

Agenda for a meeting of the Risk & Assurance Committee of the Waikato District Council to be held in Committee Room 1 & 2, 15 Galileo Street, Ngaaruawaahia on **TUESDAY, 26 MARCH** commencing at **9.30am**.

The meeting will open with a Karakia.

1. APOLOGIES AND LEAVE OF ABSENCE

2. CONFIRMATION OF STATUS OF AGENDA

Representatives from Audit New Zealand will be in attendance.

3. DISCLOSURES OF INTEREST

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8. REPORTS FOR INFORMATION

The following reports will be taken as read:

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The meeting will close with a Karakia.

A Risk & Assurance Zero Harm Site Visit will take place following the meeting at the Raglan Camp Ground (Papahua Reserve).

GJ Ion
CHIEF EXECUTIVE

TERMS OF REFERENCE AND DELEGATION

| | |
|---------------------|--|
| Reports to: | The Council |
| Chairperson: | External appointee – Mr Peter Stubbs |
| Membership: | Deputy Chairperson – Cr Janet Gibb Mayor Jacqui Church (<i>ex officio</i>) Deputy Mayor Carolyn Eyre Cr Marlene Raumatī Cr Peter Thomson |

Meeting frequency: As required – no less than four times each year.

Quorum: Four members

Purpose:

The Risk and Assurance Committee is responsible for:

1. Considering and reviewing the adequacy of Council's risk management and internal control frameworks.
2. Monitoring and seeking assurance on the functioning of Council's risk management and internal control frameworks (including systems and processes).
3. Managing the independent auditor (internal and external) expectations and relationships.

Terms of Reference:

To achieve the above purpose the Audit and Risk Committee will:

1. Annually review council's risk management framework to ensure it is effective
2. Ensure the strategic risk register is current and relevant
3. Ensure Council has an effective internal control framework to identify and manage business risk (at the risk portfolio level)
4. Review Council's insurance programme for adequacy of risk mitigation
5. Review the effectiveness of Council's business continuity and disaster recovery planning and testing arrangements
6. Ensure Council has an effective framework in place to prevent, detect and investigate fraud-related issues
7. Ensure Council has an effective Health and Safety/Zero Harm framework in place to prevent, detect and investigate safety-related issues
8. Review the internal audit framework to ensure that appropriate organisational structures, authority, access, and reporting arrangements are in place
9. Approve the annual internal and external audit programme and related plans
10. Consider Council's annual report from a risk perspective, and subject to audit clearance, make recommendations to Council regarding adoption

11. Review audit reports (internal and external) and monitor management's implementation of audit recommendations
12. Keep Council informed on significant risk or audit issues raised and proposed actions
13. Meet regularly with independent auditors to gain assurance on the risk frameworks and the management of them

The Committee is delegated the following recommendatory powers:

1. The committee has no decision-making powers.
2. The committee may make recommendations to the Council and/or the Chief Executive
3. The committee may conduct and monitor special investigations in accordance with Council policy and approved budget, including engaging expert assistance, on matters within its terms of reference.

Administrative arrangements:

Meetings

The committee will meet at least four times each year. An extraordinary meeting may be called to review the annual report. The chairperson is required to call a meeting if requested to do so by the Council, or the Chief Executive.

A meeting plan, including dates and agenda items, will be agreed by the committee each year. The meeting plan will cover all the committee's responsibilities as detailed in these Terms of Reference.

For clarity, the Council's Standing Orders and Code of Conduct will apply to committee meetings and members.

Membership

Members are appointed for an initial term of no more than the three years that aligns with the triennial elections, after which they may be eligible for extension or reappointment.

The Council appoints external members of the committee; the terms of the appointment are to be recorded in a contract.

Attendance at meetings

Meetings can be held in person, by telephone, or by video conference in accordance with Standing Orders.

The Chief Executive, Executive Leadership Team members, and external audit representatives will be invited to attend each meeting, unless requested not to do so by the chairperson of the committee. The committee may also ask other Council employees, or other suitably qualified persons with interest or expertise in special topics, to attend committee meetings or participate for certain agenda items.

The committee will meet separately with both the internal and external auditors at least once a year.

Reporting

The committee will regularly, and at least once a year, report to the Council on its operation and activities during the year.

The report should include:

- a summary of the work the committee performed to fully discharge its responsibilities during the preceding year; and
- a summary of the Waikato District Council's progress in addressing the findings and recommendations made in internal and external audit reports, and the Auditor-General's reports (if applicable).

The committee may, at any time, report to the Chief Executive or the Council on any other matter it deems of sufficient importance to do so. In addition, at any time an individual committee member may request a meeting with the Chief Executive or the Council.

Assessment arrangements

The chairperson of the committee will initiate a review of the performance of the committee at least once every two years and present it to the Council. This will support the committee's philosophy of continuous improvement.

Review of Terms of Reference

The committee will review its Terms of Reference at least once a year. This review will include consultation with the Council.

Any substantive changes to the Terms of Reference will be recommended for approval by the committee to the Council.

| | |
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| To | Risk & Assurance Committee |
| Report title | Confirmation of Minutes |
| Date: | Friday, 8 March 2024 |
| Report Author: | Elizabeth Saunders, Senior Democracy Advisor |
| Authorised by: | Gaylene Kanawa, Democracy Manager |

1. Purpose of the report

Te Take moo te puurongo

To confirm the minutes for meetings of the Risk & Assurance Committee held on Monday, 11 December 2023.

2. Staff recommendations

Tuutohu-aa-kaimahi

THAT the Risk & Assurance Committee confirms the minutes as a true and correct record for a meeting held on Monday, 11 December 2023.

3. Attachments

Ngaa taapirihanga

Attachment 1 – R&A Minutes – 11 December 2023

Minutes for a meeting of the Risk & Assurance Committee of the Waikato District Council to be held in Council Chambers Galileo Street, Ngaaruawaahia on **MONDAY, 11 DECEMBER 2023** commencing at **9.30am**.

Present:

Mr P Stubbs (Chairperson)
Cr J Gibb (Deputy Chairperson)
Her Worship the Mayor, Mrs JA Church
Cr C Eyre
Cr P Thomson

Attending:

Mr G Ion (Chief Executive Officer)
Mr T Whittaker (Chief Operating Officer)
Ms A Diaz (Chief Financial Officer)
Mr K Abbott (Executive Manager, Projects & Innovation)
Mr G King (Chief Information Officer)
Mrs L Shirley (Zero Harm Manager) – *from 10.03am*
Ms K Newell (Resilience Manager)
Ms T McDowell (Senior Audit & Assurance Advisor)
Mr Gopikrishna Mohanarangam (Senior Risk Advisor) – via zoom

Ms E Saunders (Senior Democracy Advisor)

The meeting was opened with a karakia.

APOLOGIES AND LEAVE OF ABSENCE

Resolved: (Mr Stubbs/Cr P Thomson)

That the Risk & Assurance Committee accepts the apologies from:

- a. Cr M Raumati and Audit New Zealand for non-attendance.

CARRIED

R&A2312/01

CONFIRMATION OF STATUS OF AGENDA

Resolved: (Mr Stubbs/Cr Gibb)

THAT the agenda for a meeting of the Risk & Assurance Committee held on Monday, 11 December 2023 be confirmed:

- a. all items therein be considered in open meeting, with the exception of those items detailed at agenda item 8 which shall be discussed with the public excluded; and
- b. all reports be received.

CARRIED

R&A2312/02

DISCLOSURES OF INTEREST

There were no disclosures of interest.

CONFIRMATION OF MINUTES

Resolved: (Mr Stubbs/Cr Eyre)

THAT the Risk & Assurance Committee confirms the minutes as a true and correct record for meetings held on:

- i. Thursday, 31 August 2023; and
- ii. Wednesday, 27 September 2023.

with the following amendments required:

- *Cr P Thomson was an apology on Thursday, 31 August and needs to be removed from the attending list; and*
- *In March 2024 a verbal update is required from the Chief Financial Officer for Audit NZ.*

CARRIED

R&A2312/03

ACTIONS REGISTER

The report was received [R&A23/2/02 refers] and the following discussion was held:

- The Zero Harm site visit has been swapped around and Papahua Reserve will be visited in early 2024.
- An update on the Animal Control Team and Comply with Legal Compliance Survey was provided.
- Action Item 1: The action plan for the Communications strategy needs to be added to the plan on Page 100.
- It was noted that in regards to the Communications strategy we are not as far ahead as we thought we would be at this stage however a workshop with elected members occurred two weeks ago and staff engagement kicked off last week.

REPORTS

Chief Financial Officer Report Agenda Item 6.1

The report was received [R&A23/2/02 refers], and the following discussion was held:

- Since the report was written it was noted that more details have been provided by the new Government; particularly in the Resource Management Act (RMA) space.
- A brief overview of the report was provided by the Chief Financial Officer with updates from the new Government and the impacts on the current legislation. There are a few challenges ahead with the repeal of the Three Waters Reform and other legislative changes. It was noted that the RMA legislation is of higher importance for the incoming government at this stage rather than the Three Waters.
- It was queried what the removal of co-governance from the delivery of public services mean? It was confirmed that this wording is direct from the incoming government and taken from the writing of the coalition agreement so can only guess at this stage what this may mean.
- It was queried what scenario planning is in place over the next three months with the legislative changes coming in the first 100 days? It was noted that the Three Waters reform is a huge space and there will no doubt be a whole lot of information coming from the Government. What this is going to look like going forward has not yet been confirmed but it is expected that some of the ideas to be put forward have already been tried (with the creation of Council Controlled Organisations (CCOs) being one of them).

- A brief discussion on the potential creation of CCO's took place, including the fact they should have their own balance sheets for borrowing against and their debts should not be consolidated into the accounts of their shareholders. It was noted by the Chief Executive, however that there is no legislation that appears to be coming to that effect. All Council know for sure at this stage is that repeal is coming.
- It was confirmed by the Chief Financial Officer that Three Waters are indeed going to be included in the Long Term Plan (LTP) in 2024.
- It was noted that City vs Rural/Provincial policy implications could become tense with the focus being on City rather than Rural and Provincial areas however it was noted that those conversations are underway.

Strategic Risk Register & Emerging Risks Agenda Item 6.2

The report was received [R&A23/2/02 refers], and the following discussion was held:

- It was noted by the Chairperson that he had a number of questions in relation to the paper but they will catch up at another time convenient to both in the new year.
- A query was raised by the Chairperson in relation to Project Delivery as it is noted in the paper that "90% of the 2023/24 work programme is planned for delivery which provides assurance for delivery this year". It was confirmed by the Executive Manager, Projects & Innovation that the forecast is for 90% spend against the budget with mitigations to try and increase that. It was further noted that this is a remarkable turnaround from the report on Page 114.
- It was further noted that the delivery of these projects are predicated on more than the weather, it is also based on the fact that we have things to market and secured with the contractors. The 90% of the budget is based on \$110M and it includes carry forwards. –
- A brief discussion was held in relation to Cyber Security and encryption models and it was noted that no Information Technology investments are made in Council without input from the Chief Information Officer. It was further noted that there is active collaboration in place across Councils especially those using the TechOne platform.
- It was noted in relation to a query regarding revenue generated through the processing of Building Consent Applications that revenue is not associated with the number of consents but the value of the build.

Risk Management Framework Review Agenda Item 6.3

The report was received [R&A23/2/02 refers], and the following discussion was held:

- The framework is in the work-programme for next year.
- It was noted that considering our Risk Management Framework is based on the ISO framework it has good foundations.

Workplace Culture and Recruitment & Retention – Deep Dive
Agenda Item 6.4

The report was received [R&A23/2/02 refers], and the following discussion was held:

- The People & Capability Manager spoke to the report and gave a brief overview of the recruitment happening throughout Council. It was noted that there is some good feedback coming in from staff.
- It was noted that the churn rate of retention is tracking at just under 20% which is higher than Council would like.
- It was noted that the accessibility strategy is included in legislation and incorporated into Councils Diversity, Equity and Inclusion policy. It was further noted that just under 80% of staff completed the staff survey and about 75-80% of staff take part in an Exit Survey.
- There was some confusion as to whether the People & Capability team are indeed fully staffed as the paper references two roles that critical and not filled yet it also states three times that the team are fully staffed? It was noted that we need to be clear in our reports moving forward that if there are also external factors that are impacting on performance or progress that we capture this. We need to be clear that we have done everything possible in our power but there are external forces that could still impact our progress.
- More generally the Chairperson requested that all future Deep Dive reports should use the Strategic Risk Control Plan tool as a base and add a statement of measures being used to assess progress, a statement of impact to date and a forecast of expected impact between the date of the paper and the next update.

The meeting adjourned at 10.57am for morning tea and resumed at 11:07am.

Internal Audit Framework & Programme Update
Agenda Item 6.5

The report was received [R&A23/2/02 refers] and no further discussion was held, however the Chairperson has a number of questions which he will discuss with the Senior Risk Advisor upon the Advisor's return to the country..

Zero Harm Update – December 2023

Agenda Item 6.6

The report was received [R&A23/2/02 refers], and the following discussion was held:

- It was noted that in regards to the 2023/24 Strategic Plan on page 85 that even though these are reviewed monthly they are only updated at the end of the quarter. It was further noted by the Committee that it would be helpful to have provisional colouring included in the table to show the progress throughout the year.
- It was confirmed that in relation to the Site Lockdown procedures that there is a Parent Process for all Council sites but this is being worked on to ensure all sites have their own specific process. It was further noted that the Ngaaruawaahia Office is the largest and most complex site and this is also being worked on.
- It was confirmed that Work Safe Home Safe week for 2024 is scheduled for February.
- It was noted that there is great work happening in the Animal Control team space and it was queried whether is there an opportunity to take this to another level? It was noted by the Zero Harm Manager that they could look at collaborating with other Councils to see what their procedures are or what they would do in different scenarios.
- A brief discussion was had in relation to the On Road Driving section on page 84 and what impacts the implementation of Electronic Vehicles have on the fleet.

Final Audit Report for Year Ended 30 June 2023

Agenda Item 7.1

The report was received [R&A23/2/02 refers], and the following discussion was held:

- It was noted that the Office of Auditor General has been criticised in the last year for the amount of audit fees that have been charged. The Chief Financial Officer (CFO) will report back on the outcome of the open book exercise promised by Audit NZ at the end of the audit.
- It was noted that the Council procedure of revaluing assets on an annual basis has served this Council well to date as it allows Council to stay in sync with costings.
- It was noted that the process of asset valuation is verified by Land Development Engineers and Building Inspectors and the General Manager of Service Delivery spoke to the depreciation process.
- IT Change Management: It was noted by the Chief Information Officer that Council are in the process of appointing a Change Manager and getting a formal change management process in place.

Quality & Governance Assurance Update
Agenda Item 8.1

The report was received [*R&A2312/02 refers*], and the following discussion was held:

- The external audit of the Zero Harm Safety Management System status outcomes are included in the Waikato District Council Zero Harm Update included in this Committee meeting agenda.
- It was noted in response to a query raised by Her Worship the Mayor, Mrs JA Church that a Purchase Order audit was undertaken a month ago within Council.
- A query was raised in relation to the Policy Reviews on Page 112 of the agenda – do we know which policies are under review and how many are out of date? It was noted by the Executive Manager, Projects & Innovation that information will be provided offline.

ACTION: The Executive Manager, Projects & Innovation is to provide further information offline to the Chairperson on Policy Reviews statistics.

- It was queried whether all projects, Memorandum of Understandings (MOUs) or Contracts go through the Legal team before signing? It was confirmed that yes they do go through Legal first however it also noted that Council have all sorts of different agreements with other parties throughout the business. It was confirmed that there is not an integrated process across all agreements in the business and the General Manager of Service Delivery spoke further to this and provided clarification for the Committee.

ACTION: The Projects & Innovation team to provide further information to the Committee around different arrangements and agreements that Council have in the business and how these are dealt with. This is also to be included in the 2024 Work Programme.

Copy of Infrastructure Report – Capital Project Delivery Portfolio Update
Agenda Item 8.2

The report was received [*R&A23012/02 refers*], and it was noted that the report included in the agenda is over six weeks old and a more current report will be required.

Copy of Performance & Strategy Report – Long Term Plan Update December 2023
Agenda Item 8.3

The report was received [*R&A23012/02 refers*], and the following discussion was held:

- It was confirmed that the draft consultation paper will be seen by the Performance & Strategy Committee in and possibly adopted in mid-late March 2024.
- A brief discussion was held around the Audit NZ timeframes and whether their approval is or is not required.

Future Work Plan Update

Agenda Item 8.4

The report was received [R&A23012/02 refers], and no further discussion was held.

Register of Interests – Elected & Appointed Members

Agenda Item 8.5

The report was received [R&A2312/02 refers], and no further discussion was held.

EXCLUSION OF THE PUBLIC

Resolved: (Her Worship the Mayor, Mrs JA Church/Cr Gibb)

THAT the Risk & Assurance Committee exclude the public from the following parts of the proceedings of this meeting.

- a. **The general subject of each matter to be considered while the public is excluded, the reason for passing this resolution in relation to each matter, and the specific grounds under section 48(1) of the Local Government Official Information and Meetings Act 1987 for the passing of this resolution 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(1) for the passing of this resolution |
|--|--|---|
| Item number PEX 2 Confirmation of Minutes Item PEX 3.1 Fraud Declaration Item PEX 3.2 Register of Interests - Senior Staff Item PEX 3.3 Audit NZ Time with Committee Item PEX 3.4 Legal Compliance Survey Results | Good reason to withhold exists under Section 6 or Section 7 Local Government Official Information and Meetings Act 1987 | Section 48(1)(a) |

This resolution is made in reliance on section 48(1)(a) of the Local Government Official Information and Meetings Act 1987 and the particular interest or interests protected by Section 6 or Section 7 of that Act which would be prejudiced by the holding of the whole or relevant part of the proceedings of the meeting in public, as follows:

| | |
|---------------------|---|
| To | Rick and Assurance Committee |
| Report title | Actions Register – March 2024 |
| Date: | 26 March 2024 |
| Report Author: | Tony Whittaker |
| Authorised by: | Tony Whittaker, Chief Operating Officer |

1. Purpose of the report

Te Take moo te puurongo

To update the Risk and Assurance Committee on the actions arising from the previous meeting.

2. Staff recommendations

Tuutohu-aa-kaimahi

THAT the Actions Register for March 2024 be received.

3. Attachments

Ngaa taapirihanga

Attachment 1 – Risk and Assurance Committee Actions Register March 2024.

Risk & Assurance Committee: Action Register – March 2024

| # | Action | Owner | Date Assigned | Date Due | Status |
|----|--|--|---------------|------------|---|
| 1 | Communications and Community Engagement Risk update to include demonstration of how impact will be measured. | Chief Operating Officer | June 2023 | March 2024 | Noted. Action plan and measures included in the Strategic Risk Register and Emerging Risks Report. |
| 5 | Future Plan Update – Site Visit schedule to be prepared. | Chief Operating Officer | August 2023 | March 2024 | Complete. Raglan Camp, Huntly Recycling Facility and Council Pools included in 2024 programme. |
| 6 | Deep Dive Reports to include a statement of measures being used to assess progress, a statement of impact to date and a forecast of expected impact between the date of paper and the next update. | Executive Manager, Projects & Innovation | December 2023 | | Complete. |
| 7 | Zero Harm Strategic Plan – provisional colouring to be included in the table to demonstrate progress throughout the year. | Zero Harm Manager | December 2023 | | Noted: This is included in the March Committee report. |
| 8 | Audit Fee Transparency – CFO to report back on the open book exercise offered by Audit NZ at the end of the audit. | Chief Financial Officer | December 2023 | March 2024 | Complete. Paper on this agenda. |
| 9 | Policy Review status update – provide an update of those policies under review and out of date. | Executive Manager, Projects & Innovation | December 2023 | | Complete. Included in agenda paper. |
| 10 | ComplyWith – future report to include risk-based assessment to demonstrate those items more important than others. | Chief Financial Officer | December 2023 | June 2023 | Noted. |
| 11 | Provide further information to the Committee on the different arrangements and agreements Council has in the business and how these are dealt with. | Executive Manager, Projects & Innovation | December 2023 | | Noted: This will be reported to the July meeting. |

| | |
|---------------------|---------------------------------------|
| To | Risk & Assurance Committee |
| Report title | Chief Financial Officer Report |
| Date: | 26 March 2024 |
| Report Author: | Alison Diaz, Chief Financial Officer |

1. Purpose of the report

Te Take moo te puurongo

This report aims to keep the Risk & Assurance Committee abreast of risks and issues that could impact council and its stakeholders from a financial perspective.

2. Executive summary

Whakaraapopotanga matua

“Local water done well”

The Water Services Entities Act 2022 was repealed on 17 February 2024. The proposed replacement regime will be rolled out over two pieces of legislation expected to be enacted in full by mid-2025. “Local water done well” will look at both regulation change and possible off-balance sheet collaborative delivery models where asset ownership remains localised.

Prior to entering into a contract with Watercare in 2019, Council in conjunction with Waipa District Council and Hamilton City Council, had investigated options for subregional three waters service delivery. The final business case recommended establishing an asset owning Council Controlled Organisation. While the three councils could not agree a model due to political divide, Waikato District Council went on to form what was envisaged to be a 30+ year contract with Watercare.

Watercare has recently signalled they intend to disengage from the contract with effect from 30 June 2026. This leaves us, as a Council who were living the intent of the current government’s direction (partnering to deliver value), in a very tenuous position. Our arrangement with Watercare transferred our staff, control of asset management and SCADA system, a move which was supported by the Auckland Council at that time.

This took an extensive amount of time and cost to establish. The main risk for Council is that we may have to traverse two transitions in order to get the ultimate solution in place, assuming that potential partners may not be in a position to stand up a long-term alternative model before 30 June 2026. This puts Council in a position that may cost more than the outlay required by other local authorities.

Cross Boundary Development

Staff are beginning to see requests coming through for cross-boundary developments, where the ownership of land for residential purposes will straddle more than one local authority. While the provision of cross-boundary infrastructure is business as usual, we are now in the position where one subdivision or catchment will have disparities in not only development contributions but also with the ongoing costs passed on via rates.

The geographic spread of our district requires duplication of trunk infrastructure (e.g., multiple wastewater and water treatment plants) than might otherwise be required to service a city.

This coupled with small townships and relatively low connection to services (i.e., no service connection in rural areas) has led to a user-pays charging basis. While this is fair and equitable across our district, it is not fair and equitable when compared cross-boundary. This flaw in the local government funding model will likely become an issue as cross-boundary residential builds occur.

Our urban residents and ratepayers expect the same services as those provided by our neighbouring councils; water, wastewater, stormwater, community facilities, roading, transportation, refuse and recycling etc. yet pay more. For example, a property with a capital valuation (CV) of \$1,950,000 sitting within the Hamilton City Boundary would pay approx. \$5,800 for their 2023/24 rates, whereas a property with the same valuation within a Waikato district urban centre would pay approx. \$7,215.

While this is an extreme example (as land in the Waikato has historically had lower CV's than city counterparts), it is reasonable to anticipate that the CV's across a contiguous portfolio of development would be similar.

Some of the unintended consequences may be that it attracts affordable housing from a capital outlay perspective that then turns into an unaffordable home in the long-term. There is also a heightened risk that local authority boundary adjustments will be proposed in areas with higher capital values, leading to an overall lower rating base from which to fund Council services.

Legislative Breach

An error in our Annual Plan has been notified to us by a ratepayer/resident regarding the availability charge for water supply. In the funding impact statement the wording states that availability is charged based on rating unit, whereas the accompanying table uses the same basis for connected properties which is on separately used and inhabited portions (SUIPs).

The rates resolution for the year has been set correctly, in-line with the wording within the Funding Impact Statement. This error will be fixed for the 2024/25 Annual Plan; however, we need to confirm whether a statutory breach note will be required for the Annual Report this year.

