



## **Audit and Risk Committee**

### **Notice of Meeting**

An Audit and Risk Committee meeting will be held in the Council Chamber, 26 Gordon Street, Dannevirke on **Tuesday 22 June 2021** commencing following the conclusion of the Audit and Risk workshop.

Bryan Nicholson  
Chief Executive

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### **Agenda**

- 1. Present**
- 2. Apologies**
- 3. Notification of Items Not on the Agenda**
- 4. Confirmation of Minutes** **3**  
*Recommendation*  
*That the minutes of the Audit and Risk Committee meeting held on 29 March 2021 (as circulated) be confirmed as a true and accurate record of the meeting.*
- 5. Matters Arising from the Minutes not otherwise dealt with in the Agenda**
- 6. Reports**
  - 6.1 Risk Management** **9**
  - 6.2 Health and Safety** **31**
  - 6.3 Audit New Zealand Management Report for the Long Term Plan 2021/2031 Consultation Document** **63**
  - 6.4 Adoption of the Long Term Plan 2021/2031 and Schedule of Fees and Charges for the 2021/2022 Financial Year** **83**
- 7. Closure**





## Audit and Risk Committee

Minutes of a meeting of the Audit and Risk Committee held in the Council Chamber, 26 Gordon Street, Dannevirke on Monday 29 March 2021 commencing at 2.39pm.

### 1. Present

Mr K Ross (Chairperson), Her Worship the Mayor - Mrs T H Collis, Crs E L Peeti-Webber (Deputy Mayor), A K Franklin, S A Hull, C J Isaacson, P A Johns, K A Sutherland, R A Treder and S M Wards.

### In Attendance

Mr B Nicholson	- Chief Executive
Mr R Taylor	- Manager - Democracy Services
Mr R Suppiah	- Group Manager - Corporate
Ms S Lowe	- Group Manager - People and Capability
Mrs S Walshe	- Senior Financial Accountant
Mr P Wimsett	- Manager Strategy and Climate Change
Ms S Smith	- Health and Safety Coordinator
Mr C Chapman	- Group Manager - Infrastructure
Mr H Featonby	- Alliance Asset Manager
Mr S Twomey	- Alliance Three Waters Supervisor

### 2. Apologies

2.1 Nil

### 3. Notification of Items Not on the Agenda

3.1 Nil

### 4. Confirmation of Minutes

4.1 *That the minutes of the Audit and Risk Committee meeting held on 17 November 2020 (as circulated) be confirmed as a true and accurate record of the meeting.*

*Ross/Johns*

*Carried*

### 5. Matters Arising from the Minutes not otherwise dealt with in the Agenda

5.1 Nil

## **6. Reports**

### **6.1 Adoption of Supporting Information for the Consultation Document 2021/2031**

6.1.1 A report is tabled from the Group Manager - Corporate Raj Suppiah regarding the adoption of supporting information for the Consultation Document 2021/2031, with key changes arising for audit review concerning the following being noted:

- Sector rates
- Debt
- Financial forecasts statements

6.1.2 ***That the report from the Group Manager - Corporate dated 22 March 2021 concerning the adoption of supporting information for the Consultation Document 2021/2031 (as circulated) be received, and***

***That this matter be recognised as significant in terms of Section 76 of the Local Government Act 2002 and Council's Significance and Engagement Policy, and***

***That the Audit and Risk Committee recommend to the Council that it:***

***a) adopt the policies, strategies and documents detailed in paragraph 13 of this report as information defined as supporting information for the Draft Long Term Plan 2021/2031, and***

***b) in accordance with Section 100 of the Local Government Act 2002, the Council confirm the Draft Long Term Plan 2021/2031 budgets have been prepared based on reasonable judgement and assumptions, and it considers the projected financial results, including the projected operating deficit over the ten year period to be financially prudent given its financial position, the cumulative surplus projected over the ten year period and its financial management policies, and***

***That the Chief Executive is authorised to approve any final edits required to the supporting information to finalise the documents for distribution.***

***Johns/Sutherland***

***Carried***

### **6.2 Adoption of the Long Term Plan Consultation Document 2021/2031**

6.2.1 ***That the report from the Group Manager - Corporate dated 22 March 2021 concerning the adoption of the Long Term Plan Consultation Document 2021/2031 (as circulated) be received, and***

***That this matter or decision be recognised as significant in terms of Section 76 of the Local Government Act 2002 and Council's Significance and Engagement Policy, and***

***That the Audit and Risk Committee recommend to the Council the adoption of the Consultation Document 2021/2031 for consultation with the community, and***



*That the Chief Executive is authorised to approve any final edits required to the Consultation Document in order to finalise the document for printing and distribution.*

*Johns/Wards*

*Carried*

**6.3 Draft Audit New Zealand Management Report 2019/2020**

**6.3.1** *That the report from the Senior Financial Accountant dated 22 March 2021 concerning the Draft Audit New Zealand Management Report 2019/2020 (as circulated) be received and,*

*That the Audit and Risk Committee acknowledge a modified audit opinion was issued by Audit New Zealand in respect of the 2019/2020 Annual Report, and note the following matters arising from the audit:*

- *Recording of complaints is not in line with Department of Internal Affairs guidance.*
- *Leave Support Scheme eligibility and refund.*
- *Roading valuation improvement points.*
- *No central register of all contractors and non-staff people working for Council.*
- *One verbal recommendation regarding payroll reconciliations.*

*Ross/Johns*

*Carried*

**6.4 Progress with Audit New Zealand Findings and Recommendations**

**6.4.1** *That the report from the Senior Financial Accountant dated 22 March 2021 concerning progress with Audit New Zealand findings and recommendations (as circulated) be received, and*

*That the Audit and Risk Committee note progress made by management in addressing the status of eighteen recommendations from Audit New Zealand (being three are ongoing, eleven are in progress, two are complete, one is closed, with one still to be commenced), and*

*That management continue to provide updates on this matter to the Audit and Risk Committee as further progress is made.*

*Hull/Sutherland*

*Carried*

**6.5 Health and Safety**

**6.5.1** *That the report from the Health and Safety Coordinator dated 23 March 2021 concerning health and safety (as circulated) be received, and*

*That the Audit and Risk Committee note the following regarding the focus on health and safety matters and this update:*

- *The SafePlus audit is to be held on 8 to 9 April 2021.*
- *Council staff have been invited to participate in the Ask Your Team Local Government Health and Safety Survey.*
- *A Get Home Safe trial is now under way for a period of one month.*
- *The Health and Safety Committee will submit a draft 'Working Alone' Policy to the Executive Leadership Team at their 1 April 2021 meeting.*
- *The Health and Safety Committee will submit a draft 'Workplace Bullying and Harassment' Policy to the Executive Leadership Team by the end of April 2021.*

*Johns/Ross*

*Carried*

## 6.6 Risk Management

- 6.6.1 *That the report from the Group Manager - People and Capability dated 22 March 2021 concerning risk management (as circulated) be received, and*
- That the Audit and Risk Committee note the updates to the strategic risk register, including the addition of the risk 'Resource Management Act reform' and*
- That the Audit and Risk Committee note the need for further work in internal audit to drive improvements in risk mitigation, and*
- That the Audit and Risk Committee adopt the three-year work programme, and*
- That progress on the CKS audit recommendations is noted and those completed and confirmed are closed off requiring no further action.*

*Johns/Ross*

*Carried*

## 7. Public Excluded Items of Business

- 7.1 *That the public be excluded from the following parts of the proceedings of this meeting, namely:*

*Tararua Alliance performance review*

*Tararua Alliance financial audit*

*The general subject of each matter to be considered while the public is excluded, the reason for passing this resolution in relation to each matter, and the specific grounds under Section 48 (1) of the Local Government Official Information and Meetings Act 1987 for the passing of this resolution follows.*

<i>General subject matter to be considered</i>	<i>Reason for passing this resolution in relation to each matter</i>	<i>Ground(s) under Section 48(1) for the passing of this resolution</i>
<i>Tararua Alliance financial audit</i>	<i>To protect commercial activities</i>	<i>Section (1)(a)(i)</i>

<b><i>Tararua Alliance performance review</i></b>	<b><i>To protect the commercial position of a third party</i></b>	<b><i>Section (1)(a)(i)</i></b>
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***This resolution is made in reliance on Section 48 (1) (a) of the Local Government Official Information and Meetings Act 1987 and the particular interest or interests protected by Section 6 or Section 7 of that Act or Section 6 or Section 7 or Section 9 of the Official Information Act 1982, as the case may require, which would be prejudiced by the holding of the whole or the relevant part of the proceedings of the meeting in public are as follows:***

***s7(2)(b)(ii) The withholding of the information is necessary to protect information where the making available of the information would be likely unreasonably to prejudice the commercial position of the person who supplied or who is the subject of the information.***

***s7(2)(h) The withholding of the information is necessary to enable the local authority to carry out, without prejudice or disadvantage, commercial activities.***

***Collis/Wards***

***Carried***

***7.5 That open meeting be resumed.***

***Ross/Hull***

***Carried***

***7.6 That the following decisions taken with the public excluded be confirmed in open meeting.***

***Item 7.2 - Tararua Alliance Performance Review***

***That progress and achievements made by the Tararua Alliance management team as commended by the auditing team be noted along with their recommendations for the 2019/2020 financial year to keep the performance framework relevant and aligned to the strategic intent and outcomes for both of the Tararua Alliance partners.***

***Item 7.3 - Tararua Alliance Financial Audit***

***That the efforts of the Tararua Alliance management team and the Principals Group to ensure that the pain/gain pool calculated fairly reflects the financial performance for the 2019/2020 financial year is noted and acknowledged.***

***Ross/Hull***

***Carried***

There being no further business the Chairperson thanked those present for their attendance and contributions, and declared the meeting closed at 5.14pm.

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Chairperson



## Report

Date : 14 June 2021

To : Chairperson and Committee Members  
Audit and Risk Committee

From : Sandy Lowe  
Group Manager - People and Capability

Subject : **Risk Management**

Item No : **6.1**

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### **1. Recommendation**

- 1.1 *That the report from the Group Manager - People and Capability dated 14 June 2021 concerning risk management (as circulated) be received, and*
- 1.2 *That the updates to the management of strategic risks relating to the Resource Management Act (1991) reform, three waters reform programme, future of local government review, establishing iwi and Māori partnerships, and significant IT failure/disruption are noted by the Audit and Risk Committee.*

### **2. Reason for the Report**

- 2.1 To provide an update to the Audit and Risk Committee on the management of strategic risks at Council.

### **3. Background**

- 3.1 Regularly reviewing Council's risk profile is essential to enable the identification of new risks, impacts of current risks and to monitor the effectiveness of risk treatment strategies staff have in place. The risk review and sign-off process allows the risk owners an opportunity to review the changing environment and risk landscape and provide updates to the profile of each risk. The sign-off frequency differs depending on the volatility of the risk, and the more likely rapid change is the shorter the sign-off period.

### **4. Updates to Risk**

- 4.1 This report will be focussing on five key risks that have been recently had updates.

- 4.2 The risk 'Resource Management Act Reform' was added to the strategic risk register at the beginning of the year and is currently being reviewed and signed-off every three months to ensure Council is keeping up to date with the release of new information from central government. The Natural and Built Environments Bill is due to be progressed initially through an exposure draft which is due to be released around the middle of this year. A timeline (attached) has been developed outlining key dates from central government, this will enable Council to be prepared and ensure it has resourcing in this space to unpack the potential implications and respond.
- 4.3 The risk 'Three Waters Reform' was added to the strategic risk register in early 2019. Since then the development and understanding of this risk profile has changed significantly, with a high degree of impact this risk is reviewed and signed-off every month. It is expected that Council will need to decide about our participation in the three waters reform tranche two between September and December this year. Lead by Palmerston North City Council, there is work under way at a regional level to better understand possible gaps for reform implementation and identify actions required. The Mayor and Executive Leadership Team are also involved in regular webinar updates from Local Government New Zealand to keep Council up to date on changes and new information.
- 4.4 For both timelines work is under way to overlay the provided timelines with the potential Council action timeline, including analysis of information received, gap analysis against current services and growth impacts, and communication/consultation with the district's communities.
- 4.5 Additional areas of work have been noted to strengthen iwi and Māori partnerships. The risk profile now notes the representation review that is currently being undertaken to include a Māori ward to ensure Māori representation around the Council table. Another update to this risk profile is the addition of the iwi Council Committee, which will provide a direct link between iwi and Council operations. This aims to strengthen Council decision-making and the social, cultural, economic, and environmental outcomes from those decisions.
- 4.6 The risk titled 'amalgamation of councils into larger administrative bodies' has been retitled 'The Future of Local Government'. The likelihood assessment for this risk has significantly increased based on the current proposed reforms. This has lifted this risk into Council's top five strategic risks.
- 4.7 The risk of a significant IT failure/disruption is assessed as a medium level risk though it is noted that the threat to Council's cyber security is increasing and therefore the increase to the likelihood of the risk has been noted in the inherent risk score. The treatment strategies outlined have recently been tested through an IT audit and staff are completing a threat assessment, and a cyber threat education programme for staff and elected members is planned.

## 5. Project Risk

5.1 A complete overview of all project risk is outlined in the below tables.

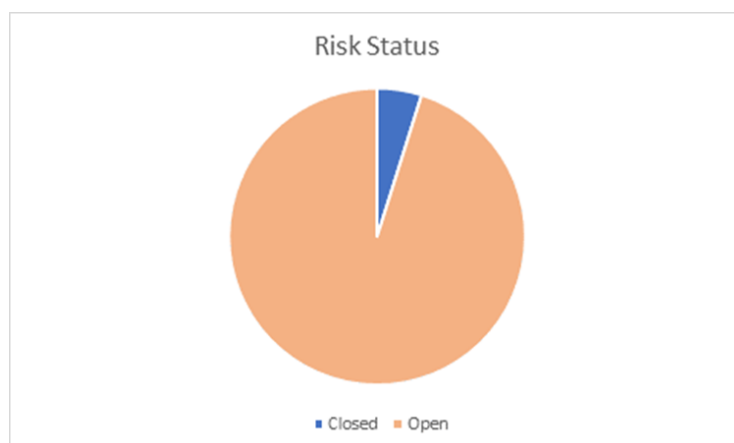
5.2 The three significant risk categories are health and safety, productivity and business/strategic/financial.

NUMBER OF RISKS IDENTIFIED		RISK CATEGORY								
Project	Business Continuity	Business/Strategic/Financial	Community Awareness	Customer Satisfaction	Environmental	Health & Safety	Productivity	Quality	Reputation	TOTAL
3 Waters - Water Treatment Plant Upgrades	1	9			1	30	16	4	2	63
Aften Court Pensioner Housing		1							2	3
Dannevirke Multisport Complex		1	1				1	1		4
Growth Strategy	1	2	2				1	2	1	9
Huarahi Tuhono - Weber to Wimbledon		7		1		1	5	1	3	18
Solid Waste Services			1							1
<b>TOTAL</b>	<b>2</b>	<b>20</b>	<b>4</b>	<b>1</b>	<b>1</b>	<b>31</b>	<b>23</b>	<b>8</b>	<b>8</b>	<b>98</b>

5.3 Though several risks have been identified, there are no project risks that have been assessed with a residual risk rated high.

PROJECT		FINAL RISK RATING							
		1	4	5	6	8	9	10	12
3 Waters - Water Treatment Plant Upgrades			20	4	2	18		4	20
Aften Court Pensioner Housing	3								
Dannevirke Multisport Complex					1	2	1		
Huarahi Tuhono - Weber to Wimbledon	1		8		4		2	1	2
Solid Waste Services							1		
<b>Total</b>		<b>4</b>	<b>28</b>	<b>4</b>	<b>7</b>	<b>20</b>	<b>4</b>	<b>5</b>	<b>22</b>

5.4 Five risks have since been closed off as no longer presenting a risk to the project, with 98 remaining open and actively monitored and managed.



5.5

## Attachments

- 1 [!\[\]\(cd3e54d951a9fb854f48e4697cf550f9\_img.jpg\) Strategic Risk Register - June 2021](#)
- 2 [!\[\]\(cc729e263f29c0a76fbdc4cfe67fceb0\_img.jpg\) Three Waters Reform - Timeline - December 2020](#)
- 3 [!\[\]\(90d36d418f8f7ab67431ba2525e00a5e\_img.jpg\) RMA Reform Timeline - June 2021](#)




## Risk Register



Filter: Portfolio(s) Strategic/Corporate Risks

RESIDUAL 20.0 HIGH	STRATEGIC/CORPORATE RISKS, ENVIRONMENTAL, REDUCE, SUSTAINABLE ENVIRONMENT		TREATMENT MC00048  Monitoring advice from central government and experts. Renewing in line with industry best standard (i.e. earthquake strengthening). Flexibility in the Long Term Plan to reprioritise levels of service. Maintaining depreciation reserve. Emergency reserves. Discretionary assistance from Central Government (60.40). Insurance. Maintain strong balance sheet, ensuring the ability to borrow or cash in assets. Consideration of climate change impacts in future planning e.g. water treatment and storage, asset protection, renewable energy initiatives, connectivity. Infrastructure Strategy and Growth Strategy.	SIGNOFF(S):  Peter Wimsatt  DUE DATE:  01 Aug 2021  FREQUENCY:  The first Day of every 6 months
	Climate Change  Climate change increases weather events and drought and also forecasts sea levels rising, impacting the 3 waters, roading, migration, and emergency repair costs. This may result in legislative changes.			
INHERENT 20.0	OWNER  Portfolio Managers: Group Manager - People & Capability, Risk Administrator			
	CREATED  6/6/2019 11:49:20 AM			
	LIKELIHOOD  SEVERITY	Highly Likely  Major		
	RESIDUAL LIKELIHOOD  RESIDUAL SEVERITY	Highly Likely  Major		
<div>Opportunities: 1. Define a point where we are no longer able to manage the effects of Climate Change 2. Determine alternate water supplies for at risk supply areas. Note the three waters reform and Taumata Arowai funding opportunities to achieve greater resilience and a new LTP intention to look for secondary water sources (particularly bore sources) 3. Determine alternate roading routes for at risk routes. 4. District Plan identification of safe sites for building i.e. lower risk of flood 5. Stormwater review 6. Man-made lakes for water source - drinking &amp; fire response.</div>				

RESIDUAL		STRATEGIC/CORPORATE RISKS, COLLABORATIVE COUNCIL, LEGISLATIVE, COMPLIANCE AND CONTROL		TREATMENT MC00082		SIGNOFF(S):	
16.0		<b>Resource Management Act (1991) Reform</b>		Monitoring Central Government announcements and direction in relation to RMA reform. Allocating resource to manage the technical and political submissions.		12 Aug 2021	
HIGH		Repeal and replacement of the RMA potentially resulting in:		Consideration of this reform in any decision making regarding the District Plan review.		12th day of every 3 months	
INHERENT		Impact on our District Plan review process		Related risks - Future of Local Government			
16.0		Financial and resourcing impacts to our organisation					
R00090		Increased potential for Local Government consolidation					
		OWNER Portfolio Managers: Group Manager - People & Capability, Risk Administrator					
		CREATED 11/12/2020 11:05:51 AM					
		LIKELIHOOD Likely					
		SEVERITY Major					
		RESIDUAL LIKELIHOOD Likely					
		RESIDUAL SEVERITY Major					



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RESIDUAL 15.0 HIGH	STRATEGIC/CORPORATE RISKS, ENVIRONMENTAL, REDUCE, SUSTAINABLE ENVIRONMENT		SIGNOFF(S): Sandy Lowe
	<b>Significant Natural Disaster</b>		DUE DATE: 01 Jun 2022
	A geological or meteorological event or events that significantly impact on the community and Council ability to deliver essential services (for example the three waters and roading), and/or significantly impacts on Council's ability to lead the response to the disaster while maintaining services. Climate change is increasing the frequency and severity of meteorological events.		FREQUENCY: The first Day of every 12 months
	OWNER Portfolio Managers: Group Manager - People & Capability, Risk Administrator		
	CREATED 6/7/2019 11:57:57 AM		
INHERENT 15.0	LIKELIHOOD	Quite possible	
	SEVERITY	Catastrophic	
	RESIDUAL LIKELIHOOD	Quite possible	
	RESIDUAL SEVERITY	Catastrophic	
700054			

RESIDUAL 15.0 HIGH	STRATEGIC/CORPORATE RISKS, EFFICIENT INFRASTRUCTURE, LEGISLATIVE, COMPLIANCE AND CONTROL, REDUCE	TREATMENT MC00046	SIGNOFF(S):	Chris Chapman
INHERENT 20.0	Three Waters Reform Programme	The Mayor and ELT staff are involved in regular webinar updates via Local Government New Zealand to keep up to date on changes and new information.	DUE DATE:	01 Jul 2021
	3 waters service delivery transferred by government potentially resulting in:	Lead by PNCC, there is work underway at a regional level to better understanding possible gaps for reform implementation and identify actions required.	FREQUENCY:	The first Day of every month
R00049	Poor outcomes for our communities	Completed: Strategic planning for multiple submissions to Government Select Committees is underway as of March 2020 alongside SOLGM and LGNZ Lobbying for consideration of key issues to accountability for rates spend. Involvement in regional discussion around allocation of funding for regional distribution. Preparation for signing MOU due 31st August 2020.		
	-local priorities deferred or delayed due to regional priorities			
	-reduced levels or service or capital investment			
	- accountability for ratepayers spend			
	- loss of localisation			
	Financial risk			
	- loss of revenue/funding			
	-loss of ownership			
	- stranded overheads - 3 waters currently contribute 10% of the overhead costs resulting in increased in rates or downsizing and restructuring of the organisation.			
	Loss of control and expertise			
	-capability and capacity during an EOC event			
	- ability to comment, lobby or affect change in water policy			
	- loss of integration with council documents (economic plan).			
	- Growth may not be supported by infrastructure.			
	- loss of control of risks			
	Damage to council reputation			
	- culmination of previous impacts would be worsened by poor change management.			
	Tranche 2 requirements unknown - Dependency on full and complete information including impacts on local authorities.			
OWNER	Portfolio Managers: Group Manager - People & Capability, Risk Administrator			
CREATED	6/4/2019 4:54:27 PM			
LIKELIHOOD	Highly likely			
SEVERITY	Major			
RESIDUAL LIKELIHOOD	Highly likely			
RESIDUAL SEVERITY	Moderate			

15.0

HIGH

INHERENT

20.0

STRATEGIC/CORPORATE RISKS, COLLABORATIVE COUNCIL, GOVERNANCE AND REPUTATION

The Future of Local Government

Amalgamation of Council or Council Services occurring as either, forced by Central Government, forced by need to share resources or associated costs, or undertaken due to community demand. Resulting in loss of community identity and loss of local control, impacting on staff wellbeing with potential for restructure.

