![Waimate District Council logo]

Agenda

Notice is hereby given of
an Ordinary Council Meeting

Tuesday 14 April 2020

Commencing at 9.30am

Via Zoom

www.waimatedc.govt.nz

Notice is hereby given that a meeting of the Council will be held in the Via Zoom, on Tuesday 14 April 2020, commencing at 9.30am.

Elected Members

Craig Rowley	Chairperson
Sharyn Cain	Deputy Chairperson
Fabia Fox	Councillor
Sandy McAlwee	Councillor
Miriam Morton	Councillor
Tom O'Connor	Councillor
David Owen	Councillor
Colin Pankhurst	Councillor
Sheila Paul	Councillor

Quorum – no less than five members

Significance Consideration

Evaluation: Council officers, in preparing these reports have had regard to Council's Significance and Engagement Policy. Council and Committee members will make the final assessment on whether the subject under consideration is to be regarded as being significant or not. Unless Council or Committee explicitly determines that the subject under consideration is to be deemed significant then the subject will be deemed as not being significant.

Decision Making

The Council, in considering each matter, must be:

     i.   Satisfied that it has sufficient information about the practicable options and their benefits, costs and impacts, bearing in mind the significance of the decision;

     ii.   Satisfied that it knows enough about and will give adequate consideration to the views and preferences of affected and interested parties bearing in mind the significance of the decisions to be made.

Stuart Duncan
Chief Executive

Order of Business

OPENING

1   COUNCIL PRAYER

Nil

2   PUBLIC FORUM

Nil

3   APOLOGIES

The Chair will call for any apologies.

4   VISITORS

5   CONFLICTS OF INTEREST

As per the Local Authorities (Members' Interests) Act 1968 (as below), the Chair will enquire if there are any Conflicts of Interest to be declared on any item on the agenda, and if so, for any member to declare this interest.

> **Local Authorities (Members' Interests) Act 1968**
> Councillors are reminded that if they have a pecuniary interest in any item on the agenda, then they must declare this interest and refrain from discussing or voting on this item and are advised to withdraw from the meeting table.

6   IDENTIFICATION OF MAJOR (URGENT) OR MINOR ITEMS NOT ON THE AGENDA

1.   The Chair will call for any major (urgent business) or minor items not on the agenda to be raised according to Standing Orders, as below:

   a. **Standing Orders 3.7.5 – Major Items**

      An item not on the agenda for a meeting may be dealt with at the meeting if the local authority by resolution so decides, and the presiding member explains at the meeting at a time when it is open to the public –

      i.   The reason why the item was not listed on the agenda; and

      ii.   The reason why discussion of the item cannot be delayed until a subsequent meeting.

   b. **Standing Orders 3.7.6 – Minor Items**

      An item not on the agenda for a meeting may be dealt with at the meeting if –

      i.   That item is a minor matter relating to the general business of the local authority; and

      ii.   The presiding member explains at the beginning of the meeting, at a time when it is open to the public, that the item will be discussed at the meeting; but

      iii. No resolution, decision, or recommendation may be made in respect of that item except to refer that item to a subsequent meeting of the local authority for further discussion.

MINUTES

7   CONFIRMATION OF MINUTES

7.1   MINUTES OF THE COUNCIL MEETING HELD ON 18 FEBRUARY 2020

Author: **Karalyn Reid, Committee Secretary and PA to the Mayor**

Authoriser: **Tina Stevenson, Corporate Services Group Manager**

Attachments: **1.   Minutes of the Council Meeting held on 18 February 2020**

PURPOSE

The unconfirmed Minutes of the Council Meeting held on 18 February 2020 be presented for confirmation.

RECOMMENDATION

That the Minutes of the Council Meeting held on 18 February 2020 be adopted as a true and correct record.
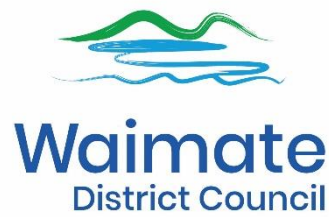
MINUTES

Ordinary Council Meeting

18 February 2020

**MINUTES OF WAIMATE DISTRICT COUNCIL
ORDINARY COUNCIL MEETING
HELD AT THE COUNCIL CHAMBER, WAIMATE DISTRICT COUNCIL, 125 QUEEN STREET,
WAIMATE ON TUESDAY 18 FEBRUARY 2020, COMMENCING AT 9.30AM**

PRESENT: Mayor Craig Rowley (Chair), Deputy Mayor Sharyn Cain, Cr Fabia Fox, Cr Sandy McAlwee, Cr Miriam Morton, Cr Tom O'Connor, Cr David Owen, Cr Colin Pankhurst, Cr Sheila Paul

APOLOGIES: Nil

IN ATTENDANCE: Stuart Duncan (Chief Executive), Paul Cooper (Regulatory and Compliance Group Manager), Fiona Hester-Smith (Human Resources Manager), Michelle Jones (Executive Support Manager), Dan Mitchell (Asset Group Manager), Tina Stevenson (Corporate Services Group Manager), Karalyn Reid (Committee Secretary)

OPENING

1   COUNCIL PRAYER

Vicar Indrea Alexander, of the Waimate District Cooperating Parish, opened the Council Meeting with a prayer and lit the Ministers' Association candle.

2   PUBLIC FORUM

There were no speakers at the Public Forum.

3   APOLOGIES

Nil

4   VISITORS

10.30am – Murray Martin

5   CONFLICTS OF INTEREST

The Chair called for Conflicts of Interests. There were no Conflicts of Interest identified.

6   IDENTIFICATION OF MAJOR (URGENT) OR MINOR ITEMS NOT ON THE AGENDA

There were no major/minor items identified.

MINUTES

7   CONFIRMATION OF MINUTES

7.1   MINUTES OF THE COUNCIL MEETING HELD ON 10 DECEMBER 2019

RESOLUTION 2020/1

Moved: Deputy Mayor Sharyn Cain
Seconded: Cr David Owen

That the Minutes of the Council Meeting held on 10 December 2019 be adopted as a true and correct record.

CARRIED

8   RECEIPT OF MINUTES

Nil

REPORTS

9   MAYOR'S REPORT

9.1   MAYOR'S REPORT

RESOLUTION 2020/2

Moved: Mayor Craig Rowley
Seconded: Cr Miriam Morton

That the Mayor's Report is accepted.

CARRIED

10   DEPUTY MAYOR'S REPORT

10.1   DEPUTY MAYOR'S REPORT

RESOLUTION 2020/3

Moved: Deputy Mayor Sharyn Cain
Seconded: Cr Tom O'Connor

That the Deputy Mayor's Report is accepted.

CARRIED

11   COUNCILLORS' REPORTS

11.1   COUNCILLORS' REPORT

RESOLUTION 2020/4

Moved: Cr Tom O'Connor
Seconded: Cr Miriam Morton

That the Councillors' Report is accepted.

CARRIED

Note:

Cr Pankhurst noted that he had not been able to send through his meetings/event attended.

12   CHIEF EXECUTIVE'S REPORT

12.1   AFFIXING OF THE COMMON SEAL

RESOLUTION 2020/5

Moved: Mayor Craig Rowley
Seconded: Cr Sheila Paul

That the following documents be executed under the Common Seal of the Council:

1.   Warrant of Appointment (Noise Control Officer): Gavan Erasmus – 16 December 2019

2.   Section 73 Certificate under Building Act 2004: Jonathon Paul Brighton and Elizabeth Ann Brighton – 15 January 2020.

CARRIED

13   COUNCIL ACTIONS REPORT

13.1   COUNCIL ACTIONS REPORT

RESOLUTION 2020/6

Moved: Deputy Mayor Sharyn Cain
Seconded: Cr Sheila Paul

That the Council Actions Report is accepted.

CARRIED

14   HUMAN RESOURCES REPORT

14.1   HUMAN RESOURCES REPORT

RESOLUTION 2020/7

Moved: Cr Fabia Fox
Seconded: Cr Sheila Paul

That the Human Resources Managers report is accepted.

CARRIED

15   HEALTH AND SAFETY REPORT

Nil

16   AUDIT AND RISK COMMITTEE REPORT

Nil

17   GENERAL REPORTS

17.1   RECOMMENDATIONS OF THE ENVIRONMENTAL SERVICES AND FINANCE COMMITTEE MEETING HELD ON 28 JANUARY 2020

17.1.1   CANTERBURY LOCAL AUTHORITIES' TRIENNIAL AGREEMENT 2020-22

Council were presented with the 2020-22 Triennial Agreement (the Agreement) between local authorities in Canterbury for approval.

RESOLUTION 2020/8

Moved: Deputy Mayor Sharyn Cain
Seconded: Cr Fabia Fox

1. That the Canterbury Local Authorities Triennial Agreement 2020-22 report is accepted; and

2. That the Environmental Services and Finance Committee recommends that Council enters into the Canterbury Local Authorities Agreement 2020-22.

CARRIED

17.2   RECOMMENDATIONS OF THE DISTRICT INFRASTRUCTURE COMMITTEE MEETING HELD ON 28 JANUARY 2020

17.2.1   EXTENSION TO CONTRACT 15/1 ROAD NETWORK MAINTENANCE AND OPERATIONS

The District Infrastructure Committee recommended that Council extend Contract 15/1 Road Network Operations and Maintenance for a further seven months to 30 June 2021.

RESOLUTION 2020/9

Moved: Mayor Craig Rowley
Seconded: Deputy Mayor Sharyn Cain

1.   That the Extension to Contract 15/1 Road Network Maintenance and Operations be accepted; and

2.   That the District Infrastructure Committee recommends to Council that Contract 15/1 Road Network Operations and Maintenance be extended for a period of seven months to end on 30 June 2021.

CARRIED

17.4   AUDIT AND RISK COMMITTEE - APPOINTMENT OF INDEPENDENT CHAIR

Council considered the appointment of the Independent Chair of the Audit and Risk Committee.

RESOLUTION 2020/10

Moved: Cr Sheila Paul
Seconded: Cr Miriam Morton

1.   That the Audit and Risk Committee – Appointment of Independent Chair report is accepted; and

2.   That the appointment of Mr Damian Hogue as the Independent Chair of the Audit and Risk Committee is accepted.

CARRIED

17.5   WAIMATE DISTRICT COUNCIL COMMUNITY AND SPORTS COMMITTEE MEMBERSHIP

RESOLUTION 2020/11

Moved: Cr Miriam Morton
Seconded: Cr Fabia Fox

1.   That the Waimate District Council Community and Sports Committee Membership report be accepted, and

2.   Council approve Hazel Fish and Lauren McKnight as community representatives on the Waimate District Council Community and Sports Committee.

CARRIED

17.6   FEES & CHARGES 2020/21

Council considered the Waimate District Council's Fees & Charges for the timeframe of 2020-2021 financial year.

RESOLUTION 2020/12

Moved: Cr Tom O'Connor
Seconded: Cr Sheila Paul

1.   That Council accepts the Draft Fees & Charges 2020/21 report; and

2.   That Council adopts the Fees & Charges 2020/21, as presented.

CARRIED

Note:

Page 44: Swimming Pool – Spectator/Guardian that the text be changed from $0.00 to No Charge for consistency reasons.

Item - 17.3 Long Service Acknowledgement: Murray Martin - 10.30am - has been moved to another part of the document.

Item - 17.4 Audit and Risk Committee - Appointment of Independent Chair - has been moved to another part of the document.

Item - 17.5 Waimate District Council Community and Sports Committee membership - has been moved to another part of the document.

18   CONSIDERATION OF MAJOR (URGENT) OR MINOR ITEMS NOT ON THE AGENDA

Nil

PUBLIC EXCLUDED

19   EXCLUSION OF THE PUBLIC REPORT

RESOLUTION TO EXCLUDE THE PUBLIC

RESOLUTION 2020/13

Moved: Deputy Mayor Sharyn Cain
Seconded: Cr Sheila Paul

That the public be excluded from the following parts of the proceedings of this meeting.

The general subject matter 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 of the Local Government Official Information and Meetings Act 1987 for the passing of this resolution are as follows:

General subject of each matter to be considered	Reason for passing this resolution in relation to each matter	Ground(s) under section 48 for the passing of this resolution
19.1 - Public Excluded minutes of the Council Meeting held on 10 December 2019	s6(a) - the making available of the information would be likely to prejudice the maintenance of the law, including the prevention, investigation, and detection of offences, and the right to a fair trial	s48(1)(a)(i) - the public conduct of the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding would exist under section 6 or section 7
19.2 - Holme Station Proposed Road Stopping and Land Exchange	s7(2)(h) - the withholding of the information is necessary to enable Council to carry out, without prejudice or disadvantage, commercial activities s7(2)(i) - the withholding of the information is necessary to enable Council to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations)	s48(1)(a)(i) - the public conduct of the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding would exist under section 6 or section 7

CARRIED

20   RE-ADMITTANCE OF THE PUBLIC REPORT

RESOLUTION 2020/14

Moved: Cr Tom O'Connor
Seconded: Cr David Owen

That Council moves out of Closed Council into Open Council.

CARRIED

MEETING CLOSURE

There being no further business, the Chair declared the meeting closed at 10.15am.

The minutes of this meeting are to be confirmed at the Ordinary Council Meeting scheduled on 31 March 2020.

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CHAIRPERSON

17.3   LONG SERVICE ACKNOWLEDGEMENT: MURRAY MARTIN - 10.30AM

Murray Martin was acknowledged for his service to Council and presented with a framed certificate. He joined Council for morning tea then Council visited Murrayfield at Knottingley Park where they planted a tree to recognise Murray's long service.

7.2	MINUTES OF THE EXTRAORDINARY COUNCIL MEETING HELD ON 24 MARCH 2020

Author: **Karalyn Reid, Committee Secretary and PA to the Mayor**

Authoriser: **Tina Stevenson, Corporate Services Group Manager**

Attachments: **1.   Minutes of the Extraordinary Council Meeting held on 24 March 2020**

PURPOSE

To present the unconfirmed Minutes from the Extraordinary Council Meeting held on 24 March 2020 for confirmation.

RECOMMENDATION

That the Minutes of the Extraordinary Council Meeting held on 24 March 2020 be adopted as a true and correct record.
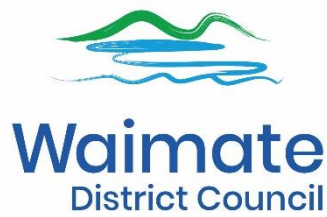
MINUTES

Extraordinary Council Meeting

24 March 2020

**MINUTES OF WAIMATE DISTRICT COUNCIL
EXTRAORDINARY COUNCIL MEETING
HELD AT THE COUNCIL CHAMBER, WAIMATE DISTRICT COUNCIL, 125 QUEEN STREET,
WAIMATE ON TUESDAY, 24 MARCH 2020, COMMENCING AT 9.22AM**

PRESENT:	Mayor Craig Rowley, Deputy Mayor Sharyn Cain, Cr Fabia Fox, Cr Sandy McAlwee, Cr Miriam Morton, Cr Colin Pankhurst
IN ATTENDANCE:	Stuart Duncan (Chief Executive), Paul Cooper (Regulatory and Compliance Group Manager), Carolyn Johns (Community and Strategy Group Manager), Dan Mitchell (Asset Group Manager), Tina Stevenson (Corporate Services Group Manager), Karalyn Reid (Committee Secretary)
ABSENT:	Cr David Owen

OPENING

Council were given time to read the agenda before the meeting commenced.

1 COUNCIL PRAYER

Nil

2 PUBLIC FORUM

Nil

3 APOLOGIES

RESOLUTION 2020/3

Moved: Cr Miriam Morton
Seconded: Cr Fabia Fox

That apologies from Cr Tom O'Connor and Cr Sheila Paul be received and accepted.

CARRIED

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4 VISITORS

Nil

5 CONFLICTS OF INTEREST

The Chair called for Conflicts of Interests. There were no Conflicts of Interest identified.

6 IDENTIFICATION OF MAJOR (URGENT) OR MINOR ITEMS NOT ON THE AGENDA

There were no major/minor items identified.

REPORTS

7   GENERAL REPORTS

7.1   ESTABLISHMENT OF WAIMATE DISTRICT COUNCIL EMERGENCY COMMITTEE

RESOLUTION 2020/4

Moved: Mayor Craig Rowley
Seconded: Deputy Mayor Sharyn Cain

That Council:

1.   Establishes an Emergency Committee with a membership of four, consisting of the Mayor, the Deputy Mayor, Cr Fabia Fox and Cr Miriam Morton

2.   Agrees the Emergency Committee require a quorum of two members; and

3.   Adopts the Emergency Committee's Terms of Reference; and

4.   For the purposes of the COVID-19 emergency, delegates to the Mayor, or in the Mayor's absence, the Deputy Mayor, the authority to activate the Emergency Committee, and by resolution of the Emergency Committee, suspend all other committees of Council; and

5.   For the purposes of the COVID-19, approves the Chief Executive's financial delegations be set at $500,000 per transaction to allow for any unanticipated urgent expenditure. Any such unanticipated expenditure is to be reported back to the Emergency Committee; and

6.   Delegates the authority and powers of the Chief Executive to Group Manager Asset, or Group Manager Corporate Service, or Group Manager Community and Strategy, in the event that the Chief Executive is unable to fulfil his duties due to COVID-19; and

7.   Agrees where the delegated Acting Chief Executive is unable to fulfil such duties due to COVID-19, the Chief Executive's delegated authority and powers will deescalate to the next designated General Manager:

   a.   Group Manager Assets, or

   b.   Group Manager Corporate Services, or

   c.   Group Manager Community and Strategy

8.   Approves all necessary amendments to the Waimate District Council Delegations Manual to reflect the resolutions of Council on the delegations and meeting arrangements for COVID-19.

CARRIED

MEETING CLOSURE

There being no further business, the Chair declared the meeting closed at 9.34am.

The Minutes of this meeting are to be confirmed at the next Council Meeting.

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CHAIRPERSON

8   RECEIPT OF MINUTES

Nil

REPORTS

9   MAYOR'S REPORT

Nil

10   DEPUTY MAYOR'S REPORT

Nil

11   COUNCILLORS' REPORTS

Nil

12   CHIEF EXECUTIVE'S REPORT

Nil

13   COUNCIL ACTIONS REPORT

Nil

14   HUMAN RESOURCES REPORT

14.1   HUMAN RESOURCES REPORT

Author: **Fiona Hester-Smith, Human Resources Manager**

Authoriser: **Fiona Hester-Smith, Human Resources Manager**

Attachments: **Nil**

PURPOSE

1.   For the Human Resources Manager to update Council.

RECRUITMENT

2.   Since my last report in February 2020, the following staff have been employed by Council.

Position	Name	Permanent / Temporary
Parks and Reserves Supervisor	Jake Blades	Permanent

EXITING STAFF

3.   Since my last report in February, the following staff have left Council.

Position	Name	Permanent / Temporary
Roading Officer	Murray Hasler	Permanent
IT Project Manager	Brent Herbert	Permanent
Lakes Refuse Assistant	Adele Matchett	Temporary
Pool Attendant	Raquel Shaw	Temporary
Pool Attendant	Paula Lysaght	Temporary
Pool Attendant	Laura Snoxell	Temporary
Pool Attendant	Madeline Wood	Temporary
Pool Attendant	Cindy Sew Hoy	Temporary

STAFF STATISTICS

PERMANENT STAFF

Month	Total	Full Time	Part Time	FTE
Dec-19	63	43	20	51.47
Jan-20	63	42	21	50.40
Feb-20	63	43	20	51.40
March-20	62	43	20	52.04

TEMPORARY AND CASUAL STAFF

Month	Total	Temporary	Casual	FTE
Dec-19	8	8	0	5.25
Jan-20	9	9	0	5.50
Feb-20	8	8	0	5.00
March-20	2	2	0	1.25

HISTORY AS AT JUNE EACH YEAR

Year	Total	FTE
2017	57	47.61
2018	58	48.58
2019	60	50.71

LEAVE LIABILITY STATISTICS

4. Leave Liability Graphs – The below graph indicates on the green line the current position opposed to the previous two years. Blue being 2018 and Red being 2019 positions. As expected with each Christmas close down the overall liability has dropped. The Green line is above last years (red) liability due to an increase in staff numbers but the overall indication is that we currently sit below 2018 liability even with an increase in staff numbers.
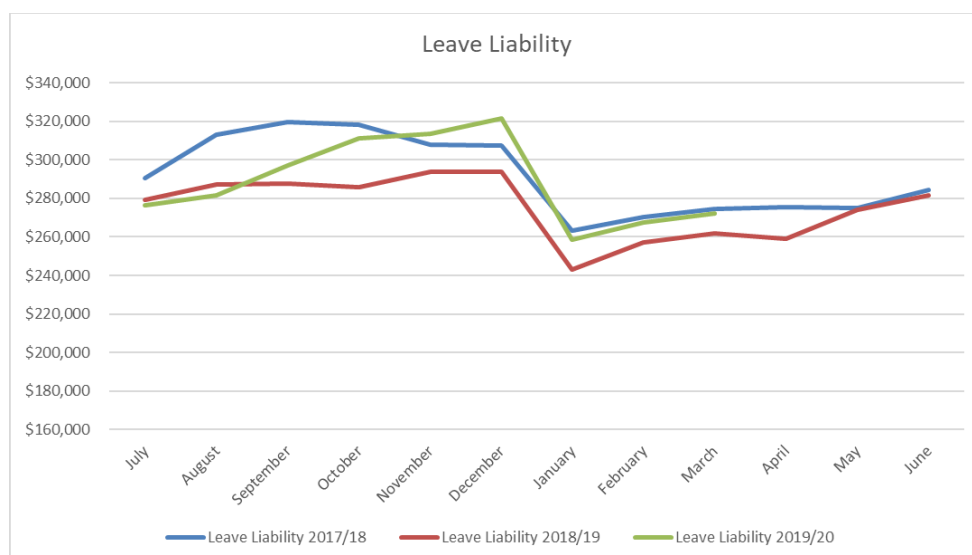
5. Total Annual Leave Hours – Below is a new graph to show in blue the amount of current leave hours and in red the balance of total hours that equals excess leave.

