

Summary of risk areas of concern

Loss, failure or damage to assets

Flood protection assets

Rail rolling stock and Infrastructure assets

Water Supply infrastructure

Services are severely curtailed

Public transport bus and rail services

Water Supply

IT services

Physical harm to the general public

Public transport

- *Rail*

- *Bus*

- *Ferry*

Water supply

Flood

Biosecurity

- *Ground and aerial pest control*

- *General work programmes*

Parks

Land Management

Harbours

Sustainable Transport

Health and Safety to staff, contractors and volunteers

Catchment Group

Environment and Parks Group

Public Transport Group

Water Supply Group

Financial

CentrePort

Fraud

Diesel prices

Total mobility

Subsidiary companies and trusts

Legislative and Regulatory

Emergency Management

Council decision making process

Political

Environmental Damage

Contaminated Sites

Water Supply

Projects

Matangi 2 and Matangi 1 retrofit

Human Resources

Local Government reorganisation

Loss, failure or damage to assets		GWRC is responsible for managing almost \$1b of assets. These are spread across its activities and include assets such as flood protection works, rail and water supply infrastructure, parks and forests. These are exposed to a series of risks, the source of which is sometimes outside of our control e.g. natural hazards. Maintaining these assets in a cost effective manner to provide the best possible service to our community is controlled mainly by our asset management plans together with regular monitoring and maintenance.					
Business Unit	Risk Id	Description	Details	Inherent risk level	Controls	Residual risk level	Risk owner
Catchment Management	17	Damage to flood protection structures and measures due to flooding	Failure/damage of flood protection structures during a flooding/seismic event causing danger to the public and significant damage to property and Council assets. Failure of protection structures could also be a result of professional negligence (design and construction).	High Risk	<p>Insurance is in place</p> <p>Flood Protection Asset Management Plans (FPAMP)</p> <p>Specific contingency fund to assist with damage repair for structures</p> <p>GW ensures that KiwiRail has a robust rail asset management plan that:</p> <ul style="list-style-type: none"> • Focuses funded renewal activities on critical components of the network • Provides for infrastructure monitoring and inspections <p>GW ensures that KiwiRail have an emergency response plan that:</p> <ul style="list-style-type: none"> • Provides for efficient bus replacements • Provides for effective customer communications in the event of a failure <p>GW has a rail upgrade communications plan that informs the public about the upgrade programme and the reliability that can be expected</p>	Medium Risk	Graeme Campbell
Public Transport	59	Damage to rail rolling stock	Network or rolling stock failures could impact negatively on rail on-time performance, causing loss of confidence in the rail service thereby reducing patronage and revenue.	Medium Risk	<p>Insurance is in place</p> <p>Self insurance fund</p> <p>Water supply capital expenditure plan</p> <p>Water supply operating procedures</p> <p>Water supply incident management plan</p> <p>Multiple Sources of Supply</p> <p>Asset Management Plan</p> <p>Emergency stock on hand</p>	Medium Risk	Ian Gordon
Water	3	Damage to water supply infrastructure from an event which interrupts supply	Failure of water supply infrastructure due to natural hazards (e.g. seismic event, tsunami, weather related damage) or manmade hazards (vandalism, terrorist actions, civil unrest)	Medium Risk	<p>Insurance is in place</p> <p>Self insurance fund</p> <p>Water supply capital expenditure plan</p> <p>Water supply operating procedures</p> <p>Water supply incident management plan</p> <p>Multiple Sources of Supply</p> <p>Asset Management Plan</p> <p>Emergency stock on hand</p>	Medium Risk	Maseina Koneferenisi

