

13 September 2022

Via email: [REDACTED]

Dear [REDACTED]

Official Information Act request – Risk Register
Our ref: 20220803-1273 and HNZ0000654

I refer to your Official Information Act request dated 3 August 2022, requesting the following information:

NZNO requests a copy of the Risk Register in relation to all 11 (eleven) directorates, including all Corporate risks with the following information included;

- the date they were identified
- Risk Description cause
- Risk Category Causes
- Risk Description Impact/Consequences
- Rating
- Risk level
- Controls in place and adequacy of control – Likelihood – Consequence – Risk level – Treatments – Treatment type – Risk Proximity – Risk proximity date – Responsible Manager – Review date – Risk team/Hazard Investigator – Progress updates – Approval status – Last updated

Response

We contacted you on 4 August with an email asking if we could speak to you to clarify which risk register you were seeking, because there is more than one in use in our organisation. We also wanted to clarify whether you were particularly interested in health and safety risks, because you suggested we ask our Director Occupational Health and Safety for the risk register you seek. We rang you 11 August and emailed again 15 August with the same request. Your response of 16 August does not give us the clarity we had hoped to establish so we have decided to interpret your request as seeking:

Information in Te Toka Tumai Auckland DATIX system from open health and safety risks that match the following subject fields:

1. the date they were identified
2. Risk Description cause
3. Risk Category Causes
4. Risk Description Impact/Consequences
5. Rating
6. Risk level

7. Controls in place and adequacy of control showing Likelihood -Consequence -Risk level -Treatments -Treatment type -Risk Proximity -Risk proximity date - Responsible Manager -Review date -Risk team/Hazard Investigator -Progress updates -Approval status -Last updated

We emailed this clarification to you on 19 August and you responded on 25 August as follows:

Thanks for letting me know. I thought all risks would be held on one register. I was not aware it was in four parts, so would appreciate it if you could send through those four.

Risk management is a means of identifying, assessing, prioritising and mitigating risks across an organisation. Like many organisations, we have Risk Registers which cover a wide range of potential risks of varying degrees of perceived consequence and likelihood. It is important to note that it is rare for a risk identified in the register to actually materialise and the discipline of risk management assists the organisation in ensuring adequate controls are in place, operate effectively and actually prevent most risks occurring.

The registers are management tools to assist in identifying actual or emerging risks, with a view to mitigating or preventing them altogether. Our risk registers are regularly reviewed, and if risks can't be eliminated mitigation strategies are put in place wherever possible to reduce risks so far as is reasonably practicable. Mitigation strategies are reviewed regularly, alongside the identified risk.

The attached copy of the Te Toka Tumai Risk Register in Attachment 1 is an Excel spreadsheet that includes all risks that are 'open' that have an impact category of 'Workplace and Worker Safety'. This returns 159 risks and provides the details of all recorded health & safety risks in Datix. Please note that it is not in four parts as you suggested it may be on 25 August.

We are refusing this part of your request asking for a register held in four parts citing s18(e) Official Information Act – the information requested does not exist.

All the fields requested have been supplied, with two exceptions. We have not provided 'Risk Proximity' or 'Risk proximity date' because we do not collect this information in the risk module anymore. As above we are refusing this part of your request for the same reason.

Note the Datix IDs in the spreadsheet. We think this will be a useful unique identifier if you wish to be able to refer to a specific risk.

You are entitled to seek a review of the response by the Ombudsman under section 28(3) of the Official Information Act. Information about how to make a complaint is available at www.ombudsman.parliament.nz or freephone 0800 802 602.

Please note that this response, or an edited version of this response, may be published on the Auckland DHB website.

Nāku iti noa, nā



Mike Shepherd
Interim District Director
Te Toka Tumai Auckland