3. Staff recommendations
Tuutohu-aa-kaimahi

THAT the Risk & Assurance Committee receives the Chief Financial Officer report.

4. Attachments
Ngaa taapirihanga

Nil

| | |
|---------------------|---|
| To The | Risk and Assurance Committee |
| Report title | Strategic Risk Register and Emerging Risk Report |
| Date: | 26 March 2024 |
| Report Author: | Gopikrishna Mohanarangam, Senior Risk Advisor |
| Authorised by: | Tony Whittaker, Chief Operating Officer |

1. Purpose of the report

Te Take moo te puurongo

To update the Risk & Assurance Committee (“the Committee”) on the current risk activity and strategic and emerging risks.

2. Executive summary

Whakaraapopotanga matua

This report details:

- Strategic Risk Activity Update
- Strategic Risk Projected Treatment Implementation.
- Emerging Risks
- Top Risk mitigation action monitoring

3. Staff recommendations

Tuutohu-aa-kaimahi

THAT the Risk & Assurance Committee receives the Strategic Risk Register & Emerging Risk report.

4. Discussion Matapaki

4.1 Strategic Risk Activity Update

In the last quarter:

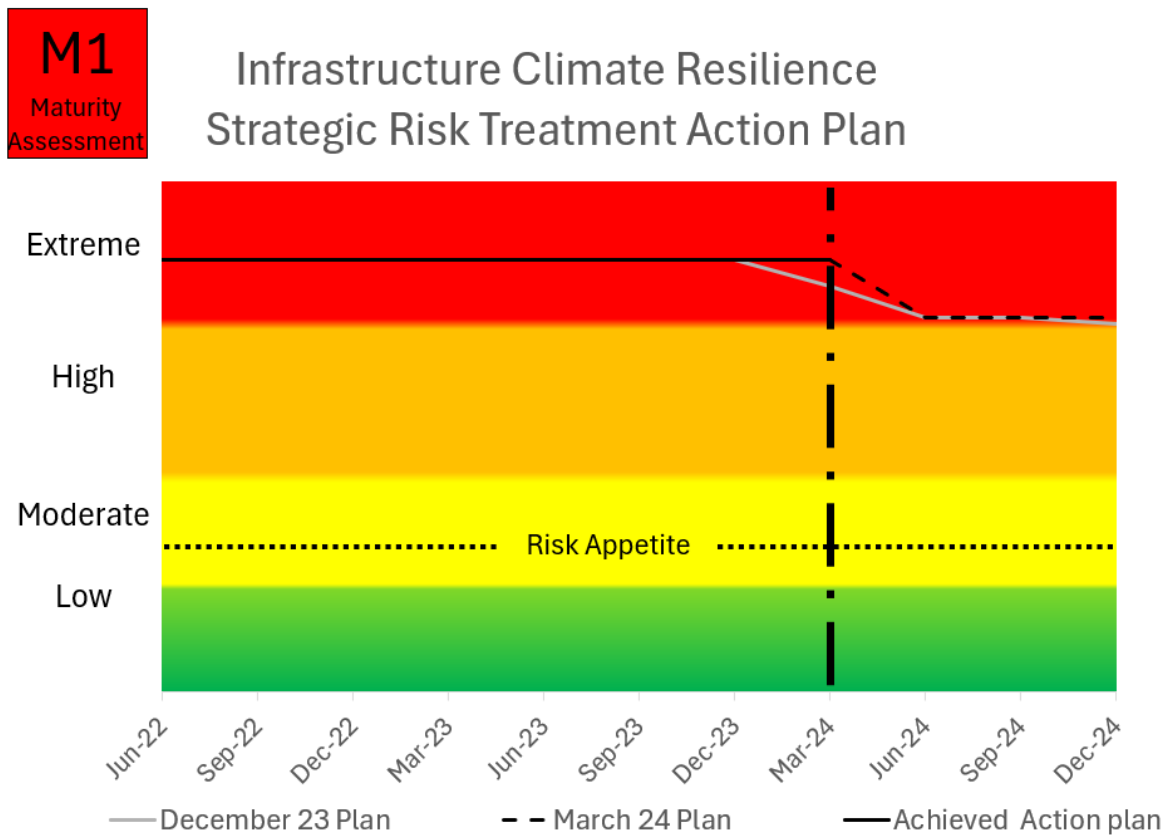
- A review of Strategic risks and an update of treatments have been undertaken following Long-Term Plan (LTP) considerations and impacts from new government direction.
- The effectiveness of mitigations have been evaluated through those internal audits undertaken.
- Deep dives on the Community Climate Resilience and Infrastructure Climate Resilience Strategic risks have been undertaken.
- A more summarised deep dive template has been developed following discussion with the Chair of the Committee.

Next quarter:

- 3 strategic risks are expected to meet risk appetite.
 - The Internal Audit Programme will be updated.
 - Deep dives will be undertaken on Affordable Services and Servicing Growth strategic risks.
-

4.2 Treatment Action Plan Timelines

4.2.1 Infrastructure Climate Resilience



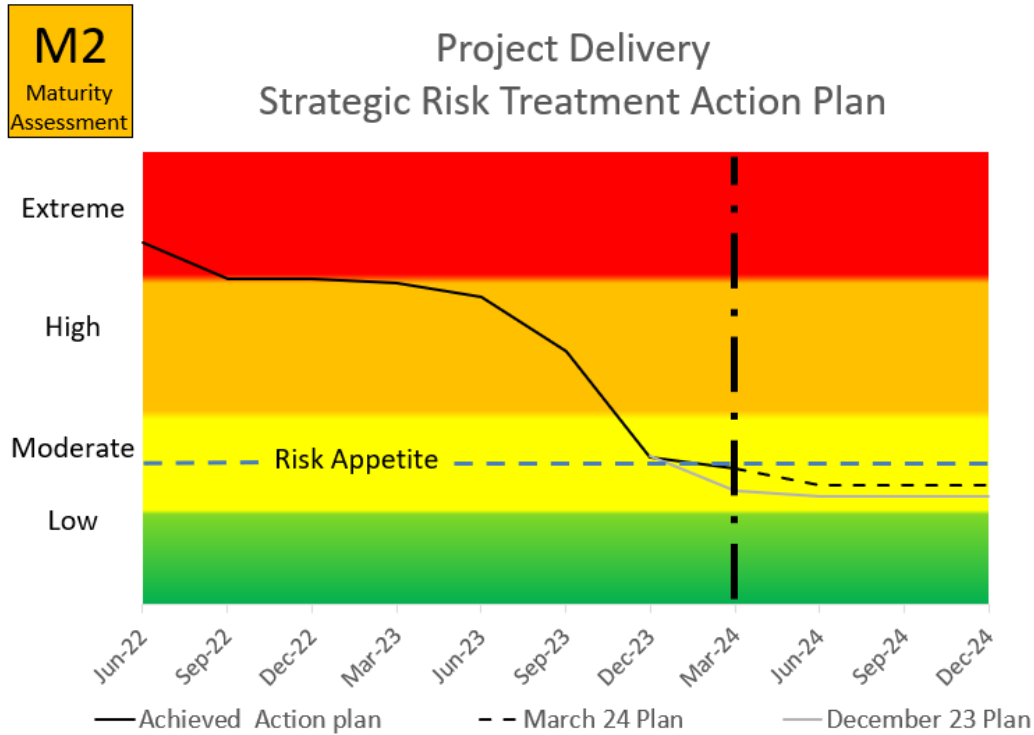
Infrastructure resilience to climate change was a key consideration of recent LTP asset management planning. Available data informed this planning.

As expected, the LTP process confirmed the ability to deliver complete work programmes and infrastructure resilience is constrained by affordability. This results in reduced LOS and higher risk of asset failure, particularly during significant weather events.

It is recommended that the council increase our current risk appetite to align it with the affordability decisions already made through AMP workshops, Waka Kotahi Capital Works bids, Waka Kotahi Maintenance operations and renewals bids. These decisions were incorporated in LTP and enhanced annual plan proposal. This recommendation is included in the deep dive report.

The next two quarters will focus on gaining additional insight into infrastructure vulnerability. These studies will identify key assets susceptible to weather events which would create risk to infrastructure and people in the event of failure. The outputs of this study will determine priority of spending the limited budget to build resilience.

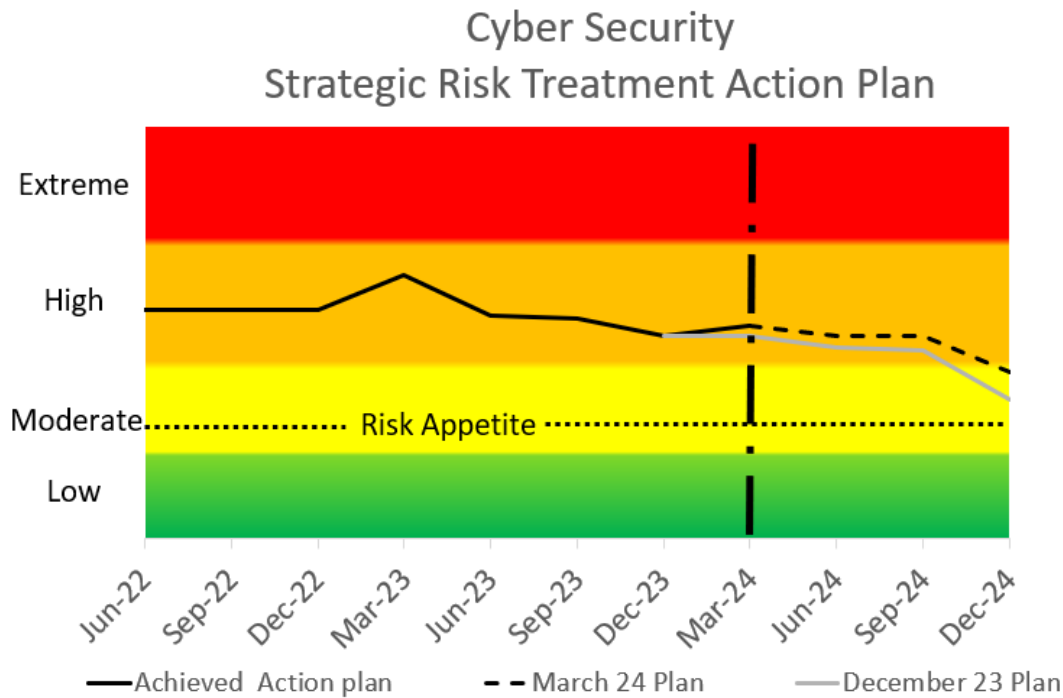
4.2.2 Project Delivery



Several new initiatives have been embedded within the business during the quarter. This included the creation of a refined risk assessment process enabling project tasks to be undertaken in parallel with each other (as opposed to sequentially) to support enhanced speed of delivery. A refined reporting template with improved data has also been implemented along with a new financial quality checking process. Improvements have also been made to the project consenting workflow.

The next quarter focus is on a review and audit of the project framework designed to assess the effectiveness of the framework and systems and commencing a district wide newsletter to improve community communications. Continuous improvement will continue to ensure the residual risk remains within appetite.

4.2.3 Cyber Security



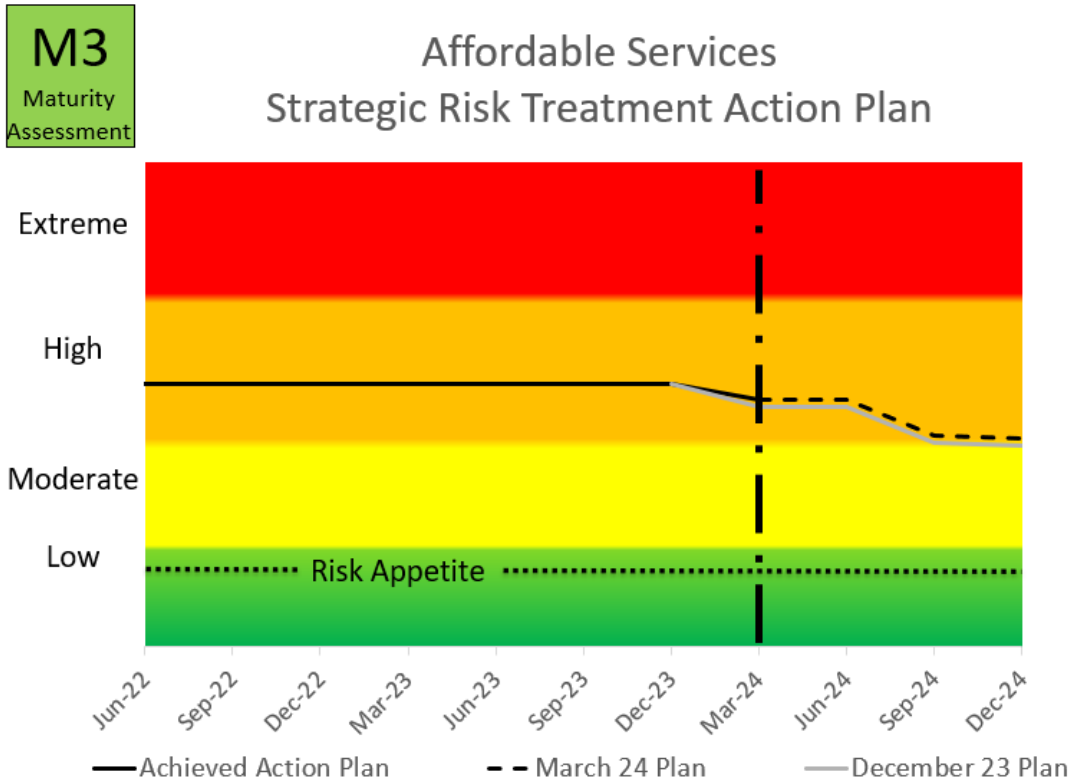
An internal audit review of software applications was undertaken during the quarter. The Cyber Security programme is progressing in accordance with the agreed schedule with 3 audit actions closed during the quarter.

The timeline to close out the remaining 16 audit actions (was 20 last quarter) is;

- By June-24: 7 Audit Actions
- By Dec-24: 4 Audit Actions
- By Jun-25: 2 Audit Actions
- By TBC-24: 3 Audit Actions (Records Management)

Once the Zero Trust solution is implemented, which is on schedule for June, a Firewall Penetration & Vulnerability external audit will be completed.

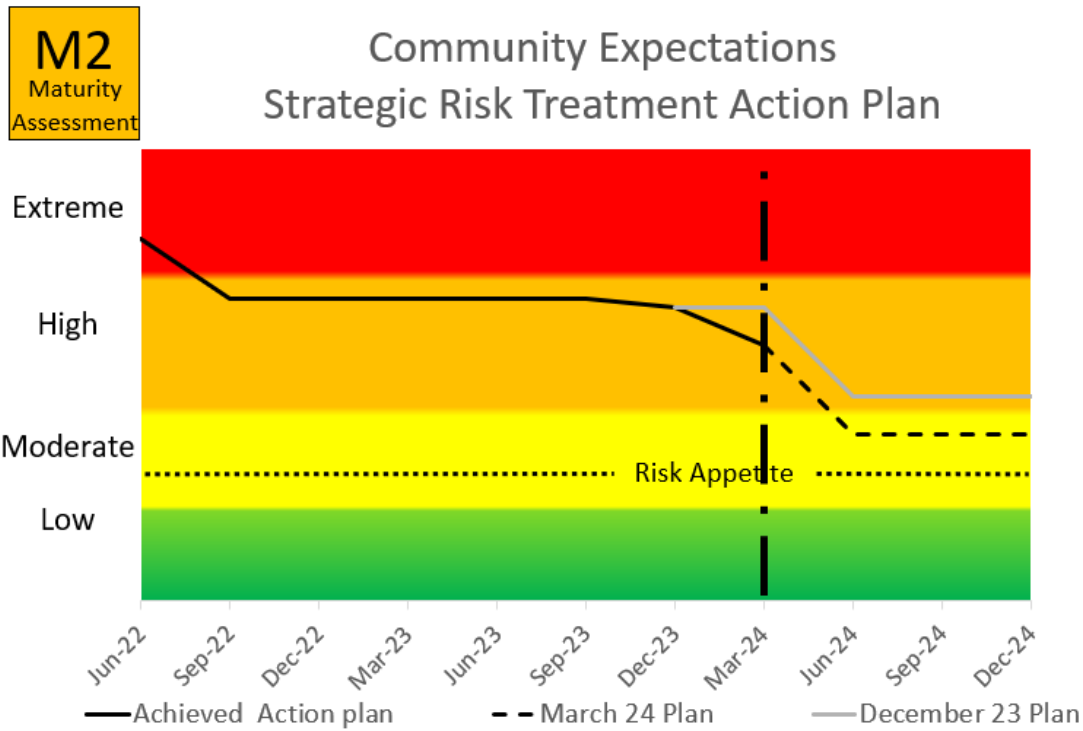
4.2.4 Affordable Services



Due to prevailing economic conditions and a desired lift in LOS, the 2024-2034 LTP indicative rates increases are above those contained within the current LTP. The repeal of three waters legislation will impact affordability for urban communities connected to those services.

Financial Strategy limits for rates and debt will serve as the ultimate bookends for the risk treatment action plan (keeping it within moderate-high), with the LTP focus turning to what LOS can be delivered within the overall funding envelope. The committee should note that for 2024/25 Council will be preparing an enhanced annual plan.

4.2.5 Community Expectations



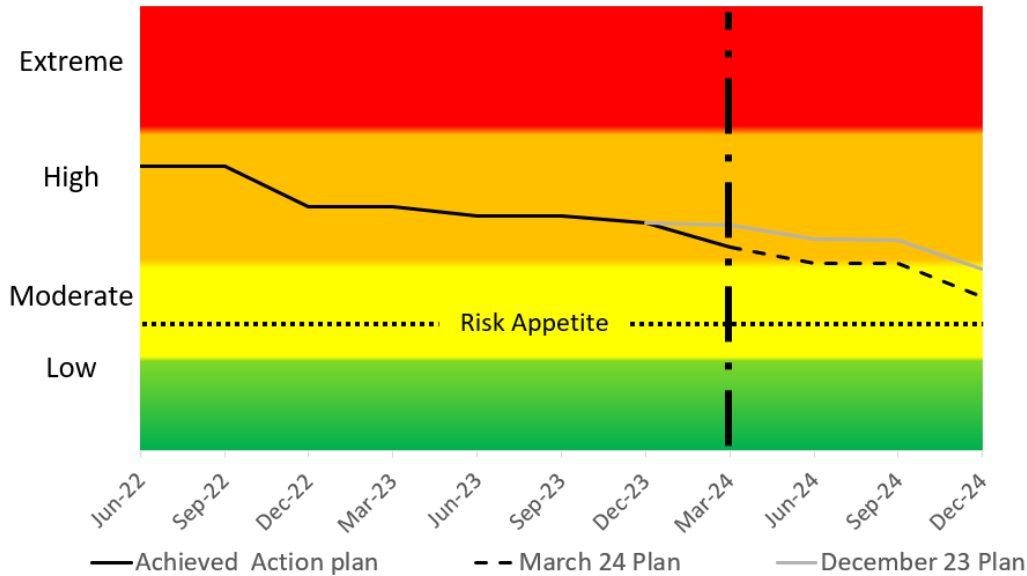
The Communications Strategy (now named the Trust & Confidence Strategy) is now finalised, and performance measures agreed. An initial benchmark survey has been undertaken with Councillors and Community Board and Committee members to measure progress against. A change management programme is in place to support the fact this is an organisation wide responsibility (governance and staff).

Over the next quarter structural changes to the organisation will be consulted on and implementation of the strategy commenced.

4.2.6 Operational Capability

M1
Maturity
Assessment

Operational Capability Strategic Risk Treatment Action Plan



Key tactical roles were filled during the quarter (Talent Business Partner and Executive Manager Maaori Partnerships) which will allow focus on upskilling in recruitment, diversity and inclusion and Te Tiriti obligations.

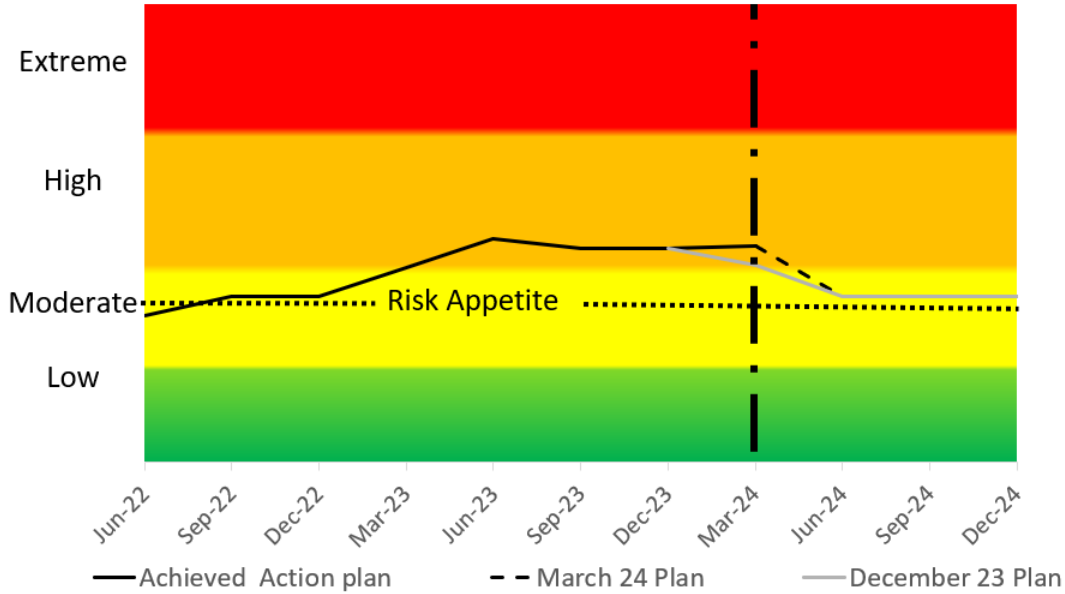
The existing treatment work programme is ahead of schedule and will reduce the risk to Moderate within the next 6 months and complete all actions within 9 months.

A key focus remains on learning and development and training in the correct and efficient use of systems and data integrity. Specific tasks include clearly defining system owners, increased internal auditing, implement tracking of change management impacts across the business and advancing the Colab learning platform.

4.2.7 Recruitment and Retention

M2
Maturity
Assessment

Recruitment and Retention
Strategic Risk Treatment Action Plan

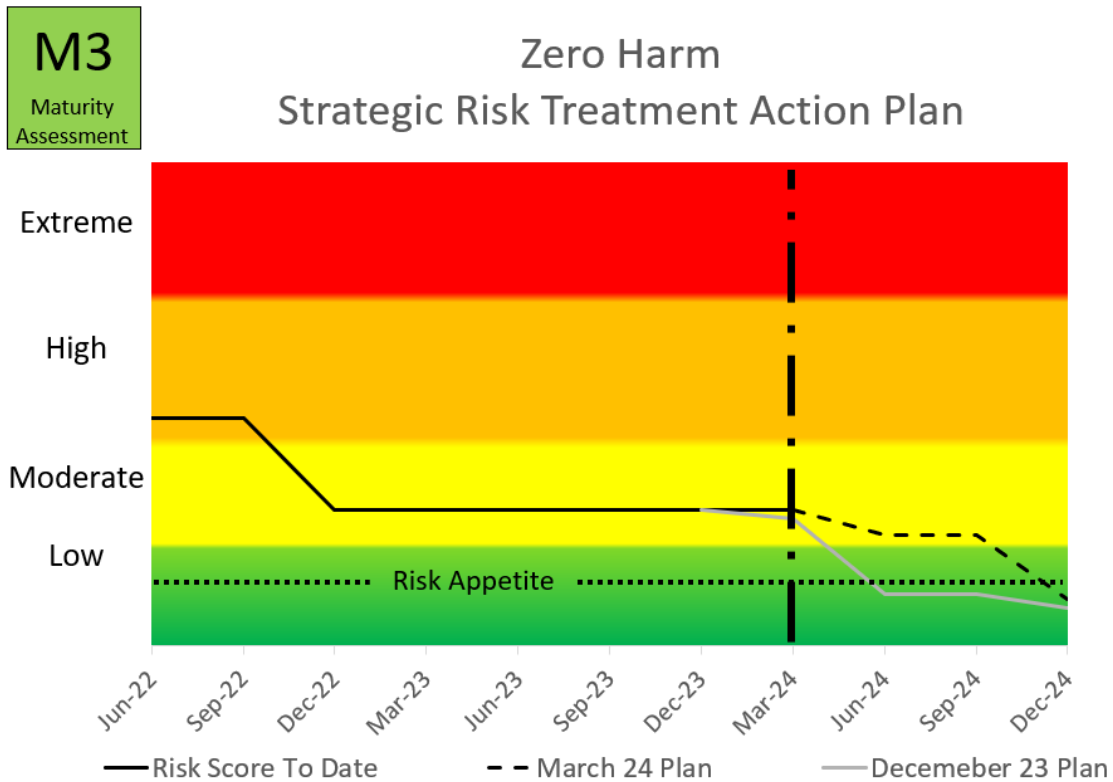


The Takitaki leadership programme was oversubscribed at 78 applications for 30 places, emphasising the benefits staff see in the discretionary effort required versus the personal development return.

