



AGENDA

Audit and Risk Committee Meeting Friday, 14 February 2025

Date: Friday, 14 February 2025

Time: 9.30 am

**Location: Ngā Hau e Whā, William Fraser Building, 1
Dunorling Street, Alexandra**

(A link to the live stream will be available on the Central Otago District Council's website.)

**Peter Kelly
Chief Executive Officer**

Notice is hereby given that an Audit and Risk Committee will be held in Ngā Hau e Whā, William Fraser Building, 1 Dunorling Street, Alexandra and live streamed via Microsoft Teams on Friday, 14 February 2025 at 9.30 am. The link to the live stream will be available on the Central Otago District Council's website.

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Members Mr B Robertson (Chair), Her Worship the Mayor T Alley, Cr S Browne, Cr S Feinerman, Cr T Paterson

In Attendance P Kelly (Chief Executive Officer), L Fleck (General Manager - People and Culture), J Muir (Group Manager - Three Waters), S Righarts (Group Manager - Business Support), D Rushbrook (Group Manager - Community Vision), D Scoones (Group Manager - Community Experience), L Webster (Acting Group Manager - Planning and Infrastructure), W McEnteer (Governance Manager)

1 APOLOGIES

2 PUBLIC FORUM

3 CONFIRMATION OF MINUTES

Audit and Risk Committee - 28 January 2025

**MINUTES OF CENTRAL OTAGO DISTRICT COUNCIL
AUDIT AND RISK COMMITTEE HELD IN MICROSOFT TEAMS
AND LIVE STREAMED VIA MICROSOFT TEAMS ON TUESDAY, 28 JANUARY 2025 AT 9.30
AM**

PRESENT: Mr B Robertson (Chair), Her Worship the Mayor T Alley, Cr S Browne,
Cr S Feinerman, Cr T Paterson

IN ATTENDANCE: P Kelly (Chief Executive Officer), L Fleck (General Manager - People and Culture), J Muir (Group Manager - Three Waters), S Righarts (Group Manager - Business Support), D Scoones (Group Manager - Community Experience), P Morris (Chief Financial Officer), Q Penniall (Infrastructure Manager), W McEnteer (Governance Manager)

1 APOLOGIES

APOLOGY

COMMITTEE RESOLUTION

Moved: Robertson

Seconded: Paterson

That the apology for lateness received from Cr Browne be accepted.

CARRIED

2 PUBLIC FORUM

There was no public forum.

3 CONFIRMATION OF MINUTES

COMMITTEE RESOLUTION

Moved: Robertson

Seconded: Alley

That the public minutes of the Audit and Risk Committee Meeting held on 16 December 2024 be confirmed as a true and correct record.

CARRIED

4 DECLARATIONS OF INTEREST

Members were reminded of their obligations in respect of declaring any interests. Cr Paterson declared an interest in the Manuherehia Valley Community Hub item and Cr Feinerman declared an interest in the Ida MacDonald Roxburgh Pool Punawai Ora item. However, as no decisions were being made on their inclusion in the Long-term Plan they did not step aside from discussion.

Note: Cr Browne joined the meeting at 9.34 am.

5 REPORTS

25.1.2 THE CONSULTATION DOCUMENT AND SUPPORTING MATERIAL FOR THE 2025-34 LONG-TERM PLAN

To consider recommending to Council that the 2025-34 draft Consultation Document for the Long-term Plan and supporting information to the Consultation Document be provided to Audit New Zealand.

The Committee went through the draft consultation document and discussed any items that were unclear to them. It was noted that three waters were taken out after year three and if they were to come back in for the full nine years it would change the financial strategy.

They then made several suggestions for changes to draft consultation document which are as follows:

- Include comment about why rates are proposed to rise.
- Remove water services as a consultation item, as it will be consulted on independently from the Long-term Plan. It will remain as a key item to be noted in understanding the consultation document and the Long-term Plan. This includes the mention on p.201 of the attachments document.
- In addition, add a sentence in the foreword to say that budgets in the three waters space would not substantially change in Year 1 and 2, regardless of what the future water arrangements looked like.
- Discussion on the roading programme, not as a consultation item but as a discussion point.
- The pictures on items 4/5 and 8/9 should be different.
- On page 206 of the attachments document, the fifth column should read "*Rates Contribution*" and there should be a total at the bottom of each column of the table.
- On p.220, there was a query if the pie chart was correct. Staff would check that it was correct.
- On p.222, there should be a note that ratepayers can use the rates tool to identify what their proposed rates are for next year.
- It was noted that hyperlinks would be added as available.
- A note for the community to check their own rates on the rates calculator.

COMMITTEE RESOLUTION

Moved: Robertson
Seconded: Alley

That the Audit and Risk Committee

- A. Receives the report and accepts the level of significance.
 - B. Recommends to Council that the draft Consultation Document be provided to Audit New Zealand for audit as required under the Local Government Act 2002, subject to the amendments received at the meeting.
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- C. Recommends to Council that the following supporting information to the Consultation Document be provided to Audit New Zealand to facilitate the audit:
- (a) Infrastructure Strategy
 - (b) Financial Strategy
 - (c) Development and Financial Contributions Policy
 - (d) Fees and Charges
 - (e) Significance and Engagement Policy
 - (f) Revenue and Financing Policy
 - (g) Rates Remission and Postponement Policy
 - (h) Liability Management Policy
 - (i) Investment Policy
 - (j) Prospective Financial Statements and Prospective Funding Impact Statements
 - (k) Community Outcomes Development
 - (l) Significant Forecasting Assumptions and Risks
 - (m) Capital Expenditure for Activity Groups

CARRIED

6 DATE OF THE NEXT MEETING

The date of the next scheduled meeting is 14 February 2025.

The meeting closed at 11.20 am.

.....
CHAIR / /

4 DECLARATIONS OF INTEREST

25.2.1 DECLARATIONS OF INTEREST REGISTER

Doc ID: 2387309

Report Author:	Wayne McEnteer, Governance Manager
Reviewed and authorised by:	Saskia Righarts, Group Manager - Business Support

1. Purpose

Members are reminded of the need to be vigilant to stand aside from decision making when a conflict arises between their role as a member and any private or other external interest they might have.

2. Attachments

Appendix 1 - Declarations of Interest [↓](#)

Appendix 2 - Declarations of Interest - Bruce Robertson [↓](#)

Name	Member's Declared Interests	Spouse/Partner's Declared Interests	Council Appointments
Tamah Alley	Manuherikia Irrigation Co-operative (shareholder) Cliff Care Ltd (family connection) Aviation Cherries Ltd (Director) Tenaya New Zealand Ltd (Director and Shareholder) Southern Lakes Trails (Trustee) LGNZ Zone 6 Chair	Manuherikia Irrigation Co-operative Society Ltd (shareholder) Emergency Management Otago Group Controller (employee) Aviation Cherries Ltd (Director)	Alexandra Community House Trust Central Otago Wilding Conifer Control Group Destination Advisory Board
Sarah Browne	Anderson Browne Construction and Development (Director and Shareholder) Infinite Energy Ltd (Shareholder) Central Otago Sports Turf Trust (Trustee) Central Football and Multisport Turf Trust (Trustee) Sutherland Architecture Studio Ltd (Employee)	Anderson Browne Construction and Development (Director and Shareholder) Infinite Energy Ltd (Employee)	Cromwell Youth Trust Tarras Community Plan Group
Sally Feinerman	Feinerman's Ltd, 109 Scotland Street (Owner / Director) Roxburgh Pool Committee (Chair) Sally Feinerman Trust (Trustee) Feinerman Family Trust (Trustee) MPI Teviot Valley Community Hubs group	Breen Construction (Employee / Builder)	Ida MacDonald Charitable Trust Teviot Prospects Teviot Valley Walkways Committee

<p>Tracy Paterson</p>	<p>Matakanui Station (Director and shareholder) Matakanui Development Co (Director and shareholder) A and T Paterson Family Trust (Trustee) A Paterson Family Trust (Trustee) Central Otago Health Inc (Elected Member) Bob Turnbull Trust (Trustee / Chair) New Zealand Wool Classers Association (Chair) Central Otago A&P Association (Member) Waiora Manuherikia Governance Group (Member) Central Otago Riding for the Disabled (Volunteer)</p>	<p>Matakanui Station (Director and shareholder) Matakanui Development Co (Director and shareholder) A Paterson Family Trust (Trustee) A and T Paterson Family Trust (Trustee) Federated Farmers (On the executive team) Omakau Irrigation Co (Director) Matakanui Combined Rugby Football Club (Committee) Manuherikia Catchment Group (Co-chair) Omakau Domain Board Omakau Hub Committee (Chair) Manuherikia Valley Community Hub Trust (Trustee) Southern Cross Sheep Ltd (Director) Mt Stalker Ltd (Trustee) Mt Stalker Pastoral Ltd DKIL Ltd (Shareholder)</p>	<p>Omakau Recreation Reserve Committee Ophir Welfare Association Committee Central Otago Health Incorporated</p>
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Interest declaration as at 01 December 2023

<i>Entity</i>	<i>Role</i>	<i>Comment</i>
RBruce Robertson Ltd	Shareholder & director	Governance and advisory services
Local authorities		All roles on Local Authorities relate to Audit and Risk Committees
Hamilton	Deputy Chair	
Thames Coromandel	Chair	
Waipa	Chair	
Waitomo	Chair	
Taupo	Chair	
Bay of Plenty	Deputy Chair	
Tauranga	Member	
Gisborne	Chair	
Napier	Chair	
South Wairarapa	Chair	
Wellington	Chair	
Timaru	Chair	
Central Otago	Chair	
Invercargill	Chair	
Southland	Chair	
Central Government		
Ministry of Primary Industries	Chair	Audit and Risk Committee
CCO		
Regional Software Holdings Ltd (RSHL)	Board member	Software and support services to the Regional Council sector

5 REPORTS

25.2.2 POLICY AND STRATEGY REGISTER

Doc ID: 2387270

Report Author:	Alix Crosbie, Senior Strategy Advisor
Reviewed and authorised by:	Dylan Rushbrook, Group Manager - Community Vision

1. Purpose

To consider the updated Policy and Strategy Register.

Recommendations

That the report be received.

2. Discussion

The overall organisational performance met the 90% target, at 91.67% of required policy documents in place.

Business Support – 97.62%

Both the Procurement Policy and Risk Management Policy were renewed.

The only policy out of date is the Financial Reserves Policy.

Both the Privacy Policy and LGOIMA Policy are due for review in February.

Community Experience – 100%

The Open Spaces Naming Policy was added to the register. It was adopted in early 2024 and is due for renewal.

The Plaques and Memorials Policy review – due February 2025 – is underway.

Community Vision – 100%

No changes in Community Vision. The District Vision will replace the Community Development Strategy in 2025. This work is well underway; as is the Economic Development Strategy renewal.

Planning & Infrastructure – 69.57%

Consultation opened on three out of date policies – the Alcohol Restrictions in Public Places Bylaw; Gambling and Board Venue Policy; and Psychoactive Substances Policy – and they remain on track for renewal in May.

The Roading Policy review is programmed to be renewed by 30 June.

People & Culture – 93.33%

The Adverse Weather Guidelines were updated.

Three Waters – 100%

Three Waters remains on track to meet the amended schedule.