R00050

OWNER  
Portfolio Managers: Group Manager - People & Capability, Risk Administrator

CREATED  
6/5/2019 4:04:27 PM

LIKELIHOOD  
Highly likely

SEVERITY  
Major

RESIDUAL LIKELIHOOD  
Highly likely

RESIDUAL SEVERITY  
Moderate

12.0

MEDIUM

STRATEGIC/CORPORATE RISKS, COLLABORATIVE COUNCIL, PEOPLE RISKS, REDUCE

Health and safety notifiable event

Council fails to manage its health and safety risks / meet its responsibilities under the HSWA Act resulting in injury or death to staff/contractor. Legal impacts, stress and pressure, wellbeing of staff, personal liability of CE, and potential for business interruption.

R00047

OWNER  
Portfolio Managers: Group Manager - People & Capability, Risk Administrator

CREATED  
5/15/2019 9:31:25 AM

LIKELIHOOD  
Likely

SEVERITY  
Catastrophic

RESIDUAL LIKELIHOOD  
Quite possible

RESIDUAL SEVERITY  
Major

20.0

INHERENT

TREATMENT MC00047

Monitoring Local Government Commission activity.  
17a review of service delivery.  
Engaging with our communities and ensuring good communication to allow for informed decision making.  
Collaboration with other Councils where possible.

SIGNOFF(S):  
DUE DATE:  
FREQUENCY:

Bryan Nicholson  
10 Aug 2021  
10th day of every 12 months

TREATMENT MC00043

Health and Safety Risk Register complete and up-to-date.  
Health and Safety Committee meet on monthly basis. Representatives chosen to maximise representation of all areas of work.  
Incident investigation, hazard identification, contractor management processes all in place.  
Keeping abreast of emerging health and safety issues nationally through worksafe, safeguard, MWLASS regional H&S group, NZISM and others.  
Engagement of consultants/technical experts when needed.  
Reporting to Council, Executive Leadership Team, Audit & Risk Committee to ensure they are meeting due diligence requirements.  
Staff are inducted to processes and their rights and responsibilities under the HSWA (2015)  
Stand in the gap ethos implemented through staff induction and reiterated ongoing culture.  
Additional engagement with staff on risk management with scenario based testing of controls.  
Definition, focus and management specific to defined critical risks - see critical risks video and howto posters.  
Crisis Management Plan specific to notifiable events published.

SIGNOFF(S):  
DUE DATE:  
FREQUENCY:

Sandy Lowe  
01 Aug 2021  
The first Day of every 6 months

Opportunities:

More robust 17A reviews to review efficiency and economy.  
Investigation for further collaboration through procurement, alliance models and outsourcing to other Councils rather than creating CCO's.

Opportunities:

Testing of crisis management plan.  
Proactive auditing of tasks, workites and contractors.  
Additional engagement with Officers in ensuring due diligence

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RESIDUAL 12.0 MEDIUM	STRATEGIC/CORPORATE RISKS, COLLABORATIVE COUNCIL, GOVERNANCE AND REPUTATION		SIGNOFF(S): Bryan Nicholson 01 Nov 2021 The first Day of every 6 months	
INHERENT 16.0	<b>Failure to maintain and strengthen Iwi and Maori Partnerships</b> Failure to manage Council relationships with Iwi partners and Māori and meet Memorandum of Partnership objectives, resulting in reduced input from Iwi partners and Māori into decisions, weakening social, cultural, economic and environmental outcomes.		DUE DATE: 01 Nov 2021 The first Day of every 6 months	
	OWNER Portfolio Managers: Group Manager - People & Capability, Risk Administrator	CREATED 5/28/2019 10:40:03 AM LIKELIHOOD Likely SEVERITY Major RESIDUAL LIKELIHOOD Likely RESIDUAL SEVERITY Moderate	FREQUENCY: The first Day of every 6 months	
RESIDUAL 12.0 MEDIUM	STRATEGIC/CORPORATE RISKS, EFFICIENT INFRASTRUCTURE, LEGISLATIVE, COMPLIANCE AND CONTROL, REDUCE		SIGNOFF(S): Craig Lunn 01 Aug 2021 The first Day of every 6 months	
INHERENT 25.0	<b>Non-compliance with statutory requirements</b> Failure to comply with statutory requirements such as the drinking water standards, consent conditions, or other regulatory legislation, which could lead to a number of outcomes including but not limited to: illness, injury or death, political conflict, an increase in capital and operating costs, rework, government enquiry/review, failure to achieve public outcomes, exceeding our authority i.e. enforcing expired bylaws, reputational damage and flow on economic effects to the public and businesses.		DUE DATE: 01 Aug 2021 The first Day of every 6 months	
	OWNER Portfolio Managers: Group Manager - People & Capability, Risk Administrator	CREATED 6/6/2019 2:41:02 PM LIKELIHOOD Highly likely SEVERITY Catastrophic RESIDUAL LIKELIHOOD Quite possible RESIDUAL SEVERITY Major	FREQUENCY: The first Day of every 6 months	
R00052				

RESIDUAL

12.0

MEDIUM

INHERENT

20.0

R00053

STRATEGIC/CORPORATE RISKS, EFFICIENT INFRASTRUCTURE, GOVERNANCE AND REPUTATION, REDUCE

Compliance cost increases

Actions by the Manawatu-Whanganui Regional Council (MMRC), Central Government and Iwi/legal increase costs for Council to meet service delivery.

OWNER

Portfolio Managers: Group Manager - People & Capability, Risk Administrator

CREATED

6/6/2019 3:07:17 PM

LIKELIHOOD

Highly likely

SEVERITY

Major

RESIDUAL LIKELIHOOD

Likely

RESIDUAL SEVERITY

Moderate

TREATMENT MC00050

Keep MMRC informed of any consent changes. Plan in advance of consent deadlines, procuring expert advice to guide Council's consenting strategy.

Advocating MMRC and Central Government policy settings change.

Submissions to proposed legislative change. Advocating for change in the Local Government funding model.

Applications for supplementary funding and development contributions.

Futureproofing at design stage looking to update processes and technology.

17A review for efficiency and economy.

Fees and changes reviewed to ensure appropriate funding.

Monitoring and working with local government bodies for proposed legislative changes e.g. three waters reform

SIGNOFF(S):

Chris Chapman

DUE DATE:

01 Aug 2021

FREQUENCY:

The first Day of every 6 months

Opportunities:

Operational management supported by standard operating procedures that are monitored and audited for high risk areas.

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STRATEGIC/CORPORATE RISKS, ENVIRONMENTAL, GREAT LIFESTYLE		SIGNOFF(S):	Sandy Lowe
RESIDUAL 12.0 MEDIUM	<b>Human Disease Pandemic</b> Human disease pandemic impacting on capacity or loss of operational staff affecting levels of services, including cemeteries, customer services and communications, resulting in economic downturn, reduced export income from education and tourism and wellbeing/mental health.	Complete Re-surgence plans and adjust Business Continuity Plans for adjustments to the national actions plan, including use of face masks at different levels.  Review all business continuity plans to adjust these to the expert-based projected severity of the virus, bacteria or other pathogen. Consider MoH, NEMA, SOLGM, LGNZ and other expert advisors/series of response processes for critical council functions. Determine community wellbeing issues and Council leadership and functional role in response and recovery.	DUE DATE: 10 Jul 2021  FREQUENCY: 10th day of every 3 months
R00041	OWNER Portfolio Managers: Group Manager - People & Capability, Risk Administrator  CREATED 4/30/2019 11:01:43 AM  LIKELIHOOD Likely  SEVERITY Catastrophic  RESIDUAL LIKELIHOOD Likely  RESIDUAL SEVERITY Moderate	<p>TREATMENT MC00038</p> <p>IT facilities to enable relevant staff to work from home. Maintaining a healthy balance sheet. Flexibility within the LTP to enable change to service levels i.e., essential services only, suspension of face to face public services (swimming pool, library). The ability to use Council facilities for emergency public health or quarantine. Reducing contamination and transfer of disease through masks, gloves and antibacterial solution - Comms plan to educate staff and public.</p> <p>Opportunities: no touch taps/handwash etc. create comms templates to enable faster response. create an emergency mental health plan. consider this risk within our business continuity planning. stock pile resources for essential services i.e fuel stores, chlorine gas.</p>	



R00042	RESIDUAL 12.0 MEDIUM	STRATEGIC/CORPORATE RISKS, ENVIRONMENTAL, PROSPEROUS ECONOMY	<b>Agriculture Biosecurity Risk</b> A breach in biosecurity that results in a significant impact to any of agriculture, forestry, food safety, the natural environment, or economy in Taranaki.	TREATMENT MC00039	SIGNOFF(S): Sandy Lowe
	INHERENT 12.0	OWNER Portfolio Managers: Group Manager - People & Capability, Risk Administrator CREATED 4/30/2019 11:18:27 AM	LIKELIHOOD Quite possible SEVERITY Major RESIDUAL LIKELIHOOD Quite possible RESIDUAL SEVERITY Major	DUE DATE: 01 Aug 2021 FREQUENCY: 1st day of every 12 months	
R00043	RESIDUAL 12.0 MEDIUM	STRATEGIC/CORPORATE RISKS, COLLABORATIVE COUNCIL, GOVERNANCE AND REPUTATION, REDUCE	<b>Lack of clarity and understanding regarding the roles and responsibilities in governance and management.</b> Lack of clarity in the divergence between governance and operations resulting in potential risks to compromise the decision making process and jeopardise the effectiveness of the organisations structure and cause disruption to organised priorities.	TREATMENT MC00040	SIGNOFF(S): Raj Suppiah
	INHERENT 15.0	OWNER Portfolio Managers: Group Manager - People & Capability, Risk Administrator CREATED 5/7/2019 2:37:24 PM	LIKELIHOOD Highly likely SEVERITY Moderate RESIDUAL LIKELIHOOD Likely RESIDUAL SEVERITY Moderate	DUE DATE: 19 Oct 2022 FREQUENCY: The fourth Wednesday of every 36 months	
			Opportunities: Ongoing performance development planning with members		

RESIDUAL 12.0 MEDIUM	STRATEGIC/CORPORATE RISKS, EFFICIENT INFRASTRUCTURE, LEGISLATIVE, COMPLIANCE AND CONTROL			SIGNOFF(S): DUE DATE: FREQUENCY:	Mark Maxwell 01 Jul 2021 The first Day of every 3 months
INHERENT 12.0	Failure to enable growth – District Growth is not supported by the District Plan, Infrastructure capacity and availability of funding Resulting in failure to meet Council's LTP strategies, funding challenges ie rating base, higher rates increases – affordability issues, defer renewals and replacement of assets, ratepayers submit applications to build in permitted zones but are unable to do so due to lack of services and stymied district growth due to inability to take advantage of potential growth opportunities OWNER Portfolio Managers: Group Manager - People & Capability, Risk Administrator CREATED 7/8/2019 4:25:56 PM LIKELIHOOD Quite possible SEVERITY Major RESIDUAL LIKELIHOOD Quite possible RESIDUAL SEVERITY Major TREATMENT MC00053 Council is undertaking a growth study to establish where growth can happen across the district. The first stage is to understand where existing infrastructure can cope with growth. District Plan is due to be reviewed by 2022. Opportunities: Develop a growth Strategy that informs/give directions to other strategies – create better alignment to Council's vision Amendments to District Plan Proactive planning to prepare for a growth scenario. Align and anticipate Government priorities and funding, while advocating for opportunities that align our Vision				
RESIDUAL 10.0 MEDIUM	The technical or structural failure of one or more critical infrastructure assets affecting delivery of key services to our communities. Potentially impacting Council financially, reputationally and wellbeing of staff and public. OWNER Portfolio Managers: Group Manager - People & Capability, Risk Administrator CREATED 5/9/2019 4:59:52 PM LIKELIHOOD Quite possible SEVERITY Catastrophic RESIDUAL LIKELIHOOD Unlikely RESIDUAL SEVERITY Catastrophic TREATMENT MC00045 Robust Asset Management Plans. Condition ratings on assets with expected life of asset to help determine replacement before failure. Monitoring processes in place, scada, drone inspections. Customer CRMs & asset repair forms, recognising patterns of small failures which may indicate deterioration. Major parts that are difficult or timely to source are kept in stock. Infrastructure Strategy. Opportunities: Determine and record which specific infrastructure assets are 'critical'. Emergency Response plan for disaster recovery. Monitoring and portable generators available for each pump station.				
INHERENT 15.0					

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RESIDUAL 10.0 MEDIUM	STRATEGIC/CORPORATE RISKS, PROSPEROUS ECONOMY		TREATMENT MC00033	SIGNOFF(S):  DUE DATE: FREQUENCY:	Mark Maxwell 01 Apr 2022 The first Day of every 12 months
	<b>Increasing proportion of fully retired residents</b> Changes in Council service design due to an increasing proportion of fully retired residents				
	OWNER	Portfolio Managers: Group Manager - People & Capability, Risk Administrator			
	CREATED	4/3/2019 8:44:29 AM			
INHERENT 10.0	LIKELIHOOD	Highly likely	Opportunities: Elderly Strategy: Encourage older workforce. Review of service design. Consider accommodation alternatives to pensioner housing (Abbeyfield)		
	SEVERITY	Minor			
	RESIDUAL LIKELIHOOD	Highly likely			
	RESIDUAL SEVERITY	Minor			
R00036					
RESIDUAL 9.0 MEDIUM	STRATEGIC/CORPORATE RISKS, LEGISLATIVE, COMPLIANCE AND CONTROL, PROSPEROUS ECONOMY		TREATMENT MC00036	SIGNOFF(S):  DUE DATE: FREQUENCY:	Mark Maxwell 01 Jul 2021 The first Day of every 6 months
	<b>Significant variation to population</b> A significant increase or decrease to the population impacting on housing, skilled workers, infrastructure, service design, lifestyle, social change and political pressure. This could result in a change in Council revenue sources, demand for council services and/or capital and operating expenditure which could reduce our resilience.				
	OWNER	Portfolio Managers: Group Manager - People & Capability, Risk Administrator			
	CREATED	4/3/2019 11:26:31 AM			
INHERENT 9.0	LIKELIHOOD	Quite possible	Opportunities: District Plan review. Development/Financial Contributions. Lobby for additional Government services e.g. housing.		
	SEVERITY	Moderate			
	RESIDUAL LIKELIHOOD	Quite possible			
	RESIDUAL SEVERITY	Moderate			
R00039					

RESIDUAL

9.0

MEDIUM

INHERENT

9.0

STRATEGIC/CORPORATE RISKS, EFFICIENT INFRASTRUCTURE, LEGISLATIVE, COMPLIANCE AND CONTROL

Inability to fund 3 waters increased renewals

Inability to fund 3 waters increased renewals impacting our ability to meet agreed service levels, regulatory standards, Council's LTP strategies potentially resulting in forced amalgamations, deferral of renewals and replacement of assets, with the potential for of flow on effects to public health

OWNERPortfolio Managers: Group Manager - People & Capability, Risk Administrator

CREATED7/8/2019 4:38:22 PM

LIKELIHOODQuite possible

SEVERITYModerate

RESIDUAL LIKELIHOODQuite possible

RESIDUAL SEVERITYModerate

RESIDUAL

9.0

MEDIUM

INHERENT

12.0

STRATEGIC/CORPORATE RISKS, PEOPLE RISKS, PROSPEROUS ECONOMY

Failure to attract and retain suitable skilled staff

Failure to attract and retain suitable skilled staff resulting in lower productivity, increased training costs, remedial costs to fix significant mistakes affecting our reputation as an employer of choice.

OWNERPortfolio Managers: Group Manager - People & Capability, Risk Administrator

CREATED5/14/2019 4:33:09 PM

LIKELIHOODLikely

SEVERITYModerate

RESIDUAL LIKELIHOODQuite possible

RESIDUAL SEVERITYModerate

TREATMENT MC00055

SIGNOFF(S):Raj Suppiah

DUE DATE:01 Jan 2022

FREQUENCY:The first Day of every 6 months

Data quality improvement programme  
Better forecast renewals – based on risk, service levels and asset condition/performance  
Increase maturity of Asset Management Plans  
Appropriately funded depreciation renewals.

Opportunities:  
Data quality and strategic approach to renewals

TREATMENT MC00042

SIGNOFF(S):Sandy Lowe

DUE DATE:01 Aug 2021

FREQUENCY:The first Day of every 12 months

Taranua District Council aims to be an employer of choice.  
Supportive, safe & happy culture – Council Values, Wellness framework  
Flexible working conditions  
Options for growth – training, upskilling, transfer or promotion.  
Cadetships offered for hard to fill roles - nationally.  
Road Maps – enhancing current roles, professional development, feedback and communication.  
Competitive remuneration – based on job sizing and industry demand.  
Succession planning and cross-skilling staff where possible.  
Vacancies – advertising promotes Taranua District to attract more specialised skill sets, targeting local population and local government industry.  
Staff networking encourages others to consider working for TDC. Skills and team fit considered during interview process.  
Mediation and dispute resolution.  
Feedback from staff and exit interviews enables process improvements and areas of improvement for managers and staff.

Opportunities:  
Staff survey and organisational strategy - working for continual improvement

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promapp

Printed: 13 Jun 2021 12:58:22 by Sandy Lowe for Taranua District Council

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RESIDUAL

8.0

MEDIUM

INHERENT

12.0

R00059

OWNER  
Portfolio Managers: Group Manager - People & Capability, Risk Administrator

CREATED  
7/8/2019 4:41:22 PM

LIKELIHOOD  
Quite possible

SEVERITY  
Major

RESIDUAL LIKELIHOOD  
Unlikely

RESIDUAL SEVERITY  
Major

STRATEGIC/CORPORATE RISKS, COLLABORATIVE COUNCIL, LEGISLATIVE, COMPLIANCE AND CONTROL

A major discretionary project is undertaken despite community opposition and/or failure to consider the expectations of the community

Community opposition and expectations are not considered resulting in reduced ratepayer confidence in Council and political backlash

TREATMENT MC00056

SIGNOFF(S):  
Tina Love

DUE DATE:  
10 Aug 2021

FREQUENCY:  
10th day of every 12 months

RESIDUAL

8.0

MEDIUM

INHERENT

12.0

R00055

OWNER  
Portfolio Managers: Group Manager - People & Capability, Risk Administrator

CREATED  
7/8/2019 4:21:10 PM

LIKELIHOOD  
Quite possible

SEVERITY  
Major

RESIDUAL LIKELIHOOD  
Unlikely

RESIDUAL SEVERITY  
Major

STRATEGIC/CORPORATE RISKS, COLLABORATIVE COUNCIL, LEGISLATIVE, COMPLIANCE AND CONTROL

Failure to develop and understand our relationship with our key stakeholders

Resulting in a loss of public confidence in Council and inability to achieve outcomes where stakeholder input is required.

TREATMENT MC00052

SIGNOFF(S):  
Tina Love

DUE DATE:  
10 Aug 2021

FREQUENCY:  
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RESIDUAL

8.0

MEDIUM

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12.0

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RESIDUAL SEVERITY  
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STRATEGIC/CORPORATE RISKS, COLLABORATIVE COUNCIL, LEGISLATIVE, COMPLIANCE AND CONTROL

Failure to develop and understand our relationship with our key stakeholders

Resulting in a loss of public confidence in Council and inability to achieve outcomes where stakeholder input is required.

TREATMENT MC00052

SIGNOFF(S):  
Tina Love

DUE DATE:  
10 Aug 2021

FREQUENCY:  
10th day of every 6 months

RESIDUAL

8.0

MEDIUM

INHERENT

12.0

R00055

OWNER  
Portfolio Managers: Group Manager - People & Capability, Risk Administrator

CREATED  
7/8/2019 4:21:10 PM

LIKELIHOOD  
Quite possible

SEVERITY  
Major

RESIDUAL LIKELIHOOD  
Unlikely

RESIDUAL SEVERITY  
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RESIDUAL

6.0

MEDIUM

STRATEGIC/CORPORATE RISKS, COLLABORATIVE COUNCIL, LEGISLATIVE, COMPLIANCE AND CONTROL

INHERENT

8.0

OWNERMark Maxwell

CREATED4/16/2019 10:55:59 AM

LIKELIHOODLikely

SEVERITYMinor

RESIDUAL LIKELIHOODQuite possible

RESIDUAL SEVERITYMinor

Reputational impacts led by a lack of communication and understanding across Council and our communities, resulting in a lack of community buy in, affecting our ability to deliver best results and creating a negative view of Council from both the media and the community.

**Failure to engage and communicate with our communities effectively**

SIGNOFF(S): Mark Maxwell

DUE DATE: 01 Oct 2021

FREQUENCY: 1st day of every 6 months

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Creating opportunities for community engagement through social media and (opportunity) other technological avenues (apps).

Opportunities:

Future proof communication with public through development of an online publication (Buzz It)

RESIDUAL

6.0

MEDIUM

STRATEGIC/CORPORATE RISKS, LEGISLATIVE, COMPLIANCE AND CONTROL, PROSPEROUS ECONOMY

INHERENT

12.0

OWNERPortfolio Managers: Group Manager - People & Capability, Risk Administrator

CREATED4/3/2019 9:58:10 AM

LIKELIHOODQuite possible

SEVERITYMajor

RESIDUAL LIKELIHOODUnlikely

RESIDUAL SEVERITYModerate

Note that COVID-19 Government intervention for employment subsidy, quantitative easing and other significant measures have moderated the effects of the COVID-19 event.

Tararua District is one of the least impacted districts in New Zealand due to the economic focus on dairy and meat produce.