Our staff turnover rate currently sits at 18.82% which is outside our target of 18%. The new staff retention rate over the past 12 months is 87.3% which is better than our target of 85%. A net promoter score measuring how likely a new staff member (after 3 months of employment) will recommend us as a place to work is positive at 9.3 against a target of 9.0.

The next quarter will focus on the employee experience as we onboard new starters and refine the induction process.

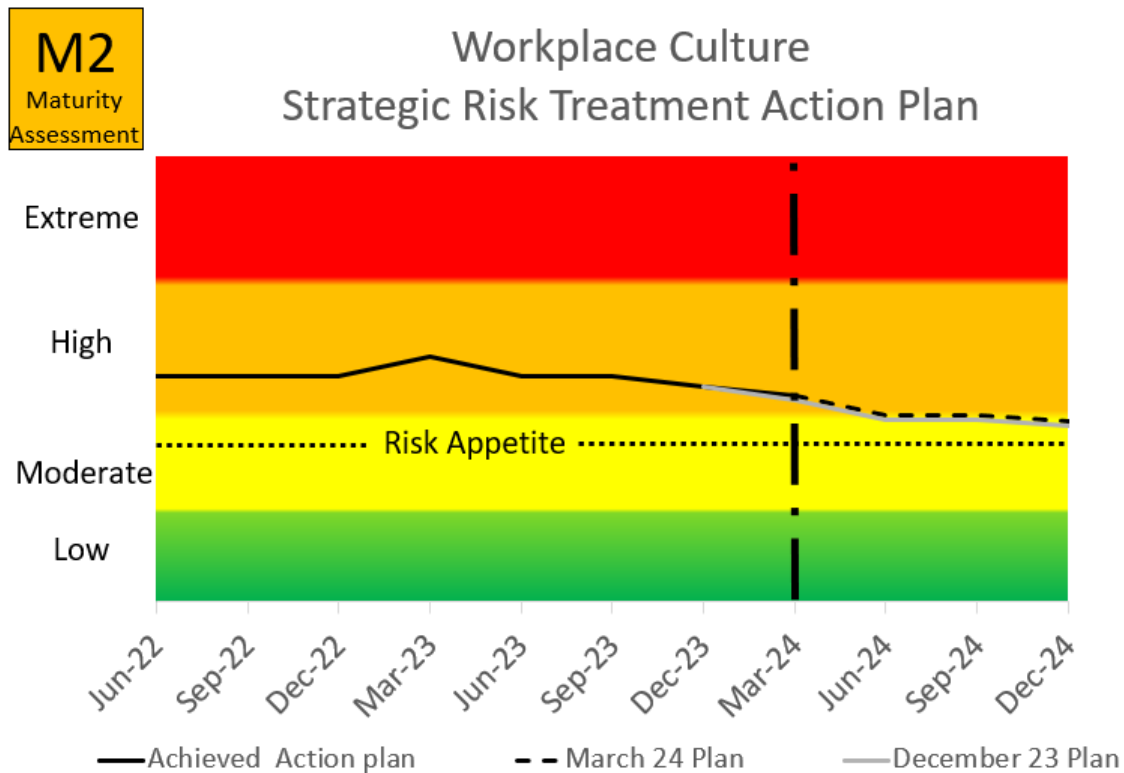
4.2.8 Zero Harm



The past quarter has focused on ensuring staff are aware of their roles and responsibilities. This has been delivered through a dedicated WorkSafe HomeSafe month. While this effort hasn't improved the risk appetite it has ensured the risk level has been maintained.

The coming quarter focus on implementing treatments associated with the management of change and zero harm internal audit programme.

4.2.9 Workplace Culture



The last quarter sees a reduction in residual risk assessment following implementation of a number of key tactics. Staff and ELT connection activity has increased across the organisation as a response to a key metric in the last staff survey.

This includes end of year celebrations, work safe home safe week, a number of cultural initiatives lead by staff themselves, and a number of connection initiatives lead by ELT such as personal staff coffee dates with ELT members.

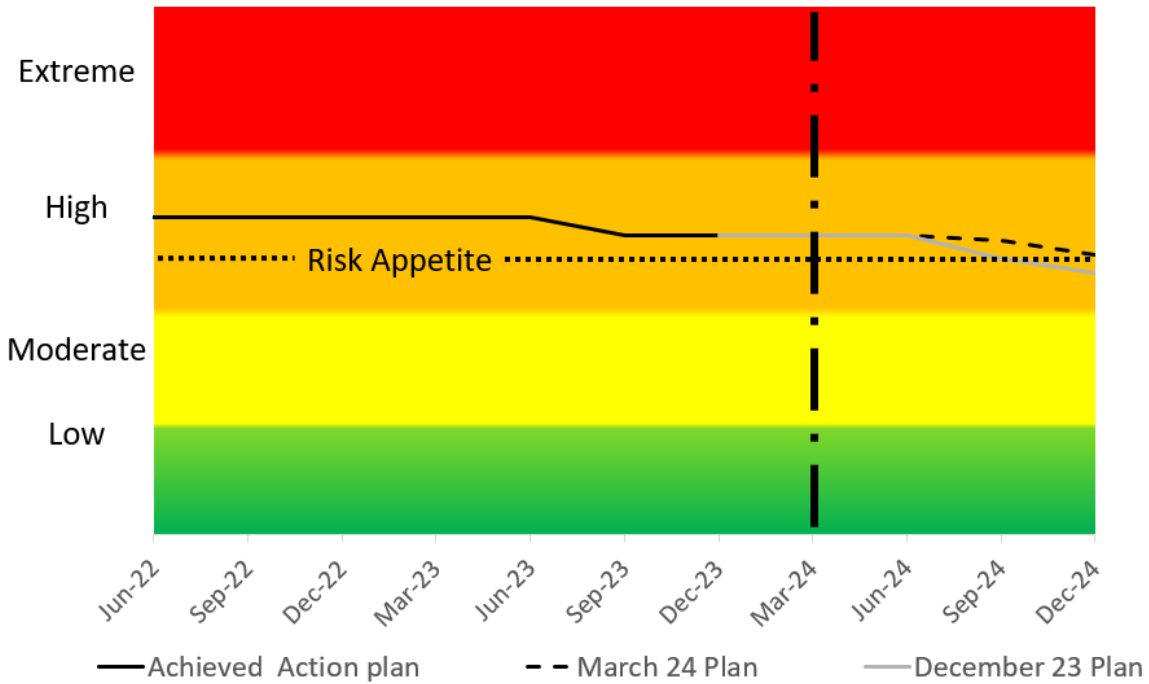
The coming quarter will see implementation of further connection tactics that will strengthen workplace culture, cement our values, and give clarity of focus and expectations including a 'Team Up' all staff event, relaunch of new starters day and poowhiri (lead by the new Executive Manager Maaori Partnerships), relaunch of our flexible working policy and the launch of Our Plan for the coming year.

The staff engagement survey will also be undertaken in June which will enable assessment of the effectiveness of workplace satisfaction initiatives we have implemented.

4.2.10 Servicing Growth

M2
Maturity
Assessment

Servicing Growth
Strategic Risk Treatment Action Plan



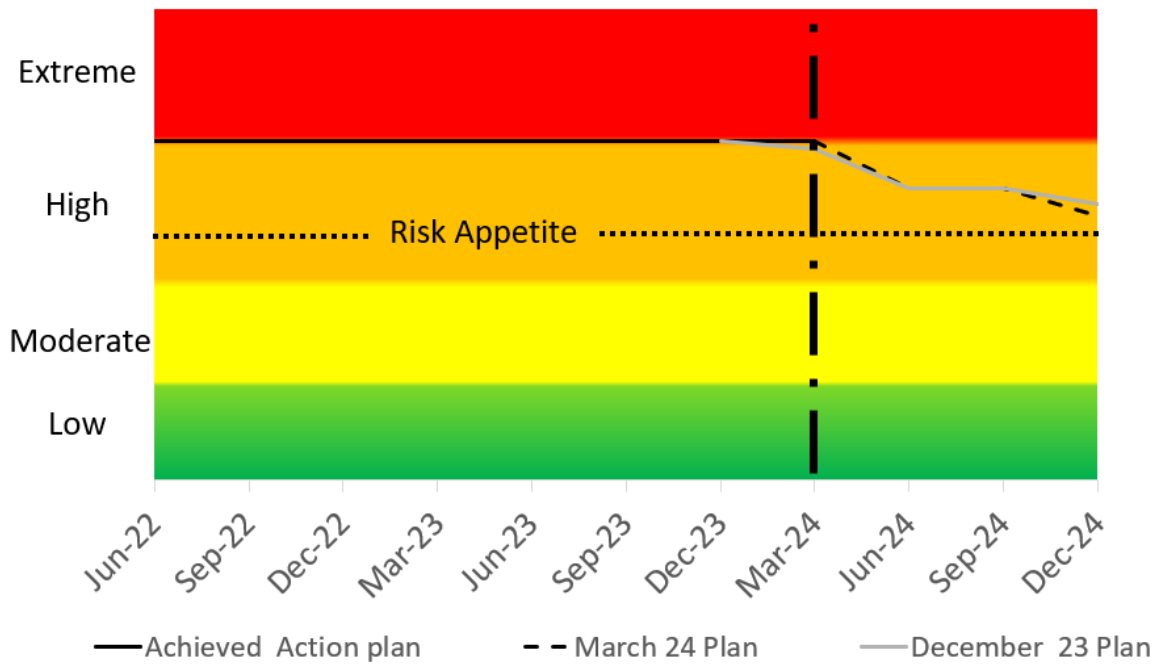
The past quarter has seen the commencement of a data quality improvement programme the outcome of which is to provide confidence in the data for use in planning and infrastructure investment. This will lead to the opportunity to analyse and provide insights for growth management decisions.

As part of Enhanced Annual Plan decisions Council will consider a resource request to further advance this work.

4.2.11 Community Climate Resilience

M1
Maturity
Assessment

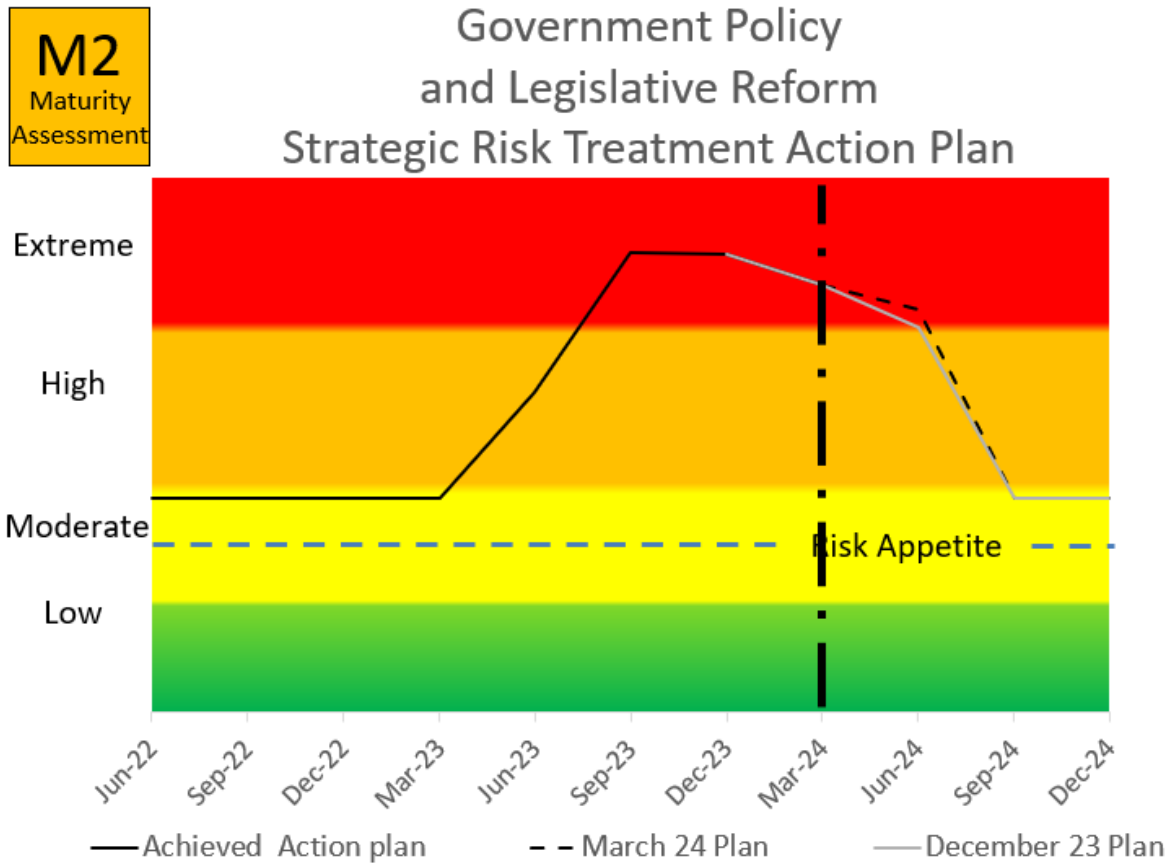
Community Climate Resilience
Strategic Risk Treatment Action Plan



A number of community response and marae resilience plans have been developed and others planned. Four community plans are complete and 11 in progress. These cover 28 communities. A key focus in the development of these plans is education on climate change and how this influences our environment, creates uncertain weather events and the consequential negative impacts on communities.

The next quarter will see the completion of the Community Response Framework to assist the sustainability of these plans and inform responsibilities and commitments from both Waikato District Council Emergency Management and the Response Groups/Marae. It is also planned to progress to completion a further 3-6 response plans.

4.2.12 Government Policy and Legislative Reform Strategic Risk



Over the last quarter mitigations have been employed to minimise impact from government policy or legislative reform. This has included participation in submissions, advocacy of our position to multiple parties and assessments of financial impacts.

The residual risk had been assessed as higher over the past quarter due to the uncertainty of a new government's direction. Many of these risks transitioned into issues resulted in impacts on the organisation including financial, resourcing pressure and disruption. Issues currently being worked through include the following:

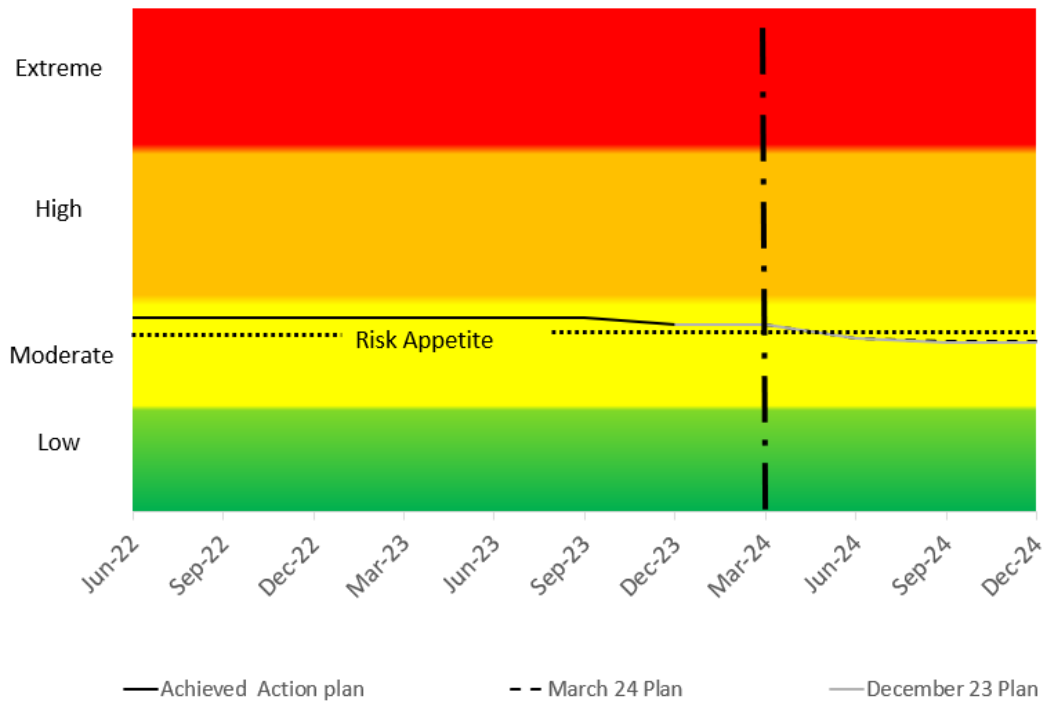
- ◆ Local Water Done Well announcement.
- ◆ Preparations for the Resource Management Act replacement legislation.
- ◆ Influencing the shape of the Government's Fast Track Consenting Bill.

The next quarter will see the risk return towards appetite as existing mitigations are once again employed with the new government i.e. influence on government policy through mayoral forum.

4.2.13 Business Resilience

M2
Maturity
Assessment

Business Resilience Strategic Risk Treatment Action Plan



Within the last quarter the Audit Framework has been revised. A demonstration of business continuity planning being embedded in the organisation is the Business Resilience Advisor being invited to participate in significant change projects e.g. Roothing contract renewal. An unplanned power outage also tested continuity plans with successful outcomes.

The coming quarter will include the revision of business unit continuity plans and IM disaster recovery plan.

4.3 Top Risk mitigation action monitoring – Reporting by exception

Below are key strategic risk treatment programmes identified as critical to delivering on the agreed trajectory towards risk appetite. Only programmes that are Amber or Red are shown.

| Top Risk | Measure/Action | Status | Tracking indicator | Exec Owner | Status comment |
|--|------------------------------------|-------------|--------------------|----------------|--|
| Infrastructure Climate resilience | Alignment of Risk Appetite | In Progress | A | Megan May | There is a need to assess the Risk appetite around the ability to provide infrastructure resilience considering the high risk of failure of assets during weather events. The Council recognises that there are limitations to affordability and is prepared to accept a higher risk level. A recommendation to this effect is included in the deep dive. |
| Government Policy and Legislation reform | Implications of Legislative reform | In Progress | A | Will Gauntlett | The risk is for Council to make some crucial financial planning decisions due to changes set in motion by central government, especially in the areas of water reform and infrastructure funding through the Water Service Act Repeal Bill. An added and unforeseen complexity is the decision taken by Watercare on 28 February 2024 to end its contract with Waikato District Council in June 2026 for the provision of waters services. We now need to factor in three waters into our LTP and consider how we are going to manage our three waters post June 2026. |

| | | | | | |
|-----------------------|-------------------------------|-------------|---|----------------|---|
| Community Expectation | Community Engagement Strategy | In Progress | A | Tony Whittaker | The Communications Strategy (now named the Trust & Confidence Strategy) is now finalised, and performance measures agreed. An initial benchmark survey has been undertaken to measure progress against. A change management programme is in place to support the fact this is an organisation wide responsibility (governance and staff). Over the next quarter structural changes to the organisation will be consulted on and implementation of the strategy commenced. |
|-----------------------|-------------------------------|-------------|---|----------------|---|

4.4 Emerging Risks

4.4.1 *Three Waters*

Council currently relies on Watercare to deliver waters services to our communities and ensure the resilience of waters assets. We have recently been given verbal notification of Watercare's desire to exit the existing contract early with a termination date of 30 June 2026.

This change in delivery model will create challenges in the future which will need to be mitigated through an alternative contract arrangement. Assessing options is in progress.

Associated with this is the affordability of our water's services. Options to address this are being considered. This is likely to involve some challenging conversations with stakeholders.

4.4.2 *Local government in community resilience*

There is a shift in local government focus from the traditional service delivery model to a wellbeing and community-centric model. This change in direction is driven by the wellbeing focus of the Local Government Act. In response to this our role in building community resilience will require increased collaboration with other entities, including those that will be servicing at a regional rather than district level.

This increased reliance on external partnerships may expose the organisation to potential risks, such as a misalignment of goals and objectives, increased contract risk with new entities and legal obligations around emergency management. We have commenced this via our contribution to the existing Regional Leadership Group established in response to Covid. We expect this forum to be further formalised to deliver these outcomes.

4.4.3 Government reform – Future for local government

The Committee is familiar with the central government lead review of Local Government. The review considered roles, functions, and partnerships; representation and governance; and funding and financing.

There is a degree of uncertainty around how enforceable recommendations of the review will be on local government. The Council has agreed to place the Long-Term Plan on hold and switch to enhanced Annual Plan 2024-2025, because we are unclear on certain Government direction and decisions.

4.4.4 Consent volume change

Consent numbers by month have been sporadic and generally very low though appear to have plateaued. The low consent numbers have had and will continue to have an adverse effect of our revenue until such time as the consent number pick up. Resources are being managed in the interim such as reducing the use of consultants and contractors.

4.5 Community Expectations Strategic Risk Update

In December 2023, the Risk and Assurance Committee requested specific key performance measures for monitoring the community expectations strategic risk.

Since then, we have:

- undertaken a complete review of our current communication and engagement approach
- reviewed current performance measures in the Resident Satisfaction survey
- invited elected members, community board members and hall/community committee members to provide input and feedback on expectations and performance
- developed a new, streamlined suite of measures that have been integrated into a significant organisational strategy - Our Waikato: Trust and Confidence Strategy.

The main issue we identified with the current performance measures was the lack of targeting which made it very difficult to identify where improvements could be made.

Under the Trust and Confidence Strategy, in addition to the Resident Satisfaction Survey, three new ways of measuring performance have been added. These include the survey of elected members mentioned above, establishment of a Community Monitoring Group and quick 'customer' surveys following engagements/consultations to measure levels of satisfaction with these processes.

The five KPIs adopted are a combination of (a) amendments to existing Resident Survey measures (some of which provide current benchmarks) and (b) new questions – all of which are directly related to actions and deliverables in the Our Waikato: Trust and Confidence Strategy.

Each of the KPIs will be reported on annually although measurement for some may be monitored more regularly (eg the Community Monitoring Group, once established, would be canvassed twice a year).

Note: *the Executive Team are currently determining the targets for the noted areas.*

Performance Measures – community expectations

1. Elected members will increase ratings from 6 to 8 and from 5 to 7 by December 2024 (a benchmarking survey was completed in December 2023)

Ratings for:

- *Waikato District Council communication to the district as a whole*
 - *Waikato District Council communication with your local community/rohe*
2. Customer satisfaction with enquiry responses will increase from [50% - 2023] to *(to be determined)* by June 2025
 3. Percentage of residents satisfied with levels of information affecting their local area will increase from [37% - 2023] to *(to be determined)* by June 2025 *[needs amending from current RSS question]*
 4. Trust and confidence in Waikato District Council will increase from [37% - 2023] to *(to be determined)* by December 2025. *[A combination of measures but includes the Resident Survey and Community Monitoring Group]*
 5. Staff will increase their perception about ELT communication from 56% to 70% by June 2025

5. Next steps

Ahu whakamua

Planned activities for the next quarter include:

- Deep dive reports - Servicing Growth and Affordable Services.
- Continue revision of strategic risk remediations.
- Internal audits completed as per timelines.

