

KDC Risk Register

#	Activity	Category	Similar risks	Risk Event	Description	Effect on Reputation (High / Med / Low)	Risk Owner (ET member)	Person Responsible (Staff member)	Inherent (before Controls)			Key Controls in place	Residual (after Controls)		
									Likelihood	Consequence	Risk Status		Likelihood	Consequence	Risk Status
199	Waste water	Operations and Service Delivery / Health & Safety / Reputational	Public Health	Public safety - water pollution leads to community illness	Failing private waste water schemes create pollution which results in community illness	High	GM Infrastructure Services	Waters & Waste Manager	5	4	20		5	4	20
192	Flood Protection & Control Works	Operations and Service Delivery / Environmental / Financial / Health & Safety	Weather events, natural hazard, disasters	Moderate Natural Hazards – (minor earthquake/landslips/moderate storm event). Inability to minimise effects	Inability to minimise the effects of moderate natural hazards, caused by external risks not adequately identified, staff's inadequate understanding of disaster recovery procedures, CDEM not adequately resourced etc, resulting in destruction of / damage to infrastructural assets; loss of service; compromised ability to operate business under normal conditions; inability to respond to, or effectively manage and recover from, disaster or emergency; potential loss of life, financial costs to Council and community and potential damage to river channels	High	GM Infrastructure Services		4	4	16	1. Flood Control Schemes. 2. Flood Damage Funding and Funding for Disaster Relief. 3. Business Continuity Plan for Infrastructure Services will be in place to ensure essential services continue to be delivered to the community as far as possible in the event of a disaster. 4. Experienced and trained staff. 5. Critical assets identified.	4	4	16
252	Waste water	Legal and Regulatory Compliance / Reputational / Financial / Operations and Service Delivery	Consent non-compliance	Resource consents non-compliance	Failure to comply with the resource consents conditions, due to lack of resources, human error or infrastructure failure, resulting in potential unlawful action, regulatory sanctions (e.g. NRC issuing an infringement notice) and reputational damage.	High	GM Infrastructure Services	Waters & Waste Manager	4	4	16	1. Staff monitoring the resource consents compliance with testing. 2. NRC testing and reporting. 3. Specific discharge non-compliance: some of the WWTPs regularly have periods of non-compliance with specific requirements of their discharge consents. With oxidation ponds this can be difficult to manage as they are biological systems with key adjustable controls other than aeration.	4	4	16
1	Health & Safety	Health & Safety / Operations and Service Delivery/ Reputational / Regulatory and Legal / Human Resources	Health & Safety - Other	Council not meeting the requirements of the Health and Safety at Work Act 2015	Council not meeting the requirements of the Health and Safety at Work Act 2015 because of inadequate / incomplete H&S framework, policies and procedures in place or inconsistent practices across the organisation, resulting in inability to adequately protect staff and the community from hazards or events which compromise their physical and emotional wellbeing, whilst delivering Council services; serious harm and/or death, or WorkSafe prosecution for poor working practices.	High	GM People & Capability	Health & Safety Advisor	5	3	15		5	3	15
2	Health & Safety	Health & Safety / Operations and Service Delivery/ Reputational / Regulatory and Legal / Human Resources / Financial	Health & Safety - Other	Serious injury or death from a hazard	A contractor or a member of the public dies or suffers serious harm at a workplace due to Council's action or inaction, resulting in investigation / prosecution by WorkSafe, potential fines, negative impact on the Council's reputation and direct impact on victim, family and community.	High	GM People & Capability	Health & Safety Advisor	3	5	15	1. Health & Safety Policy. 2. Risk and hazard identification and management	3	5	15
3	Health & Safety	Health and Safety / Operations and Service Delivery	Health & Safety - Other	<i>Health & Safety:</i> Council vehicle crash	Staff at risk while driving, due to road and weather conditions, fatigue or other road users fault, resulting in injuries or death.	High	GM People & Capability	Health & Safety Advisor	3	5	15	1. Safe Driving Standard and Motor Vehicle Policy. 2. Weekly overspeed reports through the SmartTRack GPS system. 3. Staff training when required.	3	5	15
182	Infrastructure Services	Health & Safety / Legal and Regulatory Compliance / Reputational / Financial	Health & Safety - Other	Serious injury or death of contractor / staff during normal operations	Serious injury or death of contractor / operator / staff during normal operations due to an accident or asset failure.	High	GM Infrastructure Services	Waters & Waste Manager	4	5	20	1. Health & Safety policy, procedures and training. 2. Monthly site audits and reporting. Contract management.	3	5	15

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196	Flood Protection & Control Works	Operations and Service Delivery / Financial / Reputational	Weather events, natural hazard, disasters	Partial or complete failure to provide accurate and/or timely river level information in the event of flooding in monitored catchments	Partial or complete failure to provide accurate and/or timely river level information in the event of flooding in monitored catchments, resulting in the inadequate flood response or lack of action by CDEM, financial loss and reputational damage.	Med	GM Infrastructure Services	Stormwater Activity Manager	5	3	15	1. Processes in place; skilled and experienced staff.	5	3	15
233	Stormwater	Environmental / Operations and Service Delivery / Financial / Reputational / Health and Safety	Weather events, natural hazard, disasters	Flooding of habitable portions of a residential dwelling: - significant weather event and under capacity network - extreme weather event beyond practical capacity - silt, vegetation and debris	Flooding of habitable portions of a residential dwelling, non-habitable buildings and low-lying portions of the road network, caused by: - network affected by significant weather event or by tides being overloaded but still under capacity' - extreme weather events (due to climate change) overloading the stormwater networks, - silt /sediment, vegetation or debris (e.g. dumped fill or		GM Infrastructure Services	Waters & Waste Manager	4	5	20	1. In-house planning and design. 2. AMP, Annual Plan, LTP processes. 3. Maintenance staff in place - response times as per service levels. 4. Building inspections procedures to ensure stormwater systems are being constructed appropriately. 5. Regional Emergency Response Plan.	3	5	15
235	Stormwater	Environmental / Operations and Service Delivery / Financial / Health and Safety	Service Delivery Failure	Stormwater infiltration into the wastewater network	High levels of stormwater entering the wastewater system can overload the wastewater network, resulting in untreated wastewater being directly discharged into the environment.	Medium	GM Infrastructure Services	Waters & Waste Manager	5	3	15	1. Parts of the Dargaville and Mangawhai stormwater network require repairs to reduce stormwater infiltration into the wastewater system. Repairs to both the public stormwater system and privately-owned stormwater pipes and gully traps still need to be completed.	5	3	15
241	Stormwater	Health & Safety / Legal and Regulatory Compliance / Reputational / Financial	Public Safety	Public safety	Public safety compromised due to a person falling in, causing injury or death (e.g. stormwater manhole or pump station lid left off by contractor staff, inlets/outlets are dark, slippery or have no safety rail or stream/pond have no fencing).	High	GM Infrastructure Services	Waters & Waste Manager	4	5	20	1. Operational procedures and practices for Health & Safety. 2. Good processes for dealing with open manholes ie fencing or cones for work in progress	3	5	15