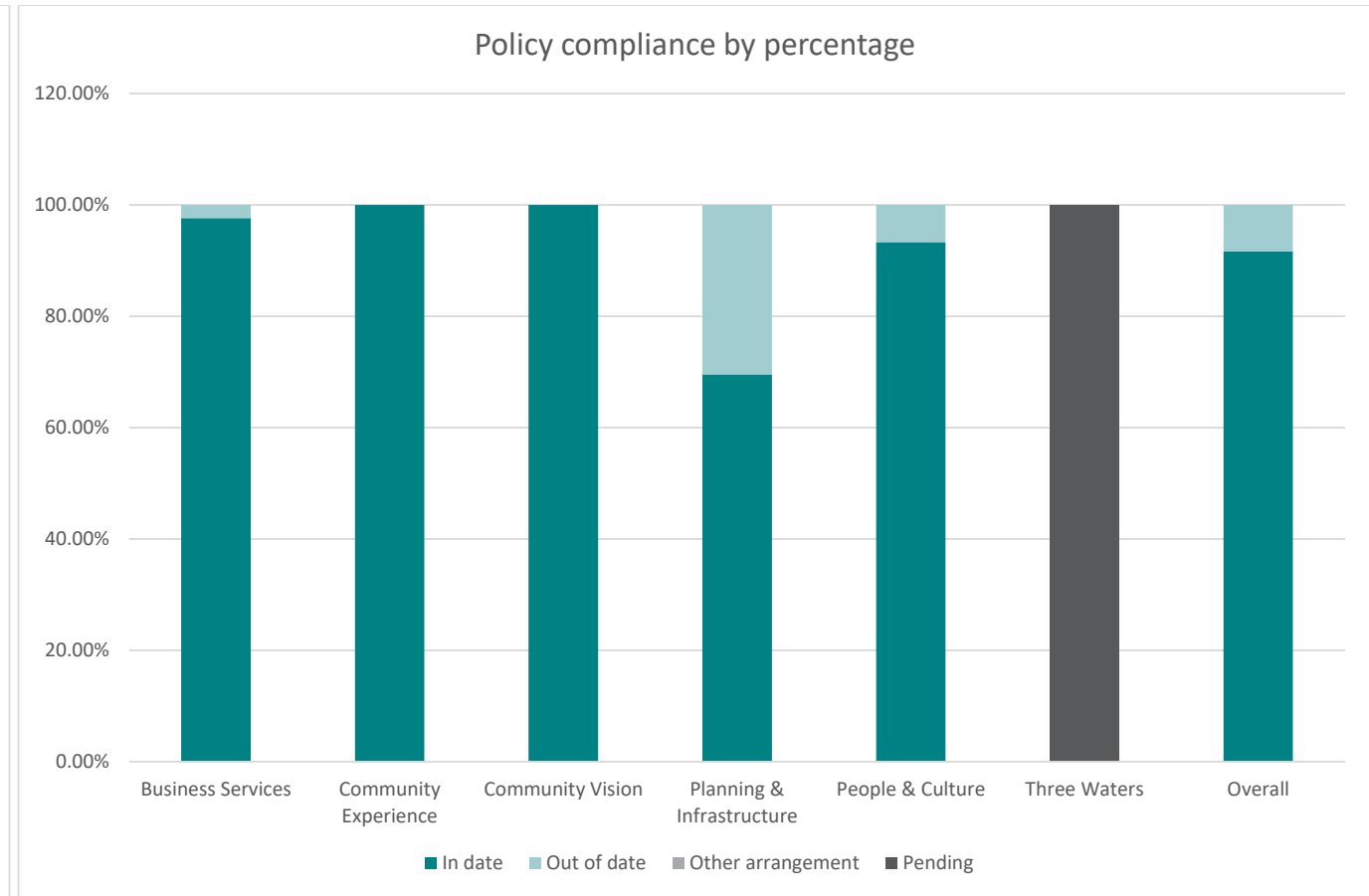
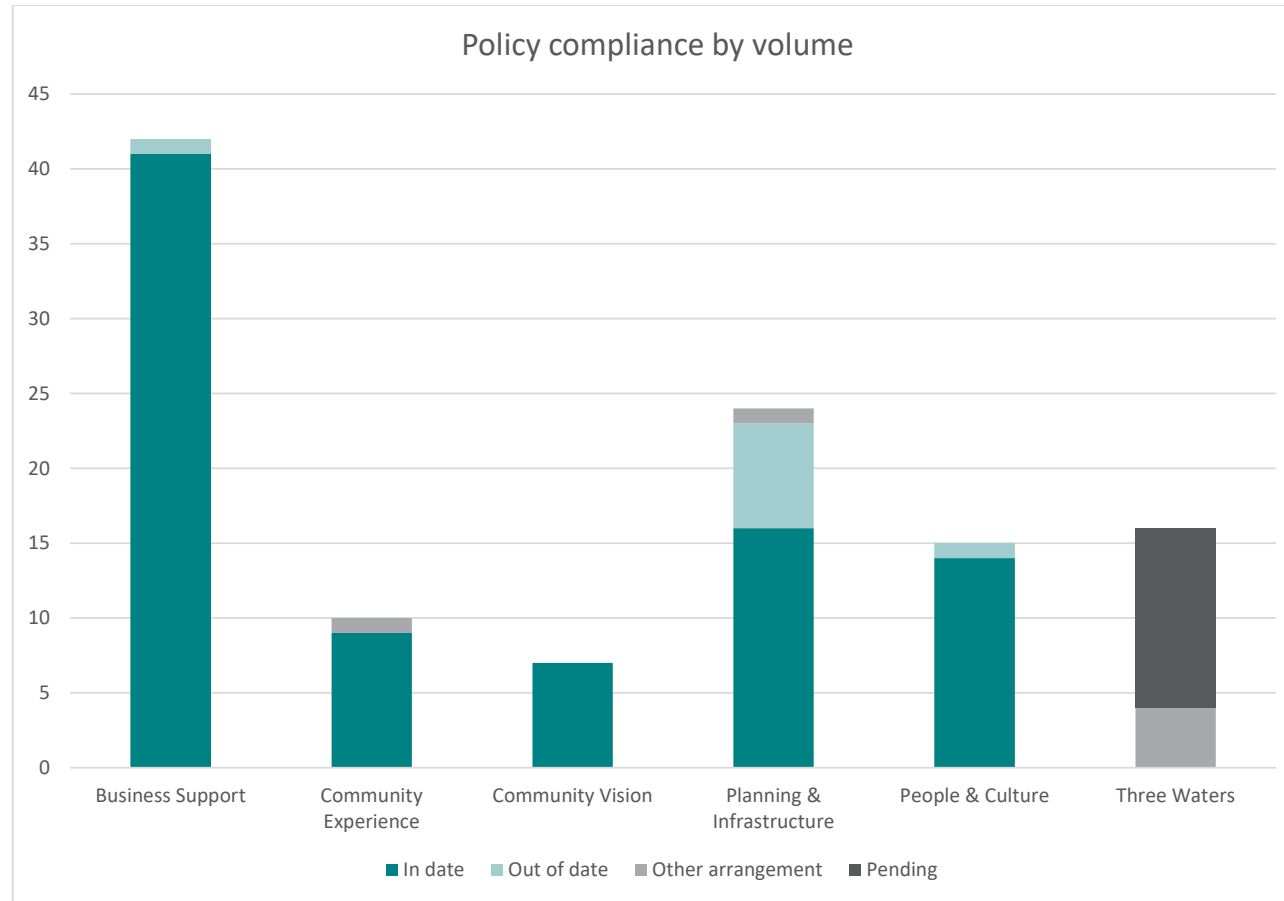
3. Attachments

Appendix 1 - Policy and Strategy Register [↓](#)



Central Otago Policy Register

Policy compliance snapshot



Department	Total number of policies, strategies, and plans	Total number of policies assessed for compliance	Not assessed	Policies in date	Policies out of date without formal arrangement	Policies out of date with formal arrangements	Pending	Compliance (%)
Business Support	42	42	0	41	1	0		97.62%
Community Experience	10	9	1	9	0	0		100.00%
Community Vision	7	7	0	7	0	0		100.00%
Planning & Infrastructure	24	23	1	16	7	1		69.57%
People & Culture	15	15	0	14	1	0		93.33%
Three Waters	16	12	4	12	0	0	5	100.00%
Total	114	108	6	99	9	1		91.67%

Compliance target: 90%
Cumulative length of expiry: 3,083 days
Status: Compliance target met
Prepared: Calculated as at 3 February 2025





Business Support

Responsible officer: General Manager Business Support

Executive Function

Document	Date reviewed	Due for review	Responsibility	Explanation	Publication	Status
Annual Plan	June 2023	30 June 2026	Council	Produced in each of the two years between Long-term plans. Refreshes budgets and work programmes and considers whether adjustments are needed. Legislative requirement under the Local Government Act.	External	Operational. Review underway.
Annual Report	September 2024	September 2026	Council	Produced at the end of each financial year. Sets out performance and delivery against budgets and targets.	External	Operational
Organisational Business Plan	July 2024	July 2025	CEO	Describes the organisational business focus for the year.	Internal	Operational
Long-term Plan	June 2021	30 June 2025	Council	Core functional document and legislative requirement. Sets the strategic direction and work programme for the 10 years ahead. Describes the council's activities and relevant community outcomes. Outlines services, projects, costs, how they are paid for, and the relevant measurements of success and effectiveness. Produced every three years to statutory timeframes. Local Government Act 2002 Section 93 (6) (c)	External	Operational. Process has begun for next LTP.
Significance and Engagement Policy	June 2021	LTP	Audit & Risk Council	Legislative requirement and core document. Identifies the degree of significance, when and how communities can expect to be engaged, and the decision-making process. Reviewed through Long-term Plan	External	Operational
Staff Interests Policy	October 2024	October 2027	Audit & Risk CEO	Manages conflict of interest to maintain the impartiality, transparency, and integrity of Council and protect employees from potential perceptions or allegations of bias.	Internal	Operational

Finance

Document	Date reviewed	Due for review	Responsibility	Explanation	Publication	Status
Credit Card Policy	June 2024	June 2027	Audit & Risk CEO	Guidance for employees and Elected Members on the use of credit cards – defines parameters and mitigates risk	Internal	Operational
Financial Reserves Policy	July 2021	June 2024	Council	Guidance to ensure Council's financial reserves are managed consistently, accurately, and transparently within clearly defined parameters.	External	Out of date
Financial Strategy	June 2021	LTP	Council	Sets out the two guiding principles of affordability and sustainability. Includes how we fund, spend, and deliver. Reviewed through Long-term Plan process.	External	Operational
Fraud, Bribery, and Corruption Policy	April 2024	April 2027	Audit & Risk Council	Clear guidance to staff who encounter or suspect fraud, bribery, and/or corruption. Raise awareness about how to recognise fraud, bribery, and corruption.	External	Operational
Investment Policy	June 2021	LTP	Audit & Risk Council	Reviewed through Long-term Plan process. Legislative requirement of the Local Government Act Sections 102(2)(c) and 105. Ensures all statutory requirements are met. Ensures Council appropriately manages funds for legislated purposes.	External	Operational
Liability Management Policy	June 2021	LTP	Audit & Risk Council	Reviewed through Long-term Plan process. Legislative requirement of the Local Government Act Sections 102(2)(b) and 104 and Sub Part 4 of Part 6 (Sections 112 to 122). Ensures all statutory requirements are met. Ensures Council has appropriate funding facilities and complies with lending and risk requirements.	External	Operational
Procurement Policy	January 2025	October 2026	Audit & Risk Council	Guided by New Zealand Government Procurement Rules released by the Ministry of Business, Innovation, and Employment.	External	Operational



Protected Disclosures (Whistleblowing) Policy	September 2022	September 2025	Audit & Risk Council	Provides a consolidated view of the procurement objectives and requirements. Legislative requirement – Protected Disclosures (Protection of Whistleblowers Act 2022). Provides principles, objectives and a framework by which serious wrongdoing may be reported and the subsequent protections afforded to the whistleblower. Encourages the reporting of suspected or actual wrongdoing.	External	Operational
Rates Remission Policy	June 2021	LTP	Audit & Risk Council	Reviewed through Long-term Plan process. Clear guidance when and how a rates remission can be sought.	External	Operational
Rating Policy	June 2023	LTP	Audit & Risk Council	Reviewed through Long-term Plan process. Defines categories of rateable land, due dates and penalties, and spells out the rating charges and the total rates to be collected for a given year.	External	Operational
Revenue and Financing Policy	June 2021	LTP	Audit & Risk Council	Reviewed through Long-term Plan process. Sets out the council’s policies in respect of funding operating and capital expenditure.	External	Operational
Risk Management Policy and Process	October 2023	October 2024	Audit & Risk Council	Sets objectives, principles, processes, and parameters to ensure risk management practices are embedded and reviewed across the organisation. Notes for 2023 review in DOC:599884	External	Operational
Sensitive Expenditure Policy	June 2024	June 2027	Audit & Risk Council	Clearly defined parameters for sensitive expenditure to ensure it is consistently assessed, authorised, and reviewed. Ensures Council is a responsible user of public money.	External	Operational
Travel Policy	June 2024	June 2027	Audit & Risk Council	Provides a clear, transparent, consistent, and cost-effective approach to travel-related expenses incurred. Ensures both travel risks and costs are effectively identified, managed, authorised, and monitored.	Internal	Operational
Vehicle Purchase, Maintenance, and Disposal Policy – Personal Use	December 2024	December 2027	CEO	Provides a co-ordinated, consistent, cost-effective, and transparent approach to the procurement, maintenance, and disposal of council-owned motor vehicles. Supports value for money and sustainability objectives.	Internal	Operational
Vehicle Purchase, Maintenance, and Disposal Policy – General Council Vehicles	December 2024	December 2027	CEO	Provides a co-ordinated, consistent, cost-effective, and transparent approach to the procurement, maintenance, and disposal of council-owned motor vehicles. Supports value for money and sustainability objectives.	Internal	Operational

