

# ATTACHMENT A – TIER 1 RISKS

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Audit, Finance & Risk Committee  
Assurance & Risk Update  
2 October 2025

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# RISK CONSEQUENCE TABLE

Risk Category/Appetite	Sub-category	Extreme	Significant	Major	Moderate	Minor
Business Continuity	Catastrophic Event	Prolonged loss (>10 days) of all key service functions, or displacement of population >5000 people	Prolonged loss (>10 days) of several key service functions, or displacement of population >1000 people	Short-term loss (<one week) of several key service functions, or displacement of population >100 people	Short-term loss (<one week) of several non-key service functions, or displacement of population >10 people	Short term (<24 hour) loss of isolated service or displacement of population of between 1-10
	Provision of Core Services	Prolonged loss (>10 days) of all key service functions	Prolonged loss (>10 days) of several key service functions	Short-term loss (<one week) of several key service functions	Short-term loss (<one week) of several non-key service functions	Short term (<24 hour) loss of isolated service
	IT Resilience	Prolonged loss (>two weeks) of all key ICT systems or isolated critical systems (>one week)	Prolonged loss (>two weeks) of several key ICT systems, or short-term loss (<one week) of isolated critical ICT systems	Short-term loss (<one week) of several key ICT systems, or prolonged loss (>two weeks) of isolated key ICT systems	Short-term loss (<one week) of several non-key ICT systems, or short-term loss (>one week) of isolated key ICT systems	Short-term loss (<24 hours) of isolated ICT systems
Community & Wellbeing	Quality of Life	Prolonged period (>1 year) of reduced quality of life reported with the majority (> 50%) less than satisfied on at least 3 quality of life metrics	Prolonged period (>1 year) of reduced quality of life reported with a significant proportion of the population (> 25%) less than satisfied on at least 2 quality of life metrics	Prolonged period (>1 year) of reduced quality of life reported with a segment of the community (> 10%) less than satisfied on at least 1 quality of life metrics	Short to medium term (>1 month) of reduced quality of life for small segment of community (50 people to 10% of the population) which will not measurably impact on the Quality-of-Life Survey	Short term (<1 month) of reduced quality of life for small segment of community (<50 people) which will not measurably impact on the Quality-of-Life Survey
	Trust and Customer Satisfaction	Dissatisfaction and loss of long-term support from majority (more than 50%) of community and key stakeholders	Dissatisfaction and loss of long-term support from a significant proportion of community and key stakeholders (more than 25%)	Dissatisfaction and loss of long-term support from a segment of the community and key stakeholders (more than 10%)	Short to medium term (>1 month) dissatisfaction and loss of support from a small segment of the community (<50 people to 10% of the population)	Short term (<1 month) dissatisfaction and loss of support from a small segment of the community (<50 people)
	Health and Safety	Multiple fatalities, or serious injuries or illness (hospital admission) affecting members of the community associated with QLDC activities.	Single fatality, or multiple serious injuries or illnesses (hospital admission) to members of the community associated with QLDC activities.	Injury or illness requiring medical treatment and resulting in hospitalisation for one or more members of the community associated with QLDC activities.	Injury to one or more members of the community requiring medical treatment beyond first aid, but not resulting in hospitalisation.	Minor injury to a member of the community, requiring first aid, or no treatment.
Workforce	Recruitment and retention	Vacancies exceed 40% approved FTE	Vacancies exceed 30% approved FTE	Vacancies exceed 20% approved FTE	Vacancies exceed 10% approved FTE	Vacancies exceed >10% approved FTE
	Diversity and inclusion	Rolling turnover exceeds 40%	Rolling turnover exceeds 30%	Rolling turnover exceeds 20%	Rolling turnover exceeds 10%	Rolling turnover exceeds 40%
	Training and development	Endemic failures in service levels (refer to 'extreme' business continuity category) or prosecution for failing to meet legislative obligations (refer to 'extreme' legal category) or extreme impact on recruitment and retention (refer 'extreme' recruitment and retention sub-category)	Broad failures in service levels (refer to 'significant' business continuity category) or prosecution for failing to meet legislative obligations (refer to 'significant' legal category) or significant impact on recruitment and retention (refer 'significant' recruitment and retention sub-category)	Failures in service levels (refer to 'major' business continuity category) or enforcement for failing to meet legislative obligations (refer to 'major' legal category) or major impact on recruitment and retention (refer 'major' recruitment and retention sub-category)	Failures in service levels (refer to 'moderate' business continuity category) or enforcement for failing to meet legislative obligations (refer to 'moderate' legal category) or moderate impact on recruitment and retention (refer 'moderate' recruitment and retention sub-category)	Failures in service levels (refer to 'minor' business continuity category) or enforcement for failing to meet legislative obligations (refer to 'minor' legal category) or minor impact on recruitment and retention (refer 'minor' recruitment and retention sub-category)
	Health, Safety and Wellbeing	Multiple fatalities, or serious injuries or illness (hospital admission) associated with activities. Widespread (>50% of employees at least somewhat affected) deterioration in employee wellbeing	Single fatality, or multiple serious injuries or illnesses associated with activities. Significant deterioration in employee wellbeing affecting a significant proportion (>25% of employees at least somewhat affected) of the workforce	Injury or illness requiring medical treatment and resulting in a Lost Time Injury to one or more employees associated with activities. Noticeable deterioration in employee wellbeing affecting a portion (>10% of employees at least somewhat affected) of the workforce	Moderate injury to one or more employees requiring medical treatment beyond first aid, but not resulting in a Lost Time Injury. Some deterioration in employee wellbeing affecting a small portion (>5% of employees at least somewhat affected) of the workforce	Minor injury to employee, requiring first aid, or no treatment. Isolated cases of deteriorating wellbeing.
Environmental	Climate	Damage to property, community facility or infrastructure caused by storm event, flooding, desertification, or land instability, or impact on the economy as a result of climate change (refer to 'extreme' Financial, Business continuity, and Community and Wellbeing Categories)	Damage to property, community facility or infrastructure caused by storm event, flooding, desertification, or land instability, or impact on the economy as a result of climate change (refer to 'significant' Financial, Business continuity, and Community and Wellbeing Categories)	Damage to property, community facility or infrastructure caused by storm event, flooding, desertification, or land instability, or impact on the economy as a result of climate change (refer to 'major' Financial, Business continuity, and Community and Wellbeing Categories)	Damage to property, community facility or infrastructure caused by storm event, flooding, desertification, or land instability, or impact on the economy as a result of climate change (refer to 'moderate' Financial, Business continuity, and Community and Wellbeing Categories)	Damage to property, community facility or infrastructure caused by storm event, flooding, desertification, or land instability, or impact on the economy as a result of climate change (refer to 'minor' Financial, Business continuity, and Community and Wellbeing Categories)
	Air	Deterioration in air quality to a level that may cause an increase in mortality rate and hospital admissions, or prosecution (refer to 'extreme' legal sub-category).	Deterioration in air quality to a level that may cause an increase in medical treatment, or prosecution (refer to 'significant' legal sub-category).	Deterioration in air quality to a level that may cause an increase in 'pharmacy first' (or equivalent) treatment, or enforcement (refer to 'major' legal sub-category).	Deterioration in air quality affecting a localised area that may require health advisory measures to be communicated, or enforcement (refer to 'moderate' legal sub-category).	Short-term localised deterioration in air quality causing nuisance effects only
	Land	Extensive deterioration (>100ha) in land quality, being reduced land productivity or development potential, resulting in an 'extreme' financial cost or equivalent economic loss (refer to 'extreme' financial category)	Significant deterioration (>50ha) in land quality, being reduced land productivity or development potential, resulting in an 'extreme' financial cost or equivalent economic loss (refer to 'extreme' financial category)	Deterioration in land quality (>10ha), causing reductions in land productivity or development potential, resulting in a 'major' financial cost or equivalent economic loss (refer to 'major' financial category).	Deterioration in land quality (>2ha), causing reductions in land productivity or development potential, resulting in a 'moderate' financial cost or equivalent economic loss (refer to 'moderate' financial category).	Minor and localised deterioration in land quality, causing isolated and short-term reduction in land productivity or development potential, resulting in a 'minor' financial cost or equivalent economic loss (refer to 'minor' financial category).
	Water	Deterioration in water quality to a level that may cause an increase in mortality rate and multiple hospital admissions, or prosecution (refer to 'extreme' legal sub-category).	Deterioration in water quality to a level that may cause an increase in illnesses requiring medical treatment, or prosecution (refer to 'significant' legal sub-category).	Deterioration in water quality to a level that may cause an increase in treatments requiring 'Pharmacy First' (or equivalent) interventions, or enforcement actions (refer to 'major' legal sub-category).	Deterioration in water quality affecting a localized area that may require health advisory measures to be communicated, or enforcement actions (refer to 'moderate' legal sub-category).	Short-term localized deterioration in water quality causing nuisance effects only, resulting in health advisories or equivalent minor enforcement actions (refer to 'minor' legal sub-category).