6. Excess leave is any leave over one year's entitlement. e.g. if an employee has a yearly entitlement of 150.00 hours and they have a balance of 160.00 hours, then 10.00 hours will be counted as excess leave.

7. We currently have 11 staff with excess leave.

8. It is acceptable for staff to accumulate excess leave within reason.

9. When staff accumulate more than 1.5 years' entitlement staff and their manager are requested to make a plan to reduce this.

10. We continue to work at keeping any excess leave within acceptable levels.

Total Annual Leave Hours

- Current Leave hours
- Excess Leave hours
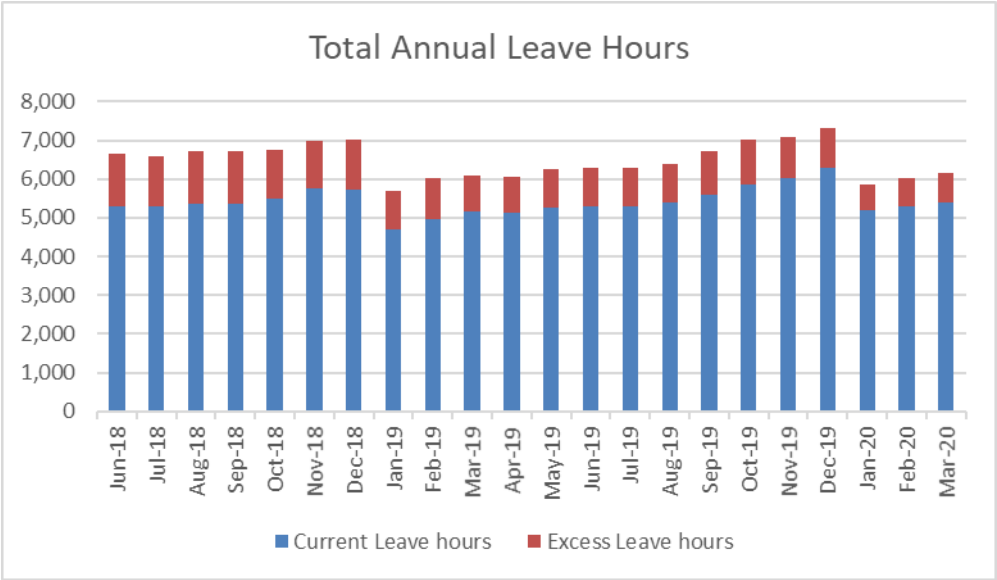
RECOMMENDATION

That the Human Resources Manager's report is accepted.

15   HEALTH AND SAFETY REPORT

Nil

16   AUDIT AND RISK COMMITTEE REPORT

16.1   AUDIT AND RISK COMMITTEE CHAIR'S REPORT

Author:	**Tina Stevenson, Corporate Services Group Manager**
Authoriser:	**Stuart Duncan, Chief Executive**
Attachments:	**1. Audit and Risk Committee - Terms of Reference** ⇩ 📄

PURPOSE

1.   As required by the Terms of Reference for the Audit and Risk Committee the Chair is to prepare a report for the next Ordinary Meeting of Council following each Audit and Risk Committee Meeting.

2.   The report does not replace the minutes of the meeting.

REPORT ON MEETING: 19 MARCH 2020

Human Resources Managers Report

3.   Sick and annual leave implications for employees was discussed in respect of the COVID-19 situation.

Health and Safety Report

4.   The recent health and safety incidents were reported and discussed. In particular, safety around the pool and fencing around water storage facilities was discussed.

5.   It was agreed that the COVID 19 outbreak was to be added to the risk register. A separate discussion on the outbreak was held under Major Item not on the Agenda.

Corporate Services Group Manager Report

6.   The Terms of Reference (ToR) and Annual Work Plan for the Audit and Risk Committee was reviewed and agreed. Enhancements were made to the ToR in particular to expand the references to risk in the Preamble and add insurance under Responsibilities.

7.   The Corporate Services Manager briefed the committee on the main topics discussed at the Local Government Risk Management Forum highlighting the growing emphasis on climate change and measuring of carbon footprint.

External Audit Recommendations Progress Update to 11 March 2020

8.   The Audit New Zealand recommendations were discussed, especially in regard to the Downlands Rural Water Scheme accounting treatment. A draft report commissioned by the Timaru District Council has been received from Ernst &Young and is being reviewed. Further legal advice is still being sought around the legal ownership of the scheme before a final view is formed.

9.   It was agreed that management would provide recommendations around which items can be closed, and further information on the progress on items, which are still pending for the next meeting.

Council's Policy Status

10.   A summary report was presented on the review date status of the council's policies. It was pleasing to note that nearly all policies were up to date or in the process of being reviewed.

NZ Transport Agency Audit Report for the Year Ended June 30, 2019

11.   The NZ Transport Agency Audit report was tabled with only minor areas of improvement noted.

2019/20 Major Project Update

12.   The major projects report was reviewed. It was noted that the Queen Street Sewer Main renewal project had now commenced.

Audit NZ Update

13.   Council's newly appointed Audit Director, Rudie Tomlinson, was introduced to the Committee.

14.   The Audit team discussed focus areas of the 2020 Audit which will include a continuation of the theme of Ethics and Integrity, Bribery and Corruption, Sensitive Expenditure, Procurement and Conflicts of Interest. The introduction of the 4 Well-beings will be another area of focus. The team highlighted the requirement for a formalised agreement to clearly record the structure and ownership of the Downlands Water Scheme in order that the appropriate accounting standard can then be applied

Corporate Services Group Manager Report – Public Excluded

15.   The Key Risk Register was reviewed and discussed. A new risk for a "Pandemic" to cover COVID-19 was added.

16.   There was a discussion around whether the Risk Register should continue to be included in the public excluded part of the meeting or included as part of the normal agenda of the public section of the meeting. The committee agreed that in general, the benefits of openness and transparency outweighed any other implications and that in future the register would be included in the public part of the meeting. If there was a specific risk item which poses a high risk to the Council if made public, this would continue to be reviewed in the public excluded part of the meeting.

17.   An update on the Cyber Security report was presented with management to continue to provide updates at future meetings.

Major Item Not on Agenda

18.   The emerging threat of the COVID-19 on the community and the council's operations was identified as a major item that required discussion at the meeting. The CEO talked about the potential impact on the district and advised that he had scheduled a meeting of key staff and service providers the following day to prepare an action and risk mitigation plan.

QUESTIONS

19.   Any questions arising from this report can be addressed by the Mayor or the Chief Executive.

Damian Hogue
Chair of Audit and Risk Committee

RECOMMENDATION

1.   That the Audit and Risk Committee Chair's Report be accepted; and

2.   That the amended Audit and Risk Committee Terms of Reference be presented to Council for approval.

Terms of Reference

Audit and Risk Committee

31 March 2020

Contents

Preamble

A local authority should ensure prudent stewardship and the efficient and effective use of its resources in the interests of its district…

Local Government Act 2002, s14 (g)

The Local Government Act 2002 requires a local authority to manage its revenue, expenses, assets, liabilities, investments, and general financial dealings prudently and in a manner that promotes the current and future interests of the community.

The aim of the Audit and Risk Committee (the Committee) is to independently assist and advise the Waimate District Council in its responsibility for risk management, Council's control and compliance framework and its external accountability responsibilities, thereby giving assurance to Elected Members, management and the public that Council processes operate in an efficient and effective manner.

Purpose

1. The purpose of the Committee is to assist the Council to discharge its responsibilities and provide independent observations on:

   1.1 the robustness of risk management systems, processes and practices;

   1.2 the robustness of the internal control framework;

   1.3 the independence and adequacy of internal and external audit functions;

   1.4 the integrity and appropriateness of internal and external reporting and accountability arrangements, including performance reporting;

   1.5 compliance with applicable laws, regulations, standards and best practice guidelines;

   1.6 the establishment and maintenance of controls to safeguard Council's financial and non-financial assets; and

   1.7 the governance framework and processes.

2. The Committee reports and recommends directly to Council.

Membership

3. Within 40 days of the Local Government Triennial Election, Council will establish and appoint the Committee and its members, including the appointment of a non-elected (external appointee) as Chairperson or the reconfirmation of a Chairperson appointed for a term beyond the Triennial Election.

4. The Committee membership will be the external appointee (as Chairperson), the Mayor and up to three appointed members.

5   The Committee members should bring to the Committee:

    5.1   the ability to act independently and objectively;

    5.2   the ability to ask relevant and pertinent questions and evaluate the answers;

    5.3   the ability to work constructively with management to achieve improvements;

    5.4   an appreciation of Council's culture and values, and a determination to uphold these;

    5.5   a proactive approach to providing feedback on matters that require further attention;

    5.6   business acumen; and

    5.7   appropriate diligence, time, effort and commitment.

6   The external appointee should have the following experience:

    6.1   financial reporting;

    6.2   broad governance experience;

    6.3   familiarity with risk management disciplines (identification, evaluation and management);

    6.4   understanding of internal control and assurance frameworks;

    6.5   a good understanding of the roles of internal and external audit;

    6.6   industry or sector expertise; and

    6.7   the ability to explain technical matters in their field of expertise to other members.

7   The Chief Executive and senior staff may attend Committee meetings, however, the Chief Executive and senior staff are not members of the Committee.

Responsibilities

Risk Management and Internal Controls

8   The Committee will:

    8.1   understand the key operational business activities of Council and the significant risks associated with each of the activities;

    8.2   recommend to Council the Risk Management Policy and any amendments;

    8.3   recommend to Council an appropriate level of risk tolerance after an assessment of risks;

    8.4   review whether management has in place a current and comprehensive risk management framework (including likelihood and consequences) and associated procedures for effective identification and management of Council's significant risks;

    8.5   consider whether appropriate action is being taken by management to mitigate Council's significant risks;

8.6   Review Council's insurance arrangements and monitor insurance claims;

8.7   enquire as to steps management has taken to ensure the organisation's culture is one of commitment to workplace safety, probity and ethical behaviour;

8.8   monitor major project reports to ensure transparency of financial management and achievement of project objectives and provide assurance that there are robust processes in place to manage project risks appropriately;and

8.9   Review requests for budgets to be carried forward to the following financial year.

External Audit

9   The Committee, in conjunction with the Chief Executive, will:

9.1   engage and confirm with the external auditor the terms of the auditor's appointment and engagement, including the nature and scope of the audit, timetable and fees;

9.2   develop a relationship with, and liaise with, the external auditor;

9.3   discuss issues arising from the interim and final audit reports, and any matters the external auditor may wish to discuss;

9.4   receive the external audit report(s) and monitor the implementation by management of any significant issues and recommendations made by the external auditor;

9.5   conduct a session with the external auditor to discuss any matters that the auditor wishes to bring to the Committee's attention and/or any issues of independence; and

9.6   review reports from any other external audits (including IANZ and NZTA) and/or reports relating to Council's performance, of a financial, risk mitigation or compliance nature, that are undertaken.

Internal Audit

10   The Committee will:

10.1   monitor management's approach to maintaining an effective internal control framework that is sound and effective;

10.2   monitor existing corporate policies and to recommend, where necessary, the formulation of new policies as to further enhance the elements of transparency and accountability in organisational practices;

10.3   approve the internal audit programme and determine the appointment of any assistance required to implement the programme having regard to risk, independence and expertise;

10.4   monitor the delivery and implementation of the internal audit work programme and audit process; and

10.5   receive the internal audit report and monitor the implementation by management of any significant issues and recommendations made by the internal auditor.

Compliance with Legislation, Standards and Best Practice Guidelines

11   The Committee will review the effectiveness of the system for monitoring Council's compliance with laws (including governance legislation, regulations and associated government policies), with Council's own standards and sector best practice guidelines.

General

12   Oversee special investigations which fall within the Committee's scope of purpose.

13   The Committee is to be informed by the Chief Executive as to any investigation of any alleged fraudulent activity.

14   The Committee may review and make recommendations on any relevant reports prepared by management for public distribution.

15   The committee may review policy relating to Treasury, published Financial Statements and accounting standards of Council.

16   The Committee is also responsible for maintaining and considering its own effectiveness, and must ensure that there are robust processes in place to ensure effective communication with both Council and management.

17   The Committee has limited delegation from Council and it will largely operate as an advisory committee to Council. The Committee will not assume any management functions or make decisions that are the statutory responsibility of the Chief Executive.

Meetings

Quorum

18   A quorum of members of the Committee shall be three, however one of the three members must be the Chairperson, or in the absence of the Chairperson, another member of the Committee delegated to act as Chair by the Chairperson.

Frequency

19   The Committee will meet at least four times each year having regard to Council's reporting and audit cycle. Additional meetings may be held as determined by the Chairperson in order for the Committee to fulfil its duties and responsibilities.

Meetings with External Auditor

20   The Committee will work at "arms-length" to the office of the Chief Executive and is able to meet with the external auditor without management present.

Standing Orders

21   The Committee will abide by the Waimate District Council Standing Orders.

Delegations from Council

22   The Committee has delegated authority to:

22.1 engage and confirm with the external auditor the terms of the auditor's appointment and engagement, including the nature and scope of the audit and timetable;

22.2 approve the appointment of any internal auditor, internal audit programmes, audit engagement letters and letters of undertaking for audit functions;

22.3 approve additional services provided by the external auditor;

22.4 approve, coordinate and monitor special investigations;

22.5 seek independent advice within budget; and

22.6 seek any information it requires from the Chief Executive who will co-operate with any reasonable request made by the Committee.

23   The Audit and Risk Committee does not have any financial delegations.

24   The Committee may not delegate any of its responsibilities, duties or powers.

Reporting Procedures

25   The Committee shall maintain direct lines of communication with the external auditors, the Chief Executive and the Corporate Services Group Manager. The Chief Executive and Corporate Services Group Manager are responsible for drawing to the Committee's immediate attention any matter of significance that relates to Council's financial condition, any breakdown in internal controls, any area of immediate and significant risk or any event of fraud.

26   The Committee shall be provided with copies of reports from the external auditor to management and staff regarding the audit process.

27   After each Committee meeting the Chairperson shall prepare a report to Council for the next available Ordinary Meeting of Council.

Review of the Committee

28   Council, in collaboration with the Committee, will every three years review the performance of the Committee, including a review of the Terms of Reference at the commencement of the new triennium.

29   The Terms of Reference will be approved by Council.

Publication Details

All inquiries or suggestions regarding this document should be referred to:	Chief Executive
Revision:	Final version
Revision Dates:	22 August 2017, 14 September 2018, 31 March 2020
Effective Date:	31 March 2020
Minimum Review by:	October 2022 (triennially)
Chief Executive – Release Signature:	Stuart Duncan
Document can only be amended by:	Resolution of Council
Document filed at:	L:\SUPPORT SERVICES\Meetings - Audit
Document Writer:	Stuart Duncan Chief Executive

17   GENERAL REPORTS

17.1   CONSULTATION DOCUMENT - WAIMATE DISTRICT COUNCIL WASTE MINIMISATION SERVICES

Author:	**Dan Mitchell, Asset Group Manager**
Authoriser:	**Dan Mitchell, Asset Group Manager**
Attachments:	**1. Consultation Document - Waimate District Rubbish and Recycling Services** ⇩ 📄
	2. Section 83 Local Government Act 2002 ⇩ 📄

PURPOSE

1.   The purpose of this report is to present the draft Consultation Document for the Waimate District Council Waste Minimisation Services contract.

BACKGROUND

2.   The current Agreement for Waste Collection Processing and Disposal Services is due to expire on 31 October 2020, with staff currently negotiating an extension to 30 June 2021.

3.   Preliminary consultation as part of the 2018-28 Long Term Plan process indicated that an alternative service delivery mechanism (multiple bin) was desirable.

4.   As part of the review of future options for waste minimisation services, a Section 17A review was undertaken. A local authority must review "…the cost-effectiveness of current arrangements for meeting the needs of communities within its district or region for good-quality local infrastructure, local public services and performance of regulatory functions." (S17A, LGA). A Section 17A review is required when the last review was undertaken more than 6 years ago, when the contract is expiring in less than 2 years or where council is proposing a level of service change.

5.   The Section 17A Review was undertaken jointly with Timaru District Council and Mackenzie District Council as one of the key focus areas was around shared service opportunities as this approach has been successful in other service areas such as roading.

6.   The results from this Section 17A review were socialised with Council at a workshop held on 25 June 2019. Feedback on the Section 17A review was obtained alongside a brief discussion on the proposed procurement strategy.

7.   Feedback from the workshop was positive with an understanding that council should pursue a regional approach to a long-term waste services contract. A detailed Procurement Strategy was subsequently developed with key elements of this detailed within the Procurement Process section of this report.

8.   The Section 17A review process identified that a joint waste procurement process for the three councils is the preferred option for procuring waste services. This option allows the councils to test the market on what type and combination of services will best suit each of the three participating councils. The joint procurement approach gives the respective councils flexibility on what type of waste service they want and how it will be best managed for them, whilst at the same time utilising the potential economies of scale and efficiency savings gained from jointly procurement the services.

9.   Entering into a joint procurement process should create economies of scale for the contractors resulting in lower costs to the councils, both in terms of collection and processing.

10.   Under the joint contract arrangements both Waimate and Mackenzie District Councils can:

- Deliver green / food waste to the Timaru District Council Eco-Compost Facility

- Deliver recyclables to the Timaru District Council Materials Recycling Facility

- Continue to dispose of waste to the Redruth Landfill
- Or provide nominated alternative sites

11. Three service delivery options have been developed for Waimate District Council within the Request for Proposal (RFP) document, which was released to registered tenderers 10 March 2020 and is due to close 15 May 2020.

12. Council resolved to follow the procurement process described and the contract term at the Ordinary Council Meeting held 10 December 2019.

13. The aforementioned options form the basis of the attached Consultation Document.

PROPOSAL

14. In order to follow the Special Consultative Procedure defined in Section 83 of the Local Government Act (2002) (LGA), a local authority must prepare and adopt a statement of proposal.

15. Effectively the Consultation Document contains all information to satisfy the LGA requirements.

16. A copy of LGA Section 83 is attached to this report.

Options

17. Options available include:

    a. Council approves the consultation document without modification; or

    b. Council approves the consultation document with modification; or

    c. Council does not approve the consultation document.

ASSESSMENT OF SIGNIFICANCE

18. This contract is deemed significant as:

    a. There will be a major and long term effect across a multiple wards; and

    b. There will be a major and long term effect across the wider community; and

    c. It is likely that the Waste Management Activity (this contract forms part) will exceed 10% of Council revenue.