Governance

Document	Date reviewed	Due for review	Responsibility	Explanation	Publication	Status
Appointment and Remuneration of Directors Policy	October 2022	October 2025	Council	Legislative requirement of Section 57(1) of the Local Government Act 2002. Sets an objective and transparent process for the identification, appointment, and remuneration of directors.	External	Operational
Code of Conduct	October 2022	October 2025	Council	Legislative requirement. Sets out standards of behaviour expected from members in the exercise of their duties. Reviewed through electoral process.	External	Operational
Delegations Register (including Audit and Risk Terms of Reference)	October 2022	October 2025	Council	Derived from Schedule 7, clause 32 (2) and sub clause 32 (1) of the Local Government Act 2002. Outlines the assignment of power, function or duty of action – and the related authority to complete the action assigned. Reviewed through electoral process.	External	Operational
Elected Members Allowances and Reimbursements Policy	July 2022	July 2025	Council	Legislative requirement. Relates to the Local Government Act 2002, Remuneration Authority Act 1977, and Local Government Elected Members (2021/22) (Certain Local Authorities) Determination 2021. Provides a framework for allowances, expenses claimed, and resources available to elected members during their term in office.	External	Operational



Governance Statement	March 2023	March 2026	Council	Legislative requirement of the Local Government Act 2002. Outlines how Council makes decisions and shows how residents can influence those processes. Council is obliged to provide a new governance statement within six months of each triennial election.	External	Operational
Otago Local Authorities' Triennial Agreement	2023	1 March 2026	Council and external bodies	Legislative requirement. Section 15 of the Local Government Act 2002 requires local authorities within a region to enter into a Triennial Agreement to ensure appropriate levels of communication, coordination, and collaboration.	External	Operational
Pre-election Report	July 2022	2025	CEO	Legislative requirement of the Local Government Act 2002 (section 99A). Provides an update on the state of business in Central Otago for public discussion.	External	Operational
Standing Orders (Community Boards)	October 2022	October 2025	Council	Legislative requirement. Sets out rules for the conduct of proceedings. Relates to Local Government Act 2002, Local Government Official Information and Meetings Act 1987, Local Authorities (Members' Interests) Act 1968. Reviewed through electoral process.	External	Operational
Standing Orders (Council)	October 2022	October 2025	Council	Legislative requirement. Sets out rules for the conduct of proceedings. Relates to Local Government Act 2002, Local Government Official Information and Meetings Act 1987, Local Authorities (Members' Interests) Act 1968. Reviewed through electoral process.	External	Operational

Information Services

Document	Date reviewed	Due for review	Responsibility	Explanation	Publication	Status
Closed Circuit Television (CCTV) Policy	January 2023	January 2026	Council	Provides guidance on the management and use of Council's CCTV network.	External	Operational
Cybersecurity Plan	2022	2025	CEO	Details approach to cybersecurity.	Internal	Operational
Digital and Information Strategy	July 2022	July 2025	CEO	Guidance how to integrate digital services and information to meet community need	Internal	Operational
Information and Communication Technology Disaster Recovery Plan	April 2024	April 2025	CEO	Manages the backup and recovery of digital information and information systems in the event of a disaster or emergency event	Internal	Operational
Information and Records Management Disaster Recovery Plan	April 2024	April 2025	CEO	Manages protecting and salvaging physical records and archives in the event of a disaster	Internal	Operational
Information and Records Management Plan	2024	2025	CEO	Comprehensive plan for the effective retention, appraisal, and disposal of Council information and records.	Internal	Operational
Information and Records Management Policy	March 2024	March 2027	Council	Guidance for the effective retention, appraisal, and disposal of Council information and records. Part of Information and Records Management Plan.	Internal	Operational
Privacy Policy	2024	February 2027	Audit & Risk CEO	Outlines Council's code of practice and legal obligations in accordance with the Privacy Act 2020.	Internal	Operational
Privacy Plan	2022	2025	CEO	Details approach to privacy.	Internal	Operational
Protection of Information and Information Systems (Cybersecurity) Policy 2019-2022	March 2024	March 2027	Audit & Risk Council	Protects users of council information and information systems, including personal information. Will include Acceptable Use of Public Wi-Fi Standard. Report to December Audit and Risk meeting.	Internal	Operational
LGOIMA Request Policy	2024	February 2027	Audit & Risk CEO	Ensures Council meets the legal obligation on granting requests for official information under the Local Government Official Information and Meetings Act (LGOIMA) 1987. Provides a framework to ensure processes are open and transparent.	Internal	Operational



Community Experience

Responsible officer: General Manager Community Experience

Libraries

Policy Name	Date reviewed	Due for review	Responsibility	Explanation	Publication	Status
Libraries Guidelines	September 2024	September 2027	Council		External	Operational

Parks and Recreation

Document	Date reviewed	Due for review	Responsibility	Explanation	Publication	Status
Cemeteries Bylaw	November 2020	November 2025	Council	Regulates the management of cemeteries.	External	Operational
Cemeteries Handbook 2020	2020	2025	Council	Further details the management of cemeteries	External	Operational
District Tree Policy	November 2022	November 2025	Council	Specifies principles, policies, and objectives regarding Council's ongoing protection and management of Council-owned trees within the district.	External	Operational
Open Spaces Naming Policy	January 2024	February 2025	Council	Sets out a framework for naming open spaces	External	Operational
Parks and Recreation Activity Management Plan	2021	2026	Council	Formally documents the management philosophy applied to parks and recreation assets and services	Internal	Operational
Plaques and Memorials Policy	February 2023	February 2025	Council	Provides a framework to guide the installation, location, and management of commemorative memorials on parks and reserves.	External	Operational
Reserve Management Plans (RMP) x11	Various	Various	Council	Contain objectives and policies for the management, protection, and future development of a reserve. Relate to the Reserves Management Act 1977. 11 Reserve Management Plans are in place covering 55 reserves.	External	Various
Smokefree and Vape Free Policy	September 2024	September 2027	Council	Designates smokefree and vape free public areas, including all parks and reserves, and within 10m of the entrance of any council-owned building or bus stop. Linked to the Government's Smokefree Aotearoa Plan 2025.	External	Operational
Wilding Conifer Control Policy	October 2024	October 2027	Council	Provides guidance on Council's approach to managing wilding conifers on council owned or managed land.	External	Operational

Future work items: Open Spaces Strategy; Playground Strategy; Responsible Camping Strategy, Reserve Naming Policy



Community Vision

Responsible officer: Executive Manager Community Vision

Community and Engagement

Document	Date reviewed	Due for review	Responsibility	Explanation	Publication	Status
Community Development Strategy	March 2021	2025	Council	Framework for well-beings, community outcomes, identity values, and community development. Extended via resolution 24.2.8	External	Operational
Grants Policy	November 2024	November 2027	Council	Ensures a robust, fair and contestable process is in place for giving public money. Due for review in 2024; earlier review programmed during LTP process. Extended via resolution 24.2.8	External	Operational
Media Policy	October 2023	October 2026	Council	Guides staff and elected members on their roles and responsibilities with regard to external media communications and social media platforms	Internal	Operational

Future work: Wellbeing Strategy; Communications and Engagement Strategy

Strategy and Economic Development

Document	Date reviewed	Due for review	Responsibility	Explanation	Publication	Status
Economic Development Strategy	May 2019	2025	Council	Economic development framework to assist in achieving gains in economic performance and manage challenges. Supports well-being (core function.) Review underway – report to Council will request extension of existing strategy while work is carried out. Extended via resolution 24.9.5	External	Operational
Film Friendly Policy	June 2023	June 2026	Council	Partnership agreement with Film NZ to agree to Film Friendly Regulations – application of NZ Local Government Filming Protocols. There are conditions both Film NZ and the Council must meet.	External	Operational
Policies Policy	January 2023	January 2026	Council	Outlines processes and expectations around policies.	Internal	Operational

Future work: Housing Strategy

Tourism

Document	Date reviewed	Due for review	Responsibility	Explanation	Publication	Status
Destination Management Plan	October 2022	2027	Council	Brings together different stakeholders to achieve the common goal of developing a well-managed, sustainable visitor destination aligned to aspirations and values of our communities and mana whenua.	External	Operational



Planning and Infrastructure

Responsible officer: General Manager Planning and Infrastructure

Executive Function

Document	Date reviewed	Due for review	Responsibility	Explanation	Publication	Status
Fixed Asset Management and Disposal Policy	January 2023	January 2025	Audit & Risk Council	Provides guidance and clarity surrounding the management and disposal of Council assets, ensuring probity, accountability, and transparency.	External	Out of date
Infrastructure Resilience Plan	June 2020	June 2025	CEO	Assesses the resilience of Council's infrastructure networks to hazards and identifies opportunities to strengthen.	Internal	Operational
Infrastructure Response Plan	June 2020	June 2025	CEO	Council's arrangements for responding to significant failures		Operational
Infrastructure Strategy	June 2021	LTP	Audit & Risk Council	Required under section 101B of the Local Government Act 2002. Identifies significant infrastructure issues for the next 30 years, the options for managing those issues, and the implications of the options. Currently covers Three Waters and Roding. 2024 version won't include Three Waters but should include Parks and Property. Reviewed through Long-term Plan.	External	Operational

Environmental Engineering

Document	Date reviewed	Due for review	Responsibility	Explanation	Publication	Status
Sustainability Strategy	April 2019	April 2024	Council	Provides sustainability workstreams, goals, actions, and measures of success. Assists with compliance Toitū carbon reduce programme.	External	Out of date
Waste Management and Minimisation Bylaw	March 2021	March 2026	Council	Supports the promotion and delivery of effective and efficient waste management and minimisation as required under the Waste Minimisation Act 2008.	External	Operational
Waste Management and Minimisation Plan	June 2024	2030	Council	Supports the Waste Management and Minimisation Bylaw. Reviewed through Long-term Plan.	External	Operational

Property

Document	Date reviewed	Due for review	Responsibility	Explanation	Publication	Status
Council-owned Earthquake-prone Buildings Policy	June 2020	June 2025	Council	To provide clear guidance for the management of a specific issue. For compliance with the Building (Earthquake-prone Buildings) Amendment Act 2016.	External	Operational
Community Leasing and Licensing Policy	July 2022	July 2025	Council	To provide a consistent and equitable framework for community leases and licences. To provide fairness, equity, and prudent financial management.	External	Operational
Public Toilet Policy	April 2023	April 2026	Council	Provides guidance around the provision of public toilets	External	Operational

Planning

Document	Date reviewed	Due for review	Responsibility	Explanation	Publication	Status
District Plan	April 2008	TBD	Council	Alternate timeframe ratified by Council.	External	Agreed alternate timeframe
Lighting Policy	March 2019	June 2022	Council	Public spaces lighting policy – protects night skies from light pollution. Applies to land owned or managed by Council. Currently under review - completion will follow Dark Skies Plan	External	Out of date Review programmed
Master and Spatial Plans <ul style="list-style-type: none"> Alexandra Airport Masterplan (2021) Cromwell (2019) 	Various	Various	Council	Provides guidance to facilitate growth. Teviot Spatial Plan in development.	External	Operational



• Vincent (2022)						
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Regulatory

Document	Date reviewed	Due for review	Responsibility	Explanation	Publication	Status
Alcohol Restrictions in Public Places Bylaw	May 2019	May 2024	Council	Legislative mechanism to set controls on the consumption of alcohol in public places.	External	Out of date Review underway
Dangerous and Insanitary Building Policy	March 2022	March 2025	Council	Requirement of the Building Act 2004.	External	Operational
Dog Control Bylaw	December 2020	December 2025	Council	Bylaw created under the Dog Control Act. Includes regulatory provisions for dog control in the district.	External	Operational
Dog Control Policy	December 2020	December 2025	Council	Complementary to the Dog Control Bylaw. Establishes the framework on which the bylaw and associated fees regarding dog registration and offences are based.	External	Operational
Easter Sunday Trading Policy	June 2022	June 2027	Council	Enables local businesses to trade on Easter Sunday in line with the Shop Trading Hours Amendment Act 2016. Legislation allows for five-year rollover. Requires consultation for each renewal – even with no changes – however can remain operational for up to two years after it lapses.	External	Operational
Gambling and Board Venue Policy	June 2020	June 2023	Council	Requirement under the Gambling Act. Establishes a framework for the regulation and control of Class 4 Gambling and Board Venues.	External	Out of date Review underway
Psychoactive Substances Policy	June 2019	June 2024	Council	Provision of Section 66 of the Psychoactive Substances Act 2013. Regulates the availability of psychoactive substances. Enables Council and community to have influence over the location of retail premises in the district.	External	Out of date Review underway