# RISK CONSEQUENCE TABLE

Financial	Funding	Change in funding against annual or long-term plan assumptions >\$20 million	Change in funding against annual or long-term plan assumptions >\$10 million	Change in funding against annual or long-term plan assumptions >\$4 million	Change in funding against annual or long-term plan assumptions >\$1 million	Change in funding against annual or long-term plan assumptions >\$0.5 million
	Financing	Financial loss or unavoidable change in cost >\$20 million	Financial loss or unavoidable change in cost >\$10 million	Financial loss or unavoidable change in cost >\$4 million	Financial loss or unavoidable change in cost >\$1 million	Financial loss or unavoidable change in cost >\$0.5 million
Regulatory/Legal/Compliance	Regulatory	Extreme loss of trust and confidence (refer to 'extreme' trust and confidence category), widespread non-compliance resulting in increase in workload and/or confrontation with those subject to enforcement that leads to extreme Health, Safety and Wellbeing impacts (refer to 'extreme' Workforce Health, Safety and Wellbeing subcategory) extreme legal and financial repercussions (refer to extreme legal and financing subcategories respectively), and associated operational disruptions (refer to 'extreme' Business Continuity category).	Significant loss of trust and confidence (refer to 'significant' trust and confidence category), substantial non-compliance resulting in a significant increase in workload and/or confrontation with those subject to enforcement that leads to significant Health, Safety and Wellbeing impacts (refer to 'significant' Workforce Health, Safety and Wellbeing subcategory), significant legal and financial repercussions (refer to significant legal and financing subcategories respectively), and associated operational disruptions (refer to 'significant' Business Continuity category).	Major loss of trust and confidence (refer to 'major' trust and confidence category), notable non-compliance resulting in a major increase in workload and/or confrontation with those subject to enforcement that leads to major Health, Safety and Wellbeing impacts (refer to 'major' Workforce Health, Safety and Wellbeing subcategory), major legal and financial repercussions (refer to major legal and financing subcategories respectively), and associated operational disruptions (refer to 'major' Business Continuity category).	Moderate loss of trust and confidence (refer to 'moderate' trust and confidence category), moderate non-compliance resulting in a moderate increase in workload and/or confrontation with those subject to enforcement that leads to moderate Health, Safety and Wellbeing impacts (refer to 'moderate' Workforce Health, Safety and Wellbeing subcategory), moderate legal and financial repercussions (refer to moderate legal and financing subcategories respectively), and associated operational disruptions (refer to 'moderate' Business Continuity category).	Minor loss of trust and confidence (refer to 'minor' trust and confidence category), short term (<1 month) minor increase (<10%) in non-compliance, resulting in increase in workload and/or confrontation with those subject to enforcement that leads to minor Health, Safety and Wellbeing impacts (refer to 'minor' Workforce Health, Safety and Wellbeing subcategory) minor legal and financial repercussions (refer to minor legal and financing subcategories respectively), and associated operational disruptions (refer to 'minor' Business Continuity category).
	Legal/Compliance	Prosecution resulting in imprisonment of personnel and/or unrecoverable 'extreme' costs, or requiring a change in operations with associated 'extreme' costs (refer to 'extreme' financial category)	Prosecution with extended national media exposure and/or unrecoverable 'significant' costs, or requiring a change in operations with associated 'significant' costs (refer to 'significant' financial category)	Enforcement with short term national media exposure and/or extended regional or local media exposure and/or unrecoverable 'major' costs, or requiring a change in operations with associated 'major' costs (refer to 'major' financial category)	Enforcement with short term regional media exposure and/or extended local media exposure and/or unrecoverable 'moderate' costs, or requiring a change in operations with associated 'moderate' costs (refer to 'moderate' financial category)	Enforcement with limited local media exposure and/or unrecoverable 'minor' costs, or requiring a change in operations with associated 'minor' costs (refer to 'minor' financial category)
	Compliance	Multiple or isolated breach of statutory duty identified or discovered through audit/ inspection, resulting in 'extreme' financial or reputational cost and/or extreme legal consequences (refer to 'extreme' financial, legal and reputational subcategories).	Multiple or isolated breach of statutory duty identified or discovered through audit/ inspection, resulting in 'significant' financial or reputational cost and/or extreme legal consequences (refer to 'significant' financial, legal and reputational subcategories).	Multiple or isolated breaches of statutory duty identified or discovered through audit/ inspection, resulting in 'major' financial or reputational cost and/or extreme legal consequences (refer to 'major' financial, legal and reputational subcategories).	Isolated breaches of statutory duty identified or discovered through audit/ inspection, resulting in 'moderate' financial or reputational cost and/or extreme legal consequences (refer to 'moderate' financial, legal and reputational subcategories).	Isolated breach of statutory duty identified or discovered through audit/ inspection, resulting in 'minor' financial or reputational cost and/or extreme legal consequences (refer to 'minor' financial, legal and reputational subcategories).
Strategic/Political/Reputation	Strategic	Complete failure to achieve strategic objectives, resulting in extreme financial loss (refer to 'extreme' financial category), extreme operational disruptions (refer to 'extreme' Business Continuity category), extreme political and legal consequences (refer to 'extreme' political and reputational subcategories) or extreme long-term loss of trust and confidence (refer to 'extreme' trust and confidence subcategory).	Significant failure to achieve key strategic objectives, resulting in significant financial loss (refer to 'significant' financial category), significant operational disruptions (refer to 'significant' Business Continuity category), significant political and legal consequences (refer to 'significant' political and reputational subcategories), or significant medium-term loss of trust and confidence (refer to 'significant' trust and confidence subcategory).	Partial failure to achieve important strategic objectives, resulting in major financial loss (refer to 'major' financial category), major operational disruptions (refer to 'major' Business Continuity category), major political and legal consequences (refer to 'major' political and reputational subcategories), or major short-term loss of trust and confidence (refer to 'major' trust and confidence subcategory).	Delays or setbacks in achieving strategic objectives, resulting in moderate financial loss (refer to 'moderate' financial category), moderate operational disruptions (refer to 'moderate' Business Continuity category), moderate political and legal consequences (refer to 'moderate' political and reputational subcategories), or moderate limited-term loss of trust and confidence (refer to 'moderate' trust and confidence subcategory).	Minor delays or adjustments in achieving strategic objectives, resulting in minor financial loss (refer to 'minor' financial category), minor operational disruptions (refer to 'minor' Business Continuity category), minor political and legal consequences (refer to 'minor' political and reputational subcategories), and minor short-term loss of trust and confidence (refer to 'minor' trust and confidence subcategory).
	Political	Government intervention, resulting in imposition of commissioners and removal of democratically elected members, political instability causing extreme operational disruptions (refer to 'extreme' Business Continuity category), extreme financial loss (refer to 'extreme' financial category), extreme political and legal consequences (refer to 'extreme' political and legal subcategories), or extreme long-term loss of trust and confidence (refer to 'extreme' trust and confidence and reputational subcategories).	Political instability causing significant operational disruptions (refer to 'significant' Business Continuity category), significant financial loss (refer to 'significant' financial category), significant political and legal consequences (refer to 'significant' political and legal subcategories), or significant medium-term loss of trust and confidence (refer to 'significant' trust and confidence and reputational subcategories).	Political instability causing major operational disruptions (refer to 'major' Business Continuity category), major financial loss (refer to 'major' financial category), major political and legal consequences (refer to 'major' political and legal subcategories), or major short-term loss of trust and confidence (refer to 'major' trust and confidence and reputational subcategories).	Political instability causing moderate operational disruptions (refer to 'moderate' Business Continuity category), moderate financial loss (refer to 'moderate' financial category), moderate political and legal consequences (refer to 'moderate' political and legal subcategories), or moderate limited-term loss of trust and confidence (refer to 'moderate' trust and confidence and reputational subcategories).	Political instability causing minor operational disruptions (refer to 'minor' Business Continuity category), minor financial loss (refer to 'minor' financial category), minor political and legal consequences (refer to 'minor' political and legal subcategories), and minor short-term loss of trust and confidence (refer to 'minor' trust and confidence and reputational subcategories).
	Reputational	Damage to reputation resulting in extreme loss of trust and confidence (refer to 'extreme' trust and confidence subcategory), extreme financial loss (refer to 'extreme' financial category), extreme operational disruptions (refer to 'extreme' Business Continuity category), or extreme political and legal consequences (refer to 'extreme' political and legal subcategories).	Damage to reputation resulting in significant loss of trust and confidence (refer to 'significant' trust and confidence subcategory), significant financial loss (refer to 'significant' financial category), significant operational disruptions (refer to 'significant' Business Continuity category), or significant political and legal consequences (refer to 'significant' political and legal subcategories).	Damage to reputation resulting in major loss of trust and confidence (refer to 'major' trust and confidence subcategory), major financial loss (refer to 'major' financial category), major operational disruptions (refer to 'major' Business Continuity category), or major political and legal consequences (refer to 'major' political and legal subcategories).	Damage to reputation resulting in moderate loss of trust and confidence (refer to 'moderate' trust and confidence subcategory), moderate financial loss (refer to 'moderate' financial category), moderate operational disruptions (refer to 'moderate' Business Continuity category), or moderate political and legal consequences (refer to 'moderate' political and legal subcategories).	Damage to reputation resulting in minor loss of trust and confidence (refer to 'minor' trust and confidence subcategory), minor financial loss (refer to 'minor' financial category), minor operational disruptions (refer to 'minor' Business Continuity category), and minor political and legal consequences (refer to 'minor' political and legal subcategories).

# LIKELIHOOD TABLE

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Likelihood	Single Event Description	Recurring Event Description
Very Likely	Very High probability (>90%)	Could occur several times a year
Likely	Likely probability (60%-90%)	May arise about once every 1-5 years
Moderate	Moderate probability (25% to 60%)	May arise about once every 5 years
Unlikely	Unlikely probability (2-25%)	May arise about once every 5 to twenty years
Rare	Low probability (<2%) of occurring in next 12 months  Frequency of once every 20+ years	Unlikely during the next twenty years

# RISK LEVEL TABLE

		Consequence				
		Minor	Moderate	Major	Significant	Extreme
Likelihood	Very Likely	M	M	H	VH	VH
	Likely	L	M	H	H	VH
	Moderate	L	M	M	H	VH
	Unlikely	i	L	M	M	H
	Rare	i	i	L	L	M