Services are severely curtailed		GWRC provides critical services, the curtailment to which can cause significant disruption and/or hardship to the community. The most significant curtailments would be a major loss of water supply or public transport. Other services include harbour navigation, resource consent management, flood monitoring alerts, all of which can be affected by outages that would cause varying degrees.			Inherent risk level	Controls	Residual risk level	Risk owner
Business Unit	Risk Id	Description	Details	Inherent risk level	Controls	Residual risk level	Risk owner	
Finance, IT & Support	95	Loss of the provision of continuity of IT services	Potential failures from hacking, viruses, or other systemic failure.	High Risk	<p>Department Business Continuity Plans</p> <p>Disaster Recovery Plan</p> <p>Virus software, Firewalls, IT security systems/passwords etc</p> <p>Enforceable Contracts with suppliers</p> <p>Department Business Continuity Plans</p> <p>Disaster Recovery Plan</p> <p>Maintain strong relationships with bus operators including regular meetings and reporting on performance</p> <p>Ensure bus operators have an operational plan for managing minimum service levels in the event of prolonged industrial action.</p> <p>Ensure bus operators have maintenance programmes that ensure ongoing assessment of compliance, as well as suitable preventative maintenance programmes.</p> <p>Ensure that contingency plans are considered at the first sign of pending insolvency.</p>	Medium Risk	Fran Hyland	
Public Transport	51	Contracted bus services fail to meet acceptable levels of service reliability and/or quality targets due to reasons within the control of the bus operator	Contracted bus services fail to operate, are unreliable or of poor quality, (e.g. due to operator staffing levels, industrial action, insolvency, fleet management, maintenance or safety issues), which causes a loss in customer confidence in the services.	High Risk	<p>GW ensures that KiwiRail has a robust rail asset management plan that:</p> <ul style="list-style-type: none"> • Focuses funded renewal activities on critical components of the network • Provides for infrastructure monitoring and inspections <p>GW ensures that KiwiRail have an emergency response plan that:</p> <ul style="list-style-type: none"> • Provides for efficient bus replacements • Provides for effective customer communications in the event of a failure <p>GW has a rail upgrade communications plan that informs the public about the upgrade programme and the reliability that can be expected</p>	Medium Risk	Rhona Hewitt	
Public Transport	59	Rolling stock unable to meet passenger demand due to multiple vehicles not being operational	On-going network or rolling stock failures could impact negatively on rail on-time performance, causing loss of confidence in the rail service thereby reducing patronage and revenue.	Medium Risk	<p>GW ensures that the rail operator has an emergency response plan that:</p> <ul style="list-style-type: none"> - provides for efficient bus replacements - provides for effective customer communications in the event of a service disruption <p>Maintain strong relationships with the rail operator, including regular meetings and reporting against a clear set of performance targets, including health and safety</p>	Medium Risk	Ian Gordon	
Public Transport	107	Contracted rail services fail to meet acceptable levels of service, reliability and/or quality targets	Contracted rail services do not operate, are unreliable or of poor quality, which causes a loss in customer confidence in the services.	High Risk	<p>Insurance is in place</p> <p>Self insurance fund</p> <p>Water supply capital expenditure plan</p> <p>Water supply operating procedures</p> <p>Water supply incident management plan</p> <p>Multiple Sources of Supply</p> <p>Asset Management Plan</p> <p>Emergency stock on hand</p>	Medium Risk	Angus Gabara	
Water	3	Water supply infrastructure fails to meet acceptable level of service	Failure of water supply infrastructure due to natural hazards (e.g. seismic event, tsunami, weather related damage) or manmade hazards (vandalism, terrorist actions, civil unrest) leading to curtailed level of services.	Medium Risk		Medium Risk	Maseina Komefereni	