**Atypical Global Depression**

Significant global economic depression affecting NZ and the Tararua District. Affecting our ability to fund Council services through rates, which could disrupt our current service design and reduce or remove credit lines. This could also lead to community unrest and increased political pressure.

TREATMENT MC00034

SIGNOFF(S): Raj Suppiah

DUE DATE: 01 Aug 2021

FREQUENCY: The first Day of every 2 months

Monitoring of any significant international economic instability and review LTP with the flexibility to alter or defer plans and/or projects, specifically the Financial and Economic Strategies to ensure a healthy balance sheet is maintained and rate increases are moderate. Love local campaign has been initiated to encourage economic stimulus locally. Applying for additional Government funding for infrastructure improvements projects, increasing local employment opportunities creating economic stimulus.

Opportunities:

Consider Council projects that could be developed as 'work schemes' in the event of severe unemployment / community unrest.

RESIDUAL

6.0

MEDIUM

STRATEGIC/CORPORATE RISKS, COLLABORATIVE COUNCIL, LEGISLATIVE, COMPLIANCE AND CONTROL

INHERENT

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DUE DATE: 01 Oct 2021

FREQUENCY: 1st day of every 6 months

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Opportunities:

Future proof communication with public through development of an online publication (Buzz It)

RESIDUAL

6.0

MEDIUM

STRATEGIC/CORPORATE RISKS, LEGISLATIVE, COMPLIANCE AND CONTROL, PROSPEROUS ECONOMY

INHERENT

12.0

OWNERPortfolio Managers: Group Manager - People & Capability, Risk Administrator

CREATED4/3/2019 9:58:10 AM

LIKELIHOODQuite possible

SEVERITYMajor

RESIDUAL LIKELIHOODUnlikely

RESIDUAL SEVERITYModerate

Note that COVID-19 Government intervention for employment subsidy, quantitative easing and other significant measures have moderated the effects of the COVID-19 event.

Tararua District is one of the least impacted districts in New Zealand due to the economic focus on dairy and meat produce.

**Atypical Global Depression**

Significant global economic depression affecting NZ and the Tararua District. Affecting our ability to fund Council services through rates, which could disrupt our current service design and reduce or remove credit lines. This could also lead to community unrest and increased political pressure.

TREATMENT MC00034

SIGNOFF(S): Raj Suppiah

DUE DATE: 01 Aug 2021

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Monitoring of any significant international economic instability and review LTP with the flexibility to alter or defer plans and/or projects, specifically the Financial and Economic Strategies to ensure a healthy balance sheet is maintained and rate increases are moderate. Love local campaign has been initiated to encourage economic stimulus locally. Applying for additional Government funding for infrastructure improvements projects, increasing local employment opportunities creating economic stimulus.

Opportunities:

Consider Council projects that could be developed as 'work schemes' in the event of severe unemployment / community unrest.

RESIDUAL

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MEDIUM

STRATEGIC/CORPORATE RISKS, COLLABORATIVE COUNCIL, LEGISLATIVE, COMPLIANCE AND CONTROL

INHERENT

8.0

OWNERMark Maxwell

CREATED4/16/2019 10:55:59 AM

LIKELIHOODLikely

SEVERITYMinor

RESIDUAL LIKELIHOODQuite possible

RESIDUAL SEVERITYMinor

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	Typical Severe Recession			
	Significant economic downturn affecting NZ and the Taranua District. Affecting our ability to fund Council services through rates, which could disrupt our current service design and reduce or remove credit lines. This could also lead to increased political pressure and significant resistance to any cutbacks.			
	OWNER	Portfolio Managers: Group Manager - People & Capability, Risk Administrator		
	CREATED	4/3/2019 11:09:49 AM		
	LIKELIHOOD	Unlikely		
	SEVERITY	Major		
	RESIDUAL LIKELIHOOD	Unlikely		
	RESIDUAL SEVERITY	Moderate		

RESIDUAL 6.0 MEDIUM	STRATEGIC/CORPORATE RISKS, COLLABORATIVE COUNCIL, LEGISLATIVE, COMPLIANCE AND CONTROL			RESIDUAL 15.0 INHERENT
	Significant IT Failure that disrupts the organisations ability to provide agreed levels of service			
	IT Failure that disrupts the organisations ability to provide agreed levels of service and restrict the ability for Council functions to perform. This could be caused through physical damage to a site, or through data corruption with either malicious intent or accidentally.			
	OWNER	Portfolio Managers: Group Manager - People & Capability, Risk Administrator		
	CREATED	5/14/2019 3:48:46 PM		
	LIKELIHOOD	Quite possible		
	SEVERITY	Catastrophic		
	RESIDUAL LIKELIHOOD	Unlikely		
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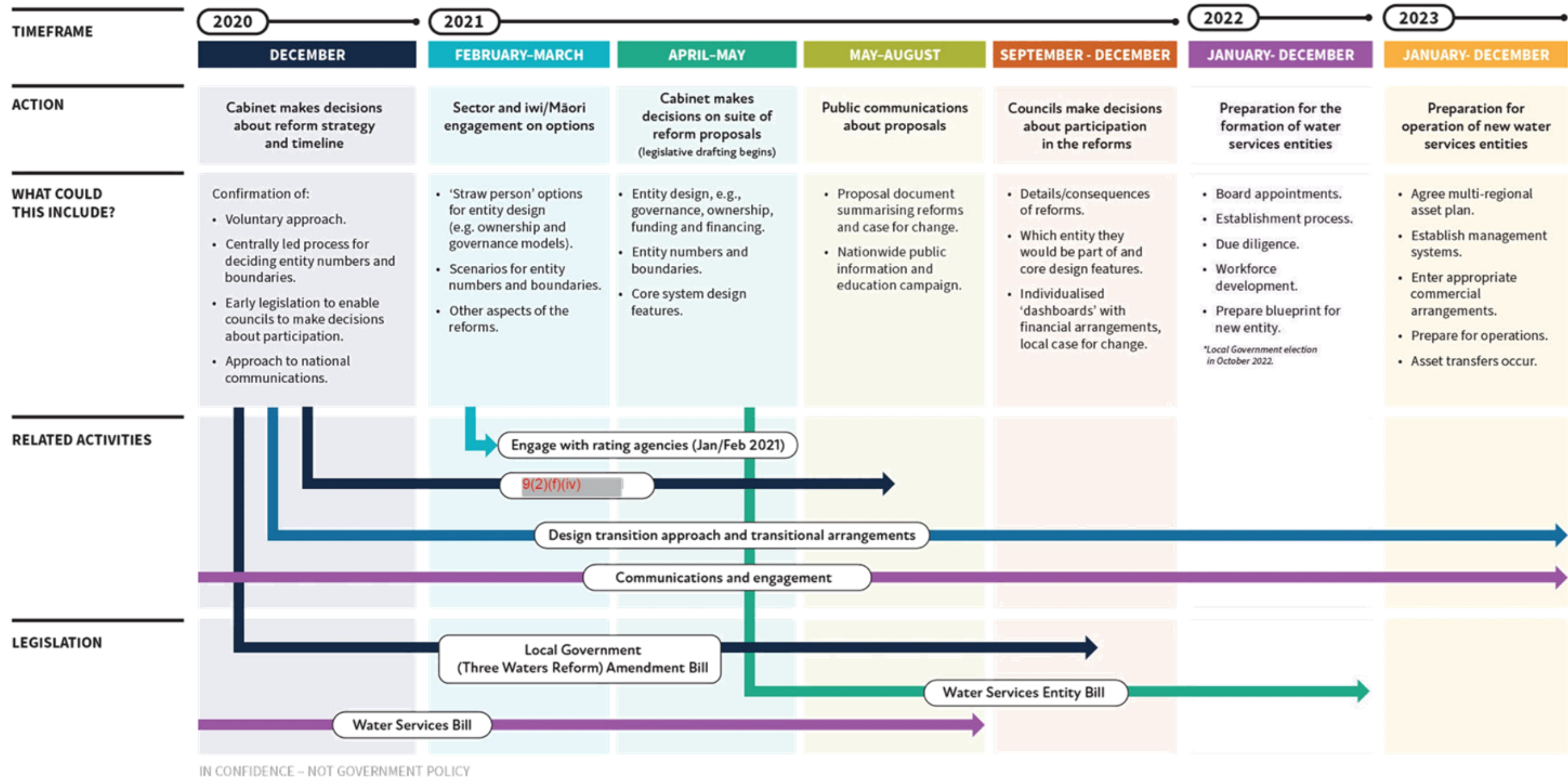
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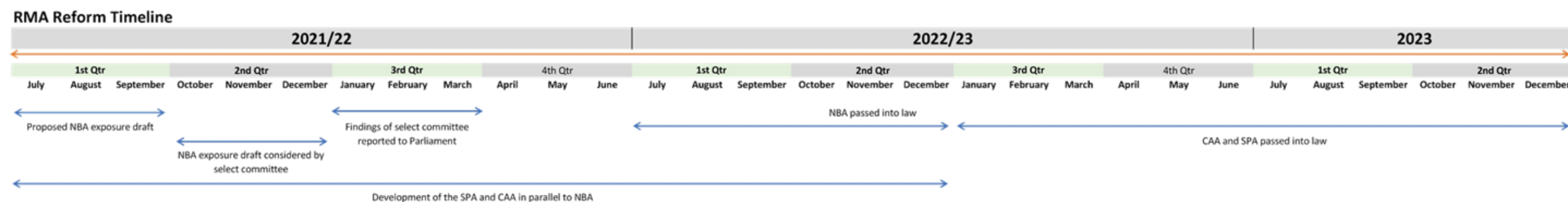
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INHERENT 12.0		TREATMENT MC00054	
<b>Failure to deliver major infrastructure project(s)</b> Failure to deliver major infrastructure project(s) resulting in failure to meet agreed service levels, regulatory standards, Council's LTP strategies and community expectations – reputational impacts		Established Project team continue to drive and increase project management principles and capability. Improved project governance through establishment of Steering Committees Improved project governance oversight via Works Liaison committee and Council. Improved project management disciplines/methodology. Established structure for projects to allow for additional capacity for high-risk projects. Culture re-organised to allow for proactive planning and scoping of future projects. Increased collaboration with Infrastructure group to ensure information sharing and proactive risk management	
OWNER Portfolio Managers: Group Manager - People & Capability, Risk Administrator CREATED 7/8/2019 4:32:46 PM LIKELIHOOD Quite possible SEVERITY Major RESIDUAL LIKELIHOOD Unlikely RESIDUAL SEVERITY Moderate		Opportunities: Increase delivery opportunities through contractor resource when in-house resource at capacity Development of cheat sheets for staff who need additional guidance	
R00057		SIGNED(S): Tina Love DUE DATE: 01 Aug 2021 FREQUENCY: The first Day of every 2 months	



## Three waters services delivery reform programme

## Proposed reform strategy and timeline





## Report

Date : 14 June 2021

To : Chairperson and Committee Members  
Audit and Risk Committee

From : Sharron Smith  
Health & Safety Coordinator

Subject : **Health and Safety**

Item No : **6.2**

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### 1. Recommendation

- 1.1 *That the report from the Health and Safety Coordinator dated 14 June 2021 concerning health and safety (as circulated) be received, and*
- 1.2 *That the Audit and Risk Committee note the following regarding the focus on health and safety matters and this update:*
- *The outcome of the AskYourTeam Local Government health and safety survey results.*
  - *The GetHomeSafe app is to be rolled out to all staff by the end of August.*
  - *Digital radios are to be rolled out to all Council vehicles by the end of 2021.*
  - *A third-party review is to be conducted in the water and wastewater area on 12 and 13 July 2021.*
  - *Risk register incident information for the period of April to June 2021.*

### 2. Reason for the Report

- 2.1 To provide an update to the Audit and Risk Committee on health and safety matters.

### **3. Health and Safety Regional Group**

- 3.1 The SafePlus audit of health and safety practices and culture at Tararua District Council took place on 8 and 9 April 2021. The assessment covered a deep dive on three risks: mental wellbeing, working alone and PCBU interactions/activities.
- 3.2 A draft report has recently been received. This will be reviewed, and final questions asked by the auditor responded to before the report is finalised, this is expected prior to 30 June 2021. The final summary of the report will then be sent to the Executive Leadership Team, the Audit and Risk Committee and all staff.
- 3.3 The recommendations outlined in this report will help to inform Council's health and safety strategy. This strategy will outline actions for continual improvement, and progress against these actions will be reported to the Audit and Risk Committee.

### **4. AskYourTeam Local Government Health and Safety Survey**

- 4.1 Tararua District Council participated in the Health, Safety and Wellbeing survey run through EquiP. 31 councils throughout the country participated in the survey. Tararua District Council reached a participation rate of 53%. A summary of the results is attached with this report for your information.
- 4.2 Council's top score was 83% where staff felt their manager was prepared to adapt and be flexible to support the organisation successfully transitioning into the next phase of post COVID-19 recovery and should also be noted that they felt their manager proactively supported the team's wellbeing at that time during lockdown.
- 4.3 Overall, Council scored high for its COVID-19 response and low scores are seen for workplace stressors and psychological wellbeing.
- 4.4 The feedback from this survey will be shared with teams with recommendations to not only obtain staff feedback and inform Council's health and safety strategy, but also to celebrate successes and the areas Council are doing well in.

### **5. Continual Improvement**

- 5.1 To support improvements within the water and wastewater areas, an external third-party review of Council's health and safety risk register will be conducted by IMPAC on 12 and 13 July 2021. The primary purpose of the audit is to establish whether all health and safety risks within this area have been identified, and address those key risks that most likely cause harm to staff, contractors or the public with a particular focus on prevention controls as per the hierarchy of control.

- 5.2 The GetHomeSafe trial has now ended and will be rolled out to all Council staff progressively by the end of August. The first team was selected based on their working alone risk profile, the water and wastewater teams will be using the app from 21 June 2021.
- 5.3 This app primarily works on monitoring time. Prior to a working alone task or journey, the staff member will set a time with either a recurring check-in or for the completion of a task. If the staff member does not check-in as planned, Palmerston North City Council (PNCC) call centre will receive an alert, resulting in escalation.



- 5.4 For added safety, the App also has a “man down” (no-movement) alert and out of coverage SOS emergency.
- 5.5 Ten digital radios have been installed into the first group of Council vehicles: Water and Wastewater Teams, Animal Control Officers, the General Inspector and the Emergency Management Officer. All radios come with a handset which the driver clips on to themselves when leaving the vehicle. The radios have an alert button. Get Home Safe are currently working with Motorola (who are managing the digital radios) to link the digital radio information through to the GetHomeSafe App. This has reduced Council’s need for satellite devices as there is significant coverage through the digital radios. The second roll out of radios will be installed into vehicles within the next few months.

## 6. Health and Safety Committee

- 6.1 The health and safety representatives have been realigned to reflect the recent changes in the organisation re-structure.
- 6.2 Raj Suppiah has now joined the committee as the Executive Leadership Team representative.

The appointment of a PCBU representative to the Health and Committee ensures that what's happening on the ground is fed back through to the leadership team and to also keep them up to date on health and safety matters. The PCBU member also has the authority to make decisions on behalf of the organisation if required.

## **7. Risk Management**

- 7.1 The Health and Safety Committee Committee will be conducting the first of the annual 'Health and Safety Hazard Identification Audit's commencing with the Dannevirke Administration building.
- 7.2 The Health and Safety Coordinator will be assisted by each Health and Safety Representative (HSR) in each group/department to complete the audits. The representatives will do a complete walk through each area identifying new hazards followed by a risk analysis on findings. Finally, an audit report will be communicated back to the leadership team and staff outlining the key corrective actions required.

## **8. Contractor Management**

- 8.1 Due to ongoing configuration issues with the SHE software, staff have been unable to complete implementation of this project. The provider was given the opportunity to rectify this in a timely manner, which could not be mutually agreed to. Based on this, Council have exited the contract. Staff are now looking at alternative systems, specifically Sitewise which is currently being used by a number of regional partner councils and also by Downer.

## **9. Hazardous Substances Regulations (2017)**

- 9.1 The final Hazardous Substances Management Audit report has been received by the Auditor, Peter O'Donnell. The Health and Safety Coordinator is completing work on the recommendations and will then meet with key staff and Infrastructure Group Manager to put together a prioritised action plan to address key recommendations.

## **10. Hazard and Risk Investigation**

- 10.1 A WorkSafe notifiable event occurred 27 May 2021 at the Pongaroa water treatment plant.
- 10.2 A contractor removed a vacuum regulator without closing the cylinder valve and venting gas lines resulting in discharge of chlorine gas into the plant building.
- 10.3 The Water Treatment Team Leader notified and responded, ensuring exposure was avoided. There were no injuries and no one in the immediate area were affected. The event has been reported the event to Worksafe, under Section 24(1)(c) "an escape of gas or steam".

- 10.4 Worksafe have advised that they do not see this as a notifiable event as there was no injury caused, which differs from the legislation. However, WorkSafe have noted the event in their system, but advised no action will be taken on their part.
- 10.5 A full investigation into the root causes is under way, corrective actions will be identified and reported once completed.

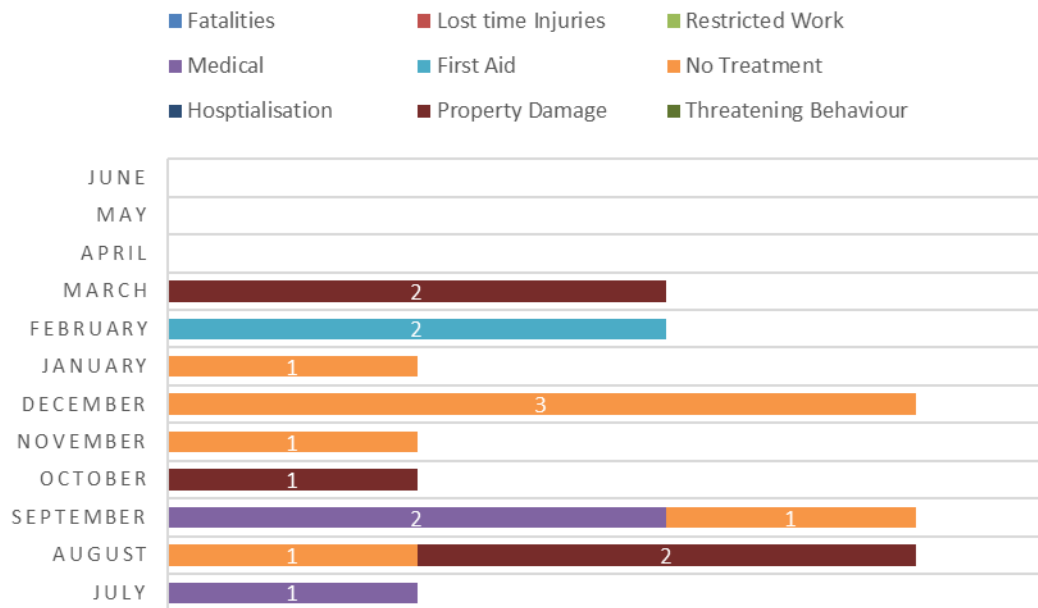
## 11. Incident Information for period from April 21 – June 2021

DATE	LOCATION	RISK	DESCRIPTION	GROUP	TYPE	INJURY RESULT	ACTION TAKEN	RESOLVE
15/04/2021	Dannevirke	Incident	Hit head on box	Operations	Physical	injured head	Windscreen now fixed	YES
21/04/2021	Eketahuna	Hazard	Lock in the working cubicle is not working creating a security issue.	Operations	security risk	No Injury	Washed affected area down with water and fixed hose fitting	YES
23/04/2021	Dannevirke	Near Miss	Another vehicle in the Dannevirke carpark nearly backed into him	Regulatory Services	Vehicle	No Injury	Discussion had with H&S Committee and ELT. Reversing rule in carpark has been put in place.	YES
24/04/2021	Dannevirke	Incident	Cracked windscreen whilst driving	Infrastructure	Vehicle	No Injury	Windscreen has been fixed	YES
27/04/2021	Dannevirke	Hazard	Floor coating at the pound has become worn	Regulatory Services	Infrastructure	No Injury	Under discussions. Is in the 2021 LTP. Quote to either patch affected areas or complete full resurface of the floor area. Still under discussions	NO
6/05/2021	Dannevirke	Hazard	Sun through window causing gear on screen	Regulatory Services	Physical	No Injury	Has been assessed. Kelly has ordered a blind for the window; six week deliver	NO
12/05/2021	Pahiatua WWTP	Incident	During Chemical transfer the hose came loose from the IBC and sprayed chemical all over the building interior	Infrastructure	Chemical	No Injury	Building has been washed down and hose has been tightened and fixed	YES
14/05/2021	Dannevirke	Incident	Pulled his shoulder past normal extension and hurt lower back while handling an aggressive dog	Regulatory Services	Physical	injured shoulder and back	Discussion has been had with Regulatory Manager who will follow up with staff in regard to minimising future risk with aggressive dogs.	YES
1/06/2021	Dannevirke	Incident	Boot lace got caught in grate step/bracket and he fell forward	Infrastructure	Physical	Injured hand, shoulder and back	Suggestion was made to modify the step but given it is a one off at this stage a conversation was had in regard to being more aware and ensuring laces are tied up securely.	YES

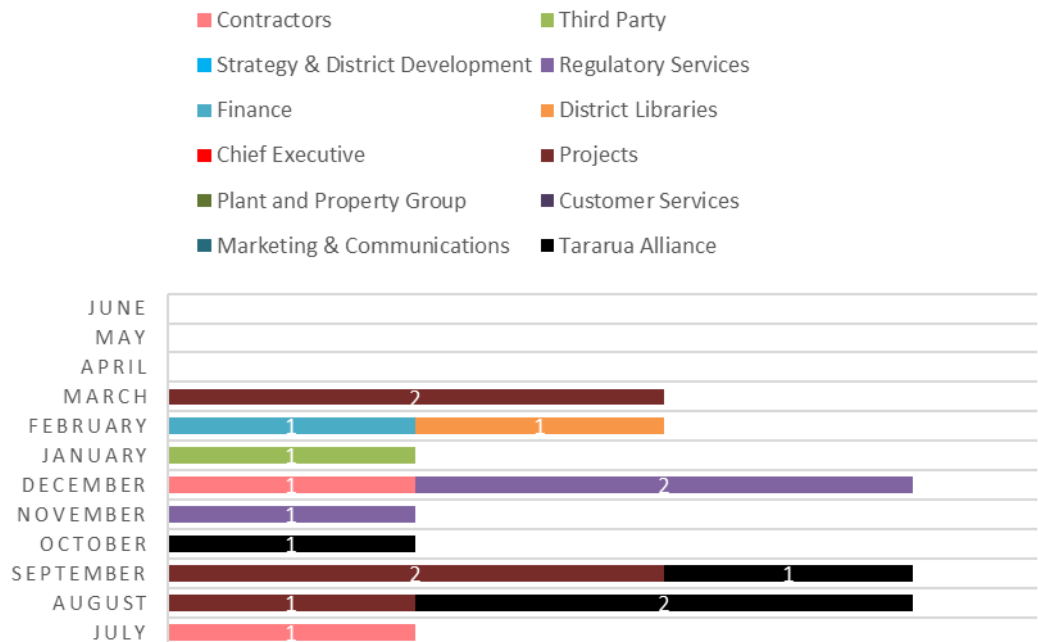
## 12. Incident Statistics for the 2020/21 Year

- 12.1 Please note the breakdown by department will be updated from 1 July to reflect the new organisational structure.

