0
TOTAL		4

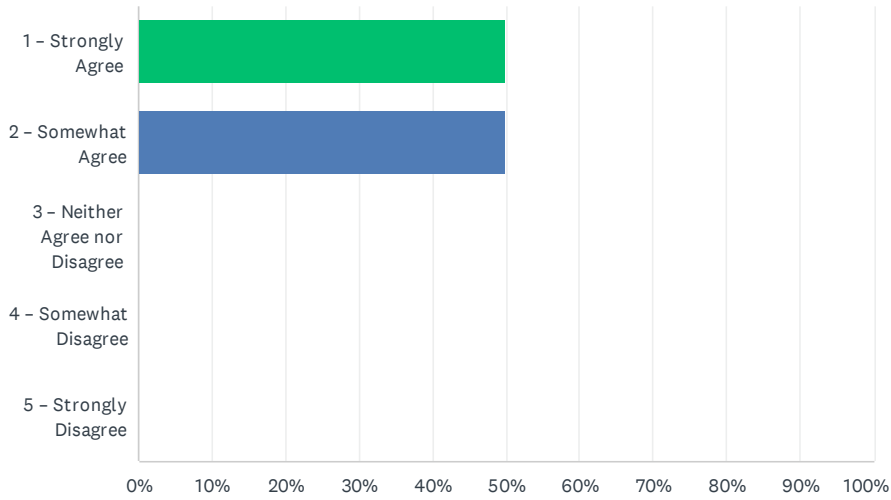
Item 3.3

Attachment A



Q17 The RAC is effective in reviewing: Council's risk management activities and their effectiveness

Answered: 4 Skipped: 0



ANSWER CHOICES	RESPONSES	
1 – Strongly Agree	50.00%	2
2 – Somewhat Agree	50.00%	2
3 – Neither Agree nor Disagree	0.00%	0
4 – Somewhat Disagree	0.00%	0
5 – Strongly Disagree	0.00%	0
TOTAL		4



1!

Q18 Please share any comments on improving the RAC's performance

Answered: 2 Skipped: 2

#	RESPONSES	DATE
1	The committee relies on the information given and staff participation in business. If we are well informed we make better decisions.	10/15/2024 6:53 PM
2	I have ticked strongly agree because many changes have been put in place during the previous 12 months to ensure that the RAC'S performance is improving.	9/9/2024 7:44 PM

Item 3.3

Attachment A



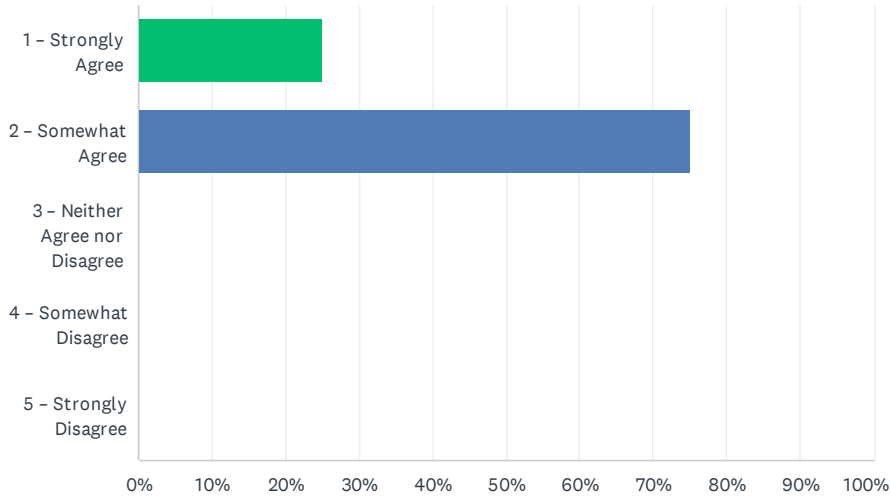
1!

Item 3.3

Attachment A

Q19 Information sessions are provided to RAC members to support their understanding of Council's Finance, Internal Audit, External Audit, Compliance and Risk Management activities

Answered: 4 Skipped: 0



ANSWER CHOICES	RESPONSES	
1 – Strongly Agree	25.00%	1
2 – Somewhat Agree	75.00%	3
3 – Neither Agree nor Disagree	0.00%	0
4 – Somewhat Disagree	0.00%	0
5 – Strongly Disagree	0.00%	0
TOTAL		4





1:

Q20 Please share any comments on support needed to improve the RAC's performance:

Answered: 2 Skipped: 2

#	RESPONSES	DATE
1	For new members it takes time to understand both Council policy and processes . Continued good information and openness from staff.	10/15/2024 6:53 PM
2	Support/ onboarding is essential at the start of a new triennium, especially if there are a lot of changes to the committee membership- especially new councillors to understand their role and responsibility.	9/9/2024 7:44 PM



1:

Q21 Please share any other comments not previously shared above:

Answered: 2 Skipped: 2

#	RESPONSES	DATE
1	I think that the committee brings a different view, accountability and adds to the exceptions of the public to have Council perform the best that it can	10/15/2024 6:53 PM
2	Nothing to add. I feel we are making continual improvements and striving to be better.	9/9/2024 7:44 PM

Item 3.3

Attachment A

## Matamata-Piako District Council

### Risk and Assurance Committee

#### Charter

Reviewed by the Risk and Assurance Committee February 2023

## 1. Objectives

The primary objective of the Risk and Assurance Committee (Committee) is to assist the Matamata-Piako District Council (Council) in fulfilling its overall responsibilities relating to financial reporting, external audit, internal audit, compliance reporting and risk reporting, and report any areas of concern to Council.

The Committee will review:

- 1.1 The integrity of Council's financial management and reporting processes.
- 1.2 The scope, timeliness and effectiveness of Council's internal audit programme.
- 1.3 The scope and timeliness of Council's external audit activity.
- 1.4 Council's process for monitoring compliance with laws and regulations.
- 1.5 Council's risk management activities and their effectiveness.

## 2. Authority

The Council authorises the Committee within the scope of this Charter, through the Chairperson, to:

- 2.1 Seek any information it requires from any employee of Council
- 2.2 Obtain outside legal or other professional advice from within Council allocated resources or with the approval of Council should additional unfunded resource be needed.

## 3. Composition

The Chairperson must be suitably qualified and shall be an independent appointment with skills and experience, including governance and leadership, to provide value for Council. The Committee size will be determined by Council and must include members who have appropriate skills and experience, may include a second independent member.

## 4. Term of Membership

The Committee membership may be reviewed by Council but otherwise will be appointed for the term of Council.

## 5. Meetings

- 5.1 The Committee will meet at least four times per year, and such additional meetings as the Chairperson shall decide to fulfil its duties. In addition, the Chairperson is required to

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call a meeting of the Committee if requested to do so by a majority of Committee Members, Council or the external auditors.

- 5.2 The Committee will be supported by Council's Governance Support Officer who shall be responsible, in conjunction with the Chairperson, for compiling the agenda and circulating it, supported by explanatory documentation to Committee Members prior to each meeting.
- 5.3 The Governance Support Officer will also be responsible for keeping the minutes of meetings of the Committee and circulating them to Committee Members and to the other members of Council.
- 5.4 A quorum shall consist of a majority of the Members.
- 5.5 The Committee will adopt Standing Orders to support its objectives and responsibilities.

## 6. Responsibilities

The responsibilities of the Committee aligned to the Committee's objectives are:

### 6.1 Financial Reporting

- 6.1.1 Review the performance of Council's financial and non-financial activities against the Long-Term Plan and Annual Plan.
- 6.1.2 Review the accuracy and completeness of Council's interim and annual financial statements and Annual Report in accordance with Council's policies, relevant accounting principles and relevant accounting standards.
- 6.1.3 Review all significant changes in accounting policy or activities that could have a material impact on Council's financial statements or Annual Report.
- 6.1.4 Recommend the adoption of the Annual Report to Council.

### 6.2 External Audit

- 6.2.1 Recommend the appointment or reappointment of external auditors to Council.
- 6.2.2 Review and recommend the proposed external audit scope, plan, and fees to Council.
- 6.2.3 Monitor the performance of the external auditor, including enabling Council to meet statutory reporting deadlines.
- 6.2.4 Review the external audit recommendations and the appropriateness of management's response and monitor the timeliness and effectiveness of management's implementation of these recommendations.

6.2.5 As required, meet with management and/or the external auditors to discuss the audit arrangements, audit process, audit opinion or audit report.

### **6.3 Internal Audit**

6.3.1 Review and approve the proposed internal audit programme and the terms of reference for each internal audit within that programme.

6.3.2 Monitor the delivery of the internal audit programme.

6.3.3 Review the internal audit recommendations and the appropriateness of management's response and monitor the timeliness and effectiveness of management's implementation of these recommendations.

### **6.4 Compliance with Laws and Regulations**

6.4.1 Review the effectiveness of Council's system for monitoring compliance with laws and regulations, including management's report on any non-compliance and actions taken to address this non-compliance.

6.4.2 Review reports from regulatory agencies independently assessing Council's compliance with laws and regulations.

### **6.5 Risk and Internal Controls**

6.5.1 Review the effectiveness of Council's framework to identify, treat, monitor, and report on risks to Council's activities, Annual Plan and Long-Term Plan.

6.5.2 Review the effectiveness of Council's system to implement the Safety and Wellness Charter and achieve the mission of "Home Safe Every Day".

6.5.3 Review the effectiveness of Council's control environment, including Council employees understanding the importance of internal controls and their role in identifying and reporting on risks.

6.5.4 Review the effectiveness of Council's framework for business continuity, including the vulnerability of Council's information technology systems to threats.

6.5.5 Review the effectiveness of Council's insurance arrangements to mitigate insurable risks.

## **7 Other Responsibilities**

7.1 Regularly update and make recommendations to Council on Committee activities within the scope of this Charter.

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7.2 Perform other Risk and Assurance responsibilities as requested by Council.

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7.3 Review all Council policies within the scope of this Charter.

7.4 Review and recommend the Committee's Charter to Council for approval.

7.5 Annually review the performance of this Committee against this Charter, including recommendations to management on improved content or presentation of reports.

7.6 Council's external auditors or Risk Manager will have independent access to the Committee Chairperson at any time.

Item 3.3

Attachment B

### 3 Pūrongo me whakatau | Decision Reports

## 3.4 Schedule of Meetings and Draft Work Programme 2025

CM No.: 2961619

### Te Kaupapa | Purpose

The purpose of this report is to provide the Committee with proposed meeting dates for 2025 and a draft work programme of reports.

### Rāpopotonga Matua | Executive Summary

Annually, Council and Committees determine proposed meeting dates for the next year and a draft work programme of reports.

Note, Council and some other Committees are yet to determine their meeting dates but a full draft is attached for information but is subject to change.

### Tūtohunga | Recommendation

That:

1. The information be received.
2. The Committee confirms the schedule of meetings and draft work programme of reports for 2025.

### Horopaki | Background

Committee	Proposed frequency	Proposed dates
Risk and Assurance Committee	Quarterly per annum.	25 February 17 June 30 September December (to be confirmed following elections)

### Ngā Tāpiritanga | Attachments

- [A↓](#). RAC Work Programme 2025 - Draft for consideration
- [B↓](#). 2025 Meeting Planner, Event Calendar

**Ngā waitohu | Signatories**

Author(s)	Sandra Harris <b>Policy, Partnerships and Governance Manager</b>	
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Approved by	Kelly Reith <b>Group Manager People, Governance &amp; Relationships</b>	
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Item	Team	25-Feb-25		17-Jun-25		30-Sep-25		Dec (Date dependant on elections)	
		Status	Comment	Status	Comment	Status	Comment	Status	Comment
<b>Key</b>		= complete		= scheduled		= incomplete			
<b>Standing items</b>									
Chairs update	PPG								
CEO update	PPG								
Review of top risks	Risk		Failure of essential services/infrastructure/assets/systems, initially focusing on water/wastewater - Risk #2  Inadequate response to disasters, weather events, pandemics - Risk #4  Not meeting compliance/legislative requirements - Risk #1		Failure to develop/maintain partnerships with mana whenua, hapuu, iwi and Maaori - Risk #3  Inadequate financial strategy - Risk #7  Failure to communicate/engage with stakeholders - Risk #8		Inadequate response to political change - Risk #9  Failure to respond to climate impacts - Risk #6		
Safety and Wellness update	PSW								
Update on Work Programme	Risk								
Review of significant projects	Assets								
Future Ready Update	PGR								
Project Management Report	Assets								
<b>Annual Reports</b>									
IT/web security audit	IT								
Setting Work Programme/Schedule of Meetings	PPG								
Insurance Programme	Property								
LGOIMA Requests	Legal								
Delegations	Legal								
Legislative compliance assessment	Legal								
Risk Management Framework	Risk								
<b>Scheduled Reports</b>									
Self assessment / Review of Charter	PPG						Self assessment circulated		Self assessment completed, charter reviewed
Long Term Plan / Annual Plan	PPG		Draft Annual Plan		Final Annual Plan		Annual Plan timeline and key risks		
Annual Report	PPG				Annual Report timeline and key risks		Final Annual Report		
Progress tracking on audit recommendations	Finance								
Policy Register Review	PPG								
Procurement Report	Finance								
Policy Review	Various								
Business Continuity Plans	Risk								

### MPDC Meeting Planner 2025

	January	February	March	April	May	June	July	August	September	October	November	December		
SUN													SUN	
MON													MON	
TUES				1	2	1	2	1	2	1	2	1	TUES	
WED	1	New Year's Day		2	3	2	3	2	3	2	3	2	WED	
THURS	2	Day after New Year's		3	4	3	4	3	4	3	4	3	THURS	
FRI	3			4	5	4	5	4	5	4	5	4	FRI	
SAT	4		1	5	6	5	6	5	6	5	6	5	SAT	
SUN	5		2	6	7	6	7	6	7	6	7	6	SUN	
MON	6		3	7	8	7	8	6	7	6	7	6	MON	
TUES	7		4	8	9	8	9	7	8	7	8	7	TUES	
WED	8		5	9	10	9	10	8	9	8	9	8	WED	
THURS	9		6	10	11	10	11	9	10	9	10	9	THURS	
FRI	10		7	11	12	11	12	10	11	10	11	10	FRI	
SAT	11		8	12	13	12	13	11	12	11	12	11	SAT	
SUN	12		9	13	14	13	14	12	13	12	13	12	SUN	
MON	13		10	14	15	14	15	13	14	13	14	13	MON	
TUES	14		11	15	16	15	16	14	15	14	15	14	TUES	
WED	15		12	16	17	16	17	15	16	15	16	15	WED	
THURS	16		13	17	18	17	18	16	17	16	17	16	THURS	
FRI	17		14	18	19	18	19	17	18	17	18	17	FRI	
SAT	18		15	19	20	19	20	18	19	18	19	18	SAT	
SUN	19		16	20	21	20	21	19	20	19	20	19	SUN	
MON	20		17	21	22	21	22	20	21	20	21	20	MON	
TUES	21		18	22	23	22	23	21	22	21	22	21	TUES	
WED	22		19	23	24	23	24	22	23	22	23	22	WED	
THURS	23		20	24	25	24	25	23	24	23	24	23	THURS	
FRI	24		21	25	26	25	26	24	25	24	25	24	FRI	
SAT	25		22	26	27	26	27	25	26	25	26	25	SAT	
SUN	26		23	27	28	27	28	26	27	26	27	26	SUN	
MON	27	Auckland Anniversary	24	28	29	28	29	27	28	27	28	27	MON	
TUES	28		25	29	30	29	30	28	29	28	29	28	TUES	
WED	29	*Workshop TBC	26	30	31	30	31	29	30	29	30	29	WED	
THURS	30		27										THURS	
FRI	31		28										FRI	
SAT			29										SAT	
SUN			30										SUN	
MON			31										MON	
	January	February	March	April	May	June	July	August	September	October	November	December		
Key	Public Holidays	<b>Workshop</b> Frequency: 1st and 2nd Wednesday per month *3rd Wednesday is TBC	<b>Council</b> Frequency: 4th Wednesday of every month *as required for Annual Plan	<b>CEPC</b> Chief Executive Performance Committee Frequency: Annual *informal as required	<b>TMF</b> Te Manawhenua Forum Frequency: bi-monthly per annum	<b>RAC</b> Risk and Assurance Committee Frequency: Quarterly per annum	<b>WMAC</b> Waharoa (Matamata) Aerodrome Committee Frequency: 2-3 meetings per annum	<b>Local Govt. Elections</b> Election day, Swearing in and post-election inductions (TBC)						

Item 3.4

Attachment B

## 4 Ngā Pūrongo Whakamārama | Information Reports

### 4.1 Safety and Wellness Reports

CM No.: 2822506

#### Te Kaupapa | Purpose

The purpose of this report is to provide the Committee with safety and wellness reporting.

#### Rāpopotonga Matua | Executive Summary

The July-September 2024 Quarterly Safety & Wellness Report, and the August and October 2024 Safety & Wellness Updates are provided. Kate Stevens, People, Safety & Wellness Manager, in attendance to discuss the reports with the committee.

#### Tūtohunga | Recommendation

That:

1. The information be received.

#### Ngā Tāpiritanga | Attachments

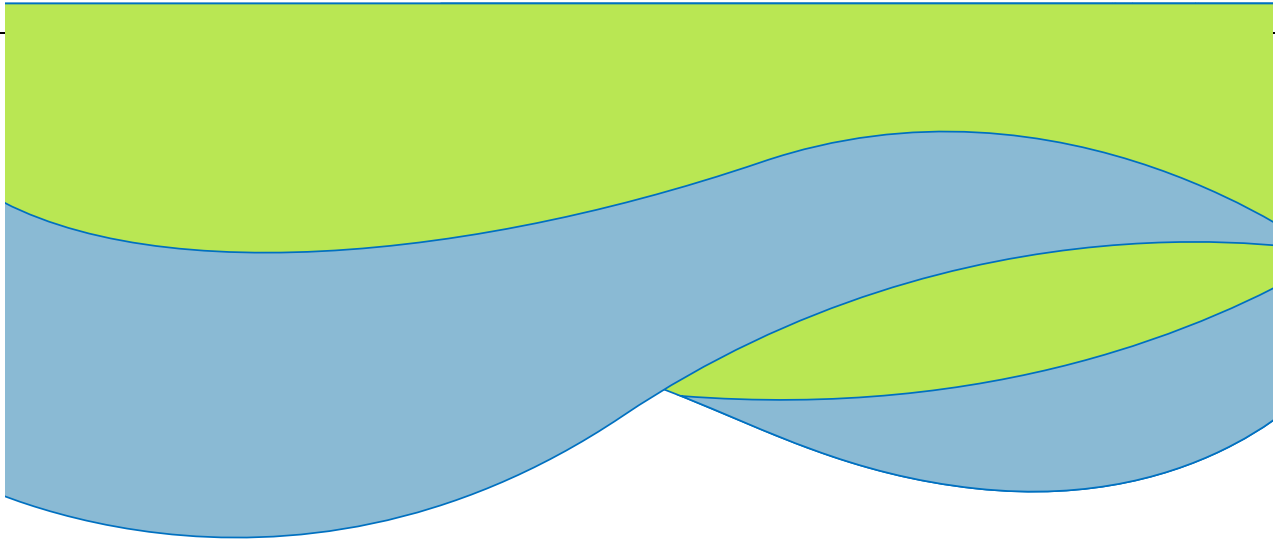
- [A↓](#). Quarterly Safety and Wellness Report July-Sept 2024
- [B↓](#). August 2024 Monthly Safety Wellness Update Report
- [C↓](#). October 2024 Monthly Safety Wellness Update Report

#### Ngā waitohu | Signatories

Author(s)	Kate Stevens <b>People, Safety &amp; Wellness Manager</b>	
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Approved by	Kelly Reith <b>Group Manager People, Governance &amp; Relationships</b>	
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Item 4.1



Attachment A

# Safety & Wellness

## Quarterly report:

July-Sept 2024

**Together we create a healthy, safe workplace where we thrive.**

1 |

## Executive summary

This has been a busy quarter for the Safety and Wellness Team as we updated Damstra to align with the new Takatū Anamata | Future Ready organisation structure and reviewed the work groups for H&S representation.

