

Waitomo District Council Risk Register

OVERARCHING STRATEGIC OUTCOME: FAILING TO DELIVER THE COMMITMENTS MADE IN LONG TERM PLAN														
STRATEGIC RISK	Risk Title & Description	Consequences	Risk Assessment Prior to Controls and Treatments			Current Risk Controls & Treatments	Residual Risk Assessment (post controls & treatment)			Control Effectiveness	Suggested Residual Risk Controls and Treatments	Risk Owner	Response Owner	Response Date
			Likelihood	Consequences	Risk Level		Likelihood	Consequences	Risk Level					
1 GOVERNANCE														
1.1	Elected members are not adequately trained and/or developed	Resulting in: <ul style="list-style-type: none"> Failing to deliver commitments made in LTP Potential breach of elected members responsibilities (e.g. pecuniary interests, legal responsibilities) 	3	3	M (9)	<ul style="list-style-type: none"> Induction process following election Code of Conduct Standing orders Access to Mayor and CEO for information needs and advice. Regular workshop briefings on key policy issues. Informal networking with elected members from other TAs. 	2	3	M (6)	M	<ul style="list-style-type: none"> Training of elected members in governance role and responsibilities. 	Council	CEO	
1.2	Elected members are not effective in making robust, informed decisions.	Resulting in: <ul style="list-style-type: none"> Loss of community confidence in elected members decision making Damage to organisational reputation and credibility Potential for judicial review of decision making 	3	3	M (9)	<ul style="list-style-type: none"> Access to mayor and CEO for information needs and advice. Regular workshop briefings on key policy issues. Detailed and accurate officer reporting. 	2	3	M (6)	M	<ul style="list-style-type: none"> Training of elected members in governance role and responsibilities. 	Council	CEO	
1.3	Elected member decision making not aligned with adopted plans and strategies	Resulting in: <ul style="list-style-type: none"> High incidence of unplanned initiatives outside LTP Decision making becomes ad-hoc rather than planned and sustainable, leading to potential for decision reversal and uncertainty Organisational capacity required to deliver strategic direction and core programme commitments becomes marginalised. 	3	3	M (9)		2	3	M (6)	M	<ul style="list-style-type: none"> Training of elected members in governance role and responsibilities. 	Council	CEO	

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2 ECONOMIC AND SOCIAL														
2.1	External economic and social factors are not appropriately considered in planning and direction setting	Resulting in: <ul style="list-style-type: none"> Significant financial loss Loss of public confidence Reduction of services provided to an affordable level 	2	3	M (6)	<ul style="list-style-type: none"> 3-yearly review of district population demographics. Access to and participation in regional economic development outlook. Access to and monitoring of BERL inflation adjustment forecasts. Review of LGNZ and SOLGM analysis of new legislation. Consideration of district deprivation and deprivation. 	1	3	L (3)	VH	<ul style="list-style-type: none"> Monitor effectiveness of current risk controls and treatments. 	Council	GM - Corp. S	
2.2	Unclear direction setting through LTP or inadequate follow through of set direction.	Resulting in: <ul style="list-style-type: none"> Reduction in service delivery. Loss of public confidence Reputational damage. Inadequate service delivery Disconnect between community expectations and service delivery 	2	4	M (8)	<ul style="list-style-type: none"> Early and regular planning and briefing sessions with elected members in preparation of draft annual plan Preparation of detailed Roadmap for monitoring implementation of agreed direction and actions. 	1	4	L (4)	VH	<ul style="list-style-type: none"> Monitor effectiveness of current risk controls and treatments. 	Council	GM - Corp. S	
2.3	Major reduction in WDC funding source arising from external economic, environmental or government policy.	Resulting in: <ul style="list-style-type: none"> Reduction of services provided Reduction in budget allocations, OR; Increased cost of delivering same levels of service Loss of public confidence 	2	3	M (6)	<ul style="list-style-type: none"> Three yearly review of Revenue and Financing Policy and Funding Impact Statement to ensure cost of service delivery is allocated equitably and is affordable Robust business cases to ensure major funding source ex NZTA subsidy towards road and footpath maintenance and capital costs is secured. Implementation of new capital projects is dependent on external funding being secured before project proceeds (e.g. new toilet blocks for Mokau and Waitomo Village are dependent of 50% TIF funding) 	1	3	L (3)	VH	<ul style="list-style-type: none"> Monitor effectiveness of current risk controls and treatments. 	Council	GM – Corp. S	