Future work: Enforcement strategy; Trading in Public Places Bylaw

Roading

Document	Date reviewed	Due for review	Responsibility	Explanation	Publication	Status
Roading Activity Management Plan	September 2021	November 2025	Council	Guides management of strategic asset	External	Operational
Roading Bylaw	November 2020	November 2025	Council	Provides the regulatory framework to facilitate the Council in achieving a safe, efficient, and fully accessible transportation network.	External	Operational
Roading Policy	January 2016	June 2022	Council	Ensures a safe, efficient, and fully accessible transportation network is in place. Puts in place a minimal regulatory framework and ensures enforcement can be undertaken.	External	Out of date. Review underway.
Transportation Procurement Strategy	May 2020	May 2025	Audit & Risk Council	Ensures resources are used effectively and economically to deliver fit for purpose infrastructure.	External	Operational



People and Culture

Responsible officer: General Manager People and Culture

Human Resources

Document	Date reviewed	Due for review	Responsibility	Explanation	Publication	Status
Equal Employment Opportunity (EEO), Discrimination, Harassment and Bullying Policy	September 2023	September 2026	CEO	Embeds equal employment opportunity and anti-discriminatory practices to provide a workplace free from discrimination, harassment, and victimisation.	Internal	Operational
Code of Conduct	July 2023	July 2026	CEO	Sets out staff responsibility in the areas of integrity, conduct and performance	Internal	Operational
Flexible Work Practices Policy	February 2023	February 2026	CEO	Sets out staff arrangements for flexible working.		
Leave Management Policy	January 2024	January 2027	CEO	Provides direction in relation to the administration of leave benefits. Relates to the Holidays Act 2003, Parental Leave and Employment Protection Amendment Act 1987, and Volunteers Employment Protection Amendment Act 1973.	Internal	Operational
Performance Management Policy	August 2023	August 2026	CEO	Provides a framework for dealing with instances where employees are alleged not to have met the required standards of behaviour, performance, conduct, and attendance. Ensures prompt, consistent, and fair treatment.	Internal	Operational
Police Vetting Guidelines	2021	2026	CEO	Ensures compliance with the Children's Act 2014	Internal	Operational
Remuneration Policy	2024	February 2027	CEO	To ensure that the Central Otago District Council attracts and retains employees through effective, competitive and affordable remuneration practices.	Internal	Operational
Reward and Recognition Policy	January 2024	January 2027	CEO	The reward & recognition policy sets out to value our people and ensure contributions are recognised.	Internal	Operational
Staff Delegations Manual	August 2024	July 2025	Audit & Risk Council	Sets out the delegations given to officers in relation to certain administrative and financial matters, statutory duties, responsibilities, and powers.	External	Operational
Vehicle Use and Safe Driving Policy	February 2023	February 2028	CEO	Supports a safe driving culture to reduce the number of vehicle-related incidents and injuries and to reduce the costs associated with poor driving.	Internal	Operational

Health, Safety, Wellbeing and Security

Document	Date reviewed	Due for review	Responsibility	Explanation	Publication	Status
Adverse Weather Guidelines	January 2025	January 2027	CEO	Work practises to ensure safety in adverse weather	Internal	Operational
Health, Safety and Wellbeing Management Framework	June 2022	March 2024	CEO	Designed to support CODC to meet or exceed its duty to provide a safe and healthy working environment.	Internal	Out of date
Health and Safety Policy Statement	November 2024	November 2025	CEO	Sets out commitment under the Health and Safety at Work Act 2015 to protect the health and safety of employees, contractors, volunteers, and customers.	Internal	Operational
Safeguarding and Child Protection Policy	July 2022	July 2025	CEO	Ensures Council has a strong culture of child protection and appropriate vetting is in place. Complies with the Children's Act 2014. Includes: <ul style="list-style-type: none"> • Procedure for responding to child abuse and neglect (against staff) • Procedure for responding to disclosed or suspected child abuse or neglect • Publication of photo and video consent form 	External	Operational
Smoke and Vaping Free Workplaces Policy	January 2023	January 2026	CEO	Sets out the expectations around smoking at Central Otago District Council (CODC) workplaces under the Smokefree Environments and Regulated Products Act 1990 (the Act) and subsequent amendments.	Internal	Operational
Trespass Policy	January 2023	January 2026	CEO	Sets out the procedure for authorised employees to trespass a person or persons who pose a risk to Council, property, or any person under the Trespass Act 1980.	Internal	Operational



Water Services

Responsible Officer: Group Manage Water Services

Three Waters

Note: Policies and bylaws were largely deferred during the previous government water reform transition period based on advice from the National Transition Unit. A program for developing new asset management plans, water services delivery plan, water safety plans, policies and bylaws is being developed based on legislated delivery timelines for key documents.

It is likely that there will be more legislated plans required to be produced for wastewater and stormwater management following the release of Bill 3 in December 2024.

Document	Date reviewed	Due for review	Responsibility	Explanation	Publication	Status
Water Services Asset Management Plans	2021	March 2025	Group Manager Water Services	Plan for management of strategic asset. New asset management plans are currently being prepared for the 2025 Long Term Plan.	Internal	Pending
Water Services Delivery Plan	New	LTP & 2 September 2025	Council	Councils are required to prepare water services delivery plans to demonstrate their commitment to deliver water services that meet regulatory requirements, support growth and urban development, and that are financially sustainable. Council is required to provide an assessment of their water infrastructure, how much they need to invest, and how they plan to finance and deliver it through their preferred water service delivery model. Consultation on the preferred model is expected to be undertaken as part of the LTP.	External	Pending
Infrastructure Strategy	June 2021	LTP	Audit & Risk Council	Required under section 101B of the Local Government Act 2002. Identifies significant infrastructure issues for the next 30 years, the options for managing those issues, and the implications of the options. Currently covers Three Waters and Roading. Reviewed through Long-term Plan.	External	Pending
Development and Financial Contributions Policy	June 2021	LTP	Council	Outlines Council's approach to funding development infrastructure via development contributions under the Local Government Act 2002 and Resource Management Act 1991. Reviewed through Long-term Plan.	External	Pending
Leakage Remissions Policy	June 2021	LTP	Council	Standardised procedure to assist ratepayers who have excessive water rates due to a fault/leak. Reviewed through Long-term Plan process.	External	Pending
Water Services Fixed Asset and Disposal Policy	New	March 2025	Audit & Risk Council	Provides guidance and clarity regarding the capitalisation and valuation of assets, and disposal of Council assets, ensuring probity, accountability, and transparency.	Internal	Pending
Water Services Resilience Plan	June 2020	April 2025	Group Manager Water Services	Assesses the resilience of Council's three waters to hazards and identifies where upgrades are required.	Internal	Pending
Water Services Response Plan	June 2020	April 2025	Group Manager Water Services	Council's arrangements for responding to significant failures	Internal	Pending
Subdivision Engineering Standards for Water Services	September 2019	April 2025	Council	Provides appropriate standard for land development and subdivision engineering. Council is currently using New Zealand Standard 4404:2004 with a local addendum. The third Local Water Done Well Bill due in December 2024 will include changes relating to national engineering design standards for water services. These will be mandatory.	External	Operational Work underway
Drinking Water Quality Policy Statement	March 2020	April 2025	Council	Policy position on drinking water quality.	Internal	Out of date



				The ongoing need for this policy will be reviewed against new legislation requirements for water safety plans.		
Water Safety Plans <ul style="list-style-type: none"> • Lake Dunstan Water Supply (2023) • Cromwell (2022) • Naseby (2022) • Omakau (2022) • Patearoa (2022) • Pisa Village (2022) • Ranfurly (2022) • Roxburgh (2022) 	Various	Omakau and Ophir Dec 2024 Remaining 8 by July 2025.	Group Manager Water Services	Requirement of the Water Services Act 2021 from 14 November 2022. These are required to be reviewed on an ongoing basis when any issue is identified or any operational or asset change is made. Taumata Arowai have undertaken a review of the Water safety Plans and have requested these be updated to more accurately reflect the requirements of the Act.	Internal	Pending
Water Services Policy	New	November 2025	Council	Single policy document to include all policies relating to water, wastewater and stormwater in one concise policy document.	External	Pending
Water Supply Bylaw	May 2008	June 2026	Council	New bylaw to enable enforcement of water related issues (including illegal connections and backflow)	External	Out of date
Wastewater Bylaw (incorporating Tradewaste)	New June 2001	June 2026	Council	New bylaw to enable enforcement of wastewater related issues (including the discharge of trade waste to the wastewater system)	External	Pending
Stormwater Bylaw	New	June 2026	Council	New bylaw to enable enforcement of stormwater related issues (including stormwater connections/infiltration)	External	Pending
Sewer Lateral Policy	July 2016	December 2022	Council	Defines responsibilities of sewer lateral pipes connecting to the main sewer system.	External	Out of date



Other Documents

Emergency Management

Note: Emergency Management Plans are administered by Central Otago Emergency Management, managed by the Otago Regional Council. They are not included in calculations of Council's overall target.

Document	Date reviewed	Due for review	Responsibility	Explanation	Publication
Community Response Plans <ul style="list-style-type: none"> • Cromwell • Clyde, Earnsclough, and Alexandra • Naseby, Ranfurly, Maniototo • Manuherikia Valley • Teviot Valley • Queensberry • Ida Valley 	Various	Various	Central Otago Emergency Management (Otago Regional Council)	Localised advice and preparation for response to emergency situations. https://www.otagodem.govt.nz/districts/central-otago	External

Community-owned Strategies and Plans

Note: Community-owned strategies and plans are maintained by the relevant communities. They are not included in calculations of Council's overall target.

Document	Date reviewed	Due for review	Responsibility	Explanation	Publication
Arts Strategy	April 2013	April 2024	Community owned	Administered by the Arts Trust	External
Community Plans <ul style="list-style-type: none"> • Alexandra (2013) • Clyde (2011) • Cromwell (2021) • Maniototo (2007) • Naseby (2016) • Omakau (2014) • Ophir (2015) • Oturehua (2014) • Patearoa and Upper Taieri (2019) • Pisa (2009) • Roxburgh and Teviot Valley (2011) • St Bathans (2006) • Tarras (2007) • Waipiata (2008) 	Various	Various		Community plans are visions made by the local community. Actions are identified through these plans.	External
Heritage Strategy	2021	2024	Community owned	Administered by the Central Otago Heritage Trust. An action plan designed to provide a long-term solution to the sustainable identification, preservation, management, and celebration of heritage.	External
Museum Strategy	August 2020	August 2025	Community owned	Administered by the Central Otago Museums Trust. Articulates a high-level vision, mission, and strategic objectives for museums. Includes a framework for collaboration and overarching actions for development into an operational plan.	External



Central Otago policy standard

The intention of the register is to provide an accurate and up to date overview to the Audit and Risk Committee. This enables the committee to carry out their function of providing oversight and governance to ensure appropriate systems and practice are delivered throughout the Council and its activities.

The register includes all bylaws, strategies, and policies. Relevant plans and guidelines have also been included.

Central Otago policy documents are reviewed over the following time period:

- Bylaw – 5 years
- Policy – 3 years
- Plans – 5 years
- Strategies – 5 years
- Guidelines – 5 years

No set timeframes apply to community owned documents.

Longer timeframes may apply when a policy or document is drawn directly from legislation – in these instances, timeframes follow the relevant act.

Policies are reviewed annually where appropriate.

Compliance

Compliance is calculated based on the number of items on this register that meet the timeframes above. The following exclusions have been made:

- Reserve Management Plans have been excluded from compliance figures.
- Community owned plans have been excluded from compliance figures as they are administered directly by the community.
- Community response plans have been excluded from compliance figures as they are administered by the Otago Regional Council.
- The Regional Identity has been excluded from compliance figures as there is no one set document to base the calculation on.

Publication

All Central Otago policies adopted by Council are published externally.

Policies that primarily relate to the management of staff, including human resource provisions, are not published. These policies have been marked as 'internal' on the register.

Publication generally refers to the Council website codc.govt.nz. Some work also appears on the Central Otago New Zealand website centralotagonz.com. The Long-term Plan and related policies are also published in hard copy.