We also reviewed our progress on strategic priorities for the 2023/2024 year and developed new priorities for the 2024/2025 year, aligning these with the strategic priorities identified by the Executive Team.

We identified three safety and wellness strategic priorities for this year:

1. Strengthen safety and wellness leadership
2. Engage and empower our health and safety representatives
3. Sustain our focus on critical risk

The [Institute of Directors Good Practice Guide](#) (2024) offers some practical guidance on health and safety governance, and the format for this quarterly report has been adapted to better align with the reporting recommendation in the guide. Our newly-appointed Executive Team members in the spirit of curiosity (recommended for capable leadership by the guide) completed five leader walk through visits this quarter.

## Performance

### Strategic priorities

We identified three safety and wellness strategic priorities for the 2024/2025 year:

1. Strengthen Safety & Wellness Leadership
2. Engage and Empower our Health and Safety Representatives
3. Sustain our focus on critical risk

The first two priorities align with the organisational strategic priority 'Our People Thrive' and the third priority relates to the work already underway on review and assurance activities for our critical risks. Further detail and progress on the planned tasks for these priorities is provided at the end of this report.

### Events

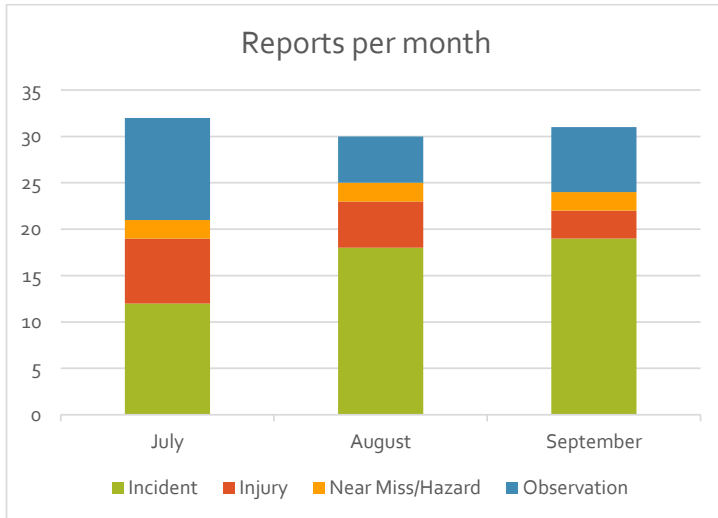
There was one notifiable event this quarter: a leak of sodium hypochlorite at SwimZone Matamata occurred overnight. The substance leaked into a bunded area and there were no injuries. This was the third notifiable leak at our Swimzone facilities during 2024, and WorkSafe contacted us to request further information about the causes, learnings and actions taken as a result of these events. They subsequently advised they will not be taking any further action at this time. Further information is provided in the Hazardous Substances Critical risk section below.

There were three lost time injuries (i.e. injuries requiring more than a full shift of time off work) and three additional medical treatment injuries this quarter. The lost time injuries were an arm muscle sprain (due to manual handling), a knee injury (stepping down off a seat) and an infected insect bite.

The graphs and tables below provide summary data from Damstra reports.

Number of events and observations this quarter:					
Incidents	Injuries/illness	Near Miss/Hazard	Observations	Notifiable Events	Lost Time Injuries*
50	15	6	23	1	3

\*Lost time injury: resulting in more than one shift off work



Events and observations relating to behaviour continue to be a common theme: this is explored further in the risk section below.

Damstra tasks	Completed this quarter	Overdue end of this quarter	Trend for overdue actions
Corrective actions	78	45	↑ from 34 last quarter
Risk reviews	209	67	↓ from 72 last quarter
Event Investigations	59	19	↑ from 8 last quarter

## Risks

Council has identified its “Top 10” critical risks as follows:



Critical risk updates:



### Hazardous Substances:

SwimZone have introduced additional controls as follow up from the sodium hypochlorite leaks, including:

- Tray and shield to protect staff working in the area
- Anti-siphoning valves
- Sensors to detect leaks, cameras
- Mandatory eye protection
- Increased supervision at SwimZone facilities.

The SwimZone team are also considering reducing the risk by moving to a fully automated system or using salt to make 1% chlorine on site.



### Working over/near water:

- A simple visual guide that summarises the working over/near water guidelines was created and distributed to staff.



### Confined space entry:

- Work has commenced on the critical risk review for confined space entry.



### Security risks:

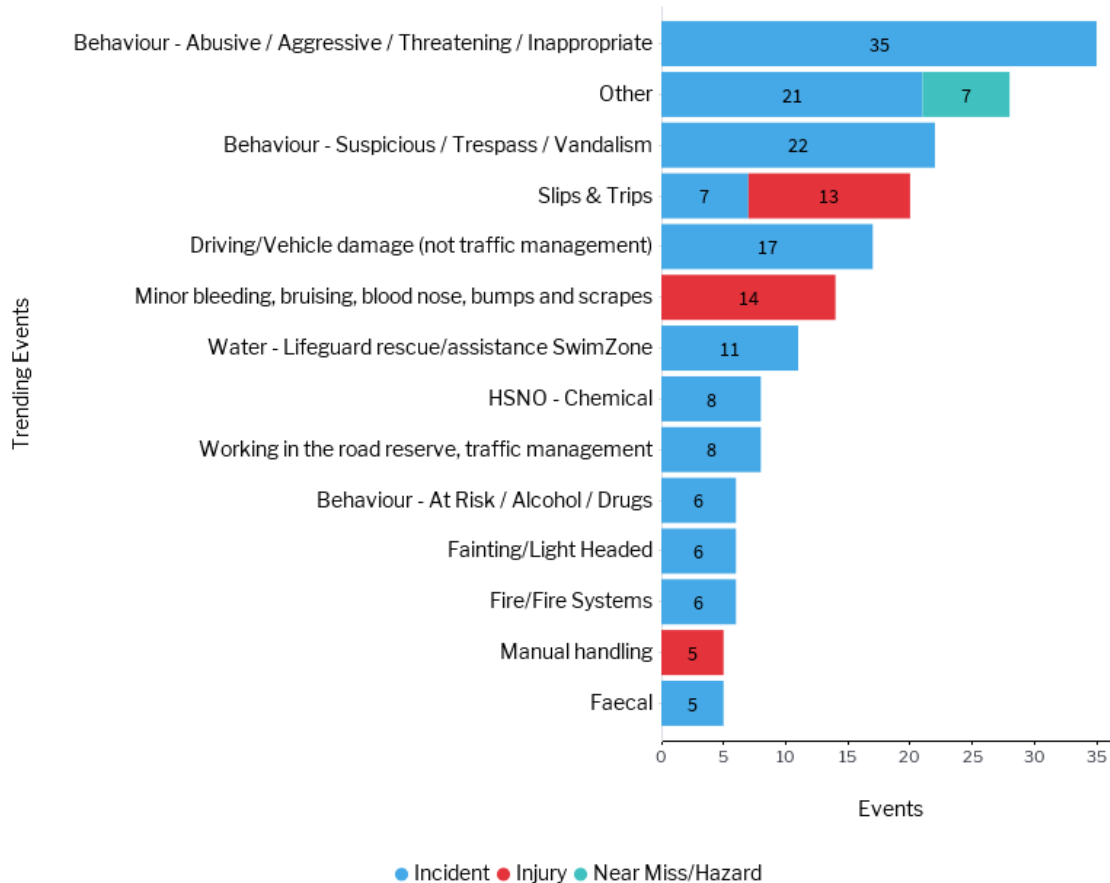
- Te Aroha Library, Matamata Office and Morrinsville Office completed emergency exercises relating to a security threat.
- A debrief was held to discuss learnings after an incident involving an iSite customer who became very agitated and staff had to call the Police for assistance. Follow up from this includes review of training provided to staff (including scenario-based training) and installation of cameras at the iSite.
- Morrinsville Office refurbishment is planned to commence in the next quarter, with layout improvements planned to improve safety for staff in the event of a security threat.
- The Governance Team and the Communications and Engagement Team used the risk assessment for public meetings to plan for the meeting to discuss retaining the Māori Ward. There were no incidents at the meeting and this was a good opportunity to use this new process.



- The new Lockerbie Water Treatment Plant has been commissioned and the S&W team have been working with the operators to assess the risks on site and compile the risk register.

The graph below shows events from the last twelve months that have occurred five or more times.

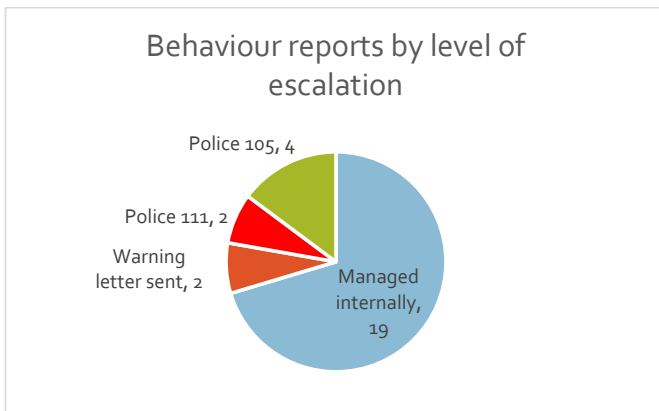
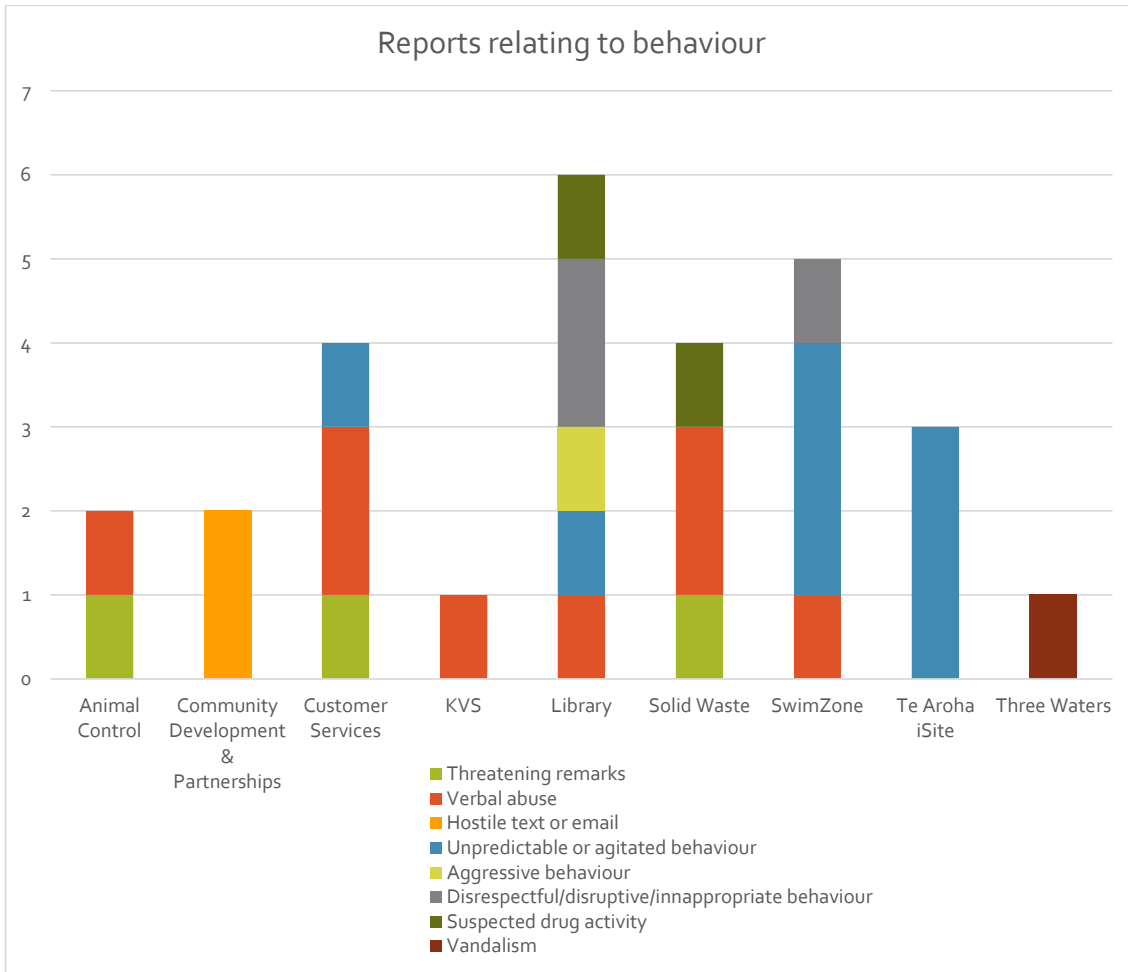
Events by trending category - Rolling 12 months



There was an increase in the number of SwimZone rescues, which may be due to improved reporting.

Events and observations relating to public behaviour continues to be the most common type of event reported. The graphs below provide a more detailed breakdown of these.





The majority of behaviour events were managed internally by the staff involved. Staff called 111 for two incidents: one involving a dispute between two members of the public in a vehicle, and one where a member of the public became increasingly agitated and threatening towards a staff member (four of the events reported relate to this person who was trespassed by the Police). An

online Police 105 report was completed for four incidents, and a warning letter sent to two customers. A Thriving Under Fire training programme is planned for October to provide additional learning and support for staff who deal with difficult and aggressive customers.

**Health Monitoring**

Data for health monitoring and respirator fit testing for this quarter is shown below.

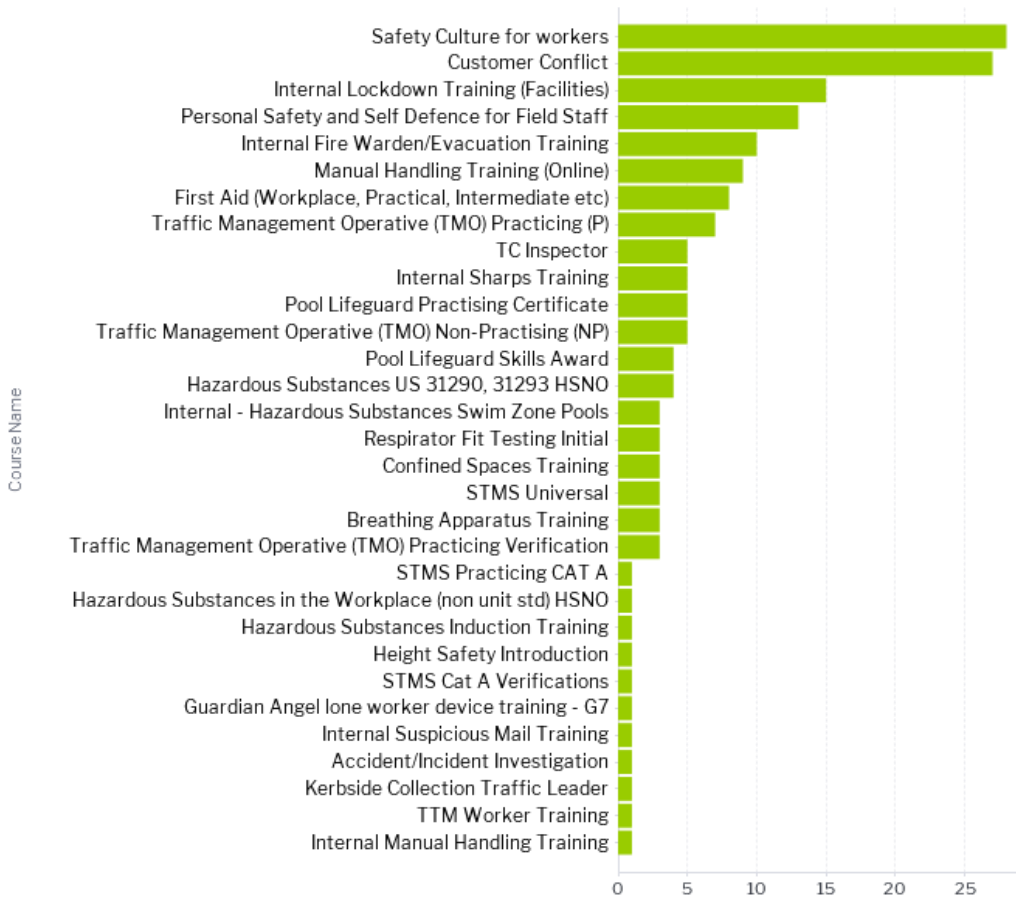
Annual health monitoring completed	29	Exit health monitoring completed	0*
Overdue health monitoring	3	Respirator Fit Testing completed	14
Pre-employment health monitoring	10	Respirator Fit Testing Overdue	6

\*Many exiting staff decline health monitoring.

**Learning and Development**

The graph below shows safety and wellness related training (both internal and external) completed this quarter.

Training Completed this Quarter



## Relationships

### Engagement and Participation

This quarter we reviewed the H&S Rep work groups to align these with the new organisational structure and provided the draft work groups to the H&S Committee for feedback. Once the groups are confirmed we will hold elections to fill vacant and new roles, and re-elections for groups where the representative has been in the role for more than three years.

Four of our H&S reps attended the Safe Skills H&S Rep conference in Hamilton and we look forward to hearing about their learnings at the next H&S Committee meeting.

Two learning teams were completed this quarter: one related to an incident involving customer behaviour, and the second to capture learnings from an issue with water treatment at the Morrinsville plant.

We also held a focus group to assist us with developing the Diversity, Equity and Inclusion (DEI) Strategy. This strategy is primarily assigned to the People and Wellness Team but it also has relevance for safety and wellness as it includes consideration of the physical work environment and issues such as workplace bullying. We were very fortunate to have a wide range of people in this focus group who were able to help us understand some of the issues we need to consider when developing this strategy. Some changes are already planned such as installing an additional handrail to support accessibility and safety on the rear stairs at the Te aroha office, and further work will be undertaken on DEI in the next quarter.

### Contractors

The S&W team assisted with three contractor annual reviews and six pre-start meetings this quarter. We have a backlog of overdue contractor annual reviews as the S&W Team had limited capacity to assist contract managers with this for a period while the new Site Safety Coordinator was being trained. The Site Safety Coordinator is planning to work through some more of these and will also be completing an internal audit of pre-start meetings and annual reviews in the coming quarter.

Seven of the critical risk audits completed this quarter related to contractor work, there are further details in the assurance section below.

### Volunteers

Two events and two observations relating to volunteers were reported this quarter: this is a significant increase in reporting, likely due to the relationships that our Community Development and Partnerships Team is building with volunteer groups.

## Resources

There are changes ahead for the Safety and Wellness Team as the Site Safety Coordinator, George Konusi, finishes at the end of 2024. Kate Stevens will move permanently into the People, Safety and Wellness Manager role and we will look to appoint a Safety and Wellness Team Leader to fill the position which is currently vacant. We will review the role of the Site Safety Coordinator in due course.

## Due Diligence



Council attended one safety and wellness due diligence workshop, focussing on hazardous substance risks at SwimZone facilities and two additional workshops where we presented the quarterly and annual reports.