19. Currently the services offered are primarily voluntary. Some new options are mandatory and therefore significant to some ratepayers.

CONSIDERATIONS

20. Whilst every effort has been made to model the rating impacts, there is still uncertainty related to a number of factors. For example, the current and future financial climate resulting from the Coronavirus pandemic and uncertainty relating to recyclable material markets.

21. Resultantly, any preferred option would need to be reviewed once tenders have been evaluated and negotiations have been completed.

Legislation

22. Local Government Act 2002

23. Waste Minimisation Act 2008

Territorial or Regional Council Regulations, Plans or Bylaws

24. Waste Management and Minimisation Plan

25. Waimate District Council Consolidated Bylaw – Solid Waste Section

26. Procurement Policy 316

Risk

27. Whilst some financial risks are apparent, overall the risk profile is considered low.

FINANCIAL

28. The current waste services contract has a total value of approximately $770,000. These services are funded through a combination of a targeted rate for the kerbside collection, through the civic amenities rate and through fees and charges collected at the resource recovery park. General Ledger Codes 5410 & 5420.

Budget

29. Not applicable

Cost-effectiveness

30. Cost-effectiveness is addressed through the procurement process, consultation and ultimate contract award expected late July 2020.

RECOMMENDATION

1. That the Consultation Document – Waimate District Council Waste Minimisation Services report is accepted; and

2. That Council adopts the Consultation Document – Waimate District Rubbish and Recycling Services without modification; or

3. That Council adopts the Consultation Document – Waimate District Rubbish and Recycling Services with modification.

Let's Chat

Rubbish and Recycling Services Consultation Document

FEEDBACK REQUIRED! Consultation closes 4pm Friday 22 May 2020

waimatedc.govt.nz

Waimate
District Council

Waimate District rubbish and recycling services

We heard what you said

In 2018 we started the conversation with you about how we can improve our rubbish and recycling services over the next ten years. Your feedback helped form the basis of the Waimate Waste Management and Minimisation Plan for 2018-2028, which is available to read on waimatedc.govt.nz.

The plan outlines the services to be provided, strategic direction and levels of service as well as highlighting the big issues that need to be addressed over the ten year period.

We want to improve our service

Over the last decade, since the introduction of our current rubbish and recycling system, there has been an increasing number of improvements in waste management services nation-wide.

Waimate District Council is committed to reducing the amount of rubbish sent to landfill, providing opportunities for people to recycle more, improving environmental outcomes and increasing the level of service which is modern and sustainable.

To achieve our goal we're approaching the contractor market together with Timaru and Mackenzie District Councils for the provision of waste minimisation and management services. This could lead to environmental benefits, cost savings and increased levels of service for each district.

Now is the time to talk about change

Our current rubbish and recycling contract ends **30 June 2021** so now is the time to consider changes and review what level of service and management we want as a district before a new contract is awarded.

This will allow the successful contractor time to appropriately resource the new service and provide modern solutions with added innovation.

The initial term for the new contract will be 15 years with a possible five year extension, depending on contractor performance.

There has also been legislative changes that require councils to improve waste management and to have a stronger focus on health and safety.

This is your chance to have your say on what service you would like.

2 | Waimate District Rubbish and Recycling Services Consultation Document

We need to reduce our rubbish

In 1999, Council adopted an aspirational target of zero waste to landfill by 2015. The zero waste target was part of a national movement to help improve waste minimisation practices for New Zealand.

The Waimate District Council's vision for waste management and minimisation is:

> "A sustainable community that is able to reuse, recycle and recover discarded resources and minimise residual waste to landfill, while ensuring protection of public health and the environment."

Along with the Waste Minimisation Act 2008, the New Zealand Waste Strategy goals and the target for zero waste, as a district we need to reduce the amount of rubbish we send to landfill, which will be better for the environment, help reduce costs to the community and extend the life of the landfill. One way to achieve this is to remove organics (green waste and food waste) from the waste stream.

Reducing rubbish keeps costs down

All councils around New Zealand currently pay the Government waste levy for each tonne of rubbish sent to landfill. If councils don't reduce the amount of waste that is sent to landfill, they can expect to pay more in government levies which in turn have to be funded by communities.

Our Council currently pays the Government levy at a rate of $10 per tonne of rubbish that is sent to landfill. By 2023 this rate could rise to $60 per tonne, which will result in higher costs for the community, so reducing our rubbish and better recycling will help keep the costs down. Some of this waste levy fund becomes available for Council to introduce additional waste minimisation activities.

All rubbish in the Waimate District is currently sent to the Redruth landfill in Timaru. After recently updating their rubbish acceptance criteria, **green waste and food waste mixed in with rubbish will no longer be accepted at the Redruth landfill from 1 July 2021.**

How much did we throw away last year?

1,281 tonnes of rubbish sent to landfill last year

848 tonnes was kerbside collection

An estimated **53%** of kerbside content (460 tonnes) contained recyclable and organic material

An estimated **$75,000** per year and 460 tonnes of rubbish could be saved if the recyclable and organic material was diverted from the landfill

Typical waste composition

Organics (green waste and food waste) **39.7%**

Recyclables (plastic, glass, cans, paper, cardboard) **13.9%**

Waste (rubbish) **46.4%**

Waimate District Council Rubbish and Recycling Services Consultation | 3

What are the options?

Waimate District Council have identified three options for consideration. All financial estimates are based on the information available at the time of producing this document. The final costs will be known once the contractor agreements have been finalised.

Option A (preferred option)

This proposed service is based on a number of urban collection areas which are outlined on the maps (pages 8-10). This service will be compulsory for residents within the defined areas.

This multi bin option includes:
- 240 litre organics (green/food waste) bin collected weekly
- 240 litre recycling bin collected fortnightly
- 140 litre rubbish bin collected fortnightly
- Glass crate collected fortnightly

Advantages
- There will be an increased level of service provided for some members of the community
- Easy to separate rubbish and recycling
- Separation of rubbish reduces the cost of processing and disposal, and amount sent to landfill
- Less risk of Government waste levy increases
- Better for the environment
- Cleaner streets as rubbish won't be blown from the recycling crate
- This service will be compulsory in certain areas meaning that the increased cost can be spread over a larger ratepayer base
- Rubbish will be taken directly to Redruth landfill

Disadvantages
- Increased cost for some residents
- Extra space required to store the bins on residents' properties

Estimated cost: $423 for the 2021/22 year for the multi bin service.

How does this affect the community? For some communities this service will be compulsory, so for those not currently receiving a rubbish and/or green waste bin, this will be a new service.

For rural communities there are currently some rubbish collection services and recycling drop off stations available. This option will mean that in certain areas a new collection service of recycling, glass and organics will be provided.

Why separate organics?

Organics (green waste and food waste) generally makes up more than a third of a typical rubbish bin. If we don't start separating our organics from our rubbish, we will no longer be able to use the Redruth landfill resulting in ongoing increased costs to transport to another landfill further away.

Why separate glass?

Sorting glass from other recyclables reduces the risk of broken glass contaminating other items in the bin. It also means the glass can be colour-sorted at the kerb.

To compare what you are currently paying towards waste management, see page 7 for estimated rates applicable for your property.

Disclosures: Under this option it is assumed that anyone currently receiving a rubbish bin outside of the compulsory areas will automatically opt in for the multi bin system. There are no options available to have any of the bins separately, however, anyone who opts in for the multi bin system can request additional bins separately.

4 | Waimate District Rubbish and Recycling Services Consultation Document

Option B

This proposed service is based on a number of urban collection areas which are outlined on the maps (pages 8-10). This service will be compulsory for residents within the defined areas.

This option includes:
- 240 litre recycling bin collected fortnightly
- 140 litre rubbish bin collected fortnightly
- Glass crate collected fortnightly
- Rubbish will be taken to the Waimate Resource Recovery Park (RRP) for transport to another landfill other than Redruth
- Recycling would be processed at the RRP or contractor's nominated site
- Organic services would be provided at the RRP at a charge via the gate. A private service may be available between the resident and an independent contractor

Advantages
- This service will be compulsory in certain areas meaning that the increased cost can be spread over a larger ratepayer base
- There will be an increased level of service provided for some members of the community
- Cleaner streets as rubbish won't be blown from the recycling crate

Disadvantages
- Less separation of rubbish will increase the cost of processing and disposal
- This option does not allow the use of Redruth landfill due to updated waste acceptance criteria, therefore we may have to pay more to transport rubbish to another landfill
- Likely increases to the Government waste levy

Estimated cost: $415 for the 2021/22 year for two bins and glass collection service.

How does this affect the community?

For some communities this service will be compulsory, so for anyone not currently receiving a rubbish bin within a defined area, this will be a new service.

For rural communities there are currently some rubbish collections and recycling drop-off stations available. This option will mean that the service will be compulsory in certain areas, therefore a new collection service of rubbish, recycling and glass bins will be provided.
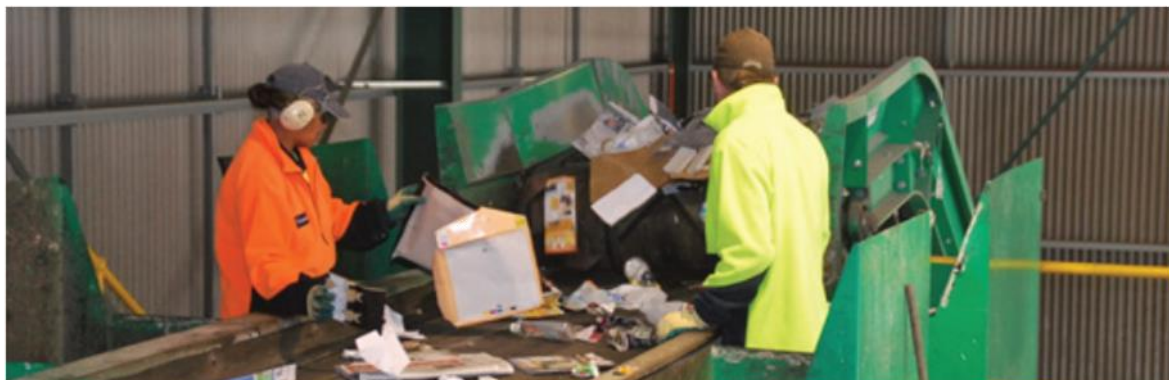
Waimate District Council Rubbish and Recycling Services Consultation | 5

Option C

This option is based on the current service provided, except for the use of rubbish bags.

This option includes:
- 80 litre urban rubbish bin collected weekly
- Recycling crate collected weekly
- 240 litre rural rubbish bin collected fortnightly
- Rural recycling drop-off stations
- Organic services provided at the Resource Recovery Park at a charge via the gate. A private service may be available between the community and an independent contractor

Advantages
- Continuity of service
- Optional rubbish bin service

Disadvantages
- Recycling crate is only 60 litres and without a lid
- No Council-service organics bin
- Weekly collection of rubbish bins encourages poor recycling
- Rubbish can be blown out of the recycling crate
- Less separation of rubbish will increase the cost of processing and disposal
- This option does not allow the use of Redruth landfill due to updated waste acceptance criteria, therefore we may have to pay more for transport of rubbish to another landfill.
- Likely increases to the Government waste levy.
- If you do not have a bin you will need to take your own rubbish to the landfill

Estimated cost for 2021/22 (dependent on location)
- 80 litre urban rubbish bin - $212
- 60 litre urban recycling crate - $175
- 240 litre rural rubbish bin - $318
- Rural recycling drop off service - $88

Council rubbish bags will no longer be available under any of the proposed options in 2021. This will help improve the health and safety and efficiency of our contractors.

6 | Waimate District Rubbish and Recycling Services Consultation Document

What are the costs?

Comparison of costs for existing services (rates for next year 2020/21)

Estimated rates for existing services for 2020/21:

Urban 80 litre rubbish bin	$212 + urban recycling crate $133	**Urban total**	**$345***
Rural 240 litre rubbish bin	$318 + rural recycling drop off service $66	**Rural total**	**$384**

* Urban residents who are currently receiving a green waste bin directly from a private contractor pay for this service outside of Council rates.

Proposed new service options 2021/22

Impact of options presented	Option A (preferred)	Option B	Option C (current service)
Urban households (currently receiving a 80litre refuse bin and recycling crate)	Annual Increase $53 ⬆ Weekly $1.02	Annual Increase $53 ⬆ Weekly $1.02	Annual Increase $25 ⬆ Weekly $0.48
Urban households (currently receiving a 80litre refuse bin, recycling crate and a greenwaste bin)	Annual Decrease $127 ⬇ Weekly $2.44	Greenwaste service excluded	Greenwaste service excluded
Urban households (currently receiving a recycling crate only)	Annual Increase $265 ⬆ Weekly $5.10	Annual Increase $265 ⬆ Weekly $5.10	Annual Increase $25 ⬆ Weekly $0.48
Urban Business and Commercial (currently receiving a 80litre refuse bin and recycling crate)	Annual Increase $78 ⬆ Weekly $1.50	Annual Increase $70 ⬆ Weekly $1.35	Annual Increase $42 ⬆ Weekly $0.81
Rural households (currently receiving a 240litre refuse bin and recycling drop off service)	Annual Increase $24 ⬆ Weekly $0.46	Annual Increase $21 ⬆ Weekly $0.40	Annual Increase $12 ⬆ Weekly $0.23
Rural households within the compulsory areas (currently receiving the recycling drop off service)	Annual Increase $342 ⬆ Weekly $6.58	Annual Increase $339 ⬆ Weekly $6.52	Annual Increase $12 ⬆ Weekly $0.23
Rural households outside the compulsory areas (currently receiving the recycling drop off service)	Annual Decrease $9 ⬇ Weekly $0.17	Annual Increase $10 ⬆ Weekly $0.19	Annual Increase $12 ⬆ Weekly $0.23

Note: The above is a sample of identified properties grouped by services currently received. If your situation is not represented above, then the impact to your property may vary from those listed. For more detailed information on the above costs, see Council's website: waimatedc.govt.nz.

The cost of operating the Resource Recovery Park (RRP) are partially covered by fees and charges (for rubbish taken directly to the RRP), with the remaining funds covered by Civic Amenities Rates. For all of the options presented (a, b and c) the cost of operating the RRP is estimated to reduce and has been incorporated into the sample of changes above.

Weight-based charging for Resource Recovery Park

At the Waimate Resource Recovery Park (RRP) we're moving from volumetric charging to a weight-based charging system prior to the contract changing in July 2021. This will ensure a fair and equitable charging mechanism for users of the RRP.

Waimate District Council Rubbish and Recycling Services Consultation | 7

What areas are affected

Current collection route for Waimate District and rural recycling depots

The Waimate District currently has an urban and rural service, a Resource Recovery Park, and eight rural recycling depots.

Our collection routes (highlighted in pink) currently service the Waimate urban area, St Andrews, Makikihi, Willowbridge, Morven, Glenavy on a voluntary basis.

Larger scale maps will be available to view on Council's website and reception at the Council office.

8 | Waimate District Rubbish and Recycling Services Consultation Document

Waimate Urban Area

The areas included within the yellow lines on the following maps show the proposed areas that will be compulsory collection under Option A and Option B.

Those properties currently receiving a rural service outside of the proposed compulsory areas will automatically receive the new service, but this will be optional.

Waimate urban: The proposed Waimate urban area collection route will service a total of 1,460 dwellings and includes an additional 297 dwellings to be added to the service. This includes commercial and business.

Glenavy: The proposed Glenavy collection route services a total of 58 dwellings and this includes an additional 35 dwellings to be added to the service.

Glenavy

The Waimate Resource Recovery Park will continue to remain open for all current and proposed services.

Open hours (remains the same):
Monday to Saturday 10.30am to 4.30pm
Sunday 12pm to 4.30pm
Closed on public holidays

Waimate District Council Rubbish and Recycling Services Consultation | 9

The proposed St Andrews collection route services 65 dwellings and includes an additional 5 dwellings to be added to the service.

The proposed Willowbridge collection route services 9 dwellings and includes an additional 5 dwellings to be added to the service.

The proposed Morven collection route services 15 dwellings and includes an additional 10 dwellings to be added to the service.

The proposed Makikihi collection route services 28 dwellings and includes an additional 12 dwellings to be added to the service.

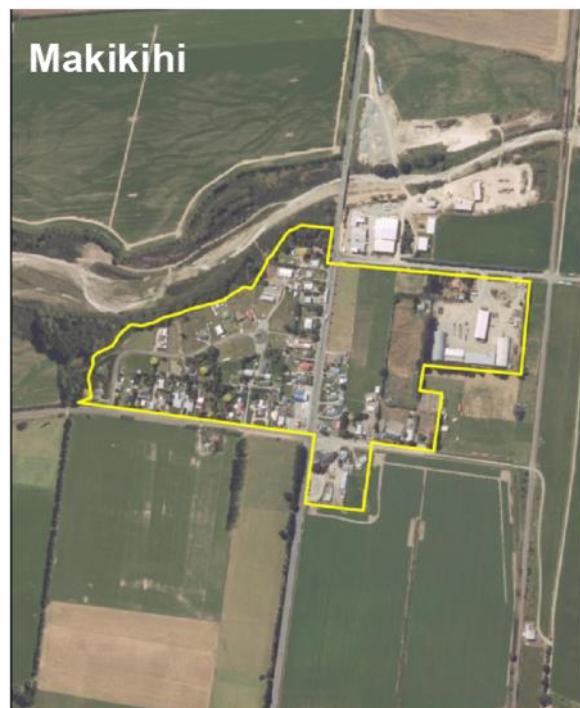10 | Waimate District Rubbish and Recycling Services Consultation Document

Submission Form
Rubbish and Recycling Services Consultation 2020

Your details

In order for this submission to be valid your name and contact details must be included.

Full name...

Organisation (if applicable)...

Physical address..

Postal address (if different to above)..

Email...Phone ....

Verbal submission

Do you wish to speak to your submission at the Council Hearing on Wednesday 3 June 2020?

☐ Yes   ☐ No

(If yes, please tell us your daytime phone number above and we will contact you to arrange a suitable time).

If you wish to make your submission in Te Reo Maori or NZ Sign Language, please contact Council to arrange this on 03 689 0000 or email submission@waimatedc.govt.nz

Privacy

All submissions are public unless you state otherwise. Do you want your details withheld? ☐ Yes

Your feedback

What is your preferred option for the Waimate District rubbish and recycling services?

☐ Option A   ☐ Option B   ☐ Option C

Do the proposed collection routes extend far enough across the district? (refer page 8)

☐ Yes   ☐ No

In the rural area, do we need more recycling drop-off stations?   ☐ Yes   ☐ No

If so, where? ....

....

Are the locations for the current rural drop-off stations appropriate?   ☐ Yes   ☐ No

If not, please provide details? ....

....

Are the hours for the Resource Recovery Park adequate?   ☐ Yes   ☐ No

If not, what hours would you like to see it operate?..

Waimate District Council Rubbish and Recycling Services Consultation | 11

Submission Form
Rubbish and Recycling Services Consultation 2020

Additional feedback

Do you have any other feedback in relation to rubbish and recycling in the Waimate District?

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Please use additional paper if needed.

How to give us your feedback

1   Go to the Council website: waimatedc.govt.nz and complete the online submission form.

2   Fill in this submission form and
   a. Post to Freepost, Waimate District Council, PO Box 122, Waimate 7960 (no stamp required) OR
   b. Scan your completed submission form and email it to us at: submission@waimatedc.govt.nz OR
   c. Drop it into the Council office, 125 Queen Street, Waimate.

All submissions are to reach Council by **4pm Friday 22 May 2020**.

Additional copies of this consultation document can be obtained from the Council office and on Council's website: www.waimatedc.govt.nz.