6. Attachments

Ngaa taapirihanga

No Attachments

Open – Information only

| | |
|---------------------|---|
| To | Risk Audit and Assurance Committee |
| Report title | Strategic Risk Deep Dive Report – Community Climate Resilience |
| Date | 26 March 2024 |
| Report Author | Rachael Goddard, Climate Action & Sustainability Manager Kelly Newell, Resilience Manager Gopikrishna Mohanarangam, Senior Risk Advisor |
| Authorised by | Tony Whittaker, Chief Operating Officer |

1. Executive summary
Whakaraapopototanga matua

The Deep Dive report aims to provide an opportunity for Governance to gain an understanding of how Management view risk.

This report relates to the Community Climate Resilience strategic risk, which is defined as:

| | | |
|---|---|---|
| Due to <ul style="list-style-type: none"> Increasing impacts, costs, and expectations from climate change. Communities holding council accountable for climate relief. Diverse and conflicting needs of communities | Council may be unable to Support communities to adapt to climate impact | Resulting in <ul style="list-style-type: none"> Significant public scrutiny, Community holding council accountable, Financial impact - Increased emergency support required. |
|---|---|---|

2. Executive summary
Whakaraapopototanga matua

THAT the Risk and Assurance Committee receives the Community Climate Resilience Strategic Risk Deep Dive report.

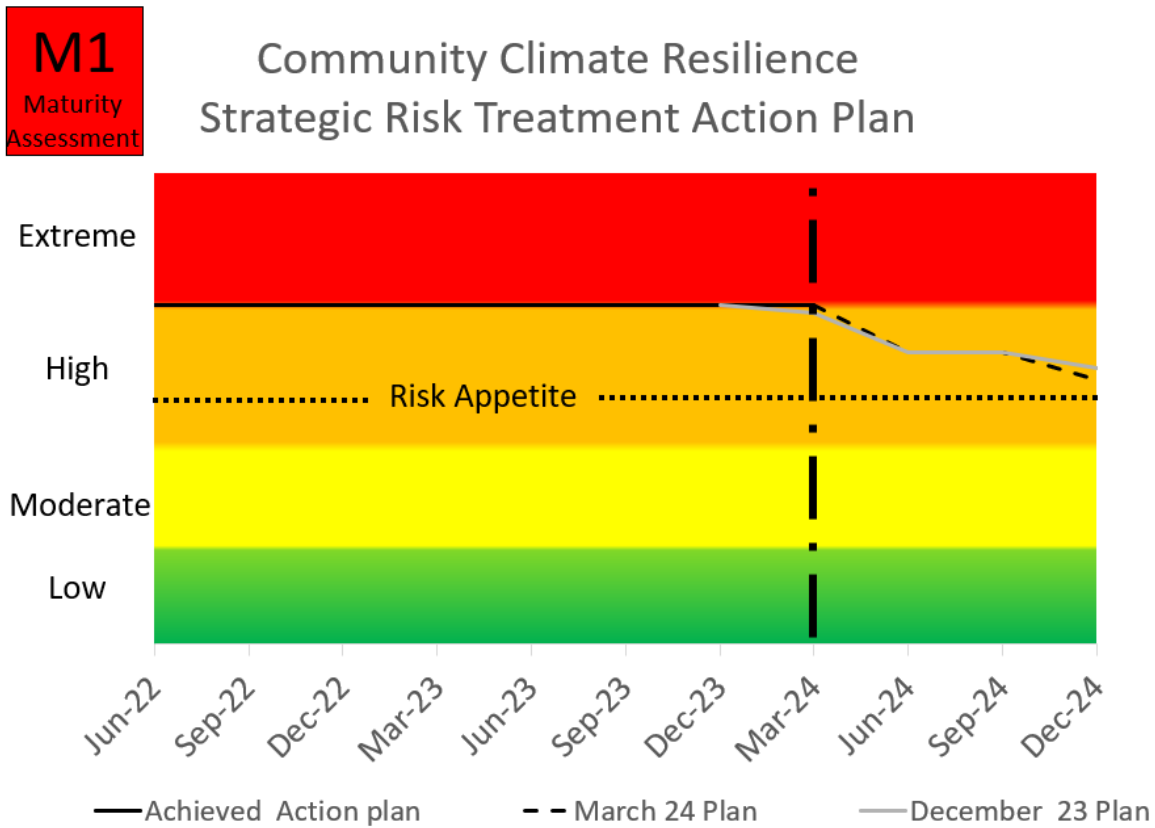
3. Discussion Matapaki

3.1 Cause and Consequence

The following information outlines the causes, consequences and treatments associated with this strategic risk:

| Cause/ Consequence | Context | Associated treatments |
|--|---|---|
| Cause: Increasing impacts, costs and expectations from climate change. | The escalating impacts, costs, and expectations associated with climate change are straining local councils' ability to ensure community resilience by necessitating increased resources for emergency response, recovery, and long-term adaptation measures. | <ul style="list-style-type: none"> - Community Adaptive management plan - Marae Resilience Plans - AMPs (Activity Management Plans) - District Plan - Climate Response & Resilience Strategy - Climate Action Plans - Climate Risk Assessment - Misalignment of risk appetite levels across the business units against the agreed organisational strategies |
| Cause: Communities hold council accountable for climate relief. | The demand for accountability from diverse communities in relation to climate relief places additional pressure on local councils, potentially hindering their ability to ensure comprehensive resilience as they navigate varied expectations and priorities. | <ul style="list-style-type: none"> - Community Board Plans - Engagement with partners - Climate resilience education |
| Cause: Diverse and conflicting needs of communities | The diverse cultural and multifaceted needs within communities, coupled with the expectation of holding the council accountable for climate relief efforts, pose a challenge to ensuring resilience as councils grapple with the complexity of tailoring strategies to meet varied and evolving community requirements. | <ul style="list-style-type: none"> - Marae Resilience Plans - Emergency management plans - Community Board Plans |
| Consequence: Significant public scrutiny, Community holding council accountable, | Significant public scrutiny and accountability can lead to reduced community engagement and cooperation for future projects and increased demands for transparency and corrective actions from the community. | <ul style="list-style-type: none"> - Emergency management plans - Community Response plans |
| Consequence: Financial impact - Increased emergency support required. | Council may experience a financial impact due to the necessity for increased emergency support following climate-related disasters, greater than would be required if our communities were appropriately resilient. | <ul style="list-style-type: none"> - Emergency management plans - Engagement with partners - Climate Response & Resilience Strategy |

3.2 Treatment Action Plan Graph



3.3 Progress of treatments

As reflected in the above graph, progress against treatments associated with this strategic risk:

Overall while significant effort and work has been undertaken against treatments, this has not resulted in real movement in the residual risk. The work undertaken below reflects adaption to changes in council strategies and the wider local government sector. The below treatment activity therefore has maintained the residual risk measurement over the past year.

Treatment: *Community Adaptive Management Plan*

During the past year the council has been transitioning to a dynamic adaptive planning pathways (DAPP) approach, in line with guidance from central government. This has been useful to understand the conflicting needs of the community.

The scope of the Waikato District Resilience Project was approved by the Sustainability and Wellbeing Committee in June 2023. Since then, Council has been engaged with work in Port Waikato and Raglan.

This work will progress to other communities with proximity to the Waikato River in future phases.

Treatment: *Marae Resilience Plan*

Council has focused efforts on building resilience of marae, including the creation of two marae resilience focused roles. The strategy focuses on fostering a culture shift and system change that supports and enables Iwi Maaori resilience.

Over the past year we have focussed on working with marae in areas of our district where community resilience impacts have been most significant. These are areas where the impacts of Ex-Tropical Cyclone Gabrielle have been most severe and where natural hazards create a need for increased resilience, such as flood risk, tsunami risk and accelerated erosion. The approach is centred around working with marae who indicate a desire to work collaboratively with Council to increase resilience of their marae, hapu and whaanau. A Memorandum of Understanding has been drafted, which is intended to be used with marae to reflect the views and ambitions of the hapu and agreed operational arrangements for emergency event.

We have also worked closely with other agencies and Maaori providers to collaboratively support marae resilience and enable community led outcomes. The Resilience team has taken a diverse approach which is helping to understand the needs of the community.

Treatment: *District Plan*

RMA and RMA-Based Government Policy statements have been implemented through the district plan in the past year.

State of the environment (SoE) monitoring and reporting help to determine whether the requirements for Councils set out under the RMA relating to District Plans and Resource Management are being met, and what outcomes are being achieved in the environment that may be related. Council is also tracking compliance with National Policy Statements and legislative requirements using business tools such as 'Comply With'.

Treatment: *Climate Resilience Education*

During the past year, the Climate Resilience team has focussed on a work programme for virtual resilience team, to assist with the diverse and conflicting needs of the community.

Treatment: *Climate Action Plan*

The current Climate Action Plan is being realigned and two climate action plans developed (internal/operational and community) to deliver on the new Climate Response & Resilience Strategy, which set our aims, overarching targets, Co2e roadmap and deliverables.

The Council's current internal Climate Action Plan (CAP) is focussed on key projects and initiatives that helps us to achieve our Co2e emissions and strategic objectives. This new CAP will continue with more emphasis on individual units, education, and delivery of targets. The Community Climate Action Plan will be co-designed by the community, identifying priorities and collaboration. A Comms and Engagement Plan has been drafted and we aim to go out to the community this year.

Treatment: *Climate Risk Assessment*

Council has begun work with Waikato Regional Council to scope a climate risk assessment, focussing on district risk in relation to climate change. This type of assessment typically applies climate change projections and scenarios to assess the risk to our assets, infrastructure, land, environment, and communities and informs planning.

The goal of a climate risk assessment is to help stakeholders understand and prepare for the potential impacts of climate change on their operations, infrastructure, and communities.

Treatment: *Climate change education/mitigation*

The Climate Action & Sustainability team (CAST) deliver workshops and educational resources and material to staff. Over 120 staff per time attend a 'climate change 101' workshop. These workshops will also be offered to the community in late 2024. In addition, the CAST will be working with the Resilience team to create further resources and support delivery.

Treatment: *Engagement with Partners*

Sub-regional engagement was carried out from January 2024 through the Future Development Strategy (FDS) which included a chapter focussing on climate change.

Treatment: *Natural Hazard Data*

Work has commenced during the last year to identify the natural hazards for the district. This provides natural hazard data along with the impact analysis for the district.

Treatment: *Climate Response & Resilience Strategy*

The Climate Resilience Strategy was approved by Council at the end of 2023. The strategy is a high-level document that sets our direction on addressing climate change, reducing emissions and supporting our communities.

Treatment: *Activity Management Plan*

In previous years Council has undertaken activity management planning for climate resilience, whilst community resilience has been largely captured within the emergency management activity planning. The 2024 activity management planning cycle has created a new activity management plan for community resilience which includes cross-council community resilience and climate resilience activity management planning.

Treatment: *Community Response Plans*

Over the past year the Resilience team has engaged with 16 community response groups to build capability and knowledge to enable communities to provide immediate support within their own community. As a part of the response plan the community response groups work with emergency management to support their community and distribute resources.

Significant progress has been made in engaging with communities on community response plans, led by Council's Emergency Management Advisor:

| Complete plans <i>(fully operational)</i> | Nearing completion | Drafted | Commenced <i>(in early stages)</i> | Not yet started |
|--|--------------------|---------|---------------------------------------|-----------------|
| 2 | 2 | 1 | 11 | 31 |

Treatment: *Climate Mitigation Education*

Over the past 12 months the Climate Resilience team has developed public education resources to assist in community workshops. The workshops will be focussed on upskilling communities, to help them to adapt, change and prepare for climate change and its impacts.

Treatment: *Emergency Management Plans*

Council undertook an external assessment of the February 2023 response to Ex-Tropical Cyclone Gabrielle. The assessment focussed on the operational capability of Council's local emergency management system to respond to cyclone and consequent impacts. The outcome of the assessment was a score of 75%, which moved Council's emergency management response capability from 'developing' to 'advancing'.

Additionally, over the past 12 months our emergency management operational plan has been completed, outlining hazards which can affect our district. The plan includes our hazard risk assessment, how we provide initial warnings to communities and our emergency response activities. The plan also outlines our key Emergency Operating Centre activities from onset of an emergency to through to the transition to recovery.

3.4 Forecast of Treatments

Treatments that are planned and expected to progress over the next 12 months are detailed below:

| Treatment | Initiatives planned | Target / measure of success | Timeframe | Barriers |
|------------------------------------|---|--|------------|--|
| Community Adaptive management plan | Work with Port Waikato and Raglan communities, and key associated stakeholders, to create adaptive management plans | We establish how we will collaboratively deliver on these plans. Measures of success must be established in collaboration with the Port Waikato and Raglan communities. | March 2025 | Relies on community engagement and the successful formation of community advisory/ working groups. |
| Marae Resilience Plans | Engagement and Participation with marae that are 'willing and able' to undertake resilience planning. | Marae that do engage in resilience planning are successful in achieving their resilience goals. | March 2025 | The expectations and needs of marae will vary and Council will need to work with individual marae to understand how best we provide support. Resource to undertake this work is a consideration of the 2025-2034 Long Term Plan and will be dependent on the LTP funding position. |
| District Plan | Continue state of the environment reporting. | Scope for Statement of the Environment report agreed, and initial draft completed using available data | March 2025 | Planning team current focus on District Plan appeals |

| Treatment | Initiatives planned | Target / measure of success | Timeframe | Barriers |
|--|--|---|----------------|--|
| Climate Mitigation Education | Implement public education workshops. | There is active engagement from communities involved in this programme. | March 2025 | Council's ability to influence community engagement with this programme. |
| | Implement work programme for virtual resilience team. | A cross council virtual team is formed and has a work programme focussing on community resilience. | September 2024 | Resourcing and workload challenges may impact availability of all desired staff to actively participate in this forum. |
| Climate Action Plans | The Climate Action plan will be tabled for Council approval by July 2024. Monitoring and tracking of projects in the plan is implemented. Benchmarking of Co2e emissions. Continued work with focus groups. | Projects are delivered as planned. | March 2025 | |
| Climate Risk Assessment | Continue working with Waikato Regional Council to undertake an assessment of climate impacts on our district. | We understand the climate related risk for our district and the subsequent impacts on our communities. | March 2025 | |
| Engagement with Partners | Engage with our partners across the district to raise awareness | We understand our key partners in relation to climate resilience and build a community engagement plan together. | March 2025 | Willingness and capacity to engage by partners and community. |
| Natural Hazard Data | Work with Waikato Regional Council to continue to build the Waikato Hazard Portal and engage our communities with this tool. | Will be established by the Hazard Portal work programme. | March 2025 | |
| Climate Response & Resilience Strategy | Yearly initiatives are still to be confirmed | We move closer to our goal of reducing emissions by 50% by 2030 in line with science-based targets of 1.5C warming. | March 2025 | |
| | | We move closer to our goal of carbon neutrality by 2050 in line with Government commitments and expectation. | March 2025 | |
| | | We move closer to our goal to achieve district reduction in emissions by 25% by 2030 | March 2025 | |

| Treatment | Initiatives planned | Target / measure of success | Timeframe | Barriers |
|------------------------------|---|---|------------|--|
| Community Response Plans | Continue engagement with communities to develop community response plans, including finalising the 14 plans that have already commenced. | The 14 community response plans that commenced pre-March 2024 are finalised and operationalised in communities. | March 2025 | Willingness and capacity to engage by partners and community. Council employs one Emergency Management Advisor. It is noted that this is an ambitious target, when considered against our current resource. |
| Climate Mitigation Education | Deliver public education/ community workshops. | Successful delivery of four workshops. | March 2025 | Willingness and capacity to engage by partners and community. |
| Emergency Management Plans | Educate and engage with our communities and key stakeholders on information relating to hazard-risk and community arrangements detailed in our emergency management operational plan. | Our communities and key stakeholders have access to the information they need to reduce the impacts on them of a hazard-based emergency and build their own and community resilience. | March 2025 | Willingness and capacity to engage by partners and community. |

4. Support and Consideration Ahu whakamua

Despite mitigation efforts there are persistent difficulties in supporting communities to adapt to climate change due to limited council influence, unclear government directives, financial constraints and complex nature of community-specific challenges.

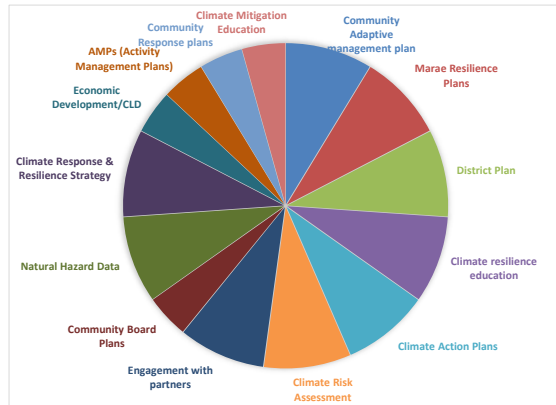
To make progress in this space, Council needs to take a collaborative, holistic approach to successfully mitigate the risks associated with climate change.

5. Attachments Ngaa taapirihanga

Attachment One – Strategic Risk Control Plan

Community Climate Resilience - Strategic Risk Control Plan Tool

| Cause | Risk | | Inherent Risk | | | Treatment | | | | | | | | |
|--|---|---|------------------|------------|-------------|-----------|--|--|---------------------------------------|-----------------------------------|-------------------------|---------------------------------------|--------|---|
| | Because of ... | There might be... | Resulting in ... | Likelihood | Consequence | Factor | Treatment Title | Treatment Description | Treatment importance (10/5/2) | Control Type | Treatment Effectiveness | Rationale for Treatment Effectiveness | Status | Estimated Timeframe for Implementation |
| Due to •Increasing impacts, costs and expectations from climate change. •Communities hold council accountable for climate relief. •Diverse and conflicting needs of communities | Council may be unable to support communities to adapt to climate impact | Resulting in •Significant public scrutiny, Community holding council accountable, •Financial impact - Increased emergency support required. | 5 | 5 | Extreme | | Specific - Clearly define the plan, aligning it to the identified risk. Make it meaningful and appropriate to achieve a desired outcome. | Treatment is/ has: Critical and essential - 10 Significant role- 5 Minimal impact - 2 | (Preventative, Detective, Corrective) | High - H Medium - M Low - L | | | | Timely: Expected date to be in place and Maximum score. |



| Treatment Title | Treatment Description | Treatment importance (10/5/2) | Control Type | Treatment Effectiveness | Rationale for Treatment Effectiveness | Status | Estimated Timeframe for Implementation |
|--|---|-------------------------------|---|-------------------------|--|--------------------|--|
| Community Adaptive management plan | Waikato District Resilience Project, scope approved by S&W Committee June 2023, continuing with work in Port Waikato and adding Raglan, then some other river communities over time. Uses best practice dynamic adaptive planning pathways (DAPP) approach promoted by central government. | 150 | Preventative, Detective, and Corrective | L | Will be High once in place, but at moment just underway | Not In Place | Dec-25 |
| Marae Resilience Plans | Waikato District Council is working to develop a Marae Resilience Strategy, with the intent to work with Marae in our district to build relationships and capacity between CDEM and mana whenua. The aim of this strategy is to work proactively with Marae communities in our district to prepare, plan and support their resilience. This work aligns to the expected emergency management reform which seeks to improve the participation of maori in the emergency management system. | 10 | Preventative and Corrective | L | Will be High once in place, but at moment not in place | Not In Place | Jun-24 |
| District Plan | RMA and RMA-Based Government Policy statements implemented through the district plan. | 10 | Preventative, and Corrective | H | | Partially In Place | Jun-24 |
| Climate resilience education | Work programme of virtual resilience team. - E.g. Education around flood prone areas | 10 | | L | | Not In Place | Dec-24 |
| Climate Action Plans | The CAP's (operational and district) outline key projects/initiatives that deliver on the Strategy. The district CAP will be co-designed with key stakeholders from our communities. | 10 | Preventative | L | | Not In Place | Jun-24 |
| Climate Risk Assessment | The CRA will consider and assess risk to our assets, infrastructure, communities, land, buildings etc, applying climate change projections and scenarios. The data will be used for planning, zoning, identifying areas of vulnerability. | 10 | Preventative | M | | Not In Place | Dec-24 |
| Engagement with partners | Engagement with partners is critical to ensuring a more holistic approach to community resilience. Partners include FENZ, MSD, MBIE, ME, All the Ms - Engagement on climate response and resiliency at a strategic level is being done through the Future Proof Future Development Strategy which includes a Climate Change change chapter. - WDC is awaiting a revised Government Policy Statement on Land Transport that we have a new government. - Engagement on the sub-regional Future Development Strategy (FDS) (which includes a chapter focussing on climate change) to commence in January 2024. - Engagement planned on a proposed Hamilton-Waikato Urban Programme and a northern Waikato Public Transport Improvement programme focussing on reducing vehicle kilometers travelled in 2024. | 10 | | L | Lost connections with partners. Need to reestablish connections. | Partially In Place | Dec-24 |
| Community Board Plans | Work is underway to create a framework for Community Board Plans for our 10 Community Board and Community Committees. The framework aligns to our community outcomes and draws a direct link to enhancement of the . | 5 | | L | | Not In Place | Dec-24 |
| Natural Hazard Data | This captures natural hazard data for the district and make it publicly available and easily accessible in one place (modelled to best public standards) | 10 | Detective | H | | Partially In Place | Dec-24 |
| Climate Response & Resilience Strategy | This strategy is focused on target based mitigation and key projects that deliver on targets. It includes statutory requirements in council's roles in climate change. Additionally it focuses on resilience of communities to prepare and adapt to climate change. | 10 | Preventative | L | | In Place | |
| Economic Development/CLD | Development, economic and community opportunities consider sustainability and climate change impacts. We use a weighting tool to assess factors. We seek advice from specialists. We collaborate and will consult with iwi if necessary. | 5 | Preventative | L | | Not In Place | Mar-25 |
| AMPs (Activity Management Plans) | -Activity management plans for council contain Resilience Activity Management Plans with a view to identifying need and increasing community resilience. - Strategic and spatial planning AMP including Future Proof Future Development Strategy (FDS) - directing growth and development away from hazardous areas, and encouraging climate-friendly transport networks - Economic and Community Lead AMP (inc. waikato business sustainability) | 5 | Preventative (S&SP AMP and FDS) | L | [FDS? AMPs?] being reviewed, past plans not considering community resilience. | Partially In Place | Jun-24 |
| Community Response plans | The Community Response Plans empower communities to understand and be prepared for identified hazard risk. Community response groups hold the capability and depth of understanding to provide immediate support within their area, and work with emergency management to support people and distribute resources. | 5 | Preventative and Corrective | L | Will be High once in place, but currently we low maturity in community response. | Partially In Place | Dec-24 |
| Climate Mitigation Education | Staff and community educated, informed and provided with tools to make change, mitigate and prepare for climate change | 5 | Preventative | L | | Partially In Place | Dec-24 |
| Consenting and monitoring | Register of unconsented properties in hazardous areas. | 10 | | M | Unclear appetite to evict unconsented properties | In Place | |
| Waikato 2070 | The purpose is to provide the Council with a strategic spatial framework for development planning. -Take leadership and build our district to respond to climate change and help mitigate its effects. -Educate and develop the communities' capabilities to adapt to climate change. -Encourage and assist communities to adapt to climate change and to manage and adapt to its effects on the environment. | 5 | Preventative | L | | In Place | |
| Emergency management plans | The following element are included in the Emergency management plan with a view to improving community resilience: Operational Response Plan Welfare network Public Education Plan Waikato CDEM Group Plan Waikato District Council scored 46.8% in 2014, 69.9% in 2017 and 76% in 2019. This has brought us from being considered 'developing' to 'advancing'. To reach a level considered to be mature in this activity we are required to exceed a score of 80%. All of our plans and arrangements are subject to evaluation. | 5 | Preventative and Corrective | H | Not all welfare groups exist. Additional education required. | In Place | |
| Evidence based science | Up to date information, data, targets and projections inform planning and preparation and decision making. | 10 | Preventative | H | | In Place | |
| GHG Inventory Reporting | GHG are reduced in line with targets and Gov't expectations. Benchmarking, tracking and delivery on targets is used. | 5 | Preventative | H | | In Place | |

| | |
|---------------------|--|
| To | Risk and Assurance Committee |
| Report title | Strategic Risk Deep Dive Report - Infrastructure Climate Resilience |
| Date | 26 March 2024 |
| Report Author | Megan May, General Manager Service Delivery |
| Authorised by | Tony Whittaker, Chief Operating Officer |

1. Executive summary Whakaraapopototanga matua

The Deep Dive report aims to provide an opportunity for Governance to gain a true understanding of how Management view risk and to assess Managements control actions and mitigation procedures.