Our new Group Managers have been building their knowledge of the risks faced by their teams, completing five leader walk through visits this quarter: Animal Control, Tills Road Water Treatment Plant, Te Aroha Mineral Spas, Governance Team and Te Aroha Waste Water Treatment Plant.

## Assurance

### Critical risk audits

We completed ten critical risk audits this quarter and the findings are summarised below.

Risk	Number of audits	Work site	Findings
Confined space entry 	1	Contractor entry to a confined space at SwimZone Matamata to clean a foot valve.	This was the first audit conducted using the new template for Confined Space Entry audits in Damstra Check. The critical controls were in place and no issues identified.
Traffic Management 	6	Water main replacement work, footpath repair, streetlight maintenance, bus shelter installation, service line installation and gardening	All sites had a qualified STMS in charge of the site, a safety plan in place and toolbox talk completed, and workers were within the safety zone. Two issues noted related to PPE: a worker not wearing a hard hat when working near the digger (remedied on site), and non-compliant high visibility top (information provided to the STMS on what is required for compliance).

<p>Work at Height</p> 	3	Streetlight maintenance, heat pump maintenance on the roof, re-glazing of first floor window of Te Aroha office.	Good controls in place with an elevated work platform used for access for streetlight maintenance and re-glazing, and the fixed safety line for fall prevention on the Te Aroha office roof.
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### Internal audit

Mibin Matthew (Safety and Wellness Coordinator) completed an ACC Accredited Employee Programme (Safety Management Practices) internal audit in June. Findings were generally very positive about MPDC's health and safety system. Opportunities for improvement were identified as follows:

Finding	Recommendation	Planned action
There are no position descriptions for the people in charge of others that outline particular health and safety obligations pertinent to their roles.	Add health and safety-elements to the KPIs for function managers and team leaders and to have their performance reviews against their specific health and safety responsibilities as well. This will help increase staff health and safety culture and the teams' commitment to safety.	We have drafted new accountabilities and plan to incorporate these into the Mariner 7 performance management system by the third quarter.
There is not a specific process to acknowledge innovation or excellence in health and safety.	While the leadership team recognises and supports the dedication of its employees to health and safety, it does not have a specific process in place to recognise and reward excellence in health and safety. It is good to implement a safety awards programme for individuals or groups who go beyond in their respective spheres of influence to improve health and safety.	We have added this to our plan for this year. We have trialled different processes with limited success. We will need to engage with both H&S Reps and Managers to determine what process could be successful.
Procedures that explain how to determine if health monitoring is needed.	Create a process that outlines how to assess whether health monitoring is necessary, and include justification for their decision.	We will document the current process in Promapp.

## Safety and Wellness Objectives

Below is a summary of progress on our key projects relating to our objectives for this year.

1. Strengthen Safety & Wellness Leadership			
Action	Update	Status	Target Quarter
Visible leadership and building relationships: S&W team member works at key areas at least one day per month (Matamata, Morrinsville, KVS, Three Waters). Executive Team complete Leader Walk Through visits and engage with staff on site.	S&W Team regularly work at other sites. Exec Team completed 5 Leader Walk Through site visits.	Underway	1-4
Provide training for managers to access information in Damstra. Configure Damstra to align with the new organisational structure and set up appropriate escalations. Transition reporting in Damstra to new reporting software (Insights).	Damstra has been re-configured to align with new organisational structure and escalations set. Damstra training provided to six new managers and team leaders. S&W team are familiarising themselves with Insights. We removed the Observations category to allow for better reporting and escalation to E-team.	Underway	1-2
Review S&W induction programme for managers and team leaders.	Review of induction programme is planned for quarter 2-3.	Not started	2-3
Clarify S&W accountabilities for Managers and Team Leaders.	S&W accountabilities for managers and team leaders drafted. Further work to be done to integrate these into Mariner 7.	Underway	1-3
Trial a process for leaders to celebrate good S&W practice	To commence in Quarter 2.	Not started	2-3

<b>2. Engage and Empower our Health and Safety Representatives</b>			
Review work groups to align with new organisational structure and elect new reps where needed.	Work groups reviewed and draft provided to H&S Committee for review.	Underway	1-2
Review induction and training programme for H&S reps.	To commence in Quarter 2.	Not started	2-3
Plan a training programme for H&S Reps. Each rep completes at least one learning activity.	Four reps attended SafeSkills conference. Further work to commence in Quarter 2 to formalise a training programme for all reps.	Underway	2-3
Build relationships between reps and third tier managers: each third tier manager has a plan for engaging with their H&S Reps.	To commence in Quarter 3.	Not started	3
Cross site auditing or risk reviews: each rep is involved in a site audit or risk review outside of their usual area of work.	To commence in Quarter 3.	Not started	3-4
Health and Safety Policy is reviewed with input from H&S reps.	Review due in April 2025.	Not started	3-4
<b>3. Sustain our focus on critical risk</b>			
Critical risk audits: minimum 8 critical risk audits completed per quarter by the S&W Team.	Quarter 1: nine audits completed.	Underway	1-4
Critical risk reviews completed for confined space entry, excavation and energy risks.	Critical risk review for confined space entry is underway.	Underway	1-4
Provide ongoing support for MPDC staff who manage contracts where critical risk-related work is undertaken. Audit completed of compliance with pre-start and annual contractor meetings.	Audit is underway. S&W team assisted with 3 Annual reviews and 2 pre-start meetings in quarter 1.	Underway	1-4
High risk teams are completing at least one practical refresher (e.g. training scenario) relating to a critical risk per quarter with their teams.	To commence in Quarter 3.	Not started	3-4



# Safety & Wellness Update August 2024

Item 4.1

## Hazardous substances used at SwimZone Facilities

SwimZone Facilities use a variety of hazardous substances, including:



Cleaning chemicals



Diatomaceous earth



Carbon dioxide



Sodium hypochlorite

## Sodium hypochlorite leaks

There have been several sodium hypochlorite leaks at SwimZone facilities this year, due to line damage or disconnection. WorkSafe contacted us for further information about the causes, learnings and actions taken as a result of these events.

Actions included:

- Tray and shield to protect staff working in the area
- Anti-siphoning valves
- Sensors to detect leaks, cameras
- Mandatory eye protection
- Increased supervision at SwimZone facilities.

SwimZone Te Aroha: tray and shield



SwimZone Matamata anti-siphoning valves



WorkSafe have advised they will not be taking any further action at this time. The SwimZone team are also considering reducing the risk by moving to a fully automated system or using salt to make 1% chlorine on site.

## Planning for public meetings



We continue to use the risk assessment tool developed last year to plan for the management of disruptive or aggressive behaviour at public meetings. It is great to see teams such as Planning, Communications, Policy, Partnerships and Governance and Assets collaborating to ensure we have mitigations in place in advance of the event, and that staff and elected members are briefed prior to the start of the event.

## Contractor pre-start meeting



Our contractors Odlum held a Friday afternoon meeting for their team prior to starting work on the Morrinsville water main upgrades. It was good to see how they focused on 'what's different' about this job, using an interactive format to involve everyone in the session. It included discussion about traffic management plans, site movements, emergency planning and expectations when dealing with the public.

Our project managers attended the meeting and they appreciated the opportunity to connect with the ground crews and ensure that everyone is clear on responsibilities and the requirements of the job.



# Noise induced hearing loss

At our Health and Safety Committee meeting this month we focused on noise induced hearing loss. We have a range of controls in place for noise including: hearing protection such as ear muffs or ear plugs, isolating staff from the noise (e.g. mowing with an enclosed cab or enclosing noisy equipment) and health monitoring (audiometry).

Below is a summary the information we discussed at the committee meeting.



The Committee participated in a Kahoot quiz about hearing loss

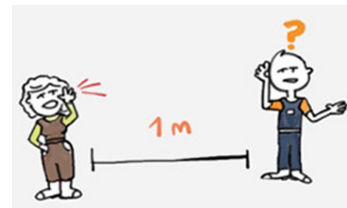
## Legal requirements

WorkSafe require us to, so far as is reasonably practicable, make sure that our workers (or people that visit our workplace) are not exposed to noise levels that are:

- Equivalent to 85 decibels averaged over 8 hours, or
- A peak noise level over 140 decibels

This always applies, whether or not they are wearing hearing protection.

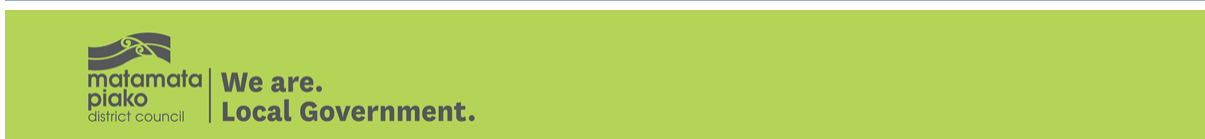
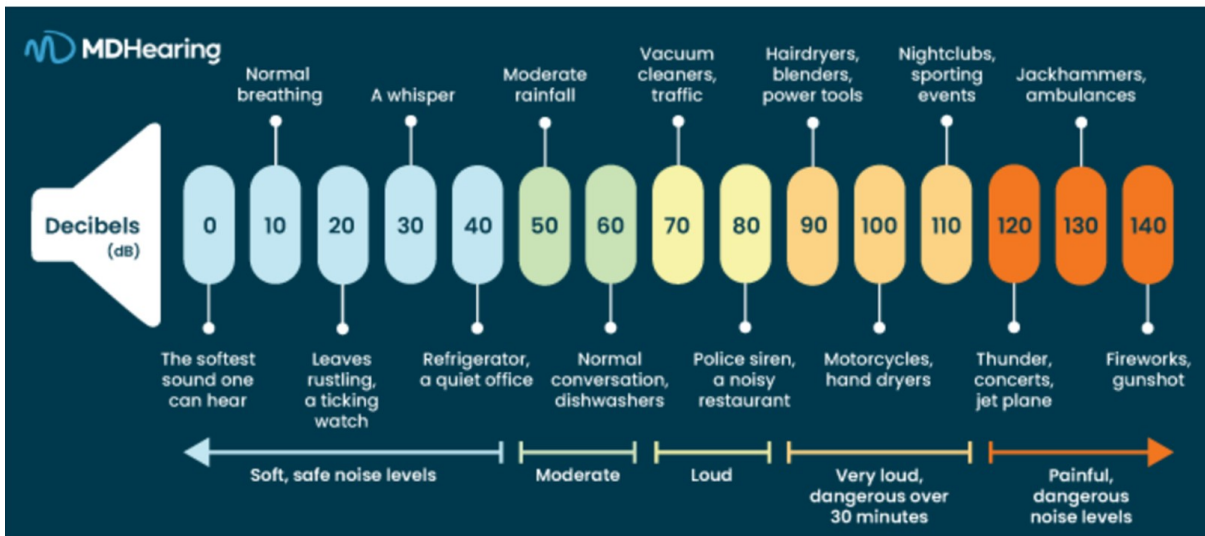
A general rule of thumb is if you are speaking to someone at arm's length and need to raise your voice for them to hear you, the noise level in the environment is probably above 85 dB and could cause damage to your hearing over time.



High noise exposure can damage the delicate hearing hair cells in the ear, causing noise-induced hearing loss (NIHL). A one-time exposure to very loud noise, such as a firework blast close to your ear, can cause NIHL. More often though, hearing loss develops over time from repeated exposure to loud noise. Ototoxic chemicals (chemicals that damage your hearing) found in substances such as paints, thinners, and glues can also cause hearing loss.

Since noise-induced hearing loss often occurs gradually, those affected may not realise until the damage is already done. Some symptoms of NIHL include difficulty understanding speech - often consonants such as 'f', 'h', 's', and 't' can be hard to distinguish.

The image below provides some examples of noise levels across the range.



# Safety & Wellness Update October 2024

## Airborne hazards

KVS Reticulation and Works Teams presented a due diligence workshop to Council, focusing on two types of hazardous dust: asbestos and silica.



### Asbestos

Asbestos is New Zealand's number one work-related killer, with the legacy of past exposure resulting in around 220 people dying each year from asbestos-related disease. If the fine asbestos fibres are inhaled, they can cause lung cancer, asbestosis, mesothelioma or other serious lung diseases. Symptoms for most asbestos-related diseases take between 10 to 40 years before they start to appear.

The KVS reticulation team work on Asbestos cement pipes and the KVS Building Maintenance Team work on our older buildings that have asbestos containing materials.

Controls to prevent exposure include:

- Sampling to identify asbestos-containing materials
- Training
- Using a licenced asbestos removalist for larger quantities or friable (crumbling) asbestos
- Safety work procedures
- Dust suppression e.g. keeping asbestos containing materials damp
- Personal protective equipment, including respirator and coveralls
- Correct disposal of asbestos containing materials: all waste is double-bagged, sealed and labelled, and then disposed of at an authorised disposal site.



It became illegal to import blue and brown asbestos into New Zealand in its raw form from 1984.

On 1 October 2016, it became illegal to import asbestos-containing products into New Zealand.

Buildings built, altered or refurbished from 1940 until the mid-1980s are likely to contain asbestos.



### Silica

Silicosis is a progressive and deadly disease that causes fibrosis of the lungs from the inhalation of respirable crystalline silica dust. This dust is created when materials containing silica are cut, ground, drilled, sanded, polished or otherwise disturbed. RCS particles are extremely small; they can't always be seen with the naked eye.

Dust suppression through wet cutting is one of the controls used when cutting concrete, and staff also use respiratory protection to protect against dust inhalation.

### Additional controls

We also provide annual health monitoring for staff that are at risk of exposure to asbestos or silica dust: this includes spirometry (lung function tests). Respirator fit testing is completed annually to ensure that staff are wearing the correct respirator to get a good fit.

# The importance of culture

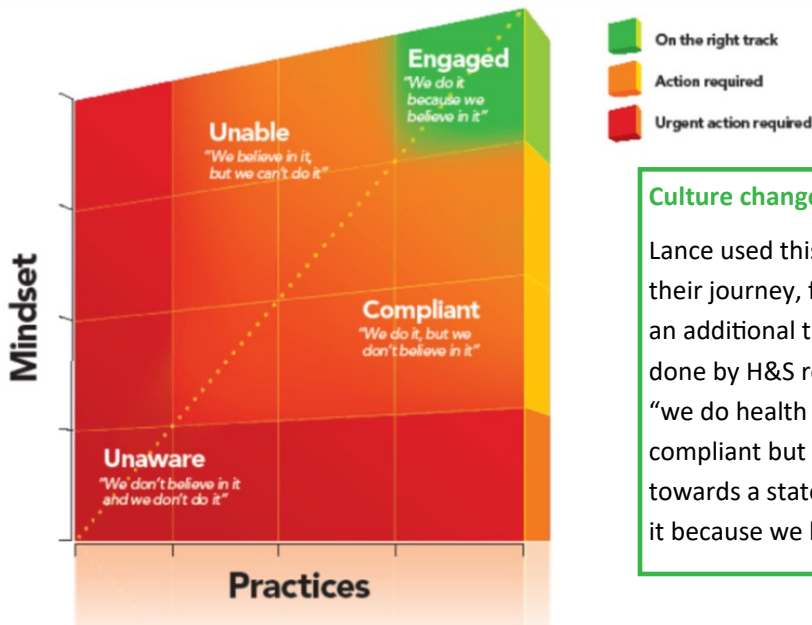
We held a workshop for Managers and Team Leaders this month, and were fortunate to have Lance Vervoort (Hamilton City Council Chief Executive) come and talk to us about the learnings from the Hamilton Zoo fatality in 2015, and the work they have been doing to drive cultural change.



It was sobering to hear about the impact of this tragedy, on so many individuals and also on the organisation.

Lance shared some key takeaways:

- Understand your critical risks - devote the majority of your effort to these
- Investing in extra safety measures may seem costly, the true cost of inaction is greater
- Safety is not a onetime investment – continuous training, learning, feedback and training exercises are important
- We are all in this together. Create a culture where everyone is safe to speak up and contribute.



**Culture change**

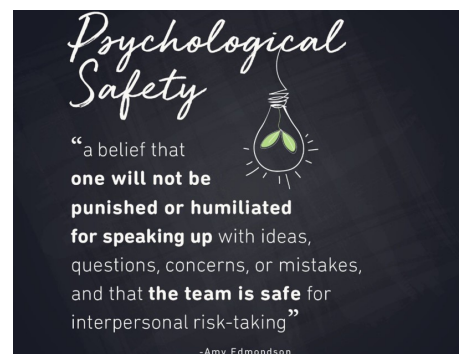
Lance used this diagram to illustrate their journey, from H&S being seen as an additional task, something that is done by H&S reps, with a cost focus—“we do health and safety to be compliant but we don’t believe in it”, towards a state of engagement—“we do it because we believe in it”.

## Psychological Safety

Kelly Reith ran a session about creating psychological safety, which tied in well with the points Lance had raised. She talked about creating a team culture of trust, respect and sincerity, where people feel safe to:

- Take risks
- Speak up.

Our Managers and Team Leaders worked in groups to explore how they could build psychological safety within their teams.



#### 4 Ngā Pūrongo Whakamārama | Information Reports

## 4.2 Project Progress Report Summary for October 2024

CM No.: 2963660

### Te Kaupapa | Purpose

This report aims to update the Committee on Project Progress, ensuring that project management teams are effectively monitoring costs, activities, timelines, and risks to meet Council objectives. Progress reports enhance transparency, keeping stakeholders and management informed about the project schedule and status, and allowing for necessary adjustments based on resource availability.

### Rāpopotonga Matua | Executive Summary

MPDC introduced the Project Management Framework in 2023 with a transition period up to 1 July 2024, from this date, all projects are expected to follow the new framework, process and templates. The Project Delivery Lead is a supportive function for the framework, collects and collates the data for reporting, supplies standardised project templates and tools, provides guidance acting as a consulting role and has a low level of control over the project.

The Project Progress Report provides a summary of project progress and risk trend up to the end of October 2024 and is collated from project manager's individual monthly progress reports. Rachel Norman, Project Delivery Lead, in attendance to discuss the report with the committee.

The report aims to provide information to support management decisions and identify:

- Projects that may require additional support to achieve objectives
- Clarity for project status and to balance realistic workloads and budget of what can be achieved with resourcing levels.
- Projects that have been identified but require additional analysis (pre-project – options, feasibility) before they can move to initiation stage.
- Providing an overview of risks and their trend to ensure there is alignment with our Risk Management Framework as well as the Project Lead is supporting individual Project Managers

The Assets and Projects team is currently exploring options for project management training for project managers and staff responsible for the governance of projects to raise awareness and enhance skills and knowledge.

The project progress report is expected to evolve over time as project management matures within the organisation.