# OVERVIEW OF TIER 1 RISKS

## Strategic Risks

Strategic Risks							
Risk ID	Risk Title	Risk Owner	Inherent Risk Rating	Residual Risk Rating	Target Risk Rating	Category	Risk Appetite
RISK10001	Insufficient, inadequate or failure of digital and technology systems	Ryan Clements	Moderate	Insignificant	Insignificant	Business Continuity	Conservative
RISK10044	Failure to work effectively with Mana Whenua	Arne Burgess	Moderate	Moderate	Low	Strategic/Political/Reputation	Conservative
RISK10006	Ineffective planning for property and infrastructure	Tony Avery	High	High	Low	Community	Conservative
RISK10011	Insufficient supply chain resource capacity and/or capability to support Council achieve strategic and operational objectives	Katherine Harbrow	Very High	High	Moderate	Strategic/Political/Reputation	Justified
RISK10005	Ineffective planning for community services or facilities	Kenneth Bailey	High	High	Moderate	Community	Conservative
RISK10059	Ineffective planning and action to support climate change adaption	Michelle Morss	High	Low	Low	Environmental	Adverse
RISK10003	Economic impacts and prosperity	Michelle Morss	Very High	High	Low	Community	Conservative
RISK10015	Ineffective Governance	Naell Crosby-Roe	High	Moderate	Insignificant	Strategic/Political/Reputation	Conservative
RISK10014	Ineffective Financial Strategy	Katherine Harbrow	High	Moderate	Low	Financial	Measured
RISK10060	Insufficient, inadequate or failure of information governance	Ryan Clements	Very High	Moderate	Low	Regulatory/Legal/Compliance	Conservative
RISK10004	Community Partnerships do not achieve objectives	Kenneth Bailey	Moderate	Moderate	Low	Community	Conservative
RISK10007	Ineffective planning associated with natural hazards	David Wallace	Very High	High	Low	Environmental	Adverse
RISK10012	Ineffective mitigation response to the declared climate and ecological emergency	Michelle Morss	Very High	High	Moderate	Environmental	Adverse
RISK10002	Erosion of social cohesion	Kenneth Bailey	Moderate	Moderate	Low	Community	Conservative
RISK10056	Ineffective provision for the future planning and development needs of the district	David Wallace	Very High	Moderate	Moderate	Strategic/Political/Reputation	Justified
RISK10009	Strategy for growth fails to meet objectives	Michelle Morss	High	High	Low	Strategic/Political/Reputation	Justified
RISK10013	Unexpected change in cost or funding	Katherine Harbrow	Very High	High	Moderate	Financial	Measured
RISK10017	Ineffective Council response to a civil defence emergency event	Michelle Morss	Very High	High	Moderate	Environmental	Adverse

\* QLDC's Risk Analysis and Evaluation Approach, and Risk Appetite approach is outlined on slides 2-6.

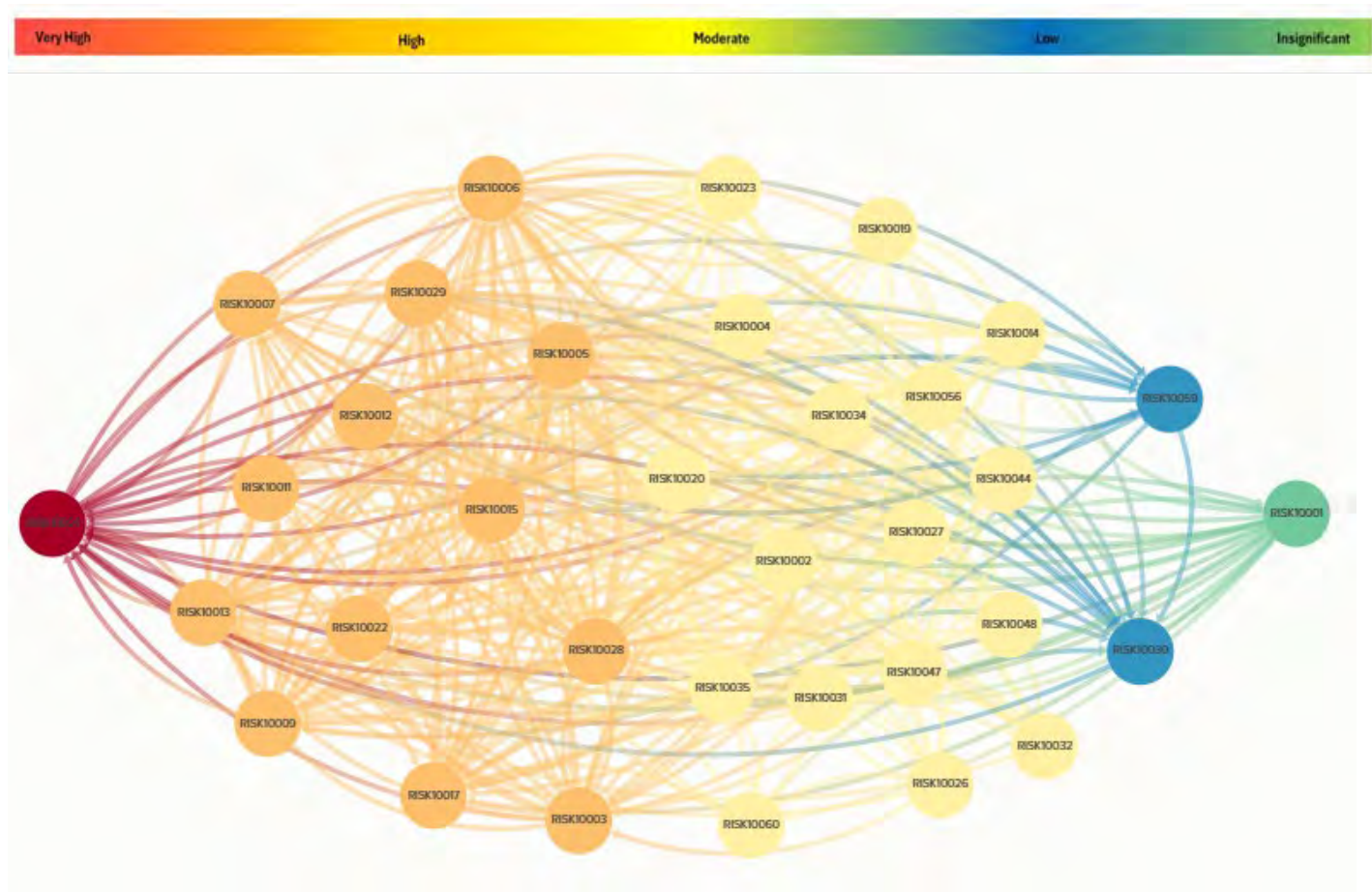
# OVERVIEW OF TIER 1 RISKS

## Operational Risks

Operational Risks						
Risk ID	Risk Title	Risk Owner	Inherent Risk Rating	Residual Risk Rating	Target Risk Rating	Risk Appetite
RISK10020	Ineffective communication	Naell Crosby-Roe	High	Moderate	Moderate	Justified
RISK10027	Inadequate construction management causing failure of infrastructure service or property damage	Simon Leary	High	Moderate	Low	Conservative
RISK10026	Ineffective enforcement	Anthony Hall	Moderate	Moderate	Moderate	Justified
RISK10048	Health, safety or wellbeing incident affecting member of the public	Meaghan Miller	High	Moderate	Low	Adverse
RISK10030	Audit of annual report or long-term plan identifies non-compliance/corrective actions	Katherine Harbrow	High	Low	Low	Conservative
RISK10034	Inadequate resource management or building consent systems, processes and/or people capability results in poor development outcomes and liability	David Wallace	High	Moderate	Low	Conservative
RISK10019	Central Government reforms impact on Council achieving its objectives	Michelle Morss	High	Moderate	Moderate	Justified
RISK10028	Ineffective procurement	Pamela Parker	High	High	Low	Measured
RISK10047	Inadequate workforce capacity and/or capability to meet organisational needs	Meaghan Miller	Very High	Moderate	Low	Measured
RISK10022	Ineffective operations and maintenance of community services or facilities	Kenneth Bailey	High	High	Low	Conservative
RISK10032	Health, safety or wellbeing incident affecting employee	Meaghan Miller	Very High	Moderate	Low	Adverse
RISK10035	Ineffective business processes	Dan Crosby	Moderate	Moderate	Low	Business Continuity
RISK10029	Ineffective compliance management practices	Gareth Noble	Very High	High	Low	Conservative
RISK10031	Ineffective complaints handling	Naell Crosby-Roe	High	Moderate	Moderate	Justified
RISK10021	Ineffective operations, maintenance or renewal of property or infrastructure assets leading to failure(s).	Tony Avery	Very High	Very High	Moderate	Conservative
RISK10023	Disruption event to facility or service	Roger Davidson	Moderate	Moderate	Low	Business Continuity

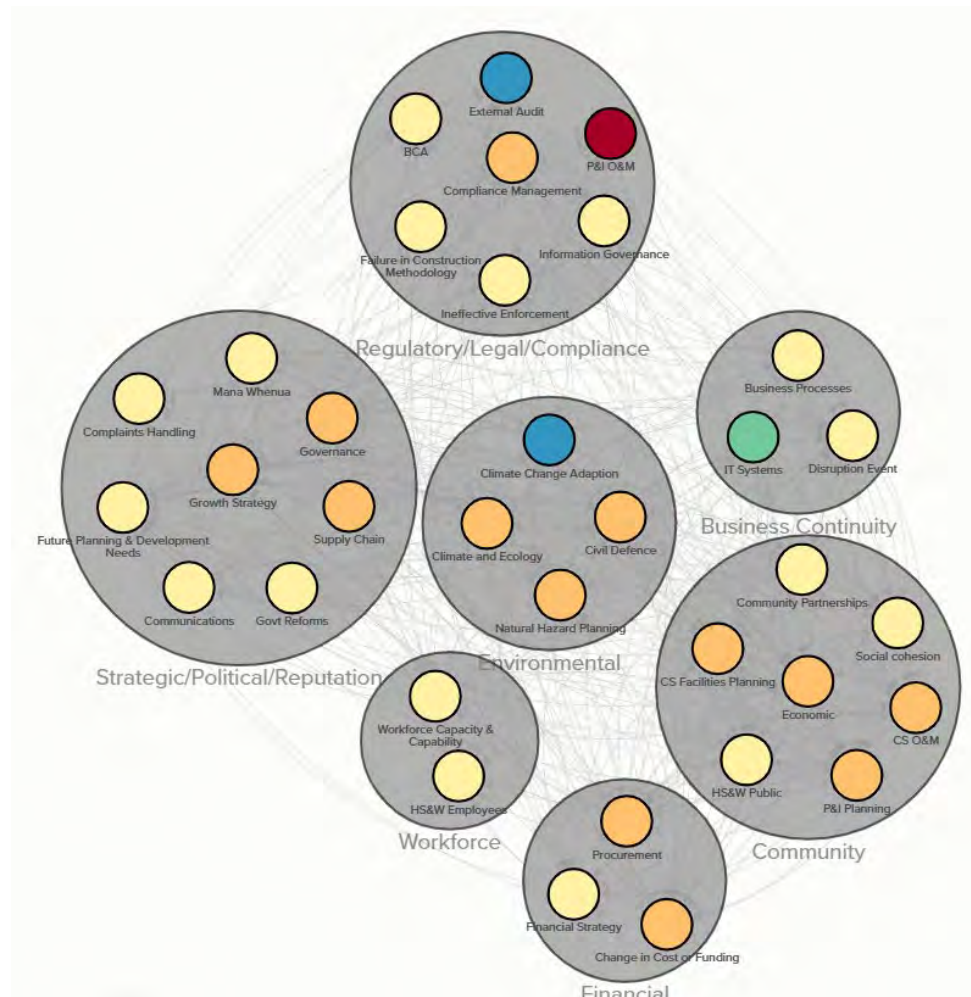


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# TIER 1 – CATEGORISATION

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## Tier 1 Risks Residual Risk Rating

# **RATING** **VERY HIGH** & **HIGH**

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Note: Efforts are currently underway to document all existing treatment plans. The information presented here pertains specifically to those recorded in QLDC's Risk Management System.