25.2.3 MANDATORY DOCUMENTS REGISTER

Doc ID: 2386973

Report Author:	Alix Crosbie, Senior Strategy Advisor
Reviewed and authorised by:	Dylan Rushbrook, Group Manager - Community Vision

1. Purpose

To consider the Mandatory Documents Register

Recommendations

That the report be received.

2. Discussion

The Mandatory Documents register measures CODC performance against the register of documents that local authorities are required to produce by legislation. It ensures that the appropriate policy and other documents are in place and reviewed in accordance with legislative requirements.

In completing the 2024 review, updated guidance from Taituarā was used. That guidance document has been attached in full – with the addition of a ‘CODC’ column to provide the status of each within the report. As a result of this additional column, the page references within the contents are incorrect.

A shortened ‘Mandatory Documents Summary’ has been included as a short list version of this document. This document contains only the name of each document, and CODC’s status. Further detail on each item in this list can be viewed within the Taituarā guidance document.

Any missing documents or areas identified for improvement are passed to the Risk and Procurement Manager for consideration against Council’s risk appetite statement and the quarterly risk registers.

All documents were assessed as at January 2025.

The following missing documentation was identified in the 2024/25 review:

- Class 4 Gambling and Board Venue Policy out of date – under consultation and will be back in place within statutory deadlines.
- Clear process for 17A Reviews – identified as a potential gap and raised with Risk and Procurement Manager for discussion as part of the risk review process.

The following documents were identified in previous reviews:

- Provision of Reserve Management Plans

- Council has 11 Reserve Management Plans, of various ages, covering 55 reserves. There are more than 100 reserves listed on the Council website.
- The Open Spaces Strategy is the next step toward planning how to bundle and renew these plans.
- Council is technically still compliant with legislation as there is no fixed timeframe when all Reserve Management Plans must be finalised by.
- District Plan timing
 - The District Plan operates on amended schedule ratified by Council.

CODC also maintain a list of public acts that have responsibilities for, or enable action by, local government. The list is reviewed annually to capture any changes to the legislative environment. The following list encompasses the changes most likely to impact CODC business, and the department monitoring or managing the changing requirements:

Legislative change	CODC response
Changes to earthquake-prone building deadlines in the Building Act 2004	Monitored by Acting Group Manager Planning and Infrastructure
Changes to the Employment Relations Act 2000	People and Culture processes and policies updated by Group Manager – People & Culture and People & Culture Advisor
Health and Safety at Work Act amended through the Health and Safety Representatives and Committees Amendment Act 2023	Health and Safety Committee membership reviewed and updated by Group Manager – People & Culture and Health, Safety & Wellbeing Advisor
Changes to the Land Transport Management Act 2003	Monitored by Roading Manager
Updates to the Local Government Act 2002, including the Local Government (Electoral Legislation and Māori Wards and Māori Constituencies Act 2024)	Monitored by Governance Manager
Insertion of new references into Local Government (Rating) Act 2002	Monitored by Chief Financial Officer
Changes to the Ombudsmen Act 1975	Monitored by Governance Manager
The Rates Rebate (Specified Amounts) Order 2024 updating the Rates Rebate Act 1973	Monitored by Chief Financial Officer
Major reform and repeal to the Resource Management Act 1991	Managed by Principal Policy Planner and Acting Manager Planning and Infrastructure
Updating the definitions within the Smokefree Environments and Regulated Products Act 1990	Policy checked by Senior Strategy Advisor with no changes required
Water Services Act 2021 updated	Managed by Group Manager Three Waters

The following table illustrates the actions identified in the 2022 or 2023 Mandatory Documents Review, and any relevant updates.

2022/23 Action	2024/2025 update
Three Waters unable to participate in process and reported separately.	Updated guidance received from Taituarā on mandatory documents. Three Waters present compliance reports bi-monthly. Matter closed.
The business had different methods for developing emergency response plans.	Improvements were made in both 2022 and 2023 after identification of this risk. Handed over to Risk Management process.

<p>The 2022 review found the organisation to be working to understand its health and safety obligations.</p>	<p>A full audit was undertaken in 2023 by an external provider with a comprehensive analysis of current business practises against the act. Future quarterly risk reporting was an action in this report – this item has now been handed over to that process. A key focus for 2025 is on the Health Safety and Wellbeing Committee and ensuring all staff filling these roles have the resourcing and understanding required to do that work. Handed over to Risk Management.</p>
<p>Mandated policies out of date</p>	<p>The Waste Management and Minimisation Plan is now back in date. The Gambling Policy is out for consultation and will be back in date in Q2 2025. The Act it is drawn from allows for review in these timeframes.</p>
<p>LTP did not include references to the development of Māori capacity to contribute to decision-making process</p>	<p>Clear reference now made within the Significance and Engagement Policy. Matter closed.</p>
<p>The door to the accessible toilet in the William Fraser building was not wide enough to meet requirements for accessible toilets under the Building Act.</p>	<p>Remedied – upgrade took place. Matter closed.</p>

3. Attachments

Appendix 1 - Mandatory Documents Summary [↓](#)

Appendix 2 - Taituara Mandatory Documents Register [↓](#)

Appendix 3 - List of Public Acts with Regulatory Responsibilities for Local Government

[↓](#)



Mandatory Documents – Summary Register

Document	Status
Animals	
Dog Policy	Policy in place
Dog Bylaw	Bylaw in place
Dog control – annual reports	Annual reporting takes place
Dog register	Register in place
Dog control fees published on website	Published on website
Pound book/impounding register	Register in place
Dog control Table of fees, rates, charges, & a copy of the Impounding Act	Available on request
Annual Plan/Long-term Plan	
LTP Consultation document	Document prepared
Long-term Plan	LTP prepared and audited to meet requirements
Annual Plan Consultation Document	Document prepared as required
Annual Plan	Prepared as required
Annual Report	Prepared as required
Annual Report Summary	Prepared as required
Building	
Building Consent Authority Accreditation	Accredited
Building Consents and certificates	Supplied per requirements
Audit of consents for purpose of ascertaining payment of levy	Records include required details
Policy on dangerous, insanitary, and affected buildings	Policy in place
Earthquake-prone Buildings notice	Process in place to meet statutory requirements
LIMs provided	Supplied on application
Burials and Cremations	
Burial register	Searchable online register
Burial and cremation financial accounts	Compliant
Funeral directors registered with CODC	Registration process on website
Civil Defence Emergency Management	
Membership of CDEM Group	CODC member of group
Plan for civil defence emergency management	Plans in place, including multiple controllers on staff
Elections	
Pre-election report	Published on website on time
Public notices of elections	Electoral supplier engaged to ensure ongoing compliance
Public notice of procedures for enrolment as ratepayer on electoral role	Electoral supplier engaged to ensure ongoing compliance
Public notice that an electoral role is open for inspection	Electoral supplier engaged to ensure ongoing compliance
Further notices to elections	Electoral supplier engaged to ensure ongoing compliance
Return of electoral donations and expenses	Returns filed and kept in Central Docs
Public notice of election or poll result	Electoral supplier engaged to ensure ongoing compliance



Health and Safety at Work Act	
Duty to notify notifiable events	Processes in place to ensure notifications notified as required
Records of notifiable events	Record keeping process in place using BWARE
Local Government Act employer provisions	
Personnel Policy	EEO Policy and Performance Management Policy
Equal Employment Policy	EEO Policy
Childrens Act	
Children's worker safety checking	Process in place, Safeguarding and Child Protection Policy also in place.
Environment	
Waste Management and Minimisation Plan	Plan in place
Reserve Management Plans	11 plans cover 55 of our reserves. Other reserve management plans required, however technically compliant as working toward.
Resource Management Act	
RMA data disclosed according to act	Managed on request
Duty to gather information, monitor, and keep records to carry out RMA functions	Managed as Business as Usual (BAU) by team of Subject Matter Experts (SMEs)
District Plan	Not in place as per Act. On amended schedule ratified by Council.
Records kept about iwi and hapu	Iwi management plans in place
Evaluation reports	Managed as BAU by team of SMEs
Highly productive land	Managed BAU by SMEs – mapping with ORC and other councils
Indigenous biodiversity	Managed BAU by SMEs – mapping with ORC and other councils
Renewable energy generation	District Plan
Electricity transmission	Plan Change 8
National planning standards	Managed as BAU by team of SMEs
Financial Management	
Financial Strategy	Policy in place
Infrastructure Strategy	Strategy in place
Revenue and Financing Policy	Policy in place
Liability Management Policy	Policy in place
Investment Policy	Policy in place
Policy on development contributions or financial contributions	Policy in place
Policy on the remission and postponement of rates on Māori freehold land	Policy in place – Rating Policy
A rates remission policy and a rates postponement policy (not mandatory)	Policy in place
Gambling Policy	
Class 4 Venue Policy	Policy under consultation
TAB venues policy	Policy under consultation
Governance	
Meetings publicly notified	Notified in line with Act
Agendas, reports, and minutes	Published and kept in accordance with Act
Code of Conduct	In place
Standing Orders	In place



Triennial Agreement	In place
Providing info to LG Commission for LG reorganisation	Would be complied with if asked
Local governance statement	In place
Health	
List of persons approved to licensing committee (alcohol)	List kept
District Licensing Committee annual report	Published on website
Notification of decisions (alcohol)	List kept in accordance and published on website
TA as registered authority for food control	Registered
Annual reports under food act	In place
Water services delivery plans	Arrangements made re. LTP
Register of hairdressers premises	Process in place
Certification of registration	Supplied
Management	
Significance and Engagement Policy	In place
17A reviews	Unable to locate documentation – programmed as area for improvement
Rates	
Rating information database	In place
Rates records	Kept in accordance
Notice of rates assessment	Delivered as required
Rates invoices	Requirements met
Procedure for setting rates	Followed as required
District Valuation Roll	Maintained as required
Rating – quarterly provision of information to valuer general	Provided as required
Roads	
Road control documentation	Documentation kept as required. Policy out of date – review underway



Mandatory Documents Register

A register of documents that local authorities are required to produce by legislation.

(First Released August 2020)

Version 2.4 January 2025

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Introduction

Scope of this document

This register provides a list of:

1. legislation and regulations that local authorities are subject to, and
2. documents that a local authority must produce under an Act or legislative instrument (such as a long-term plan).

This register does not include obligations under the general law, such as administration of GST or for other legal entities, as required for council-controlled organisations.

For each of the documents listed under item 2 above, statutory references are included where applicable, for:

1. the power or duty to create the document
2. the content of the document
3. the engagement required to produce the document
4. the disclosure requirements for the document
5. the review period and/or deadline for the document.

You are encouraged to develop an indicative timeline plan. In order to meet a document's deadline work must commence well beforehand. A timeline should include appropriate time for gathering information, manager's review, and consultation periods. The timeline also needs to identify which council meeting cycle decisions will be made. Therefore, dates for boards, standing committees and council should be included in the timeline as appropriate.

Where no review period is legislated, councils must decide on a suitable review date. For those documents aligned with the long-term plan, timely review would be the year prior to each long-term plan.

The coverage of this register is restricted to the list of public Acts in Appendix One and the list of legislative instruments in Appendix Two. This reflects the need to manage both the sheer number and length of public Acts affecting councils and the importance of the accuracy of this Register. There is also a place to add your Council's documents and your internal compliance regime in Appendix Three.

Requirements under local Acts and private Acts are out of scope for this register.

Taituarā aims to review and update this register on an ongoing basis as legislation changes. Ensure you have the latest version available. Updates are listed at the end of the document.

The register is accurate to be best of our knowledge. Information in the register should not be a substitute for legal advice, and no liability is assumed by Taituarā for losses resulting from direct or indirect reliance on this document.

How to use this document

The Acts and legislative instruments in this register are presented as follows:

- subject order
- acts/legislative instruments
- mandatory documents and sections of the act or regulation

This document can be used as a basis to provide a formalised reporting process, possibly to a council's Risk and Assurance Committee. The report could be in simple form, be generated by a bring-up date process and would simply identify progress on those bring-up items against the specified review period and / or deadline.

The navigation pane can be brought up by going to "View" in the top ribbon and ticking "Navigation Pane". The entire document can be searched electronically, using "Ctrl+F". The Register contains hyperlinks to Acts and legislative instruments throughout.

Recommended good practice on the delivery of mandatory documents is that councils initiate bring-up dates to remind themselves of the review period and / or deadline.