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3	FINANCIAL													
3.1	WDC investments are not regularly assessed for strategic and or financial viability.	Resulting in: <ul style="list-style-type: none"> Loss of community and stakeholder (viz banks and auditors) confidence in WDC's ability to manage its finances 	3	3	M (9)	<ul style="list-style-type: none"> Regular review of and reporting on WDC investments. 	2	3	M (6)	VH	<ul style="list-style-type: none"> Review and develop risk controls and treatments for WDC investments. 	Council	GM - Corp. S	
3.2	WDC's shareholding investment does not meet financial and strategic objectives.	<ul style="list-style-type: none"> Additional financial costs and loss of financial sustainability to the extent that Council's ability deliver services is severely compromised Rates become unsustainable 	3	4	H (12)	<ul style="list-style-type: none"> Quarterly reporting against WDC financial performance targets. Regular informal meetings between Inframax and the Shareholders Investment Committee to monitor past and future performance and issues. 	3	4	H (12)	L	<ul style="list-style-type: none"> Six monthly reporting of performance by Inframax to ARC against its Annual Statement of Intent and performance and risks Establish policy based rationale for continued ownership of Inframax. 	Council	GM - Corp. S	
3.3	Financial policies & procedures are not adequately monitored, implemented or complied with.	Resulting in: <ul style="list-style-type: none"> Legislative non-compliance, possibility of fraud 	3	4	H (12)	<ul style="list-style-type: none"> Internal management control procedures in place to ensure compliance with financial processes and procedures. 	1	4	L (4)	H	<ul style="list-style-type: none"> Monitor effectiveness of current risk controls and treatments on a periodic basis. 	Council	GM - Corp. S	
3.4	Regional shared services do not adequately align with WDCs strategic direction or deliver positive cost benefit.	Resulting in: <ul style="list-style-type: none"> Financial loss due to resource allocation that serves no apparent or actual benefit WLASS alienation 	3	2	M (6)	<ul style="list-style-type: none"> Regional Shared Services are, by definition, developed and agreed through a process of negotiation to endeavour to achieve cross-boundary, TLA member alignment. 	2	2	L (4)	M	<ul style="list-style-type: none"> Monitoring and reporting, as required, on departures from or participation in Regional Shared Services, and the reasons why. 	Council	GM - Corp. S	

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4 TECHNOLOGY														
4.1	Cyber Security breach as a result of unauthorised access.	Resulting in: <ul style="list-style-type: none"> Reputational damage Financial Loss Loss of information 	5	4	Extreme (20)	<ul style="list-style-type: none"> ICT security practices include: <ul style="list-style-type: none"> Remote and automatic daily back-up of all data Information management policies in place ICT acceptable use policy in place and monitored Confidential document destruction service ICT incident management process established to manage breaches and potential issues 	3	3	M (9)	M	<ul style="list-style-type: none"> Monitor effectiveness of current risk controls and treatments on a periodic basis. Undertake independent baseline securities and policies assessment. 	Council	GM - Corp. S	
4.2	Not keeping up with technological change at the customer and internal services interface	<ul style="list-style-type: none"> Lost opportunities for technology driven improvements to service delivery Privacy breaches Confidentiality breaches Non-compliance with legislative requirements Reputational harm /loss of stakeholder trust Operational downtime and productivity loss bringing about inefficiencies Ineffective and inefficient productivity through the use of outdated technology Outdated programmes 	3	3	M (9)		3	3	M (9)	M	<ul style="list-style-type: none"> Review the effectiveness of current risk controls and treatments and identify interventions to address gaps 	Council	GM - Corp. S	
4.3	Inadequate investment in WDC's ICT (technological & human resources)		3	3	M (9)	<ul style="list-style-type: none"> Financial resourcing capacity requirements for technology are adequately provided for in the LTP. Off-site back-up resource 	3	3	M (9)	H	<ul style="list-style-type: none"> Review the effectiveness of current risk controls and treatments and identify interventions to address gaps. Investigate resourcing options for driving changes necessary to maintain WDC's ICT up to date and relevant to organisational and customer needs. 	Council	GM - Corp. S	

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4.4	Inadequate HR market for the supply of technical skills required to implement ICT requirements.	<ul style="list-style-type: none"> Reliance on outsourcing of core ICT service requirements. Lost time due to unavailability of service, or misalignment of a coordinated approach to ICT system implementation and servicing 	3	4	H (12)	<ul style="list-style-type: none"> Employment packages that recognise competitive regional market for the supply of the required ICT implementation skills Succession and business continuity planning 	2	3	M (6)	M	<ul style="list-style-type: none"> Monitor effectiveness of current risk controls and treatments on a periodic basis. 	Council	GM - Corp. S	

