

Attachment A – Proposed Tier 1 risks

	Description	Long Description			Risk Type
Ref (temp)		There is a chance that...	Due to...	Will result in...	
1	Insufficient or adequate Information and communications technology provision	There is a chance that core services or functions cannot be provided or levels of services are not achieved	due to insufficient or inadequate provision and integrity of Information and Communications Technology infrastructure, applications, software or cyber security controls	will result in loss of business continuity or failure to meet minimum acceptable service provision	Strategic
2	Erosion of social cohesion	There is a chance that there will be an erosion of social cohesion	due to a failure to provide services or facilities or there is ineffective management of social nuisance issues	will result in people, whānau and communities being unable to thrive, belong and feel respected	Strategic
3	Economic impacts and prosperity	There is a chance that the community's prosperity is adversely affected	due to a stagnation or decline in the local, regional or national economy	will result in reduced quality of life	Strategic
4	Community Partnerships do not achieve objectives	There is a chance that community partnerships do not meet strategic objectives	due to lack of integrated planning, unclear roles and responsibilities, lack of funding, poor networks and people capability and capacity	will result in reduced quality of life, and broken partnerships	Strategic

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5	Ineffective planning for community services or facilities	There is a chance that insufficient or inadequate community services or facilities are available	due to insufficient funding, strategic or operational planning	will result in reduced levels of service, or reduced quality of life	Strategic
6	Ineffective planning for infrastructure	There is a chance that insufficient, inadequate, or non-compliant infrastructure assets are provided	due to insufficient funding or strategic planning	will result in impacts on people’s health, environmental damage or reduced levels of service	Strategic
7	Ineffective planning associated with natural hazards	There is a chance that there will be ineffective land use planning, development and management of risks and information associated with natural hazards	due to poor planning, a lack of resources, failing to prioritise planning or a lack of capability and capacity	will result in potential harm to people and property, or creates liability for Council	Strategic
8	Ineffective planning and action to support climate change adaption	There is a chance of increased climate change related events in the district	due to ineffective planning and action to support climate change adaptation	will result in the community being poorly prepared and at a heightened level of vulnerability to the adverse effects of climate change	Strategic
9	Strategy for growth fails to meet objectives	There is a chance that the Strategic Growth/Future Development Strategy does not meet objectives	due to ineffective systems, processes or people capability or capacity, or the work not being prioritised	will result in poor outcomes and failure to provide for well-functioning urban environments	Strategic
10	Ineffective provision for the future planning and development needs of the district	There is a chance that there is ineffective provision for the future planning and development needs of the district	due to poor planning, a lack of resources, failing to prioritise planning, a lack of political or leadership direction, or	will result in poor outcomes and failure to provide for well-functioning urban environments.	Strategic

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			a lack of capability and capacity		
11	Insufficient supply chain resource capacity and/or capability to support Council achieve strategic and operational objectives	There is a chance that suppliers will not have the available capability and capacity to support Council's work programme	due to difficulty in recruiting, strategic decisions on which clients to work with, or which location or region to target, because QLDC's work is unattractive, or because QLDC is considered a 'difficult' client	will result in Council being unable to deliver its strategic and operational objectives	Strategic
12	Ineffective mitigation response to the declared climate and ecological emergency	There is a chance that QLDC will not achieve the objectives of the Climate and Biodiversity Plan 2022-2025	due to ineffective targets being set, ineffective planning, a lack of capacity and capability, the Plan not being prioritised	will result in environmental, social and community harm	Strategic
13	Unexpected change in cost or funding	There is a chance that QLDC are unable to fund its objectives	due to a change in priorities, inability to secure funding, poor financial planning or cost management, external economic impacts or an unexpected liability	will result in the inability to meet annual or long term plan financial objectives and a requirement to reprioritise or a change in funding and financing model (e.g. increased rates)	Strategic

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14	Ineffective Financial Strategy	There is a chance that Council does not have, or is unable to demonstrate a prudent approach to financial management, rating and development contribution models	due to a lack of system, processes or people capability	will result in exposure to financial loss, lower credit rating or other fiscal impacts	Strategic
15	Ineffective Governance	There is a chance that there will be ineffective political governance	due to an ineffective electoral process, inadequate training of elected members, poor meeting planning, a failure in officers to proactively inform elected members, or a breakdown in relationship between politicians and management/officers	will result in Council failing to meet its strategic or operational objectives	Strategic
16	Failure to work effectively with Mana Whenua	There is a chance that Council's Iwi partnership is not embedded within its strategic planning, and operational activities,	due to not adequately resourcing the relationship, not prioritising the relationship, or a lack of capability or capacity	will result in failure by Council to meet its obligations under Te Tiriti, erosion of trust and confidence between Council and its Iwi partners	Strategic
17	Ineffective Council response to, or recovery from a civil defence emergency event	There is a chance of an ineffective response to, or recovery from, a civil defence emergency event	due to poor planning, a lack of resources, failing to prioritise planning or a lack of capability and capacity	will result in potential harm to people, property and the environment	Strategic