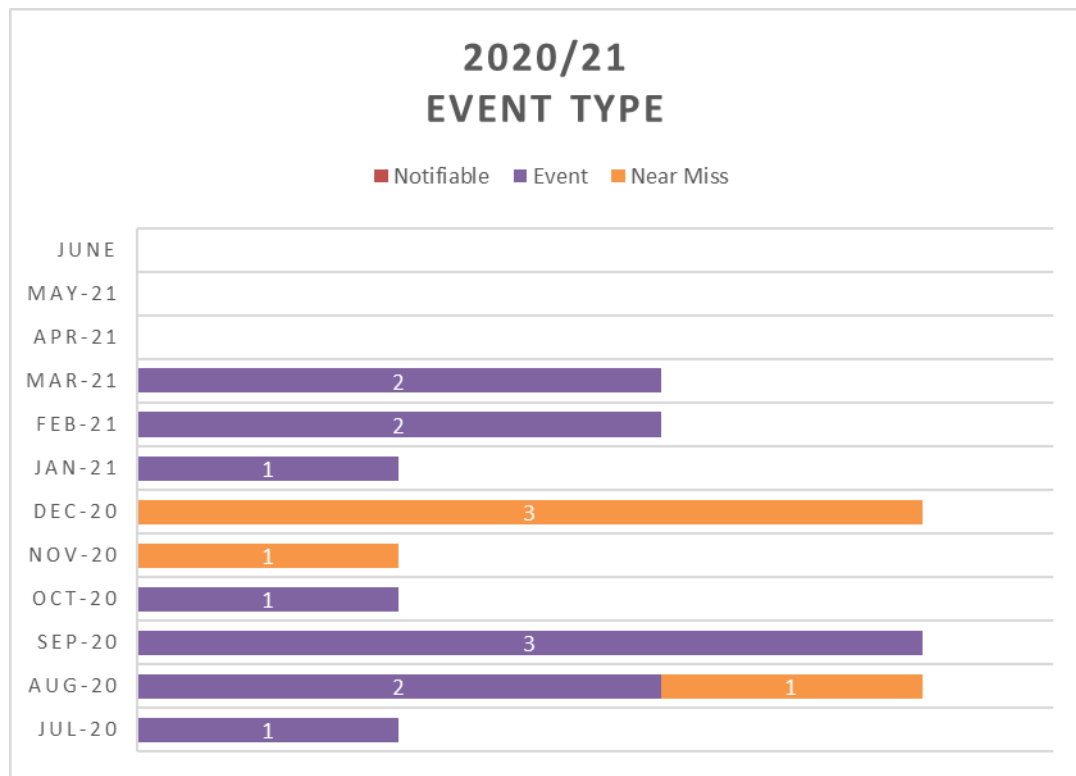
## 2020/21 INJURIES/ILLNESSES



## 2020/21 DEPARTMENT

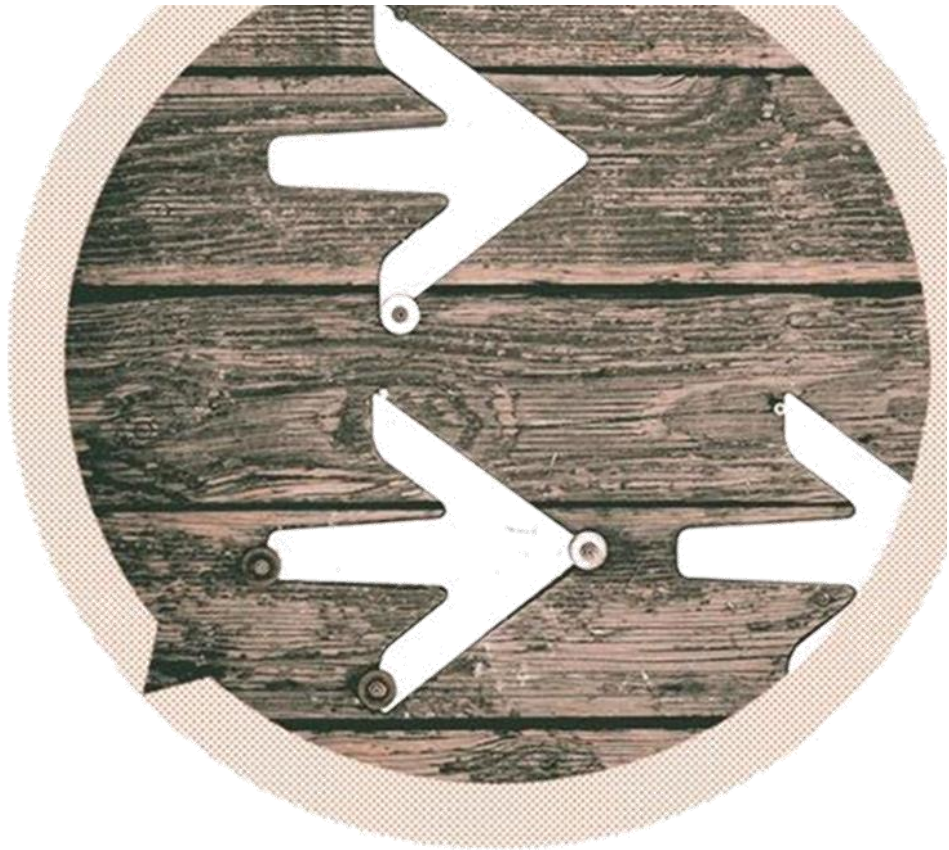






## Attachments

1. [AskYourTeam Local Govt Health & Safety Survey 2021](#)



## Local Government Workplace Health, Safety and Wellbeing Survey



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# Why ask your team?

Don't guess. Ask.



Ask

Ask your team for their collective perceptions about what matters most.



Listen

Listen openly to the feedback from your stakeholders.



Act

Act on what will deliver sustainable, positive change. Measure the impact over time.

## What to do with your results?



**Do:**

**Understand your feedback.** What surprises you most? What has been confirmed for you? What themes or discussion points emerge that you can discuss with your team?

**Share the feedback with your teams quickly.** A shared understanding provides the foundation to reach agreement on focus areas and for designing good actions. Don't forget to celebrate the successes!



**Don't:**

**Keep the feedback to yourself.** Let people know the findings and you'll ensure their participation next time.

**Over-analyse the feedback.** We know some people love exploring and dissecting the data in detail. But we suggest taking a simple approach, focusing on the obvious areas and saving time to develop actions with your teams.

**Take the results personally.** This can be easier said than done! It can be confronting, and it takes courage to openly discuss the feedback sometimes.

**Get into debates about whether the data is right or wrong.** There is a natural tendency to rationalise away information we don't agree with.

[Learn more](#)

## Report Summary



**Survey name:** Local Government Workplace Health, Safety and Wellbeing Survey

**Start date:** 9:00am, 16 November 2020

**End date:** 5:00pm, 26 March 2021

**Participants:** 70

**Overall survey score:** 69% \*

**Created by:** Aimee Harper

**Filters applied to this report:**

**Council:** Tararua District Council

\*Note: The overall survey score is calculated from the AskYourTeam Agree-Disagree questions

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Local Government Workplace Health, Safety and Wellbeing Survey



# Survey Overview



## Measuring sector Health, Safety and Wellbeing

In partnership with Equip, AskYourTeam has developed a Health, Safety and Wellness survey, specific to Local Government. The aim is to deliver detailed information and insights to council leadership, to support the creation of a best practice well-being culture across the sector.

The survey itself is structured round key question categories that measure overall Health Safety and Wellbeing across council organisations, specifically:

- |  |  |
|--|--|
| Health and Safety question Categories  | Wellbeing Questions  |
| <ul style="list-style-type: none"> <li>• Health and Safety Culture,</li> <li>• Health and Safety Leadership,</li> <li>• Health and Safety Processes and Policies.</li> </ul> | <ul style="list-style-type: none"> <li>• Workplace Stressors,</li> <li>• Psychological Safety,</li> <li>• Psychological Safety,</li> </ul> |

Post COVID-19 lockdown we have also added several questions to measure the impact on staff wellbeing, organisational recovery and performance.

The survey was completed by 31 councils across the country.

The following report gives your council's high-level results to these groups of questions. Staff's individual responses to free text questions are provided in separate documents.



## Understanding your results

How Strongly Agree to Strongly Disagree Likert scale questions are scored



Each response on this scale contributes a score as outlined below. The responses are then averaged to give your overall question score as a %. For example, if 5 people selected 'Strongly Agree' and 5 people selected 'Strongly Disagree' the score would be 50%

5 x Strongly Agree responses of 100% = 500% | 5 x Strongly Disagree responses x 0% = 0%

Score = 500% / 10 responses = 50%

6

Local Government Workplace Health, Safety and Wellbeing Survey





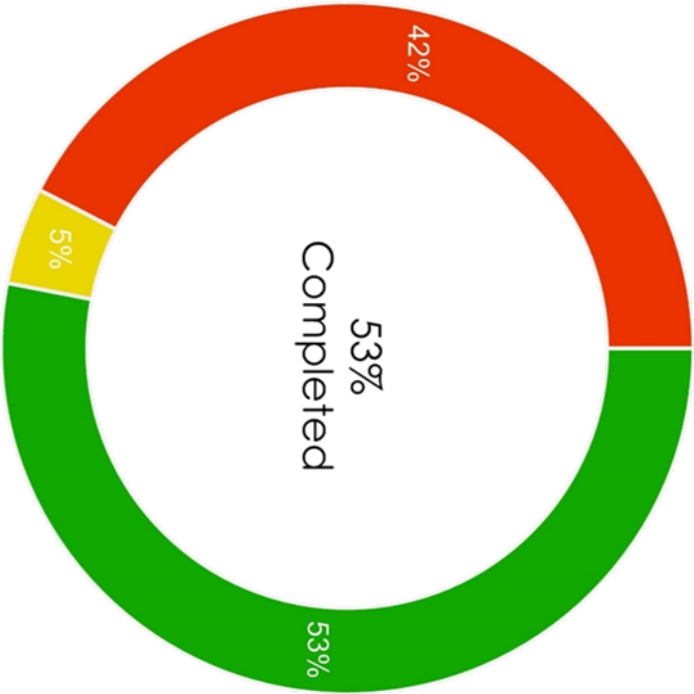
# Participation Rate



132 people were invited.

70 people completed the survey.

The participation rate is 53%



Participation rates help us understand how representative the feedback is. While we are not aiming for 100%, a higher percentage indicates a representative sample.

7

Local Government Workplace Health, Safety and Wellbeing Survey

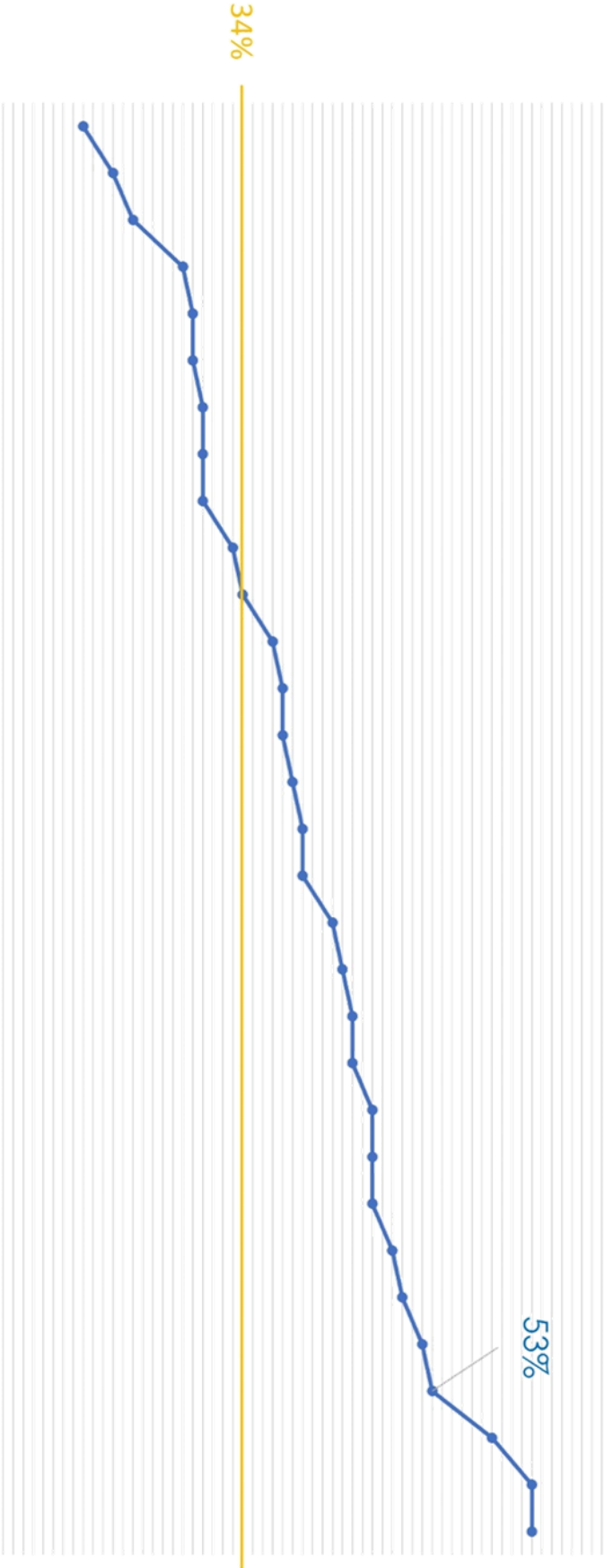




# Overall Sector Results

Comparison of your Council's participation against other councils

Participation Across Councils

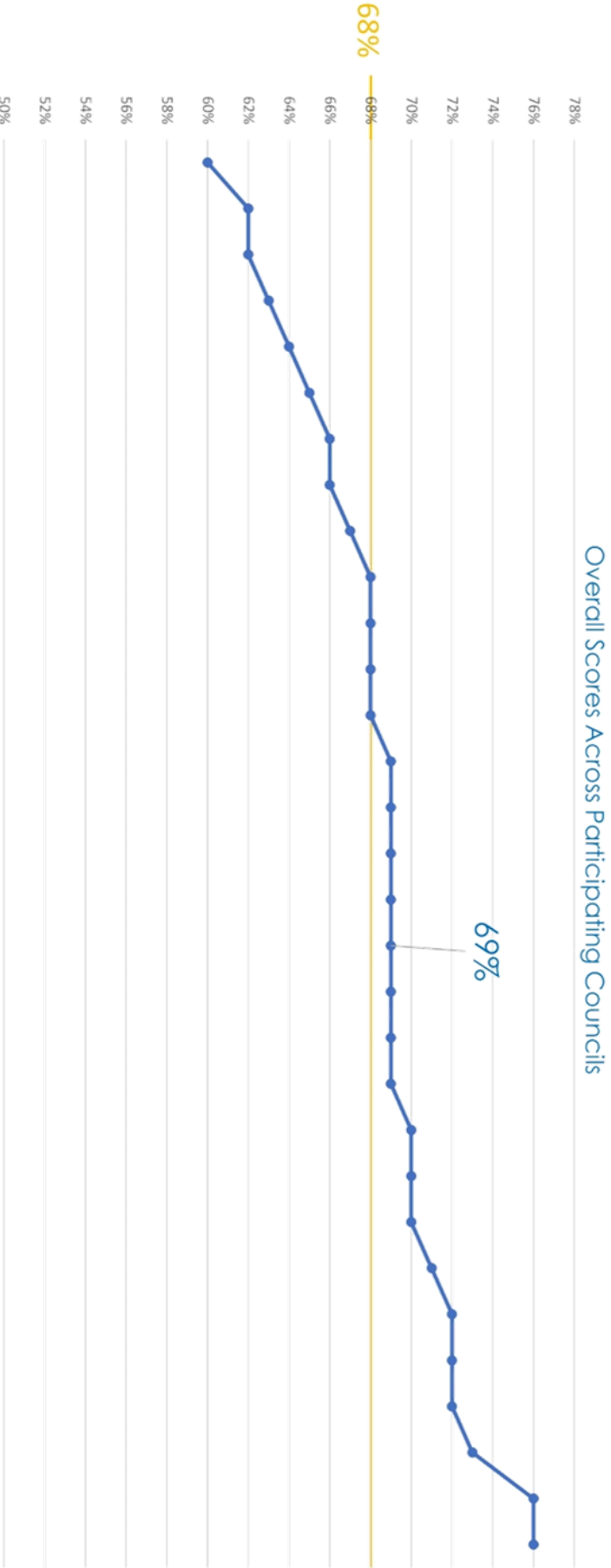


These questions may identify areas to celebrate with your team. This is a Strongly Agree – Strongly Disagree Likert scale question type. See 'Understanding your results' slide for more information on how these scores are calculated



# Overall Sector Results

Comparison of your Council's overall survey score against other participating councils



These questions may identify areas to celebrate with your team. This is a Strongly Agree – Strongly Disagree Likert scale question type. See 'Understanding your results' slide for more information on how these scores are calculated

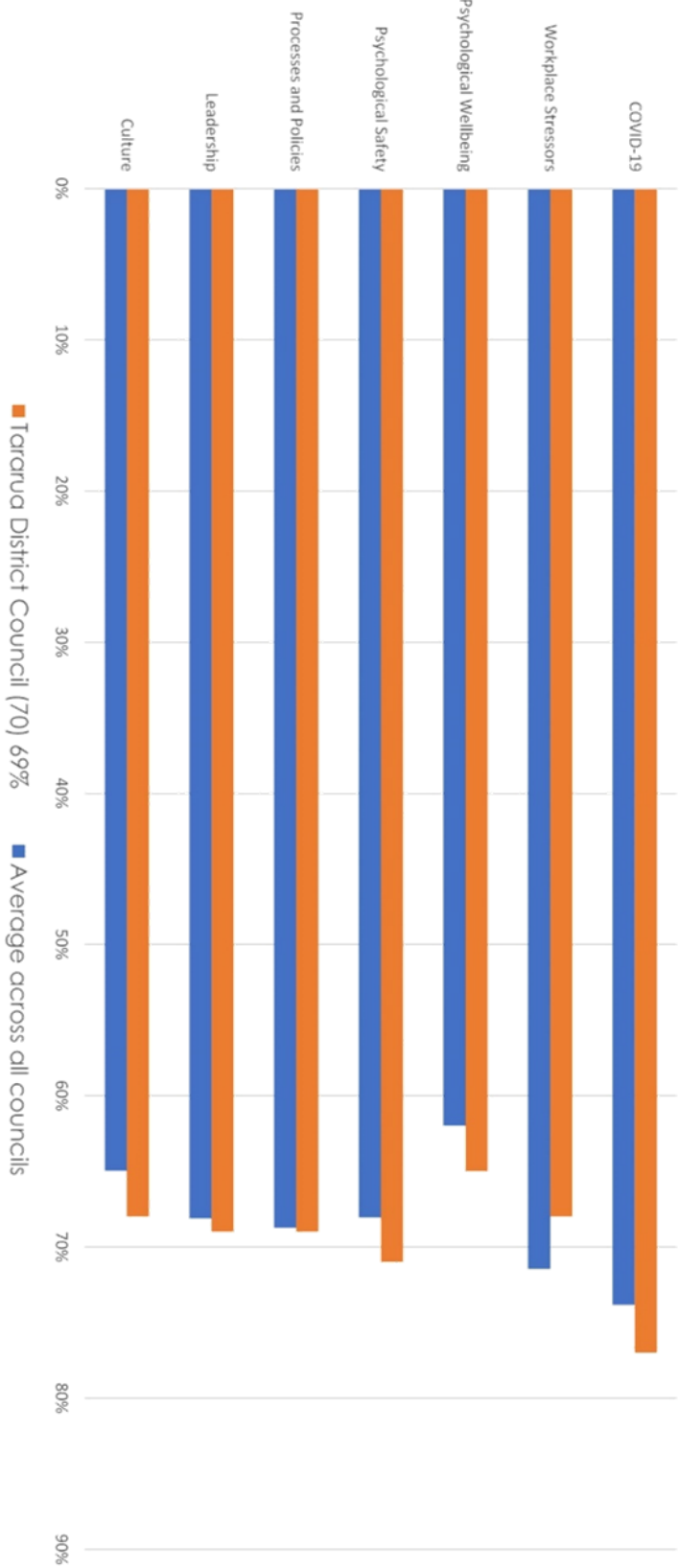




# Sector Comparisons

Comparison of your Council's results against those of the rest of the participating councils