5 INFRASTRUCTURE														
5.1	Infrastructural assets do not meet current or future levels of service requirements and are not being renewed or managed efficiently.	<ul style="list-style-type: none"> Reputational damage Financial loss Reduced services Inhibited economic development Decline in levels of service Resource consent requirements not met Increased risk to public safety Decline in asset value. 	4	4	H (16)	<ul style="list-style-type: none"> Asset management plans ensure that infrastructure are reviewed 3-yearly to identify a prioritised, forecast work programme based on age, condition and performance of assets to ensure the agreed level of service delivery is provided Regular monitoring reports on the annual work programme to ensure the programme is achieved Every three years, through the LTP process, there is a formal review of asset management plans and funding provisions, agreeing acceptable level of reliability/risk profile, alignment with objectives and financial viability Independent external review, audit, and input into asset plans and peer reviews of project scopes Implementation of identified 3-yearly improvements to asset management plans. Training for effective asset management processes. 	2	2	L (4)	H	<ul style="list-style-type: none"> Monitor effectiveness of current risk controls and treatments. 	Council	GM - IS	
5.2	Infrastructural asset capacity or condition does not support overall WDC objectives and does not support the delivery of service outcomes	<ul style="list-style-type: none"> Reputational damage Financial loss Reduced services Inhibited economic development Decline in levels of service Resource consent requirements not met Increased risk to public safety Decline in asset value. 	4	4	H (16)	<ul style="list-style-type: none"> Asset management plans ensure that infrastructure are reviewed 3-yearly to identify a prioritised, forecast work programme based on age, condition and performance of assets to ensure the agreed level of service delivery is provided Regular monitoring reports on the annual work programme to ensure the programme is achieved Every three years, through the LTP process, there is a formal review of asset management plans and funding provisions, agreeing acceptable level of reliability/risk profile, alignment with objectives and financial viability Independent external review, audit, and input into asset plans and peer reviews of project scopes Implementation of identified 3-yearly improvements to asset management plans. Training for effective asset management processes. 	2	2	L (4)	H	<ul style="list-style-type: none"> Monitor effectiveness of current risk controls and treatments. 	Council	GM - IS	

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6 BUSINESS CONTINUITY														
6.1	Damage to critical WDC infrastructure and buildings following a natural disaster such as earthquake, fire, flood	Resulting in: <ul style="list-style-type: none"> Potential damage to social wellbeing (public health, access etc.) 	4	4	H (16)	<ul style="list-style-type: none"> Three yearly review of asset management plans to improve identification of critical assets and prepare programmes to increase resilience to man-made and natural disasters. Provision of duplicate services where practicable for critical assets. Regular testing of back-up systems for business function. Business continuity plans Investigations underway to identify an alternative water supply for Te Kuiti due to the recent experience highlighting instability of soils in the Mangaokewa Stream catchment. 	3	3	M (9)	M	<ul style="list-style-type: none"> Undertake site specific risk audits of critical infrastructure and buildings and prepare risk management/retreat plans. 	Council	GM - IS	
6.2	Damage to critical infrastructure and buildings following a manmade disaster such as explosion, fire, etc.	<ul style="list-style-type: none"> Reputational damage, Financial loss Reduced services or failure to deliver agreed services Inability to return to business as usual in a timely manner 	3	4	H (12)		3	3	M (9)	M	<ul style="list-style-type: none"> Undertake site specific risk audits of critical infrastructure and buildings and prepare risk management plans. 	Council	GM - IS	
6.3	Business function is significantly interrupted due to a lack of business continuity planning and organisational resilience.	<ul style="list-style-type: none"> Loss of service delivery while continuity issues addressed Inefficiencies in recovery operation Failure to achieve expected business outcomes 	4	4	H (16)		3	4	H (12)	M	<ul style="list-style-type: none"> Develop business continuity plans 	Council	GM - Corp. S	
6.4	Critical IT infrastructure failure		3	4	H (12)		3	4	H (12)	L	<ul style="list-style-type: none"> Develop business continuity plans 	Council	GM - Corp. S	

