

Risk	Risk Factors/Drivers	Negative Effects	Risk Treatment(s)	Residual Risk	Treatment Status	Risk Status
1 Underperforming Council	<p>Conflicts of Interest & Prejudice</p> <p>Disclosure of Confidential Information</p> <p>Failure to Complete Due Diligence</p> <p>Lack of Knowledge of Elected Representatives Roles & Incorrect Decision Making Processes</p> <p>Not Maintaining Collective Goals</p>	<p>Possibility for judicial reviews and/or claims against Council. Loss of reputation. Breach of internal policies and standing orders. Breach of legal duties</p> <p>Reputational risks. Financial risks associated with potential claims against Council. Possible breach policies and/or standing orders</p> <p>Possible non compliance with legal requirements. Financial risks associated with acceptance on bad advice. Possible third party contract failures. Possible breach policies and/or standing orders.</p> <p>Possible non-compliance with legal and regulatory obligations. Potential to fail to meet customer & ratepayer commitments. Potential to impact of long term financial sustainability</p> <p>Possible risks arising from failure to meet customer & ratepayer commitments. Possible breaches of internal policies and standing orders Financial risks associated with inefficiencies created</p>	<p>Training and induction for new Council. All Councillors provided with the Office of the Auditor General guidelines on conflicts of interest. Elected Members Register of Interests as per requirements of the Local Authorities (Members' Interests) Act 1968</p> <p>Training and induction for new Council Adoption of a Taupo District Council Code of Conduct which identifies expectations surrounding confidentiality and the processes for dealing with breaches should they occur.</p> <p>Council agendas are made available in time to allow appropriate due diligence to be made. All agendas use a template to ensure all relevant Local Government Act requirements are identified and addressed and are also reviewed and approved by the Senior Leadership Group.</p> <p>Training and induction for new Council. Adoption of Standing Orders that apply to all meetings, committees and subcommittees.</p> <p>Training and induction for new Council.</p>	H	<p>Induction completed. Members Declared Interest Form completed by elected representatives. No issues identified to date</p> <p>TDC Code of Conduct, 25 February 2014 adopted by the Council. Current code of conduct is being reviewed and to be formally adopted by Council.</p> <p>All agendas reviewed and approved by the SLG and complying with all LGA requirements are made available to elected representatives in time for them to complete appropriate due diligence. No recorded issues to date</p> <p>2016 elections delivered an experienced Council. Training completed post 2016 elections. Standing orders adopted 25/10/2016. No issues identified to date</p> <p>Training and induction completed.</p>	No Change

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2	Unsatisfactory Officer Relations	Inappropriate Treatment of Elected Representatives Officer Interference	Possible non-compliance with legal and regulatory obligations. Potential to fail to meet customer & ratepayer commitments. Reputational risks. Financial impact from inefficiencies Possible risks arising from failure to meet customer & ratepayer commitments. Possible breaches of internal policies and standing orders. Financial risks associated with inefficiencies created. May cause result in non-compliance with legal and regulatory obligations	Adoption of staff work rules that identify unacceptable behaviours and managed by the CEO in their role as the employer Adoption of staff work rules that identify unacceptable behaviours and managed by the CEO in their role as the employer. Adoption and enforcement of a conflict of interest policy for staff and communication of minimum accepted behaviours for staff.	M	No complaints from elected representatives identified and recorded No complaints or incidents of officer interference recorded	No Change
3	Employment Relations	Employment of the CEO Failure to Separate Employer and Governance Roles	Possible non compliance with legal requirements. Reputational risks. Potential to impact on ability to meet customer and ratepayer commitments Possible non-compliance with legal and regulatory obligations. Reputational risks. Possible breaches of internal policies and standing orders. Financial risks associated with inefficiencies created	Training and induction for new Council. Assistance provided by external HR consultants. Training for new Council on the role of employer of CEO. Delegation to the Chief Executive Officer by Council resolution to perform CEO role and recording of these delegations in a delegation manual.	M	New CEO employed with assistance from external consultants. 3 monthly performance reviews being undertaken. No issues have arisen to date CEO recruitment completed. Delegations to the Chief Executive Officer have been confirmed by the Council and are recorded in the Delegations Manual. No recorded issues to date.	No Change
4	Central Government Policies	Statutory Removal of the Council Changes to Local Government Legislation	Financial risks associated with costs involved. Reputational risks. May result in failure to meet customer & ratepayer commitments. May result in unscheduled changes to strategic plans Possible significant impact on Council's long term financial sustainability. May result in failure to meet customer & ratepayer commitments. May result in unscheduled changes to strategic plans	Training and induction for new Council. Regular scheduled performance reporting to elected representatives to identify any issues that could escalate to the point that government intervention is considered. Monitoring and reporting on legislation and central government policies that affect the Council and it's ratepayers	M	Regular scheduled performance reporting to elected representatives that identifies any issues that could escalate to the point that government intervention is considered is in place Monitoring taking place and reporting to governance taking place as new issues are identified	No Change