Mandatory Documents

Animals

Dog Control Act 1996

Document(s)	Statute	Content	Engagement and/or Disclosure	Review Period and/or Deadline	CODC Status
Dog Policy	§10 DCA 1996 TAs must adopt a policy in respect of dogs	§10 DCA 1996 Dog control bylaw provisions if any must be specified in the policy. Dog control bylaws are made under §20 DCA 1996	§83, LGA 2002 Special consultative procedure	§10AA, DCA 2002 Local authority must review policy if bylaw implementing policy requires review	Policy in place, due for review December 2025 Planning & Infrastructure
Dog Bylaw	§10 DCA 1996 §20 DCA 1996	Dog bylaw to enforce the dog policy. §145 LGA 2002	The special consultative procedure must be used. §156 DCA 1996	No later than 5 years after the date the bylaw was made. §158 LGA 2002	Bylaw in place, due for review December 2025 Planning & Infrastructure
Dog control – annual reports	§10A, DCA 1996 , TAs must report on dog control policy and practices	§10A(1) and (2), DCA 1996 – mandatory content	§10A(3), DCA 1996 The TA must give public notice and make the report publicly available Local Government Act 2002	§10A(1), DCA 1996 Each financial year.	Completed annually within Regulatory Services team Planning & Infrastructure

25.2.4 HEALTH, SAFETY AND WELLBEING REPORT

Doc ID: 2029800

Report Author:	Anita Jansen, Health, Safety and Wellbeing Advisor
Reviewed and authorised by:	Louise Fleck, General Manager - People and Culture

1. Purpose

To provide the Audit & Risk Committee with an update on the health, safety and wellbeing performance of the organisation.

Recommendations

That the report be received.

2. Discussion

2.1 Reporting period

This report covers the period 1 November to 31 December 2024 ('the reporting period'). It is important to note that the reporting period is only two months and not the full quarter.

2.2 Health, Safety and Wellbeing Advisor summary

This period, Health, Safety and Wellbeing has been focused on finalising investigations into two incidents that occurred prior to Christmas. The first incident involved a Campervan failing to put the handbrake on and rolled over the riverbank behind The Warehouse in Alexandra. Secondly, a safety violation incident occurred outside the Cromwell swim centre when a 12-year-old boy was approached by a lady claiming to be a family friend and asking him to come to her car to be dropped off home.

Quarterly Risk Reviews were conducted by the Health & Safety Representatives in December 2024 and January 2025. Psychosocial hazards were the critical risk that we focused on for this quarter. We are currently reviewing these risk reviews and will have further detail in the next Audit and Risk report.

Following further review of suitable Lone Worker devices and consultation we have arranged for two Garmin trial devices to be piloted at Council during February/March. This is a satellite solution for our team(s) to use when going out to remote locations.

Following a security review completed in March 2024, we have installed two additional blue lights in the Alexandra Service Centre and installed a remote panic button for Chambers. We now also have the ability to increase the volume on our blue light alert system, in our offices.

2.3 Lead Indicator dashboard

<p>INCIDENT REPORTS Incidents reported from 01/11/2024 - 31/12/2024</p> <p>more than 2 days: 7.1%</p> <p>2 days or less: 92.9%</p>	<p>Measure: Reporting of incidents in a timely manner 80% of incidents reported in BWare within 48 hours* (and to manager immediately) *Contractor incidents within 72 hours of notification to CODC</p>	<p>Commentary: Achieved – 92.9% - this is an improvement from the previous quarter when 86.9% of incidents were reported in 2 days or less.</p>
<p>Near Misses Reported 1/11/2024 - 31/12/2024</p> <p>Previous Quarter: 8</p> <p>Current Quarter: 3</p>	<p>Measure: Increase in number of near misses being reported each quarter.</p>	<p>Commentary: Not Achieved – fewer near misses reported this quarter.</p>
<p>DRIVER STAR RATINGS Star rating distribution from 01/11/2024 - 31/12/2024</p> <p>5 stars: 45.5%</p> <p>4 stars: 36.4%</p> <p>3 stars: 12.1%</p> <p>2 stars: 6.1%</p>	<p>Measure: Achieve Average Star Rating of 4 – measured quarterly. Continue to Celebrate and Recognise drivers with 5-star ratings on driver leaderboard.</p>	<p>Commentary: Achieved - star rating of 4. There were 2 drivers though who only achieved an average star rating of 2 – this has been followed up with the drivers involved.</p>
<p>CONTRACTOR MANAGEMENT PRE-QUALIFICATION Contractor management pre-qualification from 1/11/2024 - 31/12/2024</p> <p>Up to date: 93.1%</p> <p>Out of date: 6.9%</p>	<p>Measure: Contractor management – prequalification assessments up to date: 90% of prequalification assessments up to date</p>	<p>Commentary: Achieved – 93.1% - this is a slight improvement from the previous quarter when 91.1% of pre-qualifications were up to date.</p>
<p>QUARTERLY RISK REVIEWS Quarterly Risk Reviews completed from 1/11/2024 - 31/12/2024</p> <p>Completed: 100%</p>	<p>Measure: Risk Management – completion of quarterly risk reviews. 100% completion rate for quarterly risk reviews for each Activity.</p>	<p>Commentary: Achieved – 100% received with a focus on critical risk Psychosocial hazards.</p>
<p>Critical risk observation scheduled</p>	<p>Measure: Critical risk observation by ELT - Observation to take place every six months.</p>	<p>Commentary: This will be scheduled for the first half of 2025.</p>

2.4 Significant incident summary

There were 28 incidents reported during the reporting period which is a decrease from the 61 incidents in the previous reporting period.

Notable incidents are further explained at section 2.9

Severity rating	Level 1	Level 2	Level 3	Level 4
Risk consequence rating	Negligible or minor (Business as usual)	Moderate	Major	Extreme
Examples	Non-treatment injury, first aid injury	Medical treatment injuries, near miss that could result in medical treatment, wet rescue	Lost time injuries, high potential near miss	Fatality, life-altering injuries, or potential for either
No. of incident reports	23	4	1	0

Table 1. Severity rating for all incident reports

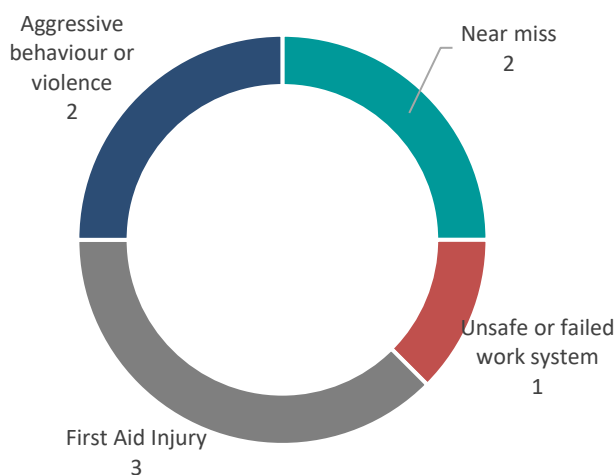
2.5 Employee reports

8 reports (28%) affected employees which is less than the previous reporting period (47%).

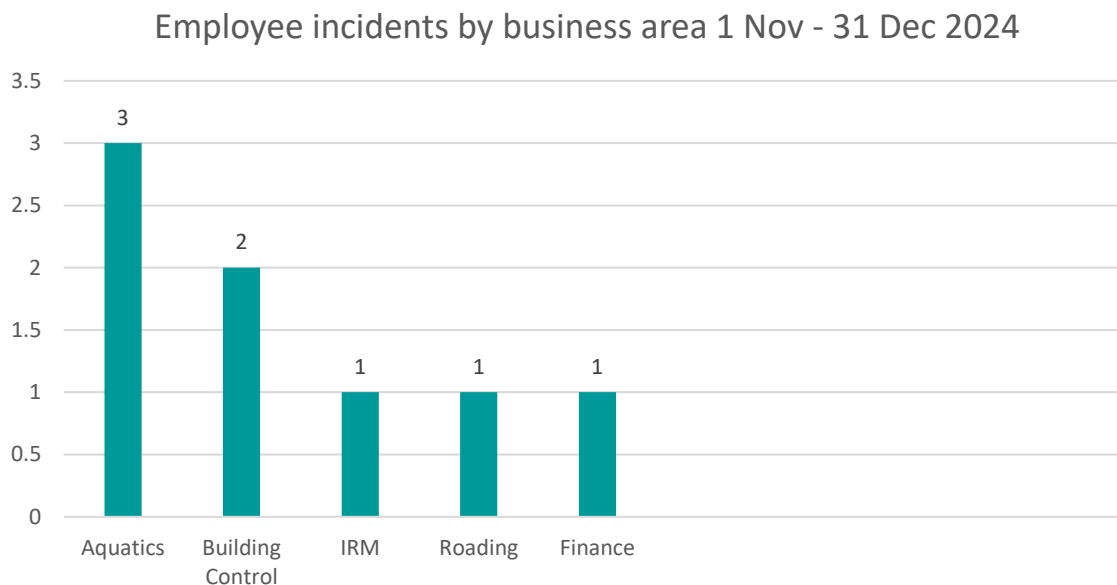
We have seen a slight increase in Aggressive behaviour this quarter with 2 incidents, compared to 1 in the previous reporting period. One incident was an upset customer regarding the cost of rates. Another incident was related to a building inspection and the customer being unhappy with past inspections and felt we were making the process difficult.

Most incidents were reported by Aquatics which is similar to previous reporting periods.

Employee reports by type 1 Nov - 31 Dec 2024



Graph 1. Employee incidents and reports by cause: Aggressive behaviour or violence (2), Near miss (2), First aid injury (3), Unsafe or failed work system (1)



Graph 2. Employee incidents by business area: Aquatics (3), Building Control (2), IRM (1), Roothing (1), Finance (1)

2.5.1 Employee injuries

There were 3 recordable injuries reported this quarter, which is similar to the previous reporting period. A hand suffered a minor burn from a dripping hot water zip in Cromwell, which has since been repaired. Employees experienced sore eyes when the flooring was being replaced in the Cromwell pool changing rooms. The pool was subsequently closed for the afternoon to air the premises out.

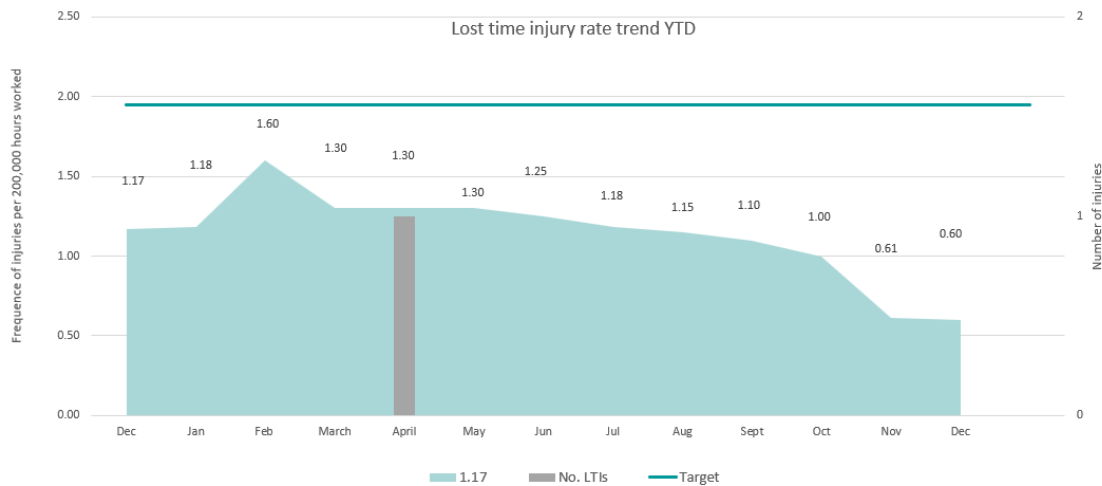
Reporting period	Non-treatment injury	First aid injury (FAI)	Medical treatment injury (MTI)	Restricted duties	Lost time injury (LTI)	Fatality	Total recordable injuries
Aug 23 – Oct 23	3	3	0	0	0	0	6
Nov 23 – Jan 24	3	5	1	0	0	0	9
Feb 24 – Apr 24	1	0	0	0	1	0	2
May 24 – Jul 24	0	1	1	0	0	0	2
Aug 24 – Oct 24	0	3	0	0	0	0	3
Nov 24 – Dec 24	0	3	0	0	0	0	3

Table 2. Recordable injuries (employees)

2.6 Lost time injury frequency rate (LTIFR)

The LTIFR is against a benchmark of 1.95 injuries per 200,000 hours of work. The injury rate has remained relatively stable for this and previous reporting periods. There has been one lost time injury for the reporting period and for the year to date ending 31 December 2024.

The lost time injury in March relates to a swim teacher who was talking to children crouching down on the side of the lap pool. When she stood up, she experienced sudden sharp pain in her hip. She was then unable to walk properly and had a few days off work but has returned to full duties.