### Tūtohunga | Recommendation

That:

1. The information be received.

## Ngā Tāpiritanga | Attachments

[A↓](#). October 24 Overall MPDC Project Progress Report

## Ngā waitohu | Signatories

Author(s)	Rachel Norman <b>Project Leader</b>	
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Approved by	Susanne Kampshof <b>Assets and Projects Manager</b>	
	Manaia Te Wiata <b>Group Manager Business Support</b>	





# MPDC Project Status Dashboard

Item 4.2

Attachment A

### Budget

Budget: \$95,342,143  
Actual: \$17,013,063  
Variance: \$66,225,070

18% Budget Spend | 82% Remaining Budget

TERMINATED before 1 July 2024: 34  
Terminated 24/25: 1  
Deferred: 2

### Status/ Progress

Not Started: 36% | Achievable: 42% | At Risk: 14% | Action Required: 7% | Complete: 1%

36% Not Started | 63% In Progress | 1% Complete

### Project Escalations

ACTION REQUIRED: 9 | AT RISK: 10

Time: 4 | 13  
Scope: 3 | 15  
Resources: 2 | 5

### Residual Risk Trend

INCREASE: 23 | DECREASE: 2 | NO CHANGE: 36

Projects: Top 10 Budget Value		Top 10 Status		Top 5 Escalations		Top Residual Risk Trend	
Approved Budget	At Risk	Action Required	Budget At Risk & Action Required	Timeframe At Risk & Action Required	Residual Risk Increase	Residual Risk Increase	Residual Risk Increase
Matamata Sports Stadium	BOF - Morrinsville - State Highway Crossing near Lorne Street 24/25	Digital Governance	Matamata South (Burwood Rd) Bore Upgrade 23/24	Wall at RSA Morrinsville 24/25	BOF - Waters Asset Data Improvement 24/25		
Matamata Wastewater Treatment Plant Upgrade	Building & Housing Renewals 24/25	Digital Services & Technology	RTS Management & Operations - External to MPDC In-House	Digital Strategy Enablement 24/25	Annual Plan 24/25		
Morrinsville Lockerbie Bore Pump and Water	Desludging - Te Aroha and Matamata 24/25	Digital Strategy Enablement 24/25	Wall at RSA Morrinsville 24/25	Te Aroha Water Treatment Plant Retaining Wall and Washout Issues	BOF - Community Led Initiatives Grant 24/25		
Pavement Renewals - Subsidised 24/25	Destination Playgrounds - Matamata Domain 24/25	Matamata South (Burwood Rd) Bore Upgrade 23/24	IWI Partnership Project	Morrinsville Lockerbie Bore Pump and Water Treatment Plant 23/24	Local Improvements - Streetlighting - Funded 24/25		
Re seals - Subsidised 24/25	District Pools & Spa Plant Renewals 24/25	Te Aroha Water Treatment Plant Retaining Wall and Washout Issues 23/24	Speed Management Plan Implementation - Funded 24/25	Destination Playgrounds - Matamata Domain 24/25	Building, Parks & Open Spaces Bulk Fund 24/25		
Te Poi Water Source and Treatment	IWI Partnership Project	Wall at RSA Morrinsville 24/25	Scope At Risk & Action Required	Resources At Risk & Action Required	Playground Renewals 24/25		
Waihou Wastewater Treatment Plant Upgrade	Matamata Sports Stadium	Wastewater Reconsenting 20/21	Digital Strategy Enablement 24/25	Wall at RSA Morrinsville 24/25	Morrinsville Lockerbie Bore Pump and Water Treatment Plant 23/24		
Wastewater Plant Renewal Programme 24/25	Matamata Wastewater Treatment Plant Upgrade 24/25		Morrinsville Lockerbie Bore Pump and Water Treatment Plant 23/24	Digital Strategy Enablement 24/25	Tracks & Track Structures Renewal 24/25		
Wastewater Reconsenting 20/21	Morrinsville Lockerbie Bore Pump and Water Treatment Plant 23/24		Wall at RSA Morrinsville 24/25	Destination Playgrounds - Matamata Domain 24/25	Te Aroha Wastewater Fine Screens 23/24		
Water Retic Renewals 24/25	Morrinsville Recreation Ground Masterplan 24/25		Water Plant Renewals 24/25	Water Plant Renewals 24/25	Triennial Elections 24/25		
			Tawari Water Treatment Plant - Replacement Caustic Soda System	Tawari Water Treatment Plant - Replacement Caustic Soda System	Speed Management Plan Implementation - Funded 24/25		

Overall Status	Progress	Project ID	Project Name	Approved Budget	Actuals	Priority	Stage	Budget	Time	Scope	Resources	October Comments Summary	Risk Trend	October Risk Summary
ACTION REQUIRED	0%	307	Digital Strategy Enablement 24/25	1,700,000	-	-	Pre-Project	▶▶▶▶▶	▶▶▶▶▶	▶▶▶▶▶	▶▶▶▶▶	Project Manager to be assigned to lead, manage and monitor project. No information in Project container	🔴	Risk register to be completed
ACTION REQUIRED	0%	314	Digital Services & Technology	-	-	-	Pre-Project	▶▶▶▶▶	▶▶▶▶▶	▶▶▶▶▶	▶▶▶▶▶	Project Manager to be assigned to lead, manage and monitor project	🔴	
ACTION REQUIRED	0%	383	Digital Governance	-	-	-	Pre-Project	▶▶▶▶▶	▶▶▶▶▶	▶▶▶▶▶	▶▶▶▶▶	Project Manager to be assigned to lead, manage and monitor project	🔴	
ACTION REQUIRED	0%	388	Wall at RSA Morrinsville 24/25	-	-	-	Pre-Project	▶▶▶▶▶	▶▶▶▶▶	▶▶▶▶▶	▶▶▶▶▶	Unanticipated unplanned works. Action Required. Project Manager to be assigned. Currently on hold while we review funding options etc.	🔴	Risk register to be completed
ACTION REQUIRED	85%	OLD	Wastewater Reconsenting 20/21	2,700,000	2,239,051	High	Delivery	▶▶▶▶▶	▶▶▶▶▶	▶▶▶▶▶	▶▶▶▶▶	Decision Required: The Teams recommendation is that E-Team support having a hearing date set by WRC which will give everyone a deadline to work toward. WRC has indicated a hearing date if requested if likely to be around March 2025. The notification period for the consent closed mid October, and 4 submissions were received, two in support (Iwi and Fonterra) and two of opposed from Auckland Waikato Fish & Game and Harlow Holdings. The Consenting Project Team are working through submission comments, and drafting responses to both submitters.	🔴	Risk trend increasing: High risk, working with submitters to resolve positions of opposition regarding the consent application as it stands
ACTION REQUIRED	60%	266	Matamata South (Burwood Rd) Bore Upgrade 23/24	50,000	9,590	High	Planning	▶▶▶▶▶	▶▶▶▶▶	▶▶▶▶▶	▶▶▶▶▶	Procurement of consultant for Options Report: IFS, complete Options Report: Complete Concept Design: Complete Final Design: Complete Consents/Permits if required: to be determined with NZTA if construction is to proceed Available budget does not cover construction phase, awaiting cost estimate for construction, then decision required by Assets for budget availability if project is to proceed	🟡	Overall risk trend staying the same. High risk, non-compliant Non-compliance with DWQAR
ACTION REQUIRED	75%	254	Te Aroha Water Treatment Plant Retaining Wall and Washout Issues 23/24	95,000	79,758	High	Delivery	▶▶▶▶▶	▶▶▶▶▶	▶▶▶▶▶	▶▶▶▶▶	Action Required: PM to submit change request, bank holding clarifiers is failing from Stormwater erosion Stage 1 - retain around de-sludging tanks, Complete Stage 2 - retain bank near filters Stage 3 - retain track and repair stormwater piping	🔴	Risk register to be completed
T RISK	10%	295	District Pools & Spa Plant Renewals 24/25	150,000	18,518	High	Delivery	▶▶▶▶▶	▶▶▶▶▶	▶▶▶▶▶	▶▶▶▶▶	Te Aroha Mineral Spas - no scheduled tacks for the month. Geothermal bore compliance meeting set up with worksafe for early November. Swim Zone Matamata - pool covers confirmed - waiting on confirmation of installation date from contractor Swim Zone Morrinsville - Handrail installed in learner pool. Circulation pump - will be tested by contractor upon start up of the season & that will determine whether replacement is needed in early November. Ramp guard task completed. Ladder task on hold pending available budget. Not a top priority.	🟡	Overall risk trend for program staying the same. High risk of budget overspend or planned schedule of renewals not delivered due to increase in unplanned works/unanticipated asset failure. Very high risk to Operational, Brand & Reputation (interruptions to service if Swimzone Matamata requires urgent remediation works)
T RISK	15%	294	Building & Housing Renewals 24/25	585,000	32,448	Low	Delivery	▶▶▶▶▶	▶▶▶▶▶	▶▶▶▶▶	▶▶▶▶▶	Te Aroha - Boyd Park toilets upgrade to flushing system and Staff housing refurbishment at 2A Grace Ave complete. Bathroom No. 2 ventilation system renewal physical works underway. Matamata - internal gutter replacement for Firth Tower Homestead quotes being sought Morrinsville - Swimzone shade covers being replaced with purpose built shelter - physical works underway	🟡	Overall Risk for program staying the same, program schedule has been completed for the year and prioritised in the schedule. Reactive works taking priority. High risk for Budget, Schedule
T RISK	15%	240	Matamata Sports Stadium	3,000,000	529,578	High	Planning	▶▶▶▶▶	▶▶▶▶▶	▶▶▶▶▶	▶▶▶▶▶	Project planning progressing as expected. Council agreed to cover shortfall if any. Project currently estimated \$11.5M, \$3M Council contribution. Funding targets from various sources still to be met, design has been reduced where possible. Development agreement with the MOE for signing, can execute enabling works and D&B contracts after we receive this agreement. Developed design ongoing. Concept Design: Complete Resource Consent Submission: Complete and resource consent approved Design & Build Released & Award: Complete, Building consent approved for enabling works Enabling works design and Request for Tender (RFT): Complete Enabling Works Start: No update Facility Completion: No update	🟡	Overall risk trend for project staying the same. Financial: Council have accepted the risk for uncertainty of external funding applications being approved and the amount granted vs applied for and will cover shortfall if any. High risks for Brand & Reputation if community expectations and funding partners are not managed appropriately, Operational, project delays leading to additional time and additional costs, operations may be disrupted for key stakeholders
T RISK	5%	384	IWI Partnership Project	5,000	-	(blank)	Delivery	▶▶▶▶▶	▶▶▶▶▶	▶▶▶▶▶	▶▶▶▶▶	Discussion required, is this a project or BAU? No budget allocated Create learning series workshops: Goals considered, targets confirmed Document operational best practices related to IWI/Maori engagement and relations: Goals considered, targets confirmed Create a working group with selected Councillors and IWI: Complete, The Partnership Project Working Group has been established. Policies Engagement Enhancement: This will transition to Business as Usual (BAU) being delivered through Te Manawhenua Forum (TMF) participation	🟡	Risk trend staying the same, high risk to stakeholder engagement (IWI)
T RISK	0%	297	Morrinsville Recreation Ground Masterplan 24/25	300,000	-	High	Initiation	▶▶▶▶▶	▶▶▶▶▶	▶▶▶▶▶	▶▶▶▶▶	Project Sponsor and Project Manager discussed a preliminary list of projects to be considered for implementation. The list of the projects will be discussed with Council at a workshop to come up with a shortlist of priorities. No progress to report	🟡	Overall risk trend staying the same. High risk for project delays, decisions anticipated from Council Workshop to identify activities for implementation.
T RISK	10%	247	Destination Playgrounds - Matamata Domain 24/25	1,500,000	-	High	Planning	▶▶▶▶▶	▶▶▶▶▶	▶▶▶▶▶	▶▶▶▶▶	Project currently estimated \$4.2M, \$1.5M Council contribution. Reviewing of detailed design continuing in consultation with Matamata Futures to finalise budget, scope and timeframe. Contracts for surfacing and landscaping cannot be advertised until funding targets are met or design is reduced to within current budget, Matamata Futures is continuing fundraising to meet funding target. Detailed design now due Oct 24	🟡	Overall risk trend for project staying the same. High risks for Brand & Reputation if community expectations are not managed appropriately, Operational, Financial due to uncertainty of scope and detailed design costs not finalised



Item	Risk Level	Project ID	Project Name	Budget	Actual Spend	Phase	Progress	Notes	Risk Register
1	T RISK	249	RTS Management & Operations - External to MPDC In-House	730,000	51,259	Delivery	<p>Administration: SWOP progressing</p> <p>Contractors: Negotiations anticipated to be carried out early 2025 by Solid Waste Manager</p> <p>Recruitment: Solid Waste Manager appointed. Complete. RTS Supervisor and staff early 2025</p> <p>IT Infrastructure: Initial discussions with IT RE: extending IT Network to RTS sites. IT to be confirmed</p> <p>Equipment/Plant: Vehicle, furniture and mobile phone ordered for Solid Waste Manager</p>	High project risks for Resources (project manager, internal IT resource availability to deploy software and hardware for business continuity, recruitment of new staff) Financial and Operational, if project does not meet timeframe additional costs will be incurred, operations may be interrupted. Safety/Wellness, working with plant, equipment and machinery	
	T RISK	244	Matamata Wastewater Treatment Plant Upgrade 24/25	27,104,010	-	Planning	<p>Budget has been adjusted for 24/25 &amp; 25/26</p> <p>3/23/2364 Stage 1 Enabling works 2024 Awarded and works have commenced</p> <p>Will spend approx. \$15m this year, this includes some desludge to get the pond ready.</p> <p>2025/26 budget adjusted to \$45m.</p>		
	T RISK		Desludging - Te Aroha and Matamata 24/25	1,000,000	-	Pre-Project	<p>Budget adjusted for 24/24, remainder staggered 25/26</p> <p>Matamata will be prioritised with some desludging works being completed as part of the ID:244 Matamata Wastewater Treatment Plant Upgrade project</p> <p>25/26 will spend \$1m on either MVL or TA.</p> <p>26/27 \$7m.</p>	Risk register to be completed	
	T RISK	345	Water Plant Renewals 24/25	1,232,000	-	Initiation	<p>Works schedule to be completed by Water Operations</p> <p>Awaiting estimates for construction, may require variation to budget</p> <p>Concept Design: Complete</p> <p>Final Design: underway</p> <p>Procurement: Contract documents underway</p> <p>Construction Phase: Completion and Commissioning: Handover: No update</p>	Risk register to be completed	
	T RISK	262	Tawari Water Treatment Plant - Replacement Caustic Soda System 23/24	300,000	86,099	Delivery	<p>Action Required: MPDC PM arranging permanent WAN connection with KVS/Wireless IT/Epic. There is a plan underway for the completion of critical MPDC IT tasks. IT gear needs to be made permanent to ensure reliability of infrastructure at the WTP. HMI etc. from Temp plant is being used to run the permanent plant under a temporary set up.</p> <p>Building Code of Compliance Certificate issued, Practical Completion awarded and backdated to the 12/09/2024.</p> <p>Completion of snag list activities, Gallagher access and gate automation to be complete. Noise monitoring of the bore headwork's still to be undertaken.</p>	Risk trend staying the same High risk for Financial until costs are known	
	T RISK	251	Morrinsville Lockerbie Bore Pump and Water Treatment Plant 23/24	8,775,984	8,643,225	Finalise	<p>A site assessment was carried out to determine the pedestrian desire line, assess the existing infrastructure conditions and observe the traffic conditions at the intersection.</p> <p>Refurbishment of the Morrinsville Office reception area and construction of new meeting rooms</p> <p>Procurement: Quantity surveyor provided a cost estimate for the work. Project Manager discussed revisions to the construction drawings with the Architect to be included in the tender documents.</p>	Risk Trend Increasing: Technology critical for operations of plant. Residual risk for Operational increasing due to three water sources running at the same time, managing flow rates to avoid pressure fluctuations in the network (to be addressed during handover)	
	T RISK	396	BOF - Morrinsville - State Highway Crossing near Lorne Street 24/25	150,000	-	Initiation	<p>Refurbishment of the Morrinsville Office reception area and construction of new meeting rooms</p> <p>Procurement: Quantity surveyor provided a cost estimate for the work. Project Manager discussed revisions to the construction drawings with the Architect to be included in the tender documents.</p>	Risk register to be completed - Project feasibility discussion with project sponsor	
	CHIEVABLE	407	Morrinsville Office Building Upgrade	350,000	-	Planning	<p>Program progressing as expected</p> <p>The following have been given high priority and to commence first, then medium and low to follow until all funds have been utilised</p> <p>Parks &amp; Reserves: District-wide Park &amp; Wayfinding Signage &amp; TA Domain BBQ Replacement</p> <p>Community Facilities: MV Events Centre Drinking Fountain</p> <p>Cemeteries: TA Cemetery Gates</p>	Risk register to be completed	
	CHIEVABLE	228	Organisational Review	-	-	Delivery	<p>No update</p>		
	CHIEVABLE	302	Building, Parks & Open Spaces Bulk Fund 24/25	141,000	37,618	Delivery	<p>Program progressing as expected</p> <p>Construction: complete</p> <p>Project handover and completion:</p> <p>No progress reported</p> <p>Playground design: Working with developer to agree playground design and budget</p> <p>Procurement: Equipment installation and safety surface: Handover and completion:</p>	Risk register to be completed	
	CHIEVABLE	XXX	Rapurapu Reserve 23/24	26,000	33,546	Finalise	<p>Project progressing as expected</p> <p>Construction: complete</p> <p>Project handover and completion:</p>	Project overall risk trend staying the same. High risk to Brand & Reputation (managing expectations)	
	CHIEVABLE	406	Maea Fields Playground 23/24	100,000	-	Initiation	<p>Project progressing as expected</p> <p>Quotes received and approved, proceeding to procurement for Exeloo unit, electrical, civil work, soakage</p>	Risk register to be completed	
	CHIEVABLE	303	Matamata Domain - New Toilets 24/25	210,000	-	Planning	<p>Program milestones progressing as expected.</p> <p>Package 1: Gunn Road and Snell Street tender, 3/23/2374 Contractor work on Gunn Rd 7 October 2024. All pavement construction now completed, sealing around 31 October weather permitting. Snell Street starting 29 October</p> <p>Package 2: Ngarua and Alexander Road, 3/23/2379 Tender awarded, start dates to be confirmed</p>	Overall risk trend for program staying the same. Very High risks for Safety/Wellness(working on the road/traffic) High Risks for Safety/wellbeing (working around power lines/gas/mobile plant, hazardous substances and bitumen)	
	CHIEVABLE	319	Pavement Renewals - Subsidised 24/25	3,307,927	51,940	Delivery	<p>Program progressing as expected</p> <p>Sealed Surfacing: Under way, will increase over the summer months</p> <p>Thin Asphalt Surfacing: Preliminary inspections and designs under way</p>	Risk trend staying the same. Very High risk for Safety/Wellness(working on the road/traffic) High Risks for Safety/wellbeing (working around power lines/gas/mobile plant, hazardous substances and bitumen)	
	CHIEVABLE	320	Reseals - Subsidised 24/25	3,009,408	98,265	Initiation	<p>Program progressing as expected</p> <p>Sign Renewals: various locations district wide</p> <p>Road Markings: various locations district wide, to be completed during summer months</p> <p>Street lighting: various locations district wide</p>	Overall risk trend for program decreasing. Decreased for Strategic, Health & Safety, Brand & Reputation, Legal & Regulatory Risks due to budget reinstatement, schedule to be prioritised for delivery	
	CHIEVABLE	321	District-wide Footpaths - Subsidised 24/25	189,000	3,458	Planning	<p>Program progressing as expected</p> <p>Sign Renewals: various locations district wide</p> <p>Road Markings: various locations district wide, to be completed during summer months</p> <p>Street lighting: various locations district wide</p>	Risk register to be completed	
	CHIEVABLE	322	Traffic Services - Streetlight poles, posts, signs - Subsidised 24/25	437,972	130,297	Delivery	<p>No update</p> <p>Resheeting unsealed roads as required, best completed during Autumn / Winter when its not so dry.</p>	Risk register to be completed	
	CHIEVABLE	323	Unsealed Roads- Subsidised 24/25	55,645	11,003	Delivery	<p>Program milestones progressing as expected.</p> <p>Gunn Rd, part of tender 3/23/2374 Contractor started on 7 October 2024</p> <p>RFQ to go out for Henry Watson Rd Culvert #43 and Hutchinson Rd Culvert # 14</p>	Risk register to be completed	
	CHIEVABLE	324	Drainage Renewals - Subsidised 24/25	315,212	6,058	Delivery	<p>Project Planning underway</p>	Risk register to be completed	
	CHIEVABLE	308	Long Term Plan 27-37	45,000	-	Initiation	<p>Program experiencing delays but not expected to effect adoption of 1 July 25.</p> <p>Annual Plan budgets: Delays sending budgets to managers due to GL restructure. Pressure to prepare draft budgets including review by Exec Team.</p> <p>Property revaluations substantially delayed. New deadline April/May 25. Awaiting confirmation that this is achievable and legal advice has been sought.</p> <p>Council workshops: planned for November</p> <p>Decision on consultation: no update</p> <p>Additional consultation if required: no update</p>	Risk trend increasing for Financial due to property revaluations being substantially delayed	
	CHIEVABLE	309	Annual Plan 24/25	10,000	-	Initiation	<p>Program experiencing delays but not expected to effect adoption of 1 July 25.</p> <p>Annual Plan budgets: Delays sending budgets to managers due to GL restructure. Pressure to prepare draft budgets including review by Exec Team.</p> <p>Property revaluations substantially delayed. New deadline April/May 25. Awaiting confirmation that this is achievable and legal advice has been sought.</p> <p>Council workshops: planned for November</p> <p>Decision on consultation: no update</p> <p>Additional consultation if required: no update</p>	Risk trend increasing for Financial due to property revaluations being substantially delayed	
	CHIEVABLE	310	Annual Report 24/25	7,000	-	Delivery	<p>Auditing work was paused around the 21st of Sept as Audit resources were needed elsewhere. Auditing is to resume on 21 October so the Report can be formally adopted at the Council meeting on 27 Nov. Some Audit items remain outstanding, but staff are aware of the tasks and are working to complete them on time.</p>	Risk trend staying the same, no high or above risks noted	
	CHIEVABLE	311	Bylaw Reviews 24/25	22,000	-	Planning	<p>Project progressing as expected.</p> <p>Public Amenities and Public Safety Bylaws under review.</p> <p>Planning complete: October has focused on pre engagement activities with key stakeholders.</p> <p>A public awareness campaign has been launched to invite public feedback on what issues Council should include in the Bylaws to support public health and safety. The campaign is centred around a what makes a 'rad or bad' neighbour.</p>	Risk trend staying the same. High risk for Brand & Reputation - enforcement raised as a key concern by the community	
	CHIEVABLE	313	Policy Reviews 24/25	-	-	Delivery	<p>Project progressing as expected</p> <p>Statutory review of the gambling and TAB policies</p> <p>Council workshops complete</p> <p>Pre engagement complete</p>	No risks reported	
	CHIEVABLE	327	Safety Improvements -Roads to Zero - Funded 24/25	291,000	-	Initiation	<p>Project reinstated and budget assigned, Project Initiation to commence</p>		
	CHIEVABLE	243	School Travel Plan Implementation 24/25	157,697	46,161	Initiation	<p>Site assessment to assess the existing infrastructure conditions within a 0.5km radius of the school. There are opportunities for both soft (behavioural change) and hard (infrastructure) upgrades around the school.</p> <p>Project progressing as expected</p>	Risk trend staying the same. No high risks noted	
	CHIEVABLE	334	Transfer Stations - Minor Upgrades 24/25	500,000	-	Planning	<p>Works planned for Waihou &amp; Morrinsville sites</p> <p>Waihou - stabilising the access roads and loading bay, construction of a kerb and channel, repair the pavement failure section, RFQ completed and</p>	Risk register to be completed	