## Health Safety And Wellness Question Categories



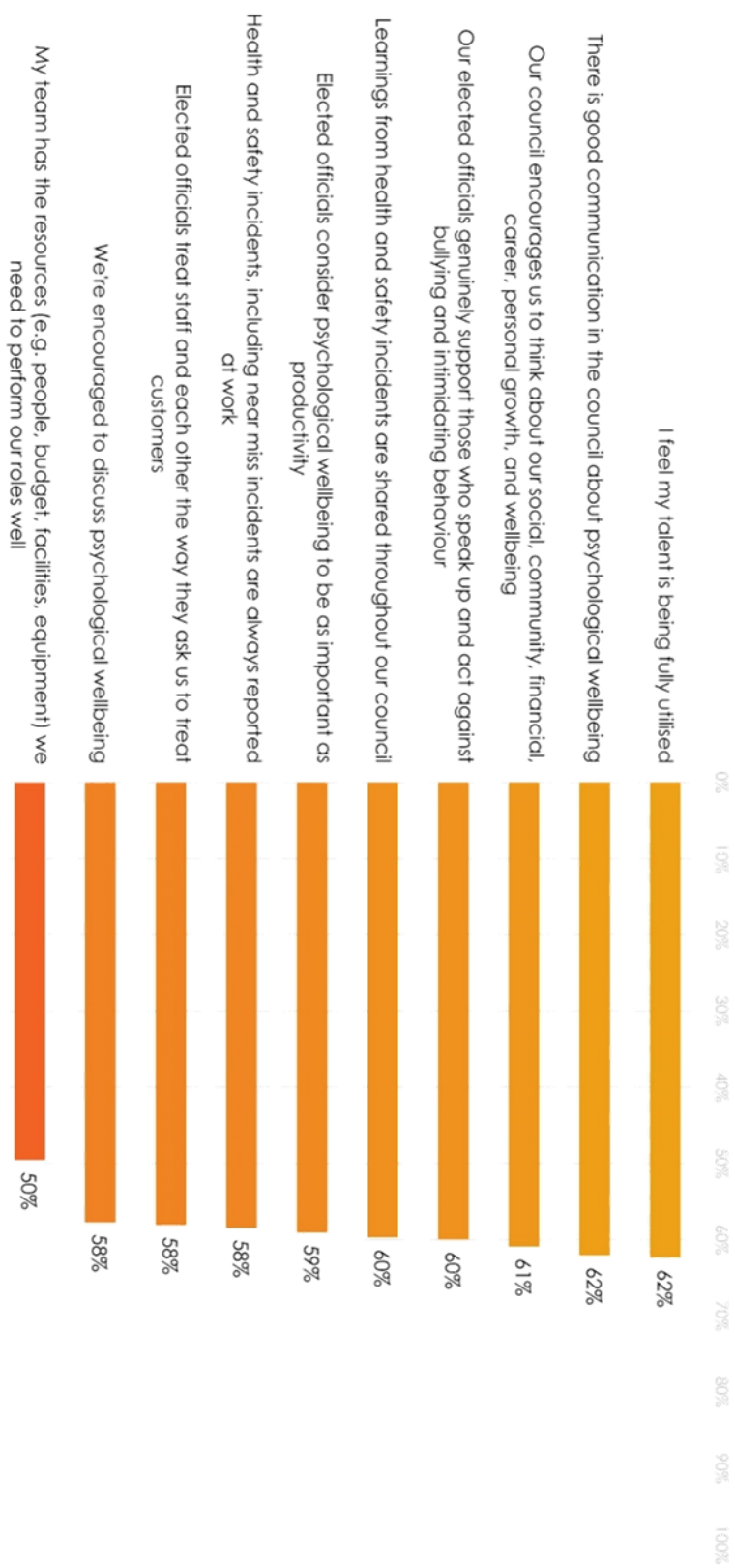
# Top 10 Question Scores



These questions may identify areas to celebrate with your team. This is a Strongly Agree – Strongly Disagree Likert scale question type. See 'Understanding your results' slide for more information on how these scores are calculated



## Bottom 10 Question Scores

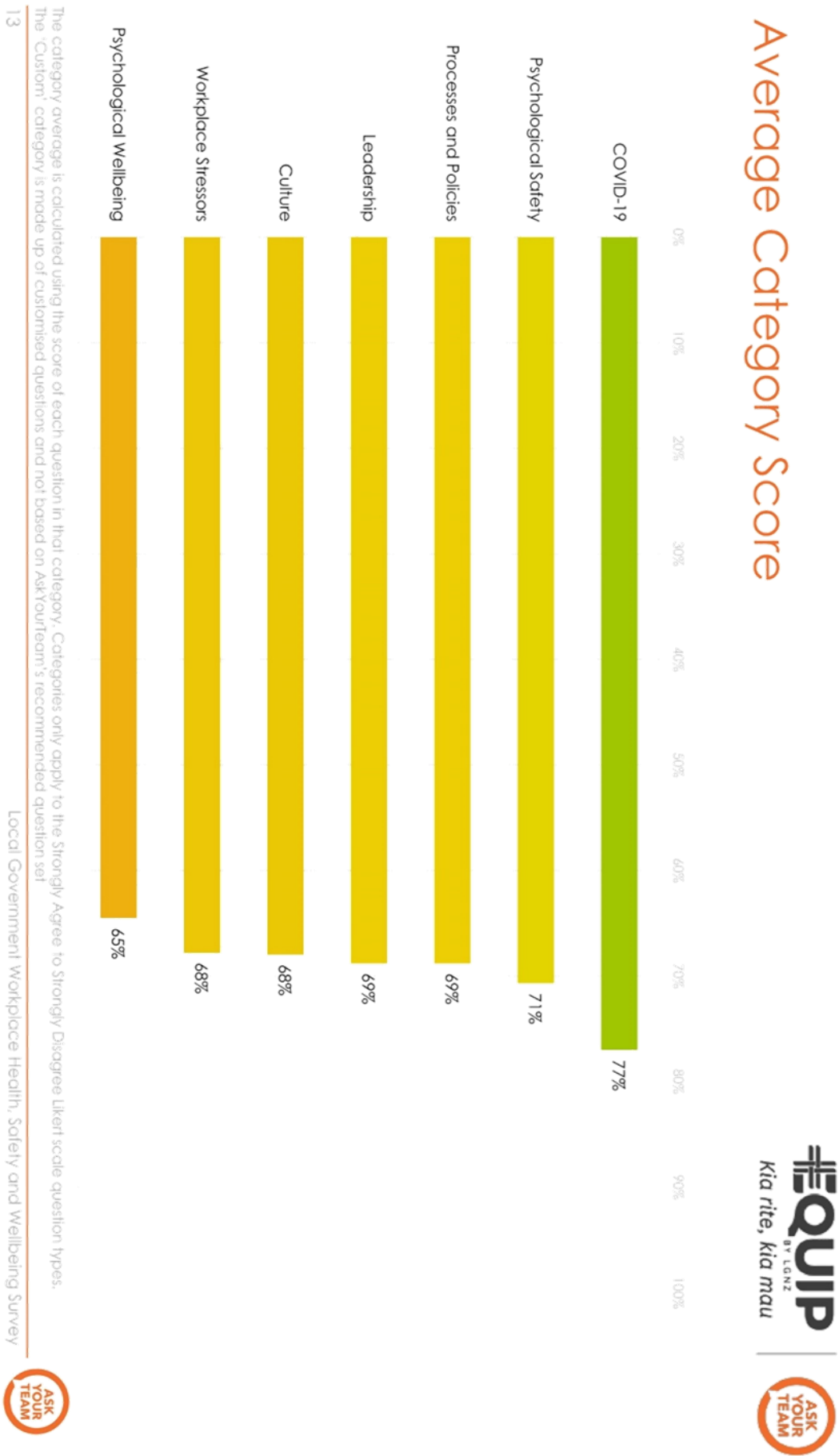


These questions may identify your biggest opportunities for improvement. This is a Strongly Agree – Strongly Disagree Likert scale question type. See 'Understanding your results' slide for more information on how these scores are calculated

12

Local Government Workplace Health, Safety and Wellbeing Survey



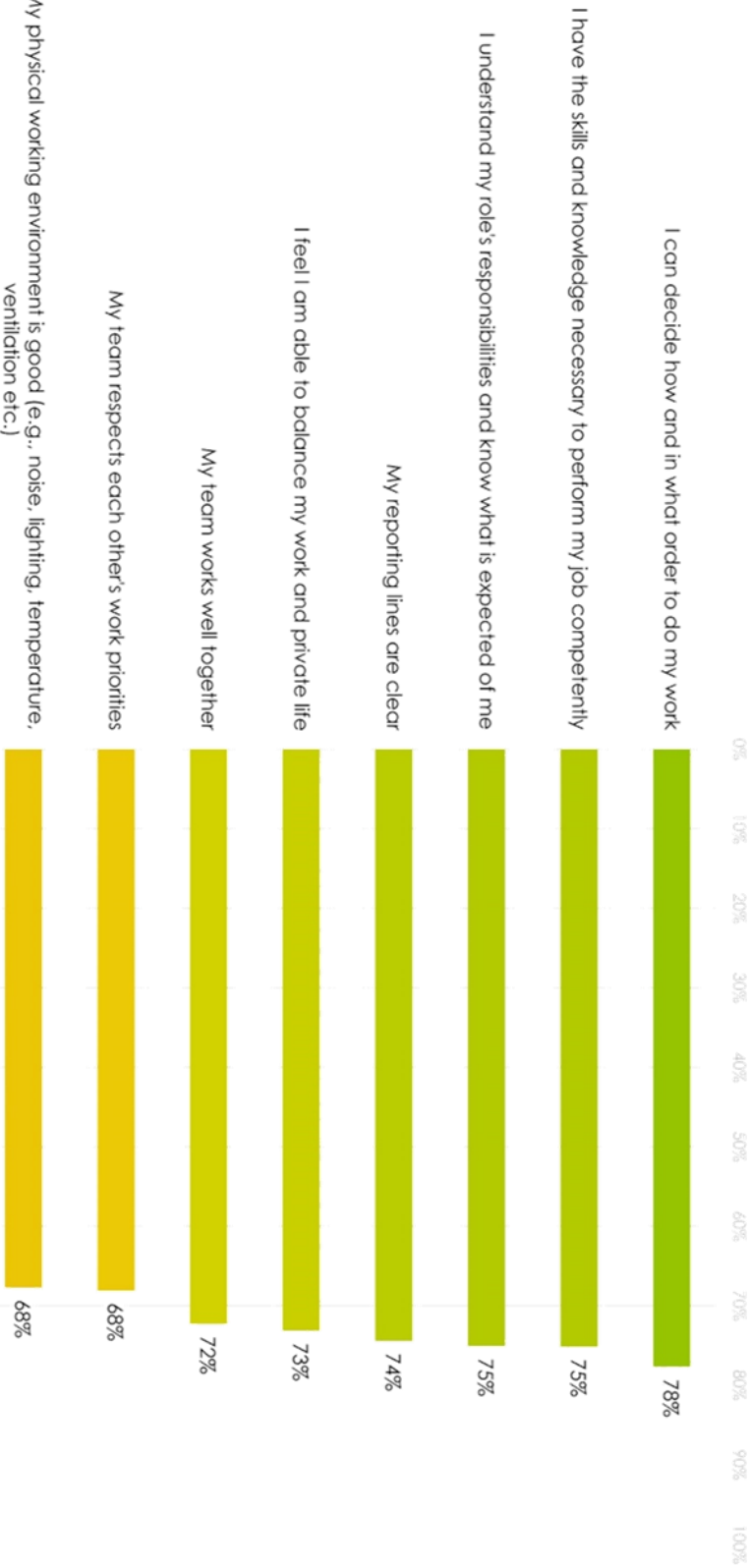






# Average Question Score by Category

## Workplace Stressors - 1/2



This is a Strongly Agree – Strongly Disagree Likert scale question type. See 'Understanding your results' slide for more information on how these scores are calculated

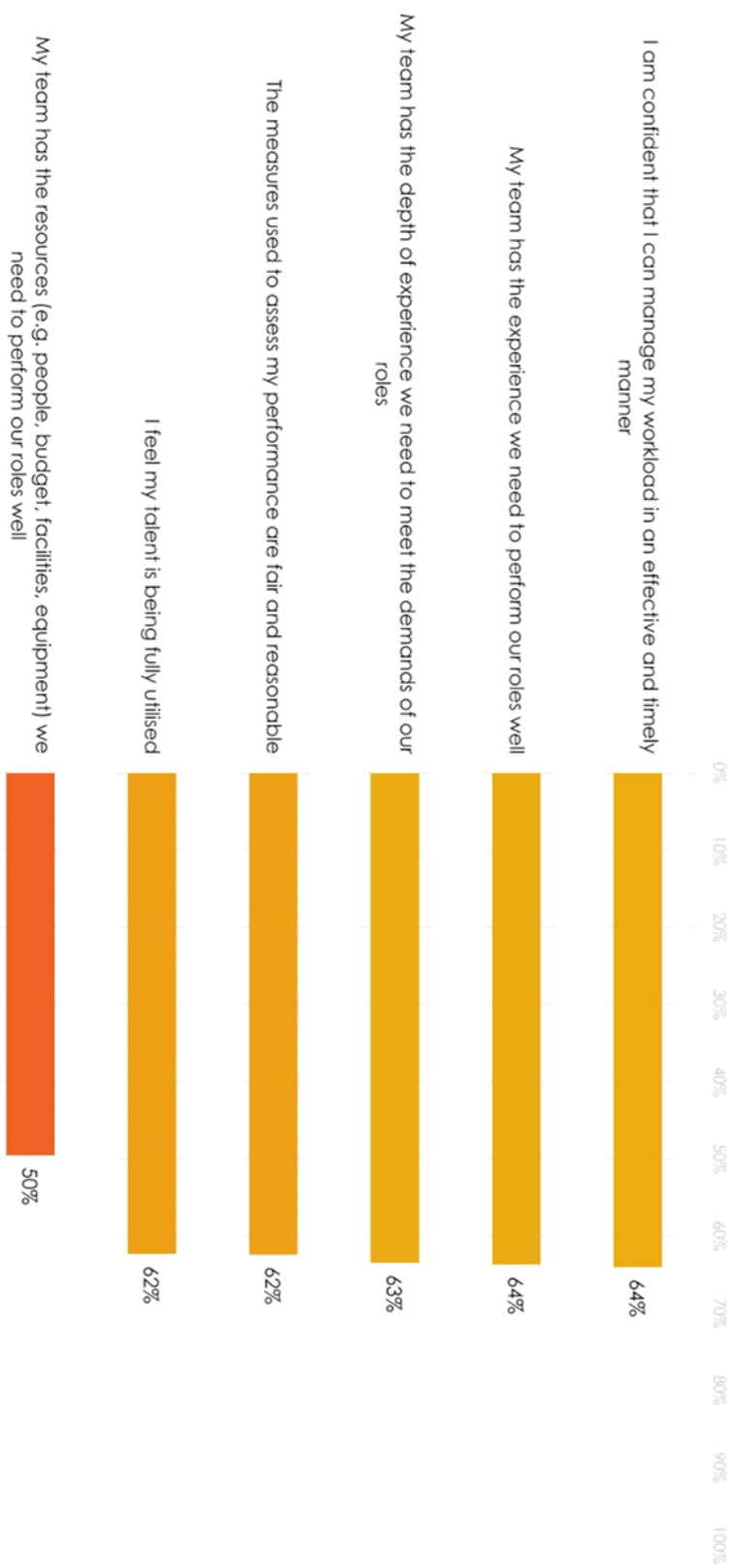


Local Government Workplace Health, Safety and Wellbeing Survey



# Average Question Score by Category

## Workplace Stressors - 2/2



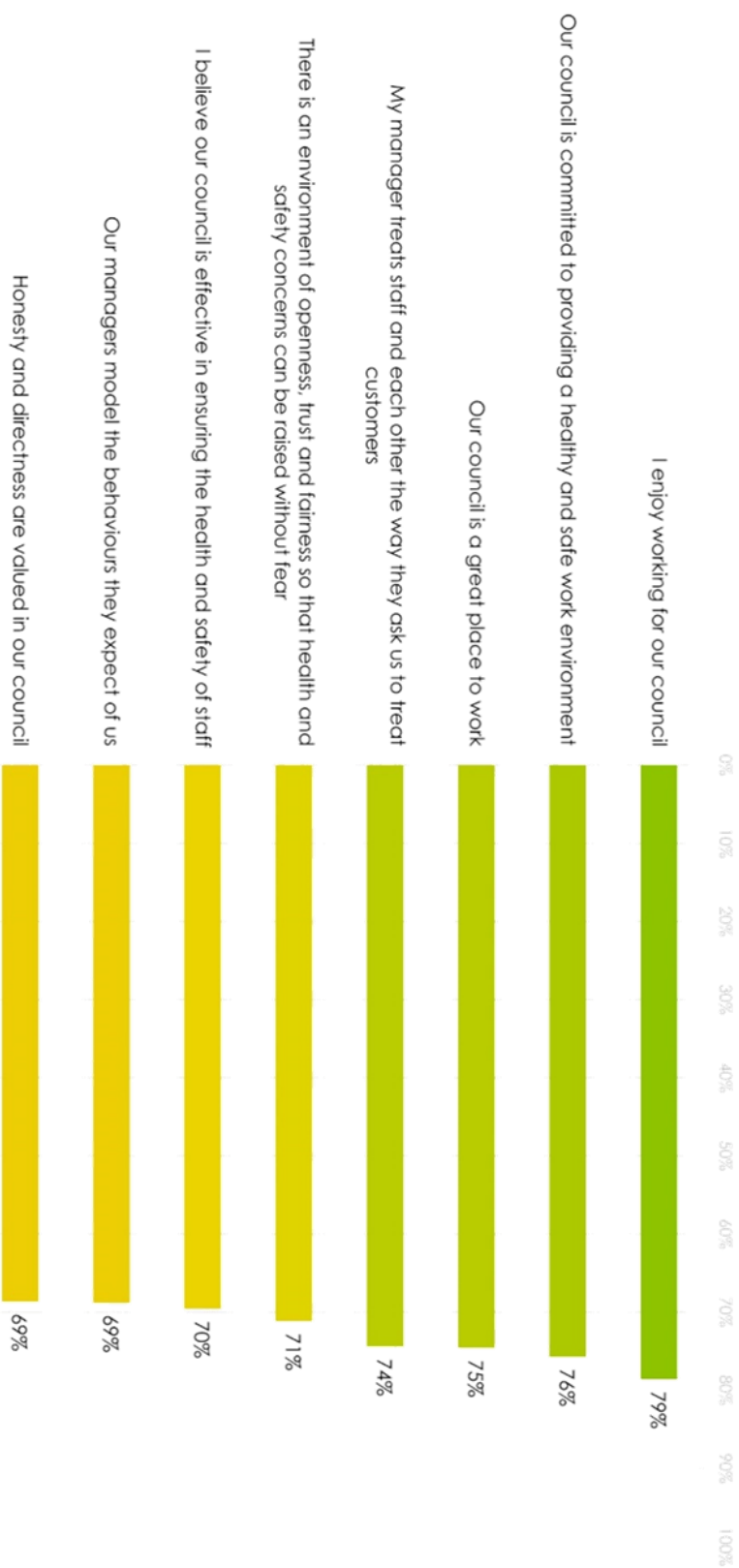
This is a Strongly Agree – Strongly Disagree Likert scale question type. See 'Understanding your results' slide for more information on how these scores are calculated



# Average Question Score by Category



## Culture - 1/2



This is a Strongly Agree – Strongly Disagree Likert scale question type. See 'Understanding your results' slide for more information on how these scores are calculated

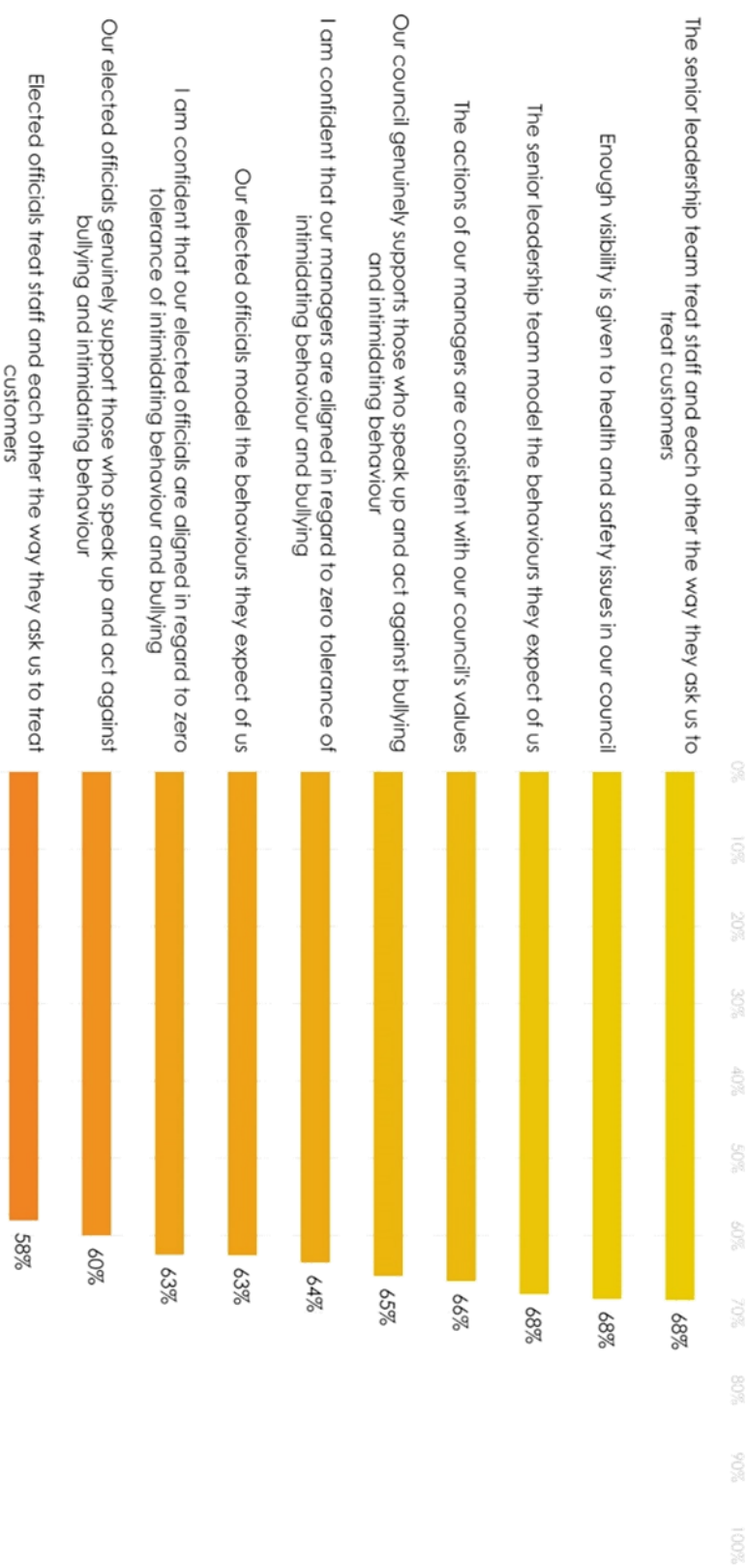
17

Local Government Workplace Health, Safety and Wellbeing Survey



# Average Question Score by Category

## Culture - 2/2



This is a Strongly Agree – Strongly Disagree Likert scale question type. See 'Understanding your results' slide for more information on how these scores are calculated