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7 PROJECT/ CONTRACT DELIVERY														
7.1	Inability to attract contestable contractor market	Resulting in: <ul style="list-style-type: none"> Cost inefficiencies due to non-competitive pricing Limited contractor innovation Delay in completion of projects due to unavailability of contractors. 	3	4	H (12)	<ul style="list-style-type: none"> Preparation of 3-yearly review of procurement strategy for NZTA subsidised roading works Procurement planning - timing works to optimise availability of contractor market 	2	3	M (6)	H	<ul style="list-style-type: none"> Establish market availability at procurement planning stage, through direct engagement or stepped RoI, RFP, RFT. 	Council	GM - IS	
7.2	Poor performance by contractor (contracts over \$50,000)	Resulting in: <ul style="list-style-type: none"> Financial loss Reduced levels of service. Reputational damage. Inefficient and ineffective use of resources (financial, technological, human) Legal proceedings against WDC. 	3	4	H (12)	<ul style="list-style-type: none"> Use of appropriate price and quality attributes at tender proposal stage Investigate track record and relevant experience of tenderers. Obtain references Examine pricing to confirm realistic value 	1	3	L (3)	VH	<ul style="list-style-type: none"> Monitor effectiveness of current risk controls and treatments. Introduce contract management training for relevant staff. Improve consistency and standard of contract documentation - design drawings, specification and schedules 	Council	GM - IS	
7.3	Lack of staff capacity or capability to manage external contracts.	Resulting in: <ul style="list-style-type: none"> Financial loss Reduced levels of service Poor or delayed delivery of outputs Loss of public confidence Loss of confidence from contractors Potential contractual disputes 	3	4	H (12)	<ul style="list-style-type: none"> Fit for purpose project structure incorporating mix of project, technical and contract management skills. Expenditure and progress monitoring and reporting with intervention if necessary. Supplementary technical skills obtained for areas lacking technical expertise 	2	2	L (4)	H	<ul style="list-style-type: none"> Increase staff training in contract management. Develop contract management procedures. 	Council	GM - IS	
7.4	Major unforeseen project expenditure creates a significant overspend.	Resulting in: <ul style="list-style-type: none"> Financial loss Reduced levels of service Reduction of budgets Loss of public confidence 	3	3	M (9)	<ul style="list-style-type: none"> Structured pre-construction project planning – scoping, investigation of options, preliminary design, costing, procurement, construction. Procurement plan sign-off. Budget offset reallocation 	2	2	L (4)	M	<ul style="list-style-type: none"> For larger contracts (>\$50,000). More emphasis on investigation and reporting stage ahead of budgeting. 	Council	GM - IS	

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7.5	Inadequate Health and Safety procedures and measures in place for physical works projects.	<p>Resulting in;</p> <ul style="list-style-type: none"> Occupational death, injury or illness experienced by staff, contractors, volunteers or members of public Prosecution procedures commenced against Non-compliance with some or all of the legislation Loss of public confidence 	3	4	H (12)	<ul style="list-style-type: none"> SHE contractor pre-qualification process, contract monitoring and control. Hazard identification and documentation Site inductions, audits and inspections Contract specific safety plans Practising the plan KPI reporting Incident Reporting Contractor Public Liability insurance. 	2	4	M (8)	H	<ul style="list-style-type: none"> Develop health and safety workplace culture Monitor & review effectiveness of current risk controls and treatments 	Council	GM - IS	
7.6	Potential environmental impacts are not adequately managed.	<p>Resulting in;</p> <ul style="list-style-type: none"> Non-compliance with some or all of the legislation Legal proceedings against WDC Loss of public confidence 	3	3	M (9)	<ul style="list-style-type: none"> Obtaining all necessary resource consents before starting work. Requiring contractors to provide environmental management plans before starting work. Establishing a complaints register and investigating all complaints. Monitoring of work. Training of staff in safe environmental practices and consent compliance reporting. 	1	3	L (3)	H	<ul style="list-style-type: none"> Monitor effectiveness of current risk controls and treatments Require contractors to demonstrate compliance with conditions of consent 	Council	GM - IS	

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8 LEGAL & REGULATORY														
8.1	Failure to meet legislative, regulatory or policy requirements	Resulting in: <ul style="list-style-type: none"> Non-compliance with some or all relevant legislation Regulatory infringement Loss of public confidence Significant financial loss Prosecution proceedings 	2	4	M (8)	<ul style="list-style-type: none"> Review of LGNZ and SOLGM analysis of new legislation. Legal advice Pre-audit of draft LTP. LGNZ/SOLGM advice and guidelines. 	1	4	L	VH	<ul style="list-style-type: none"> Monitor effectiveness of current risk controls and treatments. 	Council	GM - Corp. S	
8.2	New legislation imposes additional financial compliance and reporting requirements that are not met	Resulting in: <ul style="list-style-type: none"> Qualified Annual Report Loss of public confidence Increased costs of compliance Additional demands on resources 	2	4	M (8)	<ul style="list-style-type: none"> Review of LGNZ and SOLGM analysis of new legislation. Legal advice Pre-audit of draft LTP. LGNZ/SOLGM advice and guidelines. 	1	4	L	VH	<ul style="list-style-type: none"> Monitor effectiveness of current risk controls and treatments. 	Council	GM - Corp. S	
8.3	Significant harm or death is caused to WDC employees or others present from time to time at WDC work places due to poor or inactive health & safety procedures, noncompliance with legislative requirements or inadequate management.	Resulting in: <ul style="list-style-type: none"> Occupational injury, illness or death, experienced by staff, elected members, contractors, visitors volunteers or members of public Regulatory or court action commenced against WDC Non-compliance with some or all of the legislation Loss of public confidence Negative and potentially serious outcomes for casualty 	3	4	H (12)	<ul style="list-style-type: none"> Health and Safety Management Framework Health & Safety Policies, Procedures & Guidelines Workplace audits, inspections & monitoring Local government contractor pre-qualification Health & Safety Committee Hazard identification and documentation H & S induction processes Contract safety plans, monitoring and post-contract review Training and reward for correct behaviour. KPI reporting Contractor Public Liability insurance. 	2	4	M (8)	H	<ul style="list-style-type: none"> Monitor and review effectiveness of current risk controls and treatments Develop a culture of health and safety Ensure all staff receive appropriate training in safe work practices relevant to WDC 	Council	GM – Comm. S	