Key dates

| FRI 22 MAY | Consultation closes at **4pm** | WED 3 JUNE | Submission hearings | THU 4 JUNE | Council decisions |

12 | Waimate District Rubbish and Recycling Services Consultation Document

83 Special consultative procedure

(1) Where this Act or any other enactment requires a local authority to use or adopt the special consultative procedure, that local authority must—

(a) prepare and adopt—

(i) a statement of proposal; and

(ii) if the local authority considers on reasonable grounds that it is necessary to enable public understanding of the proposal, a summary of the information contained in the statement of proposal (which summary must comply with section 83AA); and

(b) ensure that the following is publicly available:

(i) the statement of proposal; and

(ii) a description of how the local authority will provide persons interested in the proposal with an opportunity to present their views to the local authority in accordance with section 82(1)(d); and

(iii) a statement of the period within which views on the proposal may be provided to the local authority (the period being not less than 1 month from the date the statement is issued); and

(c) make the summary of the information contained in the statement of proposal prepared in accordance with paragraph (a)(ii) (or the statement of proposal, if a summary is not prepared) as widely available as is reasonably practicable as a basis for consultation; and

(d) provide an opportunity for persons to present their views to the local authority in a manner that enables spoken (or New Zealand sign language) interaction between the person and the local authority, or any representatives to whom an appropriate delegation has been made in accordance with Schedule 7; and

(e) ensure that any person who wishes to present his or her views to the local authority or its representatives as described in paragraph (d)—

(i) is given a reasonable opportunity to do so; and

(ii) is informed about how and when he or she may take up that opportunity.

(2) For the purpose of, but without limiting, subsection (1)(d), a local authority may allow any person to present his or her views to the local authority by way of audio link or audiovisual link.

(3) This section does not prevent a local authority from requesting or considering, before making a decision, comment or advice from an officer of the local authority or any other person in respect of the proposal or any views on the proposal, or both.

17.2   ASSET MANAGEMENT LEVELS DETERMINATION 2020-2023

Author: **Leonardo Milani, Policy Analyst**

Authoriser: **Dan Mitchell, Asset Group Manager**

Attachments: 1.   **Asset Management Levels Determination 2020-2023** ⇩ 📕

PURPOSE

1.   For the Council to approve the Draft Asset Management Level Determination 2020-2023. The document sets the level of sophistication defined for the Waimate District Council (WDC) asset-based activities, and direct practice accordingly.

BACKGROUND

2.   Initially formulated by Waugh Infrastructure Management Ltd, as contracted by the WDC, the document determines levels of asset/activity management via the implementation of its utilised methodology, resulting in the determination of such levels as generally 'core'. Specifically, its analysis recognises that the 2 categories of activities (i.e. Roading, Utilities) incorporate elements of 'intermediate' levels while predominantly remaining at the 'core' level.

3.   Due to the document's triennial review timeframe (2017-2020), an internal consultation was conducted as to determine whether the foundations of the determination's analysis require modification. Such foundations are:

   a.   The utilised methodology, and

   b.   The determination of asset/activity management levels

4.   The conducted analysis yields the following corresponding observations:

   a.   The utilised methodology, a by-product of combining the prestigious International Infrastructure Management Manual (2015 Edition) with the New Zealand Infrastructure Asset Management Manual and Waugh Ltd's own methodology, is adequately robust and fulfils the minimum standards of compliance with current legislative and operational frameworks

   b.   The determination of the WDC asset/activity management levels for the projected timeframe of 2020-2023 remains equivalent to that of the 2017-2020 timeframe, thus at generally the 'core' level.

5.   It is thus concluded that the general principles and structure of the document related to the methodology, asset/activity management levels, and policy protocols may remain unchanged.

6.   The attached draft excludes minor modifications.

PROPOSAL

7.   Council is asked to approve the adoption of the Asset Management Level Determination 2020-2023.

Options

8.   Council may:

   a.   Adopt the Asset Management Level Determination 2020-2023, or

   b.   Adopt the Asset Management Level Determination 2020-2023 with amendments, or

   c.   Not adopt the Asset Management Level Determination 2020-2023 at this time.

ASSESSMENT OF SIGNIFICANCE

9.   The matter is not deemed significant under the Waimate District Council's Significance & Engagement Policy.

Territorial or Regional Council Regulations, Plans or Bylaws

10.   Waimate District Council Long Term Plan

11.   Waimate District Council District Plan

12.   Waimate District Council Infrastructure Strategy

Cost-effectiveness

13.   Consideration has been given to cost-effectiveness.

RECOMMENDATION

1.   That the Asset Management Level Determination 2020-2023 report is accepted; and

2.   That Council adopts the Asset Management Level Determination 2020-2023, as presented, or with amendments.

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Infrastructure Management

Waimate District Council

Selecting the Appropriate Asset Management Level

TABLE OF CONTENTS

EXECUTIVE SUMMARY

Asset and Activity Management Plan (AMP) have been developed as a tool for authorities to describe how they intend to manage assets, meet the level of service agreed with the community and understand expenditure and funding requirements. In the process of completing AMPs, a wide range of data is reviewed to support decision-making.

Authorities that manage assets on behalf of their communities need to define an appropriate level of asset management for the asset (e.g. a section of road, hall, pipe, etc.) and activity (e.g. Roading, Water Supply, Wastewater, Stormwater, Solid Waste, Parks & Reserves and Community Property, etc.) being managed.

The Office of the Auditor General (OAG) may review AMPs as part of the Long Term Plan (LTP) audit. The OAG have chosen to use the International Infrastructure Management Manuals (IIMM) as the benchmark to measure the standard of AMP. These documents have been complied with significant New Zealand industry input, and are recognised internationally as the best practice.

Within the 2015 IIMM, there is an opportunity for the authority to state the standard to which it will undertake asset and activity management - Section 2.1. The standards of the AMPs can be considered on a scale as follows:

• Aware	- Aware of need for AM and asset register
• Basic	- Basic information and broad assumptions
• Core	- Sufficient information and understanding for AM planning
• Intermediate	- transition between Core and Advanced practice
• Advanced	- most thorough AMP, accounting for all lifecycle elements

Assessing and adopting an appropriate AMP level will allow Council to identify what is Appropriate Best Practice for Waimate District, and therefore focus resources accordingly to enhance prudent management of the community infrastructure.

Waimate District Council adopted its first Policy for this purpose in 2009. This revision incorporates changes in the District and international Asset Management (AM) practices since then.

The purpose of this report is to outline the methodology used by Waimate District Council to select an appropriate AM Level for each of the District's asset groups.

This methodology is required to be logical and robust, and able to be used by Council to adopt a position or policy on the appropriate level of asset management sophistication for each asset group.

This report provides a template Asset Management Policy Statement for each asset group considered.

The template Asset Management Policy Statement includes the results of the Appropriate AM Level determination.

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Figure 1.2.1: The Total Asset Management Process
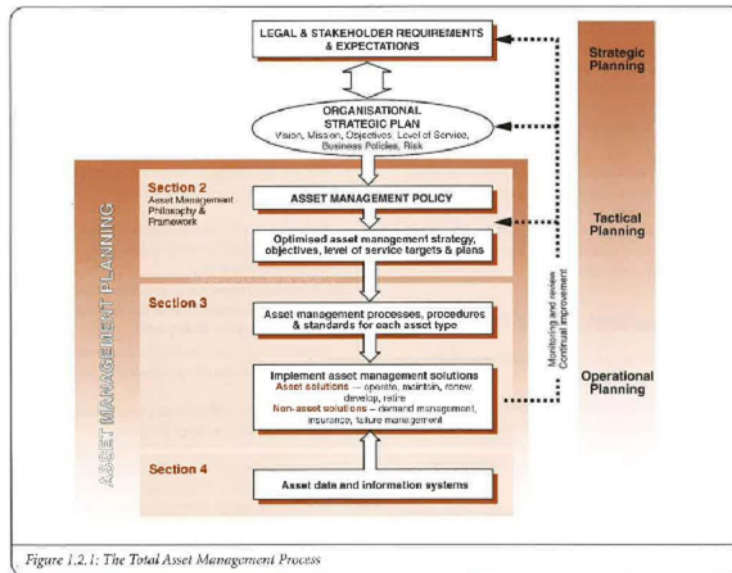
International Infrastructure Management Manual - Version 3.0, 2006 ©   Page 1.6

Figure: IIMM 'The Total Asset Management Process'

Waimate District Council staff with the assistance of Waugh Infrastructure Management Ltd, established the base level at which they consider the AMPs should be delivered to the community. This level has been assessed against a range of parameters:

- District and Community Populations
- Issues affecting the district and each activities
- The cost and benefits to the community
- Legislative requirements
- The size, condition, and complexity of the assets
- The risk associated with failures
- The skills and resources available to the organisation
- Customer expectation

Having considered these factors, for each asset/activity group, it is apparent that Waimate District Council should be managing its assets at the following levels:

- Roading   Core, some intermediate elements as per national req.
- Water   Core, some intermediate elements
- Wastewater   Core, some intermediate elements
- Stormwater   Core
- Solid Waste   Core
- Parks & Recreation   Core
- Community Property   Core

For the Roading activity, the minimum NZ Transport Agency requirements for practice will be met.

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1.0 INTRODUCTION

Authorities that manage assets on behalf of their communities need to define an appropriate level of asset management for the asset or activity being managed. For some authorities and asset/activity groups this may not necessarily be fully advanced asset management practices.

Section 2.1 of the IIMM 2015 contains a section regarding the development of asset management framework and asset management policy, quoted below:

"The AM Framework typically includes an AM Policy, AM Strategy and AM Plan. These documents drive the implementation of AM in alignment with the organisation's strategic objectives. The AM Policy should provide clear direction as to the appropriate focus and level of AM practice expected. This level should reflect the strategic business objectives as well as meeting legal requirements, community needs and available resources. The appropriate AM level will also depend on the costs and risks associated with the activity. The AM Policy should be reviewed regularly so that it remains relevant to the changing business environment of the organisation."

Selecting the Appropriate Level of AM Practice (from IIMM 2011 Section 2.1, page 2.7)

Section 2.1 of the IIMM contains a section regarding selecting the Appropriate Level of Asset Management Practice. Parts of this Section are replicated below:

"The degree of complexity of AM will differ according to an organisation's corporate needs."

Deciding on the appropriate AM level is a key strategic decision to be made for the organisation. Significant investment in systems, data, and processes is required to achieve advanced AM. Even within an organisation or activity there are likely to be different levels of sophistication sought......'

Some organisations may not need to progress beyond a core approach. The decision will depend on a number of factors, including:
- The costs and benefits to the organisation
- Legislative and other mandated requirements
- The size, condition and complexity of the assets
- The risk associated with failures
- The skills and resources available to the organisation
- Customer expectations

A risk based approach can be applied to determine the appropriate level of AM practice.

1.1 Purpose of this Report

The purpose of this report is to outline the methodology used by Waimate District Council to select an Appropriate AM Level for each of the District's asset groups.

This methodology is required to be logical and robust, and able to be used by Council to adopt a position or policy on the appropriate level of asset management sophistication for each asset group.

The methodology and Section 2.1 Appropriate AM Level adopted will be scrutinised by Council's Auditors and the methodology, and subsequent determination must be robust enough to withstand this scrutiny. Assessing and adopting an Appropriate AM Level will allow Council to focus resources accordingly and enhance prudent management of community infrastructure.

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The requirement for an Asset Management Policy is outlined in the IIMM, Section 2.1. How the AM Policy fits within the asset management process as shown in Figure 1.2.1 from the IIMM (2006 edition) below.

This report in Section 2.0 provides a template Asset Management Policy Statement for each asset group considered. The template Asset Management Policy Statement includes the results of the Appropriate AM Level determination.

Figure 1.1: IIMM (2006) "The Total Asset Management Process"

Figure 1.2.1: The Total Asset Management Process
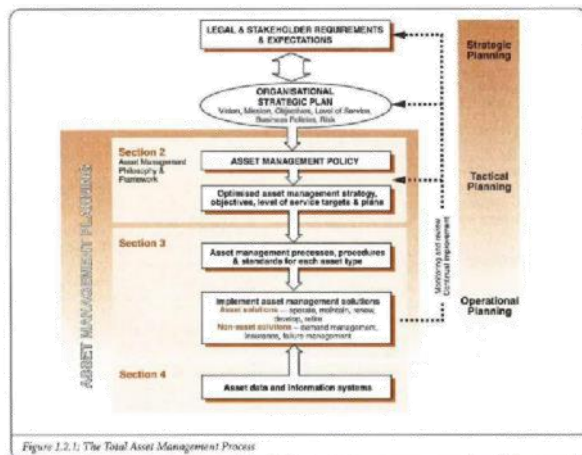
International Infrastructure Management Manual - Version 3.0, 2006 ©   Page 1.6

1.2   Assessment Methodology

The assessment methodology, developed by Waugh Infrastructure Management Limited, in conjunction with a number of local authority partners, is as follows:
- Adopt a risk-based approach using district population and largest town size as a proxy for risk and an initial screen
- Determine an initial position based on the population risk screening
- Modify initial position based on the District wide risk factors
- Examine each asset group and conduct a further analysis based on the Section 2.1.3 factors of:
  - Costs and Benefits
  - Legislative Requirements
  - Size, condition, complexity of assets
  - Risks associated with failures
  - Organisational skills and resources
  - Customer expectations
  - Sustainability
- Adopt a Final Appropriate AM Level position for each asset group based on the detailed factor analysis

This methodology is included in the IIMM (2015) as Case Study 2.3 (page 2.11) as shown below.
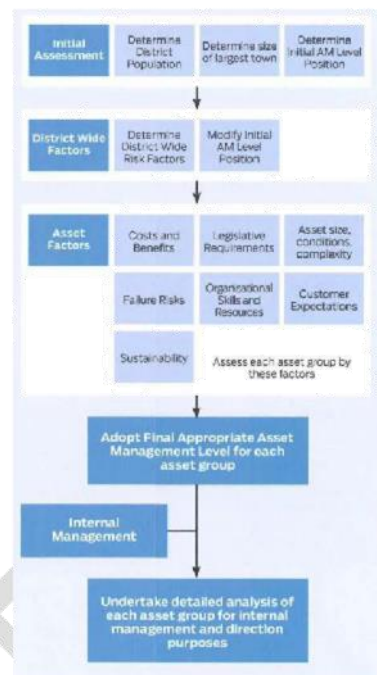
Figure 1.2: Methodology for Determining Appropriate Asset Management Level

Waugh Infrastructure Management has developed a subsequent methodology – the AMP Review/Compliance Status Report that:
- Uses a detailed analysis table to plot the adopted AM Policy position
- Uses the detailed analysis of asset groups to identify gaps between adopted appropriate practice and current practice

The AMP Review/Compliance Status Report does not form part of this report.

1.3   Definition of "Intermediate" Asset Management Practice

This report uses the concept of 'Intermediate' asset management practice. The IIMM (2015) identifies five levels of asset management practice; Aware, Basic, Core, Intermediate, and Advanced. For many asset-owning authorities, their desired practice levels, based on their infrastructure drivers will be above core practice (as defined in the IIMM) but may well be below Advanced asset management practice. For this situation the 'Intermediate' asset management practice is required. Intermediate Asset Management Practice is defined in some detail in the IIMM (2011 and 2015).

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The genesis of the thinking around this level of asset management practice goes back to the New Zealand Infrastructure Asset Management Manual (June 1998), which was superseded by the IIMM. Section 2.3 of the 2006 Edition covered the topic of Basic and Advanced Asset Management. The table on page 2.22 suggested six stages of asset management improvement, as below:

Stage 1:   Strategy Development
Stage 2:   Basic Asset Register
Stage 3:   Basic Technical Asset Management
Stage 4:   Improved Maintenance Management
Stage 5:   Introduce Advanced Asset Management Techniques
Stage 6:   System Optimisation (fully optimised decision making and advanced asset
                     management practice)

This approach outlined in the 1998 Manual anticipated graduated stages of improving asset management practice. 'Intermediate' asset management practice covers Stage 4 and 5 using this approach.

So what is 'Intermediate' asset management practice? It is:
 - Core, plus one or two advanced categories fully compliant
 - Core, plus with over 50% of advanced categories fully compliant
 - Core, plus some advanced categories substantially compliant
 - Core, plus most advanced categories, substantially or fully compliant.

Table 2.1.2 in the IIMM (2015) provides outline of definitions of Aware, Basic Core, Intermediate, and Advanced asset management.

Developing New Zealand practice in 2016 is to use Table 2.1.2 in the IIMM (2015) in conjunction with the NZ Treasury Asset Management Maturity scoring sheets to determine an asset management maturity assessment for each major asset or activity area in Council.

This analysis has been completed as part of the 2016 review of the Waimate District Council Asset Management Policy, with the results summarised in APPENDIX D.

In comparison with the previous 2017 assessment of appropriate practice, the results are very similar as should be expected. The analysis covers much of the same topics as the previous 2017 review, with the results grouped as follows:
 - Understanding the requirements
 - Lifecycle planning
 - Asset Management Enablers

The IIMM 2015 asset management maturity assessment confirms that Waimate District Council asset management should broadly be at the Core level of practice, and highlights levels of Intermediate practice required in specific areas for Roading and Utilities (Water, Wastewater and Stormwater):
 - Demand Forecasting
 - Asset Register Data
 - Asset Condition
 - Operational Planning
 - Capital Works Planning
 - Financial and Funding Strategies
 - Service Delivery Models

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2.0   ASSET MANAGEMENT POLICY STATEMENTS

The Asset Management Policy Statements for the Activities assessed follow.

For the purposes of this policy, and further to the information set out in Section 1.0, three levels of asset management practice are defined as follows:

'Core' Asset Management Practice

'Core' asset management practice is basic technical asset management planning undertaken at a level designed to meet minimum legislative and organisational requirements for financial planning and reporting. 'Core' practice provides technical management outputs for current levels of service, demand management, asset lifecycles, asset forward replacement programmes, new capital expenditure, and associated cash flow projections.

'Intermediate' Asset Management Practice

'Intermediate' asset management practice is undertaken at a level between 'Core' and 'Advanced' practice. The focus is to build on the basic technical asset management planning of 'Core' practice by introducing improved maintenance management and more advanced asset management techniques (as appropriate). Further use is made of risk management, asset lifecycle management, and service standard optimisation techniques.

'Advanced' Asset Management Practice

'Advanced' asset management practice is system optimisation planning undertaken to optimise activities and programmes to meet agreed current and future service standards. This is achieved through the development of management tactics based on the collection and analysis of key information on asset condition, performance, demand for service, lifecycle costs, risk costs, and asset lifecycle treatment options.

Purpose of the Detailed Factor Assessment Tables

The tables that follow have been prepared for providing a template for Council's Asset Management Policy, or to be inserted (in part) into the introduction of an Asset Management Plan. The Tables provide assessment of an appropriate level of asset management practice for each asset group. The initial population and township-wide risk screens suggest 'Core' asset management practice for Waimate District Council asset groups.

The tables assesses factors and determines for the factors being assessed whether asset management practice should be **higher** (i.e. tending towards 'Intermediate' practice), **same** (as the initial screening assessment), or **lower** (i.e. tending toward 'Core/Basic' practice).

The Core is the minimum acceptable level for Infrastructure Asset Management of public services in New Zealand.

The initial risk screen and factor assessments are summarised in a **Final Asset Management Level** assessment that then provides a broad target for asset management practice development in the asset group being considered.

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AM Maturity

The results of the AM Maturity assessment have been appended to the detailed and final asset management level tables, and indicate specific AM areas where appropriate practice is assessed as above core.

2.1   General Policy Statement

The Waimate District Council Asset Management Policy Statement relating to all its infrastructure activities is outlined below. It is intended that this Policy Statement be added to the introduction of the Asset Management Plans, to set the direction of the overall Asset Management process.

2.1.1   Objective of the Asset Management Policy

The objective of the Waimate District Council's Asset Management Policy is to ensure that Council's service delivery is optimised to deliver the purpose of local government (as defined in the Local Government Act 2002) and agreed community outcomes and levels of service, to manage related risks, and to optimise expenditure over the entire life cycle of the service delivery, using appropriate assets and non-asset solutions as required.

The Asset Management Policy requires that the management of assets be in a systematic process to guide planning, acquisition, operation and maintenance, renewal and disposal of the required assets.

Delivery of service is required to be sustainable in the long term and deliver on the purpose of local government and Council's economic, environmental, social, and cultural objectives.