# Average Question Score by Category

## Processes and Policies - 1/2



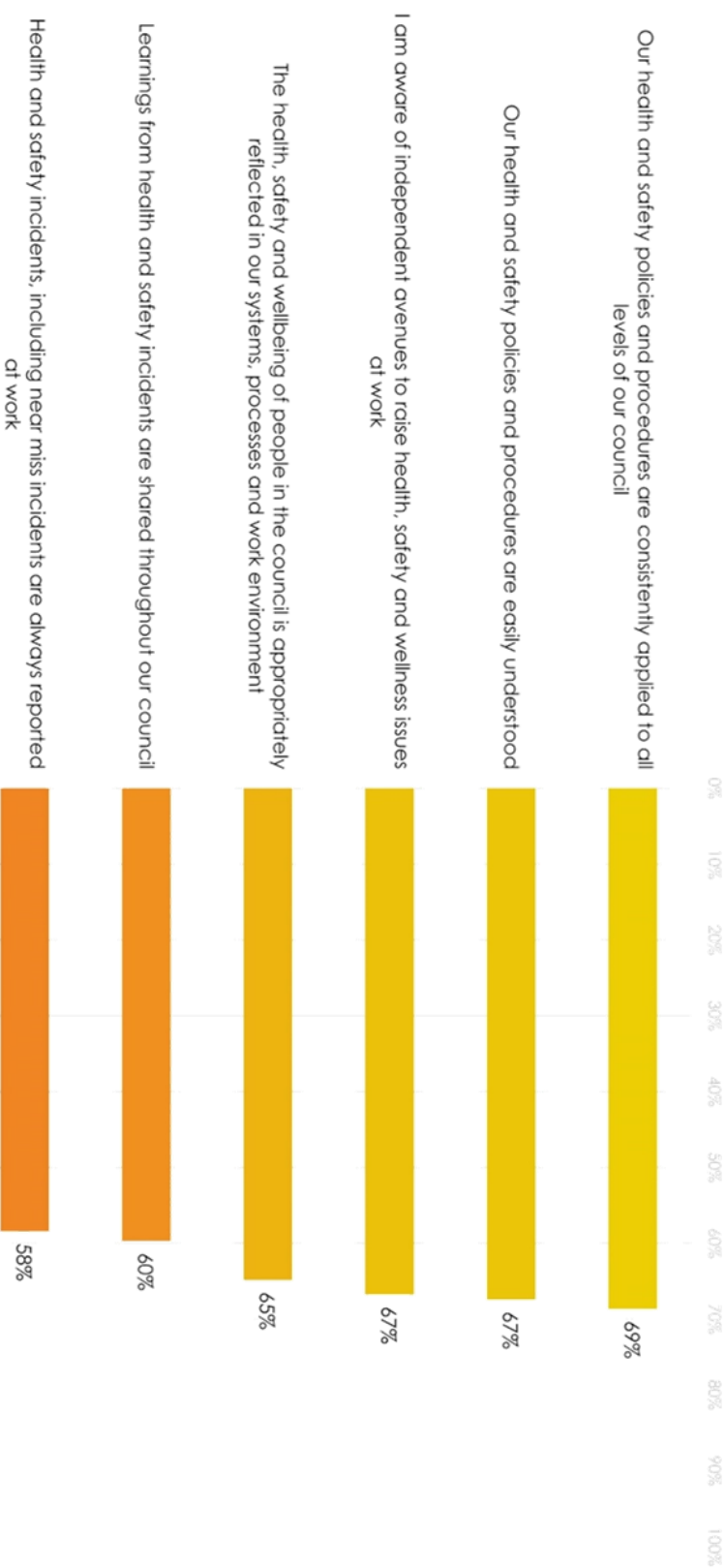
This is a Strongly Agree – Strongly Disagree Likert scale question type. See 'Understanding your results' slide for more information on how these scores are calculated



Local Government Workplace Health, Safety and Wellbeing Survey

# Average Question Score by Category

## Processes and Policies - 2/2



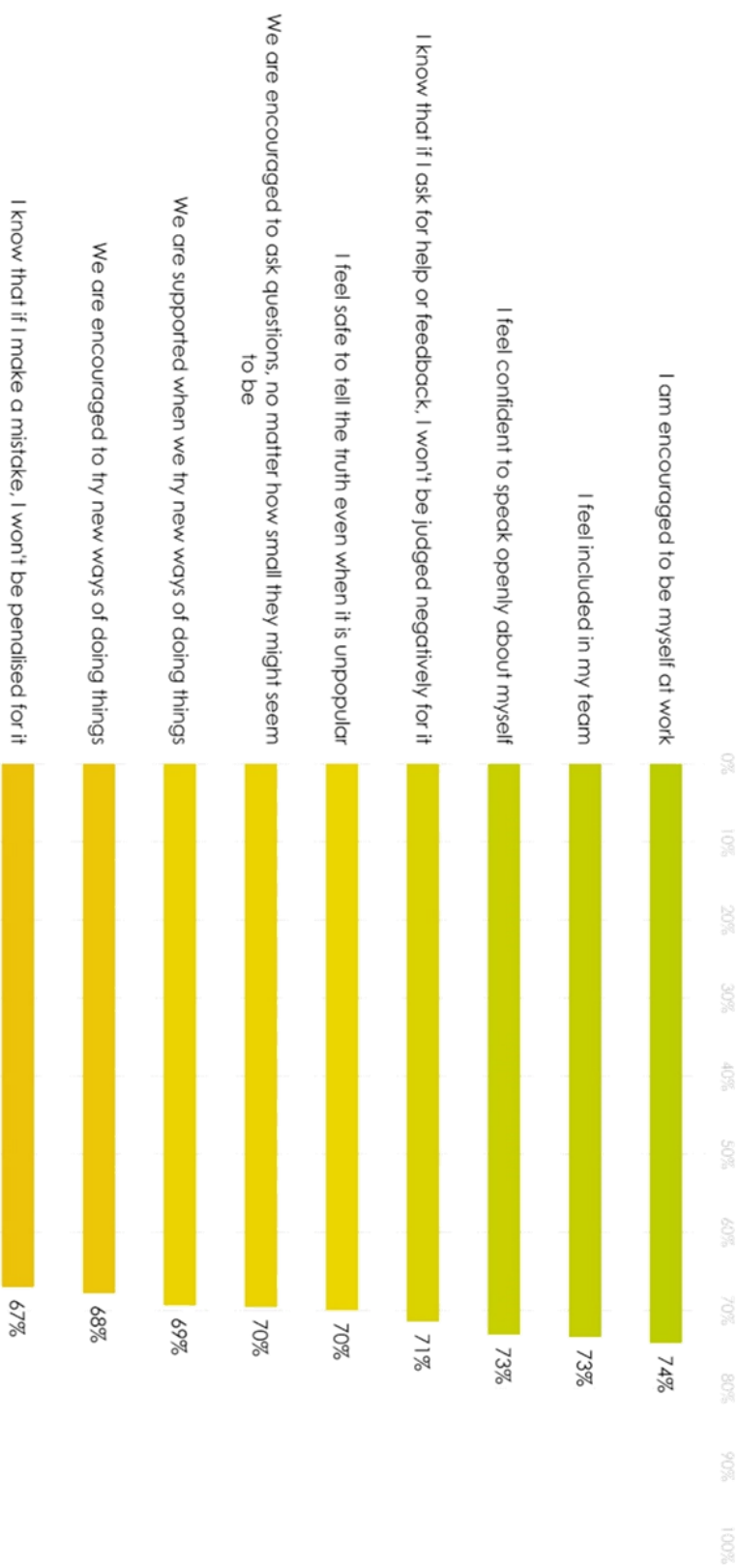
21 This is a Strongly Agree – Strongly Disagree Likert scale question type. See 'Understanding your results' slide for more information on how these scores are calculated

Local Government Workplace Health, Safety and Wellbeing Survey



# Average Question Score by Category

## Psychological Safety



This is a Strongly Agree – Strongly Disagree Likert scale question type. See 'Understanding your results' slide for more information on how these scores are calculated



Local Government Workplace Health, Safety and Wellbeing Survey

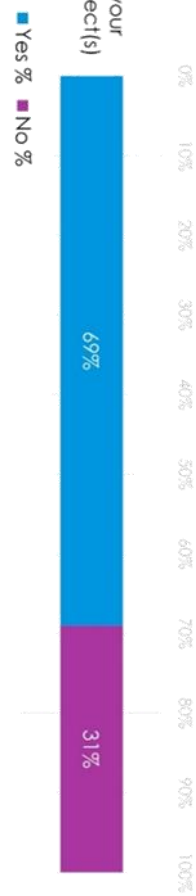




## Yes-No Questions



Have you been able to work from home to perform some aspect(s) of your role? If yes, please provide comment on how this has changed some aspect(s) of your role to have an ongoing positive impact on...



This is a Yes – No question type. The scores are calculated by dividing the count of 'Yes' or 'No' answers by the total count of responses, then converting to a %

24

Local Government Workplace Health, Safety and Wellbeing Survey



**equip**  
BY LGNZ  
kia rite, kia mau



More advice on how to review the feedback in your reports and take action is available by clicking the below.

[Learn more](#)



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**ASK  
YOUR  
TEAM**

## Report

Date : 15 June 2021

To : Chairperson and Committee Members  
Audit and Risk Committee

From : Raj Suppiah  
Group Manager - Corporate

Subject : **Audit New Zealand Management Report for the Long Term Plan 2021/2031 Consultation Document**

Item No : **6.3**

---

### **1. Reason for the Report**

- 1.1 To review and comment on the Audit New Zealand Management Report for the Long Term Plan 2021/2031 Consultation Document.

### **2. Background**

- 2.1 Audit New Zealand completed the audit of the Tararua District Council Long Term Plan (LTP) Consultation Document (CD) for the period 1 July 2021 to 30 June 2031. The attached report sets out their findings from the audit and where appropriate makes recommendations for improvement.

### **3. Summary of Findings**

- 3.1 Audit New Zealand had concluded the following:
- Issued an unmodified audit opinion, with an emphasis of matter paragraph. They had included the emphasis of matter paragraph in the opinion to draw readers' attention to uncertainty over the three waters reform.
  - Management had been open to feedback on the LTP CD and the underlying information and have demonstrated effective project management in delivering on the key milestones agreed on or renegotiating where required.
  - The District Council continues to be receptive to audit recommendations and is focussed on continuous improvement.

In addition, Council staff were available throughout the audit and provided requested information in a punctual timeframe. Overall, this equated to a smooth audit process with no significant issues.

- Overall, Audit New Zealand are of the view that the District Council produced a LTP CD that fulfilled its primary purpose of providing an effective basis for public participation in decisions on the content of the LTP. The LTP CD included all the major matters that we expected, provided preferred and alternative options to address these issues and encouraged the community to provide feedback.

#### **4. Key Recommendations**

- 4.1 As a future focus, Audit Zealand has recommended that the Council needs to ensure there are systems in place to monitor its actual performance against budgets, levels of service and performance measures included in the LTP from 1 July 2018. These systems will assist with annual reporting, and internal monitoring and reporting to the Council.
- 4.2 Update the three waters asset management plans to address the following issues:
- Condition for all critical assets is not known and there are substantial parts of the “non-critical” networks for which condition is not known. The critical framework needs revision.
  - Age-based assessment shows issues with attribute data, in particular installation date.
  - Several assets are beyond their technical useful
- 4.3 For the final LTP Council is to perform a more detailed and robust assessment on the impact of PBE IPSAS 41 on the financial forecasts and ensure appropriate disclosures are made about the change in accounting policy.
- 4.4 In light of our findings during the audit of the 2020 Annual Report, Audit New Zealand recommend that the District Council revisit the forecast targets for the number of complaints related performance measures included in its Long-Term Plan in accordance with the Non-Financial Performance Measures Rules 2013 made by the Secretary for Local Government.

#### **5. Recommendation**

- 5.1 ***That the report from the Group Manager – Corporate dated 15 June 2021 concerning the Audit New Zealand Management Report for the Long Term Plan 2021/2031 Consultation Document (as circulated) be received, and***

- 5.2** *That the Audit and Risk Committee note Audit New Zealand expressed an unmodified audit opinion on the Long Term Plan 2021/2031 Consultation Document with an emphasis of matter paragraph to draw readers attention to the uncertainty from the three waters reform, and the document provided an effective basis for public participation in decisions on the content of the Long Term Plan.*

## **Attachments**

- 1 [!\[\]\(2824aab9645d9fab95bae27ff6828dab\_img.jpg\)](#). LTP CD Management Report to Council - FINAL

AUDIT NEW ZEALAND  
Mana Arotake Aotearoa

## **Report to the Council on the audit of**

Tararua District Council's  
Consultation Document for its  
2021 - 2031 Long-Term Plan

## Contents

Key messages .....	3
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4 Audit of the Long-term Plan.....	14
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## Key messages

We have completed the audit of the Tararua District Council's (the District Council) Long-Term Plan Consultation Document (LTP CD) for the period 1 July 2021 to 30 June 2031. This report sets out our findings from the audit and draws attention to areas where the District Council is doing well and where we have made recommendations for improvement. It also provides the next steps in the audit process of the Long-Term Plan (LTP).

### Audit report

We issued an unmodified audit opinion, with an emphasis of matter paragraph on 7 April 2021. We have included the emphasis of matter paragraph in the opinion to draw readers' attention to uncertainty over the three waters reform.

Overall, we are of the view that the District Council produced a LTP CD that fulfilled its primary purpose of providing an effective basis for public participation in decisions on the content of the LTP. The LTP CD included all the major matters that we expected, provided preferred and alternative options to address these issues and encouraged the community to provide feedback.

### Matters identified during the audit

To date the audit process of the LTP CD has gone well. Management have been open to feedback on the LTP CD and the underlying information and have demonstrated effective project management in delivering on the key milestones agreed on or renegotiating where required.

Our review over the three waters Asset Management Plan and the proposed performance framework identified some suggestions for the District Council to consider as it considers feedback and prepares its final LTP. Refer to section 2.3 and 3.4 for further information.

Accounting standard, PBE IPSAS 41 *Financial Instruments* becomes effective for the year ending 30 June 2023, or the second year of the LTP. The LTP is required to be prepared in accordance with the accounting policies expected to be used in the future which means that the LTP will need to reflect this new accounting standard. Refer section 3.2 for further information.

### Future focus

As well as the opinion issued on the LTP CD we will also issue an opinion on the final LTP that will be adopted before 1 July 2021.

The District Council needs to ensure that there are systems in place to monitor its actual performance against budgets, levels of service and performance measures included in the LTP from 1 July 2021. These systems will assist with annual reporting, and internal monitoring and reporting to the Council.

The District Council's final LTP is required to be reviewed by the Office of the Auditor-General before the audit opinion for the final LTP can be issued. It is therefore crucial for the District Council to have



an appropriate project plan and be prepared as soon as possible to deliver a final LTP and appropriate supporting documentation with timeframes.

**Thank you**

We would like to thank the Council, management and staff for the assistance received during the audit as well as their level of preparedness.



Debbie Perera  
Appointed Auditor  
14 June 2021

## 1 Our audit report

### 1.1 Our opinion was unmodified



We issued an unmodified audit opinion on the CD on 7 April 2021.

This meant we were satisfied that the District Council's CD meets the statutory purpose and provides an effective basis for public participation in the Council's decisions about the proposed content of the 2021-31 LTP.

We found the underlying information and assumptions used to prepare the CD provided a reasonable and supportable basis for the preparation of the LTP.

We have included an emphasis of matter paragraph in the opinion to draw readers' attention to uncertainty over the three waters reform. This matter is further explained below.

#### 1.1.1 Uncertainty over three waters reform

In line with sector guidance, the District Council has assumed that there is currently insufficient detail regarding the possible changes to services which will result from the three waters reform programme, and therefore it is prudent to plan on a business-as-usual approach to service delivery. The future decisions of the three waters reform may result in significant changes, which would affect the information on which the LTP CD has been based.

An emphasis of matter paragraph was also included in the audit report to draw attention to the uncertainties associated with the three-water reform.

### 1.2 Uncorrected misstatements

The CD is free from material misstatements, including omissions.

During the audit, we discussed with management any misstatements that we found, other than those which were clearly trivial. All misstatements found have been corrected.

### 1.3 Corrected misstatements

The misstatements corrected by management are detailed in Appendix 1.

### 1.4 Project management, reporting deadlines and audit progress



The development of the CD and LTP is a significant and complex project and a comprehensive project plan is required for a successful LTP process.

The District Council had a detailed project plan which included key milestones, deadlines, and the work stream responsible. This allowed the District Council to meet the key timelines.

The District Council continues to be receptive to audit recommendations and is focussed on continuous improvement. In addition, Council staff were available throughout the audit and provided requested information in a punctual timeframe. Overall, this equated to a smooth audit process with no significant issues.

## 2 Matters raised in the Audit Plan



In our audit engagement letter, we identified the following matters as the main audit risks and issues:

### 2.1 Financial strategy

We concluded that overall, the Financial Strategy is reasonable, financially prudent, based on financial forecast and complies with relevant legislation.

The overall structure and key principles that drive the financial strategy have not changed. It has been updated to consider the challenges that Council is facing balanced with ratepayers' ability to pay.

We note that Council has maintained a balanced budget over the forecast 10-year period except for 2023/24 where a deficit of \$239k has been budgeted. This is due to the District Council's decision not to fully fund depreciation where it is prudent to not do so. At the adoption meeting Council resolved, in accordance with section 100 of the Local Government Act 2002, that it is financially prudent to not have a balanced budget in 2023/24.

We are satisfied that the financial strategy is fit for purpose and the supporting underlying information is considered reasonable.

### 2.2 Infrastructure Strategy

Overall, we are satisfied that the Infrastructure Strategy (IS) is fit for purpose and the supporting underlying information is considered reasonable. The IS fulfils the legislative purpose and meets our expectations of such a document and is consistent with our knowledge of asset management planning for the Council. We have provided detailed feedback to Council for consideration which has been addressed in later drafts of the IS.

The IS outlines how the Council intends to manage its infrastructure assets, including the need to renew or replace existing assets, respond to growth, or decline in demand for services, and provide for the resilience of its assets. It takes a long-term view of the district's future infrastructure needs and is a statement of current assumptions and thinking on that will be required to address the major issues facing the district over the next 30 years.

We performed work to ensure that the:

- Infrastructure Strategy is aligned with the Financial Strategy.
- Information in the financial model reconciles with the Infrastructure Strategy.
- Infrastructure Strategy supports accountability.

- Correlation between depreciation and renewals is reasonable; and
- Content of the Infrastructure Strategy document includes everything necessary to achieve its statutory purpose.

### **2.3 Quality of asset-related forecasting information (including condition and performance information for critical assets)**

A significant portion of the District Council's operations relates to the management of its infrastructure: the roading network and the 'three waters' of water supply, sewerage and stormwater drainage. These activities typically make up a significant percentage of the District Council's operational and capital expenditure.

Overall, we found the asset management control environment is reliable for the purposes of supporting the LTP CD, but improvements could be made (see below). Our review involved assessing the quality of asset management information and the accuracy, reliability, and supportability of the flow of information from asset management planning into the LTP CD. This is based on a high-level assessment of the District Council's asset management planning systems, review of asset management plans, Infrastructure Strategy, and discussions with staff involved in asset management planning for key infrastructure activities.

There is a documented record of each of the networks covering asset details, but improvements need to be made to ensure that data is complete and reliable. The District Council's approach to renewals is to target known issues (drinking water standards and non-compliant wastewater treatment plants) and focus on renewals of critical assets. There are significant gaps in asset-knowledge both on the condition and asset age attributes. It is uncertain whether the renewals gap is real or not as this needs to be investigated through the asset improvement process planned over the next three years. With levels of service failures across the three waters space, incomplete condition and age information, there is a high risk of unplanned asset failure.

While provision has been made for unplanned renewals and increased maintenance costs, there is uncertainty over the adequacy of these provisions. We considered whether this uncertainty should be emphasised in the audit opinion, however, we assessed that any unexpected failures would not impact a significant number of people.

#### **Recommendation**

We recommend updates to the three waters asset management plans be made to address the following issues:

- Condition for all critical assets is not known and there are substantial parts of the "non-critical" networks for which condition is not known. The critical framework needs revision.
- Age-based assessment shows issues with attribute data, in particular "installation date."

- Several assets are beyond their technical useful

#### **Management comments**

*Council agrees that there are gaps in our current asset data that impact the ability to plan and forecast future infrastructure renewal needs as accurately as would be deemed necessary for good asset management. This is currently mitigated through anecdotal asset condition and performance information, robust operational management, and budget for unplanned renewals. As referenced in the 3Waters Asset Management Plan, improvements to asset management maturity is a high priority, with immediate improvements to the asset criticality framework and asset data identified and planned.*

## **2.4 Assumptions**

The significant forecasting assumptions are appropriate, complete, adequately disclosed and comply with relevant legislation. In addition, the underlying information has been prepared using the material assumptions disclosed.