This report relates to the Infrastructure Climate Resilience strategic risk, which is defined as:

| Due to | Council may be unable | Resulting in |
|---|---|--|
| <ul style="list-style-type: none"> • Aging infrastructure with an increased vulnerability due to climate change • Reduced renewal timeframe and increased design requirements impacting funding when assets need to be replaced • Insufficient resource to fulfil required maintenance schedules | There may be a lack of resilience in council assets | <ul style="list-style-type: none"> • Failure to deliver on levels of service • Harm caused to contractors, staff, and communities • Financial loss/ increased cost to replace assets • Reputational damage |

2. Staff recommendations Tuutohu-aa-kaimahi

THAT the Risk and Assurance Committee receives the Infrastructure Climate Resilience Strategic Deep Dive report.

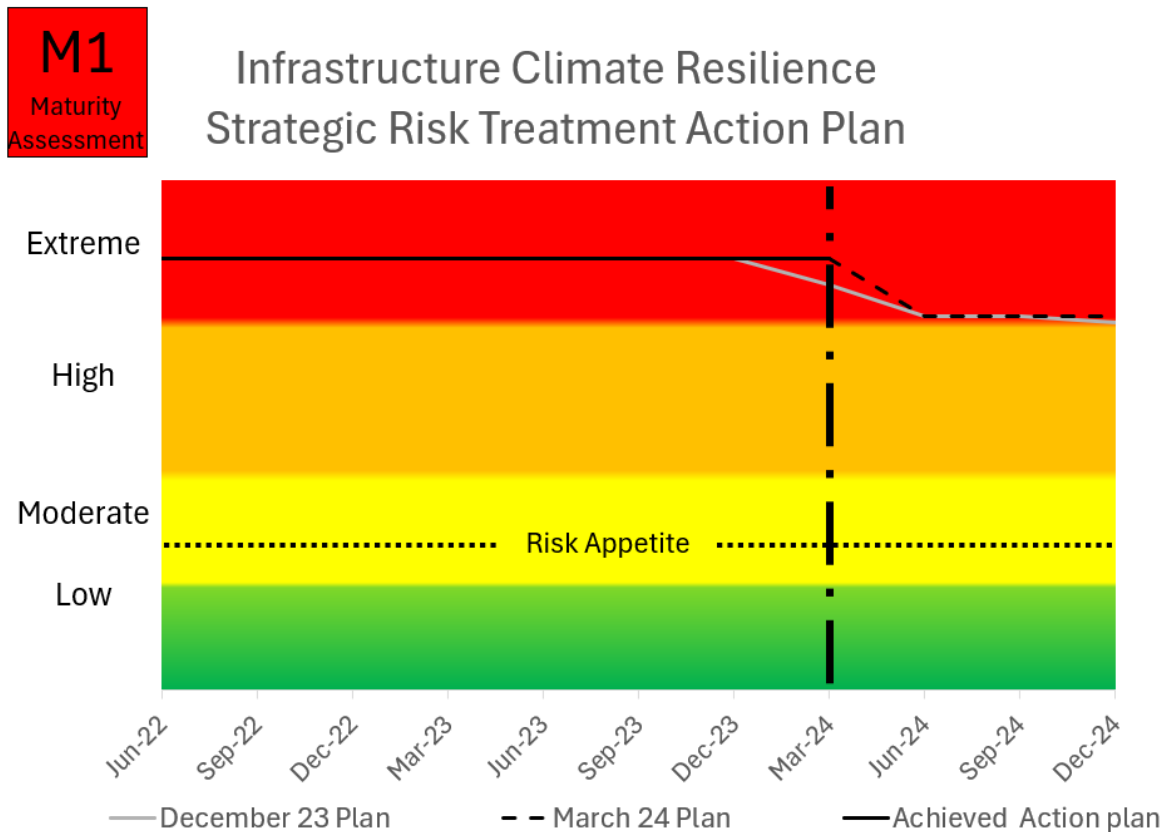
3. Discussion Matapaki

3.1 Cause and consequence

The following information outlines the causes, consequences and treatments associated with this strategic risk:

| Cause/ Consequence | Context | Associated treatments |
|--|---|--|
| Cause: Aging infrastructure with an increased vulnerability due to climate change | Assets are not maintained or renewed to best practice standards which results in compromised integrity and reduced resilience. | <ul style="list-style-type: none"> - Identifying resilience – Rooding assets - Asset Management Plans - Infrastructure Strategy - AON Insurance - <i>Asset data capture</i> |
| Cause: Insufficient resource to fulfil required maintenance schedules | Insufficient resources can be described as inadequate funding, WDC employed staff to manage processes, as well as contractors available to undertake the required work. | <ul style="list-style-type: none"> - Asset data capture - Regional Infrastructure Technical Specifications guidelines |
| Cause: Insufficient planning, increasing cost and conflicting needs of the community | Poor or insufficient planning is undertaken to inform decision making. | <ul style="list-style-type: none"> - Activity Management Plans - Regional Infrastructure Technical Specifications guidelines - Business continuity planning |
| Consequence: Failure to deliver on levels of service | Due to resourcing, | <ul style="list-style-type: none"> - Planning & Funding of renewals |
| Consequence: Harm caused to contractors, staff, and communities | Failure in assets put people in possible situation of harm | <ul style="list-style-type: none"> - Identifying resilience – Rooding assets - Planning & Funding of renewals |
| Consequence: Financial loss/ increased cost to replace assets | Additional cost is incurred to replace asset failures that could have been prevent with lower cost maintenance or intervention measures | <ul style="list-style-type: none"> - Identifying resilience – Rooding assets - Planning & Funding of renewals |
| Consequence: Reputational damage | Asset failure and LOS impacts are visible to public | <ul style="list-style-type: none"> - Activity Management Plans - Planning & Funding of renewals |

3.2 Treatment Action Plan Graph



3.3 Progress of treatments

As reflected in the above graph, progress against treatments associated with this strategic risk.

Treatment: *Identifying resilience – Roading assets*

By identifying assets that provide lifeline resources, such as water treatment plants and key roads that communities are reliant on to access essential services, Council can recommend increased investment in these assets to reduce the risk of failure due to climate challenges.

Funding of \$100k has been secured from the Department of Internal Affairs (DIA) to undertake a study to identify lifeline routes and where Council should make investment in the resilience of our roading network. This study is underway, with the field work phase near completion.

Treatment: *Asset Management Plans (AMPs)*

Business Units have completed Asset Management Plans, in line with the three-year cycle for this activity. Council's AMPs have a specific section focussing on '*Managing risk and investing in resilience*', which identifies specific risks, such as flooding, earthquakes etc, and how resilience of assets could be achieved.

AMPs are not constrained by budget, and due to existing and historic budget requirements it is not considered achievable to complete all works outlined in AMPs.

Treatment: *Asset data capture*

Asset management systems enable Council to manage and maintain our assets throughout their full lifecycle. There are two systems – RAMM for transportation and Infor for waters (operated by Watercare).

Transportation – currently there is a backlog of maintenance and renewals required. This is due to insufficient funding over successive years and has the result of levels of service not currently being achieved.

Waters – currently maintenance schedules have not been achieved, due to insufficient funding. Therefore, agreed levels of service are not being delivered. It is noted that there was an expectation that industry reform and government intervention would occur in 2024, alleviating some of these issues.

However, the recent change in direction from central government means that it is not considered that waters reform will address the challenges we have in this area.

Treatment: *Infrastructure Strategy*

Council's 2021-2051 Infrastructure Strategy documents the management philosophy that is applied to Waikato Districts' infrastructure assets. The strategy identifies key issues that Council will face in the next 30 years and how levels of service within AMPs are developed. Work is being carried out to audit the strategy and understand how it can better inform the levels of service.

The strategy also guides the planning and delivery of Council's capital expenditure (CAPEX) projects. In the past 12 months Council has significantly improved on capital works delivery, this in turn has meant that the planned achievement levels within the strategy have been worked towards.

Treatment: *Measuring resilience – water assets*

Funding was received from central government during the recovery of Ex-Tropical Cyclone Gabrielle. This funding will be specifically utilised to resolve flooding related impacts on water assets in Port Waikato and at Lake Hakanoa.

Treatment: *Regional Infrastructure Technical Specifications (RITS) design guidelines*

Currently Council utilises RITS guidelines in how we design and construct transportation, water supply, wastewater, stormwater and landscaping infrastructure in the participating councils' areas. This document is applicable to the wider Waikato region and ensures that new assets are built to a resilient standard. RITS has been applied to all infrastructure over that past 12 months.

Treatment: *Business continuity plans*

Business continuity planning has been undertaken by key contractors that manage our critical infrastructure – Watercare and Waikato District Alliance (WDA). These plans and arrangements are frequently reviewed, tested and implemented by both partners.

Ex-Tropical Cyclone Gabrielle in February 2023 showed that both partners were able to maintain effective continuity of service. As an example, generators and pumps were utilised by Watercare in areas where flooding and loss of power occurred; WDA were able to expand their operations by utilising Downer and contractor resource to respond to flooding and consequent roading impacts.

Treatment: AON insurance

Council holds insurance with AON over critical above ground infrastructure and bridges. This is a corrective treatment and therefore does not create resilience of our infrastructure.

Treatment: Disaster Recovery Fund (DRF)

Council's DRF is the primary means of funding damaged infrastructure following an emergency event. The DRF is limited by our debt cap and is replenished through rates.

Ex-Tropical Cyclone Gabrielle saw Council utilise and subsequently deplete this fund. However, it is noted that Council was able to agree a greater cost share arrangement with Waka Kotahi. Council has also secured funding from the Department of Internal Affairs to support work to waters infrastructure damage at Port Waikato and Lake Hakanoa, because of the cyclone.

3.4 Forecast of treatments

Treatments that are planned and expected to progress over the next 12 months are detailed below:

| Treatment | Initiatives planned | Target / measure of success | Timeframe | Barriers |
|---|---|--|-------------------------------|---|
| Identifying resilience – roading assets | Undertake next phases of DIA funded study to identify lifeline routes and where Council should make investment in the resilience of our roading network. Business case completed to position Council for future government funding to increase the resilience of our roading assets. | The outputs of the study assist in prioritising investment of resilience funding in 2025-2034 LTP. | December 2024 | This work is on track to be delivered. However, changes to our long-term roading contract with WDA will mean that Roothing team will be required to undertake transition activities, which may result in a resourcing impact. |
| Asset Management Plans (AMPs) | Realignment of funding to meet most critical levels of service outlined in AMPs. required. Work with Waikato Regional Council to undertake hazard mapping, to confirm risk levels of assets. | Council meets stated levels of service for asset classes. | Live document – Annual review | AMPs are not constrained by budget, and due to existing and historic budget requirements it is not considered achievable to complete all works outlined in AMPs. |

| Treatment | Initiatives planned | Target / measure of success | Timeframe | Barriers |
|-------------------------|--|---|---|--|
| Asset data capture | Following the release of further information from central government relating to 'Local Water Done Well', create framework to deliver current maintenance schedules against our levels of service. | Council understands what is required to align levels of service to maintenance plans. | Project being stood up and will establish milestones. | <p>Uncertainty of funding mechanism to deliver on required maintenance and corrective work required.</p> <p>The recently signalled exit of Watercare from our waters contract creates uncertainty around the model of waters delivery Council will utilise from June 2026 onwards.</p> <p>Still awaiting direction and detail from central government of 'Local Waters Done Well'.</p> |
| Infrastructure Strategy | <p>Implementation against the strategy via delivery of CAPEX projects will occur over the coming year.</p> <p>Audit of the strategy is completed.</p> | <p>The associated AMP's will be updated and kept 'live' to allow measurement of success against the strategy.</p> <p>Council understands how the strategy can better inform levels of service and implements findings through the next review of the strategy, which will take place in 2026.</p> | Ongoing | CAPEX projects are on track to be delivered. However, unpredicted industry changes and resourcing can always impact on our ability to deliver in this space. |

| Treatment | Initiatives planned | Target / measure of success | Timeframe | Barriers |
|---|--|--|--|---|
| Measuring resilience – water assets | <p>Utilise central government funding to resolve flooding related impacts on water assets in Port Waikato and at Lake Hakanoa.</p> <p>Proposal for significant funding increases to waters network resilience in the 2025-2034 Long Term Plan (LTP).</p> <p>Council's catchment management plans, which measure the expected rain fall (therefore demand of water infrastructure) continue to be updated for growth areas, through design processes.</p> | <p>Water assets at Port Waikato and Lake Hakanoa are repaired, fit-for-purpose and operational.</p> <p>Ongoing</p> | <p>June 24</p> <p>Ongoing</p> | <p>Further funding is a consideration of the 2024 Annual Plan and 2025-2034 Long Term Plan and will be dependent on the LTP funding position.</p> |
| Regional Infrastructure Technical Specifications (RITS) design guidelines | <p>Develop work programme to carry out review of vested roading assets.</p> <p>Three waters assets continue to be designed using RITS</p> <p>Quality management practices and audit will be used to ensure appropriate application of RITS is being applied to new infrastructure.</p> | <p>All roading assets are reviewed and RITS applied.</p> <p>RITS are applied to all waters assets.</p> <p>All new infrastructure has RITS applied.</p> | <p>TBA</p> <p>Ongoing</p> <p>Ongoing</p> | <p>Resource for this is proposed in the 2025-2034 Long Term Plan and will be dependent on the LTP funding position.</p> <p>Awaiting central government direction that under 'Local Water Done Well', RITS will be continued to be used.</p> |
| Disaster Recovery Fund (DRF) | Replenishment of our DRF through rates. | Our DRF is replenished by 2027. | 2027 | The DRF is limited by our debt cap. |

4. Support and Consideration

Ahu whakamua

During the Long Term Plan (LTP) process, detailed asset management plans were developed, which included assessments of the infrastructure's susceptibility to climate change impacts. However, due to affordability considerations, decisions made during this process have affected the resilience of Council's infrastructure networks. For instance, the road network continues to be vulnerable to severe weather events.

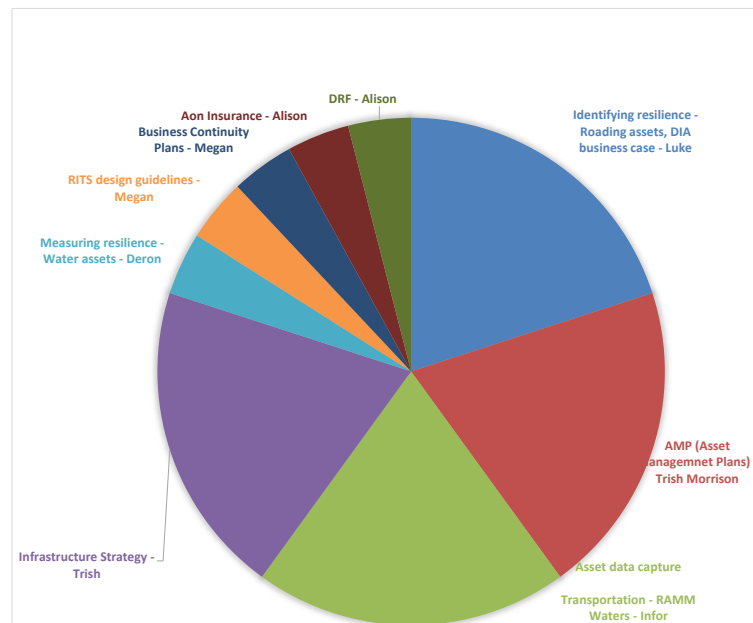
It is recommended that the council increase our current risk appetite to align it with the affordability decisions already made through AMP workshops, Waka Kotahi Capital Works bids, Waka Kotahi Maintenance operations and renewals bids. These decisions were incorporated in LTP and enhanced annual plan proposal.

5. Attachments

Ngaa taapirihanga

Attachment One – Strategic Risk Control Plan

| Risk | | | Treatment | | | | | | | | | | |
|---|---|---|---------------|-------------|---------|-----------------------|---|--|---------------------------------------|-----------------------------------|---------------------------------------|--------|---|
| Cause | Risk | Consequence | Inherent Risk | | | Recommended Treatment | | Treatment Effectiveness | | | | | |
| Because of | There might be... | Resulting in ... | Likelihood | Consequence | Factor | Treatment Title | Treatment Description | Treatment importance (10/5/2) | Control Type | Treatment Effectiveness | Rationale for Treatment Effectiveness | Status | Estimated Timeframe for Implementation |
| Due to •Aging infrastructure with an increased vulnerability due to climate change •Reduced renewal timeframe and increased design requirements impacting funding when assets need to be replaced. •Insufficient resource to fulfil required maintenance schedules. | There may be a lack of resilience in council assets | Resulting in •Failure to deliver on LOS, •Zero harm caused to contractors, staff, and communities. •Financial loss/ increased cost to replace assets. •Reputational damage | 5 | 5 | Extreme | | Specific - Clearly define the plan, aligning it to the identified risk. Make it meaningful and appropriate to achieve a desired outcome. | Treatment is/ has: Critical and essential - 10 Significant role- 5 Minimal impact - 2 | (Preventative, Detective, Corrective) | High - H Medium - M Low - L | | | Timely: Expected date to be in place and Maximum score. |



| | | | | | | | | |
|---|---|----|----|--------------|---|--|--------------------|--------|
| Identifying resilience - Rooding assets, DIA business case - Luke | Rooding assets - DIA funding to identify lifeline routes and identify where there's best value for money in funding resilience of our rooding network. | 50 | 10 | Detective | L | \$100K of DIA funding is secured. Field work partially complete, working on business case to position Council for future funding. | In Place | Mar-24 |
| AMP (Asset Management Plans) - Trish Morrison | AMPs have a 'Managing risk and investing in resilience' section for each asset class. These sections identify specific risks (E.g. Flooding, earthquake etc.) and address how resilience of the assets is achieved for each of the hazards identified. | | 10 | Preventative | L | Realignment of funding to meet LOSs required. Funding is sufficient to cover LOSs. | Partially In Place | Jun-24 |
| Asset data capture Transportation - RAMM Waters - Infor | Asset management systems provide the following data for both asset classes; - Scheduled preventative maintenance plans - based on condition, criticality, and performance of assets. - Reactive/corrective management plans to repair unforeseen issues as well as enhancing asset performance or increase lifespan, if appropriate. This is centered around levels of service in the annual plan and long-term plan. - Assets are managed and maintained throughout full lifecycle. - Asset data in Infor is updated and of good quality, enabling data-driven decision-making. - Renewals and replacements at end of life. | | 10 | Preventative | L | Transportation - Network data, faults etc is captured and entered into RAMM. The data is then programmed based on priority ie safety or road heirarchy, type of fault. Currently there is a backlog of maintenance and renewals due to insufficient funding over successive years, meaning that LOS is not being achieved and needing to be revisited. Waters - Due to insufficient funding maintenance schedules are not sufficient to maintain asset as required to delivery agreed LOSs. | Partially In Place | Sep-27 |
| Infrastructure Strategy - Trish | The WDC 2021-2051 Infrastructure Strategy documents the management philosophy that is applied to Waikato Districts' infrastructure assets. The strategy identifies key issues that WDC will face in the next 30 years. This feeds directly into the AMPs and CAPEX projects after. | | 10 | Preventative | M | Effectiveness of strategy to guide how AMPs are written. Sufficient funding required to allow the strategy to be effective. | In Place | |
| Measuring resilience - Water assets - Deron | Identification is primarily reactive relying on failure or near failure of systems to identify weaknesses. E.g measuring flow rates during events, uplifted manhole covers etc. Modeling, inflow and infiltration studies, pressure testing via loggers, and desktop studies may be conducted to help identify weak points in the network. | | 2 | Corrective | L | By nature of the "wait and see" approach, damage is unavoidable. Additional funding required to plan ahead to identify weaknesses in system ahead of time. | In Place | Dec-25 |
| RITS design guidelines - Megan | New assets are designed in accordance with RITS (Regional Infrastructure Technical Specifications). This is the primary drive for allowing for climate change in the new design of assets. | | 2 | Preventative | M | A large number of existing assets have been vested without appropriate inspection due to resource constraints. Additional rooding staff required to review vested assets. | In Place | |
| Business Continuity Plans - Megan | Watercare BCP plan (E.g. Generators on site for critical assets). BCP plans for Rooding and Water Infrastructure are created and managed by the Alliance and Watercare respectively. | | 2 | Corrective | M | Following recent weather events it appears BCP plans are effective. | In Place | |
| Aon Insurance - Alison | Aon - Insurance over critical assets, (Above ground infrastructure, bridge infrastructure) | | 2 | Corrective | L | This is a corrective treatment and therefore does not create resilience of infrastructure. | In Place | |
| DRF - Alison | DRF Disaster Recovery Fund is the primary means of funding damaged infrastructure following an event. Limited by out debt cap. | | 2 | Corrective | M | DMF currently empty following recent disaster events. Original funding insufficient to "self insure" assets. | In Place | |

| | |
|---------------------|--------------------------------------|
| To | Risk and Assurance Committee |
| Report title | Annual Report Risk Assessment |
| Date: | 26 March 2024 |
| Report Author: | Colin Bailey, Finance Manager |
| Authorised by: | Alison Diaz, Chief Financial Officer |

1. Purpose of the report

Te Take moo te puurongo

To inform the Risk and Assurance Committee of the likely areas of focus for the upcoming audit of Council's Annual Report for 2023/2024, and outline any issues or risks identified to date.

2. Executive summary

Whakaraapopotanga matua

Work is underway to prepare for the Annual Report and related audit. Audit New Zealand (Audit NZ) are in the process of compiling their audit plans for the sector, which will detail the areas of focus and confirm the proposed timetable for the completion of interim audit/s, final audit of the Annual and Summary reports and the audit opinion.

While the audit plan will not be available until the June 2024 committee meeting, the main areas of focus identified by Audit NZ in prior years are expected to carry forward to the 2023/2024 audit and are therefore factored into our internal planning.

The likely areas of audit focus are:

1. The risk of management override of internal controls.

Audit NZ will test the appropriateness of selected journal entries, review accounting estimates and evaluate any unusual or one-off transactions.

2. Service performance reporting.

In the 2022/2023 audit, Audit NZ identified there are significant uncertainties in calculating greenhouse gas emissions. Processes, reporting and assurance standards are still developing, and public interest in greenhouse gas emissions reporting has resulted in emissions reporting being a material area of focus for many public entities.

Audit NZ are likely to review their determination that Council's performance measure is not a material performance measure and therefore increased disclosure could be required.