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5	Key Relationship Failures	Dysfunctional Relationship with Iwi Failure of Key Relationships	Failure to meet statutory obligations relating to participation for Iwi in local government within their areas. May adversely affect many developments in the district. Failure to achieve LTP outcomes. Negative effects the development and implementation of improvements to service delivery. non compliance with legal requirements (MOUs SLAs etc.) Impact on reputation	Training and induction for new Council on Treaty of Waitangi and LGA 2002 requirements. Employment of a Strategic Relationships Manager to assist in consultation and relationships. Training and induction for new councillors that covers current relationships and agreements the Council is involved in. Regular reporting to on all key external relationships.	M	Strategic Relationships Manager is employed to assist in consultation and relationships. No significant issues to date. Training completed. Reporting taking place. No issues identified.	No Change
7	Communications	Public's Lack of Understanding of Local Government Inadequate Consultation and Communication	Reputational risks. Financial risks associated with delays and actions taken against Council. Affects the ability to meet LTP outcomes Reputational risks. Financial risks associated with delays and actions taken against Council. Affects the ability to meet customer and ratepayer commitments	Adoption of a communication strategy LGA 2002 consultation requirements are identified and addresses in all agenda items and Council decisions	M	Communications strategy in place and monitored. High levels of customer contact and communications in road safety, compliance, community liaison etc. All procedures for consultation are in place. Issue with Kinloch Reserve consultation identified and been resolved.	Slight Improvement with less likelihood
8	Inadequate Strategic Vision & Planning	Lack of Long Term Focus Creating Future Liabilities Inadequate Strategic Planning Inadequate Resourcing	In breach of LGA.2002 . Reputational risk. Inability to meet customer and ratepayer commitments Significant impact on Council's long term financial sustainability. Failure to meet customer & ratepayer commitments. Financial risks associated with inefficiencies created Negative impact of long term financial sustainability. Non-compliance with legal and regulatory obligations. Failure to achieve LTP outcomes	Training and induction for new Council. Preparation of LTP and APs in accordance with sections 93 & 95 of the LGA 2002 Adherence to the requirements of section 93 of the LGA 2002 Asset Management Plans, growth strategies, economic development plans etc. Preparation of LTP and APs in accordance with sections 93 & 95 of the LGA 2002	M	Long term planning is ongoing accordance with the requirements of the LGA. Audited by Audit NZ LTP and AP subject to external audits for compliance. AMPs in place. Updated to new LGA requirements and incorporated into LTPs. LTP and AP being prepared in accordance with LGA requirements. External audit of plans.	No Change

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9 Legal Liabilities	<p>Health and Safety at Work Act 2015</p> <p>Undertaking Quasi Judicial Roles</p> <p>Judicial Reviews and Appeals</p>	<p>Risk to individual's safety & welfare. Non compliance with legal and regulatory obligations. Financial penalties for non compliance. Failure to achieve outcomes of LTP and APs</p> <p>Non-compliance with legal and regulatory obligations. Reputational risks. Financial risks associated with claims</p> <p>Reputational risks. Financial risks associated with defence costs and other court imposed costs.</p>	<p>Chief Executive Officer has appropriate processes and procedures in place to reduce and this is managed with specific KPIs in their individual employment agreement.</p> <p>Professional Indemnity Insurance for civil liability maintained. Professional advice provided as necessary.</p> <p>Training and induction for new Council. Regular monitoring and improvement of it's performance where required</p>	M	<p>Delegated authority to the CEO and employment KPIs in place. Maintained secondary level in ACC Accredited Employers Programme secondary but achieved tertiary status.</p> <p>Insurances in place. In house legal support to assist when needed.</p> <p>No legal appeals or reviews identified at time of report.</p>	No Change
10 Policy Breaches	Community Grants Programme	Reputational risks. Failure to achieve LTP and AP outcomes. Breaches of internal policies and standing orders.	Recipients of grants are required to complete a Grants Audit Certificate. Failure to supply this certificate results in the recipient being ineligible for future grants	L	Forms are being completed and returned as required. No issues identified.	No Change