Item	Category	Value	Description	Cost	Benefit	Risk	Phase	Progress	Notes	Risk Summary
1	CHIEVABLE	85%	381 Closed Landfills Pump Station Upgrade Waihou/Morrinsville Leachate 23/24	399,000	361,702	Delivery	<p>Morrinsville - New flow meter and cabinet installed inside the waste plant. Site walk over has found the embankment has subsided into the drain along the track to the pump station and will need clearing before work starts, a variation for contractor to price.</p> <p>Waihou - concrete base for new telemetry box has been set. Outflow meter is connected and manhole installed. Inflow meter needs extra piping laid and a variation for this done.</p>	<p>Overall risk trend staying the same</p> <p>Very high risk for operational is pumps fails before replacement can be completed</p>		
	CHIEVABLE	50%	339 Wastewater Reticulation Renewal Programme 24/25	2,369,000	1,452,410	High	Delivery	<p>Program milestones progressing as expected.</p> <p>Te Aroha - Investigations and civil works:</p> <p>Te Aroha - Relining: Sewer line from #5 Herbert St to #6b Shakespeare St on to #8 Burns St.</p>		
	CHIEVABLE	95%	277 Waihou Wastewater Treatment Plant Upgrade 23/24	3,000,000	2,121,343	High	Delivery	<p>Project progressing as expected</p> <p>De-commissioning of existing plant and removal of tree stumps and existing irrigation system</p>	<p>Overall risk trend for project decreasing.</p> <p>No residual risks rated High or above currently identified</p>	
	CHIEVABLE	25%	XXX Te Aroha Wastewater Fine Screens 23/24	1,050,000	172,065	High	Delivery	<p>Progressing as expected</p> <p>Contract awarded, Contract kick-off meeting held to establish communication lines, regular contract meetings etc. Insurances 70% received. Brickhouse commencing design.</p> <p>Tender Award: Complete</p> <p>Design:</p> <p>Construction:</p> <p>Commissioning:</p> <p>Handover:</p>	<p>Project overall risk increasing</p> <p>High risk, Financial and Very High Operational: membranes downstream sustain further damage until new screens installed and may require earlier replacement than anticipated</p>	
	CHIEVABLE	0%	279 Te Aroha Wastewater Treatment Plant Fencing 23/24	200,000	-	Medium	Initiation	<p>Project reinstated, was deferred, budget reallocated from ID:338 WW plant renewals to deliver this</p>		
	CHIEVABLE	99%	281 Terminus Wastewater Pump Station Flowmeter Installation 23/24	70,000	3,500	Medium	Delivery	<p>No further updates for Oct</p> <p>Pressure testing of pipe: Complete</p> <p>Trench shield: Complete</p> <p>Cut into pipe and set up: Complete with no overflow issues, flow meter installed</p> <p>Project completion/finalisation:</p>	<p>Project overall risk trend staying the same.</p> <p>No residual risks rated High or above currently identified</p>	
	CHIEVABLE	25%	346 Water Retic Renewals 24/25	2,726,617	575,865	High	Delivery	<p>Program progressing as expected.</p> <p>Studholme Street, Coronation Street to Fairway Drive - Complete</p> <p>Sheffield St-North and South and also Portsmouth Place underway.</p> <p>Service locate and identifying a drill shot corridor. Identifying all service connections and connections to existing water infrastructure at tie in points.</p>	<p>Risk Assessment to be completed for program</p>	
	CHIEVABLE	10%	252 Gross Pollution Monitoring (Conductivity and PH Probes) 23/24	300,000	-	Medium	Planning	<p>Budget allocated. Approval of the Project Brief and issue of work orders to complete the Morrinsville and Te Aroha raw water analysers.</p>	<p>Risk register to be completed</p> <p>High risk of non compliance, prioritisation completed and staging of the works with high priority plants to be completed first</p>	
	CHIEVABLE	80%	283 Tahuna Wastewater Treatment Plant Alkalinity Dosing 23/24	90,000	50,000	High	Delivery	<p>Project progressing as expected.</p> <p>Installation of temporary system: Complete</p> <p>Design &amp; construction of new HSN0 compliant tank and storage area: Complete</p> <p>Connection to existing dosing system: Complete</p> <p>Commissioning including updating SCADA:</p> <p>Completion &amp; handover:</p>	<p>Risk register to be completed</p>	
	CHIEVABLE	70%	250 Morrinsville Water Treatment Plant Alum Tank Renewal 23/24	211,000	66,251	High	Delivery	<p>Project progressing as expected</p> <p>Tank Worksafe Certification obtained by the tank manufacturer. Tank is ready and waiting in Auckland for MPDC/Contractor to be ready for this to be delivered to site. Main Contractor is on holiday until Labour day, Electrical Contractor is currently on site finalising what they can in the mean time.</p> <p>Planning: Complete</p> <p>Procurement/Award: Complete</p> <p>Construction:</p> <p>Commissioning:</p> <p>Project Completion &amp; Handover:</p>	<p>Project overall risk trend staying the same.</p> <p>Operational risk if tank lead time exceeds life of tank.</p>	
	CHIEVABLE	45%	263 Rollenston Street Intake (Permanent) 23/24	300,000	63,754	High	(blank)	<p>Project does not include construction: To be discussed with S&amp;P team and a proposal taken to E-Team for sign off once detailed engineers est can be completed for final design. Timeframe for resolution is end of 24</p> <p>Concept Design: Complete</p> <p>Geotech/Hydrographic Survey: Complete, Geotech evaluation. Secure further \$25k for hydrographic survey required to establish river bed profile to finalise design/s.</p> <p>Final Design</p> <p>Contract Documents:</p>	<p>Risk register to be completed</p>	
	CHIEVABLE	10%	390 EPH	500,000	21,552	High	Delivery	<p>Program progressing as expected. The program is self funded program.</p> <p>Te Aroha: 2/9 Boundary Street, 7/87 Centennial Ave- refurbishments underway.</p> <p>Morrinsville: 2/4 McPherson Drive - refurbishment underway</p> <p>Matamata: 1/55 Rata Street - Refurbishment underway</p>	<p>Risk register to be completed</p>	
	CHIEVABLE	30%	316 BOF - Community Led Initiatives Grant 24/25	30,000	6,749	High	Initiation	<p>Program progressing as expected</p> <p>Eat the Street: Complete. Morrinsville now has large aesthetic planters in their main street with edible plants for all to enjoy and free learning opportunities connected to the initiative are planned to increase the value of this initiative for the community.</p> <p>Heritage Bridge Club: Complete. A historic building in Te Aroha has received a cosmetic upgrade to support a strong community interest in promoting and highlighting the towns history.</p>	<p>Risk register to be completed</p>	
	CHIEVABLE	10%	402 BOF - Waters Asset Data Improvement 24/25	200,000	-	High	Initiation	<p>Pre project - working through the scope with stakeholders to determine scope and outcomes of the project. A workshop was conducted with the project stakeholders to discuss the existing issues around data collection and identify the stakeholder's priorities.</p>	<p>Risk register to be completed</p>	
	CHIEVABLE	30%	242 BOF - Matamata - Matamata Accessibility Improvements 24/25	250,000	-	High	Planning	<p>Projects progressing as expected, combined with ID242, BOF - Morrinsville - Morrinsville Accessibility Improvements 24/25</p> <p>Meeting with Morrinsville Chamber of Commerce to discuss crossings along Thames Street. Mini public consultation started to get public feedback on removing 2 courtesy crossings along Thames Street, Kiwani's One Day Fun Day attended, Matamata Pop-in session attended. Informal meeting with Morrinsville Councillors to discuss crossings along Thames Street</p>	<p>Overall risk trend for project staying the same.</p> <p>High risks for Financial due to uncertainty of scope and material costs not finalised until tender process completed</p>	
	CHIEVABLE	25%	242 BOF - Morrinsville - Morrinsville Accessibility Improvements 24/25	600,000	-	High	Planning	<p>As per BOF - Matamata - Matamata Accessibility Improvements 24/25</p> <p>Progressing as expected</p>	<p>Overall risk trend for project staying the same.</p> <p>High risks for Financial due to uncertainty of scope and material costs not finalised until tender process completed</p>	
	CHIEVABLE	10%	305 Triennial Elections 24/25	74,000	10,000	High	Planning	<p>Program progressing as expected</p> <p>Elections contract for Electoral Officer Services has been completed.</p> <p>Elections planning has been completed.</p> <p>Māori Ward, Council resolved to retain the Māori Ward, Te Toa Horopū ā Matamata-Piako. A binding poll will be undertaken alongside the 2025 triennial elections. to determine if the district will be divided into 1 or more Māori Wards with the result will come into effect from 2028.</p> <p>Engagement plan is being developed. Engagement with the Local Electoral Commission identified that there are five groups that least engage with elections i) Māori ii) Disability iii) Rangatahi iv) Pasifika and v) Ethnic.</p>	<p>Risk register to be completed</p>	
	CHIEVABLE	10%	318 Pride of Place 24/25	251,000	-	High	Delivery	<p>Program progressing as expected</p> <p>Matamata - Hetana/Arawa Laneway Activation - Resource Consent downgraded to a marginal non-compliance consent.</p> <p>Matamata - Social Seating - Seats and table have been manufactured and install preparation has begun.</p> <p>Matamata - Hetena Street Reserve pathways between Bluebells community planting has been completed</p>	<p>Risk trend staying the same, no high or above risks noted</p>	
	CHIEVABLE	30%	379 Climate change river map implementation 24/25	50,000	-	High	Delivery	<p>First presentation to Council, TMF, RAC booked in for 30th October 2025 (WRC)</p> <p>Emissions inventory signed off by eteam (pending response to question from audit)</p> <p>Attendance at ACAN climate change conference</p> <p>Face to face hui Waikato Staff Climate Change Working Group</p> <p>Workshop with TMF</p>	<p>Risk trend staying the same. High risks for Financial and Brand &amp; Reputation</p>	
	CHIEVABLE	30%	315 BOF - Place Plan Program Resource 24/25	97,000	-	High	Delivery	<p>To date a resource has been brought on board to assist with delivery of Place Plans</p>	<p>Risk trend staying the same. No high risks noted</p>	
	COMPLETED	100%	349 Morrinsville - North Water Retic Upgrade 24/25	1,200,000	-	High	Finalise	<p>Refer ID:346 Studholme Street, Coronation Street to Fairway Drive - Complete</p>		
	OT STARTED	0%	382 Te Aroha Office Building Upgrade	-	-	High	Pre-Project	<p>No update</p>		
	OT STARTED	0%	356 Ashes Walls - provide additional 24/25	60,000	-	Low	Initiation	<p>No update</p>		
	OT STARTED	0%	405 Te Aroha SwimZone Outdoor Spa 24/25	200,000	-	High	Pre-Project	<p>No update</p>		
	OT STARTED	5%	296 Street Furniture Replacement 24/25	48,000	-	Medium	Initiation	<p>No progress to report</p> <p>A schedule of works is currently being prepared with info from KVS that will inform the renewals program for this financial year.</p>	<p>Risk register to be completed</p>	
	OT STARTED	5%	298 Tracks & Track Structures Renewal 24/25	20,000	-	Medium	Initiation	<p>No progress to report</p> <p>A schedule of works is currently being prepared with info from KVS that will inform the renewals program for this financial year.</p>	<p>Risk register to be completed</p>	
	OT STARTED	5%	299 Playground Renewals 24/25	54,000	-	Medium	Initiation	<p>No progress to report</p> <p>A schedule of works is currently being prepared with info from the 2024 playground safety audit that will inform the renewals program for this financial</p>	<p>Risk register to be completed</p>	



Komiti o te Mōrearea me te Tūmaru | Risk & Assurance Committee



OT STARTED	0%	304	Davies Park - Lockerbie Estate - New 101lets 24/25	150,000	- High	Initiation	No update	
OT STARTED	0%	331	Matamata - Station to Peria Road Link 24/25	120,000	- High	Pre-Project	Led by developer pending timing of subdivisions progressing	
OT STARTED	0%	332	Matamata - Tower Road Pedestrian 24/25	50,000	- High	Pre-Project	No update, scoping to be completed	
OT STARTED	0%	333	Matamata - Hinuera to Station Road Link 24/25	110,000	- High	Pre-Project	Led by developer pending timing of subdivisions progressing	
OT STARTED	0%	325	Structure Renewals- Subsidised 24/25	90,671	- High	Initiation	No update, no work completed to date	Risk Register to be completed as part of Initiation of activities
OT STARTED	0%	335	Morrinsville - Stormwater Upgrades 24/25	300,000	- High	Pre-Project	Budget adjusted and phased over 2 years, time required to come up with options before project can be initiated	Risk register to be completed
OT STARTED	0%	336	Te Aroha Stormwater Modelling/Planning 24/25	200,000	- High	Pre-Project	Modelling commenced, then options report to follow and field validation required before project can be initiated	Risk register to be completed
OT STARTED	0%	367	Matamata Stormwater Modelling/Planning 24/25	250,000	- High	Pre-Project	Modelling commenced and then options report to follow before program can be initiated	Risk register to be completed
OT STARTED	0%	337	District-Wide Infiltration and Inflow Reduction 24/25	200,000	- High	Initiation	Scope to be developed by Assets before project can be initiated	Risk register to be completed
OT STARTED	0%	340	Te Aroha Wastewater Pipe Increases Associated with New Subdivisions 24/25	12,000	- Low	Initiation	Completed as required	
OT STARTED	0%	338	Wastewater Plant Renewal Programme 24/25	2,381,000	- High	Planning	Program budget revised, potentially only another \$600k for plant equipment, \$500k for pump station upgrade. Project Brief Assets to Project Delivery Manager for Waharoa as critical repair required. - reallocated \$200k to ID:279 Te Aroha Wastewater Treatment Plant renewal of fence	Risk register to be completed
OT STARTED	0%	408	Morrinsville Allen St Wastewater Pump Station Upgrade 24/25	300,000	- (blank)	Pre-Project	Project previously terminated as prioritised by Council during 24/34 LTP, works required and project reinstated. Need to allow for some work at Allan Street. \$300k design for the pump station/storage or new rising main. Assets to confirm future budget and project priorities to accommodate future works for Allan Street	Risk register to be completed
OT STARTED	0%	341	Consumer Water Meter Installation 24/25	600,000	- High	Pre-Project	Pre project - Assets to scope works by December 24, 3 Waters to deliver	Risk register to be completed
OT STARTED	0%	343	Water Loss Strategy Implementation 24/25	200,000	- Medium	Initiation	To tie in with ID:346 Water Reticulation Renewals	
OT STARTED	0%	292	Te Aroha Trunkmain Condition Report inc. Longsection Survey 23/24	-	- High	Initiation	No update	
OT STARTED	0%	342	HSNO Upgrades 24/25	200,000	- High	Initiation	No update	
OT STARTED	0%	347	Hinuera Water Treatment Plant 24/25	100,000	- High	Pre-Project	Complex project and scope of works to be determined and completed, also land, power upgrades.	Project register to be completed
OT STARTED	0%	348	Matamata Tills Road Sludge 24/25	50,000	- High	Pre-Project	No update	
OT STARTED	0%	350	Raungaiti Reservoir and Pumps Resource Consent Renewal 24/25	20,000	- High	Initiation	No update	
OT STARTED	0%	351	Tahuna Water Treatment Plant Resource Consent 24/25	100,000	- High	Pre-Project	To be allocated to W/O 06418 Scotts Road PLC Replacement (carry over 23/24)	
OT STARTED	0%	352	Tahuna Water Treatment Plant New Bore Investigations and Drilling 24/25	250,000	- High	Initiation	(blank)	
OT STARTED	0%	354	Te Aroha Water Treatment Plant Intake Consent, Upgrade, Resource Consent Renewals 24/25	600,000	- High	Pre-Project	Budget adjusted. Awaiting consent conditions. Anticipated spend \$200k on new bore exploration, \$400k on consent renewal.	Risk register to be completed
OT STARTED	0%	355	Te Poi Water Treatment Plant Resource Consent Renewal 24/25	200,000	- High	Pre-Project	Scope of works to be completed. S&P to complete consent renewal proposal with working group.	Risk register to be completed
OT STARTED	0%	401	BOF - Water Services Delivery Plan 24/25	100,000	- High	Pre-Project	No update	
OT STARTED	0%	403	BOF - Waitoa Water consultation planning 24/25	200,000	- High	Initiation	No update	
OT STARTED	0%	226	BOF - Matamata - Enhance Matamata Connectivity 24/25	450,000	- Medium	Initiation	No update	
OT STARTED	0%	306	Pre-Election Report 24/25	-	- (blank)	Initiation	To commence February 2025	
EFERRED	0%	326	Local Improvements - Streetlighting - Funded 24/25	-	- (blank)	Terminated	Project now deferred, decision pending, potentially require termination due to loss of funding. NZTA has removed subsidy for this activity. Assets to present potential options to Council in October	
EFERRED	0%	328	Speed Management Plan Implementation - Funded 24/25	-	- (blank)	Terminated	Project now deferred, decision pending, potentially require termination due to loss of funding. NZTA has removed subsidy for this activity. Assets to present potential options to Council in October	

#### 4 Ngā Pūrongo Whakamārama | Information Reports

### 4.3 Project: Top 5 Risks for Matamata Wastewater Treatment Plant, Matamata Stadium and Matamata Domain Playground.

CM No.: 2965229

#### Te Kaupapa | Purpose

The purpose of this report is to provide the Committee with an overview of the top 5 risks to date for 3 projects that have been identified as high risk, high complexity.

