



AGENDA

Audit and Risk Committee Meeting Tuesday, 12 December 2023

Date: Tuesday, 12 December 2023

Time: 10.00 am

**Location: Cromwell Service Centre, 42 The Mall,
Cromwell**

(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 Cromwell Service Centre, 42 The Mall, Cromwell and live streamed via Microsoft Teams on Tuesday, 12 December 2023 at 10.00 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), Cr T Alley, His Worship the Mayor T Cadogan, Cr N Gillespie, Cr T Paterson,

In Attendance P Kelly (Chief Executive Officer), L van der Voort (Group Manager - Planning and Infrastructure), S Righarts (Group Manager - Business Support), D Rushbrook (Group Manager - Community Vision), D Scoones (Group Manager - Community Experience), W McEnteer (Governance Manager)

1 APOLOGIES

2 PUBLIC FORUM

3 CONFIRMATION OF MINUTES

Audit and Risk Committee - 29 September 2023

**MINUTES OF CENTRAL OTAGO DISTRICT COUNCIL
AUDIT AND RISK COMMITTEE
HELD IN NGĀ HAU E WHĀ, WILLIAM FRASER BUILDING, 1 DUNORLING STREET,
ALEXANDRA AND LIVE STREAMED VIA MICROSOFT TEAMS ON FRIDAY, 29 SEPTEMBER
2023 AT 9.30 AM**

PRESENT: Ms L Robertson (Chair), Cr T Alley, His Worship the Mayor T Cadogan,
Cr N Gillespie (via Teams)

IN ATTENDANCE: Cr S Feinerman (Observer), P Kelly (Chief Executive Officer), L Fleck
(General Manager – People and Culture), L Webster (Acting Group Manager -
Planning and Infrastructure), N McLeod (Acting Group Manager - Business
Support), D Rushbrook (Group Manager - Community Vision), D Scoones
(Group Manager - Community Experience), S Finlay (Chief Financial Officer),
A Lines (Risk and Procurement Manager), C Martin (Project Manager –
Organisational), H Strydom (Heath, Safety and Wellbeing Officer),
W McEnteer (Governance Manager)

1 APOLOGIES

APOLOGY

COMMITTEE RECOMMENDATION

Moved: Robertson

Seconded: Cadogan

That the apology received from Cr Paterson be accepted.

2 PUBLIC FORUM

There was no public forum.

3 CONFIRMATION OF MINUTES

COMMITTEE RESOLUTION

Moved: Robertson

Seconded: Cadogan

That the public minutes of the Audit and Risk Committee Meeting held on 2 June 2023 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. There were no
further declarations of interest.

5 REPORTS

23.3.2 POLICY REGISTER UPDATE

To consider the June Policy Register update.

COMMITTEE RESOLUTION

Moved: Robertson

Seconded: Cadogan

That the report be received.

CARRIED

23.3.3 POLICY AND STRATEGY REGISTER

To consider the Policy and Strategy Register.

COMMITTEE RESOLUTION

Moved: Robertson

Seconded: Cadogan

That the report be received.

CARRIED

23.3.4 REVISED RISK MANAGEMENT POLICY

To consider the adoption of the revised Risk Management Policy.

After discussion it was agreed to recommend the revised Risk Management Policy to Council with the following amendments:

- On p.56, in the risk framework there is no mention of council, which should be added
 - On p.60, in Risk Appetite add a footnote to explain that *‘work is yet to be done on understanding risk appetite and tolerance levels for Key Risks and will be done as part of implementation.’*
 - On p.65, in the paragraph there is reference to PAR, which should be changed to Audit and Risk.
-

COMMITTEE RESOLUTION

Moved: Robertson

Seconded: Cadogan

That the Audit and Risk Committee

- A. Receives the report and accepts the level of significance.
 - B. Recommends to Council the adoption of the revised Risk Management Policy subject to amendments.
-

CARRIED

23.3.5 REVISED PROCUREMENT POLICY

To consider the amendments made to the Procurement Policy.

After discussion it was agreed to recommend the revised Procurement Policy to Council with the following amendments:

- On p. 140, amend value for money to include 'whole of life' cost.
 - On p.141, an explanation of who Aukaha are and do, was needed for those unfamiliar with the organisation.
 - On p.143, the wording in bullet point 3, replace '*quotation*' with '*obtaining*'.
 - On p.144, reference to directors should be changed to singular.
 - It was noted that the incorrect logo was used in the document.
-

COMMITTEE RESOLUTION

Moved: Robertson

Seconded: Cadogan

That the Audit and Risk Committee

- Receives the report and accepts the level of significance.
- Recommends to Council that the revised Procurement Policy be adopted subject to amendments.

CARRIED

23.3.6 PROGRESS IN THE PREPARATION OF THE 2024-34 LONG-TERM PLAN

To update the Committee on the progress in preparing the 2024-34 Long-term Plan.

COMMITTEE RESOLUTION

Moved: Robertson

Seconded: Cadogan

That the Audit and Risk Committee:

- Receives the report and accepts the level of significance.
- Notes the progress in the preparation of the 2024-34 Long-term Plan.

CARRIED

23.3.7 HEALTH, SAFETY AND WELLBEING REPORT

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

COMMITTEE RESOLUTION

Moved: Robertson
Seconded: Cadogan

That the report be received.

CARRIED

6 CHAIR'S REPORT**23.3.8 CHAIR'S REPORT**

To consider the Chair's report:

The Chair reported on the following:

- Acknowledged the Audit and Risk committee members (past and present) and the management team, and noted that she had enjoyed her time as Chair. She recognised the journey and development that had taken place in this space.
-

COMMITTEE RESOLUTION

Moved: Robertson
Seconded: Cadogan

That the report be received.

CARRIED

7 MEMBERS' REPORTS**23.3.9 MEMBERS' REPORTS**

To consider the members' reports:

His Worship the Mayor reported on the following:

- His Worship the Mayor thanked Ms Robertson for her work as Chair of the Audit and Risk Committee. He noted that the council had come a long way in terms of their audit and risk procedures and thanked Ms Robertson for her guidance as Chair.

Cr Alley reported on the following:

- Noted the increase on cost for audit and queried whether some of those costs could be negotiated.

Cr Gillespie reported on the following:

- Joined His Worship in thanks to Ms Robertson for her time as Chair of the Audit and Risk Committee.
-

COMMITTEE RESOLUTION

Moved: Robertson
Seconded: Cadogan

That the reports be received.

CARRIED

8 STATUS REPORTS**23.3.10 SEPTEMBER 2023 GOVERNANCE REPORT**

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

COMMITTEE RESOLUTION

Moved: Robertson
Seconded: Cadogan

That the report be received.

CARRIED

9 DATE OF THE NEXT MEETING

The date of the next scheduled meeting is 8 December 2023.

10 RESOLUTION TO EXCLUDE THE PUBLIC

COMMITTEE RESOLUTION

Moved: Robertson
Seconded: Cadogan

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

The general subject matter of each matter to be considered while the public is excluded, the reason for passing this resolution in relation to each matter, and the specific grounds under section 48 of the Local Government Official Information and Meetings Act 1987 for the passing of this resolution are as follows:

General subject of each matter to be considered	Reason for passing this resolution in relation to each matter	Ground(s) under section 48 for the passing of this resolution
Confidential Minutes of Ordinary Committee Meeting	s7(2)(g) - the withholding of the information is necessary to maintain legal professional privilege s7(2)(i) - the withholding of the information is necessary to enable Council to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations)	s48(1)(a)(i) - the public conduct of the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding would exist under section 6 or section 7

	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	
23.3.11 - 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	s48(1)(a)(i) - the public conduct of the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding would exist under section 6 or section 7
23.3.12 - Update on the Development of Internal Audit Programme	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	s48(1)(a)(i) - the public conduct of the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding would exist under section 6 or section 7
23.3.13 - Review of the Draft Non-Audited 2022/23 Annual Report	s7(2)(i) - the withholding of the information is necessary to enable Council to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations)	s48(1)(a)(i) - the public conduct of the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding would exist under section 6 or section 7
23.3.14 - Key Risk Register 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	s48(1)(a)(i) - the public conduct of the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding would exist under section 6 or section 7
23.3.15 - Litigation Register	s7(2)(g) - the withholding of the information is necessary to maintain legal professional privilege	s48(1)(a)(i) - the public conduct of the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding would exist under section 6 or section 7

CARRIED

The public were excluded at 10.54 am and the meeting closed at 12.26 pm.

4 DECLARATIONS OF INTEREST

23.4.1 DECLARATIONS OF INTEREST REGISTER

Doc ID: 1410099

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 - Audit and Risk Declarations of Interest [↓](#)

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)	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
Tim Cadogan	Business South Central Otago Advisory Group (member) Alexandra Squash Club (member) LGNZ National Council (member)	Two Paddocks (Employee) Alexandra Blossom Festival (Committee)	Manuherekia Exemplar Group Eden Hore Steering Committee Major Projects Reference Group Airport Reference Group
Neil Gillespie	Contact Energy (Senior Specialist - Hydro Sustainability) Clyde & Districts Emergency Rescue Trust (Secretary and Trustee) Cromwell Volunteer Fire Brigade (Chief Fire Officer) Cromwell Bowling Club (patron) Otago Local Advisory Committee - Fire Emergency New Zealand Returned Services Association (Member)		Tarras Hall Committee

Tracy Paterson	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 (Vice chair) Central Otago A&P Association (Member) Manuherikia Exemplar Governance Group (Member)	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)	Omakau Recreation Reserve Committee Ophir Welfare Association Committee Central Otago Health Incorporated
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5 REPORTS

23.4.2 AUDIT NZ AND INTERNAL AUDIT UPDATE

Doc ID: 1408291

1. Purpose

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

The audit for the year ending June 2022 contained two new recommendations. First when a valuation is undertaken it is necessary for all assets within a class of property, plant and equipment to be revalued. Staff noted that work needs to be carried out to align the property asset register in the fixed asset register with the property department's list. Due to competing priorities (primarily the 2024-34 Long-term Plan) this work is now scheduled to occur next year.

The second recommendation was that the Council needs to review the interest register to ensure it is complete. Staff have improved the collection of data for staff conflicts of interest. An annual process has now been implemented through ELMO (the human resources management tool) whereby staff receive an email notification and are required to fill out an online form.

Appendix 1 details outstanding actions from previous audits, alongside commentary on progress.

Internal audit programme

The Committee received the draft report for the proposed programme for 2023-26 at their last meeting. Following conversations with the executive team and Deloitte the report needs refinement before finalisation. Given the increasing costs of the external audit programme, the budget for the internal programme will be used to offset these costs for this financial year. The draft report will be refined early next year, before presentation back to this Committee.

3. Attachments

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

Report author:

Reviewed and authorised by:



Saskia Righarts
Group Manager – Business Support
29/11/2023



Peter Kelly
Chief Executive Officer
29/11/2023

				Completion		
Audit NZ 2022 Management Report						
Revalue all assets within a class When a valuation is undertaken, it is necessary for all assets within a class of property, plant and equipment to be revalued.		The financial reporting standards require that when an asset is valued, the whole class of assets is subject to revaluation. However, as the non-valued assets were insignificant and audit procedures were applied to the full population, we accepted the exclusion of certain items from the revaluation on the basis of materiality only.	Systems and Corporate Accountant	30-Jun-24	In Progress	The audit for the year ending June 2022 contained two new recommendations. First when a valuation is undertaken it is necessary for all assets within a class of property, plant and equipment to be revalued. Staff noted that work needs to be carried out to align the property asset register in the fixed asset register with the property department's list. Due to competing priorities (primarily the 2024-34 Long-term Plan) this work is now scheduled to occur next year.
Ensure all councillors are included in the interest register - The District Council needs to review the interest register to ensure it is complete.		A New Councillor was not included in the updated interest register for Councillors and a member of the District Council's key management personal partner had three companies that were excluded from the KMP register. The exclusion of the declaration creates a risk of potential conflict of interests that cannot be taken into consideration as the District Council performs its functions. In addition, changes to the Local Government Act though the Local Government (Pecuniary Interests Register) Amendment Act 2022 will require more detailed reporting of interests from 15 February 2023. While the Act will only apply to Councillors, we suggest that senior management also follow the reporting requirements of the Act.	Governance		CLOSED	The second recommendation was that the Council needs to review the interest register to ensure it is complete. Staff have improved the collection of data for staff conflicts of interest. An annual process has now been implemented through ELMO (the human resources management tool) whereby staff receive an email notification are required to fill out an online form.
Audit NZ 2021 Management Report						
Transfer and capitalisation of completed WIP (Work in Progress) to PPE (Property, Plant and Equipment) on a timely basis.	Management should expedite the process of transferring the completed WIP to PPE and should improve the processes of identifying completed projects.		Chief Financial Officer Systems and Corporate Accountant	30-Dec-22	In progress	We acknowledge there were delays in WIP being capitalised in the 2021 year. The Accountant spent considerable time in improving the process during the 2021 period and in the current year is holding quarterly meetings with managers in order to capitalise projects earlier. We are also working through the assets shown as "under construction" in the PPE note and are endeavouring to have these assets capitalised by year end 2022. This will ensure all WIP is categorised in one place, instead of the current WIP on the balance sheet as well as some included in the PPE note. WIP is reviewed monthly with a more in-depth quarterly review. WIP projects are released when advised unless a renewal, such as the roading network, which is capitalised quarterly. Large projects of all natures are capitalised when commissioned. Assets can be capitalised and back dated if needed, with the depreciation calculator back to the commission date or the start of the financial year
Review of the depreciation policy		Management should consider reviewing the useful lives of assets for the fully depreciated assets and for assets with depreciation rates outside the range specified in the accounting policy	Chief Financial Officer Systems and Corporate Accountant	30-Dec-22	In progress	A review of the assets and depreciation rates used, will be completed before 2021-22-year end, ensuring that any assets of no value are determined and written-off if no longer in use. This is ongoing, many assets have been set to zero depreciation rate due to being revalued to zero. While there are also assets not revalued but still in use with zero carrying values. During 2022 assets with zero carrying values and at the end of the financial year were reviewed and there were some disposals made.
Update to the sensitive expenditure policy		The updates to good practice for sensitive expenditure from Office of the Auditor-General (OAG) guidelines can be incorporated into the sensitive expenditure policy.	Group Manager - Business Support	31-Jun-24	In progress	Noted. However, I am not aware of any conversation regarding having to have claims in Te Reo Māori. This policy is not due for renewal until 2024 and due to staffing constraints, the review date is not likely to be brought forward. This recommendation will be addressed when the policy is updated.
System password settings		Previously we noted that certain user authentication password settings were not consistent with the Generally Accepted Leading Practice (eg the minimum length of a password is six characters and the password complexity requirement is disabled). Weak password settings increase the risk of unauthorised access to Council information systems	Chief Information Officer		In progress	We noted no change during the current period. However, this issue is to be addressed, as part of the 'Cybersecurity Plan 2022-2025' in the 2023 year, and assuming that funding is approved in the annual plan
Broader Audit Risk assessments - Contract Management - Conflicts of Interest - Asset management		Management should consider establishing a contract management policy, implementing the improvement recommendations from the values for asset management and ensuring that the members' interest declaration register is consistent with employee interest declaration register in terms of level of detail.	Chief Financial Officer Governance	30-Jun-23	In progress	The Contract Administration Manual while used primarily in the Infrastructure department, is a Council wide manual. This manual needs to be updated but requires capacity to do so. Conflict of Interest Register – Governance to review. Asset management – noted. Due to staffing constraints (with the role of risk and procurement manager that oversees these tasks vacant or some time) this recommendation is yet to be addressed. This recommendation is on the long list of work programme items for consideration when resourcing allows.

23.4.3 PROGRESS IN THE PREPARATION OF THE 2024-34 LONG-TERM PLAN

Doc ID: 1385712

1. Purpose of Report

To update the Committee on the progress in preparing the 2024-34 Long-term Plan.

Recommendations

That the Audit and Risk Committee:

- A. Receives the report and accepts the level of significance.
 - B. Notes the progress in the preparation of the 2024-34 Long-term Plan.
-

2. Background

At the Committee's last meeting on 29 September 2023, members received an update on progress. Key updates included:

- The Council and Community Boards considered the community ideas in relation to their delegation in May – July 2023.
- Ideas that received support from elected members were communicated to activity managers and will be incorporated into the development of the draft 2024-34 Long-term Plan.
- Participants who provided the ideas were advised of the outcome and a public update was issued.
- Activity workshops with the Council and Community Boards are underway. These provide the background of activity budgets and their key priorities as the draft 2024-34 Long-term Plan is developed.
- There has been a delay in the budget input because the 2024-34 Long-term Plan financial model is being redeveloped to ensure there is clarity of funding streams.
- The report to the Council concerning the Museum Investment Strategy has been delayed until the operational model for the Cromwell Memorial Hall (which is proposed to incorporate the Cromwell Museum) is confirmed.

3. Discussion

The project is tracking behind schedule. Additional resource in the finance team has been sourced to help get the project back on track. The key actions undertaken since the last report include:

- Completion of the activity workshops with the Council and Community Boards.
- An additional workshop with the Council to discuss the role of property (inclusive of sales) in the district. Given this broader conversation, the Museum Investment Strategy will be captured within this work (rather than a separate report to Council as indicated at the last Committee meeting).
- Completion of the budget data entry. This was achieved four weeks later than anticipated. This is primarily due to challenges with the financial modelling system.
- Review of the budgets by the Executive Leadership Group.
- The draft Significance and Engagement Policy will be tabled for review at this Committee meeting.

- Appointment of an external writer for the narration of the draft 2024-34 Long-term Plan book and Consultation Document due to a staff vacancy in our Communication and Engagement department.
- Appointment of an external accountant to assist with budget entry and modelling.
- Development of Asset and Activity Management Plans continues.

Timeline

An updated timeline is attached in **Appendix 1**.

Alongside the budget entry delay an additional Council workshop has impacted on the development of the key 2024-34 Long-term Plan policy and strategy documents.

For further discussion, an additional Audit and Risk meeting in early February 2024 has been pencilled into the timeline to allow for the review of the draft 2024-34 Long-term Plan book and remaining key policy and strategy documents.

Workshops 16, and 17 have been rescheduled. The Council's adoption of the draft 2024-34 Long-term Plan book, the consultation document, and the key policy and strategies for audit have been moved to their 28 February 2024 meeting.

While this is a delay to the original programme, adoption of the 2024-34 Long-term Plan by the statutory deadline of 30 June 2024 is still achievable.

The Audit and Risk Committee will receive a programme update together at their March 2024 meeting.

4. Attachments

Appendix 1 - 2024-34 Long-term Plan Timeline [↓](#)

Report author:



Christina Martin
Project Manager - Organisational
14/09/2023

Reviewed and authorised by:



Saskia Righarts
Group Manager - Business Support
15/09/2023

2024-34 Long-term Plan Project Timeline



23.4.4 POLICY AND STRATEGY REGISTER

Doc ID: 1401371

1. Purpose

To consider the updated Policy and Strategy Register.

Recommendations

That the report be received.

2. Discussion

Organisational performance has remains relatively steady, raising very slightly from 87.4% in September to 87.5% as of November. This is above the audited target of 80%, but below the organisational target of 90%.

The total cumulative length of expiry has decreased from 3,280 days in the September report to 2,284 days as of 20 November 2023. This is due to an error in calculation, rather than a true reduction.

Business Support

95.24% of policy documents are in date. They have a current cumulative length of expiry of 40 days across two policies – both under review.

- The Annual Report is on this meeting's agenda.
- The Vehicle Procurement, Maintenance, and Disposal Policy is underway.

Both the Procurement Policy and the Risk Management Policy have now been updated.

Review will begin on the Staff Interests Policy on 6 December.

Looking ahead, Business Support have multiple financial and other policies tied to the LTP. These policies have all been programmed with consultation to begin in early 2024.

Community Experience

88.89% of policy documents are in date with no updates. The cumulative length of expiry is 750 days for one policy. This policy, Collection Development, is expected in Q1 2024.

Community Vision

85.71% of policy documents are in date. The cumulative length of expiry is 173 days relating to one document. This review is not currently programmed.

The Media Policy was updated in September – also encompassing the Social Media Policy (which has now been removed from the register).

The Tourism Strategy has been removed from the register as it was replaced by the Destination Management Plan and will not be renewed.

The Grants Policy review, due January 2024, is underway.

Planning and Infrastructure

84% of Planning and Infrastructure policy documents are in date. The cumulative length of expiry is 1,302 days across four policies. Work is underway on all four.

There are no updaters in Planning and Infrastructure.

People and Culture

100% of People and Culture policy documents are in date.

The Performance Management Policy was renewed in August; the Equal Employment Opportunity, Discrimination, Harassment and Bullying Policy was renewed in September

The current Health, Safety and Wellbeing Framework will remain in place while the new one is developed – due in March.

Work is underway on both the Leave Management Policy and Remuneration Policy, due December.

The Staff Interests Policy has moved to Business Support.

Three Waters

42.86% of Three Waters policy documents are in date. The cumulative length of expiry is 559 days across two policies. This work is not currently programmed.

3. Attachments

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

Report author:

Reviewed and authorised by:



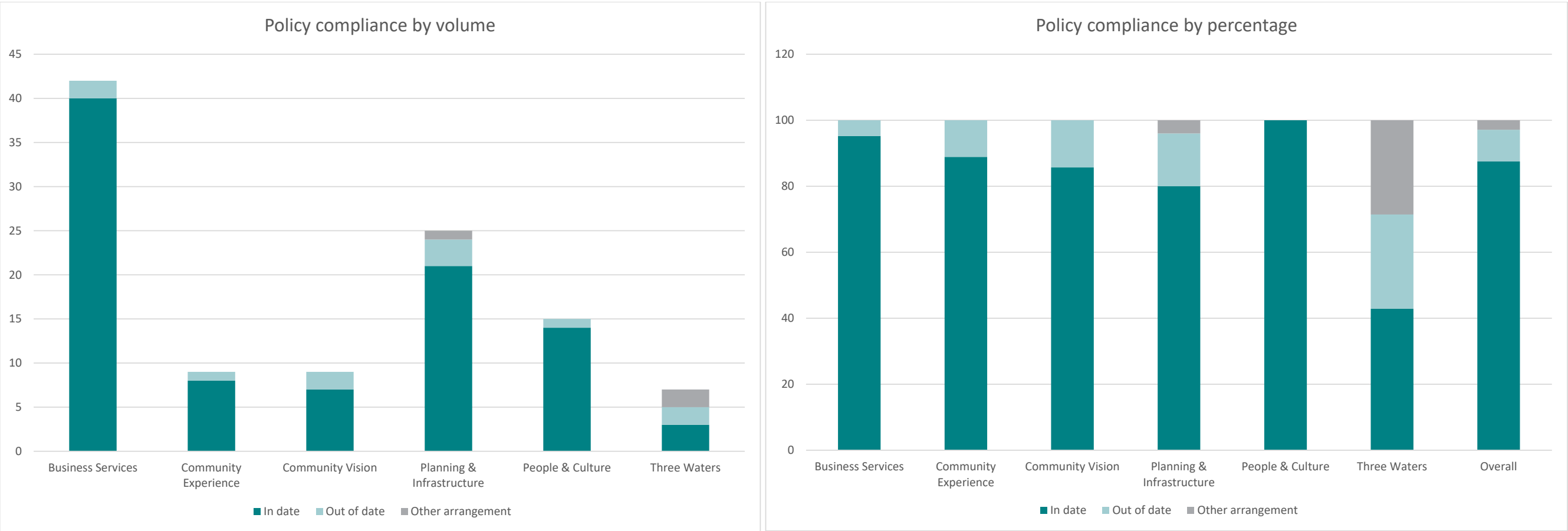
Alix Crosbie
Senior Strategy Advisor
20/11/2023

Dylan Rushbrook
Group Manager - Community Vision
21/11/2023



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	Compliance (%)
Business Services	42	42	0	40	2	0	95.24%
Community Experience	10	9	1	8	1	0	88.89%
Community Vision	7	7	0	6	1	0	85.71%
Planning & Infrastructure	26	25	1	20	4	1	80.00%
People & Culture	14	14	0	14	0	0	100.00%
Three Waters	7	7	0	3	2	2	42.86%
Total	106	104	2	91	10	3	87.50%

Compliance target:

Cumulative length of expiry:

Status:

Prepared:

80%

2,824 days

Compliance target met

25 August 2023





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 2025	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	December 2022	October 2023	Council	Produced at the end of each financial year. Sets out performance and delivery against budgets and targets.	External	Out of date. Underway.
Organisational Business Plan	July 2023	July 2024	CEO	Describes the organisational business focus for the year.	Internal	Operational
Long-term Plan	June 2021	30 June 2024	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	December 2023 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	December 2021	December 2023	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 2021	June 2024	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	Operational
Financial Strategy	June 2021	December 2023 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	December 2022	December 2023	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	December 2023 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	December 2023 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	October 2023	October 2024	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	December 2023 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	June 2024 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	December 2023 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 2021	June 2024	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 2021	June 2024	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 Procurement Maintenance and Disposal Policy	October 2020	October 2023	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	Out of date.