Physical harm to the general public		GWRC is responsible for a variety of activities and infrastructure that have the potential to harm members of the general public. Risks range from those that we have a direct relationship to the general public (e.g. maintaining our assets) to those where the direct relationship is managed by contractors for whom we are responsible (e.g. KiwiRail's management of rail services).			Residual risk level		Risk owner	
Business Unit	Description	Details	Inherent risk level	Controls	Residual risk level	Risk owner		
Catchment Management	57 Death or severe harm to public while undertaking work programmes	All health & safety associated risks causing death or severe harm to staff, contractors and public while carrying out Catchment work programmes. e.g. serious harm when using vehicles, equipment, and working around heavy machinery. Also includes severe falls and exposure.	High Risk	Insurance is in place Department Hazard Registers Working Alone Procedures & Equipment Health & Safety Plan Department Standard Operating Procedures	High Risk	Wayne O'Donnell		
Catchment Management	72 Harm to public when carrying out aerial pest control operations	Harm to staff, contractors, and public or damage to Council property when aerial pest control operations are in progress (e.g. aerial 1080, rook control, herbicide spraying)	High Risk	Bioworks Department Standard Operating Procedures Tb Free 1080 standard operating procedure	High Risk	Davor Bejakovich		
Catchment Management	19 Harm to public from ground pest control operations	Harm to staff, contractors, public and non targeted species from poisons and processes used in ground control pest eradication	Medium Risk	Department Hazard Registers Health & Safety Plan RPMS Operational Plans and Tb Free Vector Control Plans Bioworks Department Standard Operating Procedures	Medium Risk	Davor Bejakovich		
Environment Management	78 Injury to public at Parks organised events	Members of the public who participate in GW organised events (as part of summer programme or other) sustain injury.	High Risk	Advertising identifies event level of difficulty and required fitness. Booking officer reinforces requirements with participants. Event leaders (mostly Park Rangers) give health & safety briefings to all participants. Event plans include specific health & safety plans Parks Health & Safety plans, include hazard identification Reconnaissance is carried out prior to events to identify/ remove hazards Staff assisting with events have appropriate training (outdoor first aid, 4WD etc)	Medium Risk	Andy Nelson		
Public Transport	60 Failure of rail asset causing serious injury	There is a serious incident on the network and the ensuing investigation identifies GWRL owned asset failure as a contributing cause.	High Risk	GW ensures that the rolling stock maintenance provider maintains high standards of rolling stock maintenance. GW ensures that the rolling stock maintenance provider responds quickly to asset failure issues and determines the root cause of any failure. GW ensures that there is a robust fault reporting and causality analysis system (FRACAS) process in place for all rolling stock. GW ensures that GWRL owned rail infrastructure assets are regularly maintained to a safe standard in accordance with the Asset Management Plan.	Medium Risk	Ian Gordon		
Public Transport	106 Failure of KiwiRail network asset causing serious injury, damage to GWRL assets or cancellation of multiple services	Failure of KiwiRail network asset causing: - serious injury - damage to GWRL owned asset - cancellation of multiple services	High Risk	GW ensures that KiwiRail has a robust network management plan that: - focuses funded renewal activities on critical components of the network - provides for infrastructure maintenance, monitoring and inspections GW ensures that KiwiRail has an emergency response plan that: - provides for efficient bus replacements - provides for effective customer communications in the event of a failure	Medium Risk	Angus Gabara		

Business Unit		Description		Details		Inherent risk level		Controls		Residual risk level		Risk owner	
Strategy & Community Engagement	96	Fatal or serious harm incident during the delivery of a sustainable transport programme or project	Many programmes delivered by the sustainable transport team take place on, or near, roads with live traffic and involve members of the public, volunteers, contractors, and/or Greater Wellington staff.			High Risk		Suppliers Health & Safety plans Health & Safety Plan Sustainable Transport Team Health & Safety Programme Risk Register		Low Risk		Melanie Thornton	
Water	2	Water supply fails to meet NZ drinking water standards resulting in public health issues	Water quality falls below NZ drinking water standards due to contamination of catchment, treatment failure, or contamination in distribution network.			Very High Risk		NZ Drinking Water Standards 2008 ISO 9001 Accreditation Management and ownership of water catchments Public health risk management plans		Low Risk		Maseina Koneferenisi	
Environment Management	4	Inadequate infrastructure in Parks	Buildings & infrastructure in poor state of repair, or not up to standard due to funding constraints or lack of maintenance, potentially leading to OSH issues, danger and loss of public confidence			High Risk		Insurance is in place Parks Operating Plan Parks Asset Management Plan Parks Capital Expenditure plan Parks staff training and Procedures & Guidelines		Low Risk		Broniek Kazmierow	
Environment Management	30	Failure to provide adequate early warning of flood	ESCI monitor water levels around the region & provide data & warnings about potential floods to farmers and the community.			High Risk		Asset Management Plan - Environment Group Flood monitoring equipment is in place at key sites around the Region & is monitored daily with regular inspections Flood procedure manual		Low Risk		Graham Sevicke-Jones	
Environment Management	31	Navigation accident in area of jurisdiction	Two ships collide or a ship grounds.			Very High Risk		Insurance is in place Statutory Compliance Asset Management Plan - Environment Group Harbour safety management system is in place and will be audited by Maritime NZ this year.		Low Risk		Mike Pryce	