We had recommended the District Council to include a capital delivery assumption and COVID-19 assumption, which has now been done.

Our review focused on identifying significant forecasting assumptions and ensuring they were complete. We then assessed which of these assumptions were material from an audit perspective and ensured these assumptions were appropriate, adequately disclosed, and consistent with underlying information. In particular, we tested the assumptions of: population and household growth; Covid-19 pandemic; climate change; condition and performance of assets; life cycle of assets; Waka Kotahi subsidy; inflation; interest rates for borrowing; revaluation of property, plant and equipment; three waters reform; and capital expenditure deliverability.

Further comments on specific assumptions are included below:

### **2.4.1 Impact of the economic downturn caused by Covid-19 on the District Council's forecasts**

The response to manage Covid-19 has created significant uncertainty for businesses, local and central government organisations, as well as communities and families. The impact to the economy is likely to be negative and could have an impact on the District Council's revenue assumptions and the level of service Council provides in the future.

We understand the District's economy has been cushioned from the more severe impacts of Covid-19 due to the District's economy not relying on tourists or international students.

For the purposes of the LTP CD the District Council have assumed that the impact on Council's operations and revenue because of COVID-19 and global pandemic will not be significant.

We reviewed the District Council's approach for the impact of Covid-19 and are satisfied the District Council's assumption has been factored into the underlying policies, strategies

and assumptions used to prepare the LTP CD. We are also satisfied the District Council's Covid-19 assumption is reasonable and supportable and the disclosure of this assumption is sufficiently complete.

#### **2.4.2 Climate change**

This LTP we are paying more attention to the assumptions that the District Council have made about climate change and the adequacy of other information and disclosures relating to climate change.

We reviewed the District Council's climate change assumptions and determined that, in context of the issues the Council is facing, they are reasonable.

The District Council has signalled the intention to carry out a climate change risk assessment which will be completed mainly with internal resource and external consultants. The District Council recognises in its assumption that climate change can affect the district in a range of ways including more intense periods of rain, and more severe drought.

The District Council is assuming that most significant impacts from climate change will not have occurred by 2031, but rather that the district will be affected by long term climate change in parallel with predicted changes as advised by government agencies.

The District Council has made disclosures in the underlying information including the consultation document. The expected effect of climate change on the district is documented in the Council's assumptions and Infrastructure Strategy. The Infrastructure Strategy details the climate change and natural hazard challenges, infrastructure impacts, impacts on levels of service, timing, level of uncertainty and the major activities that are affected. The Infrastructure Strategy also includes the District Council's approach to addressing the impacts of climate change.

#### **2.4.3 Delivering capital expenditure programmes**

The District Council has assumed that its capital expenditure programme, set out in the LTP and Infrastructure Strategy, will be achieved.

We have analysed total capital expenditure over all of the District Council's activities for the last three years and note that on average, the District Council has achieved 98% of its budget.

We reviewed the proposed capital expenditure over the 10 years of the plan and note that there is no significant increase in capital expenditure planned over this period.

We have further discussed with management the processes the District Council has put in place to address the risk on the Council's ability to deliver the capital expenditure budget. We note that the following processes have been put in place:

- Established a project management office (PMO) and introduced standardised project processes and framework to better manage ongoing and proposed projects.
- Ensured robust scoping and cost estimation completed for capital projects in Years 1-3 of the LTP, resulting in full and complete project concepts and briefs.
- Reviewed the procurement strategy and embedded processes across the organisation.
- Worked collaboratively with supply partners, having longer term contracts, and building capacity and capability with local contractors.

While we are satisfied that the District Council is aware of the potential issues in relation to its capital programme, this is an area that we will review this again as part of the final LTP and will be subject to clearance with the OAG.



### 3 Other matters



In this section, we have detailed our key findings from the audit. We have also detailed our findings in relation to other areas of focus:

#### 3.1 The content of the consultation document

We reviewed the District Council's LTP CD and are satisfied the LTP CD included appropriate information to enable consultation with the public on key issues.

The consultation document was easy to read with contextual information. It clearly signposts the consultation issues, as well as outlining the vision and community outcomes, issues facing the District Council and updates on key initiatives the District Council is committed to.

It was clear which issues were being consulted on (including a range of options, the consequences of these choices and the District Council's preferred option). It highlighted the critical parts of the proposed Financial Strategy and Infrastructure Strategy.

We are satisfied that the CD covers what are expected to be the main issues facing the community into the future.

#### 3.2 IPSAS 41 financial instruments

Accounting standard, PBE IPSAS 41, *Financial Instruments* becomes effective for the year ending 30 June 2023, or the second year of the LTP. The LTP is required to be prepared in accordance with the accounting policies expected to be used in the future which means that the LTP will need to reflect this new accounting standard.

The District Council has performed a high level assessment of the impact of PBE IPSAS 41 and concluded that no adjustment was required to the forecast financial statements included in the underlying information to support the CD (as they are not consulting on a matter that may be affected by the application of PBE IPSAS 41).

##### Recommendations

For the final LTP we recommend the District Council to:

- Perform a more detailed and robust assessment on the impact of PBE IPSAS 41 on the financial forecasts;
- Ensure any material measurement adjustments that arise on transition to PBE IPSAS 41 that may affect the forecasts are made;
- Ensure the financial instrument accounting policies disclosed are updated to be consistent with the requirements of PBE IPSAS 41;

- Ensure disclosures are made about the change in accounting policy; and
- Consider whether the decision to early adopt PBE IPSAS 41 for the LTP will impact the preparation of their financial statements for the year ending 30 June 2022.

**Management Comment**

*Will review and assessment the impact of PBE IPSAS 41 on the financial forecasts and ensure appropriate disclosures are made. We have decided not to early adopt the standard.*

**3.3 Financial model and forecasts**

We concluded that overall, the financial model is reasonable, reduces the risk of misstatement and is accurately reflected in the consultation document, Infrastructure Strategy and Financial Strategy.

In assessing the financial forecast, we focused on the integrity of the financial model, the reliability of the source data and whether the outputs of the model have appropriately flowed through to the underlying information. In doing this we adopted a substantive approach undertaking a variety of data logic, metric, integrity, analytical review, spreadsheet, and data flow testing.

**3.4 Performance management framework**

We performed a high-level review of the District Council's performance framework and no issues were found that had an impact to the Consultation Document.

In light of our findings during the audit of the 2020 Annual Report, we recommend that the District Council revisit the forecast targets for the number of complaints related performance measures included in its long-term plan in accordance with the Non-Financial Performance Measures Rules 2013 made by the Secretary for Local Government.

We will follow up as part of our audit of the final LTP document.

**Management Comment**

*We have reviewed the targets in light of the findings in the audit of the 2020 Annual Report and found them reasonable and aligned to community expectations.*

## 4 Audit of the Long-term Plan

The next step in the audit process will be the audit of the Long-Term Plan. To ensure our audit of the LTP is efficient we expect the District Council to prepare a schedule of changes to the financial forecasts, strategies, draft LTP and performance framework that were the basis of the CD. This will enable us to assess the extent of changes as a result of community consultation and tailor our audit work accordingly.

Under section 94(1) of the Act, our audit report on the LTP forms part of the LTP, which the District Council is required to adopt before 1 July 2021 (section 93(3)). Our agreed timeframes will enable us to issue our audit report in time for the Council meeting on 22 June 2021, at which time the 2021-31 LTP will be formally adopted.

We are responsible for reporting on whether the LTP meets the statutory purpose and provides a reasonable basis for integrated decision making by the District Council and accountability to the community. We considered the quality of the underlying information and assumptions as part of the audit of the CD so for the audit of the LTP we will focus on how these are reflected in the LTP. We will consider the effect of the decisions that come out of the consultation process and review the LTP to gain assurance that appropriate, material, consequential changes and disclosures have been made.

At the conclusion of the LTP audit, we will ask the District Council to provide us with a signed management representation letter on the LTP. The audit team will provide the letter template during the LTP audit.

## Appendix 1: Corrected misstatements

The misstatements corrected by management over the course of the audit of the CD and underlying information were:

- Correction of a double up of the Dannevirke Inverted Syphon in year 5 (\$1.6m).
- Updated costing information for the Eketahuna Wastewater Treatment Plant Upgrade reducing it by \$2.5m in year 2.
- Inclusion of delivery of capital expenditure assumption
- Inclusion of COVID-19 impact and recovery assumption
- Correction of BERL rates as they had been applied to the incorrect year which also had a flow on effect to the cumulative revaluation rates
- Correction of Internal rates elimination
- Correction of financial information in the Financial Strategy to be consistent with the forecast financial statements.
- Correction of prior period financial information in the Financial Strategy to be consistent with prior year annual report
- Correction of financial information in the Infrastructure Strategy to be consistent with forecast financial statements.
- Correction of the CD to be consistent with updated financial and infrastructure strategies
- Minor updates to the revenue and financing policy to align with the financial forecast
- Corrections in the CD for the cost per property for the options presented, forecasted debt, and rates impact table
- Correction in the uncertainty section of assumptions
- Correction in the financial model for the Support Employee IT activity, Debtors and other receivables, Investment property revaluation rate, Biological assets revaluation, Trade, and other payables

## Appendix 2: Disclosures

Area	Key messages
Our responsibilities in conducting the audit	<p>We carried out this audit on behalf of the Controller and Auditor-General. We are responsible for expressing an independent opinion on the CD and reporting that opinion to you. This responsibility arises from section 93C(4) of the Local Government Act 2002.</p> <p>The audit of the CD does not relieve management or the District Council of their responsibilities.</p> <p>Our audit engagement letter dated 16 February 2021 contains a detailed explanation of the respective responsibilities of the auditor and the District Council.</p>
Auditing standards	<p>We carried out our audit in accordance with the Auditor-General's Auditing Standards. The audit cannot and should not be relied upon to detect all instances of misstatement, fraud, irregularity or inefficiency that are immaterial to your CD. The District Council and management are responsible for implementing and maintaining your systems of controls for detecting these matters.</p>
Auditor independence	<p>We are independent of the Local Authority in accordance with the independence requirements of the Auditor-General's Auditing Standards, which incorporate the independence requirements of Professional and Ethical Standard 1 (Revised): <i>Code of Ethics for Assurance Practitioners</i>, issued by New Zealand Auditing and Assurance Standards Board.</p> <p>In addition to the audit we have carried out engagements in the areas of debenture trust deed assurance engagement, which is compatible with those independence requirements. Other than the audit and these engagements, we have no relationship with or interests in the Local Authority or its subsidiaries.</p>
Fees	<p>The audit fee, covering both the CD and the LTP for the period is \$71,200 (excluding GST and disbursements), as detailed in our audit engagement letter dated 16 February 2021.</p> <p>Other fees will be charged in the period for the annual report audit and debenture trust deed assurance engagement.</p>
Other relationships	<p>We are not aware of any situations where a spouse or close relative of a staff member involved in the audit occupies a position with the District Council that is significant to the audit.</p> <p>We are not aware of any situations where a staff member of Audit New Zealand has accepted a position of employment with the District Council during or since the end of the financial year.</p>



AUDIT NEW ZEALAND  
Mana Arotake Aotearoa

Box 149  
Palmerston North 4440  
Phone: 04 496 3099

[www.auditnz.parliament.nz](http://www.auditnz.parliament.nz)





## Report

Date : 15 June 2021

To : Chairperson and Committee Members  
Audit and Risk Committee

From : Raj Suppiah  
Group Manager - Corporate

Subject : **Adoption of the Long Term Plan 2021/2031 and Schedule of Fees  
and Charges for the 2021/2022 Financial Year**

Item No : **6.4**

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## **1. Recommendation**

- 1.1 *That the report from the Group Manager - Corporate dated 15 June 2021 concerning the adoption of the Long Term Plan 2021/2031 and schedule of fees and charges for the 2021/2022 financial year (as circulated) be received, and*
- 1.2 *That the Audit and Risk Committee recommend to Council as follows:*
- 1.3 *That in accordance with Section 100 of the Local Government Act 2002, Council confirm the Long Term Plan budgets have been prepared based on reasonable judgement and assumptions and it considers the projected financial results, including the projected operating deficit over the ten year period to be financially prudent given its financial position, the cumulative surplus projected over the ten year period and its financial management policies, and*
- 1.4 *That having undertaken the Special Consultative Procedure in accordance with Sections 82, 82A and 102 of the Local Government Act 2002, Council adopt the following policies (as included in the Long Term Plan 2021/2031):*
  - a. *Revenue and Financing Policy*
  - b. *Rating Remission Policies*
  - c. *Financial Contributions Policy*
- 1.5 *And that in accordance with the requirements of Sections 101A and 101B of the Local Government Act 2002, Council adopt the Financial Strategy and Infrastructure Strategy as contained in the final Long Term Plan 2021/2031, and*
- 1.6 *That pursuant to Section 93 of the Local Government Act 2002, Council adopt the final Long Term Plan 2021/2031 subject to receiving clearance from Audit New Zealand, and*
- 1.7 *That the Chief Executive be authorised to approve any minor accuracy, grammatical or formatting amendments prior to the Long Term Plan 2021/2031 going to print.*

## **2. Reason for the Report**

- 2.1 To review the report and recommend to the Council to adopt the Long Term Plan 2021-2031, which is also the Annual Plan 2021/22, and Schedule of Fees and Charges 2021/22. The adoption of a Long Term Plan (LTP) is a specific requirement of Section 93 of the Local Government Act 2002.

## **3. Background**

- 3.1 Council is required by legislation to adopt a LTP every three years. The process to be followed and/or matters to be taken into account are covered by Part 6 of the Local Government Act 2002 (LGA), which encompasses the Council's decision-making (Sections 76 to 81), consultation processes (Sections 82 to 90) and planning (Sections 93 and 94).
- 3.2 The LGA sets the requirements for consultation. It states that the consultation material and process should provide an effective basis for the public to participate in local authority decision-making processes.



3.3 The process to develop Council's LTP 2021/2031 began in October 2019 with the first Council workshop in February 2020. The Consultation Document was released to the public for comment on 12 April 2021, a submissions hearing held on 18 May 2021 and Council determinations on 26 May 2021.

3.4 Seventy submissions were received with Council hearing seventeen of these submissions in Dannevirke on 18 May 2021. Subjects Council specifically consulted on were debt repayment, road financial reserves, recycling, and community development.

#### **4. Significance Assessment**

4.1 The adoption of a LTP triggers the Significance and Engagement Policy. Council has followed the necessary Special Consultative Procedure prescribed by the Local Government Act and the Significance and Engagement Policy to enable it to adopt the policies as proposed.

4.2 Officers recognise that the matters referenced in this report may have a high degree of importance to affected or interested parties. Council has followed the correct legislative process and complied with Council's relevant policies and strategies to adopt the LTP and policies within this report.

#### **5. Key Changes from the Consultation Document**

5.1 The key changes from the consultation document and responses to submissions are detailed in pages 12 to 18 of the Long Term Plan 2021-2031.

5.2 This report focuses on the key changes from the Draft LTP arising from Council determinations, management changes from updating the Environmental Scan, legislative and other changes. These are discussed below.

##### **Kerbside**

5.3 Council consulted with the community to introduce a staged approach to kerbside recycling in the four main towns.

5.4 Since the consultation there has been a few notable changes that will have a significant impact on this project:

- The contractor managing the solid waste services in Eketahuna and Pahiatua has notified Council that they do not wish to extend the contract expiring on 1 July 2021. Council is exploring options to ensure there is minimal disruption to services in the short term.
- Council's current contractor, Smart Environmental has expressed challenges and escalation of cost in recycling.
- Government are also investigating a container return scheme to improve waste recycling.

Container return schemes incentivise consumers and businesses to return beverage containers (e.g. bottles, cans etc) for recycling and/or refilling. If this proceeds at a national level it could have significant impacts on the economic feasibility of a Council kerbside recyclable collection service.

- 5.5 The above then required Council to review the timelines and approach to renewing the various contracts for managing solid waste across the district and the implementation of kerbside services. The analysis has shown that it is cost effective and efficient to roll out the full kerbside recycling together and not phased over two years as proposed in the Consultation Document.
- 5.6 Hence, it was recommended and adopted at the May 2021 Council meeting that Council rolls out the kerbside glass and refuse recycling on 1st July 2022, provisional on Government policy changes not having a significant negative effect on the initiative's feasibility.
- 5.7 The kerbside recycling services for the four main urban towns will be funded via a targeted rate, and Council will continue with the ongoing waste reduction education programmes.

### Fee and Charges

- 5.8 Management revisited the fees and charges for planning and have included cost recovery for administration and engineering input for subdivision consents.
- 5.9 Council also revisited its subdivision demand assumptions due to an influx in demand for multi-lot subdivisions recently. The increase in fees and the change in demand have resulted in an increase in expected revenue of \$100,000.
- 5.10 The below table highlights the change in planning fees due to 5.8 above:

Category	2021/22 Draft	2021/22 Final	Difference	% Change from existing fee
<b>Land Use Consent</b>				
All others	\$1,075.00	\$1,827.50	\$752.50	115.0%
<b>Subdivision Consent</b>				
1-5 lots including the balance lot	\$1,075.00	\$1,827.50	\$752.50	115.0%
6+ lots including the balance lot	\$1,680.00	\$2,227.50	\$547.50	140.8%
Section 226 certificate (separation of title)	\$800.00	\$817.50	\$17.50	48.6%
Section 223 survey plan approval certificate	\$415.00	\$347.50	-\$67.50	33.7%
Section 224 completion approval certificate (if applied separately from Section 223)	\$415.00	\$547.50	\$132.50	110.6%
<b>Designations and Heritage Orders</b>				
New or alteration to designation or heritage order	\$1,075.00	\$1,427.50	\$352.50	67.9%

<b>Miscellaneous Resource Consents</b>				
Existing use certificate (s139A)	\$800.00	\$617.50	-\$182.50	12.3%
Extension of time (s125)	\$690.00	\$817.50	\$127.50	72.1%
<b>Miscellaneous Designation and Heritage Orders</b>				
Section 176A outline plan approval	\$690.00	\$817.50	\$127.50	48.6%
Waiver for requirement for outline plan	\$525.00	\$567.50	\$42.50	56.3%
Removal of designation or heritage order	\$525.00	\$567.50	\$42.50	56.3%
<b>District Plan Amendments</b>				
Private plan change request deposit	\$10,500.00	\$13,700.00	\$3,200.00	124.6%

5.11 Other minor fees changes from the draft are:

5.11.1 Charges for the EV charging station in Pahiatua:

## Electric Vehicle Charging

*Fees and charges 2021/22*

Description	Unit	Fee (\$)
Council-owned charging stations have fees for the energy used and for the cost and operation of the charging stations. Payment is administered and collected under contract to Council by ChargeNet NZ. Charges may change for increases in power costs and will be reviewed at least annually.		
Electric vehicle charging stations	per kWh	0.25
(kWh + minutes)	per minute	0.25

5.11.2 Including a half charge for early check-in at the Dannevirke Camping Ground.

### Depreciation funding

5.12 Council considers rates smoothing is financially prudent and is an effective mechanism to ensure that rates movements are at a level where rate requirements are contained to within acceptable and required limits.

5.13 Council manages this by adjusting its depreciation funding.

5.14 Depreciation represents the charge to the current ratepayers for the use of the asset during each year. This means that today's generation pay their share of the "consumption" and/or use of Council's assets.

5.15 The objective of depreciation funding is to ensure that those who receive the benefit of Council's assets pay a fair share towards the eventual replacement cost of the asset.

5.16 Council will review the amount of funded depreciation in each Long Term Plan to ensure that it is funding future renewals in a sustainable and prudent manner. The assumptions that are made when undertaking the depreciation modelling are conservative and reviewed every three years.

5.17 This strategy is as per consulted on in the Draft LTP. The adjustments made to the depreciation from the Draft LTP are detailed below:

Activity	Depreciation funding adjustment Over 10 years of the LTP	
Roading	Decrease	\$630,000*
Stormwater	Decrease	\$50,000
Water	Decrease	\$725,000
Footpath	Decrease	\$3,123,320
Buildings and Facilities	Decrease	\$813,000

\*Note this is the Council funded portion of depreciation charge.

5.18 The main drivers for these changes are because of the increased depreciation expense from the recently completed building and infrastructure valuations. Detailed depreciation modelling has been completed to ensure that the level of depreciation funding is prudent.

## 6. Key Messages

6.1 This LTP has arguably been one of the more challenging to undertake.

6.2 Council are faced with new challenges and exciting opportunities, and this LTP details Council's strategies, outcomes, and outputs. The following paragraphs summarises the key messages/highlights in this Final LTP.

## 7. Council Vision, Mission, Outcomes and Strategy

7.1 With the reinstatement of the community four well-beings and continuing to deepen Council's relationships with its iwi partners, Council developed a new Vision and Mission together with these partners.



7.2 This naturally meant the re-write of Council Outcomes and followed through to the Strategic Outcomes. The Council Outcomes focused on the four well-beings.