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
Copyright Policy	September 2021	September 2024	CEO	Identified as a gap in a legislative compliance review – will be folded into the Information and Records Management Policy at a future review.	Internal	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 2023	April 2024	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 2023	April 2024	CEO	Manages protecting and salvaging physical records and archives in the event of a disaster	Internal	Operational
Information and Records Management Plan	2022	2024	CEO	Comprehensive plan for the effective retention, appraisal, and disposal of Council information and records.	Internal	Operational Review underway
Information and Records Management Policy	February 2022	February 2025	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	February 2022	February 2025	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	August 2021	August 2024	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 Review underway
LGOIMA Request Policy	February 2022	February 2025	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
Collection Development Policy	October 2018	October 2021	CEO	Shared policy with QLDC.	Internal	Out of date. Review underway
Library Policy	September 2022	September 2025	CEO	Replaces expired policies including deselection, donations, and lost property policy.	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
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 Vapefree Policy	September 2021	September 2024	Council	Designates smokefree and vapefree 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	July 2021	July 2024	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	May 2023	Council	Framework for well-beings, community outcomes, identity values, and community development.	External	Out of date
Grants Policy	June 2021	January 2024	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.	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	May 2024	Council	Economic development framework to assist in achieving gains in economic performance and manage challenges. Supports well-being (core function.)	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	February 2022	February 2025	Council	Outlines processes and expectations around policies.	Internal	Operational

Future work: Housing Strategy; Council Investment in Museums 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 2022	January 2025	Audit & Risk Council	Provides guidance and clarity surrounding the management and disposal of Council assets, ensuring probity, accountability, and transparency.	External	Operational
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	December 2023 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. 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
Development and Financial Contributions Policy	June 2021	June 2024 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	Operational
Subdivision Engineering Standards	September 2019	September 2024	Council	Implemented as an addendum to New Zealand Standard 4404:2004. Provides appropriate standard for land development and subdivision engineering.	External	Operational Work underway
Sustainability Strategy	April 2019	April 2024	Council	Provides sustainability workstreams, goals, actions, and measures of success. Assists with compliance Toitū carbonreduce programme.	External	Operational Under review
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 2018	June 2023 LTP	Council	Supports the Waste Management and Minimisation Bylaw. Reviewed through Long-term Plan.	External	Out of date Review underway

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)Vincent (2022)	Various	Various	Council	Provides guidance to facilitate growth. Teviot Spatial Plan in development.	External	Operational

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	Operational
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	Operational

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
Leave Management Policy	December 2020	December 2023	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	December 2022	December 2023	CEO	To ensure that the Central Otago District Council attracts and retains employees through effective, competitive and affordable remuneration practices.	Internal	Operational
Staff Delegations Manual	June 2021	June 2024	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 2026	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 2022	January 2025	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	Operational
Health and Safety Policy Statement	November 2023	September 2024	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



Three Waters

Responsible Officer:

Three Waters

Document	Date reviewed	Due for review	Responsibility	Explanation	Publication	Status
Drinking Water Quality Policy Statement	March 2020	March 2023	Council	Policy position on drinking water quality.	Internal	Out of date
Leakage Remissions Policy	June 2021	December 2023 LTP	Council	Standardised procedure to assist ratepayers who have excessive water rates due to a fault/leak. Reviewed through Long-term Plan process.	External	Operational
Sewer Lateral Policy	July 2016	December 2022	Council	Defines responsibilities of sewer lateral pipes connecting to the main sewer system.	External	Out of date
Trade Waste Bylaw	June 2001	Hold.	Council	Covers the discharge of trade waste to the wastewater system. On hold, pending transition requirements to new entity – expected to be covered in Bill 2.	External	Hold
Water Safety Plans <ul style="list-style-type: none">Lake Dunstan Water Supply (2022)Cromwell (2015)Naseby (2016)Omakau (2017)Patearoa (2008)Pisa Village (new)Ranfurly (2016)Roxburgh (2016)	Various	Various	CEO	Requirement of the Water Services Act 2021 from 14 November 2022.	Pending	Operational
Water Services Asset Management Plan	2021	2024 Will transition prior to review.	CEO	Plan for management of strategic asset. 2024 AMP is being prepared now for new water services entity. CODC is providing information for this and does not need to do a separate CODC Three Waters AMP.	Internal	Operational
Water Supply Bylaw	May 2008	Hold.	Council	Regulates water supply. To be replaced by Water Bylaw – on hold, pending outcome of Three Waters review.	External	Hold



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	Status
Community Response Plans <ul style="list-style-type: none">CromwellClyde, Earnsclough, and AlexandraNaseby, Ranfurly, ManiototoManuherikia ValleyTeviot ValleyQueensberryIda Valley	Various	Various	Central Otago Emergency Management (Otago Regional Council)	Localised advice and preparation for response to emergency situations. https://www.otagocdem.govt.nz/districts/central-otago	External	Operational

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	Status
Arts Strategy	April 2013	April 2024	Community owned	Administered by the Arts Trust	External	Operational Under review
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	Operational
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	Operational
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	Operational



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.

23.4.5 LEGISLATIVE COMPLIANCE REVIEW

Doc ID: 1396684

1. Purpose

To consider the 2023 Legislative Compliance Review.

Recommendations

That the report be received.

2. Discussion

The legislative compliance report is an annual report provided to the Audit and Risk Committee. The report provides an overview of the laws and regulations that are relevant to Central Otago District Council and applies a framework to assess compliance against these requirements.

The primary purpose is to ensure the right policies and processes are in place to meet legal requirements. Where areas of non-compliance are identified, it seeks solutions to remedy the immediate occurrence and prevent future recurrences.

The report is now in its fourth year, and significant work has taken place to provide greater clarity and a higher degree of detail.

The report has three components:

- List of Public Acts with Regulatory Responsibilities for Local Government
- Mandatory Requirements Register
- Improvement Actions

Tracked Legislation Register

This item lists the most relevant public acts and provides a brief descriptor of each. Each Act on this list is checked for amendments that may have taken place since the last compliance report.

The 2023 review has included updating the Tracked Legislation Register with increased detail. Future development of this workstream will increase the coordination cross-departmentally on managing updates to legislation.

Mandatory Requirements Register

The Mandatory Requirements Register lists specific documents and requirements related to legislation.

That register is then compared against Council records, including the Policy and Strategy Register, and discussed with relevant officers to provide a comprehensive analysis of current performance, and identify any areas for improvement.

Adjustments to this register will be made at the next review to simplify the detail contained within.

Improvement Actions

All improvements identified in the Mandatory Documents Register are assessed using the risk matrix and prioritised for improvement. Immediate action is undertaken on any action with a 'high' initial risk level. Other actions are programmed.

The 2023 review identified four areas for improvement:

- Information unavailable from Three Waters to complete review
 - This was due to extreme uncertainty through the national election and restraints on resources
- Use of customer information databases
- 17A review processes
- Mandated policies out of date

The following areas for improvement were identified in 2022 and remain on the register, with updates:

- Record keeping for chemical storage
- Emergency response plans
- Health and Safety at Work Act understanding
- District Plan

Updates on all actions from the 2022 Improvement Actions Register have been included.

3. Attachments


Appendix 1 - Tracked Legislation Register [↓](#)

Appendix 2 - Mandatory Requirements Register [↓](#)

Appendix 3 - Improvement Actions Register [↓](#)

Report author:

Reviewed and authorised by:



Alix Crosbie
Senior Strategy Advisor
16/11/2023

Dylan Rushbrook
Group Manager - Community Vision
16/11/2023



List of Public Acts tracked by Central Otago District Council [including those with Regulatory Responsibilities for Local Government]

Explanatory note

Key terms		Colour coding
Amended through	This language is used when an amendment directly relating to the Act has been passed.	Grey reflects a new addition to this register
Updated to incorporate	This language is used when the Act has been updated as a result of another piece of legislation.	Aqua reflects an item with either significant or particularly relevant changes
Amendments not yet in force	The most recent copy of the legislation does not include terms from this piece of legislation.	White covers all other Acts

List

Public Act	Regulatory Responsibilities of Local Government	Reason tracked	Primary department/s	Changes since previous report (November 2022)	Latest version
Accident Compensation Act 2001	Accident compensation scheme for managing personal injury. Principal act for Injury Prevention, Rehabilitation, and Compensation Act 2001.	Employer responsibilities	People and Culture	Amended to incorporate Accident Compensation (Access Reporting and Other Matters) Amendment Act 2023.	September 2023
Airport Authorities Act 1966	The Act empowers local authorities to act as airport authorities, for the purpose of establishing, maintaining, operating or managing an airport. Local authorities and airport authorities are authorised to make bylaws for a range of purposes relating to the management and operation of airports.	Landowner responsibilities	Planning and Infrastructure	Updated to incorporate Natural and Built Environment Act 2023. Amendments not yet in force from Civil Aviation Act 2023. Civil Aviation Act 2023 to be implemented on 5 April 2025. CAA 1990 and AAA 1996 operate as is while this is underway.	August 2023
Animal Welfare Act 1999	This Act reforms the law relating to the welfare of animals and the prevention of their ill-treatment.	Regulatory responsibilities	Planning and Infrastructure	Amended through Animal Welfare Amendment Act 2022 added sections 8A – Transitional, savings, and related provisions; and 41 – Animal welfare export certificate must not be issued for certain animals. Updated to incorporate Statues Amendment Act 2022.	April 2023
Biosecurity Act 1993	The Biosecurity Act 1993 allows regional councils to control pests by developing pest management strategies (sections 71 to 83). These set out the objectives of the strategy, the pests to be managed or eradicated and the methods of management.	Regional responsibilities and impact	Planning and Infrastructure	Amended through Biosecurity (Costs) Amendment Regulations (No 2) 2023 updating Regulation 6 (Payment of Costs); Regulation 10 (Call-out costs); and Schedules 18-20 amended. Updated to incorporate Natural and Built Environment Act 2023.	August 2023
Building Act 2004	Territorial authorities are Building Consent Authorities. They issue building consents and undertake building inspections under the Building Act 2004, but have no role in setting building standards and cannot set higher or lower building standards than the Building Code. Regional Councils are Building Consent Authorities for dams, which usually require resource as well as building consent. The Act includes provisions relating to residential pool safety.	Regulatory responsibilities	Planning and Infrastructure	Updated to incorporate Natural and Built Environment Act 2023. Some amendments not yet in force from Building Amendment Act 2012.	August 2023



Public Act	Regulatory Responsibilities of Local Government	Reason tracked	Primary department/s	Changes since previous report (November 2022)	Latest version
Building (Earthquake-prone Buildings) Amendment Act 2016	This Act amends the Building Act 2004 with special provisions for earthquake-prone buildings.	Regulatory responsibilities	Planning and Infrastructure	Checked with no updates.	July 2017
Burial and Cremation Act 1964	Requires local authorities to establish, maintain and regulate cemeteries (where sufficient provision is not otherwise made), and grants local authorities power to carry out those responsibilities.	Regulatory responsibilities	Community Experience	Updated to incorporate Natural and Built Environment Act 2023.	August 2023
Bylaws Act 1910	An Act to make better provision for the validity of bylaws.	Regulatory responsibilities	Organisation wide	Checked with no updates.	July 2013
Charities Act 2005	An Act regulating the charitable sector. Updates impact Incorporated Societies – impacting our grant funding.	Impact on processes	Community Vision	Amended through Charities Amendment Act 2023. Inserted: 12A, 13A, 1A of Part 2, 36A, 36B, 36C, 36D, 42AB, 42AC, 42G, 55A-55E Amended: 13, 15, 18, 19, 24, 25, 26, 31, 39, 41, 55, 56, 57, Part 2A (58A-58X), 73, Schedule 1AA, Schedule 2 Repealed: 16, 33-36, 49, 59-61 Amendments not yet in force from Incorporated Societies Act 2022 and Charities Amendment Act 2023.	October 2023
Children's Act 2014	An Act to require the Government to adopt, publish, and review a strategy for improving the well-being of children and ensure that children's agencies work together to improve the well-being of particular groups of children. It also requires child protection policies and is to reduce the risk of harm to children by requiring people employed or engaged in work that involves regular or overnight contact with children to be safety checked.	Employer responsibilities	People and Culture	Updates incorporated from Children and Young People's Commission Act 2022 and Education and Training Amendment Act 2022.	July 2023
Civil Aviation Act 1990	An Act to establish rules of operation and divisions of responsibility within the New Zealand civil aviation system in order to promote aviation safety.	Landowner responsibilities, impact on processes	Planning and Infrastructure and Community Vision	Checked with no updates. Civil Aviation Act 2023 to be implemented on 5 April 2025. CAA 1990 and AAA 1996 operate as is while this is underway.	October 2021
Civil Defence Emergency Management Act 2002	Requires local authorities to co-ordinate, through regional groups, planning, programmes, and activities related to civil defence emergency management across the areas of reduction, readiness, response, and recovery, and encourage co-operation and joint action within those regional groups. Provides a basis for the integration of national and local civil defence emergency management planning and activity through the alignment of local planning with a national strategy and national plan.	Regulatory responsibilities (shared with ORC)	CEO	Updated to incorporate Natural and Built Environment Act 2023 and Severe Weather Emergency Legislation Act 2023.	August 2023
Climate Change Response Act 2002	Local authorities are subject to the Kyoto Protocol.	Impact on processes, potential for	Planning and Infrastructure, Community Vision	Updated to incorporate Natural and Built Environment Act 2023 and Climate Change Response (Extension of Penalty Transition for	August 2023



Public Act	Regulatory Responsibilities of Local Government	Reason tracked	Primary department/s	Changes since previous report (November 2022)	Latest version
		legislative requirements		Forestry Activity with Low Volume Emissions Liabilities) Amendment Act 2022.	
Conservation Act 1987	Section 35 stipulates that, "A local authority may make contributions out of its general fund or account for the management, improvement, or maintenance of any conservation area even if the area is outside its district."	Potential to impact operations	Community Experience	Updated to incorporate Spatial Planning Act 2023.	August 2023
Copyright Act 1994	The Act allows copyright owners to control certain activities relating to the use and dissemination of their work	Impact on processes, Legislative requirements	Business Support	Updated to incorporate United Kingdom Free Trade Agreement Legislation Act 2022.	May 2023
Crimes Act 1961	An Act relating to crimes and other offences. Includes punishments; defences; crimes against public order; crimes against the administration of law and justice; sex crimes; crimes against the person; crimes against privacy; property crimes; and conspiracies.	Impact on processes, Employer responsibilities	Planning and Infrastructure, People and Culture	Updated to incorporate Crimes (Child Exploitation Offences) Amendment Act 2023 and Coroners Amendment Act 2023.	April 2023
Crown Pastoral Land Act 1998	Concerns crown owned land where local authorities have an interest.	Impact on processes	Planning and Infrastructure	Amended through Crown Pastoral Land Reform Act 2022. Inserted: 1A, 2A, 87A, 90, 99, Part 4A (100A-100S), Schedules 1AA-1AC Replaced: Part 1 (4-23) Repealed: Part 2 Amended: 83, 84, 86 Updated to incorporate Natural and Built Environment Act 2023 and Te Ture mō te Hararei Tūmatanui o te Kāhui o Matariki 2022/Te Kāhui o Matariki Public Holiday Act 2022.	August 2023
Defence Act 1990	There are security provisions in the Act for any state of emergency declared under the Civil Defence Emergency Management Act 2002.	Impact on processes	CEO	Updated to incorporate Fair Pay Agreements Act 2022.	December 2022
Dog Control Act 1996	The Dog Control Act 1996 makes councils responsible for the control of dogs and makes the registration of dogs mandatory each year. Councils must adopt dog control policies, maintain the dog registration system and enforce this Act.	Regulatory responsibilities	Planning and Infrastructure	Checked with no updates.	November 2022
Earthquake Commission Act 1993	An Act to make provision with respect to the insurance of residential property against damage caused by certain natural disasters.	Impact on processes	Business Support, Community Experience	Updated to incorporate Natural and Built Environment Act 2023. Amendments not yet in force from Natural Hazards Insurance Act 2023.	August 2023
Electoral Act 1993	Enables electoral officers of local authorities to obtain from the Electoral Commission certain specified information required for any election, by-election or poll required by, or under, any Act.	Impact on processes	Business Support	Amended to incorporate Electoral (Expenditure Limit) Order 2023. Amended: 204B, 204C, 206C, 206V Revoked: Electoral (Expenditure Limit) Order 2022	July 2023



Public Act	Regulatory Responsibilities of Local Government	Reason tracked	Primary department/s	Changes since previous report (November 2022)	Latest version
Electricity Act 1992	To provide for the regulation, supply, and use of electricity in NZ	Impact on processes	Planning and Infrastructure	Updated to incorporate Natural and Built Environment Act 2023.	August 2023
Employment Relations Act 2000	Provides for good faith employee relations. Principal act for Domestic Violence – Victims’ Protection Act 2018	Employer responsibilities	People and Culture	Updated to incorporate Employment Relations (Extended Time for Personal Grievance for Sexual Harassment) Amendment Act 2023.	June 2023
Environmental Reporting Act 2015	The Governor-General may make environmental reporting regulations for local authorities to comply with.	Potential for reporting	Planning and Infrastructure	Updated to incorporate Natural and Built Environment Act 2023.	August 2023
Evidence Act 2006	The purpose of this Act is to help secure the just determination of proceedings.	Regulatory responsibilities, impact on processes	Planning and Infrastructure	Updated to incorporate Statutes Amendment Act 2022. Amendments not yet in force from Security Information in Proceedings (Repeals and Amendments) Act 2022 and Deposit Takers Act 2023.	December 2022
Fair Pay Agreements Act 2022	To enable employment terms to be improved for employees.	Employer responsibilities	People and Culture	Enacted June 2023	June 2023
Fencing Act 1978	An Act to reform the law relating to the erection and repair of dividing fences.	Landowner responsibilities	Planning and Infrastructure, Community Experience	Updated to incorporate Natural and Built Environment Act 2023.	August 2023
Food Act 2014	The responsible Minister can set standards other than the 1974 regulations. Territorial authorities must maintain a register of food premises in their district. Territorial authorities may inspect premises and vehicles for compliance.	Regulatory responsibilities	Planning and Infrastructure	Updated to incorporate Natural and Built Environment Act 2023 and Therapeutic Products Act 2023.	August 2023
Fire and Emergency New Zealand Act 2017	Fire services were unified under this Act. It established Fire and Emergency New Zealand whose functions are to promote fire safety and the safe use of fire, provide fire prevention.	Potential impact on processes	Planning and Infrastructure	Amended through Fire and Emergency New Zealand (Levy) Amendment Act 2023. Amended: 2, 6, 81, 84, 89, 102, 141, 142, Schedule 1. Repealed: 82, 83 Updated to incorporate Natural and Built Environment Act 2023. Amendments not yet in force from Natural Hazards Insurance Act 2023, Civil Aviation Act 2023, Water Services Legislation Act 2023.	August 2023
Freedom Camping Act 2011	Under this Act, freedom camping is considered to be a permitted activity everywhere in a local authority (or Department of Conservation) area (section 10), except at those sites where it is specifically prohibited or restricted (section 11). Bylaws must not absolutely prohibit freedom camping (section 12). Bylaws need to designate the places where freedom camping is not allowed, or where it is restricted in some way (for example, for a limited duration, or only in self-contained vehicles).	Impact on processes, regulatory functions	Community Experience, Community Vision	Amended to incorporate Self-contained Motor Vehicles Legislation Act 2023. Amended: 3, 4, 5, 6, 11, 13, 15, 17, 18, 22, 24, 26, 29, 31, 32, 33, 35, 36, 38, 39, 40, 42, 43, 45, Schedule 1AA, Schedule 2 Inserted: 6A, 11A, 11B, Subpart 3 of Part 2 (19A-19D), cross-heading above 24, 33A, 45A, Schedule 3	July 2023



Public Act	Regulatory Responsibilities of Local Government	Reason tracked	Primary department/s	Changes since previous report (November 2022)	Latest version
				Replaced: 8, 9, 10, 20, 27 Repealed: 21, 23	
Gambling Act 2003	Territorial authorities are required to develop class 4 (section 101) and Totalisator Agency Board (TAB) venue policies that must specify whether gambling machines are allowed and, if so, where they may be located. The policies may also specify any restrictions on the number of machines that can operate in a class 4 venue. Territorial authorities must decide consent applications on the basis of the policies they develop.	Regulatory requirements	Planning and Infrastructure	Checked with no updates. Amendments not yet in force from Gambling Act 2003, Incorporated Societies Act 202, Deposit Takers Act 2023.	July 2022
Gas Act 1992	To provide for the regulation, supply and use of gas in NZ.	Potential impact on processes	Planning and Infrastructure	Updated to incorporate Natural and Built Environment Act 2023.	August 2023
Government Roding Powers Act 1989	Ministers of the Crown and the New Zealand Transport Agency (NZTA) are vested with various powers to execute, manage and consent work on roads, motorways and highways under their control. The Act also confers local authority bylaw-making powers on the NZTA (e.g. regarding state highways). It enables the Minister of Transport to vest management of an access way or service lane in a territorial authority and the NZTA to delegate its powers and duties in respect of state highways to territorial authorities.	Regulatory requirements and functions	Planning and Infrastructure	Updated to incorporate Natural and Built Environment Act 2023 and Statues Amendment Act 2022.	August 2023
Hazardous Substances and New Organisms Act 1996	Section 97 instructs territorial authorities to enforce the HSNO Act in or on any premises in the district of the territorial authority. Regional councils play an enforcement role under the HSNO Act where this role overlaps with their functions under the RMA (they are responsible for controlling hazardous substances, under their functions relating to managing the discharge of contaminants into the environment). The HSNO Act does not prevent stricter standards from being introduced by a territorial authority or regional council under the RMA.	Employer requirements	People and Culture	Amended to incorporate Hazardous Substances and New Organisms (Schedules 1AA and 2A) Order 2023: amending Schedules 1AA and 2A. Earlier amendment in November 2022 [Hazardous Substances and New Organisms (Hazardous Substances Assessments) Amendment Act 2022] with the following sections inserted: 20B, 20C, 53AA, 59A, 63D, 64A, 76E; and the following replaced: 3A, 62. Updated to incorporate Natural and Built Environment Act 2023.	October 2023
Health Act 1956	This Act makes it the duty of every local authority to improve, promote and protect public health within its district. Local authorities are empowered and directed to appoint staff, inspect their districts, take steps to abate nuisances or health hazards, make bylaws and enforce regulations made under this Act (subject to the direction of the Director-General of Health). An amendment made to the Act by the Health (Drinking Water) Amendment Act 2007 imposed an obligation on water suppliers and water carriers (including local authorities) to monitor drinking water and take all practical steps to comply with standards. It also requires local authorities to report on drinking water quality within its district as required by the Director-General or Medical Officer of Health.	Regulatory responsibilities	Planning and Infrastructure	Updated to incorporate Natural and Built Environment Act 2023.	August 2023
Health and Safety at	Provides for a balanced framework to secure the health and safety	Employer	People and Culture	Amended to incorporate Health and Safety at	August 2023



Public Act	Regulatory Responsibilities of Local Government	Reason tracked	Primary department/s	Changes since previous report (November 2022)	Latest version
Work Act 2015	of workers and workplaces. Regard must be had to the principle that workers and other persons should be given the highest level of protection against harm to their health, safety, and welfare from hazards and risks arising from work or from specified types of plant as is reasonably practicable.	requirements		Work (Health and Safety Representatives and Committees) Amendment Act 2023 – sections 62 and 66 replaced. The following sections amended: 3, 13, 16, 27. The following sections revoked: Subpart 1 of Part 2, Schedules 2 and 3. Updated to incorporate Natural and Built Environment Act 2023 and Coroners Amendment Act 2023.	
Heritage New Zealand Pouhere Taonga Act 2014	The purpose of this Act is to promote the identification, protection, preservation, and conservation of the historical and cultural heritage of New Zealand. Heritage New Zealand Pouhere Taonga may make recommendations to the local authorities that have jurisdiction in the area where the historic area is located, as to the appropriate measures that those local authorities should take to assist in the conservation and protection of the historic area.	Potential for legislative requirements	Community Vision	Updated to incorporate Natural and Built Environment Act 2023.	August 2023
Holidays Act 2003	To promote work balance and provide employees with minimum leave entitlements.	Employer responsibilities	People and Culture	Updated to incorporate Fair Pay Agreements Act 2022	June 2023
Housing Accords and Special Housing Areas Act 2013	The purpose of this Act is to enhance housing affordability by facilitating an increase in land and housing supply in certain regions or districts. The Act allows central government and local authorities to enter into accords. The Act also allows for the establishment of special housing areas where special procedures apply to resource consenting and subdivision.	Potential for legislative requirements, area of interest	Community Vision, Planning and Infrastructure	Checked with no updates.	September 2021
Human Rights Act 1993	An Act to provide better protection of human rights in New Zealand in general accordance with United Nations Covenants or Conventions on Human Rights.	Employer responsibilities, democratic responsibilities	People and Culture, Business Support	Updated to incorporate Remuneration Authority Legislation Act 2022.	December 2022
Income Tax Act 2007	To define and impose obligations, rules, and amounts of tax.	Financial requirements	Business Support	Updated to incorporate Natural and Built Environment Act 2023, Education and Training Amendment Act 2023, Water Services Entities Amendment Act 2023, Income Tax (Deemed Rate of Return on Attributing Interests in Foreign Investment Funds, 2022-23 Income Year) Order 2023, Taxation (Annual Rates for 2022-23, Platform Economy, and Remedial Matters) Act 2023, Tax Administration (Extension of Period of Relief for Certain Disposals of Trading Stock) Order 2023. Amendments are not yet in force from: Taxation (Annual Rates and Budget Measures) Act 2011, State-Owned Enterprises Amendment Act 2012,	



Public Act	Regulatory Responsibilities of Local Government	Reason tracked	Primary department/s	Changes since previous report (November 2022)	Latest version
				Financial Market Infrastructures Act 2021, State-Owned Enterprises (Meteorological Service of New Zealand Limited and Vehicle Testing New Zealand Limited) Amendment Act 1999, Incorporated Societies Act 2022, Natural Hazards Insurance Act 2023, Taxation (Annual Rates for 2022–23, Platform Economy, and Remedial Matters) Act 2023, Civil Aviation Act 2023, Deposit Takers Act 2023, Water Services Legislation Act 2023.	
Impounding Act 1955	The Impounding Act 1955 requires every local authority to provide and maintain a public pound (two or more local authorities may jointly provide and maintain a public pound).	Regulatory requirements	Planning and Infrastructure	Checked with no updates.	October 2021
Incorporated Societies Act 2022	Provides for the incorporation of societies.	Impact on processes	Community Vision	Enacted 5 October 2023	October 2023
Interpretation Act 1999	The purposes of this Act are to state principles and rules for the interpretation of legislation; and to shorten legislation; and to promote consistency in the language and form of legislation.	Impact on processes	Business Support, Community Vision	Checked with no updates.	October 2021
KiwiSaver Act 2006	Facilitate individuals' savings, principally through the workplace.	Employer responsibilities	People and Culture	Updated to incorporate Criminal Proceeds (Recovery) Amendment Act 2023. Amendments not yet in force from Deposit Takers Act 2023	April 2023
Land Act 1948	Governs the management of Crown Land. Monitored due to high provision of Crown Land in Central Otago.	Impact on processes	Planning and Infrastructure, Community Vision	Amended through Crown Pastoral Land Reform Act 2022. Amended: 17, 24, 60, 66S, 89, 100 Updated to incorporate Natural and Built Environment Act 2023.	August 2023
Land Drainage Act 1908	The Act confers on local authorities the same powers with respect to cleaning, repairing or other maintenance as were had by elected drainage (and river) boards. Local authorities may order the removal of obstructions to waterways and dams, and may also be compelled to do so by individuals.	Potential regulatory responsibilities and legislative tool	CEO, Community Vision, Planning and Infrastructure	Updated to incorporate Natural and Built Environment Act 2023.	August 2023
Land Transport Act 1998	An Act to promote safe road user behaviour and vehicle safety; and to provide for a system of rules governing road user behaviour, the licensing of drivers, and technical aspects of land transport, and to recognise reciprocal obligations of persons involved; and to consolidate and amend various enactments relating to road safety and land transport; and to enable New Zealand to implement international agreements relating to road safety and land transport. Local authorities are Enforcement Authorities under the Land Transport Act.	Regulatory responsibilities	Planning and Infrastructure	Updated to incorporate Criminal Activity Intervention Legislation Act 2023 and Statutes Amendment Act 2022. Amendments not yet in force from Human Tissue Act 2008, Land Transport (Enforcement Powers) Amendment Act 2009, Land Transport (Road Safety and Other Matters) Amendment Act 2011, Land Transport Act 1998, Civil Aviation Act 2023, Therapeutic Products Act	June 2023