# RISK10021 - SUMMARY

## Description

Ineffective operations, maintenance or renewal of property or infrastructure assets leading to failure(s).

## Long Description

There is a chance that QLDC fails to effectively operate, maintain or renew its property or infrastructure assets to a minimum standard due to ineffective or inadequate planning, investment, and/or service delivery of the operations, maintenance and renewal programmes, will result in a failure of property or infrastructure services, a loss of community services, damage to Council assets, the environment or private property.

## Operational Risk

### Treatment Plans:

2

PLAN000129

Infrastructure Operations &  
Maintenance Roles &  
Responsibilities, KPIs and  
Reporting

PLAN000177

Facilities Maintenance  
Management Technical  
Specification (new contract  
2025)

## Risk Assessment

Inherent  
**Very High**

Residual  
**Very High**

Target  
**Moderate**

## Risk Appetite

**Conservative**

Risk Owner  
Tony Avery

# RISK10021 - CONNECTIONS

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# RISK10003 - SUMMARY

## Description

Economic impacts and prosperity.

## Long Description

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 Risk

## Treatment Plans:

1

PLAN000113

Economic Development -  
Economic Futures Team with  
four key focus areas:  
[Economic Development](#)

## Risk Assessment

Inherent  
**Very High**

Residual  
**High**

Target  
**Low**

## Risk Appetite

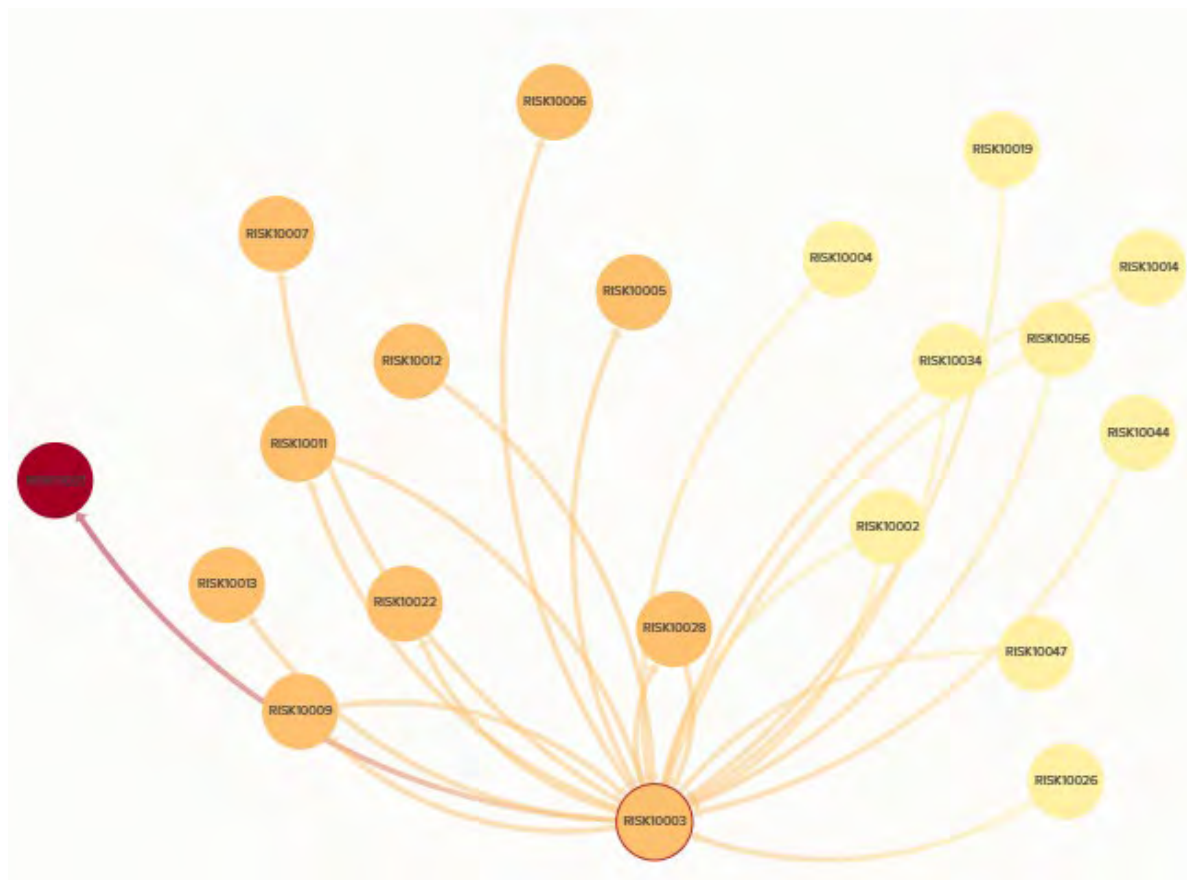
**Conservative**

## Risk Owner

Michelle Morse

# RISK10003 - CONNECTIONS

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# RISK10005 - SUMMARY

## Description

Ineffective planning for community services or facilities.

## Long Description

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, reduced quality of life.

## Strategic Risk

## Treatment Plans:

PLAN000099

1

Business Case Framework for  
Community Services as part of  
Project Management Framework.

## Risk Assessment

Inherent  
**High**

Residual  
**High**

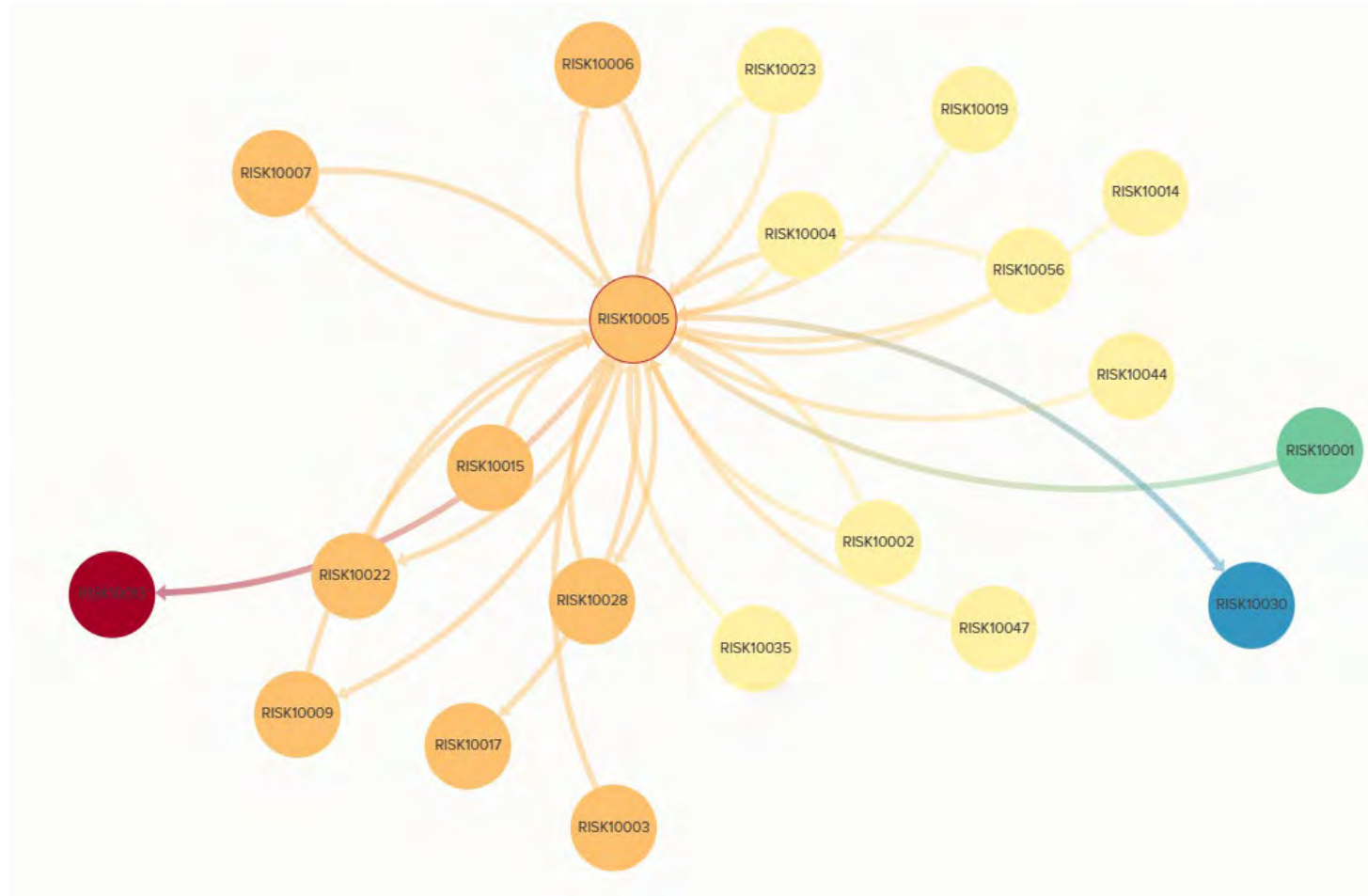
Target  
**Moderate**

## Risk Appetite

**Conservative**

Risk Owner  
Kenneth Bailey

# RISK10005 - CONNECTIONS



# RISK10006 - SUMMARY

## Description

Ineffective planning for property and infrastructure.

## Long Description

There is a chance that insufficient, inadequate, or non-compliant property or infrastructure assets are provided due to insufficient funding or strategic planning will result in impacts on people's health, environmental damage, reduced levels of service.