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9 HUMAN RESOURCES														
9.1	Business outcomes are significantly impacted due to inability to attract appropriately skilled staff	Resulting in: <ul style="list-style-type: none"> Lack of workforce stability Pressure on staff as workload increase is spread Staff retention issues Service delivery compromised Lack of internal capability for key competency sets Over-reliance on contractors and Consultants 	3	3	M (9)	<ul style="list-style-type: none"> Use of contractors with skill sets required for specific projects Use of employment incentives to attract and retain skilled staff from a regional market Remuneration policy relevant to the employment market 	2	3	M (6)	H	<ul style="list-style-type: none"> Ensure appropriate resource capacity is in place relevant to business needs Development and use of shared services opportunities Monitor and review effectiveness of current risk controls and treatments. Develop an HR Strategy Marketing of district attributes to attract younger families offering skilled staff 	Council	GM – Comm. S	
9.2	Business outcomes are significantly impacted due to inability to retain appropriate staff	<ul style="list-style-type: none"> Erosion of leadership role Outcomes not fit-for purpose and/or not cost effective External opportunities lost Non-compliance with LGA decision making requirements 	3	3	M (9)	<ul style="list-style-type: none"> Workplace Health & Wellness Programme Personal Development Policy Succession planning Resource sharing – e.g. WLASS 	2	3	M (6)	H	<ul style="list-style-type: none"> Monitor and review effectiveness of current risk controls and treatments. Ensure adequate budgets are in place to attract, train and retain skilled staff Develop employee retention strategy 	Council	GM – Comm. S	
9.3	Business outcomes are significantly impacted due to inability to train and develop appropriate staff from available budget	<ul style="list-style-type: none"> Lack of advancement or diversity opportunities at WDC Lack of succession planning Organisational capacity to respond to work flow in an effective and timely manner is compromised 	3	3	M (9)	<ul style="list-style-type: none"> Professional development targeted to role specific needs Provision in LTP for adequate human resource budget and capability corresponding to business needs Resource sharing (e.g. WLASS) 	2	3	M (6)	H	<ul style="list-style-type: none"> Ensure adequate budgets are in place to attract, train and retain skilled staff Further develop opportunities for resource sharing to achieve effectiveness & efficiency gains, reduce duplication, of effort and to promote and contribute to the development of best practice 	Council	GM – Comm. S	

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10 CIVIL DEFENCE AND EMERGENCY MANAGEMENT														
10.1	Inadequate provision is made to meet WDC's requirements for the 4 Rs	Resulting in: <ul style="list-style-type: none"> Breach of Civil Defence Emergency Management Act 2002. Reputational Damage Reduced services Lack of leadership or structured delivery during and after an event Heightened risk of endangerment of community and property Loss of community confidence in WDC's role Loss of emergency services' and lifeline partners' confidence in WDC's role Inability to return to business as usual in a timely manner Loss of service delivery while continuity issues are addressed 	3	4	H (12)	<ul style="list-style-type: none"> CDEM Response and Recovery Plan in place Emergency management team (WDC) in place. Local Controller and Recovery Manager appointed Waikato Region Emergency Management Group EDL established and resourced Lifelines identified in relevant asset management plans and projects to increase resilience Limited hazards identification as part of District Plan review 	2	3	M (6)	M	<ul style="list-style-type: none"> Improve the resilience of the WDC EMC to ensure earthquake protection and continuity of essential services (power, water, sanitary, ICT) over a sustained period Commit to training of emergency management staff Develop shared service arrangement – Western Waikato emergency operating area 	Council	GM - CS	