Public Act	Regulatory Responsibilities of Local Government	Reason tracked	Primary department/s	Changes since previous report (November 2022)	Latest version
Land Transport Management Act 2003	The Act manages the process of developing and maintaining land transport systems to achieve “an affordable, integrated, safe, responsive, and sustainable land transport system” (section (3)(1)). This largely affects regional councils and unitary authorities, who must ensure the production, by a regional transport committee, of a regional land transport programme. The Act directs where funds are disbursed through Regional Land Transport Strategies. It also confers various powers on regional councils: standard setting for commercial public transport services; regulation of commercial public transport services; requirements for public transport services to be provided under contract by the council.	Regulatory responsibilities	Planning and Infrastructure	2023, Land Transport (Road Safety) Amendment Act 2023. Amended to incorporate Land Transport Management (Regulation of Public Transport) Amendment Act 2023 relating to local authority management of public transport systems. The following sections amended: 5, 24, 25, 114, 127, 129, 131, 133, 134, 135, 136, 137, 140, 141, 147, 148, Schedule 1AA. The following sections replaced: 27, 116, 116A, 116B, 130, 150. The following sections inserted: 114A, 114B, Part 3 of Schedule 1AA. Updated to incorporate Spatial Planning Act 2023, and Natural and Built Environment Act 2023.	August 2023
Legislation Act 2019	The purpose of this Act is to promote high-quality legislation for New Zealand that is easy to find, use, and understand. It provides definitions of terms where not elsewhere provided for.	Legislative requirements	Community Vision	Updated to incorporate Natural and Built Environment Act 2023, Organic Products and Production Act 2023, Statutes Amendment Act 2022, and Data and Statistics Act 2022.	August 2023
Litter Act 1979	Territorial authorities are listed as ‘Public Authorities’ under the Litter Act 1979 and, as such, are responsible for the regulation of litter (defined as including “any refuse, rubbish, animal remains, glass, metal, garbage, debris, dirt, filth, rubble, ballast, stones, earth, or waste matter, or any other thing of a like nature”). Litter Control Officers can request the removal of litter and issue infringement notices and fines.	Regulatory responsibilities	Planning and Infrastructure	Checked with no updates. Amendments not yet in force from Civil Aviation Act 2023.	October 2021
Local Authorities (Members’ Interests) Act 1968	The Act consolidates and amends the law relating to the making of contracts between local authorities and the members thereof, and to the restrictions on the actions of such members when matters in which they have a pecuniary interest are under consideration.	Democratic responsibilities	Business Support	Updated to incorporate Natural and Built Environment Act 2023.	August 2023
Local Electoral Act 2001	The purpose of this Act is to modernise the law governing the conduct of local elections and polls.	Democratic responsibilities	CEO, Business Support	Amended through Local Government Electoral Legislation Act 2023 Inserted: Amended: Updated to incorporate Natural and Built Environment Act 2023, Electoral (Māori Electoral Option) Legislation Act 2022, Data and Statistics Act 2022.	August 2023
Local Government Act 1974	Residual regulatory powers – sewerage and stormwater, waste management. Continues to confer bylaw-making powers in various statutory areas.	Regulatory responsibilities	Planning and Infrastructure, Business Support, Community Vision	Updated to incorporate Natural and Built Environment Act 2023.	August 2023



Public Act	Regulatory Responsibilities of Local Government	Reason tracked	Primary department/s	Changes since previous report (November 2022)	Latest version
Local Government Act 2002	This Act establishes and empowers local authorities, confers local authorities with a power of general competence, empowers local authorities to make bylaws, and prescribes how local authorities exercise their regulatory functions.	Significant responsibilities under the Act	Organisation wide	<p>Updated to incorporate Spatial Planning Act 2023, Natural and Built Environment Act 2023, Water Services Entities Amendment Act 2023, Severe Weather Emergency Recovery Legislation Act 2023, Severe Weather Emergency Legislation Act 2023, Water Services Entity Act 2022, Data and Statistics Act 2022.</p> <p>The most recent version of the act excludes amendments already in force from Local Government Act 2002, Local Government Electoral Legislation Act 2023, Water Services Legislation Act 2023.</p> <p>Amendments not yet in force from Building Amendment Act 2012, Local Government Act 2002, Civil Aviation Act 2023, Local Government Electoral Legislation Act 2023, Water Services Legislation Act 2023.</p>	August 2023
Local Government Borrowing Act 2011	This Act facilitates the operation of the New Zealand Local Government Funding Agency Limited. It exempts the Funding Agency from certain regulatory or taxation criteria that would otherwise apply to it; and applies certain regulatory or taxation criteria to the Funding Agency that would otherwise not apply to it; and authorises local authorities to deal with the Funding Agency in a manner in which they would otherwise not be authorised to do so; and authorises or requires local authorities, in certain situations, to act in a manner in which they would otherwise not be authorised or required to act.	Financial requirements	Business Support	<p>Checked with no updates.</p> <p>Some amendments have not yet been incorporated.</p> <p>Amendments not yet in force from Deposit Takers Act 2023.</p>	December 2014
Local Government (Rating) Act 2002	Promotes the purpose of local government set out in the Local Government Act 2002 by providing local authorities with flexible powers to set, assess, and collect rates to fund local government activities; ensures that rates are set in accordance with decisions that are made in a transparent and consultative manner; and provides for processes and information to enable ratepayers to identify and understand their liability for rates.	Financial requirements	Business Support	<p>Updated to incorporate Natural and Built Environment Act 2023.</p> <p>Amendments not yet in force from Civil Aviation Act 2023, Water Services Legislation 2023.</p>	August 2023
Local Government Official Information and Meetings Act 1987 (LGOIMA)	Regulates the public availability of official information held by local authorities.	Legislated requirements	Business Support	<p>Amended through Local Government Official Information and Meetings Amendment Act 2023. Minor updates to s6.</p> <p>Updated to incorporate Natural and Built Environment Act 2023, Education and Training Amendment Act 2023, Statutes Amendment Act</p>	August 2023.



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Marine and Coastal Area (Takutai Moana) Act 2011	If a customary marine title planning document is lodged with the local authority that has statutory responsibilities in the district or region where that title is located, the local authority must take the planning document into account when making any decision under the LGA02 with respect to the customary marine title area.	Potential impact on processes	Planning and Infrastructure	Updated to incorporate Natural and Built Environment Act. Amendments not yet in force from Civil Aviation Act 2023.	August 2023.
Minimum Wage Act 1983	Sets minimum wages.	Employer responsibilities	People and Culture	Updated to incorporate Fair Pay Agreements Act 2022	December 2022
National Parks Act 1980	Local authorities may make contributions towards national park purposes.	Potential impact on processes	Community Experience, Business Support	Updated to incorporate Natural and Built Environment Act.	August 2023.
Natural Hazards Insurance Act 2023	Reduces the impact of natural hazards on people, property, and the community. Provides financial management.	Potential impact on processes	Planning and Infrastructure, Business Support, Community Vision	Enacted August 2023	August 2023
Natural and Built Environment Act 2023	Upholds te Oranga o te Taiao (defined within the act to mean the health of the environment, including sustaining life, wellbeing, interconnectedness, and whakapapa.)	Regulatory responsibilities. Significant impact.	Planning and Infrastructure, Community Vision, CEO	Enacted August 2023	August 2023
NZ Bill of Rights Act 1990	The Act affirms, protects, and promotes human rights and fundamental freedoms in New Zealand; and affirms New Zealand's commitment to the International Covenant on Civil and Political Rights	Democratic rights and employer requirements	CEO	Checked with no updates.	August 2022
NZ Public Health and Disabilities Act 2000	Every DHB must prepare a plan which addresses the local, regional and national needs for health services.	Potential impact on processes	Community Vision, CEO	Checked with no updates.	July 2022
Oaths and Declarations Act 1957	An Act to consolidate and amend certain enactments of the Parliament of New Zealand relating to oaths, affirmations, and declarations	Impact on processes	Planning and Infrastructure	Updated to incorporate Family Court (Family Court Associates) Legislation Act 2023, Coroners Amendment Act 2023, Statutes Amendment Act 2022.	October 2023
Ombudsmen Act 1975	Provides oversight of public services.	Significant responsibilities under the Act	Entire organisation, CEO, Community Vision	Updated to incorporate Natural and Built Environment Act 2023, Education and Training Amendment Act 2023, Ombudsmen (Spatial Planning Board Order) 2023, Ombudsmen (Aroturuki Tamariki – Independent Children's Monitor) Order 2023. Amendments not yet in force from: State-Owned Enterprises Amendment Act 1992, State-Owned Enterprises (Meteorological Service of New Zealand Limited and Vehicle Testing New Zealand Limited) Amendment Act 1999, Natural Hazards Insurance Act 2023, Civil Aviation Act 2023, Inspector-General of Defence Act 2023, Therapeutic Products Act 2023, Integrity Sport	August 2023



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				and Recreation Act 2023, Water Services Legislation Act 2023.	
Parental Leave and Employment Protection Act 1987	To set minimum entitlements with respect to parental leave.	Employer responsibilities	People and Culture	Updated to incorporate Pae Ora (Healthy Futures) Act 2022. Some amendments have not yet been incorporated.	July 2023
Privacy Act 2020	Promotes and protect individual privacy, in particular, to establish certain principles with respect to the collection, use, and disclosure, by public and private sector agencies, of information relating to individuals; and access by each individual to information relating to that individual and held by public and private sector agencies.	Legislated requirements	Business Support	Amended to incorporate Privacy (Information Sharing Agreement between Inland Revenue and Ministry of Social Development) Amendment Order 2023, Privacy (Information Sharing Agreement Facilitating Access to Information about Deaths) Order 2023, Statutes Amendment Act 2022. Some amendments have not yet been incorporated. Editorial updates in September 2023. Amendments not yet in force from: Natural Hazards Insurance Act 2023, Self-contained Motor Vehicles Legislation Act 2023, Inspector-General of Defence Act 2023, Land Transport (Road Safety) Amendment Act 2023.	July 2023
Private Security Personnel and Private Investigators Act 2010	People offering private security and investigations under this Act can be authorised by local authorities as RMA enforcement officers.	Regulatory responsibilities	Planning and Infrastructure	Checked with no updates.	October 2021
Property Law Act 2007	The purpose of this Act is to restate, reform, and codify (in part) certain aspects of the law relating to real and personal property.	Landowner responsibilities	Planning and Infrastructure	Updated to incorporate Natural and Built Environment Act 2023.	August 2023
Prostitution Reform Act 2003	Local authorities are empowered to regulate the location and advertising of brothels through bylaws.	Regulatory responsibilities	Planning and Infrastructure	Updated to incorporate Natural and Built Environment Act 2023.	August 2023
Protected Disclosures (Whistle-blowers) Act 2021	Promotes the public interest by facilitating the disclosure and investigation of matters of serious wrongdoing in or by an organisation; and protects employees who, in accordance with this Act, make disclosures of information about serious wrongdoing in or by an organisation.	Employer responsibilities	People and Culture	Checked with no updates. Amendments not yet in force from Deposit Takers Act 2023, Inspector-General of Defence Act 2023, Integrity Sport and Recreation Act 2023.	March 2022
Psychoactive Substances Act 2013	The purpose of this Act is to regulate the availability of psychoactive substances in New Zealand to protect the health of, and minimise harm to, individuals who use psychoactive substances. Local authorities may develop a locally approved products policy that regulates the sale of these products within their district.	Regulatory responsibilities	Planning and Infrastructure	Checked with no updates. Amendments not yet in force from Therapeutic Products Act 2023.	July 2022
Public Audit Act 2001	This Act has the primary purposes of establishing the Controller and Auditor-General and the Deputy Controller and Auditor General as	Financial responsibilities	Business Support	Updated to incorporate Natural and Built Environment Act 2023, Education and Training	August 2023



Public Act	Regulatory Responsibilities of Local Government	Reason tracked	Primary department/s	Changes since previous report (November 2022)	Latest version
	officers of Parliament and restating the law relating to the audit of public sector organisations and public entities, which includes local authorities.			Amendment Act 2023. Amendments not yet in force from Financial Sector (Climate-related Disclosures and Other Matters) Amendment Act 2021, Civil Aviation Act 2023, Deposit Takers Act 2023, Water Services Legislation Act 2023.	
Public Bodies Contracts Act 1959	An Act to make provision for the making of contracts by local authorities and other public bodies	Landowner responsibilities	Planning and Infrastructure, Business Support	Checked with no updates.	October 2021
Public Bodies Leases Act 1969	An Act to consolidate and amend the law relating to the powers of certain public bodies to lease land.	Landowner responsibilities	Planning and Infrastructure	Checked with no updates.	November 2018
Public Records Act 2005	Enhances public confidence in the integrity of public records and local authority records; and provides an appropriate framework within which public offices and local authorities create and maintain public records and local authority records, as the case may be.	Legislated responsibilities	Business Support	Checked with no updates. Amendments not yet in force from Water Services Legislation Act 2023.	September 2022
Public Works Act 1981	This Act regulates the execution of public works, including by local government. The Act grants local authorities powers necessary to carry out public works, including (but not limited to) acquiring necessary land, managing compensation processes, conducting surveying and managing road traffic.	Regulatory responsibilities	Planning and Infrastructure	Updated to incorporate Natural and Built Environment Act 2023, Plant Variety Rights Act 2022, Data and Statistics Act 2022. Amendments not yet in force from Railways Act 2005, Civil Aviation Act 2023, Water Services Legislation Act 2023.	August 2023
Queen Elizabeth the Second National Trust Act 1977	An Act to commemorate the Silver Jubilee of Her Majesty Queen Elizabeth the Second by establishing a national trust to encourage and promote the provision, protection, and enhancement of open space for the benefit and enjoyment of the people of New Zealand.	Potential impact on processes	Community Experience	Checked with no updates.	October 2021
Racing Act 2020	This Act promotes the long-term viability of New Zealand racing. TAs must have a policy on Racing Industry Transition Agency gaming machine venues	Regulatory responsibilities	Planning and Infrastructure	Updated to incorporate Natural and Built Environment Act 2023. Some amendments to the Act have not yet been incorporated. Amendments not yet in force from Incorporated Societies Act 2022.	August 2023
Rates Rebate Act 1973	An Act to make provision for the granting of rebates of rates payable in respect of certain residential properties.	Financial responsibilities	Business Support	Update to incorporate Rates Rebate (Specified Amounts) Order 2023.	July 2023
Rating Valuations Act 1998	Provides for the Valuer-General to be a statutory officer within Land Information New Zealand; and introduces contestability to the rating valuations market by assigning to the Valuer-General a regulatory rather than a participatory role in the preparation of district valuation rolls.	Financial responsibilities	Business Support	Updated to incorporate Natural and Built Environment Act 2023.	August 2023
Remuneration Authority Act 1977	The Authority reviews and sets local government sector remuneration.	Democratic functions	Business Support	Updated to incorporate Natural and Built Environment Act 2023, Family Court (Family	August 2023



Public Act	Regulatory Responsibilities of Local Government	Reason tracked	Primary department/s	Changes since previous report (November 2022)	Latest version
				Court Associates) Legislation Act 2023, Coroners Amendment Act 2023, Remuneration Authority Legislation Act 2022.	
Reserves Act 1977	Section 65 gives the administering body of any recreation reserve the power to pass bylaws to control public access and movement. This includes regional councils. Councils may also be responsible for administering local purpose reserves.	Regulatory responsibilities	Community Experience	Updated to incorporate Natural and Built Environment Act 2023.	August 2023
Resource Management Act 1991	The Resource Management Act confers significant powers and functions on local authorities concerning the regulation of activities relating to natural and physical resources. Local authorities are required to prepare and implement plans and policy statements, and to process and adjudicate resource consent applications.	Regulatory responsibilities	Planning and Infrastructure	<p>Significant amendments made.</p> <p>Updated to incorporate Natural and Built Environment Act 2023, Severe Weather Emergency Recovery Legislation Act 2023, Severe Weather Emergency Legislation Act 2023, Ngāti Kahungunu ki Wairarapa Tāmaki nui-a-Rua Claims Settlement Act 2022, Statutes Amendment Act 2022.</p> <p>Some amendments not yet incorporated.</p> <p>Amendments not yet in force from Building Amendment Act 2012, Civil Aviation Act 2023, Natural and Built Environment Act 2023, Water Services Legislation Act 2023.</p>	August 2023
Sale and Supply of Alcohol Act 2012	The 1989 Act made all territorial authorities District Licensing Agencies. Their role is to consider applications for the various kinds of liquor licences and for managers' certificates. Territorial authorities appoint inspectors to monitor compliance with liquor licences. The 2012 Act replaced the 1989 Act in 2013. The 2012 Act gives local communities more input into licensing decisions. It empowers territorial authorities to develop local alcohol policies about the sale and supply of alcohol, in consultation with their communities	Regulatory responsibilities	Planning and Infrastructure	<p>Amended through the Sale and Supply of Alcohol (Community Participation) Amendment Act 2023.</p> <p>Updated to incorporate Natural and Built Environment Act 2023, Sale and Supply of Alcohol (Rugby World Cup 2023 Extended Trading Hours) Amendment Act 2023, Sale and Supply of Alcohol (Exemption for Race Meetings) Amendment Act 2023, Statutes Amendment Act 2022.</p> <p>Amendments not yet in force from Incorporated Societies Act 2022, Civil Aviation Act 2023, Sale and Supply of Alcohol (Rugby World Cup 2023 Extended Trading Hours) Amendment Act 2023, Sale and Supply of Alcohol (Community Participation) Amendment Act 2023.</p>	August 2023
Search and Surveillance Act 2012	The purpose of this Act is to facilitate the monitoring of compliance with the law and the investigation and prosecution of offences in a manner that is consistent with human rights. Has links to the Dog	Regulatory responsibilities	Planning and Infrastructure	Updated to incorporate amendments from Natural and Built Environment Act 2023, Organic Products and Production Act 2023,	October 2023



Public Act	Regulatory Responsibilities of Local Government	Reason tracked	Primary department/s	Changes since previous report (November 2022)	Latest version
	Control Act 1996; Animal Welfare Act 1999; Food Act 2014; Local Government Act 2002; Resource Management Act 1991; Sale and Supply of Alcohol Act 2012; Smoke-free Environments Act 1990; Waste Minimisation Act 2008			Construction Contracts (Retention Money) Amendment Act 2023, Criminal Activity Intervention Legislation Act 2023. Excludes amendments not yet in force from Financial Market Infrastructures Act 2021, Natural Hazards Insurance Act 2023, Civil Aviation Act 2023, Forests (Legal Harvest Assurance) Amendment Act 2023, Deposit Takers Act 2023, Therapeutic Products Act 2023, Water Services Legislation Act 2023.	
Self-contained Motor Vehicles Legislation Act 2023	Companion to Freedom Camping legislation.	Regulatory responsibilities	Community Experience, Community Vision	Enacted July 2023.	July 2023
Shop Trading Hours Act 1990	This Act restricts trading on ANZAC day morning, Good Friday, Easter Sunday and Christmas Day. Exemptions are provided for certain shops to remain open.	Regulatory responsibilities	Planning and Infrastructure	Checked with no updates.	April 2022
Smokefree Environments and Regulated Products Act 1990	The purposes are to prevent the detrimental effect of other people's smoking on the health of people in workplaces, or in certain public enclosed areas, who do not smoke or do not wish to smoke there.	Regulatory responsibilities, Employer responsibilities	Community Experience, People and Culture	Amended to incorporate Smokefree Environments and Regulated Products (Smoked Tobacco) Amendment Act 2022.	January 2023
Soil Conservation and Rivers Control Act 1941	Some residual enabling clauses for local authorities and catchment, drainage and river boards to perform certain functions (for instance, purchasing plant and machinery) for soil conservation and river control purposes.	Potential legislative tool, regional function	CEO	Updated to incorporate Natural and Built Environment Act 2023.	August 2023
Spatial Planning Act 2023	To provide for Regional Spatial Strategies.	Regulatory responsibilities	Planning and Infrastructure	Enacted August 2023	August 2023
Summary Proceedings Act 1957	This Act has the procedure for infringement offences and service of documents.	Regulatory responsibilities	Planning and Infrastructure	Updated to incorporate Natural and Built Environment Act 2023, Self-contained Motor Vehicles Legislation Act 2023, Organic Products and Production Act 2023, Data and Statistics Act 2022.	August 2023
Telecommunications Act 2001	The purpose of this Act is to regulate the supply of telecommunications services.	Impact on processes	Planning and Infrastructure	Updated to incorporate Natural and Built Environment Act 2023 and Data and Statistics Act 2022.	August 2023
Therapeutic Products Act 2023	Regulation of therapeutic products.	Potential for future impact on processes	Planning and Infrastructure	Enacted June 2023	June 2023
Treaty of Waitangi Act 1975	An Act to provide for the observance, and confirmation, of the principles of the Treaty of Waitangi by establishing a Tribunal to make recommendations on claims relating to the practical application of the Treaty and to determine whether certain matters are inconsistent with the principles of the Treaty.	Democratic function	CEO, Community Vision	Updated to incorporate Ngāti Kahungunu ki Wairarapa Tāmaki nui-a-Rua Claims Settlement Act 2022.	December 2022
Waitangi Day Act 1976	An Act to make provision for the observance of 6 February in each	Employer	People and Culture	Checked with no updates.	January 2014



Public Act	Regulatory Responsibilities of Local Government	Reason tracked	Primary department/s	Changes since previous report (November 2022)	Latest version
	year as a public holiday to commemorate the signing of the Treaty of Waitangi.	responsibilities			
Wages Protection Act 1983	An Act to consolidate and amend the law relating to the payment of wages and salaries.	Employer responsibilities	People and Culture	Checked with no updates. Excludes amendments not yet in force from Deposit Takers Act 2023.	July 2022
Walking Access Act 2008	The Act enables controlling authorities (which can include local authorities, as appointed by the New Zealand Walking Access Commission) to enact bylaws to maintain walkways within their jurisdiction, and regulate their use.	Regulatory responsibilities	Community Experience	Checked with no updates.	October 2021
Waste Minimisation Act 2008	The Act requires territorial authorities to adopt a waste management and minimisation plan to promote effective and efficient waste management and minimisation within their district.	Regulatory responsibilities	Planning and Infrastructure	Updated to incorporate Natural and Built Environment Act 2023.	August 2023
Water Services Act 2021	To ensure drinking water suppliers provide safe drinking water to consumers.	Regulatory responsibilities	Three Waters	Amended to incorporate Water Services Economic Efficiency and Consumer Protection Act 2023, Water Services Legislation Act 2023, Water Services Entities Amendment Act 2023. Updated to incorporate Natural and Built Environment Act 2023, Coroners Amendment Act 2023. Some amendments have not yet been incorporated. Excludes amendments not yet in force from Water Services Legislation Act 2023.	October 2023
Water Services Entities Act 2023	Establishes water services entities.	Regulatory responsibilities	Three Waters	Amended to incorporate Water Services Legislation Act 2023 and Water Services Entities Amendment Act 2023. Updated to incorporate Spatial Planning Act 2023. Some amendments have not yet been incorporated. Excludes amendments not yet in force from Deposit Takers Act 2023.	August 2023
Wildlife Act 1953	The Minister can coordinate the policies and activities of local authorities that relate to the Act.	Regulatory responsibilities	CEO	Checked with no updates.	May 2022



Mandatory Requirements Register

CEO Executive Function

Civil Defence Emergency Management

Civil Defence Emergency Management Act 2002
[This act is under review.](#)

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Civil defence emergency management group plan	s13, CDEMA 2002 s17 CDEMA 2002 s48-57, CDEMA 2002	<p>Every local authority must be a member of a Civil Defence Emergency Management (CEG) Group.</p> <p>Every Civil Defence Emergency Management Group must prepare and approve a civil defence emergency management group plan.</p> <p>s49, CDEMA 2002</p> <p>The plan includes the following and must have written guidelines re:</p> <ul style="list-style-type: none">• councils involved• hazards and risks• management and recovery• objectives of plan• area of group• liabilities• arrangements for declaring a state of emergency• local transition period• co-operation/co-ordination with other groups• timeframe for plan <p>The plan must not be inconsistent with national civil defence or other strategies or standards s53, CDEMA 2002</p>	<p>Before making the plan, public notice and submission period must occur s52, CDEMA 2002</p> <p>A proposed plan is to be sent to the Minister of Civil Defence and Emergency Management, and must allow them 20 days to comment. s49, CDEMA 2002</p>	Every 5 years s56, CDEMA 2002	Emergency Management Otago Otago CDEM Group Plan 22 August 2019	2028	Compliant



Plan and provide for civil defence emergency management	s64 CDEMA 2002	A local authority must plan and provide for civil defence emergency management within its district and ensure that it is able to function to the fullest possible extent, even though this may be at a reduced level, during and after an emergency.			Emergency plans developed	Compliant
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Business Support

Elections

Local Government Act 2002

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Pre-election report	s99A, LGA 2002	s99A(6), LGA 2002 A pre-election report must not contain a statement by, or a photograph of, an elected member of the local authority. s99A(5), LGA 2002 The purpose of a pre-election report is to provide information to promote public discussion about the issues facing the local authority. s36 of Schedule 10, LGA 2002 It must include: 3 years data before the election: <ul style="list-style-type: none">• funding impact statement• summary balance sheet• a statement that compares rates information, returns on investment 3 years data after the election: <ul style="list-style-type: none">• funding impact statement• summary forecast balance sheet• major projects planned		Must be completed and published no later than the day that is 2 weeks before the nomination day for a triennial general election of members of a local authority under the Local Electoral Act 2001 .	Pre-election report 29 July 2022	Two weeks before nomination day July 2025	Compliant

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Local Electoral Act 2001

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Public notice of an election or poll	s52, LEA 2001	<ul style="list-style-type: none">• Date of election or poll• Local government area• Electoral officers• Electoral system• Voting method	Must not be given later than 28 days before the electoral roll closes or when nominations are received		Electoral supplier Elections.com engaged to ensure ongoing compliance.		Compliant



		<ul style="list-style-type: none"> Other information required by the regulations <p>Other information in s53 and 54, LEA 2001</p>					
Public notice of procedures for enrolment as ratepayer on electoral roll	s39, LEA 2001	Public notice of the qualifications and procedures for enrolment or nomination as a ratepayer elector.	It must be given during the month of May in each year in which a triennial general election is held		Electoral supplier Elections.com engaged to ensure ongoing compliance.		Compliant
Public notice that an electoral roll is available for inspection	s42, LEA 2001	Public notice of the place or places where the roll is kept	The roll must be open for public inspections not less than 28 days before the closing of the roll		Electoral supplier Elections.com engaged to ensure ongoing compliance.		Compliant
Further notice to electors of election or poll	s65, LEA 2001	<ul style="list-style-type: none"> Date of election or poll Day and time voting period begins and ends Electoral system Voting method Number of vacancies to be filled Names and affiliations of the candidates 	As soon as practicable after the close of nominations or the closing of the electoral roll.		Electoral supplier Elections.com engaged to ensure ongoing compliance.		Compliant
Return of electoral donations and expenses to be open for public inspection	s112F, LEA 2001	The electoral officer must keep every return filed	<p>Every return must be published, be made available for public inspection, and given upon request (subject to any charges).</p> <p>Records must be kept for 7 years.</p>		Returns filed and kept in Central Docs in accordance with record keeping policies.		Compliant
Public notice of election or poll result	s86, LEA 2001	Declaration of the official result	As soon as possible after special votes and all valid votes have been counted.		Electoral supplier Elections.com engaged to ensure ongoing compliance.		Compliant

Governance

Local Government Official Information Act 1987

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
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Records of meeting agendas, reports and minutes	s45 LGOIMA 1987 s46A LGOIMA 1987 CI28(1) Sch7, LGA 2002	Meeting agendas and associated reports, s46A LGOIMA 1987 Definition of “meeting” is in s45 LGOIMA 1987	Must be made available to members of the local authority and for public inspection	At least 2 working days prior to the meeting	Meeting notifications made on website and in Central Otago news. Agendas and minutes published on InfoCouncil in accordance with statutory timeframes.	Compliant
Responding to official information requests	This function is undertaken by the Information Services team as part of the Privacy portfolio – it is detailed under this subheading.					