Graph 3. Lost time injury frequency rate (rolling 12-month average).

2.7 Public incidents

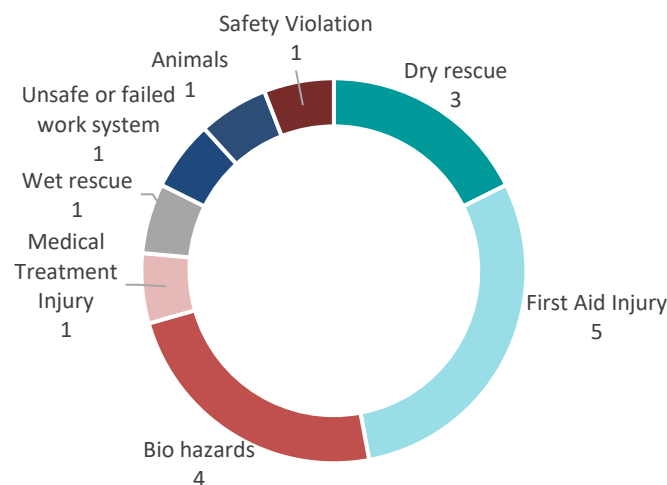
17 incidents (60%) affected the public which is an increase from the previous reporting period (42%).

The highest cause category was first aid injuries, of which most occurred at aquatic centres where children slipped and grazed knees or split their lip. One incident reported was a car crash outside the Cromwell pool, where employees were first responders and provided first aid until the ambulance arrived. Another incident was at the local sport fields, where someone suffered a heart attack, and the Cromwell pool AED defibrillator was successfully used.

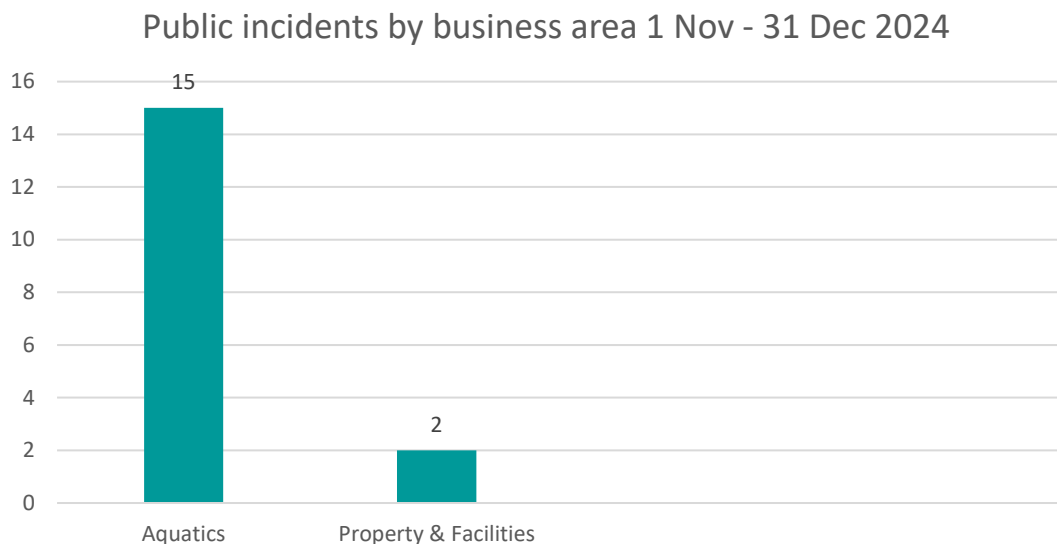
There was an incident involving a member of the public taking their dog for an off-lead walk on council land down Bannockburn Road, Cromwell. Unfortunately, the dog ran over an area of broken glass causing injuries to the dog’s rear leg. The area was cleaned up by both the public and council contractors.

The two notable incidents being the Campervan rolling over the riverbank and safety violation of a 12-year-old boy outside the pool are further explained at section 2.9.

Public reports by type 1 Nov - 31 Dec 2024



Graph 4. Public incidents and reports by cause: Animals (1), Biohazards (4), First Aid Injury (5), Medical Treatment Injury (1), Safety Violation (1), Unsafe or failed work system (1), Wet rescue (1), Dry rescue (3)



Graph 5. Public incidents by business area. Aquatics (15), Property & Facilities (2)

2.7.1 Public injuries

The number of total recordable injuries is lower than the previous reporting period.

Reporting period	Non-treatment injury	First aid injuries (FAI)	Medical treatment injury (MTI)	Fatality	Total recordable injuries
Aug 23 – Oct 23	0	7	0	0	7
Nov 23 – Jan 24	0	16	0	0	16
Feb 24 – Apr 24	0	9	1	0	10
May 24 – Jul 24	0	13	1	0	14
Aug 24 – Oct 24	0	9	1	0	10
Nov 24 – Dec 24	0	5	1	0	6

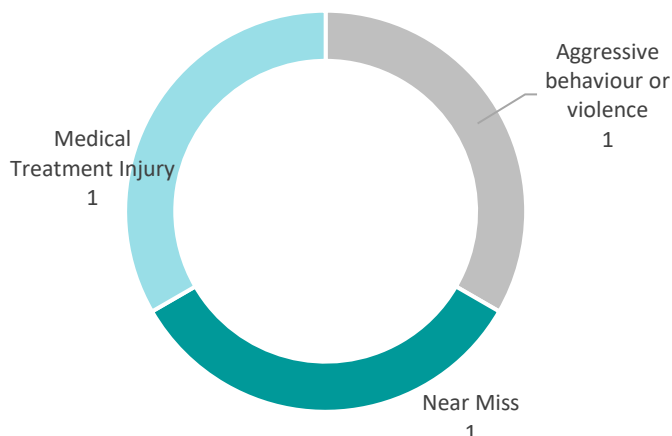
Table 3. Recordable injuries (public)

2.8 Contractor reports

Council received 3 reports (10%) from contractors which is the same as the previous reporting period (10%).

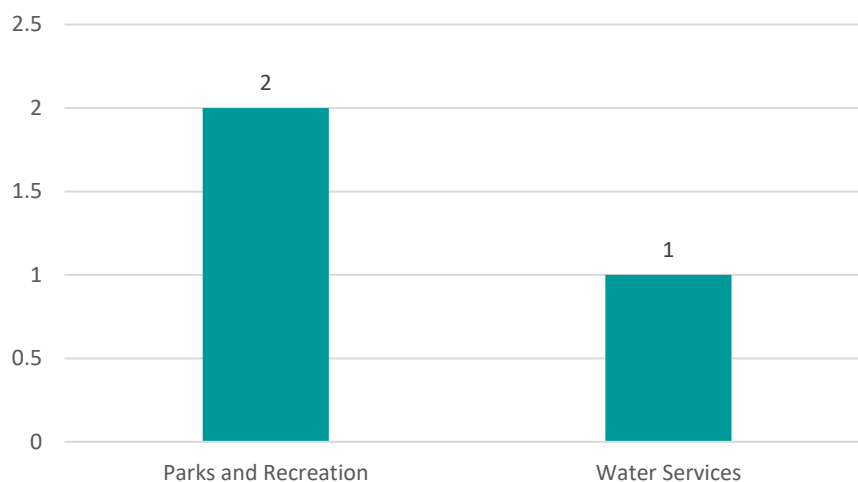
One contractor was subject to aggressive behaviour while outside a property trying to fix a water leak in Alexandra. Another contractor was injured when a gust of wind slammed an aluminium door in the kitchen at the Omakau camping ground. One finger was partially degloved and required stitches and an x-ray. Purchase of a doorstop was approved and installed.

Contractor reports by type 1 Nov - 31 Dec 2024



Graph 6. Contractor incidents and reports by cause: Aggressive behaviour or violence (1), Near Miss (1), Medical Treatment Injury (1)

Contractor incidents by business area 1 Nov - 31 Dec 2024



Graph 7. Contractor incidents by business area. Parks and Recreation (2), Water Services (1)

2.8.1 Contractor injuries

The recordable incident relates to a contractor who was injured when a gust of wind slammed a door in the kitchen at the Omakau camping ground.

Reporting period	Non-treatment injury	First Aid Injury (FAI)	Medical treatment injury (MTI)	Fatality	Total recordable injuries
Aug 23 - Oct 23	0	1	0	0	1
Nov 23 – Jan 24	0	2	0	0	2
Feb 24 – Apr 24	0	0	0	0	2
May 24 – Aug 24	0	0	1	0	1
Aug 24 – Oct 24	0	3	0	0	3
Nov 24 – Dec 24	0	0	1	0	1

Table 4. Recordable injuries (contractor).

2.9 Notable incidents

Incident	Actions taken
<p><u>Campervan rolled over riverbank - Alexandra</u></p> <ul style="list-style-type: none"> On 19 December 2024 a man stopped his Campervan at the end of Tarbert Street, Alexandra (behind The Warehouse). The man failed to put the Campervans handbrake on, got out and was taking his dog for a walk when he realised the Campervan was rolling. He managed to jump back into the moving campervan to try and stop it, however it had too much momentum, so he guided the van down the riverbank and came to a stop at a tree stump. 	<p>Full investigation completed and recommended actions include:</p> <ul style="list-style-type: none"> New metal fencing was installed following the incident. Requested “No Stopping/No parking” signage be installed. Incident report received from the fencing Contractor. Site inspection took place to identify further risks.
<p><u>Safety Violation – Outside Cromwell Swim Centre</u></p> <ul style="list-style-type: none"> On 19 December 2024 a 12-year-old boy was swimming at the Cromwell Swim Centre with his mother and younger siblings. The boy was feeling hot, so sat outside the front of the Swim Centre when he was approached by an older woman. The woman claimed to be a family friend and asked him to come to her car to be dropped off home. The boy asked for the family safe word. When she couldn’t provide the safe word, he said he would inform his mother. The woman then ran off towards to carpark. 	<p>Full investigation completed and recommended actions include:</p> <ul style="list-style-type: none"> Cromwell Police arrived and took statements. Police requested CCTV footage, but the pool does not have cameras in place. The pool crew were briefed and additional safety measures implemented. Stay Safe message was posted on Facebook and A4 posters placed on noticeboards at pools and libraries to raise awareness. Working with Aquatics Manager to raise awareness and update Normal and Emergency Operating Procedures.

Table 5. Notable incidents and associated action taken.

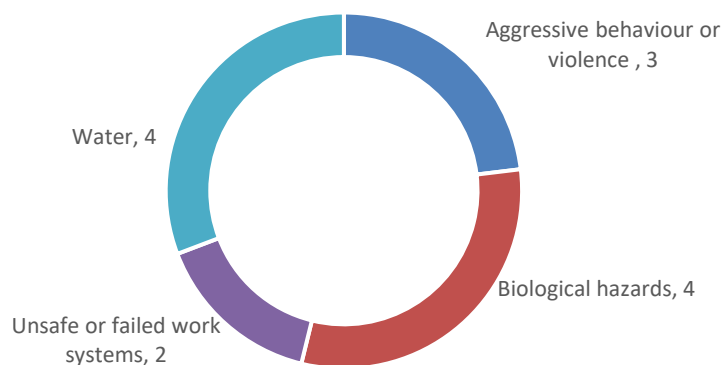
2.10 Critical risks

Graph 8 below shows the core risk or hazard associated with incident reports made during the reporting period.

Exposure to biological hazards reported has decreased to 4, down from 10 in the previous reporting period.

Number of aggressive behaviour or violence incidents reported decreased to 3, down from 9 in the previous reporting period.

Reports by Core risks or hazard



Graph 8. Incident reports relating to critical risk areas compared to previous reporting periods. Aggressive behaviour or violence (3), Biological hazards (4), Unsafe or failed work systems (2), Water (4)

2.11 Training and competency

Training area / course	This period
New staff inductions	6
First aid certificates (new and refresher)	7

Table 6. Training register excerpt

2.11.1 Planned training

- Three staff will be completing Health & Safety Representative training in January/February 2025.

2.12 Wellbeing

2.12.1 Indicator 1: No. employee sessions with EAP (Employee Assistance Programme)

EAP data covers the period October, November and December 2024.

During this period there were 86 work and personal matters raised with the onsite EAP provider:

- 63% were personal matters (70% the previous reporting period)
- 37% were workplace matters (30% the previous reporting period)

EAP Top 3 Themes (Work-related)

Position	Work-related themes
1	Workplace Change
2	Communication
3	Job Satisfaction / Dissatisfaction

Table 7. Work-related theme.