3. Valuation of assets.

The judgemental nature of asset revaluations, fair value assessments, and impairment assessments creates a risk of bias or error in the assumptions and inputs used. Due to the value of the asset classes in question, any bias or errors in the inputs used or calculations performed could result in a material misstatement of council's financial statements.

Council will undertake a revaluation of infrastructure assets as at 30 June 2024 and will consider also engaging valuers to performing a fair value movement assessment for all asset classes to determine whether there is a significant difference between the fair value and the carrying value.

Audit NZ will review the reasonableness of the fair value assessment including the appropriateness of the assumptions used in the assessment. This will reduce the time and cost of the audit.

4. Capital projects including work in progress.

Council continues to have a significant ongoing capital programme. Accounting for capital projects, whether completed during the year or in progress at balance date, requires assumptions and judgements to be made that can have a significant impact on the financial statements. Management and the Council are responsible for managing the financial statement risks associated with capital projects.

Audit NZ will review the accounting for costs incurred on capital projects, including:

- Reviewing assumptions and judgements used by management in classifying costs as either capital or operational in nature.
- Appropriate capitalisation point for completed assets, including transfers from work in progress.
- The reasonableness of depreciation rates and useful lives applied to asset components.
- The disclosures included within the financial statements, including those relating to capital commitments.

5. Impact of the water services reform programme.

Audit NZ will continue to monitor developments related to the water services reform programme. If any substantive announcements are made before the financial statements are authorised for issue, there may be implications for Council.

6. Issues and risks identified by management:

In addition to the identified areas of audit focus, management have assessed that there are two areas that will need to be closely managed in delivering the audit.

7. Adoption of PBE FRS 48 *Service Performance Reporting*.

The 2022/2023 reporting of service standards did not provide information that relates to previous periods or future periods (such as trend data) to provide further context of how the Council is progressing towards its long-term objectives, as required by the reporting standard. The Council must consider including trend data in the annual report to ensure full compliance with the reporting standard.

8. Timeline

Audit NZ have indicated that the audit will be planned as follows:

- Interim visit – 1 April 2024 (2 weeks)
- Second interim visit – 27 May 2024 (1 week)
- Final visit – 12 August 2024 (4 weeks)

This programme allows for an adoption date of mid-late October 2024 and provides staff with time to manage significant processes such as asset valuations and fair value assessments.

3. Staff recommendations **Tuutohu-aa-kaimahi**

THAT the Risk & Assurance Committee receives the Annual Report Risk Assessment report.

4. Attachments **Ngaa taapirihanga**

There are no attachments for this report.

| | |
|---------------------|--|
| To | Risk & Assurance Committee |
| Report title | Waikato District Council Zero Harm Report |
| Date: | 6 March 2024 |
| Report Author: | Lynn Shirley, Zero Harm Manager |
| Authorised by: | Gavin Ion, Chief Executive |

1. Purpose of the report

Te Take moo te puurongo

To inform the Risk & Assurance Committee on the progress of initiatives underway to improve health, safety, and wellbeing, as well as current key performance indicators covering the period December 2023 to January 2024.

2. Executive summary

Whakaraapopotanga matua

- The deferred migration to a newer version of BWare Safety Manager and the delayed transition to the new Waisite have slowed the progress of two activities detailed in our strategic improvement plan for Quarter 2.
- We have successfully planned and delivered a three weeklong Work Safe Home Safe event for 2024, that included a Zero Harm refresher induction for all staff.

3. Staff recommendations

Tuutohu-aa-kaimahi

THAT the Risk & Assurance Committee receives the WDC Zero Harm report.

4. Background

Koorero whaimaarama

Council is committed to pursuing a culture of Zero Harm by eliminating or managing health, safety, and wellbeing risks. This report provides commentary and a range of indicators on the performance of health, safety and wellbeing systems and programmes at Council.

The intention of this report is to provide assurance to governance on the adequacy and functioning of Council's health, safety and wellbeing risk management system and associated programmes.

5. Discussion Matapaki

Zero Harm Strategic Improvement Plan FY23/24 Progress

A quarterly review of the activities detailed in our FY23/24 Zero Harm Strategic Improvement Plan was recently undertaken.

The only activities planned for Quarter 2 and Quarter 3 that have not been started are:

1. Transition to using updated version of BWare Safety Manager
2. Review and update existing health and safety data reporting

The migration to the new version of BWare Safety Manager that will meet the requirements of our Cyber Security Improvement Programme will be completed by 7th March 2024. Refer to Attachment 1 for more information.



Figure 1. Zero Harm Strategic Improvement Focus 2024

Our People

Worker Engagement, Participation and Consultation

A key area of focus over the last three months has been planning our annual organisation wide Work Safe, Home Safe event. This year's three-week long event was focused on building knowledge and understanding of the following;

- Workplace violence
- Mental wellbeing
- Emergency response procedures
- Dynamic risk assessment
- Physical wellbeing including heart health and hormonal health.

Key outcomes from the event included to raise awareness of

- Our critical safety risks and the safety critical controls to keep us and others safe.
- Council's emergency preparedness and response to a variety of potential emergency events e.g., armed offender or aggressive person
- Council's wellbeing strategy

Several members of the Safety Action Team (SAT) were part of the project team that organised and delivered Work Safe Home Safe (WSHS) 2024.

At the time of writing this report the following activities and participation rates were available.

| Activity | Compulsory or Optional | % Completion or Participation |
|---|------------------------|-------------------------------|
| Annual Zero Harm Refresher Induction | Compulsory | 95% |
| Managing a threatening/abusive or unreasonable customer email or phone call | Compulsory | 57% |
| Sharing your Zero Harm Commitment | Optional | 12% |
| Hormonal Health Webinar – Does Menopause Need a New Narrative | Optional | 52% |
| Healthy Heart, Vision, or Hearing Testing | Optional | 16% |
| Skin Check | Optional | 17% |

One of the key highlights from WSHS2024 was the mental wellbeing panel discussion entitled “*Having safe conversations around mental wellbeing*”. To enable all our people to attend our office/library sites were closed to the public and staff were asked to prioritise attendance at the event. The purpose of the discussion was to further build or staff’s knowledge and understanding of this critical health and safety risk.

Effective Systems

Performance Reporting

Council’s zero harm performance across several health and safety metrics for January 2024 are shown below. The results for the period July 2022 to June 2023 are included for comparison.

| Measures | July 22 to June 23 | January 24 <i>(Annualised)</i> | Commentary |
|--|--------------------|-----------------------------------|--|
| Events reported in BWare Safety Manager <i>(Lead)</i> | 218 | 121 (207) | |
| Total Recordable Injuries (TRIs) e.g., Lost Time Injury, Restricted Work Injury or Medical Treatment Injury <i>(Lag)</i> | 4 | 3 | We had targeted a 50% reduction on the FY22/23 result. The TRIs were associated with the following activities <ul style="list-style-type: none"> Slip and fall causing strain to knee while using public facilities in Auckland (Medical Treatment Injury) Strain to achilles while crouching to restrain a dog for the vet (Medical Treatment Injury) Poling aggressive dog in public (Lost Time Injury) |
| WorkSafe NZ Notifiable Events <i>(Lag)</i> | 0 | 0 | |

| | | | |
|---|------|-------------|---|
| First Aid Injury events (<i>Lag</i>) | 18 | 12 (20) | Reduction in First Aid injuries seen over the last two months. |
| Serious Near Miss events (<i>Lead</i>) | 3 | 0 | |
| Near Miss events (<i>Lead</i>) | 77 | 25 (42) | A slight reduction in near miss reporting has been noticed over the last three months. The Zero Harm team has and will continue to message the importance of reporting. |
| New Hazards (<i>Lead</i>) | 81 | 61 (104) | We continue to see a positive upward trend with the identification of new hazards. |
| Zero Harm Engagement Conversations (<i>Lead</i>) KPI is >162 conversations per month or 1944 annually | 2066 | 1444 (2475) | A positive trend in the number of Zero Harm Engagement conversations being undertaken has continued across the holiday period. |

The attached Zero Harm Dashboard (Attachment 2) illustrates safety performance for January 2024

To enable us to meet Council's Cyber Security Requirements we have migrated to a new version of BWare Safety Manager. Once we have finished familiarising users with the new platform, we will commence a review of data and reporting activities to identify if there are any opportunities for improvement to our existing weekly or monthly Zero Harm dashboards.

Auditing and Assurance

We have recently commenced the development of an internal audit programme (3rd Line of Defence) in line with below "Three Lines of Defence Model" to provide independent assurance on the effectiveness of our safety critical controls.



Adapted model of Three Lines of Defence (The Institute of Internal Auditors, 2013)

The development of an internal auditing programme was also one of the major non-conformances identified in the external ISO45001 audit undertaken in July 2023.

Community Run Events

In conjunction with the Venue & Events Team we have undertaken a review of the process and tools we use to review and approve Community run event applications. The review was done utilising the guidelines published by WorkSafe NZ in October 2023.

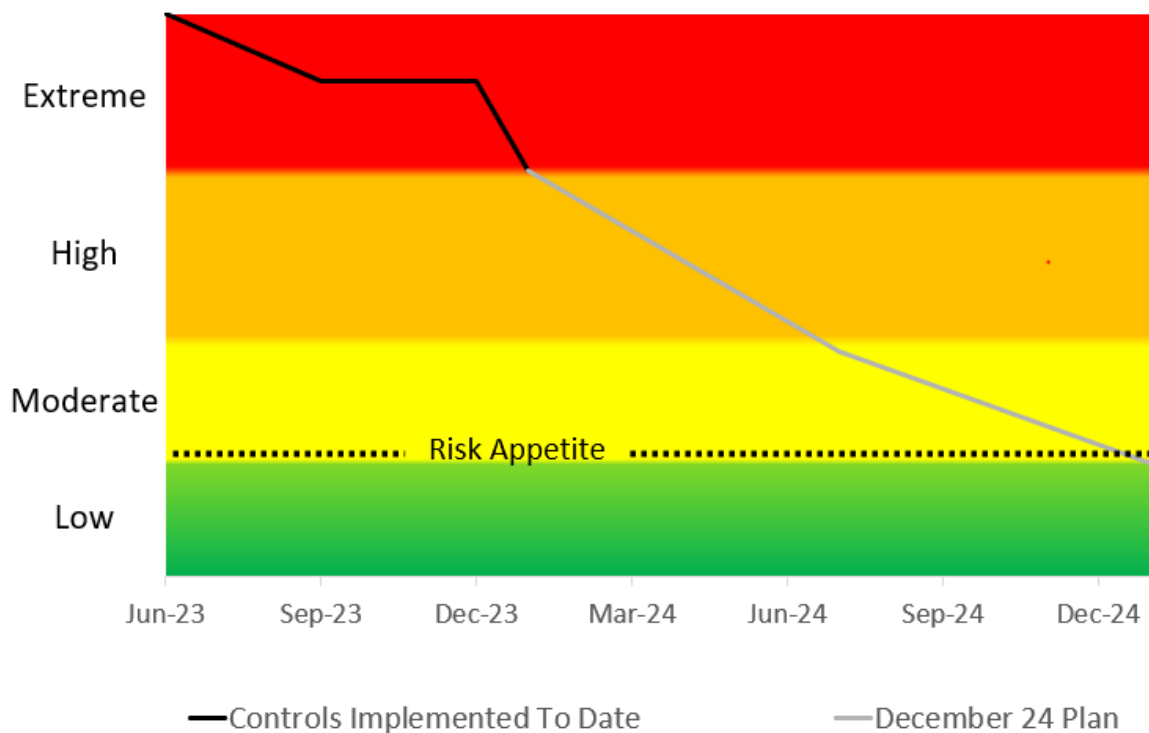
Critical Safety Risk Management Framework

Working with Animals

In January 2024 another six monthly internal Critical Control Verification Assessment was undertaken for the critical risk of Working with Animals.

Since the last assessment the number of safety critical controls implemented has increased from 4 to 14 out of 18 as illustrated in the below graph.

**Figure 2 - Working with Animals
Control Implementation**



The next step is to create effectiveness verification criteria for the remaining 61 non-safety critical controls and undertake an assessment of them.

Workplace Violence

An independent review and risk assessment of our safety and security control measures across eleven library/office sites was completed in December. The General Manager Customer Support and the Customer Delivery Manager are now working through reviewing the reports in conjunction with staff to determine what actions should be taken to address any areas that are non-compliant with recommended current practice.

To further train and support our staff on the actions that should be taken when if they receive a threatening/abusive or unreasonable customer email or phone call, two Promapp processes have been developed and published in conjunction with the Safety Action Team (SAT). As part of WSHS 2024 all staff are required to read and complete an assessment to determine understanding of these processes.

To ensure that staff are aware of the actions to take in relation to this critical safety risk the following emergency event procedures were included in the annual Zero Harm refresher induction.

- Aggressive person
- Intruder or armed offender



Mental Wellbeing at Work

In conjunction with the People and Capability Teams we are continuing to develop the control plan for managing the risk of work-related mental wellbeing. Based on worker feedback, the risk of mental wellbeing was a key topic for WSHS 2024.

We used the opportunity to build our peoples knowledge and understanding of mental wellbeing via the refresher induction process. This was then further supported by a keynote event that focused on “Having safe conversations around mental wellbeing”.

The live keynote event was also broadcast over Microsoft Teams to enable the attendance of all our outer office staff. It was a panel discussion hosted by General Manager Service Delivery – Megan May. The panel consisted of three mental wellbeing subject matter experts from Mates Matter, Hone Hato St Johns and Vitae.



6. Attachments Ngaa taapirihanga

Attachment 1 – Zero Harm Strategic Improvement Plan FY23/24 Version 3

Attachment 2 – Zero Harm Performance Dashboard January 2024

Vision (Mission)

Mahi Tika Kaainga ora "Work Safe Home Safe"

We are committed to pursuing a culture of Zero Harm by eliminating or managing health, safety and wellbeing risks. We believe that:

- By looking after ourselves and others we will return home safe every day
- Health and safety is everyone's non-negotiable responsibility
- Work should only start when all safety critical controls are in place



KEY: Activities carried over from the previous financial year are highlighted in "Blue" Text
Activities identified from recent external ISO45001 audit recommendations are highlighted in "Green"



Our Strategic Areas of Focus

- Our people are the solution to developing a healthy, safe and resilient workplace
- We will increase our leaders' health, safety and wellbeing capability to enable them to champion a strong health and safety culture across all areas of the organisation
- Our people and others will be supported to do their job safely every day
- We will have a continuous improvement mindset where we actively seek to learn and improve our culture, performance, systems and tools
- We will focus on what matters most and target risks which have the greatest potential to affect our people
- We will improve our understanding of our organisation's risk profile



"Work Safe, Home Safe " 2022/20223(Team Tactics)

| Area of Focus | We will | Plan | Do | Check | Q1 July - Sept | Q2 Oct- Dec | Q3 Jan - Mar | Q4 Apr - June |
|---|--|--|--|---|-------------------|----------------|-----------------|------------------|
| Our People – Safety Leadership and Culture | Understand the health, safety and wellbeing needs of our People Leaders and provide them training and support to champion a strong health and safety culture | Develop and undertake Safety Leadership Survey with all People Leaders | | 20/12/2024 No longer required. ELT recommended to move straight to delivery of training | | | | |
| Our People - Safety Leadership and Culture | Embed a Positive Safety Leadership Training programme to enable People Leaders to better manage health, safety and wellbeing in their teams | | Develop and commence delivery of Safety Leadership Training Programme | | | | | |
| Our People - Worker Engagement and participation | Empower our people to take responsibility for their health and safety, and to identify where improvements are required | | Develop and deliver Work Safe, Home Safe 2024 event to the organisation | | | | | |
| Our People - Worker Engagement and participation | Empower our Safety Action Team (H&S) Representatives by enhancing the role and support provided | Develop SAT Rep Working Group to determine needs and consultation requirements of reps | | | | | | |
| Effective Systems | Improve access to quality health, safety and wellbeing guidance, focussing on areas of highest risk | | Continue to develop and update our Zero Harm Waisite content | | | | | |
| Effective Systems | Improve access to quality health, safety and wellbeing guidance, focussing on areas of highest risk | | Continue to develop and implement our ZHSMS to meet the requirements of ISO45001 | | | | | |
| Effective Systems | Improve access to quality health, safety and wellbeing guidance, focussing on areas of highest risk | | Deliver emergency response training to all identified roles detailed in ERPs | | | | | |
| Effective Systems | Improve access to quality health, safety and wellbeing guidance, focussing on areas of highest risk | | Develop and implement approved evacuation schemes for all Halls | | | | | |
| Effective Systems | Embed updated tools to support our people to record and manage incidents and risks | | Implement and transition our people to using the updated version of BWare Safety Manager | | | | | |
| Effective Systems | Embed updated tools to support our people to record and manage incidents and risks | | | Review all Workgroup Hazard and Risk Registers | | | | |

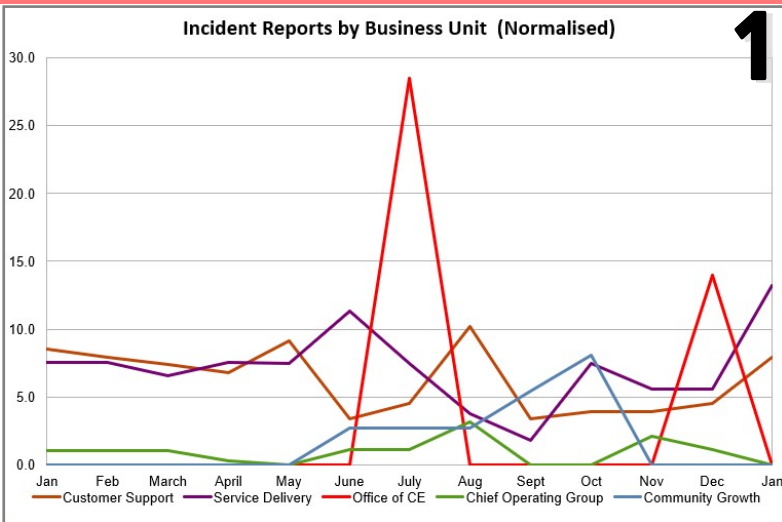
Zero Harm “Work Safe, Home Safe” Strategic Plan 2023/2024 And Key Performance Indicators (KPIs)

| “Work Safe, Home Safe ” 2023/2024 (Team Tactics) | | | | | | | | | |
|--|---|--|---|-------|----|----|----|----|--|
| Area of Focus | We will | Plan | Do | Check | Q1 | Q2 | Q3 | Q4 | |
| Effective Systems | Provide guidance and support to our contract managers and external contractors to assist them to identify and manage risks | | Revise and implement Contractor H&S management standard and associated tools | | | | | | |
| Effective Systems | Empower our people to own health, safety and wellbeing processes , resources and the going improvement of these | | Review existing Standard Operating Procedures and embed the use of SOPs | | | | | | |
| Managed Risks | Improve our management of risks related to hazardous substances, workplace violence, on road driving, asbestos and working with animals. | | Implement remaining Bowtie Controls for Hazardous Substances, Workplace Violence, Asbestos, On Road Driving and Working with Animals Critical Risks | | | | | | |
| Managed Risks | Improve our management of risks related to working on the road or roadside | | Implement Critical Risk Standard and Bowtie for Working on the Road or Roadside | | | | | | |
| Managed Risks | Equip and support our people to manage the causes and consequences of fatigue, stress and other psychosocial hazards | Develop Critical Risk Standard and Bowtie for Mental Wellbeing at Work | | | | | | | |
| Managed Risks | Improve visibility of those risks that are critical, to ensure they are effectively controlled and the health, safety and wellbeing of our people and others within our workplace is protected. | Develop Critical Risk Assurance Framework for Safety Critical Controls | | | | | | | |
| Our Plan | Improve understanding of the Te Tiriti o Waitangi and our role as a partner of the treaty | | All ZH team to attend Te Tiriti o Waitangi training | | | | | | |
| Our Plan | Improve our focus on obtaining quality health and safety data to support our risk management activities. | Review and update existing data reporting to inform decision making once transition to new Bware platform is completed | | | | | | | |

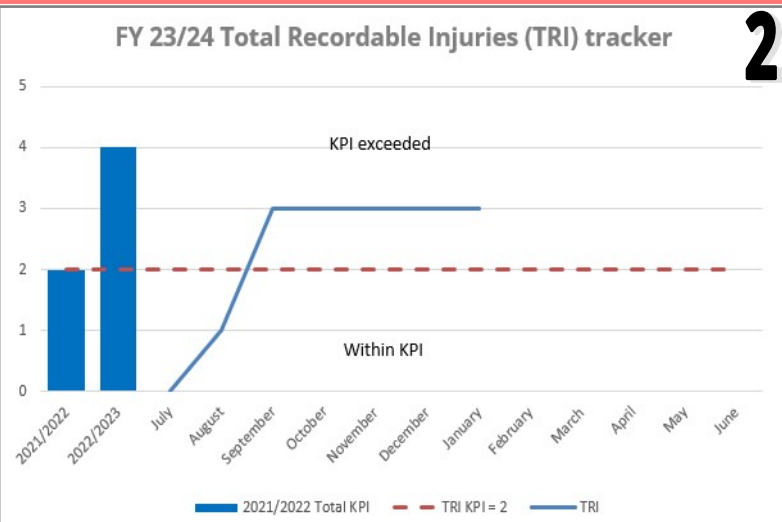
| Our Measures | Target (+/- 15%) | Unit | Deadline | Status |
|---|------------------|---------------------------|----------------|--------------------------------|
| Events reported in BWare Safety Manager (Lead) | > 180 | Events reported | 30th June 2024 | |
| Total Recordable Injuries (TRIs) e.g., Lost Time Injury, Restricted Work Injury or Medical Treatment Injury (Lag) | < 2 | TRI events | 30th June 2024 | Three confirmed TRI events YTD |
| WorkSafe NZ Notifiable Events (Lag) | 0 | Events reported | 30th June 2024 | |
| First Aid Injury Events (Lag) | < 18 | Events reported | 30th June 2024 | |
| Near Miss Events (Lead) | > 90 | Events reported | 30th June 2024 | |
| New Hazards (Lead) | > 50 | Hazards reported | 30th June 2024 | |
| Safety Engagement Conversations (Lead) | > 1950 | Conversations recorded | 30th June 2024 | |
| ISO 45000 Internal Safety Management System Audit (Lead) | Compliant | ISO 45001 Audit Standards | 30th June 2025 | |



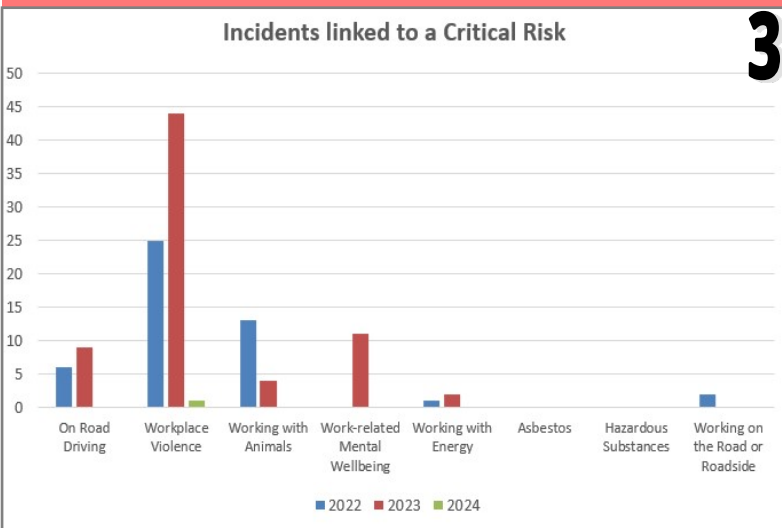
Incident Management



1



2



3

Top Nature of Injury - Year to date

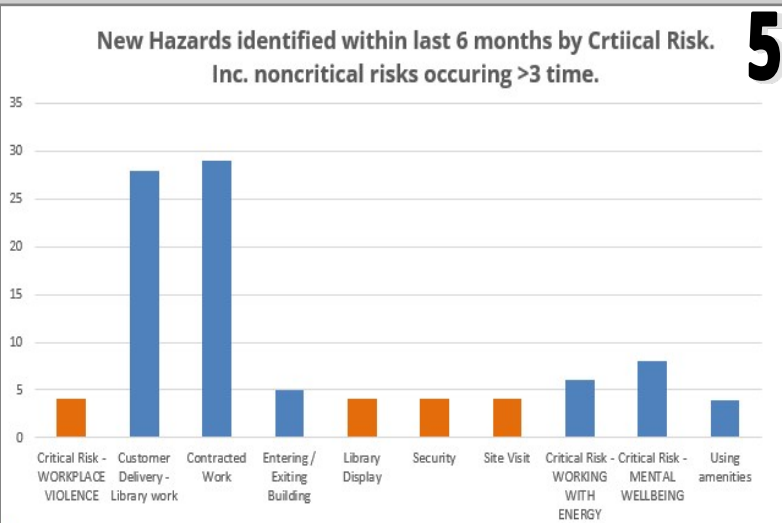
- Burn/scald/irritation
- Bruising or crushing
- Laceration/cut/abrasion
- Sprain or strain

Top Mechanisms of harm - Year to date

- Chemicals or other substances
- Fall, trip or slip
- Hitting objects with part of body
- Being hit by moving objects
- Body stressing

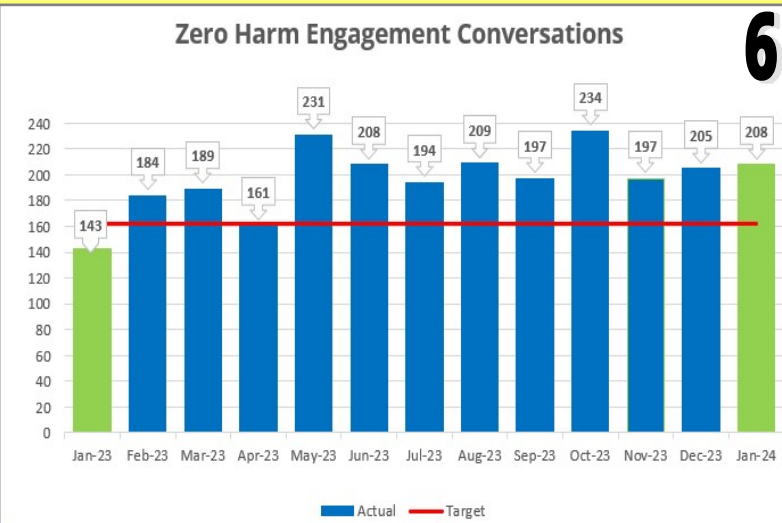
4

Hazard & Risk Management



5

Safety Leadership & Culture



6

Commentary

Graph 1 shows the volume of incidents (normalized) being reported in Bware Safety Manager by each business unit each month. We have noticed an increase in reporting from both the Customer Support and Service Delivery business units.