Local Government Act 2002

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Appointment and Remuneration of Directors	S57, LGA 2002	Requirement to adopt a policy with an objective and transparent process for CCO's. Includes identifying whether knowledge of tikanga Māori is relevant.			Appointment and Remuneration of Directors Policy October 2022	October 2025	Compliant
Code of Conduct for elected members	cl15, Sch7 LGA 2002	The understandings and expectations adopted by the local authority about the manner in which members must conduct themselves	Adoption must have occurred after LGA was enacted. Amendments require not less than 75% support of the members present.	COC must not be revoked but can be amended.	Code of Conduct October 2022	October 2025	Compliant
Delegations	cl32, Sch7 LGA 2002	Decision making delegations are derived from this section of the act.			Delegations Register August 2021	October 2025	Compliant
Standing Orders	cl27 Sch7 LGA 2002	Local authorities must adopt standing orders for the conduct of its meetings and committee meetings.	Adoption must have occurred after LGA was enacted. Amendments require not less than 75% support of the members present.	As required.	Standing Orders for Council October 2022 Standing Orders for Community Boards October 2022	October 2025 October 2025	Compliant
Triennial Agreements	s15, LGA 2002	All local authorities in a region must have an agreement for the co-ordination of responsibilities	Engagement and disclosure is to other councils and the minister as per ss 15 and 16	No later than 1 Mar after each triennial election	Otago Local Authorities' Triennial Agreement 2023	1 March 2026	Compliant
Providing information to the Local Government Commission for	s26A, LGA 2002	s26A, LGA 2002 Information held or reasonably available to the council that may be relevant to a proposed reorganisation			Has not been requested – would provide.		Compliant



local government reorganisation		or to the development of a reorganisation scheme.					
Local governance statement	s40, LGA 2002	s40, LGA 2002 lists the information required	Under s40(1), LGA 2002 , statement must be publicly available.	s.40(2)&(3), LGA 2002 . A local authority must comply within six months after each triennial general election.	Local Governance Statement	March 2026	Compliant
Policies for liaising with Māori. (Consultation requirement across all decision making including LTP)	s40(1)(i) LGA 2002	The Local Governance statement must have policies for liaising with and memoranda or agreement with Māori. s40(1)(i) LGA 2002	This policy is required under the requirements for the Local Governance Statement		March 2023 Page 12 of document (or 13 electronically) of Local Governance Statement .		Compliant Formal partnership agreement with Aukaha since established.

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Pecuniary Interests Register	Local Government (Pecuniary Interests Register) Amendment Act 2022	Members must declare their pecuniary interests and this will then be available for public inspection via the website.	Must be placed on the website for public inspection.	In each triennium, the due dates for return are: (a) Year 1: the day that is 120 days after the date on which the member comes into office under section 115 of the Local Electoral Act 2001; (b) Year 2: the last day of February in the second year of the triennium; and (c) Year 3: the last day of February in the third year of the triennium.	November 2022 and will provide a workshop in November /December 2022 for CBs and Council	October 2025	Compliant

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Covid-19 Response (Urgent Management Measures) Legislation Act 2020

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Amendments to the requirements to be physically present for meetings and making meetings and documents “open” to the public.	Part 4 C-19 RUMMLA 2020	A member of local authority can attend meetings through audio or audio-visual link, whether or not the standing orders allow for this. This also applies to local authority committees and CDEM Groups. Members who attend in this way are counted present for the purposes of a quorum. Meetings are “open to the public” by livestreaming and making the recording and written	Modifications to legislation while epidemic notice is in force: s25A LGA 2002 Schedule 7 LGA 2002 S46A, 46B, 47A, 51AA LGOIMA 198	The clause is repealed when Epidemic Preparedness (COVID-19) Notice 2020 expires or is revoked. S8 C-19RUMMLA 2020 Current notice in force	Updated in governance practices, including Standing Orders.		Compliant



		summary of the meeting available as soon as practicable after the meeting. Agendas, reports and minutes can be made publicly available on websites alone.				
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Long-term plan

Local Government Act 2002

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Long-term plan (LTP)	s3, LGA 2002	The content of the LTP must meet the purpose of local government to: <ul style="list-style-type: none">• promote the accountability of local authorities to their communities, and• promote the social, economic, environmental, and cultural well-being of their communities, taking a sustainable approach s3, LGA 2002	The LTP must be publicly available within one month of adoption and copies sent to the Secretary, the Auditor-General and the Parliamentary Library.	The LTP is required every 3 years s93(3), LGA 2002	June 2021 Long-term plan	By 30 June 2024	Compliant
	s93(7(a)), LGA 2002	The LTP must cover a period of not less than 10 consecutive financial years.					Compliant
	s93(7(b)), LGA 2002	The LTP must include the information required by Part 1 of Schedule 10 as follows: 1 Community outcomes [pg 10] 2 Groups of activities [pgs 18-69] 3 Capital expenditure for groups of activities 4 Statement of service provision 5 Funding impact statement for groups of activities 6 Variation between territorial authority's long-term plan and assessment of water and sanitary services and waste management plans 7 Council-controlled organisations 8 Development of Māori capacity to contribute to decision-making processes [not able to find] 9 Financial strategy and infrastructure strategy [pg 75 & 166]		s93(3), LGA 2002 A long-term plan must be adopted before the commencement of the first year to which it relates, and continues in force until the close of the third consecutive year to which it relates.			Generally compliant



		10 Revenue and financing policy [pg 272] 11 Significance and engagement policy [pg 349] 12 Forecast financial statements [pg 354] 13 Financial statements for previous year 14 Statement concerning balancing of budget 15 Funding impact statement 15A Rating base information 16 Reserve funds 17 Significant forecasting assumptions 17A Additional information to be included in long-term plan for unitary authority with local boards					
	s93(8), LGA 2002	The LTP must include such detail, as the local authority considers on reasonable grounds to be appropriate.					Compliant
	s93(9), LGA 2002	A local authority must, in deciding what is appropriate to include, have regard to the following provisions: s77 Requirements in relation to decisions s78 Community views in relation to decisions s79 Compliance with procedures in relation to decisions s80 Identification of inconsistent decisions s81 Contributions to decision-making processes by Māori s82 Principles of consultation s83 Special consultative procedure s96 Effect of resolution adopting long-term plan or annual plan s97 Certain decisions to be taken only if provided for in long-term plan s101 Financial management and the significance of any matter; and the extent of the local authority's resources.					Compliant
	s48L(3), LGA 2002	The long-term plan and each annual plan must identify the non-regulatory activities of the unitary authority for					Compliant



		which decision-making responsibility is allocated to 1 or more local boards as set out in clauses 17A and 21A of Schedule 10 .					
		The content of the LTP must meet the purpose of local government to: <ul style="list-style-type: none"> • promote the accountability of local authorities to their communities, and • promote the social, economic, environmental, and cultural well-being of their communities, taking a sustainable approach s3, LGA 2002 					
	s102, LGA 2002 .	Financial management policies required for the LTP and Annual Plan s102, LGA 2002 .					Compliant
	s101A, s101B, s93C, LGA 2002	A financial strategy and infrastructure strategy are required for the LTP s101A, s101B, s93C, LGA 2002					Compliant

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Long-term Plan Consultation Document

Local Government Act 2002

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Long-term plan (LTP) Consultation Document	s93A, LGA 2002 ss93B to 93G, LGA 2002	The content of the consultation document must describe: <ul style="list-style-type: none"> • issues as per the significance and engagement policy • issues of importance • proposed content of the financial strategy under s101A • proposed content of the infrastructure strategy under s101B • significant changes to operating and expenditure capital • significant changes to rating system under clause 15(5) of Schedule 10 	Under s93A, LGA 2002 council must use the special consultative procedure under s83, LGA 2002 s93B LGA 2002 The purpose of LTP is for public participation in the decision-making processes. s93C(3) and s93F, LGA 2002 The local authority must ensure that the contents of the consultation document are presented in a concise and simple manner, and in a form that enables the consultation	The LTP consultation document is required every 3 years, and is to be adopted by the TA under s93A and 93G, LGA 2002	June 2021	June 2024	Compliant



		<ul style="list-style-type: none">s93C(4)&(5) it must contain a report from the Auditor Generals93E and s97 any significant commencement or cessation of activity; transfer of ownership or control of a strategic asset.s100 must have a balanced budget, or be financially prudent as per the clauses in this section	document to achieve its purpose. s93C LGA 2002 The content of consultation document for LTP Disclosure is stated in s93(10), LGA 2002 .				
	s93(9), LGA 2002	A local authority must, in deciding what is appropriate to include, have regard to the following provisions: 77 Requirements in relation to decisions 78 Community views in relation to decisions 79 Compliance with procedures in relation to decisions 80 Identification of inconsistent decisions 81 Contributions to decision-making processes by Māori 82 Principles of consultation 83 Special consultative procedure 96 Effect of resolution adopting long-term plan or annual plan 97 Certain decisions to be taken only if provided for in long-term plan 101 Financial management and the significance of any matter; and the extent of the local authority's resources.					As in LTP
	s83, LGA 2002 s83AA, LGA 2002	The LTP consultation document must include a summary of the information contained in the proposal.					Compliant

Annual Plan

Local Government Act 2002

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Annual Plan	s95, LGA 2002	The Annual Plan must include the information required by Part 2 of Schedule 10 as follows:	s95(2),(2A), LGA 2002 Consultation must give effect to the principles of consultation		June 2023	June 2025	Compliant



		18 Forecast financial statements 19 Financial statements for previous year 20 Funding impact statement 20A Rating base information 21 Reserve funds 21A Additional information to be included in annual plan for unitary authority with local boards 22 Annual plan and amendment of long-term plan	in s82, LGA 2002 . However, this does not apply if the proposed annual plan does not include significant or material differences from the content of the long-term plan for the financial year to which the proposed annual plan relates.				
Annual plan	s95(1), LGA 2002	<p>The content of the Annual Plan must meet the purpose of local government to:</p> <ul style="list-style-type: none"> • promote the accountability of local authorities to their communities, and • promote the social, economic, environmental, and cultural well-being of their communities, taking a sustainable approach s3, LGA 2002 <p>s95(6), LGA 2002 and Part 2 of Schedule 10, s48L(3), LGA 2002 specifies additional content required in annual plans of unitary authorities for which decision-making authority is allocated to one or more local boards</p>	<p>Under s95(2) and (2A), LGA 2002, consultation must give effect to s82, LGA 2002 unless the annual plan includes no significant or material differences from the content of the long-term plan.</p> <p>Disclosure stated in s95(7), LGA 2002. Annual plan must be publicly available within one month of adoption and copies sent to the Secretary, the Auditor-General and the Parliamentary Library.</p>	<p>Under s95(1), LGA 2002, a local authority must prepare and adopt an annual plan for each financial year.</p> <p>Under s95(4), LGA 2002, the financial statement and funding impact statement included in the first year of a long-term plan must be regarded as the annual plan for that year</p>			Compliant

Annual Plan consultation document

Local Government Act 2002

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Annual Plan consultation document	s95A, LGA 2002	<p>The content of the Annual Plan must meet the purpose of local government to:</p> <ul style="list-style-type: none"> • promote the accountability of local authorities to their communities, and • promote the social, economic, environmental, and cultural well-being of their communities, taking a sustainable approach s3, LGA 2002 	<p>s95A(1)(b)(c) and (3), LGA 2002</p> <ul style="list-style-type: none"> • matters must be explained in a way that is readily understood • informing discussions between the TA and its communities • be concise and simple 	Annually, prior to the annual plan. However, it may be combined with LTP consultation under s95B, LGA 2002			Compliant



		<p>s95A(3), LGA 2002</p> <p>It must contain:</p> <ul style="list-style-type: none">• a draft of the annual plan• a full draft of any policy• other detailed information• where the public can obtain more pertinent information <p>s95A(2), LGA 2002</p> <ul style="list-style-type: none">• identifying significant or material differences between the proposed annual plan and the content of the long-term plan• explain identified differences, if any, between the proposed annual plan and what is described in the LTP• an explanation of any significant or material variations or departures from the financial statements or the funding impact statement• a description of significant new spending proposals, the costs associated with those proposals, and how these costs will be met• an explanation of any proposal to substantially delay, or not proceed with, a significant project, and the financial and service delivery implications of the proposal• outline the expected consequences of proceeding with matters, including the implications for the local authority's financial strategy	<p>Consultation under s82A(3), LGA 2002</p>				
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Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Annual report	s98, LGA 2002	s98(2), LGA 2002 The purposes of an annual report are to compare the actual activities and the actual performance of the local authority and to promote the local authority's accountability to the community.	s98(2), LGA 2002 The purposes of an annual report are to compare the actual activities and the actual performance of the local authority and to promote the local authority's accountability to the community.	s98(3)-(6), LGA 2002 Completed and adopted within 4 months of the end of the financial year.			Compliant
	s99(1), LGA 2002	It must contain the Auditor-General's report on Part 3 of Schedule 10, LGA 2002 parts as follows: 24 Capital expenditure for groups of activities 29 Financial statements 30 Funding impact statement Any other compliances with the requirements of Schedule 10 applicable to the annual report.	s98(3)-(6), LGA 2002 Made publicly available within 1 month of adoption.	s98(3)-(6), LGA 2002 Completed and adopted within 4 months of the end of the financial year. s98(4)-(6), LGA 2002 Made publicly available within 1 month after adoption of annual report.			Compliant
	Part 3 of Schedule 10, LGA 2002	23 Groups of activities 24 Capital expenditure for groups of activities 25 Statement of service provision 26 Funding impact statement for groups of activities 27 Internal borrowing 28 Council-controlled organisations 29 Financial statements 30 Funding impact statement 30A Rating base information 31 Reserve funds 31A Insurance of assets 32 Remuneration issues 32A Employee staffing levels and remuneration 33 Severance payments 34 Statement of compliance 34A Additional information to be included in annual report of unitary authority with local boards 34B Additional information: RFT schemes 35 General	s98(3)-(6), LGA 2002 Made publicly available within 1 month of adoption.	s98(3)-(6), LGA 2002 Completed and adopted within 4 months of the end of the financial year. s98(4)-(6), LGA 2002 Made publicly available within 1 month after adoption of annual report. s98(4)-(6), LGA 2002 Made publicly available within 1 month after adoption of annual report.			Compliant



	s261B, LGA 2002	The DIA Non-financial performance measures rules 2013 specify the 19 mandatory performance measures for local authorities across the five core activities of water, sewerage, stormwater, flood protection and roads.					Compliant
	Non-financial performance measures rules 2013, DIA Local Government (Financial Reporting and Prudence) Regulations 2014	Financial reporting and financial prudence regulations.					Compliant
Annual Report Summary	s98 (4)(5)(6)LGA 2002 s99(2), LGA 2002	Must contain the Auditor-General's report on whether the summary represents, fairly and consistently, the information regarding the major matters dealt with in the annual report.	s98(4)-(6), LGA 2002 Made publicly available within 1 month of adoption.	s98(3)-(6), LGA 2002 Completed and adopted within 4 months of the end of the financial year.			Compliant

Engagement

Local Government Act 2002

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Significance and engagement policy	s76AA, LGA 2002	The policy must set out the TAs general approach, criteria, procedures, responses and community engagement to issues, proposals, assets, decisions or activities which are significant or may have significant consequences. s76AA(3), LGA 2002 It must list the assets considered by the TA to be strategic assets.	Councils must consult in accordance with s82, LGA 2002 when adopting or amending the policy. See s76AA(5)	s76AA(4), LGA 2002 The policy may be amended from time to time	Significance and Engagement Policy June 2021	Early 2024 as part of LTP process	Compliant

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Financial Management

Local Government Act 2002

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Financial Strategy	s101A, LGA 2002	Part of the LTP. The strategy must include a statement of factors that are expected to have a significant impact on the council in the consecutive years covered by the strategy. It must include information on rate increases and			LTP	LTP	Compliant



		borrowing, meet levels of service, and information on securities.					
Infrastructure Strategy	s101B, LGA 2002	Part of the LTP. The infrastructure strategy must be for a period of at least 30 years. It must outline how infrastructure assets will be managed, projected capital and expenses, assumptions and other information			LTP	LTP	Compliant
Revenue and financing policy	s103, LGA 2002 s102 LGA 2002	The funding of operating expenses and capital expenditure as listed in s103(2)	Consultation must be done on a draft policy under s82, LGA 2002 , Principles of Consultation	s106(6) Every 3 years	Revenue and Financing Policy June 2021	LTP	Compliant
Liability management policy	s104, LGA 2002 s102 LGA 2002	The management of borrowing and liabilities as listed in s104	Not stated	s106(6) Every 3 years	Liability Management Policy June 2021	LTP	Compliant
Investment policy	s105, LGA 2002 s102 LGA 2002	The policies of investment mix, acquisition of new investments, how they are managed and reported, how risks are assessed and managed.	Not stated	s106(6) Every 3 years	Investment Policy June 2021	LTP	Compliant
Policy on development contributions or financial contributions	s102 LGA 2002 , s106 LGA 2002 and sections 201 to 202A	The policy must summarise capital expenditure and explain the proportion of capital expenditure that will be funded by development contributions, financial contributions and other sources of funding. Other content required is listed in s106 .	Consultation must be done on a draft policy under s82, LGA 2002 , Principles of Consultation s106(3-5) Must be available for public inspection.	s106(6) Every 3 years	Development and Financial Contributions Policy	LTP	Compliant
Policy on the remission and postponement of rates on Māori freehold land	s102 LGA 2002 s108, LGA 2002	The policy must state the objectives sought and criteria for remissions or postponement.	Consultation must be done on a draft policy under s82, LGA 2002 , Principles of Consultation	s108(4A) Every 3 years	Rating Policy June 2023	LTP June 2024	Compliant

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Local Government Act 2002

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Delivery of services, 17A reviews	s17A, LGA 2002	S17A(4) Reporting against delivery of services, cost-effectiveness for local infrastructure, public services, and performance of regulatory functions.	s17A (8)&(9) LGA 2002 Information to be made publicly available. Council must make decisions in accordance with s.76, LGA 2002 including consideration of community views under s78, LGA 2002 .	A review must be undertaken in conjunction with consideration of any significant change to relevant service levels; within 2 years before the expiry of any contract relating to that service; and not later than 6 years following the last review; subject			Additional record keeping required



				to exceptions in s17A(2) and s17A(3)			
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Other legislation

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Various	Goods and Services Tax Act 1985				Internal processes around GST collection, records, and payment developed in compliance with the Act.		Compliant
Various	Income Tax Act 2007				Reporting to IRD, payroll processes, and subject matter experts ensure ongoing compliance with the Act.		Compliant
Various	Local Government Borrowing Act 2011				Local Government Funding Authority ensures compliance. Investment Policy covers what we can borrow and how we report. Long-term plan covers borrowing levels.		Compliant
Various	Public Audit Act 2001				Auditing process ensures ongoing compliance.		Compliant

Privacy

Local Government Official Information and Meetings Act 1987

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Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Responding to official information requests	Sections 5-26 LGOIMA 1987	Statutory requirements on access to information held by local authorities and responding to information requests	Required within statutory timeframes	s12 10 working days to provide an update on report. s13 20 working days to release requested information s14 Extension of time limits	LGOIMA Request Policy February 2022	February 2025	Compliant

Privacy Act 2020

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Privacy requirements under the Act	Privacy Act 2020	Includes 13 Information Privacy Principles			Privacy Policy February 2022	February 2025	Compliant



Rates

Local Government (Rating) Act 2002

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Rating information database	s27, LG(R)A 2002	s27(4) to (6), LG(R)A 2002 The database must include: <ul style="list-style-type: none"> • all information that relates to each rating unit • rating category • category for targeted rate • other matters under s117K, Part 1 and Part 2 • It must be searchable by address or reference number 	The rating information must be available for inspection, s28, LG(R)A	The local authority must, during the month of May, give public notice that the rating information database is available for inspection and of the place and times it may be inspected, s28(4), LG(R)A			Compliant
Rates records	s37, LG(R)A	Rates records must show: <ul style="list-style-type: none"> • the rates liability for each rating unit • other matters under s117K 	Rates records must be kept and maintained.				Compliant
Notice of rates assessment	s44, LG(R)A	s45, LG(R)A specifies the contents of a rates assessment.	It must be delivered to a ratepayer to give them notice of payment. Notification details are in s136, LG(R)A	Delivery must be either before or at the same time as the rates invoice in accordance with s48, LG(R)A			Compliant
Rates invoice	s46, LG(R)A	The contents of a rates invoice are specified in s46, LG(R)A	s46(1), LG(R)A The local authority must deliver to the ratepayer a rates invoice for the rating unit for that period. Notification details are in s136, LG(R)A	Delivery must be at least 14 days before the payment is due s48, LG(R)A			Compliant
Procedure for setting rates	s23, LG(R)A s24, LG(R)A	Rates must: <ul style="list-style-type: none"> • be set by council resolution • relate to a financial year or part of financial year • be in accordance with the LTP and funding impact statement The resolution must state: <ul style="list-style-type: none"> • state the applicable financial year • the date(s) that the rate must be paid 	Within 20 working days after making a resolution, the resolution must be made publicly available on an Internet site maintained by it or on its behalf to which the public has free access.	Prior to the financial period to which the rate applies.			Compliant

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Rating Valuations Act 1998

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
District Valuation Roll	s7, RVA 1998 TAs are to prepare and	The roll must contain the information required by the rules made under this Act https://www.linz.govt.nz/regulat	The TA must supply general revaluation details to the ValuerGeneral under s10, RVA	s9, RVA states that there must be a general revaluation of rolls at 3-yearly intervals. Rolls must			Compliant



	maintain district valuation rolls.	ory/valuation/valuation-rulesguidelines-and-publications	<p>Under s8, RVA only approved people or bodies may carry out valuations. The Valuer General must be notified of valuations. The Valuer-General is responsible for approving revaluations, s11, RVA. General revaluations are to be publicly notified upon completion, s12, RVA</p> <p>TAs must give notice of general revaluation to owners and occupiers under s13, RVA</p>	be made or updated when district boundaries change under s7(3), RVA			
Rating – Quarterly provision of information to Valuer-General by Territorial Authorities	Rating Valuations (Local Authority Charges) Regulations 1999	TAs s7, RV(LGC)R 1999		TAs quarterly s7, RV(LGC)R 1999			Compliant



Infrastructure

Climate Change

Climate Change Response Act 2002
Climate Change Response (Zero Carbon) Amendment Act 2019

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Emissions reduction	CCRA 2002	Local authorities are subject to the Kyoto Protocol.		Emissions reduction programme and ongoing assessment through Toitū carbonreduce. Certified as managing and reducing against requirements of Toitū and ISO 14064-1-1028.	2019	2024	Compliant

Transportation

Other legislation

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Enforcement provisions and promotion of safe road user behaviour	Land Transport Act 1998	Promotes safe road user behaviour and vehicle safety. Provides system of rules governing road user behaviour. Local authorities are Enforcement Authorities under the Act.			Technical requirements of the rules followed as standard process.		Compliant
Rules made pursuant to the act	Land Transport Rules	Includes: Land Transport (Road User) Rule 2004 Land Transport Rule: Traffic Control Devices 2004 Land Transport Rule: Setting of speed limits 2022					
Land transport systems and funds managed in accordance with act	Land Transport Management Act 2003	Manages the process of developing and maintaining land transport systems and the treatment of funds disbursed through Regional Land Transport strategies. 24 Disbursement accounts Structure of finance system accounts must comply with s24.			Accounting systems and procurement procedures organised in compliance with the Act. Roding portfolio chair acts as representative.		Compliant



		25-27 Procurement procedures Procurement procedures must comply, including preparing a procurement strategy that complies with the act.				
		35-38A General provisions, includes considering needs of transport-disadvantaged 70 Giving effect to the GPS 105 (2) (b) Requirement to appoint representative to the Regional Transport Committee				
Provisions and powers relating to roads	Local Government Act 1974	Part 21 has multiple provisions relating to roading including powers of councils in respect to roads. 319 General powers of councils in respect to roads 319A Naming of roads 319B Allocation of property numbers 323 Unformed roads 324 Contribution to the formation or maintenance of roads outside the district 326 Betterment arising from creation or widening of a road 329 Road gradients 330 Road levels 331 Footpaths and channels 332 Cycle tracks 333 Dividing strips 334 Erection of monuments and provision of facilities on or under roads 334A Light roads 335 Vehicle crossings 336 Pedestrian malls 337 Alteration of pipes and drains 338 Right to lay conduit pipes along or under road 339 Transport shelters 340 Motor garages 341 Leases of airspace or subsoil 341A Contribution to costs 342 Closure of stopping of roads 344 Gates and cattle stops 345 Disposal of land			Technical specifications adhered to. Roading Policy developed to cover most prevalent portions. Policy currently out of date and under review. Provisions continue to be followed.	Compliant Refresh of Roading Policy will ensure ongoing compliance.