Strategic Risk

Treatment Plans:

PLAN000120

1

Infrastructure Strategy 2024-2034:

[https://www.qldc.govt.nz/media/o5bprma2/qldc\\_infrastructure-strategy\\_2024-2034\\_final.pdf](https://www.qldc.govt.nz/media/o5bprma2/qldc_infrastructure-strategy_2024-2034_final.pdf)

## Risk Assessment

Inherent  
**High**

Residual  
**High**

Target  
**Low**

## Risk Appetite

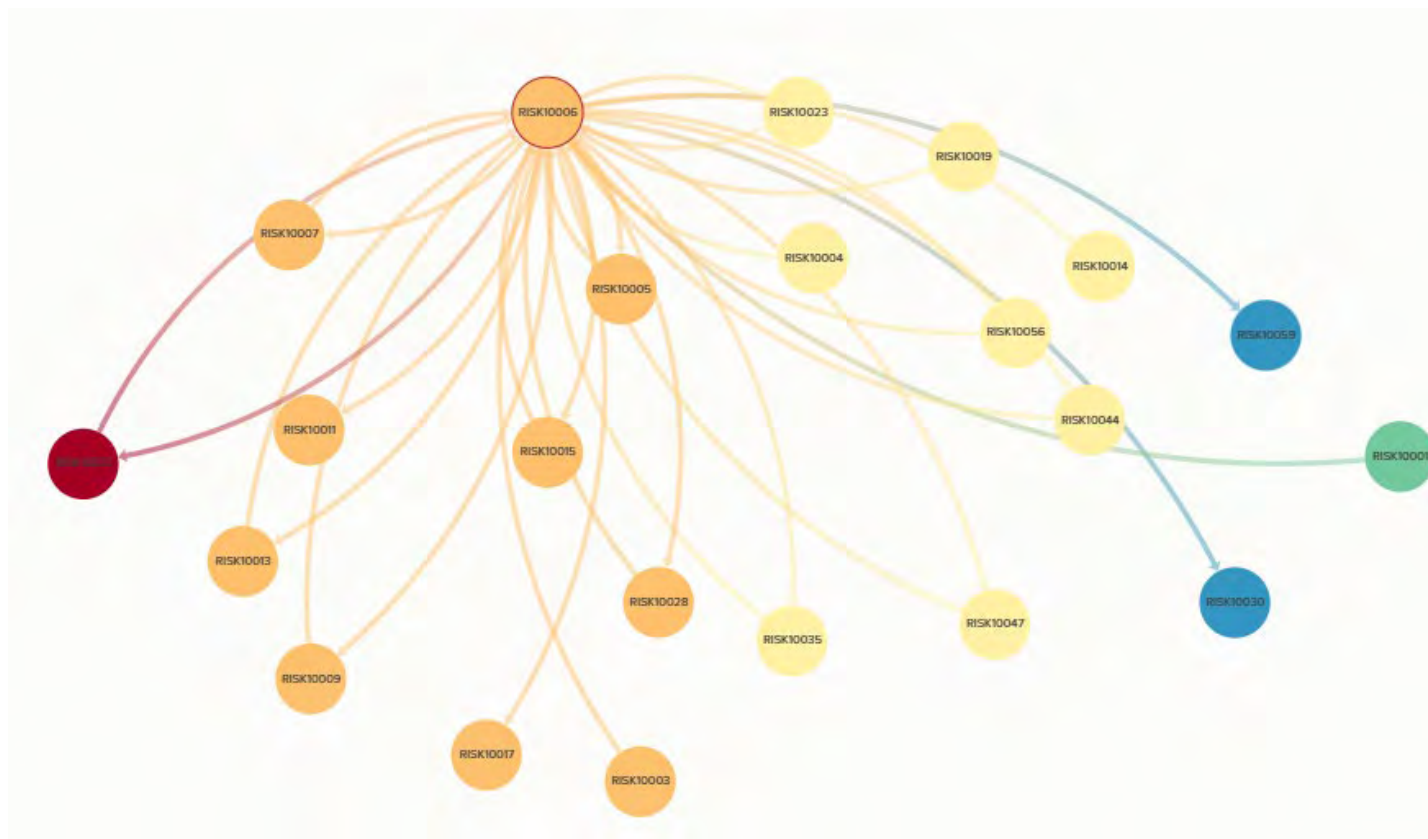
**Conservative**

Risk Owner  
Tony Avery



# RISK10006 - CONNECTIONS

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# RISK10007 - SUMMARY

## Description

Ineffective planning associated with natural hazards.

## Long Description

There is a chance that there is ineffective land use planning, development and management of risks and information associated with natural hazards due to poor planning, lack of resources, failure to prioritise planning, lack of capability and capacity will result in potential harm to people and property, creating liability for Council

## Strategic Risk

### Treatment Plans:

PLAN000206

PLAN000177

2

Community Adaption  
Programme – Head of the  
Lake Natural Hazards and  
Wildfire Hazards

Facilities Maintenance  
Management Technical  
Specification (new contract  
2025)

## Risk Assessment

Inherent  
**Very High**

Residual  
**High**

Target  
**Low**

## Risk Appetite

**Adverse**

Risk Owner  
David Wallace



# RISK10009 - SUMMARY

## Description

Strategy for growth fails to meet objectives.

## Long Description

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 Risk

### Treatment Plans:

PLAN000115

1

Spatial Plan and the  
Whaiora Grow Well  
partnership: [Spatial Plan -  
QLDC](#)

## Risk Assessment

Inherent  
**High**

Residual  
**High**

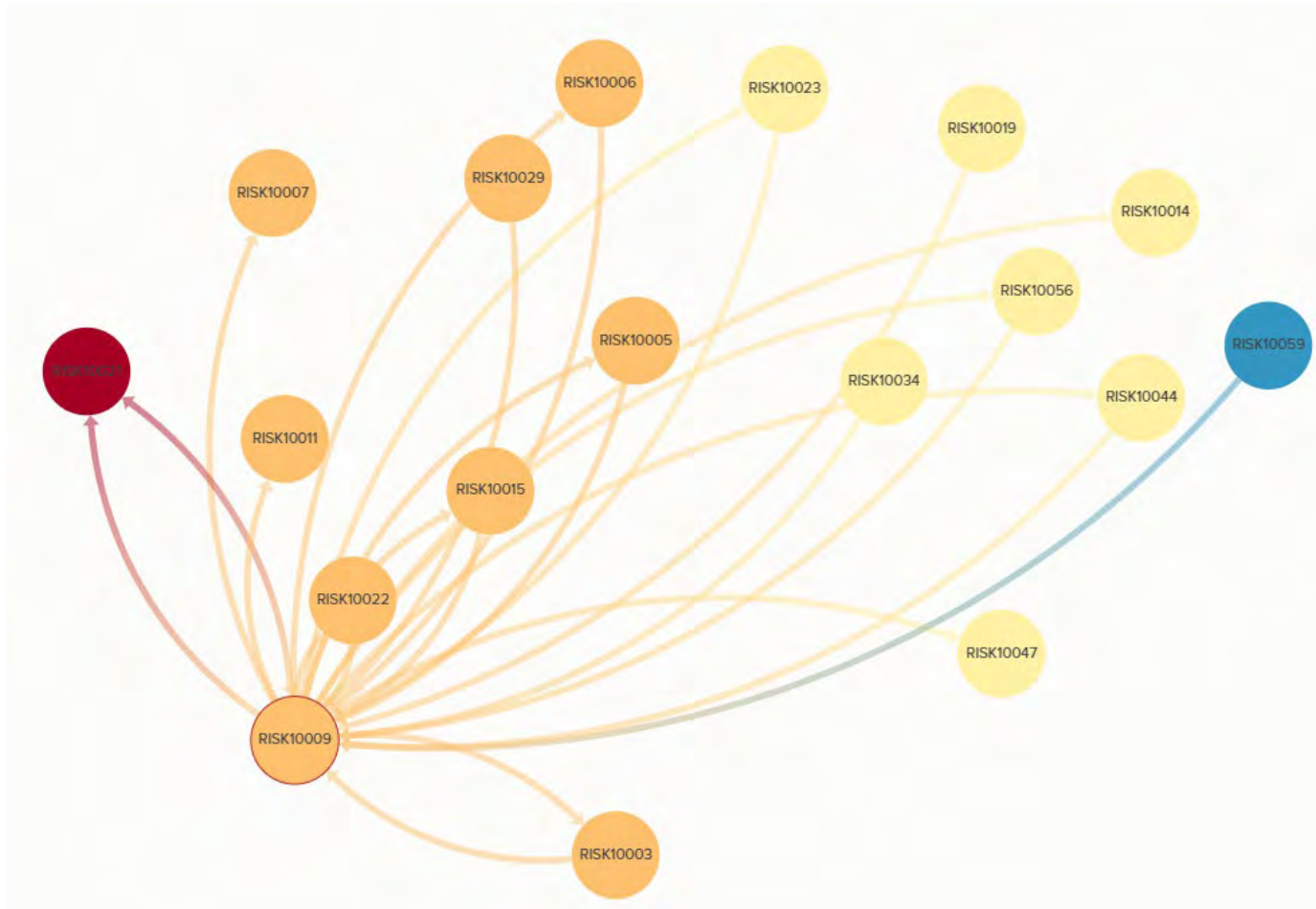
Target  
**Low**

## Risk Appetite

**Justified**

Risk Owner  
Michelle Morse

# RISK10009 - CONNECTIONS





# RISK10011 - SUMMARY

## Description

Insufficient supply chain resource capacity and/or capability to support Council achieve strategic and operational objectives

## Long Description

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

## Operational Risk

## Treatment Plans:

1

## PLAN000118

Procurement Policy & Guide provide a lifecycle that support the achievement of procurement objectives from Initiation and Procurement Planning, to close out and review.