Health and safety of staff and contractors & volunteers		GWRC staff, contractors & volunteers are exposed to a series of hazards potentially affecting their personal safety. Most of the significant hazards are in external environments and the work activities performed. Many of these hazards cannot be eliminated and risk is mitigated as much as is reasonably practicable.					
Business Unit	Risk Id	Description	Details	Inherent risk level	Controls	Residual risk level	Risk owner
Catchment Management	57	Death or severe harm to Catchment staff, contractors while undertaking work programmes	All health & safety associated risks causing death or severe harm to staff, contractors and public while carrying out Catchment work programmes. e.g. serious harm when using vehicles, equipment, and working around heavy machinery. Also includes severe falls and exposure.	High Risk	Insurance is in place Department Hazard Registers Working Alone Procedures & Equipment Health & Safety Plan Department Standard Operating Procedures	High Risk	Wayne O'Donnell
Catchment Management	72	Harm to staff, contractors when carrying out aerial pest control operations	Harm to staff, contractors, and public or damage to Council property when aerial pest control operations are in progress (e.g. aerial 1080, rook control, herbicide spraying)	High Risk	Bioworks Department Standard Operating Procedures Tb Free 1080 standard operating procedure	High Risk	Davor Bejakovich
Catchment Management	19	Harm to staff, contractors from ground pest control operations	Harm to staff, contractors, public and non targeted species from poisons and processes used in ground control pest eradication	Medium Risk	Department Hazard Registers Health & Safety Plan RPMS Operational Plans and Tb Free Vector Control Plans Bioworks Department Standard Operating Procedures	Medium Risk	Davor Bejakovich
Catchment Management	103	Fatality or permanent disability to Catchment Management staff arising from use of a quad bike in a manner that doesn't comply with organisational Health and Safety	Organisational Health and Safety procedures have been developed to help minimise the risk of incidents involving quad bikes. Staff are required to comply with these Health and Safety procedures.	Very High Risk	Department Hazard Registers Working Alone Procedures & Equipment Departmental Plans - Maintenance Schedules Health & Safety Plan Standard Operating Procedures	Medium Risk	Dave Cameron
Environment Management	8	Parks- Injury to staff	Injury from use of equipment that could cause harm if not used correctly (eg. 4WD Vehicles, quadbikes, Chainsaws etc), or accident in the bush due to natural hazards and remoteness with inability to seek help promptly when working alone	High Risk	Department Hazard Registers Working Alone Procedures & Equipment Parks Health & Safety Plan	Medium Risk	Bronek Kazmierow

Financial		Unforeseen financial impact including; loss of monies from defalcation, changes to exchange rates, interest rates, commodity prices, loss of other incomes, fines/penalties, poor investment or expenses incurred.					
Business Unit	Risk Id	Description	Details	Inherent risk level	Controls	Residual risk level	Risk owner
Finance, IT & Support	68	CentrePort gets into financial difficulty that requires Council support.	CentrePort requires the financial support of the Council as it bankers become concerned over its ability to repay its debt.	High Risk	Competent directors & management with regular reporting to shareholder SCI and oversight by shareholder with major transactions requiring shareholder approval Commercial property is on long term leases and provides buffer against economic down turn	Medium Risk	Warren Tocker
Finance, IT & Support	25	Loss of Council funds due to fraud	Defalcation of Council funds by staff member(s)	Low Risk	Insurance is in place Treasury Policy Internal Accounting Controls Accounting External & Internal Audit	Low Risk	Chris Gray
Public Transport	67	The cost of contracted bus services significantly exceeds the budget due to unforecast changes in the diesel bus contract index	The diesel bus contract index is significantly affected by the international price of oil and the NZ/US dollar exchange rate. Increases in the price of oil and/or a decrease in the exchange rate will increase the cost of providing contracted bus services	Medium Risk	Monitor the oil price and exchange rate and undertake hedge if considered necessary Make robust but conservative budget estimates of the bus index Maintain and use a reserve fund to mitigate bus contract cost fluctuations over time Amend bus operator contracts to include the new NZTA inflation index and the new fare recovery provision	Low Risk	Kerry Saywell
Public Transport	91	Driver or client misuse of Total Mobility scheme	Fraudulent transactions or fraudulent use of the Total Mobility scheme causes loss to GWRC, and time spent recovering monies.	Medium Risk	Enforceable Contracts with suppliers Ensure client terms and conditions are in place, that allow for monitoring and recovery of fraudulent transactions.	Low Risk	Rhona Hewitt

<p>Subsidiary companies and trusts</p>	<p>GWRC has several subsidiaries, namely CentrePort Ltd, WRC Holdings Ltd, Pringle House Ltd, Port Investments Ltd, Greater Wellington Rail Ltd and Grow Wellington Ltd. GWRC was the settler and is a trustee of the Wellington Regional Stadium Trust. Ownership of these companies exposes GWRC to risk.</p>
<p>Business Unit</p>	<p>Risk Id</p>
<p>Description</p>	<p>Details</p>
<p>Inherent risk level</p>	<p>Controls</p>
<p>Residual risk level</p>	<p>Risk owner</p>

Legislative and regulatory

Failure to follow regulatory obligations, non-compliance in terms of the Acts GWRC operates under.