		346 A-J Limited access roads 347-352 Private roads and private ways 353-357 Safety provisions as to roads, including 356A removing abandoned vehicles 357A Leasing powers with respect to ferries 358-360 Privately constructed bridges and ferries 361 Tolls				
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Waste

Waste Minimisation Act 2008

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Waste management and minimisation plan	S43 WMA Part 4	Territorial Authorities must adopt a waste management and minimisation plan. Under s44 it must consider reduction, reuse, recycling, recovery, treatment and disposal. Also considerations of nuisance, NZ waste strategy, or any government policy. Requirements for a waste assessment are listed in s51 , which includes forecasting of demand, infrastructure and costs.	Special consultative procedure in the LGA, s83 .	s50 WMA 2008 the plan must be reviewed at intervals of not more than 6 years.	Waste Management and Minimisation Bylaw March 2021	March 2026	Compliant
					Waste Management and Minimisation Plan June 2018	June 2023 through Long-term plan process	Overdue



People and Culture

Employer responsibilities

Local Government Act 2002

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Personnel Policy that complies with the principle of being a good employer	CI36 Sch 7 LGA 2002	Sets out the fair and proper treatment of employees as per the details in CI36(2)&(3)	Not stated		Equal Employment Opportunity (EEO), Discrimination, Harassment and Bullying Policy September 2023	September 2026	Compliant
Equal Employment Policy	s40 LGA 2002	Prohibited grounds for discrimination are in s105, Employment Relations Act 2000 The Local Governance Statement for each council must have information on its equal employment policy.	Not stated		Equal Employment Opportunity (EEO), Discrimination, Harassment and Bullying Policy September 2023	September 2026	Compliant

Children’s Act 2014

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Safety checks	s21-44	Requirements for children’s worker safety checking			Safeguarding and Child Protection Policy July 2022 Police vet checks are a standard part of the recruitment process for all children’s workers	July 2025	Compliant
Child protection policy	s14-20	Requirements for Child protection policies. Council is not technically			Safeguarding and Child Protection Policy	July 2025	Compliant



		required to have this policy under the act, however has chosen to do so.			July 2022		
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Protected Disclosures (Protection of Whistle-blowers) Act 2022

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Public sector organisations must have internal procedures	S29, PD (PoW) A 2022	Must have appropriate internal procedures. The procedures must: <ul style="list-style-type: none">- Comply with the principles of natural justice- Set out a process consistent with the process laid out in s13- Include specific reference to sections 21, 22, 16, and 17.	Must publish widely, and republish at regular intervals, information about the existence or internal procedures and adequate information about how to use them.	Not specified	Protected Disclosures (Whistleblowing) Policy	September 2025	Compliant

Other legislation

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Criminal Records (Clean Slate) Act 2001					The council employment application process is consistent with the act.		Compliant
Employment Relations Act 2000					Contracts and record keeping comply with the act.		Compliant
Equal Pay Act 1972					Equal Employment Opportunities Policy and pay review process.		Compliant
Holidays Act 2003					Individual and collective agreements consistent with the act. Policy in place and updated with updates to act (i.e. Miscarriage and Domestic Violence leave)		Compliant
Human Rights Act 1993					Equal Employment Opportunities Policy and disciplinary procedures.		Compliant
Injury, Prevention, Rehabilitation and Compensation Act 2001					Managed by Payroll. The ACC Earner levy is deducted from each staff member every pay. It is demonstrated on all the payslips and payment is made to IRD twice a month. The Employer levy is paid annually based on total salaries, and is checked by ACC prior to them sending out the invoice.		Compliant
KiwiSaver Act 2006					KiwiSaver employee information sheet and opt-out form given to new hires.		Compliant



				Compulsory employer contribution complied with.	
Minimum Wage Act 1983				PayGlobal – our payroll system – has a warning system that alerts if Council try and pay a person less than the current minimum wage.	Compliant
Parental Leave and Employment Protection Act 1987				Appropriate provisions in contracts and Leave Management Policy.	Compliant
Smoke Free Environments Act 1990				Smokefree Policy being updated to reflect societal changes, such as vaping. Reference to smokefree environment in Employment Contract.	Compliant
Waitangi Day Act 1976				Payroll ensures compliance	Compliant
Wages Protection Act 1983				Form for union deductions Individual and collective employment agreements.	Compliant
The Domestic Violence – Victims Protection Act 2018				Leave updated accordingly.	Compliant

Health and Safety at Work Act 2015

Note: Council abide by the principles of the Act and comply to the best of our ability. Several areas for improvement have been identified through both this review and the work of the Health and Safety Committee and Advisor.

A full Health and Safety audit is scheduled for 2023. This audit will include increasing the understanding of the requirements of the Act, identify any areas of non-compliance, any identify areas where practises can be improved. The following table is not comprehensive.

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Duty to notify notifiable event	s56, HSWA 2015	The details of the event must be provided.	The regulator (Worksafe or other regulator) is to be notified of the event by telephone or in writing.				Compliant
Records of notifiable events must be kept	s57, HSWA 2015	Records of each notifiable event.	Records must be kept for 5 years.				Compliant



Risk register	Reg 4 - 8 General risk and workplace management regulations 2016	Health and safety risk register to identify and manage all risks.			BWare software system	Compliant
	General risk and workplace management regulations 2016	Reg 21 Managing remote or isolated work Reg 22 Atmospheres with potential for fire or explosion Reg 23 Controlling sources of ignition Reg 24 and 25 Raised and falling objects 26 Containers of liquids 27 Loose material in enclosed spaces 28-31 Substances hazardous to health			Isolated working policy in development – processes in place in interim Lone worker app in budget. Managed through risk management process	Compliant
		Regulations 10-12 Duty to provide certain workplace facilities and maintain them				Compliant
		Regulation 9 Duty to provide information, training, supervision, and instruction of workers			Training register and performance management processes. Learning and Development review in progress through new structure.	Compliant
		Regulation 15-20 Requirement to provide personal protective equipment and duty to wear it			PPE provided H&S. Contract specifies requirement to wear – performance management policy when non complying. Managed by risk management process.	Compliant



		Regulation 32 - 41 Exposure and health monitoring			Exposure below level of health monitoring. Monitor environment in case risk increases. Exposure and Health Monitoring Policy in development.		Compliant
		Regulation 13 Duty to provide first aid			AEDS, First Aid Kits, and staff trained in first aid on all sites.		Compliant
		Regulation 44-48 Managing young people in the workplace			Managed through risk management processes		Compliant
Worker engagement	Worker engagement, participation, and representation regulations 2016	Regulations 6-8 Default ratio of H&S representatives to work group			All work groups meet representative requirements		Compliant
		Regulations 9-26 Relates to role, election, and training of health and safety representatives					Compliant
		R27-30 Regulations relating to health and safety committees					Compliant

Hazardous Substances and New Organisms Act 1996

HSWA (Hazardous Substances) Regulations 2017

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Register of chemicals and storage on site	HSNO 1996 3.1-3.30 HSWA (HS) R 2017	Providing a register of all chemicals and storage on site.			Different systems exist across different parts of the business.		Insufficient record keeping to demonstrate full compliance
		Hazardous substances inventory			Insufficient record keeping to demonstrate compliance to satisfactory level.		
Labelling of hazardous	2.1-2.4 HSWA (HS) R 2017	Labelling requirements			Full review underway with chemical consultant.		Review underway
					Different systems exist across different parts of the business.		Insufficient record



substances and containers						
Signage	2.5-2.10 HSWA (HS) R 2017	Signage requirements			<p>Insufficient record keeping to demonstrate compliance to satisfactory level.</p> <p>No known issues.</p> <p>Full review underway with chemical consultant.</p>	<p>keeping to demonstrate full compliance</p> <p>Review underway</p>
Safety data sheets	2.11 HSWA (HS) R 2017	Safety data sheets must be held and provided			<p>Compliant with correct information in place.</p> <p>Project underway to standardise presentation of some information to simplify into single format.</p>	<p>Compliant</p> <p>Further work underway to improve existing data.</p>
Packaging	2.12 – 2.14 HSWA (HS) R 2017	Packaging of substances			<p>Have undertaken assessment and determined compliance.</p> <p>No current mechanism for ensuring ongoing compliance.</p> <p>Competence training planned and further instructions of role requirements, including ongoing assessments, suggested as potential action.</p>	<p>Compliant</p> <p>Further work underway to ensure ongoing compliance.</p>
	4.1-4.6	Supervision, training, and certification – includes certified handlers			Chemical handling staff attend training.	Compliant
	5.2 – 5.13	Emergency management – providing fire extinguishers and ER plans			Ad hoc – can't guarantee compliance. Property do. Not in water.	Compliant
	6.27	On request, must give Duty to provide compliance certificates to health and safety representatives if they ask to see them			Has not happened but we would	Compliant
	Subpart 2	Hazardous substance locations				Compliant



Planning and Environment

Planning

Local Government Official Information and Meetings Act 1987

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Land Information Memorandums (LIMs)	s44A LGOIMA 1987	Provision of LIMs are compulsory on application	Must be issued within 10 working days				Compliant

Resource Management Act 1991

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
RMA data disclosures re the National Monitoring System information	s27, RMA 1991	RMA data disclosures as required by the Minister for the Environment regarding details of how the RMA is being implemented.	Disclosure to the Ministry for the Environment	Within 20 working days of notice or as required. Current requirements are here.			Compliant
Duty to gather information, monitor and keep records to carry out functions effectively under the Act	s35, RMA 1991	As specified in s35, RMA 1991	Information to be kept by local authorities is listed in s35(5), RMA 1991 Every local authority must, compile and make available to the public a review of the results of its monitoring under subsection (2)(b). s35(2A), RMA 1991	Local authorities must make available to the public the results of its monitoring relating to s35(2)(b) at intervals of not more than 5 years.			Compliant
District Plan (DP)	s31, RMA 1991 s73, RMA 1991	s74 and s75, RMA specifies the content of the DP.	s74 specifies matters to be considered by territorial authorities when preparing and changing district plans.	See Schedule 1 for the preparation, change, and review of policy statements and plans.	Alternate timeframe ratified by Council. Discussed in 2021 Legislative Compliance WOF process.		Not compliant
Incorporate regulations by the Governor General, by Order in Council prescribing national environmental standards Duty to keep records about iwi and hapu	s43, RMA 1991 s35(2)(a), RMA 1991 s35(2AA), RMA 1991	National environmental standards as prescribed by the Governor-General: (a) for the matters referred to in section 9, section 11, section 12, section 13, section 14, or section 15, including, but not limited to— (i) contaminants: (ii) water quality, level, or flow: (iii) air quality: (iv) soil quality in relation to the discharge of contaminants: (b) standards for noise: (c) standards, methods, or requirements for monitoring.	Local authorities are required to provide information gathered under sections 35 and 35A to the Minister, and prescribing the content of the information to be provided and the manner in which, and time limits by which, it must be provided. s360(1)(hk) &(hl), RMA 1991				Compliant



Evaluation reports	s32, RMA 1991	Evaluation reports must be prepared for any regulation plan or change under the RMA. It must include an evaluation of the proposal against its objectives.	It must be made available for public inspection as soon as practicable after the proposal is made (in the case of a standard, regulation, national policy statement, or New Zealand coastal policy statement); or at the same time as the proposal is notified.	Requirements for undertaking and publishing further evaluations are in s32AA, RMA 1991		Compliant
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Parks

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Burial and Cremations Act 1964	BCA 1964	Specific requirements for managing burials and cremation			Cemeteries Handbook 2020 Cemeteries Bylaw November 2020	2025	Compliant
Conservation Act 1987	CA 1987	Requirements relating to conservation					Compliant
Freedom Camping Act 2011	FCA 2011	Regulatory provisions for managing responsible camping.			Legislation under review. Continuing to monitor and engage.		Compliant
Reserve management plans	s s41, Reserves Act 1977	The plan shall provide for and ensure the use, enjoyment, maintenance, protection and preservation of the reserve.	Before preparing the plan, public notice must be given of intention to make the plan and invite persons and organisations to make suggestions.	Plan to be kept under continuous review.	11 RMPs covering 55 reserves	Full review underway through Open Spaces Strategy – due 2024.	Compliant

Property

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Airport Authorities Act 1966		Empowers local authorities to act as airport authorities for the purpose of			Issues dealt with in accordance with the act.		Compliant



	maintaining, operating, or managing an airport.				
Fencing Act 1978	Sets out rights and obligations of property owners when fencing common boundaries. Council has obligations under the legislation as a property owner.			No specific process: issues dealt with as they arise in accordance with the act.	Compliant
Property Law Act 2007	Sets out laws regarding leases. Obligations under the act include commercial leases and rural licenses.			No specific process: leases and renewals follow statutory process.	Compliant
Trespass Act 1980	Sets out the ability of person/entity to warn and trespass persons from land that they occupy or own. Compliance with processes on council property. Ensuring persons who are trespassed were done so with a sound legal basis.			Specific guidelines developed: Trespass Notice Guidelines	Compliant
Public Bodies Leases Act 1969	The power of public bodies to lease land. Council ceased to be a leasing authority under the Public Bodies Leases Act as from 1 July 2003 – the exception is with respect to leases entered into before, and current as at that date.			No specific process: statutory process followed	Compliant

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Regulatory Services

Dog control

Dog Control Act 1996

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Dog Policy	s10 DCA 1996 TAs must adopt a policy in respect of dogs	s10 DCA 1996 Dog control bylaw provisions, if any must be specified in the policy. Dog control bylaws are made under s20 DCA 1996	S83, LGA 2002 Special consultative procedure	s10AA, DCA 2002 Local authority must review policy if bylaw implementing policy requires review	December 2020	December 2025	Compliant
Dog control – annual reports	s10A, DCA 1996 , TAs must report on dog control policy and practices.	s10A(1) and (2), DCA 1996 – mandatory content	s10A(3), DCA 1996 The TA must give public notice and make the report publicly available	s10A(1), DCA 1996 Each financial year.	December 2020	December 2025	Compliant



			Public notice provisions Local Government Regulatory Systems Amendment Act 2019				
Dog register	s34, DCA 1996 , TAs shall keep a register of all dogs registered with it.	Mandatory information s34, DCA 1996 . Additional information a TA may provide s35AB, DCA 1996	Supply of register information s35, DCA 1996 Provision of dog information to the national dog control information database s35A, DCA 1996	Updated on an ongoing basis as new information comes to Council.	Reg the dog – online register		Compliant
Dog Control Fees	s37(1) DCA 1996	Public notification of fees.	s37(6) and (7) DCA 1996 Dog control fees must be publicly notified.	s37(6) DCA 1996 in the month preceding the start of every registration year.	Continually published and updated on our website .		Compliant

Impounding Act 1955

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Pound Book and Impounding Register for stock	s13, IA 1955	Record of stock impounded in the pound book and the register	Open to inspection at all reasonable times	Updated on an ongoing basis as dogs are impounded.			Compliant
Table of fees, rates and charges, and a copy of Impounding Act	s20 IA 1955	Table of fees, rates and charges, and a copy of this Act	Open to inspection at all reasonable times	No review period or deadline specified. Available upon request.			Compliant

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Alcohol

Sale and Supply of Alcohol Act 2012

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Establish, maintain and publish its own list of persons approved to be members of the territorial authority's licensing committee or committees	s192 SSAA 2012	The list of members must be established and maintained.	The list of DLC members must be published.	A person may be approved for inclusion on list for up to 5 years and further periods of up to 5 years.			Compliant



District Licensing Committee annual report	s199 SSAA 2012		s199 (1) SSAA 2012 The report must be sent to the Alcohol Regulatory and Licensing Authority. s199 (5) SSAA 2012 A copy of the report must be made available on the TAs internet site.	s199 (1) SSAA 2012 Within 3 months after the end of every financial year.			Compliant
District Licensing Committee – Secretary to set up and maintain registers	ss65, 66, SSAA 2012	Part 3, ss21, 22, Sale and Supply of Alcohol Regulations 2013	ss65, 66, SSAA 2012 Notification of DLC decisions to Alcohol Regulatory & Licensing Authority (ARLA)			ARLA notified monthly	Compliant

Building

Building (Accreditation of Building Consent Authorities) Regulations 2006 Building Act 2004

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Building Consent Authority (BCA) Accreditation and Registration	s212, BA 2004 s215, BA 2004	Each TA must apply for and gain accreditation, be registered as a building consent authority, and maintain accreditation and registration at all times.	Any significant change of the BCA, managers, employees, functions, policies, procedures or systems under s6A, B(ABCA)R 2006	Must notify MBIE within 20 working days			Compliant
Building consents and certificates in accordance with the Building Act 2004	s14F(b), BA2004	<ul style="list-style-type: none"> Information about buildings s216, BA 2004 Building consents s12, BA 2004 Project Information Memorandum s34, BA2004 Code compliance certificates s91, BA 2004, swimming pools s162D, BA 2004 Certificate of acceptance s96, BA 2004, swimming pools s162D, BA 2004 Compliance schedules s100, BA 2004 Annual building warrant of fitness s108, BA 2004 Certificate of public use s363A, BA 2004 	s217, BA 2012 A person has access to the BCA information held under s216, BA 2004 by the TA	As required for the issue of each consent or certificate			Compliant
Audit of building consents for purpose of	s64, BA 2004	Records of building consents granted must include the estimated value of the building work, the amount of levy	Records must be provided to the CE of MBIE on request.	A TA must comply immediately upon request.			Compliant



ascertaining payment of levy		payable, the date of payment of levy to the TA.					
Policy on dangerous, insanitary and affected buildings	s131, BA 2004 s132A, BA 2004	The policy must state the approach and priorities of the TA, and how it will apply to heritage buildings	s132, BA 2004 The policy must be adopted using the special consultative procedure. A copy of the policy must be sent to the CE of MBIE.	s132, BA 2004 Review within 5 years of adoption and then at intervals of not more than 5 years.	Dangerous and Insanitary Building Policy March 2022	March 2025	Compliant
Earthquake prone buildings notice	s133AK, BA 2004	s133AL BA 2004 A number of criteria are listed in the Act including the building's earthquake rating, the part of the building affected, deadline for completing work	s133AL(5) BA 2004 The notice must be given to the building owner, everyone with an interest in the land, other statutory authorities and Heritage NZ as required. s133AK, BA 2004 details of the EPB decision must be recorded in MBIEs EPB Register	s133AL(2) BA 2004 The notice must be issued promptly	All priority one earthquake prone buildings identified and notified in June 2022. Next stage will began June 2023.		Compliant

Gambling

Gambling Act 2003

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Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Class 4 venue policy	s101, Gambling Act 2003	The policy must have regard to the social impact of gambling in the TA. It must specify: <ul style="list-style-type: none"> whether or not class 4 venues may be established in the TA where they may be located any restrictions on the maximum number of gaming machines may include a relocation policy 	s102 Gambling Act 2003 The policy must be adopted in accordance with the special consultative procedure in s83, LGA 2002 s102(4) Gambling Act 2003 The Secretary of Internal affairs must be provided with a copy.	s102(3) Gambling Act 2003 Review required every 3 years	Class 4 Gambling and Board Venue Policy Covers both Gambling Act and Racing Act June 2020	June 2023	Technically compliant due to provisions in the act and our own policies but overdue

Racing Act 2020

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Agency (TAB) venues policy	Racing Act 2020 has replaced the Racing Act 2002 since policy was last reviewed.	s93 RA 2020 TA consent is required if TAB NZ proposes to establish a TAB venue. s96	s97 RA 2020 Must be adopted in accordance with the special consultative procedure in s83 LGA 2002	s97 RA 2020 Must be reviewed every 3 years Policy still has effect while under review.	Class 4 Gambling and Board Venue Policy	June 2023	Compliant Technically compliant due to provisions



		TA must adopt TAB venue policy. TA must have regard to the social impact of gambling. Policy must specify whether or not new TAB venues may be established in the district, and, if so, where. In determining its policy, TA must consider: <ul style="list-style-type: none">• Characteristics of the district• Location of kindergartens, ECE, schools, places of worship, and other community facilities• Cumulative impact	May be amended or replaced only in accordance with the special consultative procedure. A copy must be provided to TAB NZ and the CEO.		Covers both Gambling Act and Racing Act June 2020		in the act and our own policies but overdue
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Health

Food Act 2014

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
TAs are Registration Authorities and Verification Agencies for section 39 food control plans	s82, FA 2014 s52, FA 2014 s137, FA 2014	TAs must keep records relating to their role, functions and duties under s19, FA 2014 , s173, FA 2014 , s174, FA 2014 , 175, FA 2014 and the Food Regulations 2015	The CE of MPI must have full access to the TAs records and information held that relates to its role and functions under this Act s184, FA 2014	If required necessary under s184, FA 2014			Compliant
Annual reports under the Food Act 2014	s174(f), FA 2014	The TA must monitor its performance of its functions and duties and its exercise of its powers under this Act and provide written reports on these matters to the CE of MPI	Must be provided to the CE of MPI	Annual reports or as required necessary by the CE of MPI			Compliant

Health (Hairdressers) Regulations 1980 and Health (Registration of Premises) Regulations 1966

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Register of hairdressers' premises	s4 & 8 H(RP)R 1966 s3 H(H)R 1980	Applications for registration must be made to local authorities and accompanied by the required fee.		New hairdressers' premises are registered on a case-by-case basis			Compliant
Certification of registration	s5 H(RP)R 1966	Certification of registration is required by each premises.	Certificate of registration to be posted conspicuously in the premises.	Yearly certification requirements reviewed on a rolling basis of anniversary of premises' registration date.			Compliant



		Includes hairdressers, camping grounds, offensive trades, and funeral directors.					
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Trading Regulations

Document	Statute	Content	Engagement and/or disclosure	Review period/deadline	Date last review	Date next review	CODC notes
Easter Sunday Trading	Shop Trading Hours Amendment Act 2013	Enables local businesses to trade of Easter Sunday if the territorial has a policy is in place.	Full s83 LGA consultative process required for renewal, even if no changes proposed.	Every five years. Can remain operational for up to two years after lapsing.	Easter Sunday Trading Policy June 2022	June 2027	Compliant
Sale of psychoactive substances	Psychoactive Substances Act 2013	Regulates the availability of psychoactive substances. s66 enables council and the community to have influence over the location of retail premises in the district through provision of a policy.			Psychoactive Substances Policy June 2019	June 2024	Compliant



Legislative Compliance: Improvement Actions

Risk	Description	Initial risk level	Mitigation	Status
Information unavailable from Three Waters to complete review	Three Waters have been unable to participate in this process and will report separately.	High	Recommend Three Waters to report separately on Legislative Compliance to Council and Audit and Risk Committee.	Significant risk of serious non-compliance.
Record keeping for chemical storage	<p>From 2022: Chemicals were stored in full compliance with the Hazardous Substances and New Organisms Act 2015, however there was wide variance in record-keeping between different teams and departments.</p> <p>This record-keeping made it difficult to reflect compliance.</p> <p>It was recorded as a Major to Extreme risk, due to the level of consequence if chemical storage was found to be insufficient. Immediate action was undertaken.</p> <p>2023 update: Remains a high risk on the register as staff training and education of new processes takes place.</p>	High	<p>From 2022: Health, Safety, and Wellbeing Advisor undertook site visits to check on storage of all chemicals and discuss record-keeping with relevant staff.</p> <p>Singular system for record keeping relating to chemical storage developed and now in place.</p> <p>Further work is underway to increase organisational understanding of safe practices for chemical handling and transportation.</p> <p>2023 update: Further processes developed since 2022 to ensure such risks are identified and reported. Staff training and education to take place on new processes. Risk remains high while this process is underway.</p>	Risk reduced and further work underway.
Emergency response plans	<p>From 2022: The methods for developing emergency response plans were not standardised and had developed ad hoc within different business units.</p> <p>Although these plans are likely compliant with the Act, there is insufficient record keeping to easily reflect compliance.</p> <p>2023 update: Although documentation in place, there is low staff understanding of the processes contained within.</p>	High	<p>From 2022: Worksites were assessed for the provision of emergency.</p> <p>Recommend standard approach be developed and all business units prioritise the transition from current approaches to the new model.</p> <p>2023 update: Staff training and education to take place.</p>	<p>Immediate action was undertaken in 2022, with further action to follow.</p> <p>Risk has been reduced.</p>
HSWA understanding	<p>From 2022: There are numerous and complex requirements under various health and safety acts including the Health and Safety at Work Act 2015, Hazardous Substances and New Organisms Act 2015, and associated legislative instruments, as outlined in the Mandatory Requirements Register.</p>	Medium	<p>From 2022: A full audit will be undertaken in 2023 from an external provider. This will involve a comprehensive analysis of all current business practises against the full requirements of the act.</p> <p>A programme of work will then be developed to ensure full and ongoing compliance.</p>	<p>Action has taken place since 2022 Legislative Compliance reporting.</p> <p>Further action is required.</p>

2023 Legislative Compliance Review



	<p>Although the requirements have been assessed to the best of our current ability, further work could be undertaken to ensure a full matrix of legal requirements is developed.</p> <p>2023 update: Significant improvements to our Health and Safety structures are being rolled out.</p>		<p>2023 update: Development of new Health and Safety processes is underway, including future quarterly risk reporting by department and other processes that improve record keeping and increase overall compliance.</p> <p>This item will remain on the register until actions are completed.</p>	
Risk of breaches of the Privacy Act relating to use of customer information	No process is in place for the use of various communications databases – including those created as a regulatory function – and they have been used without the approval of the Privacy Officer in the past.	Low	<p>Raised by Privacy Officer and mitigated through discussion.</p> <p>The potential for breaches remains as decision making is made on a case-by-case basis.</p> <p>Recommend policy on how this information is managed.</p>	Risk of minor non-compliance. Further action recommended.
District Plan	<p>From 2022: The full review of the District Plan has not happened within legislative timeframes set by section 35 of the Act.</p> <p>2023 update: No change.</p>	Low	<p>From 2022: Rolling reviews of various sections have taken place, with the full review pending the outcome of the current legislative reforms.</p> <p>This alternate approach and timeline have been ratified by Council. Although a degree of risk remains, it has been mitigated to the extent possible.</p> <p>2023 update: No change.</p>	Risk mitigated to greatest possible extent. Will remain on compliance register.
Delivery of services, 17A reviews	<p>Reporting against delivery of services, cost-effectiveness for local infrastructure, public services, and performance of regulatory functions.</p> <p>No process is in place and no records are available to reflect the completion of 17A reviews.</p>	Low	Specific record keeping on 17A reviews not currently available. Likely to be covered by 'Contract Management Policy' – an action resulting from the Procurement Policy review.	Risk of minor non-compliance. Further action recommended.
Mandated policies out of date	<p>Waste Management and Minimisation Plan was due June 2023</p> <p>Class 4 Gambling and Board Venue Policy out of date.</p>	Technically compliant due to provisions of the Policies Policy	<p>Work is underway on both areas:</p> <ul style="list-style-type: none"> Waste Management and Minimisation Plan awaiting outcome of regional work programme Gambling Policy estimated in place Q1 202 	Further action underway



Updates on other 2022 Improvement Actions

Risk	Description	Initial risk level	Mitigation	Status
Record keeping for chemical storage	Risk partially mitigated and carried over into 2023 review.			
	Chemicals were stored in full compliance with the Hazardous Substances and New Organisms Act 2015, however there was wide variance in record-keeping between different teams and departments.	High	Health, Safety, and Wellbeing Advisor undertook site visits to check on storage of all chemicals and discuss record-keeping with relevant staff.	This risk has now been managed
	This record-keeping made it difficult to reflect compliance.		Singular system for record keeping relating to chemical storage developed and now in place.	
	It was recorded as a Major to Extreme risk, due to the level of consequence if chemical storage was found to be insufficient. Immediate action was undertaken.		Further work is underway to increase organisational understanding of safe practices for chemical handling and transportation.	
Emergency response plans	Risk partially mitigated and carried over into 2023 review.			
	The methods for developing emergency response plans were not standardised and had developed ad hoc within different business units.	High	Worksites were assessed for the provision of emergency	Immediate action has been taken, with further action to follow.
	Although these plans are likely compliant with the Act, there is insufficient record keeping to easily reflect compliance.		Recommend standard approach be developed and all business units prioritise the transition from current approaches to the new model.	
HSWA understanding	Risk partially mitigated and carried over into 2023 review.			
	There are numerous and complex requirements under various health and safety acts including the Health and Safety at Work Act 2015, Hazardous Substances and New Organisms Act 2015, and associated legislative instruments, as outlined in the Mandatory Requirements Register.	Medium	A full audit will be undertaken in 2023 from an external provider. This will involve a comprehensive analysis of all current business practises against the full requirements of the act.	Action to take place prior to 2023 Legislative Compliance reporting.
	Although the requirements have been assessed to the best of our current ability, further work could be undertaken to ensure a full matrix of legal requirements is developed.		A programme of work will then be developed to ensure full and ongoing compliance.	
Protected Disclosures (Whistle-blowers) Policy out of date	Risk mitigated and resolved.			
	The Policy is a requirement of the Protected Disclosures (Protection of Whistle-blowers) Act 2022 with specific requirements, including: <ul style="list-style-type: none">- Comply with the principles of natural justice- Set out a process consistent with section 13- And that process includes specific mentions to the provisions contained in sections 16, 17, 21, and 22.	Medium	As an initial action, the Policy was renewed.	This risk has now been managed
			Council was likely technically compliant with the Act due to a standard practise of continuing to follow an expired policy unless it has been revoked.	
			Changes have been made to the way policies are managed to ensure ongoing compliance. as detailed below.	