Graph 2 shows the number of Total Recordable Injuries (TRIs) being recorded against our KPI target. No TRIs were recorded in December or January

Graph 5 shows that most of our new hazards are being identified while Customer Delivery staff are undertaking tasks in our Library, our contractors are completing contracted work or facilities maintenance and are staff are undertaking site visits.

| | |
|---------------------|---|
| To | Risk & Assurance Committee |
| Report title | Committee Performance Evaluation – December 2023 |
| Date: | Friday, 15 March 2024 |
| Report Author: | William Durning, Strategic Mayoral Manager |
| Authorised by: | Tony Whittaker, Chief Operating Officer |

1. Purpose of the report

Te Take moo te puurongo

To inform the Risk & Assurance Committee (the Committee) of the results of the Committee Evaluation Questionnaire that was undertaken in December 2023.

2. Executive summary

Whakaraapopototanga matua

To support the objective of continuous improvement the Committee undertakes at least once every two years a survey of members seeking to identify opportunities for improvement for discussion and potential implementation if agreed upon by the committee:

Following the first survey in May of 2022 a follow-up survey was undertaken in December of 2023. A review of survey results both as an individual snapshot and in relation to the 2022 survey has been undertaken forming the recommendations below.

3. Staff recommendations Tuutohu-aa-kaimahi

THAT the Risk and Assurance Committee approves:

- a. an increase in the frequency of the survey from “at least once every two years” to once a year until such time as improvement in the areas of training and induction are improved; and**
- b. identify the consistent number of recipients for the annual committee performance evaluation/survey, with a compulsory expectation that recipients complete the survey, ensuring quality data to inform future insights and improvements; and**
- c. undertake a Deep Dive in consultation with the committee chair, into the specific areas surrounding training and induction to properly understand why gaps in expectation exist and then specific measures to address those concerns, for implementation following endorsement from the committee.**

4. Background Koorero whaimaarama

While the survey questions (18 questions) have remained the same, the number of participants of both surveys and levels of response have varied.

In 2022 the survey was sent to 40 individuals with only 20 replying. In 2023 the survey went to 25 individuals with only 13 replying. In both cases the response rate was approximately 50% one would expect that with a better identified recipient list the response rate would have increased significantly especially considering the importance of the survey to identify and address areas for continuous improvement.

In both the 2022 survey and again in 2023 the themes of more focus and assistance being needed in the areas of induction and training have been raised. Accepting that the committee had not only new members but that some of those were new to council could have been an understandable commentary for the 2022 survey, the fact that this theme is still the case in 2023 does indicate that action needs to be taken to understand further this theme of comment and actions to address.

Of further interest is commentary indicating being “uninformed and unable to give a view to the questions” this coming from respondents who while not members of the committee regularly attend the meetings.

It is noted that all Councillors have access to the agendas and a one pager covering each meeting is sent out to all Councillors. The Committee is also required to make any recommendations outside its terms of reference to the Council. This theme would further indicate that investigation into induction and training would be of benefit.

5. Discussion and analysis

Taataritanga me ngaa tohutohu

The Committee supports a philosophy of continuous improvement across the business of Council. The recommendations in this paper deliver on this philosophy in the context of the business of the Committee.

Three proposed actions have been provided for consideration and implementation

The results of the survey and the comments received have been appended to this paper the survey key to indicate a view is below.

| | |
|---------------------------|---|
| Strongly Agree | 5 |
| Slightly Agree | 4 |
| Neither Agree or Disagree | 3 |
| Slightly Disagree | 2 |
| Strongly Disagree | 1 |

6. Financial considerations

Whaiwhakaaro puutea

There are no material financial considerations associated with the recommendations of this report as a training budget is available for Councillors.

7. Risks

Tuuraru

The paper is not considered to have any risk associated with it. In fact the performance evaluation process is good practice and is consistent with Council's innovation and improvement philosophy, hence mitigating any risk from Committee operations.

8. Significance and engagement assessment

Aromatawai paahekoheko

8.1 Significance

Te Hiranga

The decisions and matters of this report are assessed as of low significance, in accordance with the Council's [Significance and Engagement Policy](#).

8.2 Engagement

Te Whakatuutakitaki

It is proposed that the Deep Dive into the identified themes of training and induction are undertaken with the support and advice of the committee chair to ensure completeness and effectiveness.

9. Next steps

Ahu whakamua

Once the Committee have provided further direction, any actions emanating from this meeting will be implemented.

10. Attachments

Ngaa taapirihanga

Attachment 1 – Committee Evaluation Questionnaire with commentary

| Committee Evaluation Questionnaire | | | | | | | | | | | | | |
|--|---|---|--|---|---|---|---|---|-------------------------------|---|---|--|---|
| 1. The Committee is effective and reports regularly on its activities, key issues and major recommendations to Council. 1. Comment | 4 | 4 | 4 | 4 | 5 | 4 | 4 | 4 | 4 | 4 | ** see comments below | 3 | 3 |
| | | | The Committee covers a wide variety of issues and asks questions to fully understand risks and challenges. | | | The Committee has matured over time and the Chairperson has provided invaluable leadership in this regard. | | | | | It appears effective based on what is presented and discussed. I wouldn't know if there is something we should receive and don't! | | |
| 2. The Committee's scope and mandate is clear in relation to the Council and other Committees. 2. Comment | 4 | 5 | 4 | 4 | 5 | 5 | 5 | 4 | 4 | 4 | | 5 | 3 |
| | | | This has been raised and addressed by the Chair during meetings. | | | The scope and mandate of the Committee is clear. | | | | | Yes – should reporting back to full council be highlighted further? | | |
| 3. The Committee confronts the real issues relevant to Council within its scope. 3. Comment | 5 | 5 | 4 | 4 | 5 | 5 | 4 | 4 | 4 | 2 | | 4 | 3 |
| | | | The Chair works with staff to ensure the key issues are discussed and addressed. | | | Pertinent issues are discussed. Need to keep a watching brief of any implications from legislative changes at a central government level. | | | | | It appears we do. Having councillors on the committee adds to the overall team understanding as we can bring knowledge of what we know is happening across other committees and full council to the discussion. | The real issues for Council relate to funding and how those funds are spent. Council's approach to risk is an issue that impacts on the value achieved from the dollar spent. This risk issue is not addressed by the committee. | |
| 4. The composition of the Committee is appropriate with a broad base of relevant skills and experience represented. 4. Comment | 5 | 4 | 4 | 4 | 4 | 5 | 3 | 3 | 3 | 3 | | 2 | 5 |
| | | | There appears to be a good spread of experience, skills and background across the Committee. The meetings lead to robust debate and questions. This is consistent with the role of the Committee. | | | Pertinent issues are discussed. Need to keep a watching brief of any implications from legislative changes at a central government level. | | | | | I think the committee would be enhanced if all committee chairs were part of the members. | The committee is too risk averse. | |
| 5. Members are up to date with developments in the areas relevant to the work of the Committee 5. Comment | 5 | 4 | 4 | 4 | 5 | 4 | 4 | 4 | 4 | 3 | | 3 | 3 |
| | | | Generally, I believe this is the case. | | | Meeting agendas reflect the relevant focus areas and updates on progress. | | | | | I am unsure of the understanding of all the members. I feel I am personally up to date with developments of relevant work. | The reform process is an opportunity to change council risk profiles. Committee members are not up to speed with this. | |
| 6. Members are adequately supported in terms of self development 6. Comment | 3 | 3 | 4 | 4 | 4 | 3 | | 3 | 4 | 2 | | 2 | 2 |
| | | | There is budget provision for Councillor training. Staff are happy to support and work with councillors if there are specific areas of concern. | | | Members have been appropriately inducted but any self-development required needs to be brought to the attention of the Chairperson. | | | Not in a position to comment. | | Not specifically – these surveys and Chair's questionnaires are more recent. Cross council meetings / workshops help (although I could not attend the last one) but are not regular. | | |
| 7. The Committee and members act in accordance with Council's code of conduct. 7. Comment | 5 | 4 | 4 | 4 | 5 | 5 | 5 | 5 | 4 | 5 | | 5 | 5 |
| | | | There have been no documented concerns around compliance with the Code of Conduct. | | | Council's Code of Conduct has not been breach. | | | | | Yes – I have not seen any behaviour that is inappropriate. | | |
| 8. New members to the Committee are effectively inducted. 8. Comment | 3 | 4 | 4 | 4 | 5 | 2 | | 3 | 3 | 1 | | 3 | 3 |
| | | | A comprehensive induction was undertaken for all councillors on all aspects of council operations during the first six months following the 2023 elections. | | | Committee members were appropriately inducted and have quickly come to terms with the matters of the Committee through Committee meetings. | | | Not in a position to comment. | | I'm not new as into my 11 th year on this committee, but I don't think new members get anything extra. | | |
| 9. The leadership of the Committee is effective. 9. Comment | 5 | 5 | 4 | 4 | 5 | 5 | 4 | 5 | 3 | 5 | | 5 | 5 |
| | | | The Chair is well informed, well prepared and provides clear direction to members. | | | The independent chairperson, Peter Stubbs, has done a great job moulding the Committee into an effective and relevant one. | | | | | Yes – excellent Chair, great management support. | Don't know. | |
| 10. The Committee appropriately challenges Management and provides them with candid, decisive and actionable feedback. 10. Comment | 5 | 4 | 4 | 4 | 5 | 5 | 4 | 4 | 3 | 5 | | | |
| | | | I believe this is the case. The Chair set standards so this challenging is done in a constructive way. | | | Management values the input, questions and guidance provided by the Committee as this ensures that the work of the Committee remains relevant and effective. | | | | | Yes – there are times when we have challenged reports and seen good outcomes from that. | | |
| 11. The Committee's feedback accurately reflects the views of the majority of Committee members and the Committee makes effective and timely collective judgements. 11. Comment | 5 | 4 | 5 | 4 | 5 | 4 | | 4 | 4 | 3 | | 3 | 4 |
| | | | Comments are made by Councillors and summarised by the Chair so that the overall feedback is balanced and clear. | | | Committee decisions are made through consensus and in the best interest of Council. | | | Not in a position to comment. | | I think all members are confident enough to speak up if they do not agree with something. | | |
| 12. The agenda of the Committee meetings allow the Committee to sufficiently consider important matters relevant to the remit of the Committee. 12. Comment | 4 | 5 | 4 | 4 | 5 | 4 | 4 | 4 | 4 | 3 | | 3 | 3 |
| | | | The agendas are long and further work is required to balance the length and the need for information. Brevity and better structured reports would help. | | | Agendas are on point and the Chairperson is sufficiently briefed by staff prior to each meeting. | | | | | Yes – this has improved and important matters come to the fore over routine reporting. | | |
| 13. Committee meetings are run effectively. 13. Comment | 5 | 4 | 5 | 4 | 5 | 5 | 4 | 5 | 4 | 5 | | 5 | 5 |
| | | | The meetings are well run and managed. | | | The Chairperson has ensured that meetings are run effectively and efficiently. | | | | | The Chair runs the meetings to task and manages lengthy conversations, focusing on relevancy. | | |
| 14. The Committee receives reliable and timely information necessary for it to perform its role (i.e. nature, clarity, quality and timeliness). 14. Comment | 3 | 4 | 4 | 4 | 5 | 3 | 4 | 4 | 4 | 3 | | 3 | 3 |
| | | | All efforts are made to ensure the timeliness and accuracy of the reports and information. The timing of meetings sometimes renders this difficult. Whatever meeting cycle is chosen, this will remain an issue (issues arise when they arise not when it fits best for an agenda) | | | Staff bring relevant issues and progress updates to the Committee. Decisions of the Committee also guides staff on agenda items for ensuing meetings apart from regular standing items. | | | | | Yes, for the meetings however I think at times we could get email updates on any matters that crop up in between the scheduled meetings. | | |
| 15. Executive risk governance, via the Executive Leadership Team and Risk Adviser, is effective and appropriately supports and interacts with the Assurance & Risk Committee. 15. Comment | 5 | 4 | 4 | 4 | 5 | 3 | 4 | 4 | 2 | 4 | | 4 | 3 |
| | | | Appropriate effort is made to ensure there is a good relationship between staff and the Committee. | | | The Executive Leadership Team maintains appropriate oversight of all strategic and operational risk. The Executive Leadership lead for the Risk and Audit Committee provides effective support to the Chairperson and the Committee as a whole. | | | | | Agree that we receive full reports and attendance by relevant staff at the meetings. | Given our current funding environment, our risk profile is misaligned. | |
| 16. The Committee allocates the right amount of time for its work and the Committee allocates the right amount of time to risk issues. 16. Comment | 5 | 4 | 4 | 4 | 4 | 4 | 3 | 3 | 3 | 4 | | 3 | 3 |
| | | | The agendas are packed and result in full meetings. I think streamlining the reports and better focus on the decisions required would help. | | | The amount of time allocated to the work of the Committee and the support provided to it by staff is guided by the terms of reference for the Committee, standing agenda items and relevant matters brought to the committee to monitor and mitigate risks and assurance. No amount of time is considered the 'right' time. | | | | | Unsure – the deep dives are important when a matter is going off track. E.g staff retention and culture needed exploring and then we are following up further. | | |
| 17. The Committee maintains constructive professional relationships with the internal and external auditors. 17. Comment | 4 | 5 | 4 | 4 | 4 | 5 | 4 | 5 | 4 | 5 | | 5 | 5 |
| | | | The Committee appears to have a good relationship with internal audit and external auditors. | | | The relationship with internal and external auditors has always been constructive, cordial and professional. | | | | | Relationships are professional and I believe we challenge when needed. | | |
| 18. The Committee appropriately discusses, challenges and oversees the reporting process in order to be able to make a risk based recommendation to the Council on adoption of the Annual Report. 18. Comment | 5 | 3 | 4 | 4 | 5 | 5 | 4 | 4 | 3 | 3 | | 3 | 4 |
| | | | The role of the committee is risk They don't get involved in reporting. A risk assessment of the Annual Report is prepared in advance of the process which is reported against, in conjunction with a risk conversation with Audit NZ, in making recommendation to Council. | | | Matters are well researched and discussed. A high standard of questions helps to uncover concerns and risks. | | | | | Matters discussed are pertinent, relevant and in keeping with the Committee's terms of reference. Discussions are robust and geared towards effective decision-making. | | |
| | | | | | | | | | | | I'm not sure we oversee the reporting process as much as we could. Although I don't know what I don't know – we rely heavily on Alison and feedback from auditors. | Agree for certain areas, except for the elephant in the room - lack of funding. | |

| | |
|---------------------|---|
| To | Risk & Assurance Committee |
| Report title | Quality and Assurance Report |
| Date: | 26 March 24 |
| Report Author: | Gopikrishna Mohanarangam, Senior Risk Advisor |
| Authorised by: | Tony Whittaker, Chief Operating Officer |

1. Purpose of the report

Te Take moo te puurongo

The purpose of this report is to update the Risk & Assurance Committee on the status of those activities within the programmes designed to provide quality improvement and assurance at Council.

2. Executive summary

Whakaraapopototanga matua

This report focuses on providing the committee with an overview of current internal audit and assurance activities.

3. Staff recommendations

Tuutohu-aa-kaimahi

THAT the Risk & Assurance Committee receives the Quality & Assurance report.

4. Discussion

Matapaki

4.1 Internal Audit Programme

Update to Internal Audit Programme

The revised internal audit programme focuses on areas not covered under the regulatory and statutory space. This approach provides a proactive assurance on identification of risks and process innovation. The revised schedule is included in attachment one of this report.

Audits completed for Dec 2023 – Mar 2024

| Date | Risk | Business Unit | Activity | Recommendations | Major / non-conformances |
|-----------------|------------------------------|--------------------------|----------------------------------|-----------------|--------------------------|
| 29 January 2024 | Cyber Security | IT Software Applications | Council's software applications | 4 | 5 |
| 5 February 2024 | Project Delivery | EPMO | EPMO Strategy | 0 | 0 |
| 5 March 2024 | Community Climate Resilience | Community Growth | Climate Resilience Strategy | 10 | 0 |
| December 2023 | Audit NZ | Business Resilience | Annual Reporting / Audit Process | 1 | 0 |

Summary of completed audits are shown in attachment two of this report.

Internal Audit Enterprise Project Management Office Strategic Framework

A review of the CAMMs system was undertaken. CAMMs is the system we use for planning, monitoring, and reporting project status. The audit reviewed the database and the complete process for the delivery of a Capital Works project and an Our Plan project.

No non-conformances or recommendations were identified.

Internal Audit Information Technology Software Applications

A review of Council's software applications was undertaken to determine if any weaknesses exist with regard to access to and/or storage of NPI (Non-public information), and to ensure data encrypted and MFA (Multi Factor Authentication) is standard protocol when using these applications. This is to meet insurance requirements.

It has been determined that a software application is being used by a business unit without a contract.

- One (1) major non-conformance has been issued.

It has been determined that several software applications are being used by business units without certification letters on Data Encryption and Multi Factor Authentication (MFA) / Single Sign-On (SSO).

- Four (4) major non-conformances have been issued.
- Four (4) recommendations have been issued.

All non-conformances are included within the Cyber Security Improvement programme and planned to be complete by June 2024.

Internal Audit Climate Resilience Strategy

A review of Climate Resilience was undertaken to determine the effectiveness of the strategy and the process associated with it.

The audit scope covered various regulatory best practices to ensure that the strategy is aligned with the community expectations and regulatory obligations.

As a review of all processes was being undertaken, there were no non-conformances identified.

- Ten (10) recommendations have been issued.

4.2 Independent External Audit Activities

The activities outlined below provide an overview of the independent external audits completed on individual business units, the identification of major non-conformances and their status.

Building Consent Authority Accreditation Initial Assessment

Special accreditation assessment of the Waikato District Council Building Consent Authority (BCA) determines compliance with the requirements of the Building (Accreditation of Building Consent Authorities) Regulations 2006 (the Regulations).

The 2023 routine reassessment of the Waikato District Council Building Consent Authority (BCA) identified a number of non-compliances, of which three were repeated issues and therefore were raised as serious non-compliances. These findings were addressed within the clearance timeframe following the assessment, although a Special Assessment was planned for February 2024 to ensure ongoing implementation of the resolutions to the findings.

It was found during this special assessment that improvements had been largely maintained across areas such as processing, granting, and issuing, forecasting and competency assessments. In particular, it was noted that the BCA appeared to have gone over and above expectations when conducting their strategic management review, with logical steps taken and an appropriate level of detail explaining the BCA's decisions, reasons for decisions and the outcomes.

In addition, the BCA was noted to have improved a number of their internal audit templates, resulting in a more comprehensive consideration of material in recent audits. The BCA's audit system linked well with the continuous improvement system and together these were seen to be effective at capturing and resolving identified issues.

The BCA team were seen to be engaged and demonstrated a positive attitude during the assessment and accreditation requirements, with good participation from staff regarding how they might resolve issues, as well as presenting ideas for improvement.

There were, however, some outstanding issues which included lapsing of building consents, statutory timeframe compliance for processing of building consents, and 24-month code compliance certificate (CCC) decisions.

While two serious non-compliances were raised in these areas (due to these being repeated issues from the routine reassessment), it should be noted that these appeared to be largely relating to data entry issues, which the BCA may be able to consider automating as an alternative. The outstanding non-compliances must be addressed for accreditation to continue.

The BCA is required to have its Action Plan accepted at the latest on 26 March 2024. All non-compliances must be cleared by COB 24 May 2024 unless an extension is applied and approved.

Waikato District Alliance KRA Report 2022/2023

Waikato District Council and Downer NZ have jointly audited the Performance Measurement Framework for the 2022-2023 period to evaluate the Alliance's scoring to ensure the effectiveness of the framework and that the contract requirements are being achieved.

The audit found the Alliance has an excellent understanding of the Performance Measurement Framework requirements and how these should be managed, and the team recognise where and how any shortcomings arose and what is needed to address these. Overall, there is a good level of integration and management across the sub-contractors and Alliance staff which delivers a standardised and inclusive approach throughout, with some useful learnings resulting in year-on-year improvements or areas to target.

There were 43 KRA items assessed, 43 were rated as compliant.

4.3 Policy Reviews

| Status | Current | | Under review | | Revoked or to be revoked | | Out of date | |
|--------------|-----------|-----------|--------------|-----------|--------------------------|----------|-------------|----------|
| | Nov 23 | Feb 24 | Nov 23 | Feb 24 | Nov 23 | Feb 24 | Nov 23 | Feb 24 |
| TOTAL | 68 | 69 | 23 | 20 | 3 | 1 | 0 | 2 |

There has been one policy revoked and one moving from under review to current. Progress against policy reviews has slowed down due to prioritisation of the Long-Term planning process.