Matters relating to Workplace Change, Communication and Job Satisfaction / Dissatisfaction were the topics raised most often as a negative comment; however, the rates are lower than the previous quarter and there were also staff who were having positive experiences within the same topics. Reporting of Workplace Stress has been reduced slightly since the previous quarter.

For example, some employees were feeling overwhelmed with workload due to time pressures to meet deadlines and some employees were feeling disgruntled with changes in the workplace.

Employees also expressed positive comments about the work culture and the lifestyle balance council offers. Several library employees shared appreciation for the upgrade in both work areas and systems.

EAP Top 3 Themes (Personal)

Position	Personal themes
1	Wellbeing
2	Relationships/Family
3	Physical/Emotional Health

Table 8. Personal themes (Top 3).

Wellbeing, Relationships/Family and Physical/Emotional health continue to be the areas that are most affecting our staff on a personal level, which shows a slight increase to Physical/Emotional health since the previous quarter. This could be indicative of feeling tired towards the end of the year and lead up to Christmas.

In depth sessions:

Of all matters discussed, on 30 occasions employees considered the matters significant enough to warrant a private in-depth conversation seeking individual support from the Wellbeing Supporter at which point they will have discussed strategies and/or been referred for counselling.

In depth sessions are defined as: In-depth conversations with an employee away from their desk, in a private room or off-site. These can last 30-60 minutes per conversation.

Clinical sessions:

Two employees accessed clinical/counselling for 5 sessions in total of which 3 were for personal matters and 2 were for workplace matters.

2.12.2 Indicator 2: Employee attendance at wellbeing events and activities and feedback from post-activity surveys

We continue to promote webinars hosted through My Everyday Wellbeing and the challenge for each month:

- The theme in November was Make exercise a habit that sticks.
- The next webinar theme for January is Cutting through the confusion – dispelling wellbeing myths which is hosted by Registered Nutritionist and psychologist Claire Turnbull.

2.12.3 Scheduled activities

We held a Cultural Engage session in November to give staff the opportunity to hear the life experiences from another staff member who was born outside of New Zealand and immigrated. Approximately 15 – 20 staff attended in person or online.

The Menopause and Perimenopause coffee group is gaining momentum with estimated 40 staff attending each month. Great to have such a positive and supportive group within the organisation and both male and females attending. The January coffee group will include guest speaker Cat Keene on menopause, fitness and nutrition.

A Treasure Trove is scheduled for February 2025 which focuses on reducing waste. Staff can bring in unwanted items from home for others to take what they need. In line with the Eat Well, Spend Less challenge in February, we will also have a food pantry for staff to share any excess produce, food and seedlings.

Wellbeing Initiative planning for 2025 is underway with the Health & Safety Committee.

3. Attachments

Nil

25.2.5 TREASURY REPORT

Doc ID: 2383486

Report Author:	Saskia Righarts, Group Manager - Business Support
Reviewed and authorised by:	Peter Kelly, Chief Executive Officer

1. Purpose

To consider the quarterly treasury report.

Recommendations

That the report be received.

2. Discussion

Attached is the treasury report for the quarter ended 31 December 2024. This is an ongoing report required under the Liability Management Policy to ensure appropriate oversight by the Committee of Council's treasury functions. The Liability Management policy sets out the framework for Council's borrowing, interest rate exposure, liquidity, credit exposure and debt repayment.

The quarterly report to the period ending 31 December 2024, is attached to this report and forms part of the official record.

The attached report notes for this quarter the reserve bank cut the official cash rate by 50 basis points in both October and November 2024. The RBNZ are expecting a further 50 basis point cut in February.

As of 31 December 2024, core debt levels sit at \$40 million. Of note the report highlights Council is now compliant on 0-2 years fixed rate hedging bands (refer to the interest rate risk management section of the report).

3. Attachments

Appendix 1 - Treasury Dashboard Report - December 2024 [↓](#)

25.2.6 AUDIT NZ AND INTERNAL AUDIT UPDATE

Doc ID: 2383481

Report Author:	Saskia Righarts, Group Manager - Business Support
Reviewed and authorised by:	Peter Kelly, Chief Executive Officer

1. Purpose

To consider an update on the status of the external and internal audit programme and any outstanding actions for completed external audits.

Recommendations

That the report be received.

2. Discussion

External audit programme

Council has a legislative requirement to complete external audits of annual reports and the long-term plan through Audit New Zealand. Audit New Zealand complete a governance report on their findings and any recommendations for improvements. A schedule of actions is then created and allocated to staff to manage the completion of these recommendations.

There are two outstanding actions to be addressed. One item has been completed and will be formally closed off when the management report is received. Appendix 1 details the actions from the 2022/23 audit, outstanding actions from previous audits, alongside commentary on progress.

Internal audit programme

The draft report on the proposed three-year audit programme is covered in a separate paper being presented at this meeting.

3. Attachments

Appendix 1 - Audit New Zealand - Audit Action Register [↓](#)

25.2.7 DRAFT THREE-YEAR INTERNAL AUDIT PROGRAMME

Doc ID: 2385462

Report Author:	Saskia Righarts, Group Manager - Business Support
Reviewed and authorised by:	Peter Kelly, Chief Executive Officer

1. Purpose of Report

To consider the draft three-year internal audit programme.

Recommendations

That the Audit and Risk Committee

- A. Receives the report and accepts the level of significance.
- B. Note the proposed draft three-year internal audit programme.
- C. Recommend to Council to approve the draft three-year internal audit programme.

2. Background

As part of good risk oversight and management it is prudent to have an internal audit programme. This programme should focus on areas of the business that are typically covered by the external audit programme, bearing in mind the organisation’s key areas of risk.

In 2024 a draft programme was developed, but at that time the risk register was undergoing a significant revision, and key changes were happening in leadership (such as the appointment of a new chief executive officer and an independent chair of the Audit and Risk Committee). After review by the executive leadership team, it was felt the proposed programme was not reflective of where the organisation was at, and given key leadership changes it was agreed to delay this piece of work until late 2024.

3. Discussion

In late 2024, Deloitte were re-engaged and in January 2025 conducted a series of interviews with key personnel. In conjunction with these interviews and a review of key documents (e.g., the risk register) a refreshed programme has been developed. This has been reviewed and endorsed by the executive leadership team.

The attached report details the approach to developing the proposed programme and the key areas of focus. The proposed programme is:

2025/26 financial year

- Operational finance review
- Capital expenditure review

2026/27 financial year*Fraud:*

- Part A: Fraud and corruption gap analysis
- Part B: Fraud and corruption awareness training
- Contract management review

2027/28 financial year

- Talent management review
- Business continuity and resilience review
- Procurement processes review (budget dependent)

4. Financial Considerations

The cost of the internal audit programme is included in the draft budgets for the 2025-34 Long-term Plan.

5. OptionsOption 1 – (Recommended)

Note the proposed draft three-year internal audit programme and recommend to Council to approve the programme.

Advantages:

- Enables areas of potential business risk/improvement to be independently reviewed and actions identified for enhance organisation performance.
- Enables governance oversight of identified areas for improvement.

Disadvantages:

- None identified.

Option 2

Note the proposed draft three-year internal audit programme and recommend to Council to approve the programme with amendments from the Committee.

Advantages:

- Enables areas of potential business risk/improvement to be independently reviewed and actions identified for enhance organisation performance.
- Enables governance oversight of identified areas for improvement.

Disadvantages:

- None identified.

Option 3

Do not note the proposed draft three-year internal audit programme and do not recommend to Council to approve the programme.

Advantages

- Would result in minor savings of \$51,000 per year.

Disadvantages

- May miss the opportunity for areas of business risk/improvement to be identified and actions undertaken to enhance organisation performance
- May increase Council’s risk in certain areas over time if appropriate mitigations and actions are not undertaken.

6. Compliance

Local Government Act 2002 Purpose Provisions	This decision enables democratic local decision making and action by, and on behalf of communities by identifying improvements to internal processes that should increase the efficiency, accuracy, and effectiveness of Council’s outputs.
Decision consistent with other Council plans and policies? Such as the District Plan, Economic Development Strategy etc.	Yes.
Considerations as to sustainability, the environment and climate change impacts	There are no impacts upon sustainability, the environment, or climate change as a result of this decision.
Risks Analysis	Whilst the preferred option included in this report seeks to reduce risk through the audit of key activities throughout Council, should this Committee choose not to recommend any audit programme to Council for approval, there is a chance that our risk exposure could increase over the next three years. Regular audits of internal activities and processes aim to reduce risk exposure through identification of improvement actions and monitoring of the implementation of these actions.
Significance, Consultation and Engagement (internal and external)	This decision is not classed as significant.

7. Next Steps

Pending approval by Council the internal audit programme will commence following adoption of the 2045/34 Long-term Plan.

8. Attachments

Appendix 1 - Draft Three-year Internal Audit Programme [↓](#)

6 CHAIR'S REPORT

25.2.8 CHAIR'S REPORT

Doc ID: 2387116

1. Purpose

To consider the Chair's report.

Recommendations

That the report be received.

2. Attachments

Nil

7 MEMBERS' REPORTS

25.2.9 MEMBERS' REPORTS

Doc ID: 2387119

1. Purpose

To consider the members' reports.

Recommendations

That the reports be received.

2. Attachments

Nil

8 STATUS REPORTS

25.2.10 FEBRUARY 2025 GOVERNANCE REPORT

Doc ID: 2387281

Report Author:	Wayne McEnteer, Governance Manager
Reviewed and authorised by:	Saskia Righarts, Group Manager - Business Support

1. Purpose

To report on items of general interest and the current status report updates.

Recommendations

That the report be received.

2. Discussion

Status Report

The status report has been updated with actions undertaken since the last meeting (appendix 1).

Audit and Risk Forward Work Programme

The Forward Work Programme is attached to provide an update on when key issues plan to be before the Audit and Risk Committee (appendix 2).

3. Attachments

Appendix 1 - Audit and Risk Status Updates [↓](#)

Appendix 2 - Audit and Risk Forward Work Programme [↓](#)

9 DATE OF THE NEXT MEETING

The date of the next scheduled meeting is 6 June 2025.

10 RESOLUTION TO EXCLUDE THE PUBLIC

Recommendations

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	Plain English Reason
	<p>s7(2)(a) - the withholding of the information is necessary to protect the privacy of natural persons, including that of deceased natural persons</p> <p>s7(2)(b)(ii) - the withholding of the information is necessary to protect information where the making available of the information would be likely unreasonably to prejudice the commercial position of the person who supplied or who is the subject of the information</p> <p>s7(2)(f)(ii) - the withholding of the information is necessary to maintain the effective conduct of public affairs through the protection of Council members, officers, employees, and persons from improper pressure or harassment</p> <p>s7(2)(g) - the withholding of the information is necessary to maintain legal professional privilege</p> <p>s7(2)(j) - the withholding of the information is necessary to prevent the disclosure or use of official information for improper gain or improper advantage</p>	<p>To protect a person's privacy</p> <p>Commercial sensitivity</p> <p>To protect people from harassment</p> <p>Legal professional privilege</p> <p>To prevent use of the information for improper gain or advantage</p>
<p>25.2.11 - Bad Debts and Abandoned Land</p>	<p>s7(2)(a) - the withholding of the information is necessary to protect the privacy of natural persons, including that of deceased natural persons</p> <p>s7(2)(b)(ii) - the withholding of the information is necessary to protect information where the making available of the information would be likely unreasonably to prejudice the commercial position of the</p>	<p>To protect a person's privacy</p> <p>Commercial sensitivity</p>

	<p>person who supplied or who is the subject of the information</p> <p>s7(2)(f)(ii) - the withholding of the information is necessary to maintain the effective conduct of public affairs through the protection of Council members, officers, employees, and persons from improper pressure or harassment</p> <p>s7(2)(j) - the withholding of the information is necessary to prevent the disclosure or use of official information for improper gain or improper advantage</p>	<p>To protect people from harassment</p> <p>To prevent use of the information for improper gain or advantage</p>
25.2.12 - Cybersecurity, Information and Records Management and Privacy Plans for 2022-2025 Implementation Update	s7(2)(j) - the withholding of the information is necessary to prevent the disclosure or use of official information for improper gain or improper advantage	To prevent use of the information for improper gain or advantage
25.2.13 - Risk Management Update	s7(2)(j) - the withholding of the information is necessary to prevent the disclosure or use of official information for improper gain or improper advantage	To prevent use of the information for improper gain or advantage
25.2.14 - Litigation Register	s7(2)(g) - the withholding of the information is necessary to maintain legal professional privilege	Legal professional privilege