2023 Legislative Compliance Review



	Council shows compliance through the Policy. The expiration of the Policy carried a risk of non-compliance.			
Policies derived from legislation expiring after one year	<p>Risk mitigated and resolved.</p> <p>Policies derived directly from legislation are often on a one year review cycle to ensure they remain current. This was implemented to ensure regular revision.</p> <p>In practise, the short time frame is leading to difficulties in prioritising the review against other work, with these policies falling out of date more frequently than they otherwise would.</p>	Medium	<p>Adjustments are made to the way these policies are managed, including reviewing the appropriateness of timeframes. Single year policies could remain on a one-year review date, with a later expiry date.</p> <p>Additionally, although it is standard practise to continue to follow a policy that is out of date, this is not a formal policy.</p> <p>It is recommended that a Policy on Policies be developed and considered by the Audit and Risk Committee, before seeking formal adoption by Council.</p> <p>Other actions included:</p> <ul style="list-style-type: none"> Improved documentation to enhance Audit and Risk Committee oversight Providing further support to policy owners to ensure they are aware of their responsibilities and the timeframes involved with revision processes 	<p>Policies Policy is on the meeting's agenda for further discussion.</p> <p>This risk has been reduced.</p>
Long-term Plan references to development of Māori capacity to contribute to decision-making process	<p>Action programmed. Remains in 2023 review.</p> <p>The prior LTP and associated consultation document do not include a reference to the development of Māori capacity to contribute to decision-making process.</p> <p>Risk has been calculated based on documentation in the LTP only.</p> <p>The risk of failing to develop Māori capacity to contribute to the decision-making process as an ongoing practice would be much higher.</p>	Medium	<p>Council values its partnership with Aukaha and is working toward genuine partnership, far beyond legal compliance, in the LTP and other matters.</p> <p>The 2024-2027 LTP will include specific reference to the development of Māori capacity to contribute to decision-making process.</p>	<p>This oversight is not reflective of wider Council policies.</p> <p>It will be remedied in next LTP.</p>
Accessible toilet in the William Fraser building	<p>Risk mitigated and resolved.</p> <p>The door to the bathroom in the William Fraser building is not wide enough to meet requirements for accessible toilets under the Building Act.</p>	Low	<p>The building was compliant when built, however the Act has since changed. As the building is to be upgraded, remedial action will be required. This has been factored into the design.</p>	<p>Action to take place prior to 2023 Legislative Compliance reporting.</p>
District Plan	<p>No update. Remains in 2023 review.</p> <p>The full review of the District Plan has not happened within legislative timeframes set by section 35 of the Act.</p>	Low	<p>Rolling reviews of various sections have taken place, with the full review pending the outcome of the current legislative reforms.</p> <p>This alternate approach and timeline have been ratified by Council. Although a degree of risk remains, it has been mitigated to the extent possible.</p>	<p>Risk mitigated to greatest possible extent. Will remain on compliance register.</p>

23.4.6 SIGNIFICANCE AND ENGAGEMENT POLICY

Doc ID: 1207500

1. Purpose of Report

To consider the Significance and Engagement Policy.

Recommendations

That the Audit and Risk Committee

- A. Receives the report and accepts the level of significance.
 - B. Recommends to Council that the Significance and Engagement Policy is approved for consultation.
-

2. Background

The Significance and Engagement Policy is a requirement of s76AA of the Local Government Act 2002. The Act specifies Council must have a policy that sets out the general approach, criteria, procedures, responses and community engagement to issues, proposals, assets, decisions or activities which are significant or may have significant consequences.

The Act specifies that the Policy must list the assets considered to be strategic assets and must be consulted on in accordance with s82 of the Act (the Special Consultative Procedure). The Policy was last reviewed in June 2021.

The Significance and Engagement Policy owner is the Group Manager – Business Support Saskia Righarts. The 2023 review was undertaken on behalf by the Senior Strategy Advisor Alix Crosbie, with support from the Community and Engagement Manager Paula Penno and Project Manager Christina Martin. Our iwi partner Aukaha were consulted in November 2023.

Consultation will take place as part of the Long-term Plan process.

3. Discussion

The review of the Policy found it adequately met the requirements of the Act, however could be strengthened to tie more directly to the practical application and existing communications and engagement processes.

The following changes are recommended for consideration by the community in the 2023 review:

Three step process replaced with new four step process

The previous policy included a three step process as follows:

- Determine significance
- Determine if engagement is required
- Decide an approach

It is recommended that this process is replaced with a similar four step process:

- Determine significance
- Determine the level of engagement
- The detail on how and when engagement will take place
- Reporting the outcomes of the engagement to the community

This shift in language better reflects Council's commitment to genuine engagement with the community. Council seeks to undertake genuine engagement with the community beyond the basic requirements of the Act. Although there are times engagement will not take place, as provided for in the Policy, there is a clear preference that language reflects our commitment.

The addition of a fourth step aligns with the current Council approach, and ensures that the community are updated on the results of their engagement.

This step also reflects Council's overall approach to policy work as an evolutionary process. It seeks to capture feedback from the community on our processes, and ensure that they continue to improve and develop over time.

Principles and objectives

Similar to the four-step process, the principles and objectives have been updated to better reflect Council's commitment to engaging with the community, and those that will be contained within the Media Policy (currently under review).

Māori Engagement

The policy was updated to reflect Council's partnership with Aukaha.

This includes the insertion of the following objective:

- To partner with mana whenua and make mātauraka Kāi Tahu an integral part of decision-making.

And the following paragraph:

- The Act requires local authorities to facilitate participation by Māori in local decision-making processes. For the Council, these legislative requirements are considered a bottom line. Council aspire to go beyond statutory requirements to ensure meaningful engagement with mana whenua which recognises the principles of partnership of the Treaty of Waitangi. This also recognises the value that engagement with mana whenua adds through the sharing of their knowledge and wisdom.

At the request of – and in partnership with – Aukaha two workstreams will be developed for inclusion in the next version of the policy:

- The current policy has council deciding the impact of a decision on the community. Staff are working on initiatives to assist community in identifying areas of significance to themselves.
- The inclusion of a Māori participation framework.

Climate change

Climate change has been added as a consideration within the policy.

Informal engagement

Council staff are part of the Cross-Council Engagement Community of Practice, a group made up of representatives from across NZ local government with a vested interest in engagement best practice.

A workstream within this group is to explore how Annual Plan and Long-term Plan hearings can be done differently, recognising the formality of some of these processes as a barrier to some members of the community.

These formal processes are drawn from s83 of the Local Government Act. S83(1)(d) states:

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

Council is in an ongoing dialogue with other Council's who have adjusted their processes, in accordance with legislation, to better enable meaningful engagement with the community – to work with them 'on their own turf and time'. This often involves the engagement team meeting with the community in a local hall or facility after hours, rather than requiring them to travel to council during business hours.

A 'Formal processes' clause has been added to the Policy to reflect this commitment. The Terms of Reference for the Cross-Council Engagement Community of Practice have been attached to this report.

Structure and flow

Some structural changes were made to the text within the policy to improve readability.

There were no changes to material aspects, such as the list of strategic assets, however their location within the policy has been updated.

Council previously chose to group strategic assets into relevant networks rather than list individual assets – unless they were of individual critical strategic significance. This approach has been retained.

4. Financial Considerations

All financial requirements can be managed under existing budgets.

5. Options

Option 1 – (Recommended)

Recommend to Council that the Significance and Engagement Policy is consulted on.

Advantages:

- Policy provides a framework for the involvement of community in decision making.
- Policy complies with all legislation.

Disadvantages:

- No disadvantages.

Option 2

Recommend to Council that the Significance and Engagement Policy is consulted on with changes.

Advantages:

- Advice of the committee is reflected in the policy.

Disadvantages:

- No disadvantages.

6. Compliance

Local Government Act 2002 Purpose Provisions	This decision enables democratic local decision making and action by, and on behalf of communities by engaging them in the democratic process.
Decision consistent with other Council plans and policies? Such as the District Plan, Economic Development Strategy etc.	Consistent with all other plans and strategies
Considerations as to sustainability, the environment and climate change impacts	Climate considerations included within the policy
Risks Analysis	No risks
Significance, Consultation and Engagement (internal and external)	Consultation is required under the Local Government Act.

7. Next Steps

The policy will be presented to Council in December. Consultation will take place as part of the Long-term Plan process.

Work will begin immediately in developing the Māori Participation Framework, and initiatives to partner more closely with community in identifying areas of significance.

8. Attachments


Appendix 1 - Significance and Engagement Policy [↓](#)

Report author:



Alix Crosbie
Senior Strategy Advisor
20/11/2023

Reviewed and authorised by:



Dylan Rushbrook
Group Manager - Community Vision
21/11/2023



Significance and Engagement Policy

Department:	Community Vision / Business Support
Document ID:	<CentralDocs ID>
Approved by:	Council
Effective date:	<Month and year>
Next review:	<Month and year>

Purpose:

To set out Council's general approach to determining the significance of proposals and decisions, including any criteria or procedures used in assessing significance.

To outline how Council responds to community preferences about engagement and engages with communities.

Principles and objectives:

The core objectives of this policy are:

- To reflect Council's commitment to empower the community to understand and participate to align decision making with community needs now and into the future.
- For Council and communities to work together to deliver a joint outcome and create stronger and more connected communities.
- To partner with mana whenua and make mātauraka Kāi Tahu an integral part of decision-making.
- To ensure the community is adequately engaged and informed about Council activities.
- To ensure Council complies with all relevant legislation.
- To provide practical guidance and consideration on how significance is determined.
- To ensure appropriate significance is given to climate related issues.

Scope:

The Policy applies to all Council activities and functions, as reflected in the Local Government Act.

Definitions:

Term	Definition
The Act	Local Government Act 2002
Significance	As defined by the Local Government Act, the degree of importance of an issue, proposal, decision or matter as assessed by Council taking into account the likely impact on, and consequences for:



	<ul style="list-style-type: none"> • The current and future social, economic, environmental, or cultural well-being of Central Otago • Those likely to be particularly affected by, or interested in, the issue, proposal, decision or matter • Council's capacity to perform its role and the costs (financial and otherwise) of doing so.
Strategic assets	<p>Strategic assets are essential to the continued delivery of council services or activities.</p> <p>Council has chosen to group strategic assets into relevant networks. Individual assets have also been listed where they are thought to be of critical strategic significance:</p> <p>Council considers strategic assets to be:</p> <ul style="list-style-type: none"> • The roading network as a whole • The three waters network as a whole • Council's waste assets portfolio as a whole • Council's portfolio of reserves as a whole • Council owned and administered pools as a whole • Alexandra Airport • Cromwell Airport • Molyneux Stadium • Council's portfolio of elderly persons housing as a whole • Council's portfolio of cemeteries as a whole • Council's portfolio of libraries as a whole

Policy:

Central Otago District Council follows a four-step process to significance and engagement:



Determine significance

Significance measures the importance of an issue, proposal, asset, decision, or activity.



All governance decisions are evaluated for significance at each step, with all decision-making reports including the significance.

Significance indicators

The following factors are considered when determining the level of significance. The greater the cumulative impact across these factors, the more significant a decision will be.

- The number of people affected, the degree to which they are affected, and the likely impact of a proposal or decision
- Whether this type of matter is likely to generate wide public interest within a community board area or the district
- The impact of the proposal or decision on Council's ability to deliver on actions or perform any statutory responsibility
- The impact of the proposal or decision on intended service levels for a group of activities, including the start or stop of any group of activities
- The degree to which a proposal or decision can be reversed should circumstances warrant
- The degree to which a proposal or decision is likely to increase emissions or otherwise have a climate impact; or addresses an aspect of climate adaptation.
- The ownership or function of a strategic asset.
- A substantial variation of a budgeted spend toward a particular project or activity.

Responding to significance

All projects and reports for decision making include a statement on the significance of a decision. Where a matter is considered to have a high degree of significance, reporting includes statements about how this policy and the relevant portions of the Act are met.

Where failure to make a decision urgently could, in Council's opinion, result in unreasonable or significant damage to property, or risk to people's health and safety, it may, in accordance with the Act, make a decision that is significantly inconsistent with this policy.

Level of engagement

Once significance is determined, the level of engagement to be undertaken (if any) is decided.

Council has a broad and ongoing process of sharing information with the community and seeking feedback on an ongoing basis, for the purpose of continually increasing community awareness, as well as access and involvement in the process of decision making.



Consultation is undertaken on a more specific basis.

Māori participation

The Act requires local authorities to facilitate participation by Māori in local decision-making processes. For the Council, these legislative requirements are considered a bottom line. Council aspire to go beyond statutory requirements to ensure meaningful engagement with mana whenua which recognises the principles of partnership of the Treaty of Waitangi. This also recognises the value that engagement with mana whenua adds through the sharing of their knowledge and wisdom.

Informal and formal processes

Council meets all legislated consultative requirements, including those set out in the Act and other legislation.

Consultation processes invites and encourages all those who will be affected by or have an interest in the matter being discussed to present their views to Council.

Some projects and activities will require Council to use a special consultative procedure, as set out in section 83 of the Act. The special consultative procedure requires Council to issue and widely distribute a statement of proposal which will be open for consultation for at least one month, plus a description of how people interested in the project can present their views.

Council's Long-term Plan is an example of a process that must undergo a special consultative procedure in its development. These are the decisions that involve:

- Significantly altering the intended level of service provision for any significant activity undertaken by or behalf of the Council
- Transferring the ownership or control of a strategic asset to or from the Council.

Council is actively undertaking initiatives to increase the reach of our engagement, including seeking ways to make formal consultation more relevant and accessible to the community.

Deciding not to engage

Council may choose not engage with the community on a matter that is routine, operational, or because there is an emergency. Examples include:



- Matters where Council already has a sound understanding of the views and preferences of those likely to be affected or interested in the matter – including issues that have previously been consulted on or addressed by the Council's strategies or plans; or matters where Council has engaged within the last 3 years.
- Situations where there is a need for confidentiality or commercial sensitivity.
- Emergency management activities.
- Organisational decisions that do not materially change a level of service.
- Matters where the cost of engagement is likely to outweigh the benefit.
- Issues where an immediate or quick response is needed or it is not practical to engage.
- Any business-as-usual works relating to the operation or maintenance of an asset.

When this takes place, Council will still consider the views and opinions of those likely to be affected. This consideration can be achieved without using formal engagement processes.

The detail: how and when

Council has a multi-platform approach to engagement, including (but not limited to):

- Direct in-person engagement with individuals and groups from the community, and other project stakeholders
- Written engagement, including letters and emails
- Traditional media, including media releases, advertising space in radio or newspapers
- Council's online engagement platform 'Let's Talk *Kōrero māi*'
- Council's social media platforms

How engagement is delivered will vary depending on the needs and opportunities for each project.

Council's approach to consultation and engagement utilises the International Association of Public Participation's engagement spectrum, which is attached as Appendix A.

Project owners and lead officers are encouraged to consider at the outset what the proposed engagement outcomes are and how best to work across Council's engagement platforms to maximise reach, and to ensure as much of the relevant community as possible are informed and engaged.



Reporting outcomes

Council provides engagement analysis and reporting to elected members, that are publicly accessible through our website, reflecting the results of all consultation.

Council utilises various channels to update respondents as to the outcomes of engagement, including:

- Publishing summary reports on Council's website
- Communicating outcomes through media and engagement outlets, in accordance with Council's Media Policy
- Providing direct responses, where resources allow.

Council seeks feedback on our engagement and consultative processes and channels to continuously enhance and improve these.

Relevant legislation:

- Local Government Act 2002

Related documents:

- Community Development Strategy
- Māori Participation Framework (*in development*)
- Media Policy



Appendix 1: Council's engagement spectrum

	Inform	Consult	Involve	Partner	Empower
Goal	To provide balanced and objective information in a timely manner.	To obtain feedback on analysis, issues, alternatives, and decisions.	To work with the public to make sure that concerns and aspirations are considered and understood.	To partner with the public in each aspect of the decision making.	To place final decision making in the hands of the public.
Objective	"We will keep you informed."	"We will listen to and account for your concerns."	"We will work with you to ensure your concepts and aspirations are directly reflected in the decisions made."	"We will look to you for advice and innovation and incorporate this in decisions as much as possible."	"We will implement what you decide."
Examples	Council's website, media releases, public notices.	Submissions and hearings.	Spatial planning (seeks community input on the design process and incorporates these where possible).	Omakau community hub (A council-owned asset, but building design and activation is developed in partnership with the community).	Community plans (Council facilitates their development but the content and actions reflect and are owned by the community).

23.4.7 INFORMATION AND RECORDS MANAGEMENT POLICY REVIEW

Doc ID: 654191

1. Purpose

To provide an update on the review of the Information and Records Management (IRM) Policy.

Recommendations

That the report be received.

2. Discussion

The Archives New Zealand Information Management Maturity Assessment carried out in July 2022 resulted in the following recommendations to be considered for the Information and Records Management Policy:

- Document roles/responsibilities for IRM staff in IRM Policy
- Update the IRM Policy to include roles and responsibilities for all staff, business activity owners, executive/leadership, Executive Sponsor for Information Management and Chief Executive
- Develop a process for dealing with policy breaches.

Along with minor changes, the following have now been included in the policy. New and existing staff and contractors will be made aware of the changes.

3. Attachments

Appendix 1 - Information and Records Management Policy [↓](#)

Report author:

Reviewed and authorised by:



Nathan McLeod
Chief Information Officer
29/11/2023



Saskia Righarts
Group Manager - Business Support
29/11/2023



Information and Records Management Policy

Department:	Information Services
Document ID:	239049
Approved by:	Group Manager – Business Support
Effective date:	November 2023
Next review:	November 2025

Purpose:

The purpose of this policy is to set out overarching guidance for the effective creation, maintenance, retention, appraisal, and disposal of Council information and records.

Principles and objectives:

The following principles apply to Council's information and records management activities:

- Public accountability – Information and records are managed appropriately to allow the public to hold the Council to account.
- Robust decision making – Decisions are made with accurate thorough access to complete information.
- Preserving public knowledge – Council records are easily discoverable and able to be reused.

The objectives for Council's information and records are as follows:

- Information and records are readily accessible, understandable, and usable.
- Information and records form a part of Council's approach to risk management.
- Information and records are maintained to a standard which meets the needs of Council and the community.

Risks to information and information management

Information Services (IS) acts proactively to manage risks to information and information management. It does this through two related documents:

Information and Records Management Standard

This is a mandatory standard issued under section 27 of the Public Records Act 2005. The standard establishes how to manage information and records efficiently and systematically with three principles defining responsibilities, obligations, expectations, and guidelines to support business in diverse system environments. It sets out the minimum levels of compliance that organisations must meet. The practical application of this standard will enhance organisational information and records management. The [Information and Records](#)



[Management Implementation Guide](#) helps organisations understand and apply the requirements of the standard.

Information Management Good Practices and Business Rules

These guidelines and rules relate to the everyday work performed by all Council staff. These guidelines and rules aim to:

- Support ease and efficiency of working by allowing information to be more easily accessible.
- Protect the Council: It provides justification and evidence of Council decision making.
- Provide reliable information by allowing the appropriate version to be accessed in the correct format.
- Reduce risk and cost to Council by ensuring that only information that is needed is retained. Cost and risk are also reduced by ensuring that information is appraised or disposed of after the appropriate time-period.

Scope:

The **Information and Records Management Standard** applies to all employees, contractors, temporary staff, or third parties employed by Council that are responsible for Council information assets and information management.

The **Information Management Good Practices and Business Rules** apply to all employees, contractors, temporary staff, or third parties employed by Council.

Specific responsibilities are detailed in the 'responsibilities and accountabilities' section of this policy.

Definitions:

- The **Standard**, defined as the "Information and Records Management Standard".
- The **Good Practices and Business Rules**, defined as the "Information Management Good Practices and Business Rules".

Policy:

Information and Records Management (IRM) is the management of all Council information and records. Information and records are a vital strategic asset, and their effective management is fundamental to Council's public accountability.

Access to accurate records aids Council in achieving valuable community outcomes and delivering value for our ratepayer's money.

The Standard shall be adopted by Council to assist with the management of information and records management risk. The Standard will be defined, documented and available to



whomever requires it. It will be reviewed in accordance with any changes to the relevant legislation.

Information Services continually evaluates their performance against the Standard to ensure that information management performance improves over time.

The Good Practices and Business Rules will be understood and utilised by Council employees to assist with the management of information and information management risk. The Good Practices and Business Rules are in place according to the following principles.

- The Good Practices and Business Rules are defined and documented.
- The Good Practices and Business Rules are published and available to those that require them.
- The Good Practices and Business Rules will be utilised by Council employees where appropriate.
- The Good Practices and Business Rules are reviewed in accordance with changes to legislation.

Information Services continually evaluates Council employee's performance against the Good Practices and Business Rules to ensure that information management performance improves over time.

Responsibilities and Accountabilities

This policy applies to all employees including contractors and consultants. The following positions have additional responsibilities:

Chief Executive

The Chief Executive is responsible for ensuring that information and records management practice in Council meets statutory requirements and adds value to the business operations of the Council. Ultimate responsibility for the success of the policies rests with the Chief Executive.

Executive Leadership Team

- The Executive Leadership Team is responsible for the direction and support of information and records management at Council and ensuring it conforms to statutory and business requirements.
- Support and foster a culture that promotes good information and records management practices.

Executive Sponsor

The Executive Sponsor is responsible for:

- Oversight of information and records management.
- Ensure adequate skilled information and records management resources are available to implement policy.



- Monitor, review, and report on the Digital and Information Strategy and the Information and Records Management Policy to ensure it meets business needs and supports compliance.
- Respond to requests or enquiries from Archives NZ.

Information Services Manager

Information Services Manager is responsible for:

- Monitor, review, and report on information and management to ensure that it is implemented, transparent, and meets business needs.
- Liaise with business units to ensure that IRM is integrated into work processes, systems, and services.
- Oversee the budget for information and records management as part of Information Services.
- Ensures information management responsibilities are identified and assigned in job descriptions, performance plans and service agreements.
- Ensure all new employees receive information management induction and training.
- Ensure adequate skilled information and records management resources are available to implement policy.
- Establish IRM good practices and business rules for Council as a whole.
- Design and maintain information and records management systems throughout the Council.

Activity Managers

Activity Managers are responsible for:

- Proactively engaging and collaborating with Information Services in the design and maintenance of information and records management systems throughout the Council.
- Ensure information and records management is integrated into work processes, systems, and services.

Information Services Team

Members of the Information Services department are responsible for assisting the Executive Sponsor and Information Services Manager with their responsibilities, as appropriate, and setting an example in information and records management procedures, good practices and business rules within the Council.

Council employees

All employees need to be aware of information management requirements that affect the performance of their duties. It is expected that employees will:

- Make information and records to support the conduct of their business activities, including documenting the oral decisions and commitments, meetings, and telephone calls.
- Register information and records including all documents, regardless of their format (including email), into council-wide physical or digital information systems. Employees are not permitted to maintain individual, separate files, recordkeeping systems or unmanaged digital records.



- Minimise the number of physical files that are kept by their desk and to limit the period that they are stored there.
- Keep information and records on Council property and assets. Only in exceptional circumstances and with prior approval are employees permitted to remove information and records from the council premises.
- Use the approved couriers to transfer information and records between the different council premises.
- Learn how and where information and records are kept within the Council systems and assets.
- Seek appropriate written authority prior to destroying information and records or transferring them to a third party.
- Safeguard information and records and handle them in a manner which protects their lifespan.
- Comply with information and records management procedures, good practices, and business rules.

Reporting and Monitoring:

Reporting and monitoring will occur across two areas:

The Standard

Council will utilise the Archives New Zealand Information Management Framework to assess and report on information and records management maturity against the standards.

Good Practices and Business Rules

Monitoring of the Good Practices and Business Rules will occur through day-to-day operational reviews. Employees will be proactively educated on Council Information and Records Management practices and expectations. Regular operational reporting on the current state of CentralDocs will be provided to the Executive Team.

Breaches of this policy:

Breaches of this policy and the Good Practices and Business Rules may be considered misconduct. Misconduct may result in disciplinary action under the [Performance Management Policy](#).

Relevant legislation:

- [Public Records Act 2005](#)
- [Local Government Act 2002](#)
- [Local Government Official Information and Meetings Act 1987](#)
- [Official Information Act 1982](#)
- [Evidence Act 2006](#)
- [Contract and Commercial Law Act 2017](#)
- [Privacy Act 2020](#)



Related documents:

- [Information Management Good Practices and Business Rules](#)
- [Information and Records Management Standard](#)
- [Information and Records Management Standard Implementation Guide](#)
- [What is information?](#)
- [CentralDocs User Guide](#)

23.4.8 HEALTH, SAFETY AND WELLBEING REPORT

Doc ID: 1390501

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 August – 31 October 2023 ('the reporting period').

2.2 Health, Safety and Wellbeing Advisor summary

This period, Health, Safety and Wellbeing has been focused on further progressing recommended actions from the KPMG review of health and safety systems at Council. Work on most high and medium rated findings have commenced. Work on all low rated findings have started.

A draft HSW Strategy has been developed with pillars of Leadership, Engagement and Risk Management as foundations that we will build on. Tangible actions to help implement the strategy include development of lead and lag indicators, raising awareness and lifting the profile of Health and Safety Representatives and rolling out and embedding of a quarterly risk review process.

2.3 Significant incidents summary

Significant incidents this month include two incidents where member of the public were accidentally locked in at closing time at Alexandra Aquatic centre and Ranfurly Transfer station. These incidents have been investigated and controls implemented to double check that no one is locked in at the end of day.

A hazard has been reported regarding the presence of Hydrogen Sulphide (H₂S) in the centrifuge building at Alexandra Wastewater Treatment Plant. Controls to minimise the risk in the short term has been implemented with longer term controls being investigated.

The lost time injury frequency rate has significantly reduced this reporting period.

2.4 Incidents and injuries

There were 49 incidents reported during the reporting period which is a similar number to the 50 incidents reported for the previous period.

Notable incidents are further explained at section 2.4.9.