2.1.2   Asset Management Policy Principles

Council will adhere to the following principles in its planning:

- Ensuring that service delivery needs form the basis of activity management Effective consultation will be used to determine appropriate Levels of Service
- Plans will reflect the strategy of Council and drive its operations
- Ensuring transparent and accountable activity management decision making
- Council will be aware of the need to invest in activity management in order to continue delivering services effectively
- Ensuring the integration of activity management within Council's strategic, tactical, and operational planning frameworks
- Activity management will be integrated with other planning including the integration of activity management with corporate, financial, business and budgetary planning using activity management plans as summarised in Council's LTP
- Informed decision making taking a lifecycle management and inter-generational approach to activity planning
- Whole-of-life costs will be considered before initiating any major works, significant renewals of assets and the introduction of new activities
- Ensuring the use of appropriate decision making tools and criteria on a whole of network or individual project basis including, as appropriate, the use of lifecycle benefit and cost analysis, risks to assets, business case development, optimised decision making, and multi-criteria analysis
- Sustainability, including principles of sustainable economic development, will be integrated into all aspects of AMP development. Sustainable management will be focused on, providing for present needs whilst sustaining resources for future generations
- The implications of changes in demand and the potential to manage demand will be taken into account as far as resources allow
- Structure planning providing input and direction and taking account of the Community Outcomes
- Reporting on assets and asset management performance as appropriate for management, benchmarking and mandatory reporting requirements
- Consideration will be given to what is the most useful data including type quality and frequency that needs to be collected to form plans and demonstrate achievement of levels of service

- Council's Procurement Policy and Strategy will be followed
- Integration with neighbouring authorities and other agencies (e.g. New Zealand Transport Agency, etc.)
- Co-ordination with external network utilities

2.1.3   Coverage

The Local Government Act 2002 sets out as a minimum the groupings that must be separately reported, those affecting Waimate District Council are:
- Roading
- Water Supply
- Wastewater
- Stormwater

These along with the groups listed below are all to be covered by Asset Management Plans and this Policy:

- Solid Waste
- Parks and Reserves
- Community Property

2.1.4   Policy Linkages to Other Plans

This Asset Management Policy links to:
- Council's LTP
- the individual asset management plans for Council's infrastructural assets
- the Financial Strategy and funding Policies
- the Infrastructure Strategy
- the District Plan

New Zealand Transportation Agency asset management requirements form this Policy's minimum activity management practice requirements for Roading assets.

2.1.5   Asset Management Implementation Strategy

Council staff have completed a detailed analysis of appropriate activity management maturity and practice within the guidance offered by this Policy. This analysis has examined asset description, levels of service, managing growth, risk management, asset lifecycle decision making, financial forecasts, planning assumptions and confidence levels, improvement programmes, use of qualified persons and Council commitment to asset management planning.

From this detailed analysis Council's level of achievement and any gaps in appropriate activity management practice were identified.

Activity management practice gaps that were noted have been transferred to the Activity Management Improvement Programme for action.

The achievement and effectiveness of the improvement items is included in annual work plans and monitored by the Assets Group.

2.2   Roading

The Waimate District Council Asset Management Policy Statement for the Roading Activity is outlined below. It is intended that this Policy Statement be added to the introduction of the Activity Management Plan, to set the direction of the Roading Asset Management process.

This Asset Management Policy sets the appropriate level of asset management practice for Council's Roading Activity as 'Core' practice, with some intermediate elements as highlighted by the AM Maturity Assessment.

2.2.1   Policy Linkages to Other Plans

This Asset Management Policy links to, Council's LTP, the Canterbury Regional Land Transport Strategy, and Roading Activity Plan. New Zealand Transportation Agency asset management requirements form this Policy's minimum asset management practice requirements.

2.2.2   Structured Assessment of Asset Management Practice

Council has undertaken a structured assessment of the appropriate level of asset management practice for the Roading assets. This structured assessment follows the guidance provided in Section 2.1 of the IIMM 2011 and Table 2.1.2 IIMM 2015. The results of this assessment are shown in Table 2.1: Roading Activity Factor Assessment Results below.

Table 2.1: Roading Activity Factor Assessment Results

Criteria	Assessment	Commentary
Population	Core	The initial population risk screen for urban areas, all township populations, and total district population showed that asset management practice should be 'Core'
District Wide Risks	Core	Based on the identified district wide risk factors, the suggested level of appropriate asset management practice should be 'Core'
Costs and Benefits	$4.2 M (28% of total expenditure)	The roading budget is the largest in Council and represent higher risks if AM practice is not at an appropriate level. These budgets also allow more scope to develop asset management practice as appropriate
Legislative Requirements	Compliance approach	Waimate District Council policy is to meet minimum legislative requirements and Council follows clear directives within timeframes acceptable to the community. Council will advocate on behalf of the community where legislation is deemed inappropriate
Size, Condition, Complexity of Assets	Typical of a small urban and rural authority	There are a range of assets spread across the large district. In particular the roading network and rural water supplies are extensive with only a small rating base. While the assets are not highly complex the isolated nature of the communities requires a specific approach
Criteria	Assessment	Commentary
Risks Associated with Failures	Moderate level of risk	Overall risks associated with asset failure have been assessed to be moderate. There are some critical routes, bridges and demand issues pending
Organisational Skills and Resources	Average	Waimate District Council comprises a small organisation serving one main urban centre, small communities and a large rural area. The success of the organisation relies on key staff. Experienced managers cover operations and planning roles. Specialist technical work is outsourced

Services are delivered through a combination of in-house teams and Contractors. This approach would be consistent with a 'Core' approach |

Commented [LM1]: To be updated.

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Customer Expectations	Average	The District has a range of community assets that are of a high standard and the community is justifiably proud of them, and has high expectations of the development and maintenance. There is some variation in expectations across the district, particularly between Waimate township and more remote rural areas Overall customer expectations are judged to be medium and the trend of increasing customer expectation is likely. This suggests a requirement for well developed asset management practice to consistently meet community expectations in the long term
Sustainability	No Corporate Policy at this stage, part of AMP and planning process at activity level	Waimate District Council is following the sustainability regimes of the Land Transport Management Act 2003, NZTS and RLTS requirements (including subsequent amendments and revisions) for Roading; otherwise Council is still in the process of developing its sustainability policies. This will include incorporating legislative changes and the any national or regional policies or plans Any impact of these on asset management practice will be incorporated into the next review of Asset Management Policies
Final AM Level	**Core**	**Analysis of factors suggests that asset management practice should be Core**
AM Maturity Assessment	**Core with some Intermediate**	**Generally core practice. Intermediate practice identified for Demand Forecasting, Asset Register Data, Asset Condition, Operational Planning, Capital Works Planning, Financial and Funding Strategies and Service Delivery Models in line with national directives and requirements**

2.3   Utilities - Water Supply, Wastewater and Stormwater

These Utilities comprise Urban and Rural Community Water Supplies, Wastewater and Stormwater. It is intended that this Policy Statement be added to the introduction of the Activity Management Plan, to set the direction of the Utilities - Water Supply, Wastewater and Stormwater Asset Management process.

This Asset Management Policy sets the appropriate level of asset management practice for Council's Utilities - Water Supply, Wastewater and Stormwater Activity as 'Core' practice.

2.3.1   Policy Linkages to Other Plans

This Asset Management Policy links to: Council's LTP, Utilities Asset Management Plans, and the Water and Sanitary Services Assessment. An approach where planning is based around communities of interest is favoured, as this aims to promote an integrated management regime and encourage efficiencies across the district's water schemes.

2.3.2   Structured Assessment of Asset Management Practice

Council has undertaken a structured assessment of the appropriate level of asset management practice for the Utilities assets. This structured assessment follows the guidance provided in Section 2.1 of the IIMM 2011 and Table 2.1.2 IIMM 2015. The results of this assessment are shown in Table 2.2: Utilities – Water Supply, Wastewater and Stormwater Factor Assessment Results below:

Table 2.2: Utilities – Water Supply, Wastewater and Stormwater Factor Assessment Results

Criteria	Assessment	Commentary

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Population	Core	The initial population risk screen for urban areas, all township populations, and total district population showed that asset management practice should be 'Core'
District Wide Risks	Core	Based on the identified district wide risk factors, the suggested level of appropriate asset management practice should be 'Core'
Costs and Benefits	$2.6 M (18% of total expenditure)	The combined Utilities Water Supply, Wastewater and Stormwater budgets comprise the second largest in Council and represent higher risks if AM practice is not at an appropriate level. These budgets also allow more scope to develop asset management practice as appropriate
Legislative Requirements	Compliance approach –	Waimate District Council policy is to meet minimum legislative requirements and Council follows clear directives within timeframes acceptable to the community. Council will advocate on behalf of the community where legislation is deemed inappropriate There are increasing water quality requirements (NZDWS) and water quantity issues arising, along with increasing demands from LWRP and NRRP
Size, Condition, Complexity of Assets	Large network, otherwise typical	There are a range of assets spread across the large district. In particular the roading network and rural water supplies are extensive with only a small rating base. While the assets are not highly complex the isolated nature of the communities requires a specific approach
Criteria	**Assessment**	**Commentary**
Risks Associated with Failures	Moderate to High	Overall risks associated with asset failure have been assessed to be average apart from water and wastewater and drainage. Failure of water systems would lead to a range of issues, wastewater system failure has public health and environmental consequences. This suggests a higher level of risk management practice for water and wastewater, while drainage is integral to manage flood risk. Public Health risk management is already legislatively mandated. The risk of flooding is high and the district's drainage systems are essential to the well-being of the community
Organisational Skills and Resources	Average	Waimate District Council comprises a small organisation serving one main urban centre, small communities and a large rural area. The success of the organisation relies on key staff. Experienced managers cover operations and planning roles. Specialist technical work is outsourced Services are delivered through a combination of in-house teams and Contractors. This approach would be consistent with a 'Core' approach
Customer Expectations	Average	The District has a range of community assets that are of a high standard and the community is justifiably proud of them, and has high expectations of the development and maintenance. There is some variation in expectations across the district, particularly between Waimate township and more remote rural areas Overall customer expectations are judged to be medium and the trend of increasing customer expectation is likely. This suggests a requirement for well-developed asset management practice to consistently meet community expectations in the long term.

Commented [LM2]: To be updated.

Sustainability	No Corporate Policy at this stage, part of AMP and planning process at activity level	Council is still in the process of developing its sustainability policies. This will include incorporating legislative changes and the any national or regional policies or plans Any impact of these on asset management practice will be incorporated into the next review of Asset Management Policies
Final AM Level	**Core**	**Analysis of factors suggests that asset management practice should be Core**
AM Maturity Assessment	**Core with some intermediate**	**Generally core practice. Intermediate practice identified for Demand Forecasting and Risk Management**

2.4   Solid Waste

The Waimate District Council Asset Management Policy Statement for the Solid Waste Activity is outlined below. It is intended that this Policy Statement be added to the introduction of the Activity Management Plan, to set the direction of the Solid Waste Asset Management process.

This Asset Management Policy sets the appropriate level of asset management practice for Council's Solid Waste Activity as 'Core' practice

2.4.1   Policy Linkages to Other Plans

This Asset Management Policy links to Council's LTP and Waste Management and Minimisation Plan 2018-2028.

2.4.2   Structured Assessment of Asset Management Practice

Council has undertaken a structured assessment of the appropriate level of asset management practice for the Utilities assets. This structured assessment follows the guidance provided in Section 2.1 of the IIMM 2012 and Table 2.1.2 IIMM 2015. The results of this assessment are shown in Table 2.3: Solid Waste Factor Assessment Results below:

Table 2.3: Solid Waste Factor Assessment Results

Criteria	Assessment	Commentary
Population	Core	The initial population risk screen for urban areas, all township populations, and total district population showed that asset management practice should be 'Core'
District Wide Risks	Core	Based on the identified district wide risk factors, the suggested level of appropriate asset management practice should be 'Core'
Costs and Benefits	$1 M (7% of total expenditure)	The Utilities – Solid Waste budget is a smaller proportion of Council expenditure and represent low risks if AM practice is not at an appropriate level
Legislative Requirements	Compliance approach	Waimate District Council policy is to meet minimum legislative requirements and Council follows clear directives within timeframes acceptable to the community. Council will advocate on behalf of the community where legislation is deemed inappropriate

Commented [LM3]: To be updated.

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| Size, Condition, Complexity of Assets | Minor | There are few assets involved in this activity and much of the cost relates to the collection of household rubbish and recyclables |
| Risks Associated with Failures | Minor | Overall risks associated with asset failure have been assessed to be low |

Criteria	Assessment	Commentary
Organisational Skills and Resources	Average	Waimate District Council comprises a small organisation serving one main urban centre, small communities and a large rural area. The success of the organisation relies on key staff. Experienced managers cover operations and planning roles. Specialist technical work is outsourced Services are delivered through a combination of in-house teams and Contractors. This approach would be consistent with a 'Core' approach
Customer Expectations	Average	The District has a range of community assets that are of a high standard and the community is justifiably proud of them, and has high expectations of the development and maintenance. There is some variation in expectations across the district, particularly between Waimate township and more remote rural areas Overall customer expectations are judged to be medium and the trend of increasing customer expectation is likely. This suggests a requirement for well developed asset management practice to consistently meet community expectations in the long term
Sustainability	No Corporate Policy at this stage, part of AMP and planning process at activity level	Council is still in the process of developing its sustainability policies. This will include incorporating legislative changes and the any national or regional policies or plans Any impact of these on asset management practice will be incorporated into the next review of Asset Management Policies
Final AM Level	Core	Analysis of factors suggests that asset management practice should be Core
AM Maturity Assessment	Core	Core practice for all elements of AM There are few assets and the activity revolves around outsourcing the service.

2.5   Parks & Reserves

The Waimate District Council Asset Management Policy Statement for the Parks and Reserves Activity is outlined below. It is intended that this Policy Statement be added to the introduction of the Activity Management Plan, to set the direction of the Parks and Reserves Asset Management process.

This Asset Management Policy sets the appropriate level of asset management practice for Council's Parks and Reserves Activity as 'Core' practice

2.5.1   Policy Linkages to Other Plans

This Asset Management Policy links to Council's LTP and Reserve Management Plan 2019.

2.5.2   Structured Assessment of Asset Management Practice

Council has undertaken a structured assessment of the appropriate level of asset management practice for the Utilities assets. This structured assessment follows the guidance provided in Section 2.1 of the IIMM 2011 and Table 2.1.2 IIMM 2015. The results of this assessment are shown in Table 2.4: Parks and Reserves Factor Assessment Results below:

Table 2.4: Parks and Reserves Factor Assessment Results

Criteria	Assessment	Commentary
Population	Core	The initial population risk screen for urban areas, all township populations, and total district population showed that asset management practice should be 'Core'
District Wide Risks	Core	Based on the identified district wide risk factors, the suggested level of appropriate asset management practice should be 'Core'
Costs and Benefits	$1.1 M (8% of total expenditure)	The Parks and Reserves budget is a smaller proportion of Council expenditure and represent low risks if AM practice is not at an appropriate level
Legislative Requirements	Compliance approach	Waimate District Council policy is to meet minimum legislative requirements and Council follows clear directives within timeframes acceptable to the community. Council will advocate on behalf of the community where legislation is deemed inappropriate
Size, Condition, Complexity of Assets	Minor	Formal Gardens, native planted areas, Tree Park, Cemeteries, Camping Areas, Parks & Recreation venues
Risks Associated with Failures	Minor	Overall risks associated with asset failure have been assessed to be low
Criteria	**Assessment**	**Commentary**
Organisational Skills and Resources	Average	Waimate District Council comprises a small organisation serving one main urban centre, small communities and a large rural area. The success of the organisation relies on key staff. Experienced managers cover operations and planning roles. Specialist technical work is outsourced Services are delivered through a combination of in-house teams and Contractors. This approach would be consistent with a 'Core' approach
Customer Expectations	Average	The District has a range of community assets that are of a high standard and the community is justifiably proud of them, and has high expectations of the development and maintenance. There is some variation in expectations across the district, particularly between Waimate township and more remote rural areas Overall customer expectations are judged to be medium and the trend of increasing customer expectation is likely. This suggests a requirement for well-developed asset management practice to consistently meet community expectations in the long term

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Sustainability	No Corporate Policy at this stage, part of AMP and planning process at activity level	Council is still in the process of developing its sustainability policies. This will include incorporating legislative changes and the any national or regional policies or plans Any impact of these on asset management practice will be incorporated into the next review of Asset Management Policies
Final AM Level	**Core**	**Analysis of factors suggests that asset management practice should be Core**
AM Maturity Assessment	**Core**	**Core practice for all elements of AM** **The assets are relatively simple, and in-house resources are able to manage them appropriately with specialist advice where required** **(Assessed in combination with Community Property)**

2.6   Community Property

The Waimate District Council Asset Management Policy Statement for the Community Property Activity is outlined below. It is intended that this Policy Statement be added to the introduction of the Activity Management Plan, to set the direction of the Community Property Asset Management process

This Asset Management Policy sets the appropriate level of asset management practice for Council's Solid Waste Activity as 'Core' practice.

2.6.1   Policy Linkages to Other Plans

This Asset Management Policy links to Council's LTP and the Property Asset Management Plan.

2.6.2   Structured Assessment of Asset Management Practice

Council has undertaken a structured assessment of the appropriate level of asset management practice for the Utilities assets. This structured assessment follows the guidance provided in Section 2.1 of the IIMM 2011 and Table 2.1.2 International IIMM 2015. The results of this assessment are shown in Table 2.5: Community Property Factor Assessment Results below.

Table 2.5: Community Property Factor Assessment Results

Criteria	Assessment	Commentary
Population	Core	The initial population risk screen for urban areas, all township populations, and total district population showed that asset management practice should be 'Core'
District Wide Risks	Core	Based on the identified district wide risk factors, the suggested level of appropriate asset management practice should be 'Core'
Costs and Benefits	$0.7 M (5% of total expenditure)	The Community Property budget is a smaller proportion of Council expenditure and represent low risks if AM practice is not at an appropriate level
Legislative Requirements	Compliance approach	Waimate District Council policy is to meet minimum legislative requirements and Council follows clear directives within timeframes acceptable to the community. Council will advocate on behalf of the community where legislation is deemed inappropriate

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Size, Condition, Complexity of Assets	Minor	Typical combination of buildings and land used for Council operations
Risks Associated with Failures	Minor	Overall risks associated with asset failure have been assessed to be low

Criteria	Assessment	Commentary
Organisational Skills and Resources	Average	Waimate District Council comprises a small organisation serving one main urban centre, small communities and a large rural area. The success of the organisation relies on key staff. Experienced managers cover operations and planning roles. Specialist technical work is outsourced Services are delivered through a combination of in-house teams and Contractors. This approach would be consistent with a 'Core' approach
Customer Expectations	Average	The District has a range of community assets that are of a high standard and the community is justifiably proud of them, and has high expectations of the development and maintenance. There is some variation in expectations across the district, particularly between Waimate township and more remote rural areas Overall customer expectations are judged to be medium and the trend of increasing customer expectation is likely. This suggests a requirement for well developed asset management practice to consistently meet community expectations in the long term
Sustainability	No Corporate Policy at this stage, part of AMP and planning process at activity level	Council is still in the process of developing its sustainability policies. This will include incorporating legislative changes and the any national or regional policies or plans Any impact of these on asset management practice will be incorporated into the next review of Asset Management Policies
Final AM Level	Core	Analysis of factors suggests that asset management practice should be Core
AM Maturity Assessment	Core	Core practice for all elements of AM There are no complex assets, and in-house resources are able to manage them appropriately with specialist advice where required (Assessed in combination with Parks and Reserves)

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APPENDIX A   INITIAL RISK SCREEN – DISTRICT POPULATION
A1   Overview of New Zealand City and Town Populations

In order to undertake an initial assessment on the district population, Waugh Infrastructure Management Ltd extracted the New Zealand city and town populations from the WINZ data base. Analysis of this data shows that New Zealand is a nation of few metropolitan areas, a range of large towns and small cities and many small towns. From this analysis it is suggested an initial determination of Core and Comprehensive AM Levels can be made.

It is acknowledged that while populations provide a guide for community activities, it is less appropriate for broader activities such as Roading.

Appendix Table 1: Extraction of New Zealand City and Town Populations from WINZ Database

Number Towns	Population	WIML Suggested Initial AM Level	Notes
6	90,000 and above	Advanced	Auckland Council counted as one authority
68	10,000 – 90,000	Intermediate	
38	5,000 – 10,000	Core	Based on WS schemes incl. rural
551	Less than 5,000	Core	

Compiled from: http://www.drinkingwater.org.nz/supplies/Suppliescompliance.asp 12 March 2014

A2   New Zealand Main and Secondary Urban Areas

No communities within Waimate District, listed within the main and secondary urban areas identified by Statistics NZ. This suggests that based on a population risk screen, Waimate's urban areas should be aiming for Core as an appropriate level of asset management practice.