Business Unit	Risk Id	Description	Details	Inherent risk level	Controls	Residual risk level	Risk owner
People & Capability	28	A major disaster impacts on the capacity and capability of emergency management to meet its statutory obligations	EM is overwhelmed by scale of disaster, inability to mobilise resources viz staff (numbers), facilities (adequacy), infrastructure (availability/adequacy)	High Risk	Wellington Region Civil Defence Emergency Group Plan together with specific disaster plans Memo of understanding with other Councils/WREMO	Medium Risk	Rian van Schalkwyk
People & Capability	36	Council decision-making process successfully challenged	Council does not comply with due process when making decisions. Council making decisions without complying with the decision-making requirements of the LGA 2002 (or other legislation).	High Risk	Internal review (Manager, Democratic Services) Training of Users (Manager, Democratic Services) Decision making Process & Guidelines	Medium Risk	Francis Ryan

Political	Any action or event that could bring GWRC into disrepute. Including but not limited to service delivery failure, damage or harm to the public, decision making process leading to public challenge.
Business Unit	Risk Id Description Details Inherent risk level Controls Residual risk level Risk owner

Environmental damage

Significant damage to the environment either through GWRC actions or lack of actions.

Business Unit		Risk Id		Description		Details		Inherent risk level		Controls		Residual risk level		Risk owner	
Environment Management	77		Contaminated site(s) either known or unknown that results in harm to environment and/or health		SLUR is a database of sites with known or suspected HAIL land use. HAIL is hazardous industries e.g. landfills or timber mills. It includes mapping tools and generates standard letters for replies to enquiries. Most information is sourced from the TA's. This information can affect property owners trying to sell their properties. The onus is on property owners to demonstrate that the property is not contaminated. The question is who is liable for potential loss of income by the property owner.		Very High Risk		Resourcing - additional admin resource has been provided to ensure that the database is updated regularly. Also the reports provided to the public have been reviewed and reformatted to be more user friendly. Additional technical expertise has also been allocated to review the data provided by the TA's.			Medium Risk		Graham Sevicke-Jones	
Water	34		Environmental damage caused by Water operations		Water abstraction and treatment process exceeds the restrictions and limitations of resource consents		High Risk		ISO 14001 system managed through Q-Pulse Water supply operating procedures managed through Q-Pulse			Medium Risk		Maseina Koneferenisi	

Projects

GWRC is exposed to the risk associated with the implementation and management of projects. Risks arise due to a number of factors and the Project Management Policy requires that risks are identified as part of the project documentation process.

Business Unit	Risk Id	Description	Details	Inherent risk level	Controls	Residual risk level	Risk owner
Public Transport	108	The Matangi 2 and Matangi 1 retrofit project fails to deliver trains of the required quality, on time and within budget	The Matangi 2 and Matangi 1 retrofit project fails to deliver trains of the required quality, on time and within budget	Very High Risk	<p>Ensure strong project management over the project, including:</p> <ul style="list-style-type: none"> - steering committee - appropriate project structure - project risk reporting - financial reporting - expert independent advice - on site inspection prior to acceptance - regular project meetings with suppliers - documentation requests linked to progress payments - performance bonds - appropriate contract provisions including liquidated damages - formalised sign off procedure - appropriate contingency in budget - appropriately experienced project manager & team 	Medium Risk	Angus Gabara

Human resources		Poor staff engagement and retention, poor recruitment practices or a failure to anticipate future resourcing, competency and leadership requirements will adversely impact on GWRC's ability to operate effectively and efficiently.					
Business Unit	Risk Id	Description	Details	Inherent risk level	Controls	Residual risk level	Risk owner
People & Capability	75	Disruption to staff and business as usual due to local government reorganisation	Potential loss of key skills and knowledge and difficulty to recruit replacements. Management will focus on the reorganisation with less time on new projects and business as usual leading to business interruption.	High Risk	Effective communication with staff will help lower the risk of negative impact	Medium Risk	Leigh-Anne Buxton