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	47	2	0	0

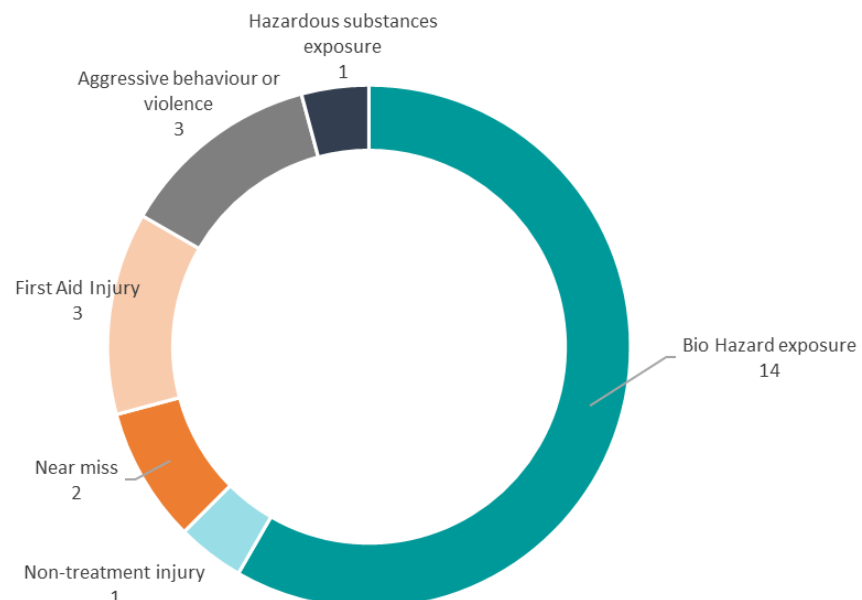
Table 1. Severity rating for all incident reports

2.4.1 Employee reports

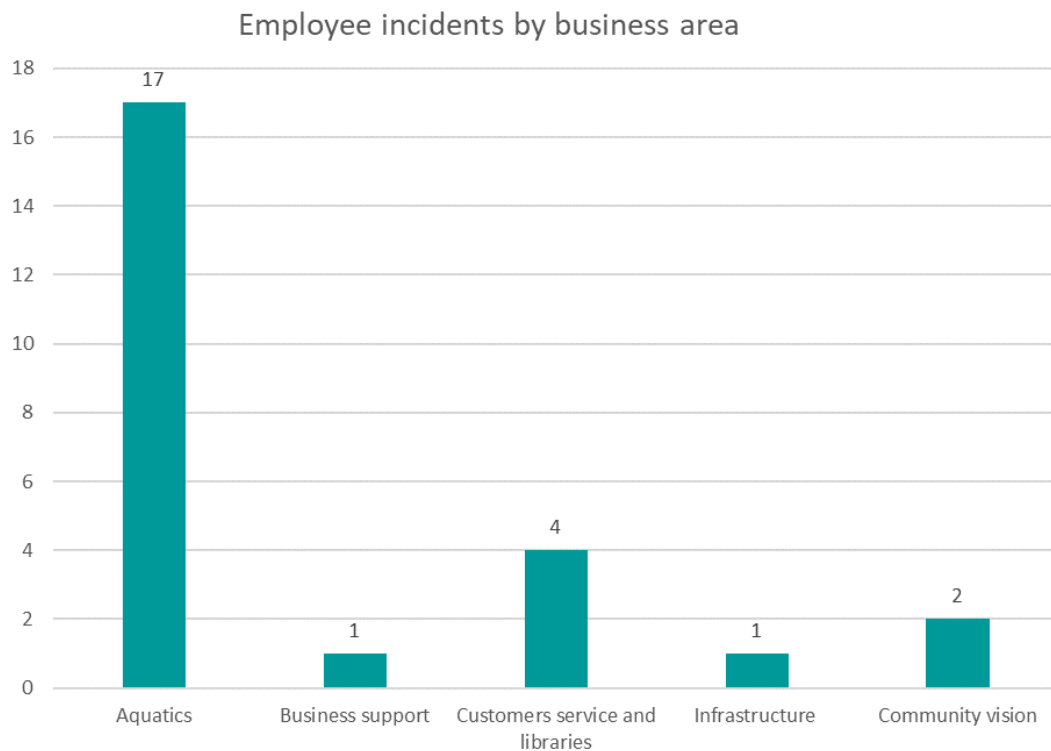
25 reports (51%) affected employees which is the same as the previous reporting period. One near miss has been reported.

There has been an increase in bio hazard exposure for this reporting period (14) compared to the previous reporting period (8). A campaign “Code browns – an icky, sticky issue at pools” has been launched to make the public aware of steps that have to be taken in response to faecal matter being found in the pool – this can include having to close the pool for hours at a time. The campaign will include messaging on Facebook and signage at the pools.

Employee reports by type Aug-Oct 2023



Graph 1. Employee incidents and reports by cause Aug-Oct 2023. Aggressive behaviour or violence (3), hazardous substances (1), biological hazard exposure (14), non-treatment injury (1), near miss (2), first aid injury (3).



Graph 2. Employee incidents by business area Aug - Oct 2023. Aquatics (17), business support (1), customer service and libraries (4) infrastructure (1), community vision (2)

2.4.2 Employee injuries

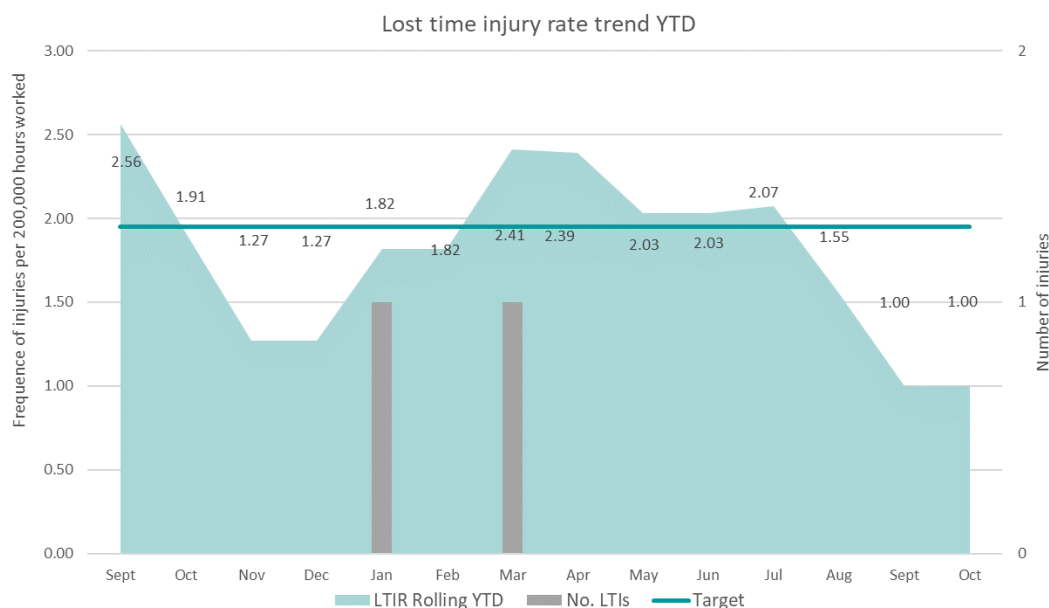
There has been an increase in recordable injuries, mostly due to an increase in non-treatment injuries. None of the injuries were of serious nature and include bumping into a desk, lifting items and a car door that swung back in the wind and pulled the skin off finger.

Reporting period	Non-treatment injury	First aid incident (FAI)	Medical treatment incident (MTI)	Restricted duties	Lost time incident (LTI)	Fatality	Total recordable injuries
Nov 22-Jan 23	1	1	0	0	1	0	3
Feb 23-Apr 23	2	2	0	0	1	0	5
May 23-Jul 23	1	2	0	0	0	0	3
Aug 23 – Oct 23	3	3	0	0	0	0	6

Table 2. Recordable injuries (employees)

2.4.3 Lost time injury frequency rate (LTIFR)

The LTIFR is one against a benchmark of 1.95 injuries per 200,000 hours of work. This is a reduction from recent reporting periods due to no lost time injuries occurring over the past 7 months.

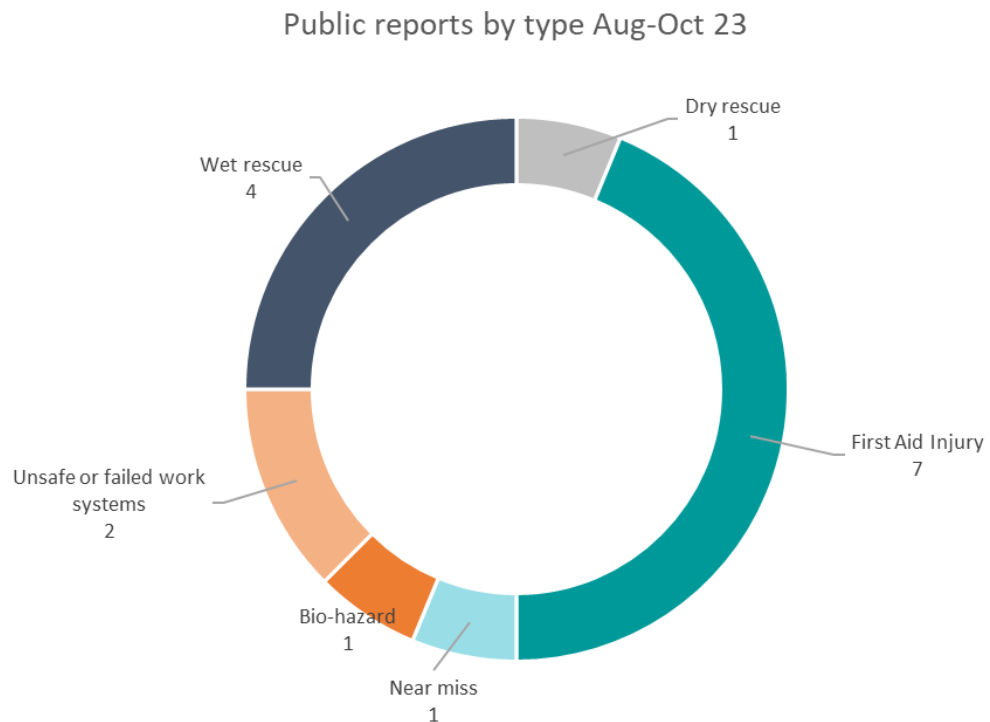


Graph 3. Lost time injury frequency rate (rolling 12-month average).

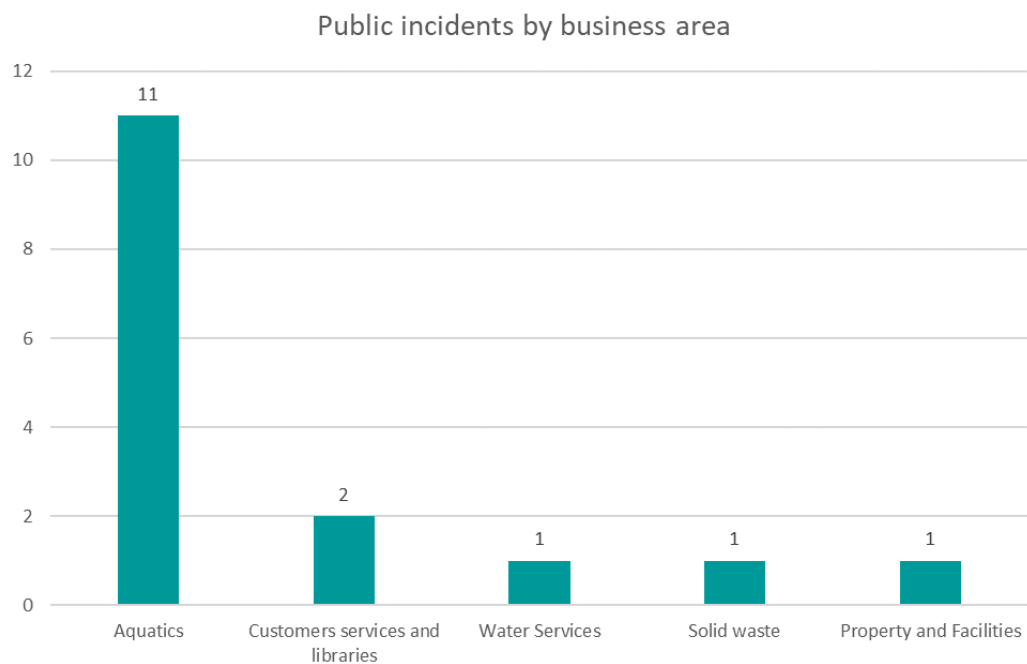
2.4.4 Public incidents

16 incidents (33%) affected the public which is slightly higher than the previous reporting period (29%).

The highest cause categories were first aid injuries – most of which occurred at aquatic centres where children presented with nose bleeds, a sore foot and lip bleed that occurred while playing with other kids at the pool or when entering/exiting the pool.



Graph 4. Public incidents and reports by cause. Wet rescue (4); dry rescue (1); first aid injury (7), near miss (1); bio-hazard (1); unsafe or failed work systems (2).



Graph 5. Public incidents by business area. Aquatics (11), customer services and libraries (2), water services(1), solid waste (1), property and facilities (1).

2.4.5 Public injuries

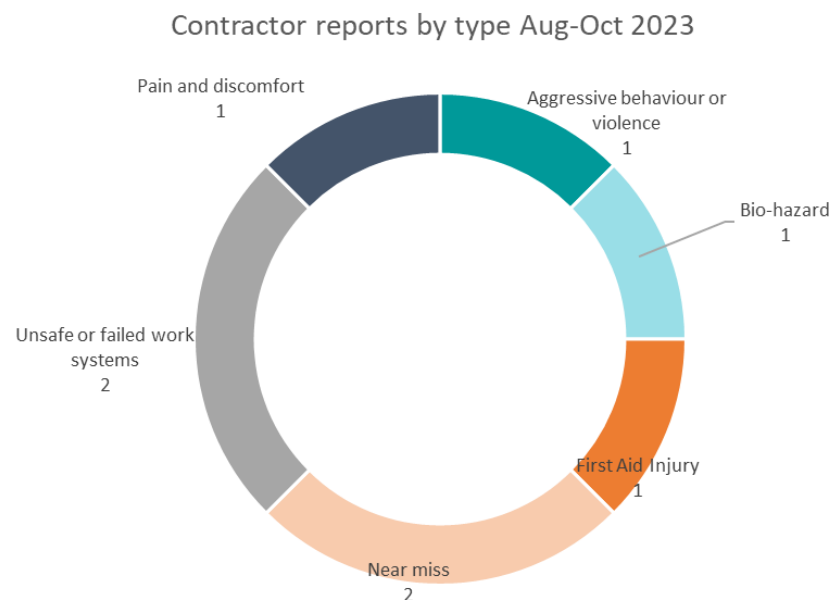
The number of total recordable injuries (primarily at pools) is similar to previous reporting period.

Reporting period	Non-treatment injury	First aid injuries (FAI)	Medical treatment injury (MTI)	Fatality	Total recordable injuries
Nov 22-Jan 23	0	5	2	0	7
Feb 23-Apr 23	1	12	0	0	13
May 23-Jul 23	2	4	0	0	6
Aug 23- Oct 23	0	7	0	0	7

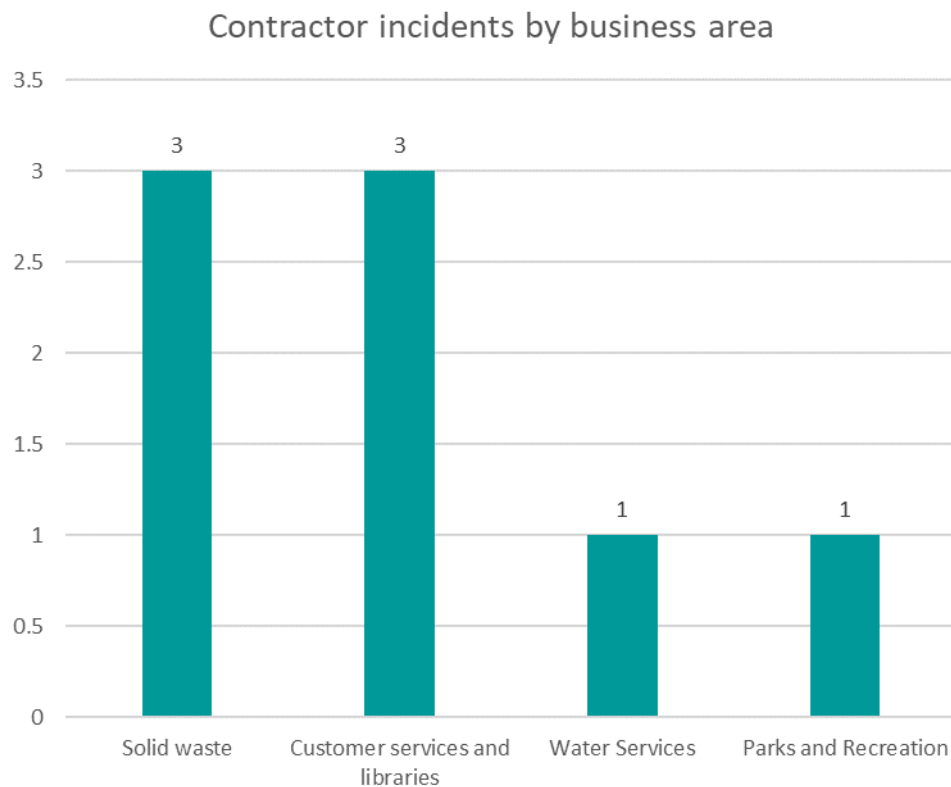
Table 3. Recordable injuries (public)

2.4.6 Contractor reports

Council received 8 reports (16%) from contractors. Most reports are received a month in retrospect at monthly contractor meetings. Notable incidents are normally raised to the council employee who manages the contract. There are two notable incidents from contractors further explored at 2.4.9.



Graph 6. Contractor incidents and reports by cause. Aggressive behaviour or violence (1), bio- hazard (1), first aid injury (1), near miss (2), unsafe or failed work systems (2), near miss (4), pain and discomfort (1).



Graph 7. Contractor incidents by business area. Solid waste (3), Customer services and libraries (3), Water Services (1), Parks (1).

2.4.7 Contractor injuries

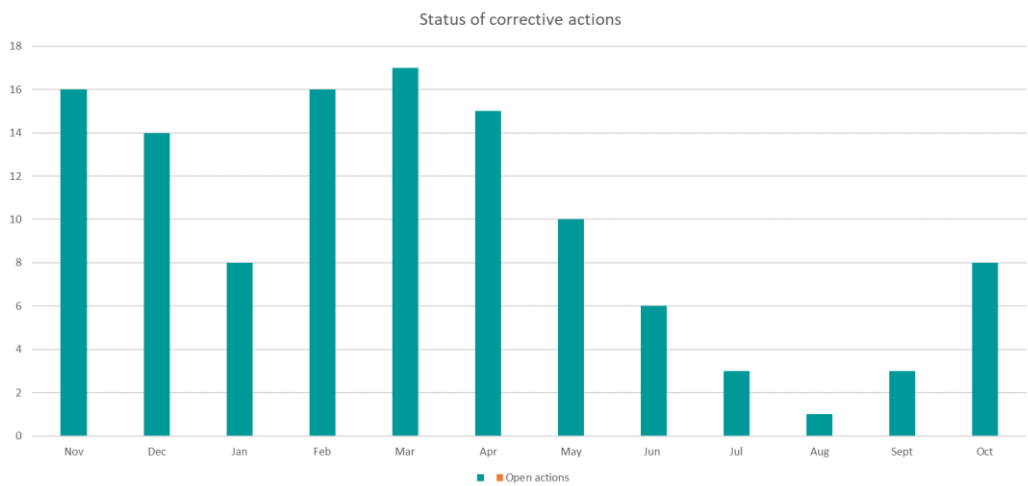
Of the reports made to council by contractors, first aid was required for one incident, which involved a contractor at a transfer station stepping into a drain cover that was not closed properly. The drain cover has been fixed and the contractor did not require medical treatment.

Reporting period	Non-treatment injury	FAI	MTI	Fatality	Total recordable injuries
Feb 23-Apr 23	0	1	0	0	1
May- Jul 23	0	2	1	0	3
Aug -Oct 23	0	1	0	0	1

Table 4. Recordable injuries (contractor).

2.4.8 Status of corrective actions

Council aims to complete correction actions identified with each incident as quickly as possible. Fewer corrective actions have been required for July compared to previous months but there are no open actions for this reporting period.



Graph 8. Status of corrective actions.

2.4.9 Notable incidents

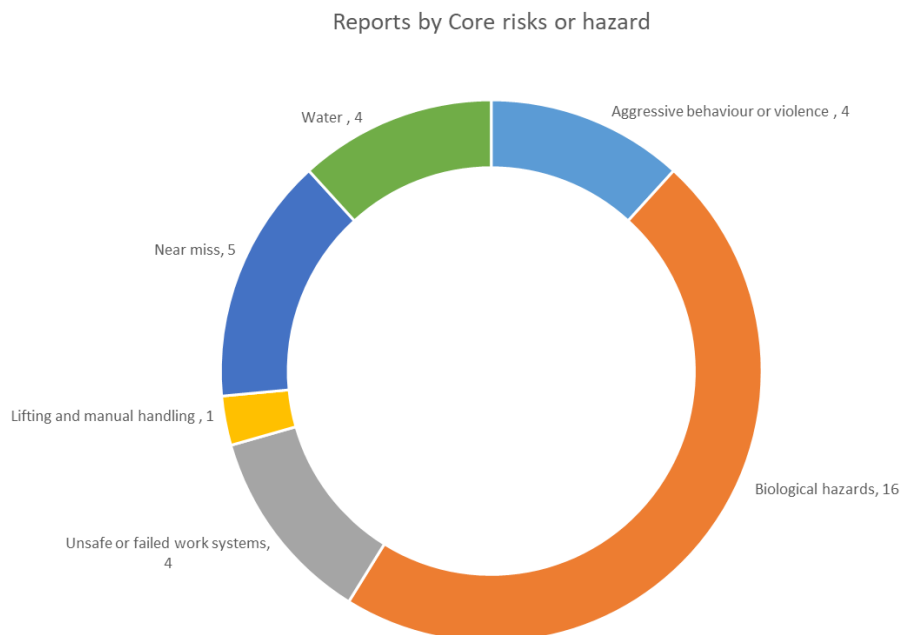
Incident	Action taken
<p><u>Unsafe or failed work systems - contractor</u></p> <p>Ranfurly transfer station closed for the day with a customer locked inside for fifteen minutes.</p> <p>The customer contacted the Council's customer service centre who were unable to unlock the gate to the transfer centre.</p>	<ul style="list-style-type: none"> • Customer was contacted and offered an apology – customer declined a refund for cost of dropping of items at the transfer station. • Enviro NZ investigated the incident and instructed their staff at all transfer stations to walk around the sites at the end of each day to ensure that there are no customers on the premises before they are locked up for the day. • Staff will be reminded of this at the regular monthly meetings.
<p><u>Unsafe or failed work systems – CODC</u></p> <p>Two schoolgirls were locked inside Alexandra Aquatic centre when employees locked up slightly earlier at the end of the day.</p> <p>Checks were made by lifeguards to make sure that everyone has left the premises but change rooms were not thoroughly checked.</p> <p>The girls managed to phone one of their parents and the Team leader for the centre was eventually contacted who went to unlock the pool – by that time the girls have already managed to get outside through the emergency exit.</p>	<ul style="list-style-type: none"> • Parents of girls contacted and offered apology. • Incident investigated and acknowledgement by shift leader that a thorough check of all areas was not carried out. • Team members reminded of procedure and expectation to stay until the end of their rostered time. • Additional training provided on what areas to check before locking up.

<p><u>Serious hazard</u></p> <p>Suspected presence of Hydrogen Sulphide (H₂S) in the centrifuge building at Alexandra Wastewater Treatment Plant (WWTP).</p> <p>H₂S is a highly toxic, colourless gas which occurs at WWTPs.</p> <p>In July 2023 the contractor, Fulton Hogan (FH) requested a ventilation system to be installed in the room as it was considered that H₂S was a contributing factor to the corrosion/failures of electrical equipment.</p> <p>Previous testing for H₂S with personal gas detectors did not record any H₂S presence.</p>	<ul style="list-style-type: none"> • In response to hazard being reported, FH conducted more accurate testing which showed unsafe levels of H₂S. • H₂S can always be present at WWTP's at various levels. The difference with the WWTP in Alexandra is that the centrifuge room is enclosed which is different from other sites - lack of ventilation seem to be the main issue. • Short term control implemented is to have centrifuge room door open 24/7 to increase ventilation. • Until further notice there is no entry to be made to this room while we await further test results. • CODC is investigating procuring of fixed or personal gas detectors (to be worn by staff). • CODC also considering the request from FH to have a ventilation system installed at Alexandra WWTP centrifuge room.
<p><u>Serious near miss – contractor</u></p> <p>Timber which was fixed down on the roof of the main theatre building (in Alexandra town centre), was lifted in a severe gust of wind recorded at 102-113km per hour as reported by MetService.</p> <p>Work is being undertaken by Breen who was in control of the sites at the time.</p> <p>The gust of wind blew the 8 x 6 metre lengths onto the main road falling 7 metres with 4 of the sticks shattering on impact sending debris flying across the street and causing minor damage to a car nearby.</p> <p>No one was injured as there were no members of the public walking on the street at the time of the event – the event happened at 5pm on a weekday.</p>	<ul style="list-style-type: none"> • Investigation found that the timber was bundled together with cross timbers attached, and then fixed down through the roof to existing timber purlins with 150mm 10g screws - the screws have sheared off completely in the gust of wind. • The timber was blown through a full edge protection scaffolding over site fencing. • Breen shared the gale force wind alert amongst their site teams earlier in the day and the foreman went around site ensuring all material and equipment in work areas had been secured. • The conclusion was that Breen took all practicable steps to prevent timbers being blown off the roof. • The outcome could have been different if it happened earlier in the day when there are more pedestrians and other vehicles around.

Table 5. Notable incidents and associated action taken.

2.5 Critical risks

Graph 9 below shows the core risk or hazard associated with incident reports made during the reporting period. Aggressive behaviour or violence incidents have decreased (from 11 to 4) since the last reporting period and exposure to biological hazards has increased from 8 to 16.



Graph 9. Incident reports relating to critical risk areas compared to previous reporting periods.

Aggressive behaviour or violence (4), biological hazards (16), unsafe or failed work systems (4), lifting and manual handling (1), near miss (5), water (4).

2.6 Occupational health

2.6.1 Personal protective equipment (PPE)

Sun hats have been issued to employees who will be doing work outside during the summer.

2.7 Contractor management

2.7.1 Observations and inspections of contractor work

There has been an increase in number of site observations being completed – notably from the Solid Waste team.



Graph 10. Site observations and inspections completed: Capital projects (3), Solid Waste (7), Property (5)

2.8 Training and competency

Training area / course	This period
New staff inductions (inc. Aquatic Centres)	11
First aid certificates (new and refresher)	11

Table 6. Training register excerpt

2.8.1 Planned training

- Health and Safety Representative training at the end of November.

2.9 Wellbeing

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

EAP data covers the period May - Oct 2023. Five employees accessed the service during this period through a total of 11 sessions. Three employees required low level support (minimal impact on work) and two required medium level of support (some impact on work).

Only one employee utilised the service for a work-related matter namely job performance.

Other sessions focussed on non-work related issues including relationships, work/home balance and emotional health.

EAP Top Theme (Work-related)

Position	Work-related themes
1	Job satisfaction

Table 7. Work-related theme.

EAP Top 3 Themes (Personal)

Position	Personal themes (Top 3)
1	Relationships
2	Work/Home balance
3	Emotional health

Table 8. Personal themes (Top 3).

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

My Everyday Wellbeing

My Everyday Wellbeing online tools, resources and information support staff to build and maintain a healthy lifestyle.

Analytics from 1 April to 30 September showed that online resources are being utilised:

- Activation rate was 44% (industry benchmark is 30%)
- Average weekly email open rate was 50% (benchmark open rate is 15%)
- Average click through rate was 7% (industry average is 2%)

Recommended ideas for future engagement that Council will action:

- Further promote LIVE speaker series on various topics
- Actively encourage employees to share recipes, videos and articles with their families.