A3   Analysis of Community Population

The reality of New Zealand local authority asset management practice is that it is conducted at a Council level in a similar manner. The requirements of the largest population centre in the Council tends to set the appropriate practice level. Waimate District Council's town population is shown in the table below. Waimate is the largest town, and based on the initial determination in Section 2.1 suggests a 'Core – Intermediate' asset management practice level is appropriate.

Appendix Table 3: Waimate District Council

Town Rank (All NZ Towns)	Town Name	WINZ Population	WIML Assessed Initial AM Practice Level
166	Waimate	3,000	Core
239	Hook/Waituna Rural	1,350	Core
336	Lower Waihao Rural	600	Core
400	Otaio/Makikihi Rural	430	Core
431	Waikakahi Rural	360	Core
585	Hakataramea Valley Rural	165	Core
621	Waihaorunga Rural	141	Core
648	Cannington/Motukaika Rural	120	Core

Source: http://www.drinkingwater.org.nz/supplies/SupplyCysForWildcard.asp   (13 Feb 2017)

A4   Analysis by District Total Population

Analysis of the 2013 Census results of Council total population gives the following results for the following sample Councils. The sample set has been selected to illustrate a range of different sized Councils.

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Appendix Table 4: Total District Population

Council	2013 Population	Council Size Rank (67 Authorities)	AM Practice Level Indicated by Size (WIML Estimated Assessment)
Tasman	47,154	20	Intermediate with demand drivers from District growth
Timaru	43,932	24	Intermediate, with near comprehensive in some areas/activities
Ashburton	31,041	33	Intermediate for Utilities, Core for Solid Waste and Parks & Property
Gore District	12,033	51	Core
Waimate District	**7,930**	**63**	**Core**
Mackenzie District	4,158	65	Core

Source:http://www.stats.govt.nz/browse_for_stats/population/census_counts/2013CensusUsuallyResidentPopulationCounts_HOTP2013Census.aspx   15 October 2013

The mix of total District population and the size of the largest population centre provides a good initial screen for the risks associated with asset service delivery. It is acknowledged that Roading is managed on a network and regional basis and the relevance of population is lower than for other activities. This initial screen will be modified by consideration of the other factors as detailed in Section APPENDIX B.

A5   Initial Risk Screen – Conclusion

Based on this initial screen of urban areas, all council population centres and total district population the suggested level of appropriate asset management practice for Waimate District Council is 'Core'.

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APPENDIX B   CONSIDERATION OF DISTRICT WIDE RISK FACTORS

B1   Identification of District Wide Factors

Following the initial population screen based on appropriate practice for the largest population centre in Waimate District, further consideration needs to be given to other District Wide Risk Factors that may affect the initial assessment of 'Core'.

The District Wide Risk factors identified in a workshop of Waimate District Council's Asset Managers on 27 January 2017 include:

1. Hunter Downs Irrigation (likely)
2.1. DWS Compliance
3.2. Land use change/Dairy conversions
4.3. Land use change - Increased demand for stock water/dairy farm operations (new and increases)
5.4. Expansion of on-farm Irrigation
6.5. Demonstrating value for money
7.6. Balancing Levels of Service/Funding
8.7. Cost recovery associated with developments (whether they proceed or not)
9.8. Urban development costs where individual allotments already exist
10.9.   Sustainability of urban development around large but short-term projects

The relative importance of these factors was considered as high, medium or low in terms of Waimate District, the results are shown below.

Table 2.6: Identification of District Wide Risk Factors

Factors	Impact			Rank
Hunter Downs Irrigation (likely)	High			1
DWS Compliance	High			2
Land use change/Dairy conversions		Medium		3
Land use change - Increased demand for stock water/dairy farm operations (new and increases)		Medium		4
Expansion of on-farm Irrigation		Medium		5
Demonstrating value for money		Medium		6
Balancing Levels of Service/Funding		Medium	Low	7
Cost recovery associated with developments (whether they proceed or not)			Low	8
Urban development costs where individual allotments already exist			Low	9
Sustainability of urban development around large but shortterm projects			Low	10

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By way of comparison, the table below outlines the assessed District-wide risk factors for the sample Council's listed in Appendix Table 4: Total District Population.

Appendix Table 5: Examples of District-Wide Risk Factors

Council	Population	Other Factors	Appropriate AM Determination (WIML Estimated Assessment)
Tasman	Intermediate	District population growth and growth/changes in the aquaculture, forestry/wood products and tourism industries are drivers. Renewal and new capital expenditure programmes will need to be managed within service level affordability constraints. Expectations of higher service levels will be balanced against cost of service	Intermediate, with some advanced elements
Timaru	Intermediate	Geraldine – International Visitors; Major industries (Fonterra Clandeboye); Regionally significant freight hub; Primary industry growth and subsequent transportation network impacts	Intermediate, with some advanced elements
Gore	Core	None	Core
Waimate	Core	Changes in land use through irrigation and dairy conversions ~~Changes to the community composition if Hunter Downs irrigation proceed~~	Core
Mackenzie District	Core	Tourism development and increase in holiday homes	Core

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Through the 2015-2025 Long Term Community Council Plan, Waimate District Council have sought input from its community and has reviewed its vision and strategic direction for the District.

The Community Outcomes for 2015-25 are:

Wealthy Community
- A District that provides infrastructure for economic activity
- A District that encourages development
- A District that actively promotes itself and its businesses

Safe and Healthy People
- A place where people are safe in their homes, work and public spaces
- Our services, infrastructure and environment enhance quality of life

Sustainable District and Environment
- The Waimate District is enhanced through sustainable development
- Our heritage is valued and protected
- We value the natural environment, biodiversity and landscapes

Active and Supportive Community
- People participate in our democratic processes
- District assets that provide recreation and leisure choice

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- We celebrate and support the good things about our community

In order to achieve population and economic growth, Council needs to deal with some key priorities over the next 10 to 20 years:

Council's priorities in respect to 3Waters and Roads and Footpaths are to:
- Maintain the District's roads to a safe standard and fit-for-purpose.
- Use efficient and effective asset management practices to maximise Roads and Footpaths asset life to provide a resilient network.
- Provide a continuous supply of potable water to meet agreed demands.
- Maintain wastewater disposal and treatment facilities to protect public health through ensuring good sanitary standards and freshwater management.
- Manage the upgrade of the stormwater drainage systems in Waimate, thus reducing the risk of flooding in the long term.
- Manage the impacts of land use change and growth.

The priorities listed above tie into the key issues in the 2015-2025 Ten Year Plan and the projects Council will undertake.

The key issues faced by the roading service are:
- Demand impact of diary conversions is difficult to predict and can have large impact on the roading network both during construction and ongoing operation due to increased freight traffic
- The negative impacts of increased heavy traffic and wide agricultural vehicles on marginal, narrow and ageing sealed pavements
- An increase in the number of agricultural vehicles (e.g. silage wagons and oversized tractors)
- Unsealed roads provide the most significant negative affect on the network due to dust
- Aging structures

Council has identified the following key issues with respect to natural hazards in the 'Disaster Resilience Summary Report' (2006) as posing a risk to the core infrastructure:
- Snow – causing road access difficulties for infrastructure maintenance, and power outages. The likelihood of an event occurring is moderate (previous significant events have occurred in 1967, 1973, 1992 and 2006).
- Earthquake – the impact of a significant earthquake event (Alpine Fault rupture) is wide ranging on infrastructure assets (liquefaction, power outage, pipeline failure). GNS currently estimate that the Alpine Fault has a high probability (30%) of rupturing in the next 50 years.
- Tsunami – coastal areas vulnerable to tsunami and high seas.
- Floods – prolonged heavy rainfall resulting in threat to roads crossing rivers (land erosion), inundation of drainage pathways, blockage of water supply surface intakes (sediment), and power outage disruption to water consumers.
- Wind – risk of power disruption from high winds through fallen trees bringing down power lines. The likelihood of an event occurring is moderate (previous significant events have occurred in 1975 and 2013).

The impact of district wide risks on assets and the Asset Management Planning is summarised in the following table:

Appendix Table 6: District-Wide Risk Factors and Impact on Assets and AM Planning

Factors	Assets/Activity Groups most affected	Comment	Influence on AM Planning

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	Roading	Water	Wastewater	Stormwater	Solid Waste	Parks & Recreat	Community Prope		
Demographic / Population Change	✓	✓	✓	✓	✓	✓	✓	General impact across planning approach	Part of normal AM Practice
Hunter Downs Irrigation (likely)	✓	✓		✓	✓			General impact across planning approach, different short term and long term impacts	Part of normal AM Practice
DWS Compliance		✓						Implementation and cost impacts	Part of normal AM Practice
Land use change/Dairy conversions	✓	✓	✓	✓				General impact across planning approach	Part of normal AM Practice
Land use change - Increased demand for stock water/dairy farm operations (new and increases)	✓	✓	✓					General impact across planning approach	Part of normal AM Practice
Expansion of onfarm Irrigation	✓	✓	✓	✓	✓			General impact across planning approach	Part of normal AM Practice
Demonstrating value for money	✓	✓	✓	✓	✓	✓	✓		Part of normal AM Practice
Balancing Levels of Service/ Funding	✓	✓	✓	✓	✓	✓	✓		Part of normal AM Practice
Cost recovery associated with developments (whether they proceed or not)	✓	✓	✓	✓					Potential impact to be understood and impact quantified
Urban development costs where individual allotments already exist	✓	✓	✓	✓				Impact of existing allotments and paper roads that could be developed at any time	Potential impact to be understood and impact quantified

Commented [LM9]: Redundant

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Sustainability of urban development around large but short-term projects	✓	✓	✓	✓	✓	✓	✓	Long term risk management approach is required. Asset resilience and service delivery a national conversation

These issues have been reflected in the Analysis of Waimate District Council Asset Groups in APPENDIX C of this report and Policy Statements in Section 2.0.

B2   Consideration of District Wide Factors - Conclusion

Based on the identified District Wide risk factors the suggested level of appropriate asset management practice for Waimate District Council is 'Core.'

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APPENDIX C   DETAILED FACTOR ANALYSIS

Following the initial population screen and assessment of District wide risks, a more detailed screening was developed for each individual asset group for the District.

C1   Detailed Analysis Waimate District Council Asset Groups

A more detailed analysis of where the sophistication of Waimate District Council asset management should be uses the criteria outlined in Section 2.2.4 of the IIMM as a basis.

Appendix Table 7: Detailed Analysis Council Assets Groups

Criteria	Roading	Water Supply, Wastewater & Stormwater	Solid Waste	Parks and Reserves	Community Property
Population	*Core (from APPENDIX A)*				
District Wide Risks	*Core (from APPENDIX B)*				
Costs and Benefits	$4.2M	$2.6M	$1.0M	$1.1	$0.7M
(Source 2015-25 LTP)	28% of expenditure	18% of expenditure	7% of expenditure	8% of expenditure	5% of expenditure
Legislative Requirements and Regulations	Compliance approach – heavy transport changes will have effects ONRC requirements	Compliance. Health Amendment Act and consent / RMA changes will impact Demand management drivers. DIA mandatory reporting	Compliance. Consent and RMA changes will impact Demand management drivers. DIA mandatory reporting	Compliance. Consent and RMA changes will impact Demand management drivers. DIA mandatory reporting	Compliance. Consent and RMA changes will impact Demand management drivers. DIA mandatory reporting

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Criteria	Roading	Water Supply, Wastewater & Stormwater	Solid Waste	Parks and Reserves	Community Property
Size, Condition, Complexity of Assets	1,335km of roads 48% sealed, 99% rural with low traffic volumes Low maintenance $/km, but high maintenance $/VKT	1 urban water supply 6 rural water supplies 1 wastewater scheme (gravity & six cell oxidation pond) Minimal stormwater Some aging water supply reticulation	Weekly refuse collection Weekly recyclables collection One Resource Recovery Park Closed landfills	Formal Gardens, native planted areas, Tree Park, Cemeteries, Camping Areas, Parks & Recreation venues	Typical combination of buildings and land used for Council operations, Pensioner Housing and economic development 2006-16 suggests an advanced AMP should be developed
Risks Associated with Failures	Moderate levels of risk Some critical routes identified	High risks identified with water supplies Moderate risks for wastewater	Low	Low	Low
Organisational Skills and Resources	Small urban and rural authority reliant on key staff. Experienced managers cover operations and planning roles and report directly to the Chief Executive Officer. No strategic asset management overview role.				
Customer Expectations	Generally increasing steadily, some differences between Waimate township and more remote rural areas. Some rural residential development brings different service expectations				
Sustainability	Corporate position being prepared for inclusion in Long Term Council Community Plan				
	Influenced by NZTA, GPS and RLTS.		Influenced by current legislative changes		

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Criteria	Roading	Water Supply, Wastewater & Stormwater	Solid Waste	Parks and Reserves	Community Property
Appropriate AM Level	Core	Core	Core	Core	Core
AM Maturity Assessment	Generally core practice. Intermediate practice identified for Demand Forecasting, Asset Register Data, Asset Condition, Operational Planning, Capital Works Planning, Financial and Funding Strategies and Service Delivery Models in line with national directives and requirements	Generally, core practice. Intermediate practice identified for Demand Forecasting and Risk Management	Core practice for all elements of AM There are few assets and the activity revolves around outsourcing the service.	Core practice for all elements of AM The assets are relatively simple, and in-house resources are able to manage them appropriately with specialist advice where required (Assessed in combination with Community Property)	Core practice for all elements of AM There are no complex assets, and in-house resources are able to manage them appropriately with specialist advice where required (Assessed in combination with Parks and Reserves)

C2 Final Appropriate Asset Management Level Determination

The initial population screen for Waimate District Council, using urban area, all town populations, and total district population showed that asset management practice should be 'Core' across the activities.

The examination of individual factors is summarised in Appendix Table 7: Detailed Analysis Council Assets Groups above and commentary on these factors is as follows:

Costs and Benefits

The Roading and Utilities (Water, Wastewater and Stormwater) budgets are the largest in Council and represent higher risks if AM practice is not at an appropriate level. These budgets also allow more scope to develop asset management practice as appropriate. In comparison the Solid Waste, Parks & Reserves and Community Property budgets are relatively minor, but represent significant and important activities for Council.

Legislative Requirements

Waimate District Council policy is to meet minimum legislative requirements and Council follows clear directives within timeframes acceptable to the community. Council will advocate on behalf of the community where legislation is deemed inappropriate.

Size, Condition and Complexity of Assets

There are a range of assets spread across the large district. In particular the roading network and rural water supplies are extensive with only a small rating base. While the assets are not highly complex the isolated nature of the communities requires a specific approach. Safety risks and the personal liability associated with Health and Safety legislation require a proactive approach.

Risks Associated with Failures

Overall risks associated with asset failure have been assessed to be average apart from water and wastewater and drainage. Failure of water systems would lead to a range of issues, wastewater system failure has public health and environmental consequences. This suggests a higher level of risk management practice for water and wastewater. Public Health risk management is already legislatively mandated.

Organisational Skills and Resources

Waimate District Council comprises a small organisation serving one main urban centre, small communities and a large rural area. The success of the organisation relies on key staff. Experienced managers cover operations and planning roles and specialist technical work is outsourced Services are delivered through a combination of in-house teams and Contractors. This approach would be consistent with a 'Core' approach.

Customer Expectations

The District has a range of community assets that are of a high standard and the community is justifiably proud of them, and has high expectations of the development and maintenance. There is some variation in expectations across the district, particularly between Waimate township and more remote rural areas. Overall customer expectations are judged to be medium and the trend of increasing customer expectation is likely. This suggests a requirement for well developed asset management practice to consistently meet community expectations in the long term.

Sustainability

Waimate District Council is following the sustainability regimes of the Land Transport Management Act 2003, NZTS and RLTS requirements (including subsequent amendments and revisions) for Roading; otherwise Council is still in the process of developing its sustainability policies. This will include incorporating legislative changes and the any national or regional policies or plans. Any impact of these on asset management practice will be incorporated into the next review of Asset Management Policies.

Conclusion

Having considered all these factors for each asset / activity group, it is apparent that Waimate District Council should be managing its assets at the following levels:

Appendix Table 8: Conclusion

Criteria	Roading	Water Supply, Wastewater & Stormwater	Solid Waste	Parks and Reserves	Community Property
Final Appropriate AM Level	Core	Core	Core	Core	Core
Comment	Practice to meet national requirements. Demand forecasting and management a key driver	Emphasis on demand and risk management practices to manage identified issues	Core practice for all elements of AM	Core practice for all elements of AM	Core practice for all elements of AM
AM Maturity Assessment	**Demand Forecasting** - Risk assessment of different demand scenarios with mitigation actions identified. Intermediate practice in Roading and Utilities due to anticipated/potential changes. **Asset Register Data** – Roading - A reliable register of physical, financial and risk attributes recorded and bale to be analysed and reported on. Systematic and documented data collection process in place **Asset Condition** – Roading - Future condition and performance information is modelled to assess whether AM objectives can be met long term. Demand information is used to estimate likely performance **Risk Management** – Utilities - Failure of water/wastewater systems would lead to a range of issues, including but not limited to public health and environmental consequences. This implies a higher level of risk requiring development of an appropriate Risk Schedule including but not limited to Emergency Management Plan, Contingency Plan, Pandemic Plan, Operational Risk Plan, Business Continuity Plan, etc. to be developed **Operational Planning** – Roading - Risk and opportunity planning completed. Operational objectives and intervention levels (ONRC) defined and implemented					

Criteria	Roading	Water Supply, Wastewater & Stormwater	Solid Waste	Parks and Reserves	Community Property

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Capital Works Planning – Roading – Formal options and business case development completed for major projects in 3-5 year period. Major projects for the next 10-20 years are conceptually identified and broad cost estimates are available
Financial and Funding Strategies – Roading – Asset revaluations have a 'B' grade data confidence, based on comprehensive AMPs with detailed supporting assumptions and reliability factors
Service Delivery Models – Roading – Risks, benefits and costs of various outsourcing options considered and determined. Competitive tendering practices applied with integrity and accountability

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APPENDIX D   ASSET MANAGEMENT MATURITY

Section 1.4.2 in the IIMM 2015 introduce the Asset Management Maturity Index. The AM Maturity index is a tool organisations can use to determine the appropriate level of AM practices.

Table 2.1.2 in the IIMM 2015 summarises the expectations associated with 'aware', 'basic', 'core', 'intermediate', and 'advanced'

As part of the NZ Treasury Investment Confidence Rating, the NZ Treasury developed an Asset Management Maturity methodology to help agencies and their professional advisors identify current and appropriate (or target) levels of asset management practice.

Merging the IIMM 2015 AM Maturity index and expectations with the Treasury AM Maturity methodology provides a useful tool to assess current and target AM Maturity levels.

This is aligned with the IIMM Asset Management Process of:
- Understand the requirements
- Lifecycle planning
- Asset Management Enablers

Summarising the appropriate targets for the Waimate District Council asset groups it provides:

Appendix Table 9: AM Maturity Assessment Tool Summary

Process	Appropriate Target (Average)			
	Roading	Utilities (w, ww, sw)	Solid Waste	Community Property and Parks & Reserves
Understand the requirements	65	61	52	55
Lifecycle planning	65	62	57	53
Asset Management Enablers	60	60	58	57

And the scores for each are as follows:

Appendix Table 10: AM Maturity Scores

Aware	Basic	Core	Intermediate	Advanced
0-20	25-40	45-60	65-80	85-100

Details are shown in the table below and the associated spreadsheets allows WDC staff to determine the current practice against each of the Maturity Assessment Sections.

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Appendix Table 11: AM Maturity Assessment Tool

Asset Management Maturity Assessment Tool.