#### Rāpopotonga Matua | Executive Summary

The following projects have been identified as high risk, high complexity and the Top 5 risks to date are presented within individual presentations.

- ID: 244 Matamata Wastewater Treatment Plant Upgrade. Marie McIntyre, Project Manager, in attendance to discuss the presentation with the committee.
- ID: 240 Matamata Sports Stadium and ID: 247 Matamata Domain Playground. Chris Lee, Project Manager, in attendance to discuss the presentations with the committee.

Project risk registers have been complete and are regularly reviewed as per the Risk Management Framework and risk register templates, as the projects evolve and progress, risks are reviewed and ratings modified accordingly, the top 5 risks will vary depending what stage the project is at.

#### Tūtohunga | Recommendation

That:

1. **The information be received**

#### Ngā Tāpiritanga | Attachments

[A](#). ID: 244 Matamata Wastewater Treatment Plant Upgrade Top 5 Risk Presentation November 2024

[B](#). ID:240 Matamata Stadium Top 5 Risks Presentation November 24

[C](#). ID:247 Destination Playgrounds - Matamata Domain Top 5 Risks Presentation November 2024

#### Ngā waitohu | Signatories

Author(s)	Rachel Norman <b>Project Leader</b>	
Approved by	Susanne Kampshof <b>Assets and Projects Manager</b>	
	Manaia Te Wiata	

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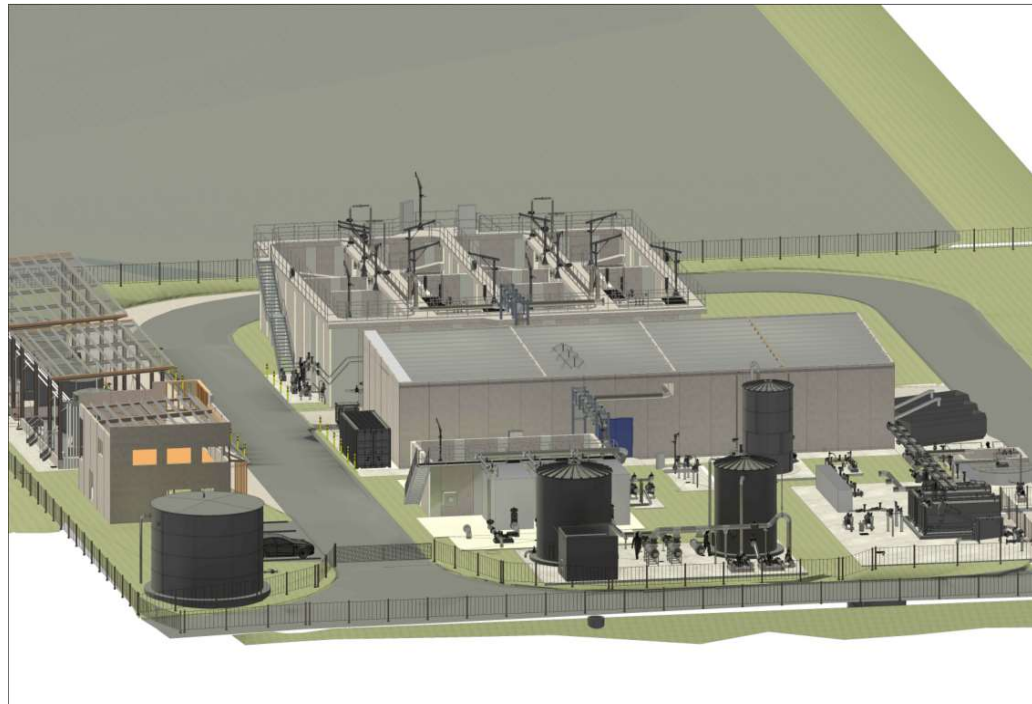
	<b>Group Manager Business Support</b>	
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# <sup>1:</sup> Project ID:244 Matamata Wastewater Treatment Plant

High level timeline:

- Enabling works underway and completed by April 2025
- Main Civil Works Tender closes end of 2024
- Main Civil Works Tender award Q1 2025
- Main Civil Works commence Q2 2025
- Plant upgrade completed 2026/2027





1. Project ID:244 Matamata Wastewater Treatment Plant High and Above

Residual Risks, Reviewed Oct 24

The below risks are derived from the project’s risk register and have a **Residual** Risk Rating of High or Above, these were then taken into consideration to determine the Top 5 Risks at this stage of the project. As the project progresses and risks are reviewed the Top 5 risks will change throughout the life of the project.

Top Risks	Category	Risk Description	Likelihood	Consequence	Risk Rating	Likelihood	Consequence	Risk Rating
			Inherent Rating (before controls)			Residual Rating (after controls)		
2.	Legal & Regulatory	<b>Compliance.</b> Maintaining compliance of the plant under the current consent during all construction phases, until new treatment plant is proven and online	Almost Certain	Moderate	High	Almost Certain	Moderate	High
1.	Financial /Economic	<b>Uncertainty.</b> The new Wastewater Treatment Plant Standard being brought in by Taumata Arowai in 2025 either increase or decrease the upgrade requirements of the plant to meet the new imposed standards	Possible	Very High	Very High	Possible	Very High	Very High
3.		<b>Construction Market.</b> Constrained Constructions market - impact of construction period and costs	Possible	Extreme	Very High	Unlikely	Very High	High
		<b>Consent Requirements.</b> Comprehensive consent requirements are raised during consenting process, requiring plant design or processes to be amended	Possible	Very High	Very High	Unlikely	Very High	High
4.		<b>Contract Costs.</b> Insufficient budget to award the contract, or complete the contract	Possible	Very High	Very High	Unlikely	Very High	High
5.		<b>Compliance.</b> New treatment plant not meeting the new comprehensive discharge consent requirements	Possible	Very High	Very High	Unlikely	Very High	High
		<b>Site.</b> Unsuitable or insufficient ground conditions/works for new treatment plant to be built upon	Possible	Very High	Very High	Unlikely	Very High	High
		<b>Site.</b> Suitability for upgrade -- geotechnical stability and flood risk area	Possible	Very High	Very High	Unlikely	Very High	High



Item 4.3

Attachment A

1. Top Risks	Category	Risk Description	Likelihood	Consequence	Risk Rating	Likelihood	Consequence	Risk Rating
			Inherent Rating (before controls)			Residual Rating (after controls)		
	Environmental	<b>Contamination.</b> Existing pond leakage/infiltration into groundwater due to lagoon clay liner damage during the enabling works.	Possible	Very High	Very High	Unlikely	Very High	High
		<b>Contamination.</b> Bioreactor foaming on start-up causing foam to be blown around the site and/or spill over the side of the bioreactor.	Likely	Moderate	High	Likely	Moderate	High
	Operational	<b>Access.</b> Maintain safe access to the existing WWTP during construction and commissioning of the new WWTP.	Possible	Extreme	Very High	Unlikely	Extreme	Very High
		<b>Power Supply.</b> Insufficient power supply to the site for the upgraded plant to run at capacity	Likely	Very High	Extreme	Possible	High	High
		<b>Weather Events.</b> Flooding of the existing lift pump station and electrical control panel during a flood even, due to overland flow across the adjacent road.	Rare	Extreme	High	Rare	Extreme	High
		<b>Flooding.</b> Improper timing of the capacitive upgrade to the Stormflow Storage Pond (staged) causes localised flooding of the Stormflow Storage Pond and upstream infrastructure (e.g., the Lift PS).	Possible	Extreme	Very High	Rare	Extreme	High
		<b>Portaloo waste.</b> Biocides contained within portaloo waste (to manage portaloo odours) discharged to the WWTP can have a significant detrimental effect on the biomass health within the reactor.	Possible	Very High	High	Unlikely	Very High	High
		<b>Site: Confined Space Entry</b>	Unlikely	Extreme	Very High	Rare	Extreme	High
	Safety & Wellness	<b>Site: Energy Electricity/Gas/other services strike</b>	Unlikely	Extreme	Very High	Rare	Extreme	High
		<b>Hazardous Substances.</b> From wastewater/human sewerage	Possible	Extreme	Very High	Unlikely	Very High	High
		<b>Hazardous Substances</b> (chemicals, infectious substances, asbestos)	Possible	Extreme	Very High	Rare	Extreme	High
		<b>Excavation.</b> Ineffective site controls for Excavation activities on site causing injury/death	Unlikely	Extreme	Very High	Rare	Extreme	High
		<b>Plant/Equipment/Machinery.</b> Working with hazardous plant, equipment or machinery	Possible	Extreme	Very High	Rare	Extreme	High



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# Project ID:244 Matamata Wastewater Treatment Plant Top 5 Risk Report

Reviewed Oct 24

Top 5 Risks at this stage of the project. As the project progresses and risks are reviewed the Top 5 risks will change throughout the life of the project.

Top Risk	Risk Title	Likelihood	Consequence	Risk Rating
1	<b>Financial/Economic: Uncertainty.</b> The new Wastewater Treatment Plant Standard being brought in by Taumata Arowai in 2025 either increase or decrease the upgrade requirements of the plant to meet the new imposed standards	Possible	Very High	Very High
2	<b>Legal &amp; Regulatory: Compliance.</b> Maintaining compliance of the plant under the current consent during all construction phases, until new treatment plant is proven and online	Almost Certain	Moderate	High
3	<b>Financial/Economic: Construction Market.</b> Constrained Constructions market - impact of construction period and costs	Unlikely	Very High	High
4	<b>Financial/Economic: Contract Costs.</b> Insufficient budget to award the contract, or complete the contract	Unlikely	Very High	High
5	<b>Financial/Economic: Consent Requirements Budget.</b> New treatment plant not meeting new comprehensive discharge consent requirements and requires additional budget	Unlikely	Very High	High



1:

Risk Rating improving, staying the same or increasing?



# Heat Map (High/Very High residual risk rating)

Likelihood/Consequence	Low	Moderate	High	Very High	Extreme
Almost Certain	High	2 High	V High	Extreme	Extreme
Likely	Moderate	High	V High	Extreme	Extreme
Possible	Low	Moderate	High	1 V High	V High
Unlikely	Low	Moderate	Moderate	3 High 4 5	V High
Rare	Low	Low	Low	Moderate	High

Code	Risk	Trend
1	<b>Financial/Economic: Uncertainty.</b> The new Wastewater Treatment Plant Standard being brought in by Taumata Arowai in 2025 either increase or decrease the upgrade requirements of the plant to meet the new imposed standards	↔
2	<b>Legal &amp; Regulatory: Compliance.</b> Maintaining compliance of the plant under the current consent during all construction phases, until new treatment plant is proven and online	↔
3	<b>Financial/Economic: Construction Market.</b> Constrained Constructions market - impact of construction period and costs	↔
4	<b>Financial/Economic: Contract Costs.</b> Insufficient budget to award the contract, or complete the contract	↔
5	<b>Financial/Economic: Consent Requirements Budget.</b> New treatment plant not meeting new comprehensive discharge consent requirements and requires additional budget	↔






<b>1: Top Risk Report</b>	<b>Date</b>	25/10/2024	
<b>Risk Category:</b> <b>Financial/Economic:</b>	Extreme	V High	High
<b>Owner(s):</b> Marie McIntyre & Fiona Vessey		 ↓ 	
<b>Risk description:</b> <b>Financial/Economic:</b> <b>Uncertainty.</b> The new Wastewater Treatment Plant Standard being brought in by Taumata Arowai in 2025 either increase or decrease the upgrade requirements of the plant to meet the new imposed standards			
<b>Risk Appetite</b> Flexible <b>Justified</b> Measured Conservative Averse			
<b>Key Controls:</b> <ul style="list-style-type: none"> <li>The new standards are unknown, and will start to be socialised with Councils from early 2025, with implementation expected by August 2025</li> </ul>			
<b>Key Risk Indicators:</b> Monthly project reports			

<b>Significant Consequences:</b> <ul style="list-style-type: none"> <li>Scope changes, potentially the plant maybe able to discharge with lower parameter requirements, or higher than is being designed for. This is not yet known.</li> <li>Schedule, possible delays if requirements change</li> <li>Financial, possible increase, decrease if requirements change</li> <li>The new plant specifications are either over or under new requirements which are unknown at this stage</li> </ul>	<b>Likelihood</b>  Possible
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<b>New/ Updated Controls:</b> <ul style="list-style-type: none"> <li>Until the standards are socialized this risk cannot be controlled</li> <li>Keeping up to date with any progress/changes of requirements where possible</li> </ul>	<b>Status</b>
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<b>Comments:</b> The new standards are expected to be socialised with Councils in early 2025, once these are known then understanding this risk will be known. It is unclear how quickly plants will be required to meet the new standards, and how this will be imposed.	<b>*Trend</b>  
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1. <b>Top Risk Report</b>	Date	25/10/2024	
<b>Risk Category: Legal &amp; Regulatory</b>	Extreme	V High	High
<b>Owner(s):</b> Marie McIntyre & Fiona Vessey			Inh
<b>Risk description:</b> <b>Compliance.</b> Maintaining compliance of the plant under the current consent during all construction phases, until new treatment plant is proven and online			Res
<b>Risk Appetite:</b> Flexible Justified Measured <b>Conservative</b> Averse			
<b>Key Controls:</b> <ul style="list-style-type: none"> <li>Additional aerators are being installed apart of the Enabling Works contract.</li> <li>Sludge is being removed from the ponds to create replacement capacity for the area being removed.</li> </ul>			
<b>Key Risk Indicators:</b> <ul style="list-style-type: none"> <li>Ongoing site compliance testing's</li> <li>Regular updates to WRC as part of compliance reporting.</li> </ul>			

<b>Significant Consequences:</b> <ul style="list-style-type: none"> <li>Non- Compliance, plant being non-compliant during the desludging and construction period.</li> <li>Financial, if non-compliance occurs and may trigger the Waikato Regional Council (WRC) to take enforcement action, this could lead to an Abatement Notice, Prosecution and/or a Fine for non-compliant discharge</li> </ul>	<b>Likelihood</b>  Possible
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<b>New/ Updated Controls:</b> <ul style="list-style-type: none"> <li>New aeration has been installed as part of the Enabling Works contract package, and the remainder of Pond 1 will have sludge removed to retain pond capacity with the reclaimed area being removed.</li> <li>MPDC will be keeping the Regional Council informed as steps towards supporting compliant discharge are made</li> <li>Operational Staff will be supporting the ongoing operation of the plant to meet the best performance possible.</li> </ul>	<b>Status</b>  On-Track
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<b>Comments/Update:</b>  The impact that desludging and working within the pond area will have on the discharge compliance is not known, and can only be monitored as it occurs. The Project Team will be keeping WRC informed as upgrades are completed to support the plants compliance levels.	<b>*Trend</b>  
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1: <b>Top Risk Report</b>	Date	25/10/2024	
<b>Risk Category:</b> <b>Financial/Economic:</b>	Extreme	V High	High
<b>Owner(s):</b> Marie McIntyre & Fiona Vessey		 	
<b>Risk description:</b> <b>Construction Market.</b> Constrained Constructions market - impact of construction period and costs			
<b>Risk Appetite</b> 			
<b>Key Controls:</b> <ul style="list-style-type: none"> <li>Provide sufficient tendering time (longer tender periods where possible). Allow for flexibility within construction period where possible.</li> <li>Open tender process for initial procurement stages to ensure multiple tenderers for short listing.</li> </ul>			
<b>Key Risk Indicators:</b> Monthly project reports			

<b>Significant Consequences:</b> <ul style="list-style-type: none"> <li>Higher tender prices which are outside of the approved LTP budget for the project and additional funds need to be secured to complete project and meet consenting requirements</li> <li>Schedule, possible delays if requirements change</li> </ul>	<b>Likelihood</b> Unlikely
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<b>New/ Updated Controls:</b>	<b>Status</b>
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<b>Comments:</b> MPDC have taken many controls during tendering process to ensure strong tender review and negotiations to ensure Councils needs are well understood and committed too	<b>*Trend</b> 
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1: <b>Top Risk Report</b>	Date	25/10/2024	
<b>Risk Category: Financial and Economic</b>	Extreme	V High	High
<b>Owner(s):</b> Marie McIntyre & Fiona Vessey		Inh	Res
<b>Risk description:</b> Contract Costs. Insufficient budget to award the contract, or complete the contract			
<b>Risk Appetite</b> Flexible Justified Measured Conservative Averse			
<b>Key Controls:</b> • Updating of Engineers Estimate at key design hold points to ensure overall projects is tracking within budget			
<b>Key Risk Indicators:</b> Monthly project reports			

<b>Significant Consequences:</b> <ul style="list-style-type: none"> <li>Delay in contract award, further funding would need to be sought</li> <li>Financial, incurs additional costs to those expected, which requires further funding to allow the project to be completed.</li> <li>Brand &amp; Reputation, possible negative individual and community reactions. E.g. increased complaints, loss of confidence in Council</li> </ul>	<b>Likelihood</b>  Unlikely
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<b>New/ Updated Controls:</b> <ul style="list-style-type: none"> <li>Ongoing updated project estimates</li> <li>Risk reduction activities undertaken to inform costs such as:                             <ul style="list-style-type: none"> <li>Two-stage tendering with four shortlisted competent contractors to ensure price competition</li> <li>Geotechnical investigations to understand ground conditions</li> <li>Principal supplied items on long-lead items to minimize delays and ensure quality &amp; price</li> </ul> </li> <li>Value Engineering exercise will be undertaken with the main contractor to find any potential for cost saving approaches to the design and/or installation.</li> </ul>	<b>Status</b>  On-Track
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<b>Comments:</b>  The Project Team are actively working with engineer estimates on ensure this project remains within budget.	<b>*Trend</b>  
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<b>1 Top Risk Report</b>	<b>Date</b>	<b>25/10/2024</b>	
<b>Risk Category: Financial and Economic</b>	<b>Extreme</b>	V High	High
<b>Owner(s):</b> Marie McIntyre & Fiona Vessey			
<b>Risk description:</b> <b>Consent Requirements Budget.</b> New treatment plant not meeting new comprehensive discharge consent requirements and requires additional budget			
<b>Risk Appetite:</b>  Flexible Justified Measured <u>Conservative</u> Averse			
<b>Key Controls:</b> • Competent Technical Design team with key linkage to the Reconsenting project			
<b>Key Risk Indicators:</b> Monthly reporting			