2.9.3 Scheduled activities

End of year Christmas event

Council will finish the year with an annual employee Christmas and Award function on 1 December and that will include various activities and games and an opportunity to bring everyone together to reflect on achievements over the year.

3. Attachments

Nil

Report author:

Reviewed and authorised by:



Hannes Strydom
Health, Safety and Wellbeing Advisor
13/11/2023

Louise Fleck
General Manager - People and Culture
29/11/2023

23.4.9 FINANCIAL REPORT FOR THE PERIOD ENDING 30 SEPTEMBER 2023**Doc ID: 1408287****1. Purpose**

To consider the financial performance for the period ending 30 September 2023.

Recommendations

That the report be received.

2. Discussion

The financial report is presented to the Committee as requested for awareness of the current financials.

I. Statement of Financial Performance for the period ending 30 September 2023

2023/24	3 MONTHS ENDING 30 SEPTEMBER 2023				2023/24
Annual Plan \$000		YTD Actual \$000	YTD Revised Budget \$000	YTD Variance \$000	Revised Budget \$000
	Income				
41,869	Rates	10,491	10,747	(256)	41,869
7,493	Govt Grants & Subsidies	2,701	1,873	828	7,493
8,100	User Fees & Other	1,613	2,025	(412)	8,100
10,589	Land Sales	1,371	2,647	(1,276)	10,589
2,510	Regulatory Fees	819	627	192	2,510
1,717	Development Contributions	1,663	429	1,234	1,717
500	Interest & Dividends	200	125	75	500
-	Reserves Contributions	272	-	272	-
-	Profit on Sale of Assets	300	-	300	-
1,139	Other Capital Contributions	236	369	(133)	1,139
73,917	Total Income	19,666	18,842	824	73,917
	Expenditure				
14,849	Staff	3,340	3,710	370	14,849
732	Members Remuneration	176	183	7	732
8,577	Contracts	2,156	2,144	(12)	8,577
3,336	Professional Fees	970	834	(136)	3,336
17,528	Depreciation	4,382	4,382	-	17,528
6,774	Costs of Sales	916	1,694	778	6,774
3,857	Refuse & Recycling Costs	546	964	418	3,857
1,958	Repairs & Maintenance	515	490	(25)	1,958
1,436	Electricity & Fuel	372	359	(13)	1,436
714	Grants	635	193	(442)	714
1,249	Technology Costs	283	335	52	1,249
299	Projects	59	75	16	299
688	Rates Expense	581	471	(110)	688

2023/24 Annual Plan \$000	3 MONTHS ENDING 30 SEPTEMBER 2023				2023/24 Revised Budget \$000
		YTD	YTD	YTD	
		Actual \$000	Revised Budget \$000	Variance \$000	
655	Insurance	224	164	(60)	655
1,452	Interest Expense	576	347	(229)	1,452
3,872	Other Costs	624	968	344	3,872
67,976	Total Expenses	16,355	17,313	958	67,976
5,941	Operating Surplus / (Deficit)	3,311	1,529	1,782	5,941

This table has rounding (+/- 1)

The financials for September 2023 show an overall favourable variance of \$1.782M.

Income of \$19.666M against the year-to-date budget of \$18.842M

Development and reserve contributions are higher than budget. This is predominately due to the timing of subdivisions in Cromwell and when the invoicing of contributions occurs. Grants and subsidies are ahead of budget. Grant funding has been carried forward from the prior year for the Alexandra River Park, Alexandra Community Centre, new organic bins and Better Off Funding projects. The Waka Kotahi subsidies are on track with a small unfavourable variance of (\$33k). User fees and charges are (\$412k) behind budget, due to the timing of metered water (\$643k). Land sales are behind budget. All land sales are complete for Dunstan Park stage 3 and there are currently no new subdivisions ready for sale.

Expenditure of \$16.355M against the year-to-date budget of \$17.313M

Expenditure has a favourable variance of \$958k. The main drivers behind this are cost of sales, refuse and recycling, staff and other costs. Offsetting this favourable variance are professional fees, grants, rates expense and interest expense. The rate expense variance is due to the timing of the budgets with all Central Otago District Council rates paid in July 2023 while the budget is split over 12 months. Interest expense is higher than budget due to higher than expected market interest rates.

II. Profit and Loss by Activity for the period ending 30 September 2023

ACTIVITY	INCOME			EXPENDITURE			SURPLUS/(DEFICIT)			
	Actuals \$000	Revised \$000	Variance \$000	Actuals \$000	Revised \$000	Variance \$000	Actuals \$000	Revised \$000	Variance \$000	
Infrastructure	1,897	429	1,468	37	-	(37)	1,860	429	1,431	●
Roading	3,277	3,022	255	3,564	3,282	(282)	(287)	(260)	(27)	●
Waste Management	1,966	1,671	295	941	1,654	713	1,025	17	1,008	●
Parks Reserves Recreation	2,174	1,847	327	2,294	1,896	(398)	(120)	(49)	(71)	●
Corporate Services	126	145	(19)	138	115	(23)	(12)	30	(42)	●
People and Culture	419	694	(275)	388	445	57	31	249	(218)	●
CEO	206	226	(20)	114	226	112	92	-	92	●
Property	3,297	4,521	(1,224)	2,627	3,299	672	670	1,222	(552)	●
Governance and Community Engagement	1,216	1,167	49	1,133	1,177	44	83	(10)	93	●
Planning (Regulatory)	1,845	1,653	192	1,393	1,700	307	452	(47)	499	●
Three Waters	2,745	3,456	(711)	3,723	3,515	(208)	(978)	(59)	(919)	●
Total*	19,666	18,842	824	16,355	17,313	958	3,311	1,529	1,782	●

This table has rounding (+/- 1)

* The funding activity has been removed as this is not an operational activity.

Abbreviation key for report

F = Favourable

U = Unfavourable

- **Infrastructure \$1.431M F** – Income has a favourable variance of \$1.468M. This is due to the timing of development contribution revenue. Cromwell and Clyde development contributions in water, roading and wastewater are higher than budgeted. Expenditure has an unfavourable variance of (\$37k). This is due to the amount of staff salaries allocated to capital projects.
- **Roading (\$27k) U** – Income has a favourable variance of \$255k. This is being driven by income received for a road stopping (Res 21.5.10) on Muttontown Road for the Clyde subdivision. Expenditure has an unfavourable variance of (\$282k). This is mainly due the timing of the roading maintenance work programme, this can fluctuate from the budget due to the work programme.
- **Waste Management \$1M F** – Income has a favourable variance of \$295k. This variance is being driven by grants and subsidies \$464k and other revenue (\$145k). The council received funding from the Ministry for the Environment for the rollout of the organic bins. Other revenue includes fees and charges for the transfer stations, these fluctuate based on transfer station users. Expenditure shows a favourable variance by \$713k. The council is working through the new waste management contract, which has delayed the billing process. This is being worked through and will be sorted in November/December 2023.
- **Parks and Recreation (\$71k) U** – Income has a favourable variance \$327k. This variance is being driven by subsidies and grants. Better Off Funding received for the Cromwell and Alexandra pools of \$213k and \$125k of Ministry of Business, Innovation and Employment for the Alexandra River Park. Expenditure has an unfavourable variance by (\$398k). The \$400k grant has been made to IceInLine for the roof. The budget for this is against capital budgets and will be moved to operating expenditure budgets as part of forecast budget adjustments.
- **Corporate Services (\$42k) U** – Income has an unfavourable variance of (\$19k). User fees and charges are lower than budget by (\$9k) and subsidies and grants (\$8k). User fees and other are being driven by income collected for final water meter readings, this income has

been re-allocated to the water cost centres to align with the expenditure. The variance for subsidies and grants is due to the timing of the Better Off Funding for the digitisation of rateable property files project. Expenditure shows an unfavourable variance of (\$23k). This is due to the insurance premium for the 2023/24 period of cover, with the remaining four months of the premium released in July 2023.

- **People and Culture (\$218k) U** – Income has an unfavourable variance of (\$275k). Subsidies and grants are behind budget. Better Off Funding is expected for the RFID Installation at the Libraries and the Alexandra library renovation. These projects have not started yet, and the funding will be received as the projects progress. Expenditure shows a favourable variance of \$57k. Driving this is the timing of Kōtui Library Services annual subscription of \$30k, with the remaining variance relating to other operating expenditure. The Kōtui Library Services payment has come through in October 2023.
- **CEO \$92k F** – Income has an unfavourable variance of (\$20k). Expenditure shows a favourable variance of \$112k. This variance is being driven by staff of \$86k, operating contracts of (\$39k) and professional fees \$52k. The operating contracts variance is due to the timing of the budget split and the Aukaha partnership agreement full year payment made in September 2023.
- **Property (\$552) U** – Income shows an unfavourable variance of (\$1.224M). This is mainly due to the timing of land sales. Dunstan subdivision stage 3 land sales are now completed with no new subdivisions ready for sale. Expenditure has a favourable variance of \$672k. This is due to cost of sales which relate to the timing of subdivisions. Cost of sales are being finalised for Dunstan Park stage 3.
- **Governance and Community Engagement \$93k F** – Income has a favourable variance of \$49k. Main drivers include subsidies and grants \$17k and other revenue \$33k. Other revenue is higher than budget due to a contribution received for the Collaborative Trails marketing project. Expenditure has a favourable variance of \$44k. This is due the timing of tourism Central Otago marketing campaign expenditure.
- **Planning (Regulatory) \$499k F** – Income has a favourable variance of \$192k. This is due to majority of dog registration fees being received in July 2022 to cover the entire 12-month period. Expenditure has a favourable variance of \$307k. This is primarily due to professional fees of \$137k and staff of \$147k.
- **Three Waters (\$919k) U** – Income has an unfavourable variance of (\$711k). This is predominately due to the timing of metered water sales (\$643k) and the budget alignment. The next meter reads are due in November and December 2023. Expenditure has an unfavourable variance of (\$208k). Interest expense is higher than the Annual Plan as market interest rates are higher than planned.

III. Capital Expenditure

Year-to-date, 16% of the total capital spend against the full year's revised capital budget, has been expensed. Carry forward capital works project budgets from 2022/23 are still being worked through. Those projects that had started in the previous year are continuing. The carry forward budgets will be presented to the Council towards the end of the calendar year.

2023/24 Annual Plan \$000	CAPITAL EXPENDITURE	YTD Actual \$000	YTD Revised Budget \$000	YTD Variance \$000		2023/24 Revised Budget \$000	Progress to date against revised budget
2,123	Better Off Funding DIA	364	531	167	●	2,123	17%
17,140	Council Property and Facilities	1,001	4,285	3,284	●	17,140	6%
50	Customer Services and Administration	5	13	8	●	50	9%
326	Vehicle Fleet	53	81	28	●	326	16%
201	Information Services	150	50	(100)	●	201	75%
164	Libraries	42	41	(1)	●	164	25%
1,841	Parks and Recreation	320	460	140	●	1,841	17%
58	Planning	-	15	15	●	58	0%
5,020	Roading	1,150	1,255	105	●	5,020	23%
12,172	Three Waters	2,963	3,043	80	●	12,172	24%
-	Waste Management	400	-	(400)	●	-	0%
39,094	Grand Total	6,447	9,774	3,326		39,094	16%

This table has rounding (+/- 1)

Better Off Funding DIA \$167k F – The Alexandra and Cromwell pool liner projects have started along with the digitisation of rateable property files. Grant funding from the Department of Internal Affairs is uplifted as milestones are met.

Council Property and Facilities \$3.284M F – The William Fraser building bathroom project has been completed. The Cromwell Memorial Hall project is approaching the completion of the design and is currently undertaking contractor procurement and preparing for demolition and construction in 2024. The Cromwell Town Centre project is in the preliminary concept stage. The Alexandra Community Centre earthquake strengthening project has started with detailed designed and building consent being prepared.

Vehicle Fleet \$28k F – Vehicle renewals and purchases are under budget. The vehicle renewals programme is being assessed before renewals begin.

Information Services (\$100k) U – Information service projects are ahead of budget, projects are continuing from the prior year and are waiting for the carry forward budgets to be completed. Projects include geographic information systems \$24k, financial performance improvement (\$47k), enhanced customer enterprise digital services (\$12k) and information and records management (\$62k).

Libraries (\$1k) U – The Alexandra library building upgrade budget is to be carried forward from the prior year. At present the library book renewals are aligned with budget.

Parks and Recreation \$140k F – This is driven by a mixture of the timing of project budgets, work programmes and contractors' availability to perform the work. Parks and reserves have a favourable variance by \$126k, with major projects including Alexandra town centre \$80k, Anderson Park \$22k, Omakau recreational reserve \$44k, Pioneer Park (\$71k) and Cromwell reserves \$35k. Electrical work was carried out at Pioneer Park after a review of the electricity network was carried out and advised that the infrastructure needing to be upgrades (VCB resolution 23.6.3). Cemeteries has an unfavourable variance of (\$3k). The Alexandra cemetery landscaping and planting project progressed over the winter and into the new financial year. Swimming pools has a favourable variance of \$7k, including Cromwell Pool (\$10k) and Alexandra Pool \$17k.

Planning \$15k F – The dog registration software project has not yet started.

Roading \$105k F – This is due to the timing of the work programme and budget. Roothing projects includes drainage renewal roading \$20k, grave road renewals \$437k, minor improvements (\$746k), sealed road renewals \$291k, structures renewals \$112k, district wide footpath renewals (\$37k) and carpark renewals \$50k. Minor improvements includes the Clyde Heritage precinct project which has been continued from 2022/23 and the budget will be carried forward.

Three Waters \$80k F – This is predominately due to timing of construction works, these can be ahead of budget or behind due to the work programme. Carry forward budgets are being prepared. The main driver to this variance includes stormwater improvement (\$459k), stormwater renewals \$68k, wastewater improvements (\$26k), wastewater renewals \$28k, water supply improvements \$878k and water supply renewals (\$408k).

Waste Management (\$400k) U – The green waste processing project along with the Cromwell transfer station upgrade project are progressing with budgets being carried forward from 2022/23.

IV. Accounts Receivable

As at 30 September 2023, Council has \$213.6k outstanding in accounts receivable greater than 90 days. The key contributors over \$5k include:

- Resource consents of \$158k for 5 debtors
- Building Consents of \$5.5k for a debtor
- Other of \$5.6k for a debtor

Type of Debtor	Current	30 Days	60 Days	> 90 Days
Other	\$ 6,344	\$ 74,557	\$ 88,107	\$ 29,007
Building Consents	\$ 24,531	\$ 10,721	\$ 420	\$ 13,474
Resource Consents	\$ 131,140	\$ 1,019,445	\$ 9,732	\$ 171,141
TOTAL	162,015	1,104,722	98,259	213,622

Type of Debtor	Sep-23	Aug-23	Jul-23	Sep-22
Other	\$ 198,015	\$ 235,926	\$ 679,636	\$ 624,959
Building Consents	\$ 49,145	\$ 31,277	\$ 56,291	\$ 104,248
Resource Consents	\$ 1,331,457	\$ 1,301,802	\$ 935,764	\$ 237,973
TOTAL	1,578,618	1,569,005	1,671,692	\$ 967,180

Debt is actively managed and monitored and if a debtor is past council's three-month threshold, their information is sent to our debt collection agency, Receivables Management Limited.

V. Internal Loans

Forecast closing balance for 30 June 2024 is \$4.32M.

OWED BY	Original Loan	1 July 2023 Opening Balance	30 June 2024 Forecast Closing Balance
Public Toilets	670,000	443,899	418,752
Tarbert St Bldg	25,868	10,019	8,400
Alex Town Centre	571,418	229,971	194,949
Centennial Milkbar	47,821	14,973	11,621
Pioneer Store Naseby	21,589	8,213	6,760
Water	867,000	663,496	634,634
ANZ Bank Seismic Strengthening	180,000	137,750	131,758
Molyneux Pool	650,000	531,150	498,650
Maniototo Hospital	1,873,000	1,670,314	1,615,133
Alexandra Airport	218,000	189,135	180,720
Roxburgh Community Pool Upgrade	250,000	241,384	232,446
Molyneux Pool - Iceinline Roof Upgrade	400,000	400,000	386,215
Total	5,774,695	4,540,304	4,320,038

This table has rounding (+/- 1)

VI. External Loans

The total amount of external loans at the beginning of the financial year 2023-24 was \$76k. As at 30 September 2023, the outstanding balance was \$61k. Council has received \$15k in principal payments and \$1k in interest payments.

Owed By	Original Loan	1 July 2023 Actual Opening Balance	Principal	Interest	30 September 2023 Actual Closing Balance
Cromwell College	400,000	57,807	9,732	796	48,075
Maniototo Curling	160,000	7,459	3,727	77	3,729
Oturehua Water	46,471	10,771	1,566	134	9,205
	606,471	76,037	15,025	1,007	61,009

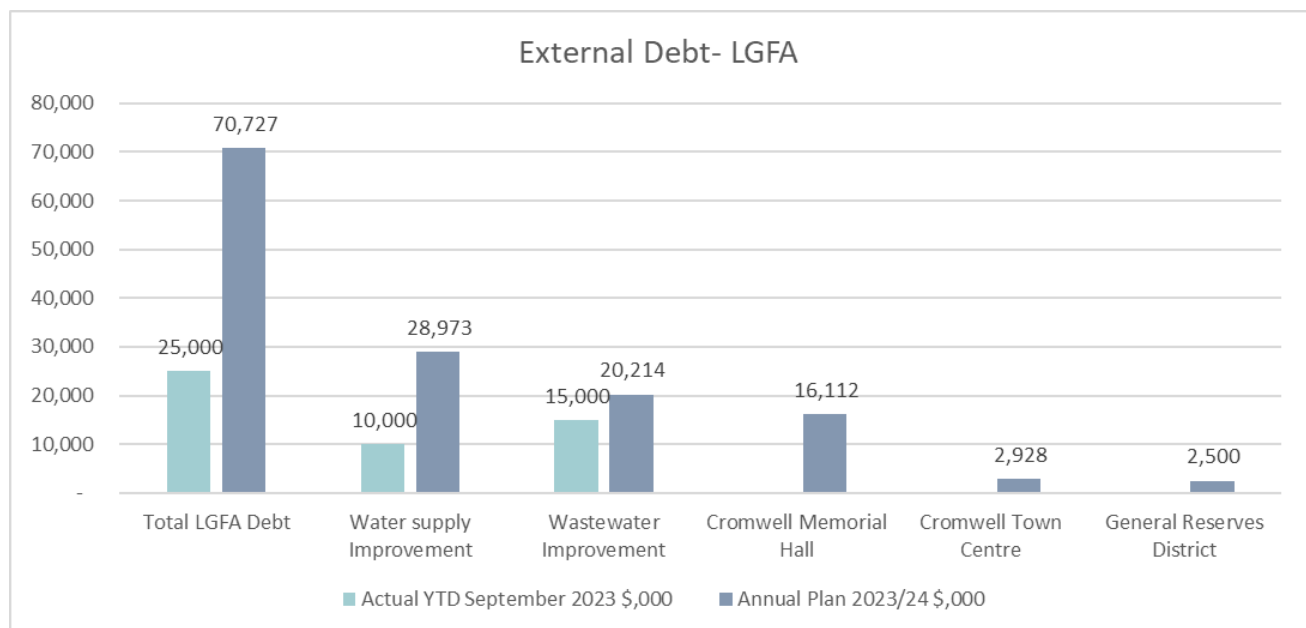
This table has rounding (+/- 1)

VII. Investment

As at 30 September 2023, Council had cash balances of \$6M and term deposits of \$10M. To reduce the interest impact on external debt borrowing, projects are being managed through cashflows. This does mean that while there is less than planned external debt, that there are limited cashflows to lock into term deposits.

VIII External Debt

The total of external debt is \$25M with a planned external debt of \$70.7M at the end of this financial year. External debt is managed using operating cashflows to reduce the impact from interest rates. Debt is currently being uplifted in the three waters area.



Reserve Funds table

- As at 30 June 2023 the Council had an unaudited closing reserve funds balance of \$11.016M. This reflects the whole district's reserves and factors in the district-wide reserves which are in deficit at (\$24.69M). Refer to Appendix 1.

3. Attachments

Appendix 1 - Unaudited Council Reserves Table 2022-23 [↓](#)

Report author:



Donna McKewen
Accountant
29/11/2023

Reviewed and authorised by:



Saskia Righarts
Group Manager - Business Support
29/11/2023

UNAUDITED - 2022/23 Annual Report

Statement of	Opening Balance	Transfers In	Transfers Out	Closing Balance
Reserve Movements	2022/23	2022/23	2022/23	2022/23
	\$000	\$000	\$000	\$000
GENERAL RESERVES				
General Reserves	1,476,183	3,468,632	(4,977,928)	(33,114)
Uniform Annual General Charge Reserves	152,263	149,997	(5,288)	296,972
Total General Reserves	1,628,446	3,618,628	(4,983,216)	263,858
TARGETED RESERVES				
Planning and Environment Rate	2,726,348	445,824	(138,182)	3,033,990
Economic Development Rate	-	-	-	-
Tracks and Waterways Charge	556,705	31,763	(12,308)	576,160
Tourism Rate	459,336	40,392	(188,395)	311,333
Waste Management and Collection Charge	(3,007,428)	92,953	(515,575)	(3,430,049)
District Library Charge	104,663	37,765	(75,112)	67,316
Molyneux Park Charge	(82,859)	78,288	-	(4,571)
District Works and Public Toilets Rate	4,247,908	2,499,402	(248,093)	6,499,218
District Water Supply	(16,601,476)	17,626,353	(19,309,847)	(18,284,970)
District Wastewater	(18,176,723)	21,922,957	(17,683,854)	(13,937,621)
Total Targeted Reserves	(29,773,527)	42,775,698	(38,171,366)	(25,169,194)
Specific and Other Reserves	329,132	20,786	(144,408)	205,510
Total Specific and Other Reserves	329,132	20,786	(144,408)	205,510
WARD TARGETED RESERVES				
Vincent Community Board Reserves				
Vincent Promotion Rate	-	-	-	-
Vincent Recreation and Culture Charge	(859,959)	118,652	(843,657)	(1,584,964)
Vincent Ward Services Rate	5,068,570	2,543,799	(169,178)	7,443,191
Vincent Ward Services Charge	53,731	-	(59,698)	(5,967)
Vincent Ward Specific Reserves	1,209,650	75,230	(4,073)	1,280,806
Vincent Ward Development Fund	665,424	105,362	-	770,786
Alex Town Centre Upgrade	(157,130)	516	(49,144)	(205,758)
Total Vincent Community Board Reserves	5,980,286	2,843,559	(1,125,750)	7,698,095
Cromwell Community Board Reserves				
Cromwell Promotion Rate	-	-	-	-
Cromwell Recreation and Culture Charge	(1,328,402)	87,964	(2,472,041)	(3,712,479)
Cromwell Ward Services Rate	19,291,900	9,377,748	(896,608)	27,773,040
Cromwell Ward Services Charge	15,554	65	(14,005)	1,614
Cromwell Ward Specific Reserves	(317,344)	19,692	(20,578)	(318,229)
Cromwell Ward Development Fund	1,898,343	496,581	(104,243)	2,290,681
Total Cromwell Community Board Reserves	19,560,051	9,982,050	(3,507,475)	26,034,626
Maniototo Community Board Reserves				
Maniototo Promotion Rate	-	-	-	-
Maniototo Recreation and Culture Charge	707,209	144,576	(137,813)	713,972
Maniototo Ward Services Rate	1,998	326,943	(491,411)	(162,470)
Maniototo Ward Services Charge	104,796	7,971	(89,888)	22,878
Maniototo Ward Specific Reserves	252,713	20,399	-	273,112
Maniototo Ward Development Fund	-	-	-	-
Total Maniototo Community Board Reserves	1,066,716	499,889	(719,112)	847,492
Teviot Valley Community Board Reserves				
Teviot Valley Promotion	14,566	2,422	-	16,988
Teviot Valley Recreation and Culture	351,987	53,820	(252,623)	153,185
Teviot Ward Services Rate	1,020,819	97,193	(266,266)	851,746
Teviot Ward Services Charge	-	-	-	-
Teviot Ward Specific Reserves	(1)	-	(169)	(171)
Teviot Ward Development Fund	101,567	15,897	(3,229)	114,235
Total Teviot Valley Community Board Reserves	1,488,937	169,333	(522,287)	1,135,983
Total Reserves	280,040	59,909,943	(49,173,614)	11,016,370

6 CHAIR'S REPORT

23.4.10 CHAIR'S REPORT

Doc ID: 1407981

1. Purpose

To consider the Chair's report.

Recommendations

That the report be received.

2. Attachments

Nil

7 MEMBERS' REPORTS

23.4.11 MEMBERS' REPORTS

Doc ID: 1407991

1. Purpose

To consider the members' reports.

Recommendations

That the reports be received.

2. Attachments

Nil

8 STATUS REPORTS

23.4.12 DECEMBER 2023 GOVERNANCE REPORT

Doc ID: 1407100

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).

3. Attachments

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

Report author:

Reviewed and authorised by:



Wayne McEnteer
Governance Manager
27/11/2023

Saskia Righarts
Group Manager - Business Support
27/11/2023

Status Updates		Committee: Audit and Risk Committee			
Meeting	Report Title	Resolution No	Resolution	Officer	Status
29/09/2023	Revised Risk Management Policy	23.3.4	That the Audit and Risk Committee A. Receives the report and accepts the level of significance. B. Recommends to Council the adoption of the revised Risk Management Policy subject to amendments.	Risk and Procurement Manager	02 Nov 2023 Revised policy has been adopted by Council. MATTER CLOSED 05 Oct 2023 Action memo sent to staff.
29/09/2023	Revised Procurement Policy	23.3.5	That the Audit and Risk Committee A. Receives the report and accepts the level of significance. B. Recommends to Council that the revised Procurement Policy be adopted subject to amendments.	Risk and Procurement Manager	02 Nov 2023 Revised policy has been adopted by Council. MATTER CLOSED 05 Oct 2023 Action memo sent to staff.

9 DATE OF THE NEXT MEETING

The date of the next scheduled meeting is 8 March 2024.

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	Ground(s) under section 48 for the passing of this resolution
Confidential Minutes of Ordinary Committee Meeting	s7(2)(g) - the withholding of the information is necessary to maintain legal professional privilege s7(2)(i) - the withholding of the information is necessary to enable Council to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations) 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	s48(1)(a)(i) - the public conduct of the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding would exist under section 6 or section 7
23.4.13 - 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	s48(1)(a)(i) - the public conduct of the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding would exist under section 6 or section 7
23.4.14 - Key Risk Register 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	s48(1)(a)(i) - the public conduct of the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding would exist under section 6 or section 7
23.4.15 - Litigation Register	s7(2)(g) - the withholding of the information is necessary to maintain legal professional privilege	s48(1)(a)(i) - the public conduct of the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding would exist under section 6 or section 7
23.4.16 - December 2023 Confidential Governance Report	s7(2)(i) - the withholding of the information is necessary to enable Council to carry on, without prejudice or	s48(1)(a)(i) - the public conduct of the relevant part of the proceedings of the meeting would be likely to result in the

	disadvantage, negotiations (including commercial and industrial negotiations)	disclosure of information for which good reason for withholding would exist under section 6 or section 7
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