Reference	Question	Section	Questions	Why	Appropriate Target			
					Roading	Utilities	Solid Waste,	Community Property and Parks & Reserves
IIMM 2.1	1	AM Policy Development	To what extent has your organisation's AM Policy and AM Strategy been articulated, approved, communicated and acted on? How consistent is this policy and strategy with current government policies?	The AM Policy supports an organisation's strategic objectives. It articulates the principles, requirements and responsibilities for asset management (AM). It articulates the objectives, practices and action plans for AM improvement, audit and review processes. The AM Policy and Strategy may be incorporated into the AM Plan	60	60	60	60
IIMM 2.2	2	Levels of Service and Performance Management	How does your organisation determine what is the appropriate level of service for its customers and then ensure that asset performance is appropriate to those service levels?	Levels of service are the cornerstone of asset management and provide the platform for all lifecycle decision making. Levels of service are the outputs a customer receives from the organisation, and are supported by performance measures. One of the first steps in developing asset management plans or processes is to find out what levels of service customers are prepared to pay for, then understand asset performance and capability to deliver those requirements	60	60	60	60
IIMM 2.3	3	Demand Forecasting	How robust is the approach your organisation uses to forecast demand for its services and the possible impact on its asset portfolios?	This AM activity involves estimating demand for the service over the life of the AM plan or the life of the asset. Demand is a measure of how much customers consume the services provided by the assets. The ability to predict demand enables an organisation to plan ahead and meet that demand, or manage risks of not meeting demand	70	65	50	50
IIMM 2.4	4	Asset Register Data	What sort of asset-related information does the organisation collect, and how does it ensure the information has the requisite quality (accuracy, consistency, reliability)?	Asset data is the foundation for enabling most AM functions. Planning for asset renewal and maintenance activities cannot proceed until organisations know exactly what assets they own or operate and where they are located	70	60	45	55

IIMM 2.5	5	Asset Condition	How does the organisation measure and manage the condition of its assets?	Timely and complete condition information supports risk management, lifecycle decision-making and financial / performance reporting	70	60	45	50

Asset Management Maturity Assessment Tool.

					Appropriate Target			
Reference	Question	Section	Questions	Why	Roading	Utilities	Solid Waste,	Community Property and Parks & Reserves
IIMM 3.1	6	Decision Making	How does your organisation go about making decisions on the replacement or refurbishment of existing assets or investment in new ones?	Decision techniques provide the best value for money form an organisation's expenditure programmes. These techniques reveal strategic choices, and balance the trade off between levels of service, cost and risk. ODM is a formal process to identify and prioritise all potential asset and non-asset solutions with consideration of financial viability, social and environmental responsibility and cultural outcomes	60	60	45	45
IIMM 3.2	7	Risk Management	How does your organisation manage the interplay between business risks and assetrelated risks?	Risk management helps identify higher risks, and identify actions to mitigate those risks. This process reduces the organisation's exposure to asset related risk, especially around critical assets, and drives renewal and rehabilitation programmes and decision making	60	70	60	55

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Reference	Question	Section	Questions	Why	Roading	Utilities	Solid Waste,	Community Property and Parks & Reserves
IIMM 3.3	8	Operational Planning	How does your organisation manage the cost effective performance of its key business assets over time (e.g. in terms of utilisation, availability, fitness for purpose)? How does the organisation plan and manage its maintenance activity?	Effective operational strategies can mitigate risk, defer the need for asset renewals and minimise service downtime following asset failures. Planning for business continuity and full utilisation of assets are key factors in good asset management processes. Maintenance is "all actions necessary for retaining an asset as near as practicable to its original condition, but excluding rehabilitation or renewal". Maintenance slows deterioration: it is mechanism to ensure assets continue to deliver performance associated with the required level of service. A major challenge for the asset manager is striking the appropriate balance between planned maintenance (inspections and scheduled maintenance etc.) and unplanned maintenance (arising from unexpected failures)	70	60	60	45

Asset Management Maturity Assessment Tool.

						Appropriate Target		
Reference	Question	Section	Questions	Why	Roading	Utilities	Solid Waste,	Community Property and Parks & Reserves
IIMM 3.4	9	Capital Works Planning	What processes and practices does the organisation have in place to plan and prioritise capital expenditure?	Capital investment include the upgrade, creation or purchase of new assets, typically to address growth or changes in levels of service requirements, or for the periodic renewal of existing assets, to maintain service levels. Agencies need to plan for the long term asset requirements relative to future levels of service. The decision on whether to create a new asset is typically the time when there is the most opportunity to impact on the potential cost and level of service. Cabinet expects all capital-intensive agencies to disclose 10 year capital intentions and make appropriate use of the better business cases methodology for programmes and individual investment proposals	70	60	60	60

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Reference	Question	Section	Questions	Why	Roading	Utilities	Solid Waste,	Community Property and Parks & Reserves
IIMM 3.5	10	Financial and Funding Strategies	How does your organisation plan for the funding of its future capital expenditure and asset-related costs?	Poor financial management can lead to higher long run life cycle costs, inequitable fees and charges, and financial "shocks". Good collaboration between financial and asset managers is important, especially in relation to long term financial forecasts and asset revaluations. Asset valuation is required by International Accounting Standards, and can be used in lifecycle decision making. Robust financial budgets are a key output of any asset management planning process	70	60	60	60
IIMM 4.1	11	AM Teams	What is the level of organisational commitment to asset management? How is this reflected in existing organisation structure, responsibilities and resourcing of AM competencies?	Effective asset management requires a committed and coordinated effort across all sections of an organisation	60	60	60	60
IIMM 4.2	12	AM Plans	How does your organisation develop, communicate, resource and action its asset management plans?	An asset management plan is a written representation of intended capital and operational programmes for its new and existing infrastructure, based on the organisations understanding of demand, customer requirements and its own network of assets	60	60	60	60

Asset Management Maturity Assessment Tool.

					Appropriate Target			
Reference	Question	Section	Questions	Why	Roading	Utilities	Solid Waste,	Community Property and Parks & Reserves

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IIMM 4.3	13	Management Systems	How does your organisation ensure that it's asset management processes and practices are appropriate and effective?	When AM processes are part of a Quality Management system the organisation is able to operate consistent and reliable processes, provide evidence that what was planned was delivered, and ensure that knowledge is shared. In short, that processes are appropriate and consistently applied and understood	55	55	55	55
IIMM 4.4	14	Information Systems	How does your organisation meet the information needs of those responsible for various aspects of asset management?	AM systems have become an essential tool for the management of assets in order to effectively deal with the extent of analysis required	60	60	50	50
IIMM 4.5	15	Service Delivery Models	How does your organisation procure assetrelated services like maintenance and consumables for different classes of assets? How does the organisation exercise control over any outsourced asset management services?	The effectiveness of asset management planning is proven in the efficient and effective delivery of services at an operational level	65	65	65	55
IIMM 4.6	16	Improvement Planning	How does your organisation ensure that it continues to develop its asset management capability towards an appropriate level of maturity?	Well performing agencies give careful consideration of the value that can be obtained from improving AM information, processes, systems and capability. The focus is on ensuring AM practices are "appropriate" to the business objectives and government requirements	60	60	60	60

17.3	WAIMATE DISTRICT COUNCIL LOCAL GOVERNANCE STATEMENT 2020

Author: **Karalyn Reid, Committee Secretary**

Authoriser: **Tina Stevenson, Corporate Services Group Manager**

Attachments: **1.   Local Governance Statement** ⇩ 📄

PURPOSE

1.   To present the Waimate District Council Local Governance Statement 2020 for the information of Council, and to make the document publically available.

2.   The Local Government Act 2002 requires for the preparation and public availability within 6 months of each triennial general election of members of the local authority.

BACKGROUND

3.   The Local Government Act 2002 requires Council to disclose the following information in its Governance Statement:

40 Local Governance Statements

(1)   A local authority must prepare and make publicly available, following the triennial general election of members, a local governance statement that includes information on—

(a) the functions, responsibilities, and activities of the local authority; and

(b) any local legislation that confers powers on the local authority; and

(ba) the bylaws of the local authority, including for each bylaw, its title, a general description of it, when it was made, and, if applicable, the date of its last review under section 158 or 159; and

(c) the electoral system and the opportunity to change it; and

(d) representation arrangements, including the option of establishing Māori wards or constituencies, and the opportunity to change them; and

(e) members' roles and conduct (with specific reference to the applicable statutory requirements and code of conduct); and

(f) governance structures and processes, membership, and delegations; and

(g) meeting processes (with specific reference to the applicable provisions of the Local Government Official Information and Meetings Act 1987 and standing orders); and

(h) consultation policies; and

(i) policies for liaising with, and memoranda or agreements with, Māori; and

(j) the management structure and the relationship between management and elected members; and

(ja) the remuneration and employment policy, if adopted; and

(k) equal employment opportunities policy; and

(l) key approved planning and policy documents and the process for their development and review; and

        (m) systems for public access to it and its elected members; and

        (n) processes for requests for official information.

    (2)   A local authority must comply with subsection (1) within 6 months after each triennial general election of members of the local authority.

    (3)   A local authority must update its governance statement as it considers appropriate.

4.   The Local Governance Statement is a collation of existing information. There is no new information in the document that has not previously been adopted by Council or approved by management.

5.   The Local Governance Statement 2020 has been made publically available on Council's website in order to meet the legislated timeframe.

PROPOSAL

6.   That Council receives the Waimate District Council Local Governance Statement 2020.

ASSESSMENT OF SIGNIFICANCE

7.   This matter is not deemed significant under the Council's Significance and Engagement Policy.

FINANCIAL

8.   There are no known budget considerations.

Cost-effectiveness

9.   Cost-effectiveness consideration is not applicable

RECOMMENDATION

1.   That the Waimate District Local Governance Statement 2020 report is accepted; and

2.   That Council receives the Waimate District Council Local Governance Statement 2020, as presented.

Local Governance Statement

2019-2020

As at 31 March 2020

Table of Contents

Local Governance Statement

The Local Government Act 2002 requires Council to disclose the following information on its Governance Statement:

Local Governance Statements[1]

(1) A local authority must prepare and make publicly available, following the triennial general election of members, a local governance statement that includes information on—

(a) the functions, responsibilities, and activities of the local authority; and

(b) any local legislation that confers powers on the local authority; and

(ba) the bylaws of the local authority, including for each bylaw, its title, a general description of it, when it was made, and, if applicable, the date of its last review under section 158 or 159; and

(c) the electoral system and the opportunity to change it; and

(d) representation arrangements, including the option of establishing Māori wards or constituencies, and the opportunity to change them; and

(e) members' roles and conduct (with specific reference to the applicable statutory requirements and code of conduct); and

(f) governance structures and processes, membership, and delegations; and

(g) meeting processes (with specific reference to the applicable provisions of the Local Government Official Information and Meetings Act 1987 and standing orders); and

(h) consultation policies; and

(i) policies for liaising with, and memoranda or agreements with, Māori; and

(j) the management structure and the relationship between management and elected members; and

(ja) the remuneration and employment policy, if adopted; and

(k) equal employment opportunities policy; and

(l) key approved planning and policy documents and the process for their development and review; and

(m) systems for public access to it and its elected members; and

(n) processes for requests for official information.

(2) A local authority must comply with subsection (1) within 6 months after each triennial general election of members of the local authority.

(3) A local authority must update its governance statement as it considers appropriate.

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[1] New Zealand Government, *Local Government Act 2002, Section 40, 'Local Governance Statements',* reprinted as at 26 March 2020.

Functions, Responsibilities & Activities

Council's operational structure, as indicated in the Long Term Plan (LTP) 2018-28, is divided into 9 groups. These 9 groups are in turn, divided into 24 activities.

Planning and budgeting, as well as operational management, and reporting align according to these groups and activities.

WATER SUPPLY	WASTE MANAGEMENT	STORMWATER	SEWERAGE	ROADING & FOOTPATHS
◈ Urban Water ◈ Rural Water	◈ Waste Management	◈ Stormwater	◈ Sewerage	◈ Roading and footpaths

ORGANISATION & GOVERNANCE	DISTRICT PLANNING & REGULATORY SERVICES	COMMUNITY SERVICES	COMMUNITY FACILITIES
◈ Central Administration ◈ Community Representation ◈ Investments and Finance ◈ Strategy	◈ Animal Management ◈ Building Control ◈ Environmental Services ◈ Resource Management	◈ Community Support ◈ Economic Development and Promotions ◈ Emergency Management ◈ Library	◈ Camping ◈ Cemeteries ◈ Event Centre ◈ Parks & Public Spaces ◈ Property ◈ Swimming Pool

Key Planning and Policy Documents & Process for Development and Review Plans, Policies and Reports
The Planning Cycle

Long Term Plan
Reviewed ever three years
Lets you know what the
Council is doing and why

Community Outcomes
Knowing the environment in
which people live. Knowing
what the community and
people want

The Planning Cycle

Annual Plan
Produced every non-Long Term Plan year
Lets you know what the
Council work is going to be
paid for each year, and the
variances from Long Term
Plan

Annual Report
Produced yearly
Lets you know if the Council did what
it said it would do and at what cost

Council's Infrastructure Strategy, Financial Strategy and Asset Management Plans are produced every three years to link into the LTP.

Council's Economic Development Strategy will also link into the LTP.

Council's District Plan is reviewed on a 10-year cycle

These plans and reports are produced in order to carry out the responsibilities vested in Council by statute and ensure that compliance with the relevant Acts and regulations is achieved.

Consultation

The Local Government Act 2002 sets out certain consultation principles and policy procedures that local authorities must follow when making decisions. The principles for consultation are found in section 82 of the Local Government Act 2002. Council has a Significance and Engagement Policy, which provides guidance to Council on how it might consult with the community.

The Special Consultative Procedure is used for major decisions or departures from plans or policies such as the Long Term Plan.

Council can and does consult outside of the Special Consultative Procedure. When it is adopting its Long Term Plan, Annual Plan or District Plan, Council may hold formal meetings with community groups and other interested parties. At these meetings, Council may seek views on matters Council considers to be important and identify issues of concern to the community.

Council acknowledges Maori as people with whom there is a special relationship. Council is committed to giving effect to the principles and intent of the Treaty of Waitangi, and to engaging in genuine and appropriate consultation with Maori.

Council has in place protocols for ensuring Tāngata Whenua are consulted with in regard to decisions made under the Resource Management Act 1991, Local Government Act 2002, and has a relationship with Te Rūnanga o Waihao.

Council reports back annually against the Memorandum of Understanding through its Annual Report.

Policies

The business to be transacted by a Council and its administration is large and wide-ranging, dealing with the details of many Acts and regulations, the Council's Plans, Bylaws, Policies, and a range of Council functions and activities. A selection of primary Council policies are presented below:

Delegations Policy[2]

The purpose of this policy is to provide a clear framework and hierarchy to identify, confirm, and record all existing and required delegations of authority relating to Waimate District Council.

Unless expressly provided otherwise in the Local Government Act 2002, or any other Act, Council may delegate to a committee, subcommittee or officer of the Council any of its responsibilities, duties, or powers.

Delegation to officers of Council is necessary for the operation of the Council. The administration would not be efficient, effective or timely in delivering services without a workable Delegations Policy.

Fraud Policy[3]

The purpose of the policy is to define internal controls, mechanisms, and systems as to minimise, detect, counter, and/or prosecute (if applicable) all instances of fraudulent activity by all parties employed by, elected to, contracted to, volunteering for, or service-recipient of, Waimate District Council (Council); and

To ensure that all such control systems are implemented consistently, impartially, systematically, and comprehensively; and

To formalise that in implementation of the present policy, Council shall:

a. recognise a zero tolerance policy towards any instance of fraud, and
b. collect and secure all evidence in support of prosecution, and
c. where appropriate, engage external forensic and enforcement agencies for the purpose of investigating and prosecuting any instance of fraud, and
d. pursue the recovery of any loss caused by fraudulent activity.

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[2] Waimate District Council, *Delegations Policy,* December 2019
https://www.waimatedc.govt.nz/repository/libraries/id:21r92ideo17q9sg7je9s/hierarchy/Documents/Council/Publications/Policies%20-%20General/Delegations%20Policy [accessed March 2020]
[3] Ibid, *Fraud Policy*, October 2019
https://www.waimatedc.govt.nz/repository/libraries/id:21r92ideo17q9sg7je9s/hierarchy/Documents/Council/Publications/Policies%20-%20General/Fraud%20Policy [accessed March 2020]

Significance and Engagement Policy[4]

This policy determines the significance of issues within the Waimate District and how to align our engagement with the public based on the degree of significance of the issue.

The purpose of the policy is to determine the significance of issues within the District, and how to align our engagement with the public based on the degree of significance of the issue. The Policy aligns with the provisions of the Local Government Act 2002 (the Act).

This policy exists to:

a. Inform you, the public, what you can expect from the Waimate District Council regarding community engagement and the ways you can influence and participate in the decision-making of the Council.

b. To provide Council with a tool that guides the assessment of significance during decision-making. A decision on significance and engagement provides direction on the level of community engagement that might be desirable to enable Council to develop a clearer understanding of community views and preferences on an issue or proposal.

Legislative Framework

Waimate District Council is required to operate within, and towards the implementation of the objectives of, a legislative framework comprised of numerous statutes. In fulfilment of its purpose, Waimate District Council may thus exercise powers and responsibilities conferred on it by such various statutes. Chief among these are:

- Building Act 2004

- Burial and Cremation Act 1964

- Bylaws Act 1910

- Civil Defence Emergency Management Act 2002

- Dog Control Act 1996

- Food Act 2014

- Forest and Rural Fires Act 1977

- Gambling Act 2003

- Health Act 1956

- Litter Act 1979

- Local Authorities (Members' Interest) Act 1968

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[4] Ibid, *Significance & Engagement Policy*, October 2017
https://www.waimatedc.govt.nz/repository/libraries/id:21r92ideo17q9sg7je9s/hierarchy/Documents/Council/Publications/Policies%20-%20General/Significance%20and%20Engagement%20Policy
[accessed March 2020]

- Local Electoral Act 2001

- Local Government Act 2002

- Local Government Act 1974 (part)

- Local Government (Rating) Act 2002

- Local Government Official Information and Meetings Act 1987

- Rating Valuation Act 1998

- Resource Management Act 1991

- Reserves Act 1977

- Sale and Supply of Alcohol Act 2012

- Privacy Act 1992

- Public Records Act 2005

Waimate District Council is not bound any local legislation, specific to certain localities/districts.

Bylaws

Bylaws are rules created by a local authority specifically for the regulation of the area of responsibility and for the benefit of the community as a whole. Such Council bylaws are:

- Cemeteries

- Cultural and Recreational Facilities

- Dog Control

- Health Protection- Beauty Facilities, Skin Piercing, and Tattooing

- Keeping of Animals, Poultry, and Bees

- Liquor Ban in Public Places

- Parks and Reserves, Beaches, and Tracks

- Property Maintenance and Nuisance

- Public Places

- Roading

- Skateboards, Bicycles, and Scooters

- Solid Waste

- Stock Movement

- Trading in Public Places

- Traffic Speed Limits

- Water Services

For further information on Council bylaws, visit:
https://www.waimatedc.govt.nz/council/publications/bylaws

Electoral System

Every three years Council must review the system used for the triennial elections.

The review of the electoral system is a choice between first-past-the-post (FPP) voting and single transferable vote (STV) voting. Council resolved to retain FPP voting for the 2019 elections. This decision was publicly notified and was not challenged. The process for determining which electoral system Council will follow can be found in the Local Electoral Act 2001.

Representation Arrangements

Every three to six years Council must review its representation. The review of representation involves decisions about the number of councillors to be elected, how many wards (if any) are needed to reflect community interest, and – if wards are favoured – how many members should be elected from each ward.