## Risk Assessment

Inherent  
**Very High**

Residual  
**High**

Target  
**Moderate**

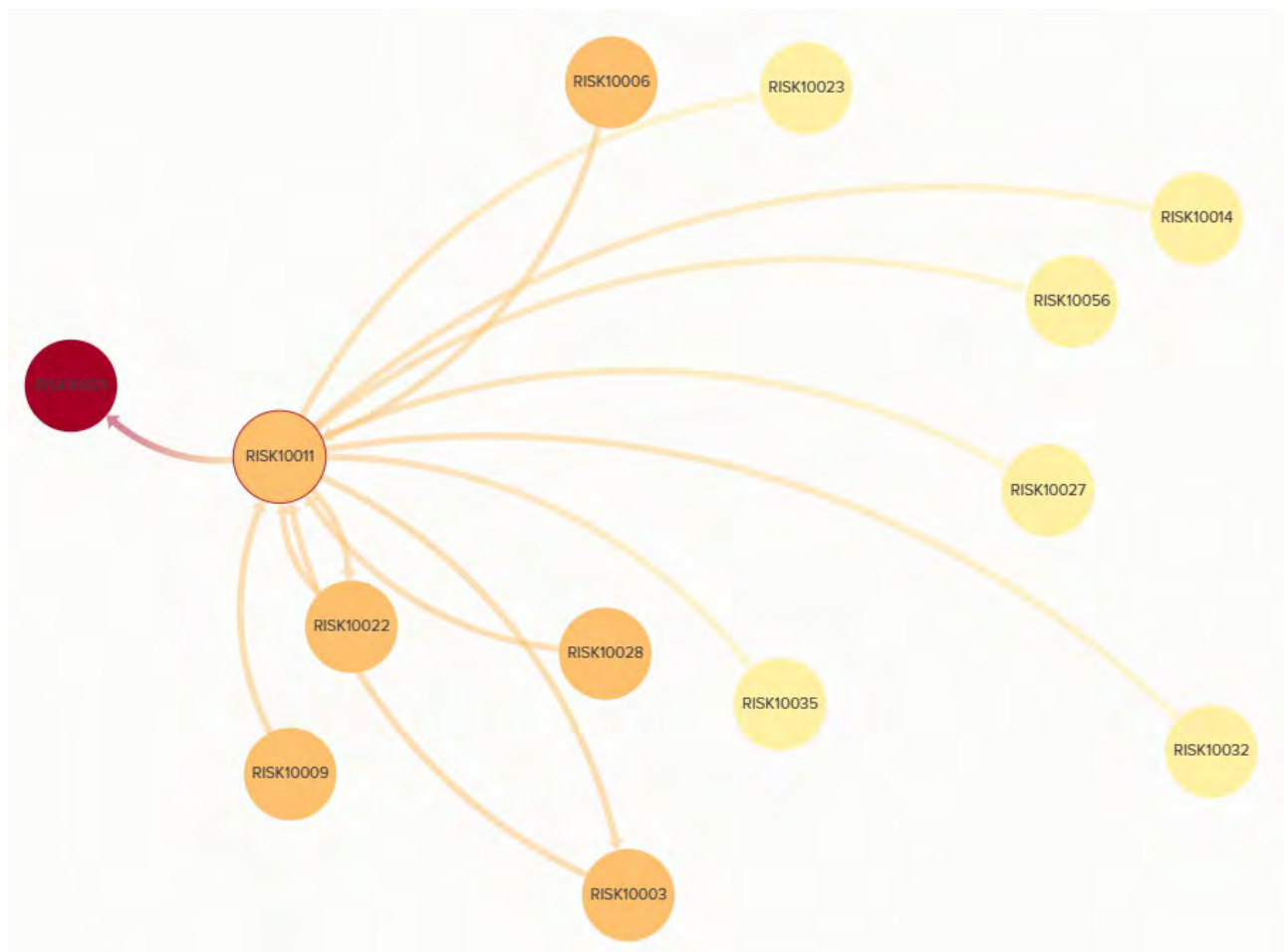
## Risk Appetite

**Justified**

Risk Owner  
Katherine  
Harbrow

# RISK10011 - CONNECTIONS

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# RISK10012 - SUMMARY

## Description

Ineffective mitigation response to the declared climate and ecological emergency.

## Long Description

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 Risk

## Treatment Plans:

1

## PLAN000119

Climate and Biodiversity Plan  
2025-28 and Organisation  
Greenhouse Gas Emission  
Auditing programme:  
[Queenstown Lakes next Climate &  
Biodiversity Plan | Climate Action  
and Biodiversity](#)

## Risk Assessment

Inherent  
**Very High**

Residual  
**High**

Target  
**Moderate**

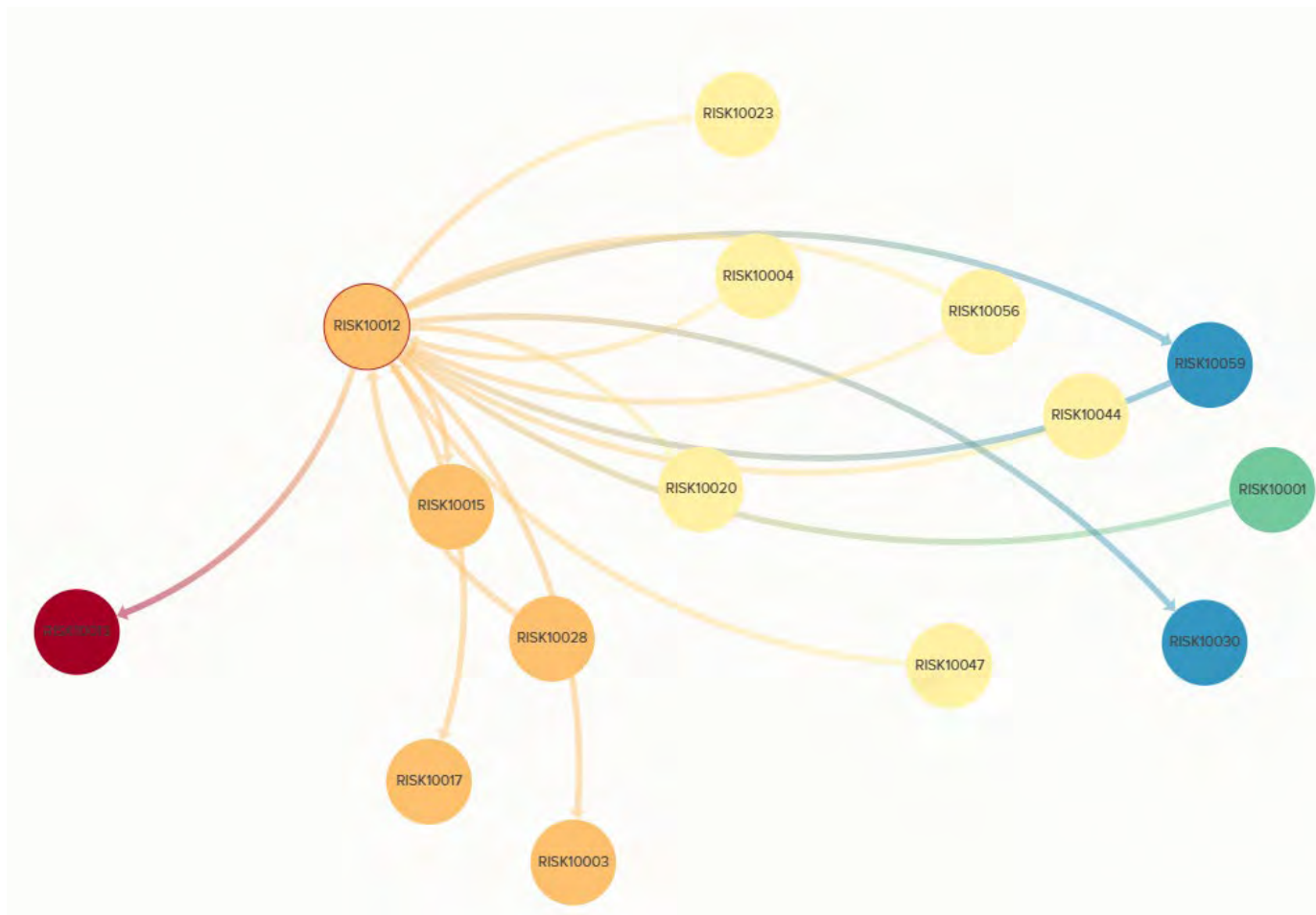
## Risk Appetite

**Adverse**

**Risk Owner**  
**Michelle Morse**

# RISK10012 - CONNECTIONS

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# RISK10013 - SUMMARY

## Description

Unexpected change in cost or funding.

## Long Description

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 for a change in funding and financing model (e.g. increased rates).

## Strategic Risk

### Treatment Plans:

PLAN000070

PLAN000100

PLAN000108

14

Capital Assurance Tool  
Implemented for LTP

Cost management  
approach review and  
implementation

Project Governance  
review and  
implementation

Including:

## Risk Assessment

Inherent  
**Very High**

Residual  
**High**

Target  
**Moderate**

## Risk Appetite

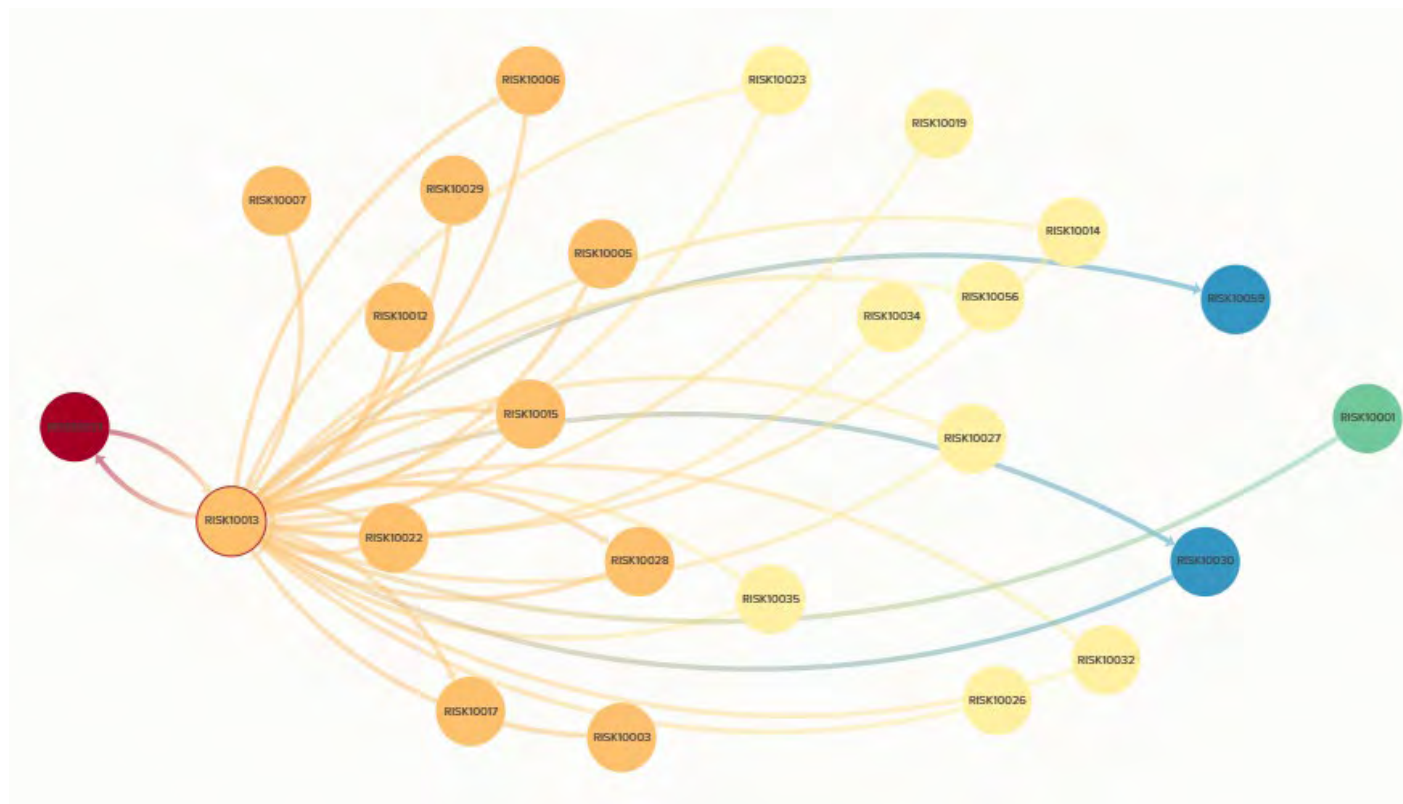
**Measured**

Risk Owner  
Katherine  
Harbrow



# RISK10013 - CONNECTIONS

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# RISK10017 - SUMMARY

## Description

Ineffective Council response to, or recovery from a civil defence emergency event

## Long Description

There is a chance that there is 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 Risk

## Treatment Plans:

PLAN000121

1

Queenstown Lakes AF8 Planning programme,  
EOC Capability Development programme,  
CDEM Sector Group development  
programme and Community Resilience Group  
Development as outlined at [Emergency  
Management - QLDC](#)

## Risk Assessment

Inherent  
**Very High**

Residual  
**High**

Target  
**Moderate**

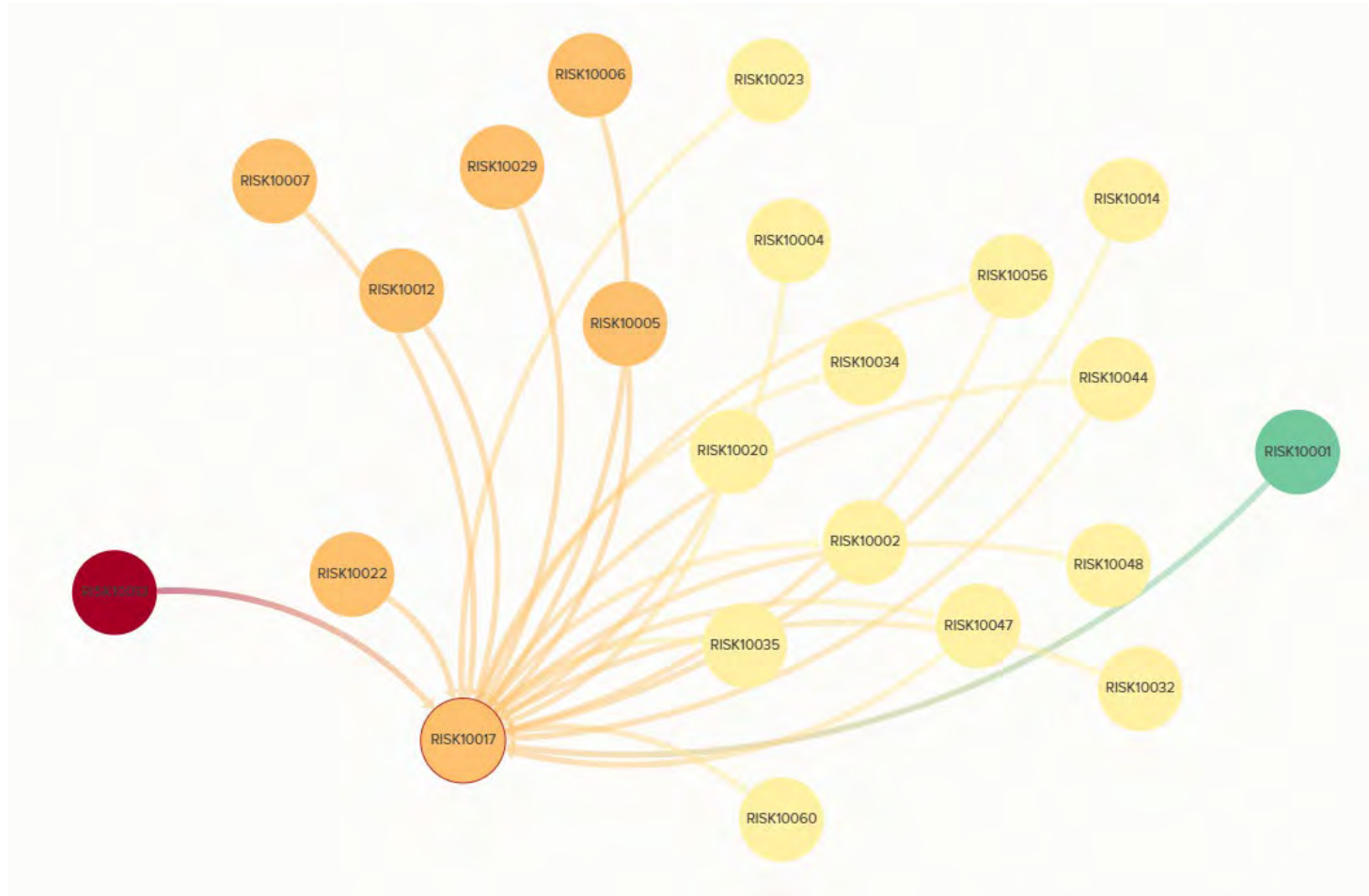
## Risk Appetite

**Adverse**

Risk Owner  
Michelle Morse

# RISK10017 - CONNECTIONS

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# RISK10022 - SUMMARY

## Description

Ineffective operations and maintenance of community services or facilities.

## Long Description

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 costs.

## Operational Risk

Treatment Plans: PLAN000177

PLAN000138

PLAN000139

3

Facilities Maintenance  
Management Technical  
Specification (new  
contract 2025)

Parks Services Roles  
and Responsibilities,  
KPIs and Reporting

Sport & Recreation  
Roles and  
Responsibilities, KPIs  
and Reporting

## Risk Assessment

Inherent  
**High**

Residual  
**High**

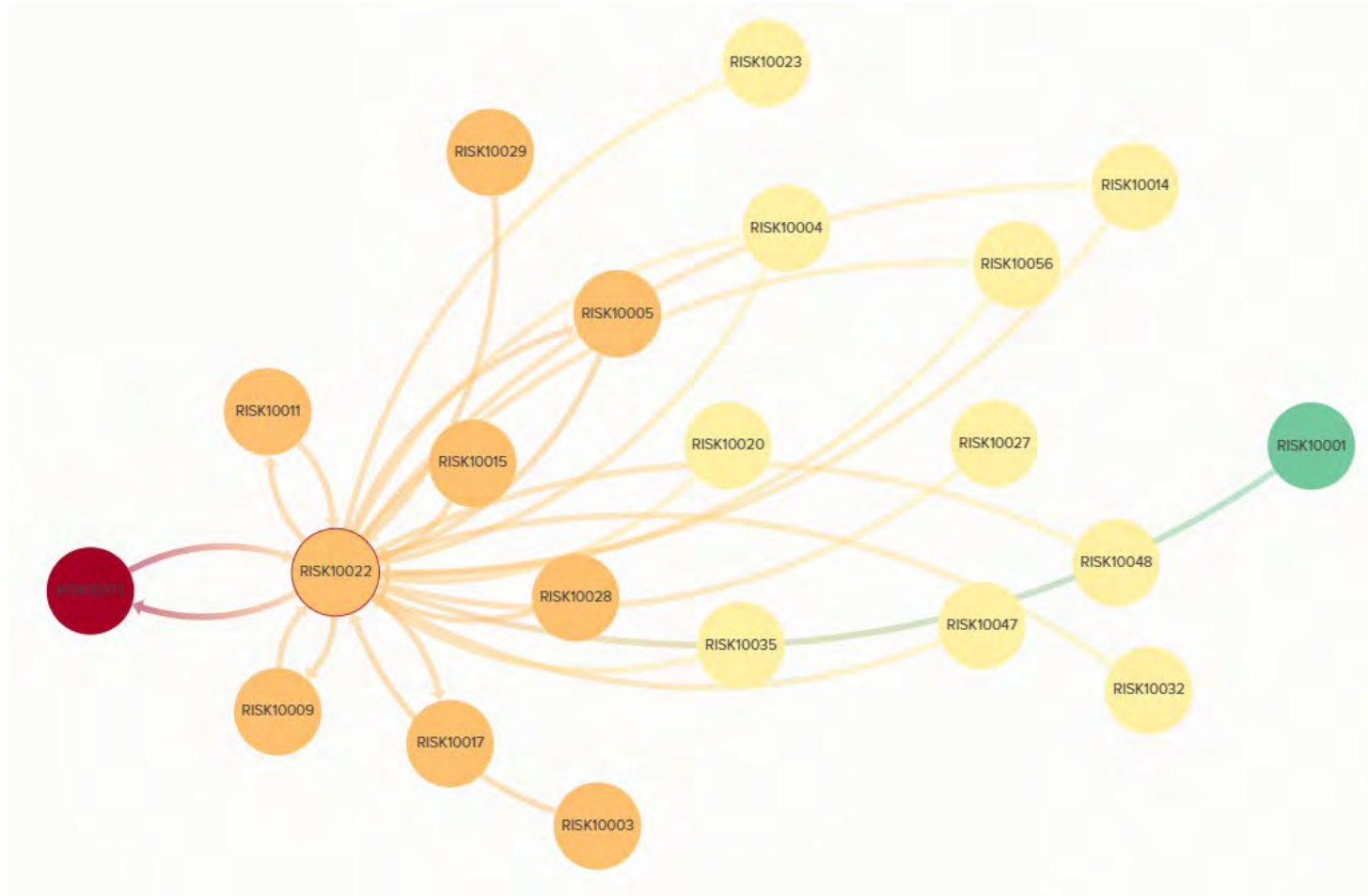
Target  
**Low**

## Risk Appetite

**Conservative**

Risk Owner  
Kenneth Bailey

# RISK10022 - CONNECTIONS



# RISK10028 - SUMMARY

## Description

Ineffective Procurement.