7.3 The Strategic Objectives then focused on

- Delivering Resilient Infrastructure
- Prudent Financial Management
- Growing Strong Communities
- Building a Vibrant Economy

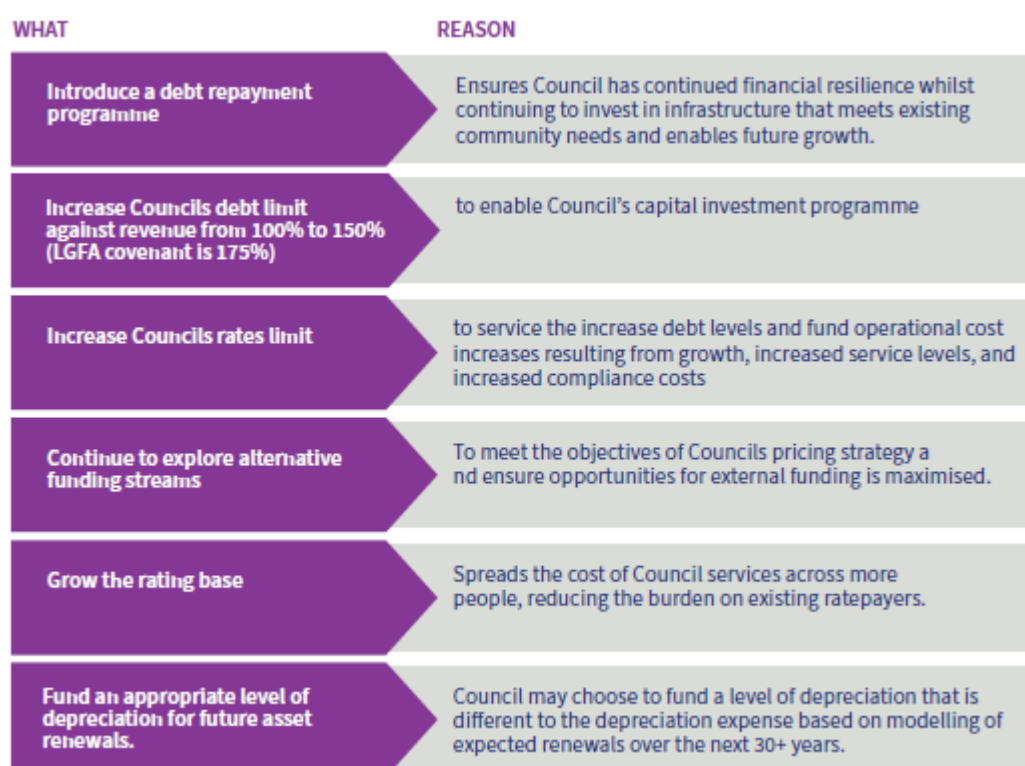
7.4 The underlying strategies, programme of work and funding requirements reflect these new priorities.

7.5 Refer to the section on Council's vision, mission, outcomes, and strategy of the final LTP for details on the changes made to the Council's Vision, Mission, Council outcomes and strategic objectives.

## 8. Financial Strategy

8.1 The Financial Strategy is at the core of any LTP – "The Financial Strategy provides a financial framework for making decisions, and outlines how Council intends to manage its finances prudently for the next 10 years, and the impacts on rates, debt, levels of service, and investments."

- 8.2 Council' Financial Strategy outlines the issues and challenges in this LTP, how Council intends to respond and the resulting outcomes and impacts.
- 8.3 In the 2018/2028 LTP the strategies in the Financial Strategy were focused on affordability (rates increase), depreciation funding (fund renewals and intergenerational equity) and a balanced budget.
- 8.4 In the 2021/2031 LTP Council is facing significant challenges and cost increases due to the impacts of events like Covid-19, population growth, land use change, climate change and regulatory reform that require a more integrated strategy.
- 8.5 The 2021/2031 Financial Strategy assesses the current state, discusses challenges and opportunities, clearly states Council's strategies, how it is responding to the challenges and opportunities, and finally the desired future state.
- 8.6 The key theme of this Financial Strategy is creating financial headroom to enable Council to respond in the future to opportunities and challenges as they arise.
- 8.7 To achieve these the strategy focuses on the following inter-linked key strategic directions that enable Council to achieve its strategic goals, whilst ensuring financial sustainability and prudence by leaving headroom for the unknown.



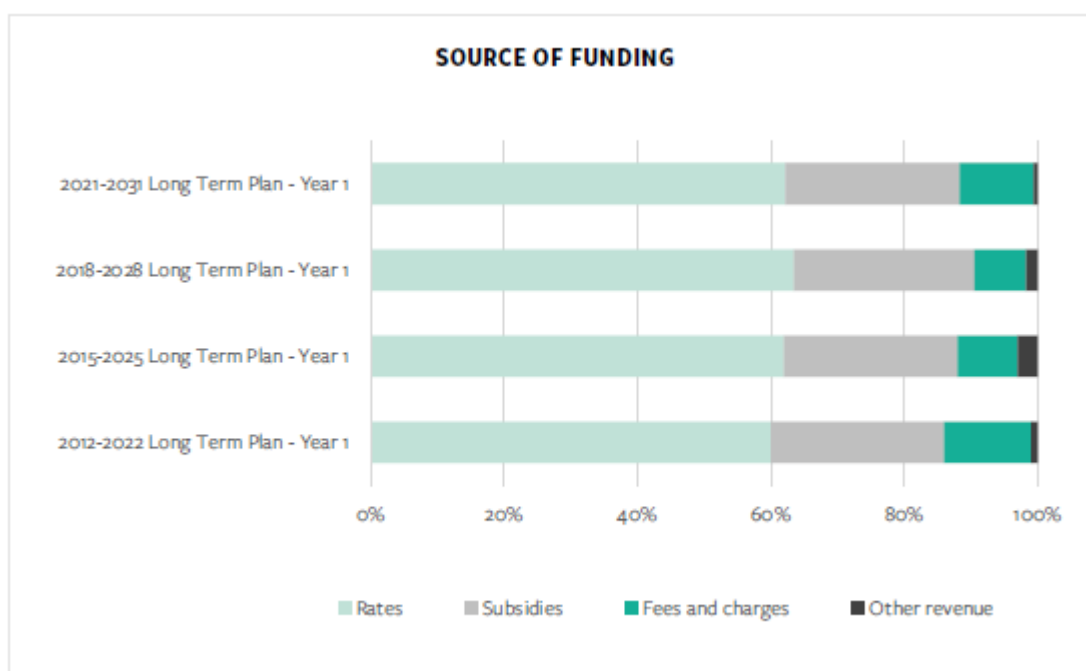
- 8.8 Refer to the section on *Financial Strategy* in the Final LTP.

## 9. Rating Policies

- 9.1 Council regularly reviews areas of its revenue and financing, and remissions policies to ensure they are aligned to and enable the strategic outcomes in the Financial Strategies. The key changes are:

### Sources of Funding

- 9.2 For some time, Council has been introducing a user pays approach for those services that are for the benefit of users as opposed to the public good for all ratepayers. This process is continuing, and it is anticipated there will be continued increases in some fees for services in future.
- 9.3 To balance the burden of increasing costs on ratepayers, Council reviewed its fees and charges against the pricing strategy it set in the 2015-2025 Long Term Plan. One of the objectives in this strategy is to recover the cost of activities that direct users can be identified through fees and charges. A significant increase in user charges are for building and planning services, cemeteries, pensioner housing and dog registration fees. The increase in user charges for year 1 of the LTP reduced the rates increase by just over 1%. The graph below shows the revenue mix and a shift away from reliance on rates for Year 1 of this LTP.



- 9.4 Council also resolved to introduce:
- a change in policy in the 2024 Long Term Plan whereby a development contribution is charged for fair and reasonable costs to increase the capacity of infrastructure to cater for growth.
  - rates that target forestry activities to offset any negative outcomes this activity has on the district's roading network and environment.

### Uniform annual general charge

- 9.5 The uniform annual general charge (UAGC) is a specific levy of an equal amount on each rating unit. The UAGC is applied as a fixed amount to every rating unit within the district and does not vary with the value of the rating unit. Following the significant property value increases the district has experienced in the new rating valuations, Council has adjusted the current range of 27% to 30% of the rates requirement to be recovered by way of a UAGC to 25% to 29% in this LTP.

### New Targeted Kerbside Recycling Rate

- 9.6 Introduced new kerbside recycling services that will benefit mainly urban ratepayers and rolled out by towns funded via a targeted rate. This acknowledges the communities desire to encourage waste minimisation and a reduction in waste disposal. Council will also continue with the ongoing waste reduction education programmes.

### 3% discount from full payment of rates

- 9.7 Council had provided for a 3% discount to ratepayers who pay the full rates on or before the 1st rates instalment.
- 9.8 This scheme was introduced when interest rates were very high (8%-10%) and the money collected earned interest and helped offset rates. However, given the very low interest rates in the current market this scheme is being subsidised by other ratepayers in the district.
- 9.9 Hence in this LTP, Council has removed the 3% discount and shall reconsider this again in the 2024/2034 LTP if market conditions improve.

### Remissions Policy on Maori Freehold Land

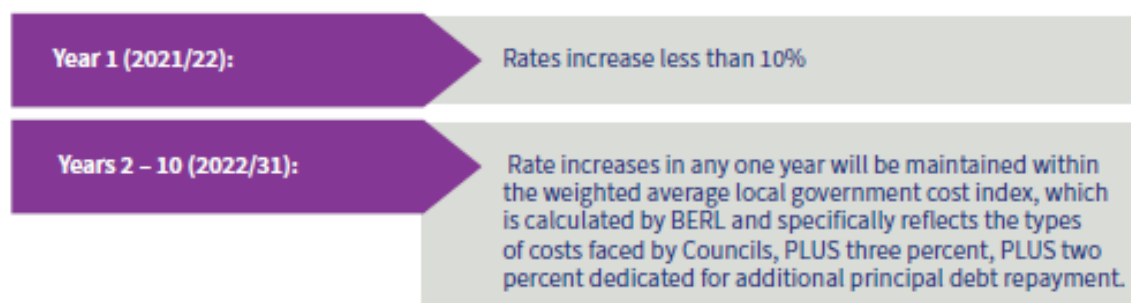
- 9.10 On 12 April 2021 the Local Government (Rating of Whenua Māori) Amendment Act was enacted. The Act makes changes to the rating of Māori land, looking to reduce the barriers for effective partnership between local government and Māori, encourage development and modernise the rating legislation.
- 9.11 Council recognises the unique challenges in rating Maori Freehold Land and has given effect to the Local Government (Rating of Whenua Māori) Amendment Act and introduced a proposed new remissions policy on Maori Freehold Land with the aim to provide rates relief to Maori freehold land held that meet defined conditions.

## **10. Increases in Council Rates Limit**

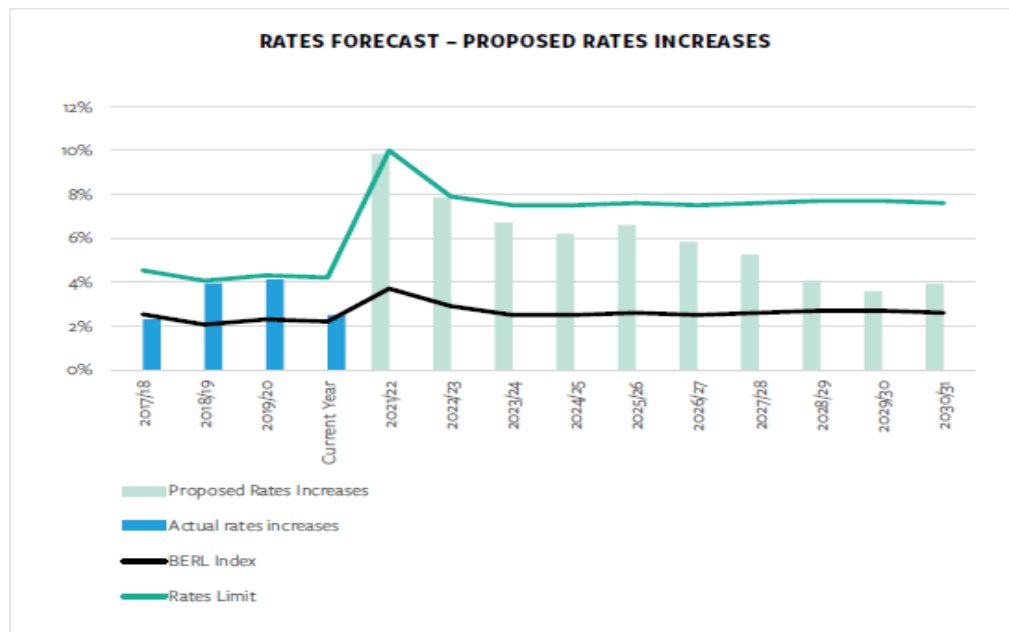
- 10.1 Over the previous 9 years, Council has maintained rates at relatively low levels despite record investment in infrastructure. However, due to the challenges outlined in the Financial Strategy, a period of higher rates increases is needed.



- 10.2 Council has resolved to change the rates limit in the 2018-2028 LTP from BERL (Local Government Cost Index) plus two percent a year to the following new limits:



- 10.3 In the current year, Council provided relief to ratepayers in response to the Covid-19 lockdown by reducing its planned rates increase from 5.97% to 2.5%, maintaining the service levels, and not deferring its capital programme. This was achieved by leverage off Council's strong balance sheet by borrowing internally. This has impacted on the 2021/22 rates increase.
- 10.4 From Year 2, Council is allowing an additional 3% per year to fund increases in service levels, growth, and funding of new infrastructure. Council is also significantly increasing funding in Community Development to enable meeting its obligations under the newly reintroduced four well-beings.
- 10.5 BERL represents inflation in costs incurred by Council to maintain existing service levels, and is the bare minimum increase required to deliver the same levels of service year on year.
- 10.6 The following graph shows the rates increases over the 10 years of the LTP



## 11. Rates Increase for Year 1 (Annual Plan 2021/22)

- 11.1 The total rates increase for year 1 is 9.44% compared to the 9.82% consulted with the community which is noticeably the largest increase in the past decade. The decrease in rates compared to budget is due to the increase in the number of rating units as at 31 May 2021 compared to 30 June 2020 when the rates for 2020/21 were set.
- 11.2 In addition, the variance of rates distribution was more pronounced than previous years. For example, 9% of ratepayers received more than a 30% increase in rates, whilst others received a 9% decrease.
- 11.3 The following table shows the range of rates distribution for the draft and final LTP. The UAGC for the final was increased to reduce the impact on the “outliers” who were receiving rates higher than the average due to the significant changes to their rating valuations.

<b>Draft</b>	<b>UAGC \$ :</b>	<b>\$559.75</b>			
	<b>Proposed</b>	<b>2020/2021</b>	<b>Change \$</b>	<b>No</b>	<b>% Change</b>
Decreases	4,628,981	4,966,151	(337,170)	1,020	(6.79%)
0-5%	2,984,116	2,917,138	66,979	945	2.30%
5-15%	15,905,691	14,585,824	1,319,867	6,259	9.05%
15-20%	1,472,240	1,258,635	213,605	455	16.97%
20-30%	1,889,102	1,509,724	379,378	363	25.13%
30%+	3,251,747	2,297,659	954,088	1,002	41.52%
	<b>30,131,877</b>	<b>27,535,131</b>	<b>2,596,746</b>	<b>10,044</b>	<b>9.43%</b>
<b>Final</b>	<b>UAGC \$ :</b>	<b>\$595.57</b>			
	<b>Proposed</b>	<b>2020/2021</b>	<b>Change \$</b>	<b>No</b>	<b>% Change</b>
Decreases	5,457,929	5,871,158	(413,230)	919	(7.04%)
0-5%	1,675,338	1,635,960	39,378	760	2.41%
5-15%	16,283,847	14,817,191	1,466,656	6,419	9.90%
15-20%	1,668,378	1,424,429	243,949	549	17.13%
20-30%	2,715,715	2,163,560	552,155	491	25.52%
30%+	2,331,889	1,622,833	709,057	906	43.69%
	<b>30,133,097</b>	<b>27,535,131</b>	<b>2,597,965</b>	<b>10,044</b>	<b>9.44%</b>

11.4 The following table shows the sector rate changes

#### **Draft LTP Sector Distribution**

Sector	Annual Plan 2020/21	Long Term Plan Year 1 - 2021/22		
		Rates by sector	\$ change from prior year	% change from prior year
Rural	14,554,748	15,863,397	1,308,649	8.99%
Urban	10,816,389	12,020,020	1,203,631	11.13%
Industrial/Commercial	2,066,931	2,248,460	181,529	8.78%
<b>Total rates requirement</b>	<b>27,438,068</b>	<b>30,131,877</b>	<b>2,693,809</b>	<b>9.82%</b>

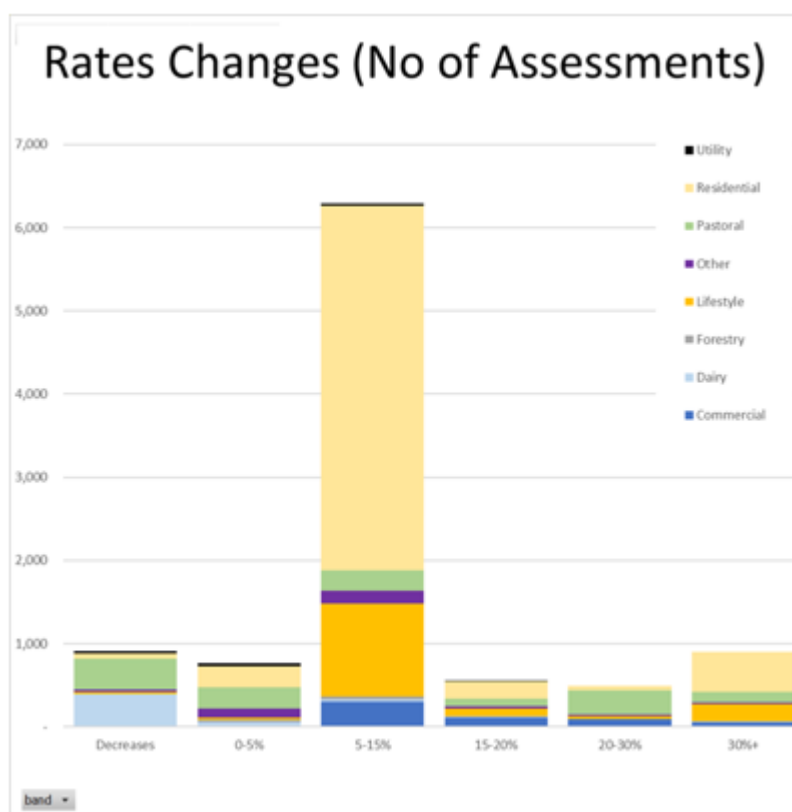
*All amounts are inclusive of GST.*

## Final LTP Sector Distribution

Sector	Annual Plan 2020/21	Rates by sector	Long Term Plan Year 1 - 2021/22	
			\$ change from prior year	% change from prior year
Rural	14,554,748	15,741,800	1,187,052	8.2%
Urban	10,816,389	12,098,593	1,282,204	11.9%
Industrial/Commercial Windfarms	2,066,931	2,290,772	223,841	10.8%
<b>Total rates requirement</b>	<b>27,438,068</b>	<b>30,131,164</b>	<b>2,693,096</b>	<b>9.8%</b>

**Note:**  
The rates increase shown here of 9.8% is against the 2020/21 planned rates of \$27.438m. The actual rates for 2020/21 are \$27.535m giving an increase of 9.4%

11.5 The following graph shows the rates distribution by the land categories.



## **12. Changes to Capital Projects**

12.1 Overall, the changes are relatively minor and total \$13,979. The major changes relate to:

- Removal of purchasing Denmark Street Office building
- Timing and budgets for projects to meet new wastewater consent requirements. These are wetland developments and treatment plant upgrades

## **13. Levels of Service and Performance Measures**

13.1 Levels of service are outputs that Council expects will be generated by an activity. Good levels of service flow from the rationale for service delivery and demonstrate a customer focus.

13.2 Levels of service are attributes that either demonstrate value to the community or are key to the way the public uses or experiences the activity.

13.3 Council do that with having an overarching defined performance management framework. For each activity Council then have established performance measures and targets that will demonstrate 'value for money' and performance against these targets.

13.4 Performance management is the process of determining objectives, measuring progress against those objectives, and using the results to improve a local authority's delivery of services to the community.

13.5 Timely, relevant performance information helps demonstrate 'value for money' to the public. This means the information Council report must mean something to the community, elected members, and staff.

13.6 Performance management helps elected members and staff assess whether the Council's policies and services are making the community's lives better. Performance management is not just a legal requirement, it explains what Council is doing and why.

13.7 These are detailed in the "Performance Measures" section for each activity. In this LTP Council has a total of 100 performance measures compared to 112 in the 2018/28 LTP. See table below.

13.8 Council have introduced 16 new measures, increased the levels of service (LOS) for 10 and reduced LOS for 8 measures.

	2018/28 LTP	Proposed in 2021/31 LTP				TOTAL
		Same LOS	Increase LOS	Decrease LOS	New	
Community Development	2	1			4	5
Representation	3	3				3
Cemeteries	2	2				2
Community Buildings	2	2				2
Customer Services	4	1		3		4
Libraries	3	3				3
Parks and Reserves	3	3				3
Pensioner Housing	2	1	1			2
Public Conveniences	3	1		2		3
Swimming Pools	4	2		1		3
Commercial Investments	1					0
Economic Development	6	3	1			4
Animal Control	3	1			2	3
District Planning	3			1	1	2
Emergency Management	3				3	3
Health & Safety	6	1		1	5	7
Solidwaste	5	3	2			5
Stormwater	9	9				9
Footpath	3	2			1	3
Roading	14	6				6
Wastewater	14	10	3			13
Water Supplies	17	12	3			15
<b>TOTAL</b>	<b>112</b>	<b>66</b>	<b>10</b>	<b>8</b>	<b>16</b>	<b>100</b>

## 14. Balanced Budget

- 14.1 Section 100 of the Local Government Act 2002 requires Council to ensure that for every year of the Long Term Plan, its projected operating revenues are set at a level sufficient to meet its projected operating expenditure.
- 14.2 Council may set projected operating revenues at a different level from that required, if Council resolves that it is financially prudent to do so.
- 14.3 In assessing a financially prudent position, Council considers:
- The estimated expenses of achieving and maintaining the predicted levels of service set out in the Draft LTP, including the estimated expenses associated with maintaining the service capacity and integrity of the assets throughout their useful life; and

- The projected revenue available to fund the estimated expenses associated with maintaining the service capacity and integrity of assets throughout their useful life; and
  - The equitable allocation of responsibility for funding the provision and maintenance of assets and facilities throughout their useful life; and
  - The funding and financial policies.
- 14.4 The Council's overall approach is to operate in a fiscally prudent manner. To achieve this, Council endeavours to keep rates increases at a level to deliver on service levels and maintain and renew its infrastructure assets.
- 14.5 Due to the introduction of its debt repayment programme, and Route 52 upgrade project that is 100% subsidised, Council balances its budget in all years of this LTP.

## **15. Conclusion**

That that Audit and Risk Committee recommends to the Council to adopt the Final Long Term Plan 2021/2031 as detailed in the recommendation paragraph above.

## **Attachments**

Nil.