<b>Significant Consequences:</b> <ul style="list-style-type: none"> <li>• Non-compliance, the plant does not operate in the way intended by the design and fails to meet the new discharge consent requirements once operational.</li> <li>• Operational, not fit for purpose, triggering the need for further immediate upgrade.</li> <li>• Financial – significant if further immediate upgrade required</li> <li>• Brand &amp; Reputation, possible negative individual and community reactions. E.g. increased complaints, loss of confidence in Council</li> </ul>	<b>Likelihood</b>  Almost Certain
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<b>New/ Updated Controls:</b> <ul style="list-style-type: none"> <li>• Working with competent designers who have designed other plants recently with similar expected consenting requirements</li> <li>• Key linkage between design team and consenting team to ensure requirements are well understood</li> <li>• Plant design include capacity and puffer in wastewater character to ensure treatment levels are obtained across various wastewater envelopes</li> <li>• A comprehensive commissioning plan will be created and supported by PDP when the plant is brought online and during the proving period before commencing discharge, during that time, the current plant will remain operational</li> </ul>	<b>Status</b>  On-Track
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<b>Comments:</b> PDP have designed a well balanced plant that will deliver a significant improvement regarding discharge parameters, however, unknown impacts still remain which can impact the plants ability to meet the consent requirements (as proposed by MPDC)	<b>*Trend</b>  
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# Risk Appetite Matrix

Appetite	Tolerance for Uncertainty	Trade Off	Philosophy and Choice
<b>Flexible</b>	<b>Fully Anticipated</b>	<b>Willing</b>	<p><b>Philosophy:</b> We will take justified risks</p> <p><b>Choice:</b> Will choose option/s with highest return; accepting possibility of failure</p>
<b>Justified</b>	<b>Expect Some</b>	<b>Willing under the right conditions</b>	<p><b>Philosophy:</b> Will take strongly justified risks</p> <p><b>Choice:</b> Will choose to put at risk but will manage impact</p>
<b>Measured</b>	<b>Limited</b>	<b>Prefer to avoid</b>	<p><b>Philosophy:</b> Preference for delivering expected outcome.</p> <p><b>Choice:</b> Will accept if limited and heavily out weighted by benefits.</p>
<b>Conservative</b>	<b>Low</b>	<b>With extreme reluctance</b>	<p><b>Philosophy:</b> Extremely conservative</p> <p><b>Choice:</b> Will accept only if essential and limited possibility/extent of failure.</p>
<b>Averse</b>	<b>Extremely Low</b>	<b>Never</b>	<p><b>Philosophy:</b> Avoidance of risk is a core objective</p> <p><b>Choice:</b> Will always select the lowest risk option</p>



# 1: Project ID:240 Matamata Indoor Stadium

- Quick overview,
  - Expected start – December 2024
  - Expected completion – February 2026
  - Design is complete
  - Community fundraising is ongoing.







# 1: ID:240 Matamata Indoor Stadium Top 5 Risk Report

Reviewed Nov 24

The below risks are derived from the project’s risk register and have a **Residual** Risk Rating of High or Above, these were then taken into consideration to determine the Top 5 Risks at this stage of the project. As the project progresses and risks are reviewed the Top 5 risks will change throughout the life of the project.

Top Risks	Category	Risk Description	Likelihood	Consequence	Risk Rating	Likelihood	Consequence	Risk Rating
			Inherent Rating (before controls)			Residual Rating (after controls)		
1.	Financial / Economic	<b>External funding.</b> Inaccurate or insufficient costing and contingency i.e. community funding doesn't achieve \$6.44 million	Likely	Very High	Extreme	Possible	Very High	Very High
2.	Legal Regulatory	<b>Operating Agreements.</b> Failure to develop operating Agreements between MoE, MPDC and Matamata College are delayed	Almost Certain	Very High	Extreme	Likely	High	Very High
3.	Project	<b>Delays.</b> Insufficient or inaccurate estimating and scheduling resulting in delays	Almost Certain	High	Very High	Almost Certain	High	Very High
4.	Brand & Reputation	<b>Expectations.</b> Failure to manage expectations for new sports facility (perception of insufficient or ineffective engagement and information administered by Council)	Likely	High	Very High	Possible	High	High
5.		<b>Dissatisfaction</b> by immediate neighbours negatively impacting public engagement and satisfaction of project	Possible	High	High	Possible	High	High
6.	Safety & Wellness	<b>MPDC as PCBU.</b> MPDC H&S risk as PCBU, includes risks such as falling from height, working with machinery/tools	Likely	Extreme	Extreme	Rare	Extreme	High
7.		<b>Contaminated Materials.</b> Exposure to contaminated materials during removal (school site)	Likely	Very High	Extreme	Unlikely	Very High	High
8.		<b>Communication &amp; Engagement.</b> Insufficient or ineffective stakeholder, partnerships communication and engagement	Likely	High	Very High	Possible	High	High





1:

# Heat Map (High/Very High residual risk rating)

Risk Rating improving, staying the same or increasing?

Likelihood/Consequence	Low	Moderate	High	Very High	Extreme
Almost Certain	High	High	3 V High	Extreme	Extreme
Likely	Moderate	High	2 V High	Extreme	Extreme
Possible	Low	Moderate	4 5 High	1 V High	V High
Unlikely	Low	Moderate	Moderate	High	V High
Rare	Low	Low	Low	Moderate	High

Code	Risk	Trend
1	<b>External funding.</b> Inaccurate or insufficient costing and contingency i.e. community funding doesn't achieve \$6.44 million	↔
2	<b>Operating Agreements.</b> Failure to develop operating Agreements between MoE, MPDC and Matamata College are delayed	↔
3	<b>Delays.</b> Insufficient or inaccurate estimating and scheduling resulting in delays	↔
4	<b>Expectations.</b> Failure to manage expectations for new sports facility (perception of insufficient or ineffective engagement and information administered by Council)	↔
5	<b>Dissatisfaction</b> by immediate neighbours negatively impacting public engagement and satisfaction of project	↔

Item 4.3

Attachment B



1.

Item 4.3

Attachment B

<b>Top Risk Report</b>	<b>Date</b> 05/11/24	05/11/24		<b>Significant Consequences:</b> <ul style="list-style-type: none"> <li>Community funding doesn't achieve \$6.44 million and Council will need to contribute additional budget to cover shortfall</li> <li>Scope Creep, negative impacts to cost, time/schedule (delays), resources, potential impacts to quality (for alternative materials chosen to reduce cost impact)</li> <li>Cash flow issues, potential loss of funding</li> <li>Ratepayer dissatisfaction for budget spent for stadium resulting in negative individual and community reactions. E.g. complaints, loss of confidence in Council</li> </ul>	<b>Likelihood</b>  Possible
<b>Risk Category:</b> Financial/Economic	Extreme	V High	High		
<b>Owner(s):</b> Manaia Te Waita				<b>New/ Updated Controls:</b> <ul style="list-style-type: none"> <li>Council has agreed to underwrite funding shortfall</li> <li>Reduced scope of works, changes in design, approx. \$300k</li> </ul>	<b>Status</b>  On-track
<b>Risk description:</b> <b>External funding.</b> Inaccurate or insufficient costing and contingency i.e. community funding doesn't achieve \$6.44 million					
<b>Risk Appetite:</b> Flexible Justified Measured Conservative Averse					
<b>Key Controls:</b> <ul style="list-style-type: none"> <li>Generate momentum with Community through sharing progress and programme.</li> <li>Increased partner/stakeholder engagement, Sport Waikato, Futures Trust and MPDC collaborate closely to maximise opportunities and submissions for funding</li> </ul>					
<b>Key Risk Indicators:</b> Monthly progress reports Schedule (Gantt chart or other)				<b>Comments/Update:</b> Continued engagement with partner stakeholders is essential to increase chance of securing community funding for project and reduce potential financial impacts to Council	<b>*Trend</b>  



<b>1. Top Risk Report</b>	<b>Date</b>	05/11/24	
<b>Risk Category: Legal &amp; Regulatory</b>	Extreme	V High	High
<b>Owner(s): Chris Lee, Dylan</b>			
<b>Risk description:</b> <b>Operating Agreements.</b> Failure to develop operating Agreements between MoE, MPDC and Matamata College are delayed			
<b>Risk Appetite:</b> Flexible Justified Measured Conservative <b>Averse</b>			
<b>Key Controls:</b> <ul style="list-style-type: none"> <li>Engage legal team to arrange execution.</li> <li>Obtain tender validity extensions from contractors and issue LOI to allow D&amp;B design to commence ahead of contract execution</li> </ul>			
<b>Key Risk Indicators:</b> Monthly progress reports Schedule (Gantt chart or other)			

<b>Significant Consequences:</b> <ul style="list-style-type: none"> <li>Failed project due to failure of compliance and future operating agreements not executed</li> <li>Negative stakeholder, individual and community reactions. E.g. increased complaints, loss of confidence in Council</li> </ul>	<b>Likelihood</b>  Likely
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<b>New/ Updated Controls:</b>	<b>Status</b>
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<b>Comments/Update:</b> New facility must have operating agreements agreed and executed by all relevant parties	<b>*Trend</b>  
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Item 4.3

Attachment B

<p><b>1. Top Risk Report</b></p> <p><b>Risk Category: Project</b></p> <p><b>Owner(s): Chris Lee, Dylan</b></p> <p><b>Risk description:</b> Delays: Insufficient or inaccurate estimating and scheduling resulting in delays</p> <p><b>Risk Appetite:</b> Flexible Justified Measured Conservative Averse</p> <p><b>Key Controls:</b></p> <ul style="list-style-type: none"> <li>External (consultant) and internal project manager appointed to manage</li> <li>Monitoring and review schedule progress regularly, identify variances and take corrective actions, escalate where necessary</li> <li>Procurement Plan</li> <li>Meetings</li> <li>Monthly progress report</li> </ul> <p><b>Key Risk Indicators:</b> Monthly progress reports Schedule (Gantt chart or other)</p>	<p>Date</p> <p>05/11/24</p> <p>Extreme</p>	<p>05/11/24</p> <p>V High</p> <p>Inh</p> <p>Res</p>	<p>High</p>	<p><b>Significant Consequences:</b></p> <ul style="list-style-type: none"> <li>Missed deadlines, insufficient lead times, clashes between activities/tasks/resources e.g. Procurement (Contracts) Consultants, Contractor, material/equipment, consultation anticipated resulting in increased cost, resources and quality</li> <li>Increased stress on resourcing to deliver within tight timeframes</li> <li>Financial impact, cost escalations due to contracts not executed when anticipated</li> <li>Legal &amp; Regulatory impact, delays for Resolution of Development and Operating Agreements between MoE, MPDC and Matamata College</li> <li>Potential health and safety impacts, Exposure to contaminants (school site) for students and/or workers causes health issues</li> <li>Potential low quality deliverables, quality not what was anticipated</li> <li>Scope Creep, negative impacts to cost, time/schedule, resources and possible impacts to quality</li> <li>Negative stakeholder, individual and community reactions due to delays. E.g. increased complaints, loss of confidence in Council</li> </ul>	<p>Almost Certain</p>
	<p><b>New/ Updated Controls:</b></p> <ul style="list-style-type: none"> <li>Memorandum of Understanding (MOU) with IWI to progress Resource Consent (requirement as part of conditions)</li> <li>Obtain tender validity extensions from contractors and issue LOI to allow Design &amp; Build design to commence ahead of contract execution</li> <li>Contamination investigations undertaken within geotech and asbestos reporting. Works planned for school holidays and compliance with MoE Health &amp; Safety regulations</li> <li>Council has underwritten funding shortfall to allow schedule to progress</li> </ul>	<p><b>Status</b></p> <p>On-track</p>			
	<p><b>Comments/Update:</b> Continued monitoring of schedule and communication and engagement with stakeholders is essential throughout the project to reduce potential misalignment for timing of schedule.</p>	<p><b>*Trend</b></p> <p>↔</p>			



1	<b>Top Risk Report</b>	Date	05/11/24	
	<b>Risk Category: Brand &amp; Reputation</b>	Extreme	V High	High
	<b>Owner(s): Chris Lee, Dylan</b>			
	<b>Risk description:</b> <b>Expectations.</b> Failure to manage expectations for new sports facility (perception of insufficient or ineffective engagement and information administered by Council)		Inh	Res
	<b>Risk Appetite:</b>  Flexible Justified Measured Conservative Averse			
	<b>Key Controls:</b> <ul style="list-style-type: none"> <li>Ensure communications posted are factual.</li> <li>Engage relevant groups and take on feedback.</li> </ul>			
	<b>Key Risk Indicators:</b> Schedule – delays Decision making - efficiency (effective, ineffective)			

<b>Significant Consequences:</b> <ul style="list-style-type: none"> <li>Misalignment with stakeholders, internal or external, partners, suppliers, contractors, expectations not met, design, unclear deliverables, operational requirements, community, leading to scope, time, cost, resource creep and potential project failure.</li> <li>Potential disputes causing delays or pauses a project, potential legal action E.g. specifications, agreements, material differences leading to mediation, legal action</li> <li>Operational future impacts, facility not fit for purpose leading to increased costs, potential undesirable levels of service or disruptions to services</li> <li>Risk Management, risk identification and mitigation</li> <li>Brand &amp; Reputation, negative individual, partner and community reactions. E.g. increased complaints, loss of confidence in Council</li> </ul>	<b>Likelihood</b>  Possible
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<b>New/ Updated Controls:</b>	<b>Status</b>
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<b>Comments:</b> External consultant engaged that has previously completed projects with partners Sports Waikato, Ministry of Education (MOE) and has an existing understanding of their expectations and requirements. Internal project manager has existing relationship with internal stakeholders, an understanding of their expectations, requirements and Council process working collaboratively to achieve objectives for council, partners and	<b>*Trend</b>  ↔
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1.	<b>Top Risk Report</b>	<b>Date</b>	05/11/24		<b>Significant Consequences:</b> <ul style="list-style-type: none"> <li>Negative individual and community reactions. E.g. increased complaints, loss of confidence in Council</li> </ul>	<b>Likelihood</b>  Possible
	<b>Risk Category: Brand &amp; Reputation</b>	Extreme	V High	High		
	<b>Owner(s): Chris Lee, Dylan</b>				<b>New/ Updated Controls:</b> <ul style="list-style-type: none"> <li>Meetings with adjoining landowners to advise of works.</li> <li>Information website set up to keep the community informed.</li> </ul>	<b>Status</b>  On-track
	<b>Risk description:</b> Dissatisfaction by immediate neighbours negatively impacting public engagement and satisfaction of project					
	<b>Risk Appetite</b> Flexible Justified <u>Measured</u> Conservative Averse					
	<b>Key Controls:</b> <ul style="list-style-type: none"> <li>All objectors were engaged during Resource Consent process and mitigations where possible agreed. Ongoing engagement required by MPDC staff to offset any residual objection</li> </ul>					
	<b>Key Risk Indicators:</b> <ul style="list-style-type: none"> <li>Complaints/feedback</li> <li>Media (facebook etc.)</li> </ul>				<b>Comments:</b>  Council accepts that not all internal, external interactions, reactions or decisions will be positively received regarding the new shared facility, however Council endeavours to keep the community well informed to manage expectations and avoid negative reactions where possible	<b>*Trend</b>  



# Risk Appetite Matrix

Appetite	Tolerance for Uncertainty	Trade Off	Philosophy and Choice
<b>Flexible</b>	Fully Anticipated	Willing	<b>Philosophy:</b> We will take justified risks <b>Choice:</b> Will choose option/s with highest return; accepting possibility of failure
<b>Justified</b>	Expect Some	Willing under the right conditions	<b>Philosophy:</b> Will take strongly justified risks <b>Choice:</b> Will choose to put at risk but will manage impact
<b>Measured</b>	Limited	Prefer to avoid	<b>Philosophy:</b> Preference for delivering expected outcome. <b>Choice:</b> Will accept if limited and heavily out weighted by benefits.
<b>Conservative</b>	Low	With extreme reluctance	<b>Philosophy:</b> Extremely conservative <b>Choice:</b> Will accept only if essential and limited possibility/extent of failure.
<b>Averse</b>	Extremely Low	Never	<b>Philosophy:</b> Avoidance of risk is a core objective <b>Choice:</b> Will always select the lowest risk option





# 1: Matamata Domain Playground

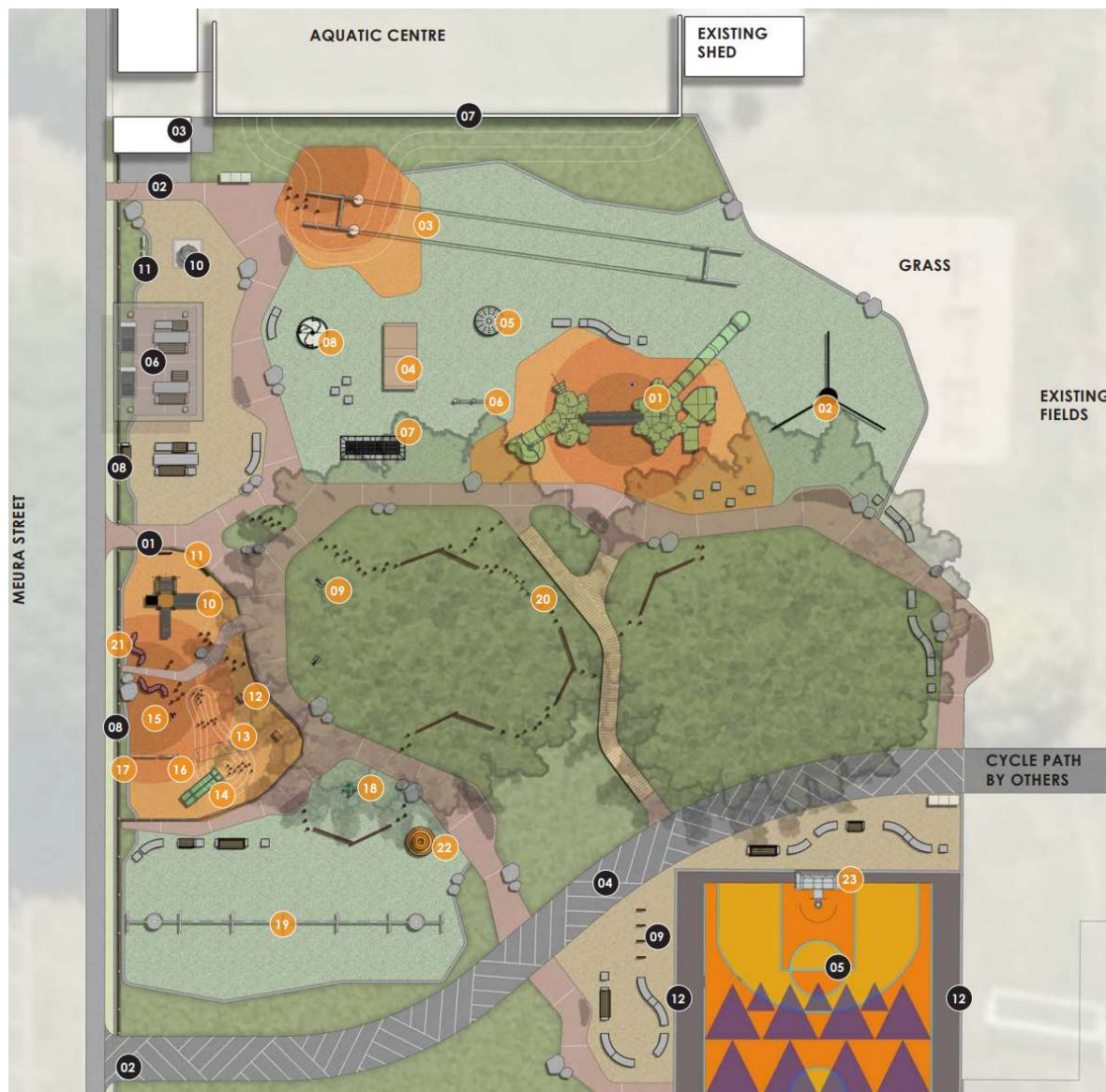
Item 4.3

Attachment C

## Quick overview

- Community consultation is complete.
- Matamata Futures Trust are currently fundraising for equipment.
- MPDC have reviewed design, expecting final design for approval within two weeks.
- Expected start Q2 2025.