## Long Description

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 Risk

Treatment Plans: PLAN000209

PLAN000210

PLAN000118

5

Implementation of process and systems improvements. Improvement project initiated through Business Improvement Team.,,,

Procurement Plans - Approval by Procurement Manager Prior to Approval under Delegated Authority. Interim Control.

Procurement Policy & Guide provide a lifecycle that support the achievement of procurement objectives from Initiation and Procurement Planning, to close out and review.

Including:

## Risk Assessment

Inherent  
**High**

Residual  
**High**

Target  
**Low**

## Risk Appetite

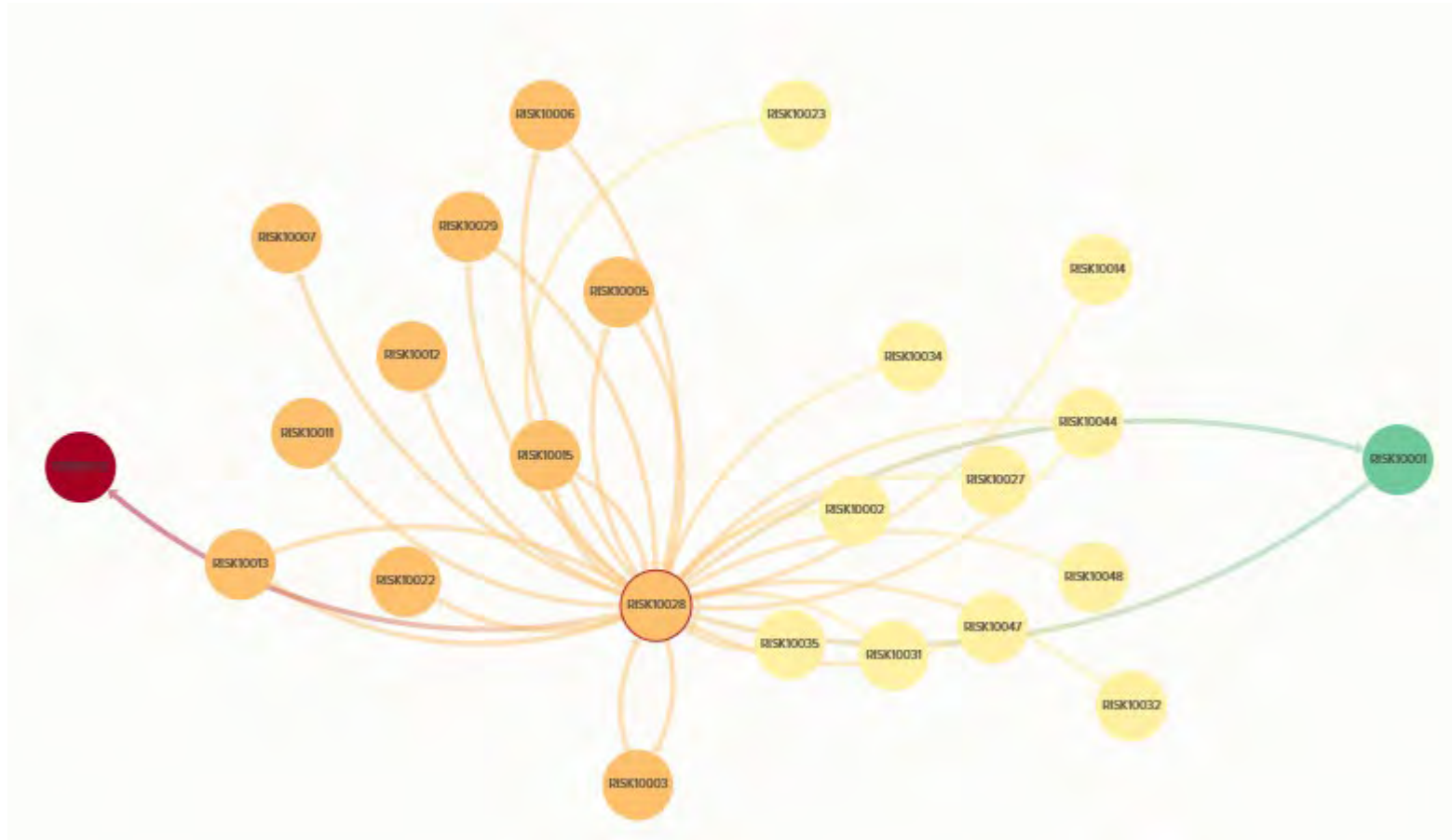
**Measured**

**Risk Owner**  
Katherine  
Harbrow



# RISK10028 - CONNECTIONS

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# RISK10029 - SUMMARY

## Description

Ineffective compliance management practices.

## Long Description

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 Risk

Treatment Plans: PLAN0000208

PLAN000122

PLAN000044

3

Compliance Management  
Policy  
(Drafted for Adoption  
2025)

Compliance  
obligations register  
(mandatory external  
obligations)

Insurance – Statutory  
Liability Policy

## Risk Assessment

Inherent  
**Very High**

Residual  
**High**

Target  
**Low**

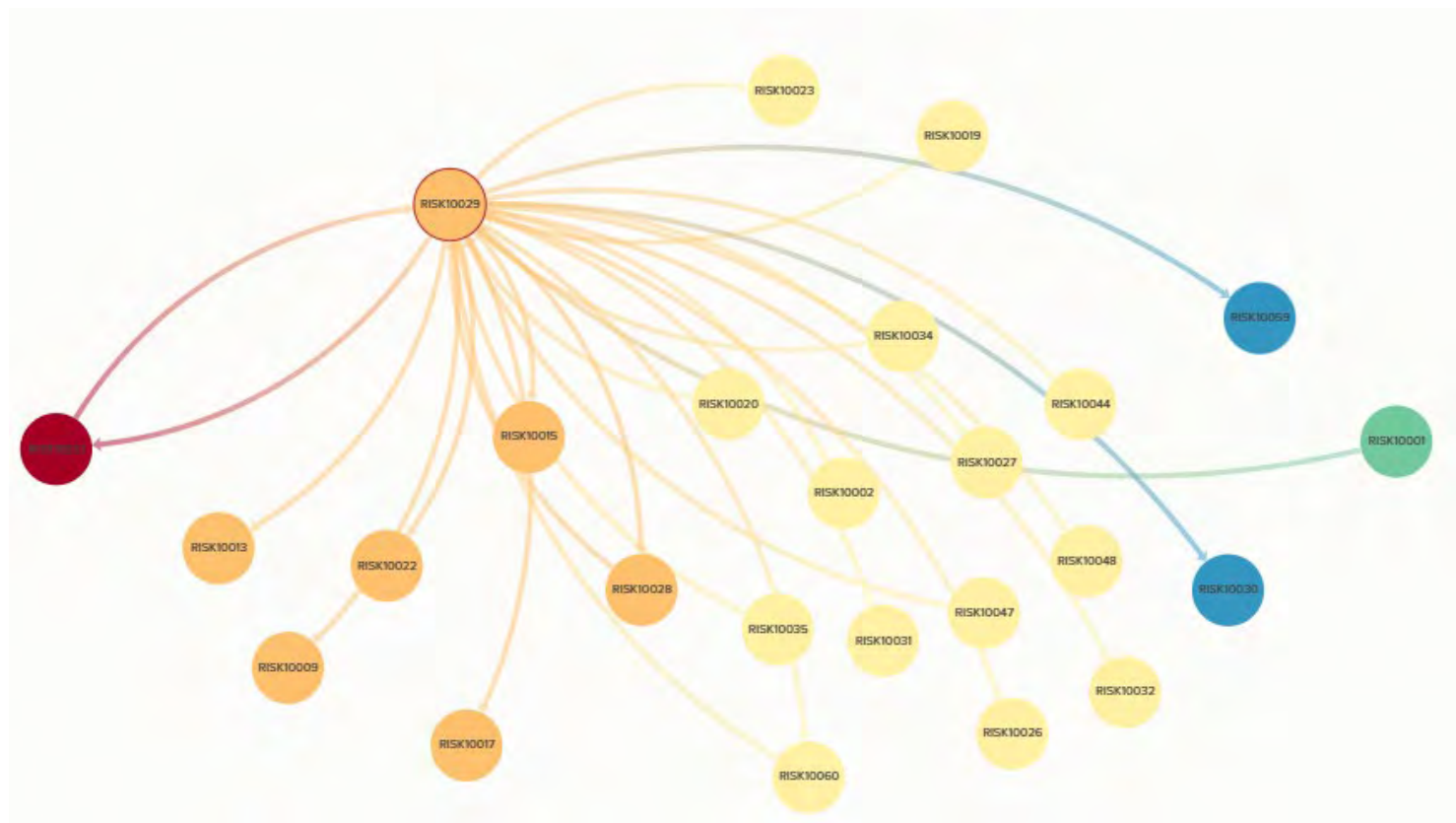
## Risk Appetite

**Conservative**

Risk Owner  
Katherine  
Harbrow

# RISK10029 - CONNECTIONS

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# HORIZON SCAN

Top 5 Risks – Executive Opinion Survey



Global risks ranked by severity over the short and long term



Source:

World Economic Forum Global Risks Perception  
Survey 2024-2025