In 2018, Council resolved to retain the four wards as follows:

- Pareora-Otaio-Makikihi – 2 Councillors

- Waihao Ward – 1 Councillor

- Hakataramea-Waihaorunga Ward – 1 Councillor

- Waimate Ward – 4 Councillors

Section 24 and Schedule 3 of the Local Government Act 2002 contains provisions for reorganisation proposals, including boundary changes.
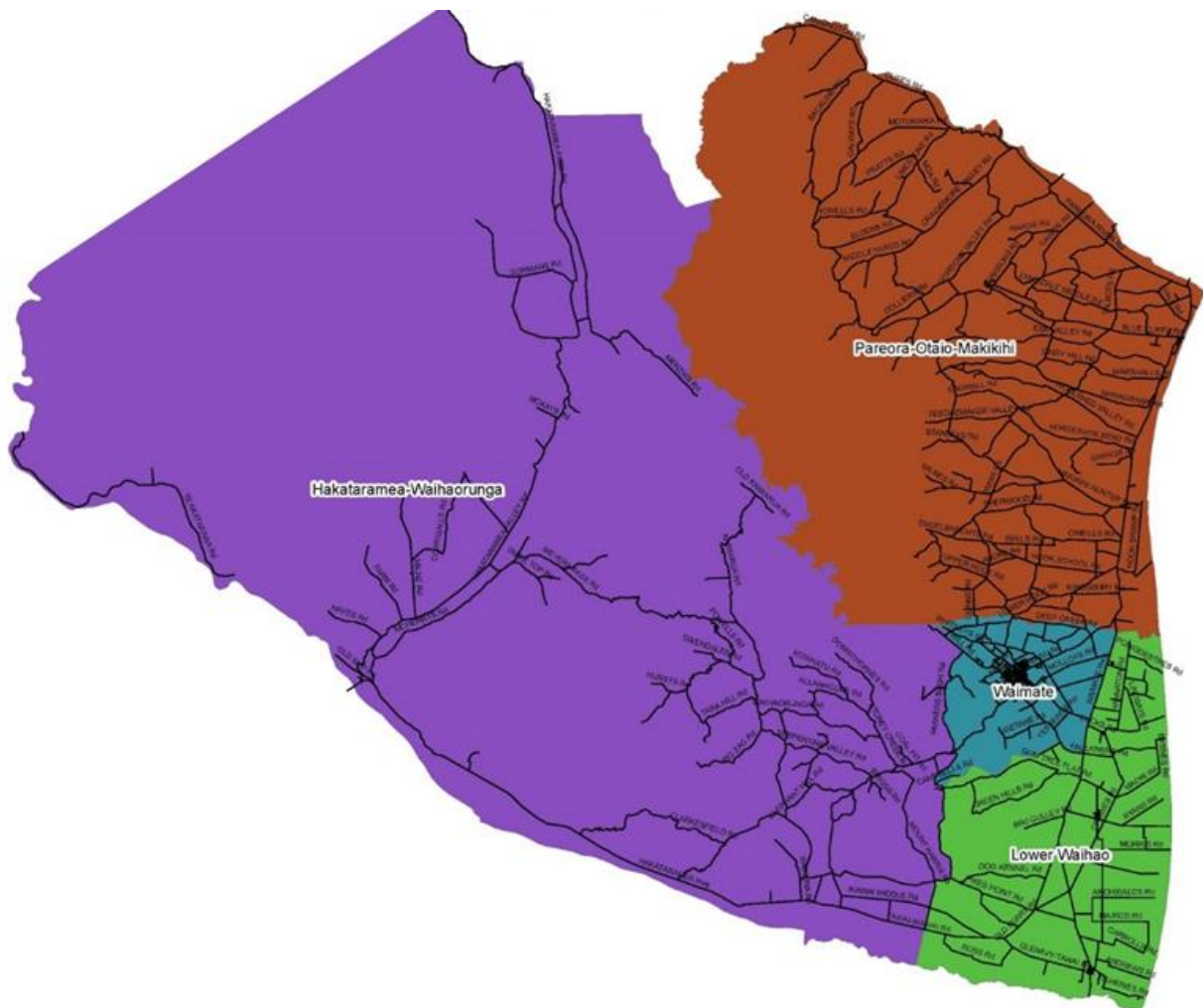
Members' Roles and Conduct

Register of Members' Interests / Conflict of Interest

We request that all elected members make a written declaration of their personal and financial interests that may at times conflict with their roles. This information will be kept in a "Register of Interests" which is available to staff and to any members of the public who request to see the information. Members are responsible for keeping their written declarations up to date.

Elected Members will also be given the opportunity of verbally indicating any Conflict of Interest at the beginning of each formal Council Meeting.

A Declaration of Interests form will be updated annually.

Code of Conduct

The Waimate District Council Code of Conduct was adopted at the Inaugural Council Meeting held on 29 October 2019 and available on the Waimate District Council website: https://www.waimatedc.govt.nz/council/publications/policies.

Governance Structure

Mayor Craig Rowley
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Waimate District Council
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Waimate 7960

Councillor Sharyn Cain
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0272 771973
Waimate District Council
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Waimate 7960

Councillor Fabia Fox
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Waimate District Council
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Waimate 7960

Councillor Sandy McAlwee
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0274 756288
Waimate District Council
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Waimate 7960

Councillor Miriam Morton
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Waimate District Council
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Waimate 7960

Councillor Tom O'Connor
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Councillor David Owen
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Councillor Colin Pankhurst
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Waimate District Council
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Councillor Sheila Paul
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Waimate 7960

Meeting Processes

Standing Orders

"Standing Orders" are a set of rules of debate that apply to all meetings of the Council and its committees. They also set out the agreed principles of behaviour within meetings, and ensure the Council meets the legal requirements of the Local Government Act 2002 and the Local Government Official Information and Meetings Act 1987. The purpose of Standing Orders is to promote the constructive operation of the democratic process within the Council.

The Waimate District Council Standing Orders was adopted at the Inaugural Council Meeting held on 29 October 2019 and available on the Waimate District Council website: https://www.waimatedc.govt.nz/council/publications/policies

Requests for Official Information

Under the Local Government Official Information and Meetings Act 1987 (LGOIMA) any person may request information from the Council.

Once a request is made, Council staff must supply the information unless reason exists for withholding it. The LGOIMA says that information may be withheld if release of the information would:

- Endanger the safety of any person
- Prejudice maintenance of the law
- Compromise the privacy of any person
- Reveal confidential or commercially sensitive information
- Cause offence to tikanga Maori or would disclose the location of waahi tapu
- Prejudice public health or safety
- Compromise legal professional privilege
- Disadvantage the local authority while carrying out negotiations or commercial activities
- Allow information to be used for improper gain or advantage

The Council must answer requests within 20 working days (although there are certain circumstances where this time frame may be extended). The Council may charge for official information under guidelines set down by the Ministry of Justice.

Council Meeting Structure

Council operates on a six-weekly Council and Committee meeting structure. Currently Council has three Committees, which report to the Council, plus the Audit and Risk Committee, which meets three times a year (or by necessity). Agendas and Minutes for the Council and Committee meetings can be found on Council's website www.waimatedc.govt.nz. The Committees deal with governance and policy issues associated with the functions listed below. *Please also see the Delegations Policy 308.*

Council
Chairperson: Mayor
Deputy Chairperson: Deputy Mayor
Membership: All Councillors
Meetings: Every six weeks
Functions: To ratify recommendations from Committees, along with other business when required. Council meetings also include Public Forums and Citizenship Ceremonies (when required).

Environmental Services and Finance Committee
Chairperson:
Deputy Chairperson:
Membership: All elected members
Meetings: Every six weeks
Functions: Regulatory and Environmental Services, Resource Management, Building Control, Dog and Animal Control, Investments and Finance, Forestry, Audit and Risk, Information Technology, Governance – Community Representation, Civil Defence Emergency Management, all Policies relating to Environmental Services and Finance.

District Infrastructure Committee
Chairperson:
Deputy Chairperson:
Membership: All elected members
Meetings: Every six weeks
Functions: Three Waters, Waste Management, Roading and Footpaths, Parks and Reserves includes Parks and Public Spaces, Swimming, Camping, Cemeteries, Property, all Policies relating to District Infrastructure.

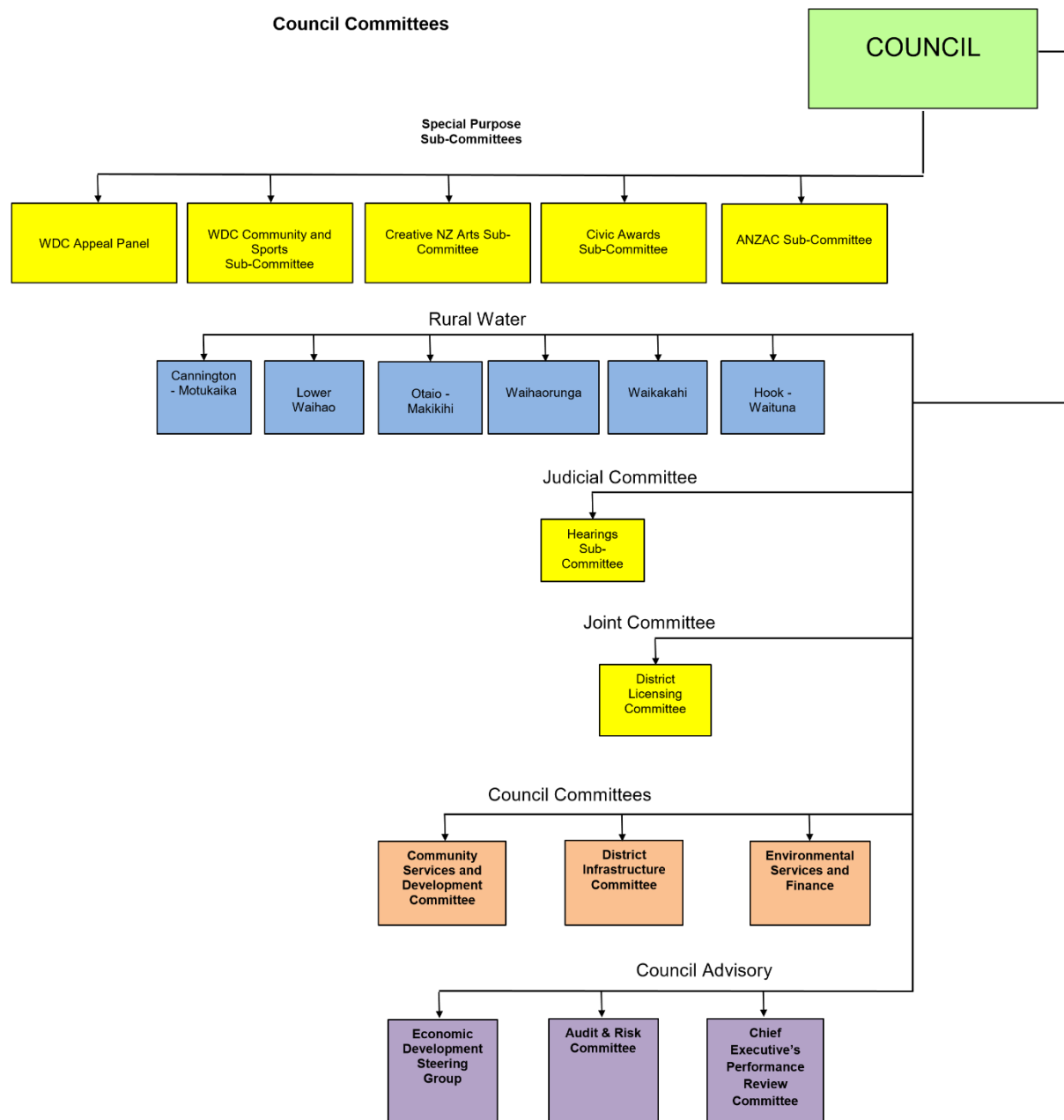## Community Services and Development Committee
Chairperson:
Deputy Chairperson:
Membership: All elected members
Meetings: Every six weeks
Functions: Library, Promotions, Strategy, Community Support, Economic Development, Event Centre, all Policies relating to Community Services and Development

Council Committee Structure

Council Committees

COUNCIL

Special Purpose Sub-Committees

| WDC Appeal Panel | WDC Community and Sports Sub-Committee | Creative NZ Arts Sub-Committee | Civic Awards Sub-Committee | ANZAC Sub-Committee |

Rural Water

| Cannington - Motukaika | Lower Waihao | Otaio - Makikihi | Waihaorunga | Waikakahi | Hook - Waituna |

Judicial Committee

Hearings Sub-Committee

Joint Committee

District Licensing Committee

Council Committees

| Community Services and Development Committee | District Infrastructure Committee | Environmental Services and Finance |

Council Advisory

| Economic Development Steering Group | Audit & Risk Committee | Chief Executive's Performance Review Committee |

Terms of Reference for all Council Committees

Council Committees
Community Services and Development Committee
District Infrastructure Committee
Environmental Services and Finance Committee

- Each of the above Committees comprise of all Councillors together with the Mayor.
- Council Committees have limited delegations - they will receive and discuss reports and agenda items, making a recommendation to a Council meeting for their approval.
- It is the Chief Executive's responsibility to prepare an agenda for each meeting. When preparing business items for an agenda, the Chief Executive should consult the Chairperson.
- The legal requirements for Council and Committee meetings are set down in the Local Government Act 2002, and the Local Government Official information and Meetings Act (LGOIMA) 1987.
- Members of the public are entitled and are welcome to attend all public meetings of the Council and its Committees. In certain circumstances, as defined in the Local Government Official Information and Meetings Act 1987, the public may be excluded from certain parts of a meeting.
- Although meetings are open to the public, members of the public do not have speaking rights other than at the 'public forum' session available at the beginning of Council and the Committee meetings day. Up to the first half hour of these meetings is set aside for members of the public to raise issues of concern.
- During meetings, the Mayor and Councillors must follow Standing Orders (a set of procedures for conducting meetings). The Mayor or Committee Chairperson is responsible for maintaining order at meetings and may, at his or her discretion, order the removal of any member of the public for disorderly conduct, or remove any member of the Council or Committee who does not comply with Standing Orders.
- Copies of agendas, together with any supporting papers will be emailed to Councillors at least two working days prior to the meeting (usually 4 working days).
- Copies of agendas, together with any supporting papers, will be available for public inspection two days prior to a meeting on Council's website www.waimatedc.govt.nz.
- Minutes of meetings must be kept as evidence of the proceedings of the meeting, and these are made publically available, subject to the provisions of the Local Government Official Information and Meetings Act.
- An updated schedule of meetings is published in the council publication 'Newsline' in the Courier Newspaper and on Council's website www.waimatedc.govt.nz.

Grant Committees

Creative Communities Scheme Committee
Administered by Council on behalf of Creative New Zealand the committee is responsible for the assessment of applications and distribution of funds.

Community & Sports Grants Committee
Administered by Council on behalf of Sport New Zealand the committee is responsible for the assessment of applications and distribution of funds from Council's Community and Sports Grant and the Rural Travel Fund Scheme.

Other Ad Hoc Committees

The following Committees meet as required.

To provide independent assurance and assistance to the Council on the risks, control, compliance framework and its external accounting responsibilities. The committee is advisory only and should not assume any management functions or make decisions that are the statutory responsibility of the Chief Executive.

CEO Performance Review Committee
Responsible for undertaking and recommending to Council all matters pertaining to the annual performance review of Councils Chief Executive.

Waimate District Council Appeal Panel
Terms of Reference and Processes approved at the Council Meeting held on 27 June 2017

1. The Dog Control Appeal Panel (the Panel) shall consist of the Mayor and two Councillors
2. The Panel has the power to receive objections as defined in the Dog Control Act
    a. 1996, primarily Barking Abatement Notices, Menacing Classifications, Dangerous
    b. Dog Classification Disqualified Owner Classification and Probationary Owner Classification.
3. The Panel will only receive and hear objections to Notices, which are issued under the provisions of the Dog Control Act 1996.
4. The Panel will adhere to the legal requirements for the keeping of records as set down in the Dog Control Act 1996 section 30.
5. The Chair will liaise with appropriate staff and the Committee Secretary to produce the agendas and collate information required for the process outlined in the following 'Dog Control Hearing – Appeal Process Flowchart'.
6. Copies of agendas, together with supporting papers will be provided to the Panel and other appropriate parties no less than four working days prior to the Appeal Hearing.
7. The dog owner/s, victim, complainant and appropriate staff will be invited to attend the Appeal Hearing. Approval for the attendance of any other relevant parties is at the discretion of the Panel.
8. The Panel shall follow the Waimate District Council Model Standing Orders (a set of procedures for conducting meetings). The Chair is responsible for maintaining order at meetings and may, at their discretion, order the removal of any attendee for disorderly conduct, or remove any member of the Panel who does not comply with Standing Orders.
9. The Panel may request an audio recording be made of the hearing for transcription purposes. The Chair will advise all parties prior to commencement.

10. The victim or complainant will appear first and make their verbal submission to support their statement. The dog owner/s would appear second and make their verbal submission to support their statement. The Animal Control Officer and appropriate staff members will then be asked to give evidence following their brief of evidence as disclosed prior to the meeting. The Chair and Panel Members may ask questions of each party in cross-examination at any time and photographs or other evidence will be allowed to be presented by each party.

11. At the completion of giving of evidence the Panel may take a short adjournment to decide if they are able to make an immediate determination, or may close the meeting and reserve their decision. The Panel may also determine that it is necessary to make a site visit prior to a determination being reached.

12. When considering an objection, the Panel must give due consideration to all relevant sections of the Dog Control Act 1996, but particularly to section 26(3)(a-e).

13. The decision of the Panel will be advised to all affected parties as soon as practically possible with compliance to be assessed as per the following 'Dog Control Hearing – Appeal Process Flowchart'.

14. Minutes of meetings and decisions must be kept as evidence of the proceedings of the meeting.

Waimate District Civic Awards Committee
Responsible for the receiving, assessment and granting of approval for Council's annual Civic Awards.

Management Structure & Relationship between Management and Elected Members

Council Leadership Team

Chief Executive Stuart Duncan
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Asset Group Manager Dan Mitchell
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Corporate Services Group Manager Tina Stevenson
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Community and Strategy Group Manager Carolyn Johns
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Human Resources Manager Fiona Hester-Smith
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Remuneration and Employment Policy

Elected Members Expenditure and Reimbursement Policy 310[5]
The purpose of the policy is to provide a financial and behavioural framework for remuneration, allowances, expenditures, and resources available to the Elected Members during their term in office.

Remuneration for mayors and councillors, in conjunction with levels of, and rules relating to, allowances and expenses for elected members, are determined triennially by the Remuneration Authority in accordance with the Local Government Act 2002.

Allowances and Expenses
The Remuneration Authority approves the expenses and allowances paid to Elected Members. Elected Members, in addition to salary payments, may receive reimbursement for vehicle mileage, travel time, childcare, and use of communication devices.

Remuneration
The Remuneration Authority sets the salaries for the Mayor and Councillors and the total remuneration pool. The new Council will agree on, and make a recommendation on the allocation of the remuneration pool, identifying remuneration for positions of responsibility, to then be approved and gazetted by the Remuneration Authority. The latest remuneration determination for Council elected members is presented below:

ELECTED MEMBER	REMUNERATION
Mayor	$86,500
Deputy Mayor	$38,882
Councillors (minimum allowable remuneration)	$25,921

Equal Employment Opportunities Statement

The Waimate District Council is committed to the principles and practices of Equal Employment Opportunity (EEO) as a means of ensuring that its current and potential employees have an equal opportunity to achieve their potential. Such commitment is captured, and emphasised on, in the Waimate District Council's Annual Statement.

The Council therefore strives to implement a purposeful programme of action to ensure its recruitment practices and procedures, conditions of employment and employee training and promotion opportunities are carried out with an awareness of and an intent to eliminate any unfair discrimination on the grounds of race, colour, ethnic or national origin, gender, disability, religion, sexual orientation, age, marital status, family responsibilities or political opinion.

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[5] Ibid, Elected Members Expenditure & Reimbursement Policy, March 2020
https://www.waimatedc.govt.nz/repository/libraries/id:21r92ideo17q9sg7je9s/hierarchy/Documents/Council/Publications/Policies%20-%20General/Elected%20Members%20Expenditure%20Reimbursement%20Policy

Systems for Public Access

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18   CONSIDERATION OF MAJOR (URGENT) OR MINOR ITEMS NOT ON THE AGENDA

Nil

PUBLIC EXCLUDED

19   EXCLUSION OF THE PUBLIC REPORT

RESOLUTION TO EXCLUDE THE PUBLIC

RECOMMENDATION

That the public be excluded from the following parts of the proceedings of this meeting.

The general subject matter 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 of the Local Government Official Information and Meetings Act 1987 for the passing of this resolution are as follows:

General subject of each matter to be considered	Reason for passing this resolution in relation to each matter	Ground(s) under section 48 for the passing of this resolution
19.1 - Public Excluded minutes of the Council Meeting held on 18 February 2020	s6(a) - the making available of the information would be likely to prejudice the maintenance of the law, including the prevention, investigation, and detection of offences, and the right to a fair trial	s48(1)(a)(i) - the public conduct of the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding would exist under section 6 or section 7
19.2 - 2020/21 Annual Plan - Considerations Post COVID-19	s7(2)(f)(i) - free and frank expression of opinions by or between or to members or officers or employees of any local authority	s48(1)(a)(i) - the public conduct of the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding would exist under section 6 or section 7

20   RE-ADMITTANCE OF THE PUBLIC REPORT

MEETING CLOSURE