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18	Inadequate workforce capacity and/or capability to meet organisational needs	There is a chance that Council fails to adequately resource its operations	due to inability to attract candidates, inability to retain candidates or a failure to correctly align resources to meet planning strategic and operational objectives	will result in an inability to deliver organisational objectives or service levels	Strategic
19	There is a risk that Central Government reforms impact on Council achieving its objectives	There is a chance that the reform programmes result in reprioritisation, rework and wasted effort	due to uncertainty, impact on resources and a lack of community or political, engagement or the work not being prioritised	will result in a failure to achieve strategic and operational objectives	Strategic
20	Ineffective communication	There is a chance that members of the community are not adequately informed of Council strategy and associated activities	due to ineffective communication caused by inaccurate, incomplete or late inputs or a lack of awareness of the requirements or need to communicate effectively	will result in negative community sentiment, risk to community safety, misinformation or reputational damage.	Strategic
21	Ineffective operations and maintenance of infrastructure assets	There is a chance that QLDC fail to maintain or adequately operate its infrastructure assets to a minimum standard	due to insufficient or inadequate planning of the operations and maintenance programme, or ineffective operations and maintenance service delivery	will result in a failure in infrastructure services, a loss of community services, damage to Council assets, the environment or private property	Operational

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22	Ineffective operations and maintenance of community services or facilities	There is a chance that QLDC fail to maintain or adequately operate its community services and facilities to a minimum standard	due to insufficient or inadequate planning of the operations and maintenance programme, or ineffective operations and maintenance service delivery	will result in reduced levels of service, damage to Council assets and/or additional cost	Operational
23	Disruption event to facility or service	There is a chance that a council facility or service is unavailable	due to a property disruption event	will result in loss of business continuity	Operational
24	IT systems failure	There is a chance that there is an outage of Information and communications technology	due to a disruption event impacting hardware and/or software	will result in loss of business continuity	Operational
25	Loss of integrity or theft of data (cyber security breach), information including personal information	There is a chance that there is a breach of the integrity of data, information, including personal, commercially sensitive and/or confidential	a cyber security incident, a lack of process controls, system or people errors	will result in loss of business continuity, financial loss, enforcement, litigation	Operational
26	Ineffective enforcement	There is a chance that enforcement activities will not achieve their targeted outcomes	due to an ineffective enforcement policy, systems, processes or a lack of capacity and capability in the Enforcement Team	will result in health, wellbeing, social and environmental harm, reduced quality of life and a lack of trust and confidence in the Council	Operational

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27	Inadequate construction management causes failure of infrastructure service or property damage	There is a chance that construction causes unplanned damage to private or public assets	due to inadequate construction planning, delivery or oversight	will result a failure in utility/infrastructure services, a loss of community services or facilities, damage to Council assets, the environment or private property	Operational
28	Ineffective procurement	There is a chance that procurement does not achieve objectives	due to an ineffective procurement framework, systems, processes and people capability	will result in poor procurement outcomes, increased cost/reduced value for money, and an inability to maintain a sustainable market	Operational
29	Ineffective compliance management practices	There is a chance that Council will breach external and internal mandatory obligations	due to an ineffective compliance management framework, systems, processes and people capability	will result in enforcement action, ongoing liability, loss of accreditations, a loss of trust and confidence in the Council, or an inability to efficiently and effectively achieve strategic or operational objectives	Operational
30	Audit of annual report or long-term plan identifies non-compliance/corrective actions	There is a chance that Auditor General's reports on the annual report or long term plan identifies non-compliance/corrective actions	due to poor planning, poor processes, ineffective financial planning/accounting or lack of portfolio management	will result in the need for further review/prevent the plan being adopted	Operational
31	Ineffective complaints handling	There is a chance that complaints might be dealt with inappropriately	due to ineffective systems, processes or	will result in litigation, loss of trust and confidence in the	Operational

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			people capability or capacity	Council and exposure to negative media attention	
32	Health, safety or wellbeing incident affecting employee	There is a chance that an employee or volunteers' health, safety or wellbeing is adversely affected as a result of Council work or workplace	due to ineffective health and safety management practice to eliminate, mitigate or control workplace or job specific hazards	will result in damage, injury or death	Operational
33	Health, safety or wellbeing incident affecting member of the public	There is a chance that a member of the public's health, safety or wellbeing is adversely affected as a result of Council work or workplace	due to ineffective health and safety management practice to eliminated, mitigate or control workplace or public interaction hazards	will result in damage, injury or death	Operational
34	Inadequate resource management or building consent systems, processes and/or people capability results in poor development outcomes and liability	There is a chance of poor development outcomes and an uncontrolled response to growth	due to inadequate Resource Management Engineering, Resource Consent or Building Consent systems, processes and/or people capability	will result in poor development outcomes, property damage, environmental harm, erosion of social cohesion and quality of life as well as liability for Council	Operational
35	Ineffective business processes	There is a chance that Council work will be undertaken in an inefficient and inconsistent manner	due to inefficient/ineffective processes, or systems, or a reliance on key individual's knowledge	will result in an inability to deliver organisational objectives or service levels	Operational