The following risks are derived from the project's risk register and have a **Residual** Risk Rating of High or above, these were then taken into consideration to determine the Top 5 Risks at this stage of the project. As the project progresses and risks are reviewed the Top 5







1: ID:24 / Matamata Domain Playground Top 5 Risk Report

Reviewed Nov 24

Top Risks	Category	Risk Description	Likelihood	Consequence	Risk Rating	Likelihood	Consequence	Risk Rating
			Inherent Rating (before controls)			Residual Rating (after controls)		
1	Project	<b>Delays.</b> Design cannot be confirmed until budget is realised or design reduced to proceed. Cost projections of the current proposed concept design exceed the project budget.	Almost Certain	High	Very High	Likely	High	Very High
2		<b>Engagement.</b> Insufficient or ineffective stakeholder, partnerships communication and engagement (the potential for a partner to fail to meet their obligations to a project/ lack of understanding, communication or commitment to the project)	Likely	High	Very High	Possible	High	High
3	Financial / Economic	<b>Design.</b> Concept design, exceeding allocated budget of \$1.5M (over budget)	Almost Certain	High	Very High	Possible	High	High
4		<b>External funding,</b> inaccurate or insufficient costing and contingency i.e. community funding doesn't achieve target for concept design	Likely	High	Very High	Possible	High	High
5	Brand & Reputation	<b>Brand &amp; Reputation:</b> Failure to manage community expectations for new playground (perception of insufficient or ineffective engagement and information administered by Council)	Likely	High	Very High	Possible	High	High
6	Procurement	<b>Contracts,</b> Rising costs of materials	Almost Certain	Very High	Extreme	Unlikely	Very High	High
7		<b>Quality.</b> Insufficient quality of contractors work	Possible	Very High	Very High	Possible	High	High
8		<b>Process.</b> Not all Procurement in line with MPDC process. Matamata Futures (MMF) want to directly appoint supplier of choice for playground equipment.	Possible	Very High	Very High	Unlikely	Very High	High
9	Safety & Wellness	<b>Electrocution.</b> Insufficient or ineffective controls working with electricity, cable running through site.	Likely	Extreme	Extreme	Rare	Extreme	High
10		<b>Machinery -</b> Insufficient or ineffective controls working with excavation equipment, swinging boom.	Possible	Very High	Very High	Unlikely	Very High	High
11		<b>Injury.</b> Insufficient or ineffective controls working with hazardous plant, equipment or machinery	Possible	Extreme	Very High	Rare	Extreme	High

Item 4.3

Attachment C



1:

Risk Rating improving, staying the same or increasing?

Item 4.3

Attachment C

# Heat Map (High/Very High residual risk rating)

Likelihood/Consequence	Low	Moderate	High	Very High	Extreme
Almost Certain	High	High	V High	Extreme	Extreme
Likely	Moderate	High	① V High	Extreme	Extreme
Possible	Low	Moderate	② High ④	③ V High ⑤	V High
Unlikely	Low	Moderate	Moderate	High	V High
Rare	Low	Low	Low	Moderate	High

Code	Risk	Trend
1	<b>Delays.</b> Design cannot be confirmed until budget is realised or design reduced to proceed. Cost projections of the current proposed concept design exceed the project budget.	
2	<b>Engagement:</b> Insufficient or ineffective stakeholder, partnerships communication and engagement (the potential for a partner to fail to meet their obligations to a project/ lack of understanding, communication or commitment to the project)	
3	<b>Design.</b> Concept design, exceeding allocated budget of \$1.5M (over budget)	
4	<b>External Funding:</b> inaccurate or insufficient costing and contingency i.e. community funding doesn't achieve target for concept design	
5	<b>Brand &amp; Reputation:</b> Failure to manage community expectations for new playground (perception of insufficient or ineffective engagement and information administered by Council)	



1. Top Risk Report

1. Top Risk Report	Date	21/10/24		Significant Consequences:	Likelihood					
<b>Risk Category: Project</b>	<b>Extreme</b>	V High	High	<p><b>Significant Consequences:</b></p> <ul style="list-style-type: none"> <li>• Missed deadlines, uncertainty leading to insufficient lead times, clashes between activities/tasks/resources e.g. Procurement (Contracts) Consultants, Contractor, material/equipment, consultation anticipated resulting in increased cost, resources and quality</li> <li>• Scope Creep, negative impacts to cost, time/schedule, resources and possible impacts to quality</li> <li>• Financial impact, delays increasing possibility of cost escalations if design needs constant redesign.</li> <li>• Insufficient staff capacity to run procurement and project management and surfacing and landscaping contracts if staff are unavailable at key times for the project.</li> <li>• Increased stress on resourcing to deliver within tight timeframes</li> <li>• Rising costs of playground equipment and safety surfacing due to delays.</li> <li>• Potential low quality deliverables, materials selection, quality not what was anticipated</li> <li>• Negative stakeholder, individual and community reactions due to under delivering. E.g. increased complaints, loss of confidence in Council</li> </ul>	Likely					
<b>Owner(s): Chris Lee</b>										
<p><b>Risk description:</b>  <b>Delays.</b> Design cannot be confirmed until budget is realised or design reduced to proceed. Cost projections of the current proposed concept design exceed the project budget.</p>										
<p><b>Risk Appetite:</b></p>										
<p><b>Key Controls:</b></p> <ul style="list-style-type: none"> <li>• Control communications to ensure we don't over promise and under deliver.</li> <li>• MPDC not signing contracts until fundraised funds have been sent to MPDC.</li> <li>• Meetings</li> <li>• Obtain timeline from MMF</li> </ul>							<p><b>New/ Updated Controls:</b></p> <ul style="list-style-type: none"> <li>• Design to include an area that can be removed if funding isn't secured.</li> <li>• Regular meetings between MMF and MPDC. Ensure all stakeholders are working to the same goal.</li> <li>• Meeting with MMF to obtain updated project timelines.</li> </ul>	<p><b>Status</b></p> <p>On-track</p>		
<p><b>Key Risk Indicators:</b></p> <ul style="list-style-type: none"> <li>• Monthly progress reports</li> <li>• Meetings with MMF</li> </ul>			<p><b>Comments/Update:</b></p> <ul style="list-style-type: none"> <li>• Continued monitoring of fundraising and project estimates to ensure timeline is accurate.</li> </ul>	<p><b>*Trend</b></p>						



<p>1. <b>Top Risk Report</b></p>	<p>Date</p>	<p>21/10/24</p>		<p><b>Significant Consequences:</b></p> <ul style="list-style-type: none"> <li>Misalignment with stakeholders, internal or external, partners, suppliers, contractors, expectations not met, design, unclear deliverables, operational requirements, community, leading to scope, time, cost, resource creep and potential project failure.</li> <li>Potential disputes causing delays or pauses a project E.g. material differences and plan changes.</li> <li>Operational future impacts, playground not fit for purpose leading to increased costs</li> <li>Brand &amp; Reputation, negative individual, partner and community reactions. E.g. increased complaints, loss of confidence in Council</li> </ul>	<p><b>Likelihood</b></p> <p>Possible</p>
<p><b>Risk Category: Project</b></p>	<p>Extreme</p>	<p>V High</p>	<p>High</p>		
<p><b>Owner(s): Chris Lee</b></p>					
<p><b>Risk description:</b>  <b>Engagement:</b> Insufficient or ineffective stakeholder, partnerships communication and engagement (the potential for a partner to fail to meet their obligations to a project/ lack of understanding, communication or commitment to the project)</p>					
<p><b>Risk Appetite:</b></p> <p>Flexible                  Justified  <b>Measured</b>                  Conservative                  Averse</p>					
<p><b>Key Controls:</b></p> <ul style="list-style-type: none"> <li>Meetings – MMF &amp; MPDC</li> <li>Design Review Process</li> </ul>				<p><b>New/ Updated Controls:</b></p> <ul style="list-style-type: none"> <li>Design plan has been reviewed by relevant MPDC staff.</li> <li>Regular meetings with MMF, MPDC, and contractors.</li> <li>Set of pre-approved contractors MPDC are willing to engage.</li> </ul>	<p><b>Status</b></p> <p>On-track</p>
<p><b>Key Risk Indicators:</b></p> <ul style="list-style-type: none"> <li>Schedule – delays</li> <li>Decision making - efficiency (effective, ineffective)</li> </ul>					



<b>1. Top Risk Report</b>	<b>Date</b>	21/10/24	
<b>Risk Category: Financial</b>	Extreme	V High	High
<b>Owner(s): Chris Lee</b>			
<b>Risk description: Design.</b> Concept design, exceeding allocated budget of \$1.5M (over budget)			
<b>Risk Appetite:</b> Flexible Justified Measured <u>Conservative</u> Averse			
<b>Key Controls:</b> • Detailed design will include stages i.e. initial build of \$1.5M; phase 2 toilet renewal etc.			
<b>Key Risk Indicators:</b> • Monthly progress reports			

<b>Significant Consequences:</b>	<b>Likelihood</b>
<ul style="list-style-type: none"> <li>Delays, uncertainty potentially leading to insufficient lead times for Procurement, Contracts, Consultants, Contractors, material/equipment.</li> <li>Rising costs for materials, contractors</li> <li>Insufficient staff capacity to run procurement contracts if staff are unavailable at key times for the project due to uncertainty around time/schedule. (limited resources and large list of projects to deliver)</li> <li>Potential increased future operational costs for facility if not what was anticipated</li> <li>Brand &amp; Reputation, potential dissatisfaction, disgruntled suppliers assuming all procurement done by MPDC</li> </ul>	Possible

<b>New/ Updated Controls:</b>	<b>Status</b>
<ul style="list-style-type: none"> <li>MMF are procuring playground equipment separately. (not part of MPDC procurement)</li> </ul>	On Track

<b>Comments/Update:</b>	<b>*Trend</b>
MMF to source playground equipment, will be to relevant safety standards and agreed with council. MMF will donate to council for future maintenance and renewals	↔

Item 4.3

Attachment C



1.

Item 4.3

Attachment C

<b>Top Risk Report</b>	<b>Date</b>	<b>21/10/24</b>		<b>Significant Consequences:</b>	<b>Likelihood</b>
<b>Risk Category: Financial</b>	<b>Extreme</b>	<b>V High</b>	<b>High</b>		
<b>Owner(s): Manaia Te Wiata</b>				<ul style="list-style-type: none"> <li>Community funding doesn't achieve the current goal of \$1.1 million and the project team will either under deliver on the proposed scheme plan or could have potential impacts to quality (for alternative materials chosen to reduce cost impact)</li> <li>Cost projections of the current proposed concept design exceed the project budget.</li> <li>Ratepayer dissatisfaction for budget spent for playground if end result not what was anticipated resulting in negative individual and community reactions. E.g. complaints, loss of confidence in Council</li> <li>Significant delays to schedule</li> </ul>	Possible
<b>Risk description:</b> <b>External Funding:</b> inaccurate or insufficient costing and contingency i.e. community funding doesn't achieve target for concept design					
<b>Risk Appetite:</b> Flexible Justified Measured <b>Conservative</b> Averse					
<b>Key Controls:</b> <ul style="list-style-type: none"> <li>Generate momentum with Community through sharing progress and programme.</li> <li>Increased partner/stakeholder engagement Matamata Futures Trust and MPDC collaborate closely to maximise opportunities.</li> </ul>				<b>New/ Updated Controls:</b>	<b>Status</b>
<b>Key Risk Indicators:</b> <ul style="list-style-type: none"> <li>Monthly progress reports</li> <li>Schedule (Gantt chart or other)</li> </ul>					
				<b>Comments/Update:</b>	<b>*Trend</b>
				<ul style="list-style-type: none"> <li>Continued engagement with the community is essential to increase chance of securing funding for the project.</li> <li>The delay over the last year has seen some playground components decrease in price.</li> </ul>	



1. <b>Top Risk Report</b>	<b>Date</b>	21/10/24	
<b>Risk Category: Brand &amp; Reputation</b>	Extreme	V High	High
<b>Owner(s): Chris Lee</b>			
<b>Risk description:</b> Failure to manage community expectations for new playground (perception of insufficient or ineffective engagement and information administered by Council)			
<b>Risk Appetite</b> Flexible Justified <b>Measured</b> Conservative Averse			
<b>Key Controls:</b> • Comms Plan – This has been discussed, yet to finalise. Waiting to hear from MMF with update next week.			
<b>Key Risk Indicators:</b> • Monthly progress reports • Schedule Delays			

<b>Significant Consequences:</b> • Negative individual and community reactions. E.g. increased complaints, loss of confidence in Council • Ratepayer dissatisfaction for budget spent for playground if end result not what was anticipated resulting in negative individual and community reactions. E.g. complaints, loss of confidence in Council	<b>Likelihood</b>  Possible
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<b>New/ Updated Controls:</b> • Drafting communications to provide update to the community on where funding and design is at.	<b>Status</b>  On track
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<b>Comments:</b>  Council accepts that not all internal, external interactions, reactions or decisions will be positively received regarding the new Matamata Domain playground, however Council endeavours to keep the community well informed to manage expectations and avoid negative reactions where possible	<b>*Trend</b>  
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# Risk Appetite Matrix

Appetite	Tolerance for Uncertainty	Trade Off	Philosophy and Choice
<b>Flexible</b>	<b>Fully Anticipated</b>	<b>Willing</b>	<p><b>Philosophy:</b> We will take justified risks</p> <p><b>Choice:</b> Will choose option/s with highest return; accepting possibility of failure</p>
<b>Justified</b>	<b>Expect Some</b>	<b>Willing under the right conditions</b>	<p><b>Philosophy:</b> Will take strongly justified risks</p> <p><b>Choice:</b> Will choose to put at risk but will manage impact</p>
<b>Measured</b>	<b>Limited</b>	<b>Prefer to avoid</b>	<p><b>Philosophy:</b> Preference for delivering expected outcome.</p> <p><b>Choice:</b> Will accept if limited and heavily out weighted by benefits.</p>
<b>Conservative</b>	<b>Low</b>	<b>With extreme reluctance</b>	<p><b>Philosophy:</b> Extremely conservative</p> <p><b>Choice:</b> Will accept only if essential and limited possibility/extent of failure.</p>
<b>Averse</b>	<b>Extremely Low</b>	<b>Never</b>	<p><b>Philosophy:</b> Avoidance of risk is a core objective</p> <p><b>Choice:</b> Will always select the lowest risk option</p>



4 Ngā Pūrongo Whakamārama | Information Reports

## 4.4 Chief Executive Officer's Report

CM No.: 2963245

### Te Kaupapa | Purpose

The purpose of this report is for the Chief Executive Officer to provide a verbal update to the Risk and Assurance Committee.

### Tūtohunga | Recommendation

That:

1. The information be received.

### Ngā Tāpiritanga | Attachments

There are no attachments for this report.

### Ngā waitohu | Signatories

Author(s)	Tamara Kingi <b>Governance Team Leader</b>	
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Approved by	Sandra Harris <b>Policy, Partnerships and Governance Manager</b>	
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4 Ngā Pūrongo Whakamārama | Information Reports

## 4.5 Risk and Assurance Work Programme 2024 - Update November

CM No.: 2965110

### Te Kaupapa | Purpose

The purpose of this report is to provide an update to the committee on the work programme.

### Rāpopotonga Matua | Executive Summary

Staff have updated the work programme format for the Committee based on feedback from the Risk and Assurance Chair.

An update on scheduled reports and standing items for November is included in the work programme.

### Tūtohunga | Recommendation

That:

1. The information be received.

### Horopaki | Background

Prior to the commencement of each calendar year the Committee sets a work programme.

While priorities can shift during the year as unexpected issues arise, the work programme is a useful tool to enable Committee members to set their direction and to allow staff to understand the work priorities that need to be achieved.

Staff have updated the work programme for the Committee based on feedback from the Risk and Assurance Chair. The work programme is now more streamlined and is presented on one page.

An update on scheduled reports and standing items for November is included in the work programme.

### Ngā Tāpiritanga | Attachments

[A](#). Risk and Assurance Work Programme 2024

### Ngā waitohu | Signatories

Author(s)	Kelly Reith <b>Group Manager People, Governance &amp; Relationships</b>	
Approved by	Kelly Reith <b>Group Manager People, Governance &amp; Relationships</b>	



Item	Team	23-Jan-24		19-Mar-24		02-Jul-24		10-Sep-24		19-Nov-24	
		Status	Comment	Status	Comment	Status	Comment	Status	Comment	Status	Comment
<b>Key</b>			= not required		= complete		= scheduled		= incomplete		
<b>Standing items</b>											
Chairs update	PPG										
CEO update	PPG										
Review of top risks	Risk		Not required - additional meeting for LTP		Deferred						Top risks deep dive process: #5 Loss of data /business systems. The following are deferred to next year enabling staff to test the deep dive process on top risk #5 and then seek feedback from the committee: #2 Failure of essential services, focus Wat/WW #4 Inadequate response to disasters, weather events, pandemics
Safety and Wellness update	PSW										
Update on Work Programme	Risk										
Review of significant projects	Assets										
<b>Annual Reports</b>											
IT/web security audit	IT				Deferred						
Setting Work Programme/Schedule of Meetings	PPG										
Insurance Programme	Property										
LGOIMA Requests	Legal				Deferred		2022/23 and 2023/24				
Delegations	Legal										
Legislative compliance assessment	Legal										
<b>Scheduled Reports</b>											
Self assessment / Review of Charter	PPG								Self assessment circulated		Self assessment completed, charter reviewed
Long Term Plan / Annual Plan	PPG		Draft LTP and CD, audit letter, audit self assessment, peer review		Audit engagement letter and CD.		Debrief, Audit Mangement Report, Final LTP		Annual Plan timeline and key risks		Annual Plan - additional risk highlighted in Project Update Report
Annual Report	PPG				Audit Management Report 2022/23		Audit Plan 2023/2024		Interim Annual Report Audit 2023/24		Annual Report and Summary, Audit Opinion
Progress tracking on audit recommendations	Finance						Deferred				
Policy Register Review	PPG (Pol)										
Procurement Report	Finance				Deferred		Deferred				
Policy Review	Various		Liability Management and Investments Policies		Revenue/Financing, Dev. Contributions, Rates Remissions		No policies to be reviewed		No policies to be reviewed		No policies to be reviewed
Business Continuity Plans	Risk										Deferred to next meeting as information was not available
Project Management Report	Assets								Deferred		

## Exclusion of the Public: Local Government Official Information and Meetings Act 1987

The following motion is submitted for consideration:

That the public be excluded from the following part(s) of the proceedings of this meeting.

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

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

### C1 Top Risks Deep Dive - Loss of Data and Business Systems

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