4.4 Business Resilience

Business Continuity

The annual Business Continuity Plan reviews are predominantly complete. This review has focused on ensuring the plans are fit for purpose and align with service delivery protocols or levels of service. Engagement with teams is now focused on addressing the gaps and issues.

This helps us to understand and deliver on our service commitment to the community. Conformance of plans to levels of service will be reported to the Committee at the next meeting.

Disaster Recovery Plan

We are currently mapping critical systems required to support our critical services. The purpose of this is to enable us to prioritise effort and investment to ensure those systems are recoverable.

Of note, our primary Enterprise Resource Planning system has robust disaster recovery in place. The focus now is on secondary systems. The outcome of this will be an improvement work programme to ensure levels of service are met in the event of a major outage. This work programme and progress against it will be reported to the Committee in July and thereafter.

5. Next steps

Ahu whakamua

In the next quarter we expect to commence a complete audit of the enterprise project management office. This is to validate the effectiveness of the project management framework implemented across the business.

6. Attachments

Ngaa taapirihanga

Attachment 1 – Updated Internal Audit Programme

Attachment 2 – Internal Audits Completed Dec 2023 – Mar 2024

Attachment One

Internal Audit Program with Proposed Timelines

| Business Unit / Owners | Q4 2023 | Q1 2024 | Q2 2024 | Q3 2024 | Q4 2024 | Grand Total |
|-------------------------------------|----------------|----------------|----------------|----------------|----------------|--------------------|
| Alison | | | | | | |
| Affordability | | | 1 | | | 1 |
| Procurement | 1 | | | 1 | | |
| Gavin Ion | | | | | | |
| Zero Harm | 1 | | 1 | 1 | 1 | 4 |
| Customer Support - Service Delivery | 1 | | | | | |
| Geoff King | | | | | | |
| Cybersecurity | | 1 | | | 1 | 2 |
| Operational Capability | | | 1 | 1 | | 2 |
| Kurt Abbot | | | | | | |
| Business Resilience | | | 1 | 2 | 2 | 5 |
| Project Delivery | | 1 | | | 1 | 2 |
| John Brown | | | | | | |
| Community Expectations | | | 1 | | | 1 |
| Megan May | | | | | | |
| Infrastructure Climate Resilience | | | 1 | | 1 | 2 |
| Vanessa Jenkins | | | | | | |
| Recruitment and Retention | | | | | 1 | 1 |
| Workplace Culture | | | | 1 | | 1 |
| Will Gauntlett | | | | | | |
| Community Climate Resilience | | 1 | | | | 1 |
| Servicing Growth | | | 1 | | | 1 |
| Grand Total | 3 | 3 | 7 | 6 | 7 | 23 |

Attachment Two

Internal Audits Completed Dec 23 – Mar 24

| Date | Risk | Business Unit | Scope | Objective | Recommendations and Non-conformances |
|--------|--------------------|--------------------------------------|---|--|---|
| 31-Jan | Cyber Security | Information Technology | <p>Review of software applications which have access and store NPI (Non-public information).</p> <p>Ensuring data encrypted and MFA (Multi Factor Authentication) is standard protocol when using these applications.</p> <p>PR-22173 Remediation of At-Risk Non-IM Managed Cloud Systems</p> | <p>Assess the effectiveness of the processes within Council.</p> <p>Identify any non-compliances and recommendations for improvements.</p> | <p>5 Major Non-Conformance (due to be complete by June 2024)</p> <p>4 Recommendations</p> |
| 7-Feb | Project Delivery | Enterprise Project Management Office | <p>Review and verify the project delivery methodology and processes of Enterprise Project Management Office (EPMO)</p> | <p>Verify compliance with the documented process.</p> <p>Assess the effectiveness of the processes within Council.</p> <p>Identify any non-compliances and recommendations for improvements.</p> | <p>Nil Non-Conformances</p> <p>Nil Recommendations</p> |
| 19-Feb | Climate Resilience | Community Growth Group | <p>Review the effectiveness of the Council's Climate Resilience Strategy 2023-2027. This audit covered the following processes and associated documents:</p> <ul style="list-style-type: none"> Climate Response & Resilience Strategy 2023-2027 | <p>assess the effectiveness of the processes within Council.</p> <p>identify any non-compliances and recommendations for improvements.</p> | <p>Ten (10) recommendations</p> |

| | | | | | |
|--|--|--|---|--|--|
| | | | <ul style="list-style-type: none">• Greenhouse Gas Emissions Inventory Report WDC FY2023• WDC Climate Response & Resilience Policy 13 December 2021• Waikato Regional Council Climate Action Roadmap September 2023• Waikato Regional Climate Impacts Report Applying CMIP6 Data November 2021• Paris Agreement• Cop26• NZ Zero Carbon Act 2019• NZ Emissions Reduction Plan 2022• NZ National Adaption Plan• NZ Climate Adaption Act 2020• NZ Natural Built Environment Act 2023• LGNZ Statement• Climate Change Response Act 2002 | | |
|--|--|--|---|--|--|

Open – Information only

| | |
|---------------------|---|
| To | Infrastructure Committee |
| Report title | Capital Project Delivery Portfolio Update |
| Date: | 20 February 2024 |
| Report Author: | Kirsty Wellington - Enterprise Project Management Office Manager Kurt Abbot - Executive Manager, Projects & Innovation |
| Authorised by: | Megan May, General Manager Service Delivery |

1. Purpose of the report

Te Take moo te puurongo

To inform the Infrastructure Committee of delivery progress against the Capital Projects of Waikato District Council (WDC) and advise of actions taken to improve delivery of this work.

2. Executive summary

Whakaraapopototanga matua

A number of projects have moved, or are moving, into the physical delivery phase. The financial position at the end of January \$31,650,685 shows a marked increase over previous amounts for the same period.

The focus since the last report has been to get projects through to physical delivery within our communities.

We have 102 projects in-flight represented in the portfolio dashboard report.

Project updates and communications continue to be of high priority to ensure project information is readily available to our stakeholders.

No significant business decisions are required of the committee within this report. The Portfolio has One Red Issue, no action is required from the committee, issue details are documented below.

3. Staff recommendations Tuutohu-aa-kaimahi

THAT the Infrastructure Committee receives the Capital Delivery Update report.

4. Discussion and analysis Taataritanga me ngaa tohutohu

4.1 Capital Projects Financials

Capital Portfolio budgets and actuals and forecasts as at 31 January 2024.

| | Total Budget 23/24 | Actual Spend to 30 January 2024 | Forecast Spend 23/24 | Actuals plus forecast |
|--|-------------------------------|--|---------------------------------|----------------------------------|
| COMCONN (Community Connections) | \$39,802,122 | \$9,454,003 | \$24,413,304 | \$33,867,307 |
| CONPART (Roding) | \$60,068,507 | \$16,772,779 | \$41,797,733 | \$58,570,512 |
| STRATPROP (Strategic Property) | \$8,486,440 | \$5,118,611 | \$1,614,206 | \$6,732,817 |
| SWASTE (Solid Waste) | \$3,496,056 | \$305,292 | \$572,920 | \$878,212 |
| Total (Excl Waters) | \$111,853,125 | \$31,650,685 | \$68,398,163 | \$100,048,848 |

Actual spend, as of 31 January 2024 is \$31,650,685. Forecasts for the period 01 February 2024 to 30 June 2024 is \$68,398,163.

Actual spend plus forecast spend translates into a total forecast spend of \$100,048,848 by 30 June 2024, this translates to 89.45% spend of the total 23/24 budget. There has been no change to the forecast spend for the portfolio, however project forecasting continues to be reviewed to identify opportunities to increase project delivery by financial year end. This has recommenced post the Christmas break.

4.2 Capital Portfolio Delivery Responsibility

Breakdown of teams delivering the capital portfolio and their associated budgets.

| | EPMO | Service Delivery | Alliance | Budget 23/24 |
|--|---------------------|-------------------------|---------------------|----------------------|
| COMCONN (Community Connections) | \$30,239,973 | \$9,562,149 | | \$39,802,122 |
| CONPART (Roading) | \$27,821,129 | \$18,022,758 | \$14,224,620 | \$60,068,507 |
| STRATPROP (Strategic Property) | | \$8,486,440 | | \$8,486,440 |
| SWASTE (Solid Waste) | \$2,693,563 | \$802,493 | | \$3,496,056 |
| Total | \$60,754,665 | \$36,873,840 | \$14,224,620 | \$111,853,125 |

4.3 Capital Projects Portfolio

There are currently 123 projects displaying as underway/in-flight in CAMMS, including 21 projects in the “Close” phase.

8 Projects have been physically delivered since our last report.

- Paterson Park Lighting Upgrade - Initiated 2020
- Sunset Beach Toilets – initiated 2021
- Tamahere Toilets – Initiated 2021
- River Road Minor Improvements – Initiated 2021
- Opuatia Court Renewal – Initiated 2021
- Ruawaro Tennis Club Court Renewal – Initiated 2021
- Te Awa Walkway Erosion Repairs – Initiated 2023
- Lake Hakanoa Camp Safety & Security Upgrades – Initiated 2023

Project Risks and Issues

PR- 22014 Horotiu Link Road Project

The team have reflected on the issues arisen from the Horotiu Link Road project. Learnings have been made and will be applied to future projects.

Careful planning must be undertaken when significant disruption or change to community routines is required. This would include additional communication and engagement and a robust community impact assessment prior to finalising and implementing traffic management arrangements.

Secondly as with all projects we deliver against the agreed plans and communicate well if they change to avoid community confusion, disruption, and frustration.

Project managers are very aware that the above requirement is a critical success factor of projects and enabling councils' ambitions of building and creating community trust.

RED Issues and Overall RAG Status – RED

PR-22068 - Te Kowhai Hall Carpark Upgrade

The proposed carpark design has been endorsed by Te Kowhai Primary School and adjacent Church. However, the Te Kowhai Hall committee have not agreed with proposals or amendments. The issue has been escalated with the business owner who is working towards a resolution. The project has been put on hold with the project manager reassigned to other projects.

PR-22058 - Matangi Jack Foster Reserve Carpark Upgrade

The carpark project start has been delayed due to adjacent school building works. Upon the schools building works completion, the project will be the rescheduled into our programme for next construction season. The project has been put on hold with the project manager reassigned to other projects.

PR-21223 Munro Road Resilience Project

A funding shortfall has been identified as we progressed the procurement to preferred tenderer price, which included contingency and MSQA. The roading team have worked through funding options. A Council resolution is required, this will be included in a separate report to the Infrastructure Committee.

PR-21249 - Great South Road and Pokeno Road Intersection Upgrade (Roundabout)

A funding shortfall was identified upon completion of the final pricing/value engineering. The shortfall of >\$1.5M required the Roothing team to review funding options. A Council resolution is required, this will be included in a separate report to the Infrastructure Committee.

In Flight Project Risks

The risks to our capital works programme delivery outlined in the previous report remain the same, these are monitored, managed, and mitigated throughout the project lifecycles. A detailed strategic risk update will be provided at the next Infrastructure Committee meeting.

5. Next Steps **Ahu Whakamua**

The EPMO managers and support team continue to support the delivery of projects, ensuring data in our systems is maintained and communications are timely, this includes up to date information for projects on the Council website. The identification of improvement opportunities to better engage and communicate more effectively.

Staff will actively identify and mitigate risks, and support the management of project issues as they arise to endeavour to keep projects on track and deliver to agreed timeframes.

6. Attachments
Ngaa taapirihanga

Attachment 1 - Capital Projects Portfolio Dashboard

Attachment 1 – Capital Projects Portfolio Dashboard



Microsoft | Power BI

WDC EP MO Portfolio 2024 February

[View in Power BI](#) ↗

Last data refresh:
18/02/2024

CAPITAL PORTFOLIO DASHBOARD @ February 2024

Project Status: All
Ward: All
Portfolio: All
Program: All

| | | |
|-----------|---------|-------|
| In Flight | Propose | Close |
| 102 | 47 | 21 |

| | | |
|------------------|-------------------|----------|
| Tai Raro Takiwaa | Tai Runga Takiwaa | District |
| 60 | 52 | 11 |



Projects by Program and Phase

NOTE: Warranty period included with Close

| Program | CLOSE | DELIVER | INITIATE | PLAN & DESIGN | Total |
|--------------------|-----------|-----------|-----------|---------------|------------|
| Council Facilities | 5 | 7 | 12 | 8 | 32 |
| Open Spaces | 12 | 12 | 6 | 17 | 47 |
| Roading | 3 | 16 | 1 | 13 | 33 |
| Solid Waste | | 2 | 2 | | 4 |
| Strategic Property | | 1 | | 1 | 2 |
| Venues and Events | 1 | 1 | | 3 | 5 |
| Total | 21 | 39 | 21 | 42 | 123 |

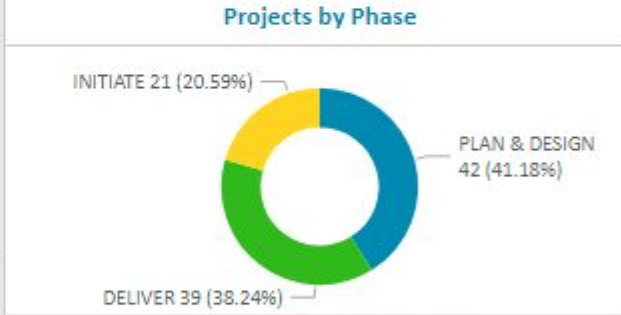
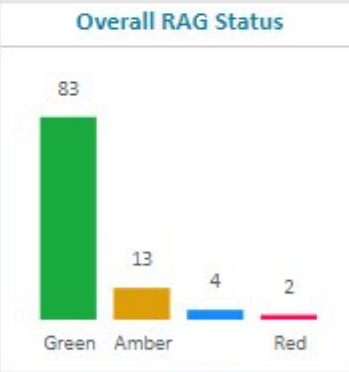
Projects Completed this period

| Start Date | Code | Project Name | # |
|--------------|----------|---|----------|
| 2020-03 | PR-1663 | Paterson Park & Huntly West Sports Complex Lighting Upgrade | 1 |
| 2021-02 | PR-1669 | Sunset Beach Toilet - Port Waikato | 1 |
| 2021-03 | PR-1673 | District Wide toilets - Tamahere | 1 |
| 2021-07 | PR-21250 | River road minor improvements 2023 | 1 |
| 2021-08 | PR-21322 | Opuatia Court Renewal | 1 |
| 2021-12 | PR-21361 | Ruawaro Tennis Club | 1 |
| 2023-04 | PR-22185 | Te Awa Walkway Erosion Repairs | 1 |
| 2023-08 | PR-22218 | Lake Hakanoa Motor Camp Safety and Security upgrades | 1 |
| Total | | | 8 |



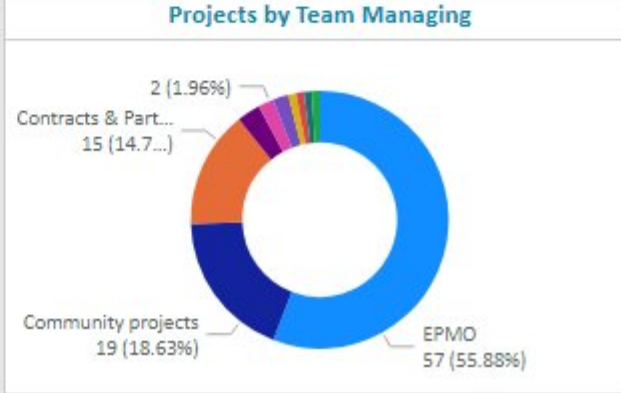
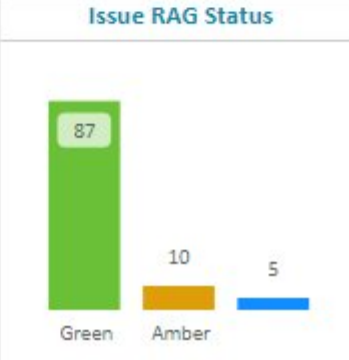
Overall RAG Status Red

| Code | Project Name | Status |
|----------|--------------------------------------|--------|
| PR-21215 | Harrisville Road Bridge Replacements | Red |
| PR-22068 | Te Kowhai Hall Carpark Upgrade | Red |



Issue RAG Status Red

| Code | Project Name | Issues |
|------|--------------|--------|
| | | |



| CAPITAL - INITIATE | | | | | | | | | | | | | Overall Progress Status | | Ward | Portfolio | Phase | Projects | |
|--------------------|--------------------------|--------------|---|---------------|------------|-----------------|----------------|------|--------|-----------------|----------|----------------|-------------------------|-----|------|-----------|-------|----------|--|
| | | | | | | | | | | | | | All | All | All | INITIATE | 21 | | |
| Phase | Portfolio | Project Code | Project Name | Town | % Complete | Completion Date | Project Status | Risk | Issues | Scope & Quality | Schedule | Overall Status | # | | | | | | |
| INITIATE | Community Connections | PR-21105 | Greenslade Road Reserve Playground | Raglan | 22 | 2024-04 | In Progress | ▲ | ▲ | ▲ | ◆ | ● | 1 | | | | | | |
| INITIATE | Community Connections | PR-21107 | Hukanui Playground | Gordonton | 51 | 2025-07 | In Progress | ▲ | ● | ● | ● | ● | 1 | | | | | | |
| INITIATE | Community Connections | PR-21316 | Open Spaces/ Hakanoa Footbridge | Huntly | 58 | 2023-11 | In Progress | ● | ● | ● | ◆ | ● | 1 | | | | | | |
| INITIATE | Community Connections | PR-21330 | Te Wiata Lane Playground | Ngaaruawaahia | 32 | 2022-09 | Deferred | ● | ● | ● | ◆ | ● | 1 | | | | | | |
| INITIATE | Community Connections | PR-22071 | Open Spaces / Sports and Recreation / Car parks / Gordonton Tennis Club Carpark | Gordonton | 36 | 2024-05 | In Progress | ● | ● | ● | ▲ | ● | 1 | | | | | | |
| INITIATE | Community Connections | PR-22074 | The Point, Ngaruawahia - Carpark | Ngaaruawaahia | 0 | 2023-01 | Not Started | ● | ● | ● | ◆ | ● | 1 | | | | | | |
| INITIATE | Community Connections | PR-22188 | The Point, Ngaruawahia - Toilet Project | Ngaaruawaahia | 10 | 2023-07 | In Progress | ● | ● | ● | ◆ | ● | 1 | | | | | | |
| INITIATE | Community Connections | PR-22223 | Centralised Dog Pound | Ngaaruawaahia | 17 | 2025-05 | In Progress | ● | ● | ● | ● | ● | 1 | | | | | | |
| INITIATE | Community Connections | PR-22230 | Meremere CCTV Installation and Monitoring | Meremere | 26 | 2024-03 | In Progress | ● | ● | ▲ | ◆ | ● | 1 | | | | | | |
| INITIATE | Community Connections | PR-22231 | Tamahere CCTV Installation and Monitoring | Tamahere | 26 | 2024-03 | In Progress | ● | ● | ▲ | ◆ | ▲ | 1 | | | | | | |
| INITIATE | Community Connections | PR-22232 | Huntly CCTV Installation and Monitoring | Huntly | 26 | 2024-03 | In Progress | ● | ● | ▲ | ◆ | ▲ | 1 | | | | | | |
| INITIATE | Community Connections | PR-22233 | Raglan CCTV Installation and Monitoring | Raglan | 26 | 2024-03 | In Progress | ● | ● | ▲ | ◆ | ▲ | 1 | | | | | | |
| INITIATE | Community Connections | PR-22234 | Ngaaruawaahia Te Kauwhata CCTV Installation and Monitoring | Ngaaruawaahia | 26 | 2024-03 | In Progress | ● | ● | ▲ | ◆ | ▲ | 1 | | | | | | |
| INITIATE | Community Connections | PR-22235 | Tuakau CCTV Installation and Monitoring | Te Kauwhata | 26 | 2024-03 | In Progress | ● | ● | ▲ | ◆ | ▲ | 1 | | | | | | |
| INITIATE | Community Connections | PR-22236 | Pokeno CCTV Installation and Monitoring | Pokeno | 26 | 2024-03 | In Progress | ● | ● | ▲ | ◆ | ▲ | 1 | | | | | | |
| INITIATE | Community Connections | PR-22237 | Te Kowhai CCTV Installation and Monitoring | Te Kowhai | 26 | 2024-03 | In Progress | ● | ● | ▲ | ◆ | ▲ | 1 | | | | | | |
| INITIATE | Contracts and Partnering | PR-21112 | North Waikato Resource Recovery Centre | District | 65 | 2023-06 | In Progress | ● | ● | ● | ◆ | ● | 1 | | | | | | |
| INITIATE | Contracts and Partnering | PR-21248 | Pokeno road minor improvements and Pedestrians Bridge | Pokeno | 52 | 2024-08 | In Progress | ▲ | ▲ | ● | ▲ | ● | 1 | | | | | | |
| INITIATE | Contracts and Partnering | PR-21360 | Waste Assessment, WMMP and Services review | Council | 43 | 2025-06 | In Progress | ● | ● | ● | ▲ | ● | 1 | | | | | | |
| INITIATE | Property and Assets | PR-1341 | LTP2018 Landowner Obligations | Ngaaruawaahia | 0 | 2022-09 | Not Started | ● | ● | ● | ◆ | ● | 1 | | | | | | |
| INITIATE | Property and Assets | PR-22195 | Pokeno Library New Build | Pokeno | 0 | 2023-07 | Not Started | | | | ◆ | | 1 | | | | | | |
| Total | | | | | | | | | | | | | 21 | | | | | | |

| CAPITAL - PLAN & DESIGN | | | | Overall Progress S... | Ward | Portfolio | Phase | Projects | | | | |
|-------------------------|-----------------------|--------------|--|-----------------------|------------|-----------------------|---------------|----------|-----------------|----------|----------------|---|
| | | | | All | All | Community Connections | PLAN & DESIGN | 28 | | | | |
| Phase | Portfolio | Project Code | Project Name | Town | % Complete | Completion Date | Risk | Issues | Scope & Quality | Schedule | Overall Status | # |
| PLAN & DESIGN | Community Connections | PR-1628 | Tuakau aquatic centre | Tuakau | 91 | 2023-12 | ● | ● | ● | ◆ | ● | 1 |
| PLAN & DESIGN | Community Connections | PR-21106 | Buckland Road Playground | Tuakau | 51 | 2024-11 | ● | ● | ● | ● | ● | 1 |
| PLAN & DESIGN | Community Connections | PR-21113 | The Point, Ngaruawahia | Ngaaruawaahia | 26 | 2024-12 | ● | ● | ● | ▲ | ● | 1 |
| PLAN & DESIGN | Community Connections | PR-21116 | Council Facilities / Aquatic Centres / Huntly / Boiler replacement | Huntly | 10 | 2023-08 | ● | ● | ● | ◆ | ● | 1 |
| PLAN & DESIGN | Community Connections | PR-21118 | Council Offices / Ngaruawahia / Exterior Cladding | Ngaaruawaahia | 78 | 2024-06 | ● | ● | ● | ● | ● | 1 |
| PLAN & DESIGN | Community Connections | PR-21147 | Venues and Events / Cemeteries / District Wide Improvements | District | 64 | 2023-03 | ● | ● | ● | ◆ | ● | 1 |
| PLAN & DESIGN | Community Connections | PR-21173 | Tuakau Tennis Court Lighting Upgrade | Tuakau | 0 | 2024-01 | ● | ● | ● | ◆ | ● | 1 |
| PLAN & DESIGN | Community Connections | PR-21177 | Rotokauri walkway | Ngaaruawaahia | 84 | 2024-04 | ● | ● | ● | ● | ● | 1 |
| PLAN & DESIGN | Community Connections | PR-21185 | Woodlands Lighting and Security Upgrade | Taupiri | 18 | 2025-04 | ● | ● | ● | ▲ | ● | 1 |
| PLAN & DESIGN | Community Connections | PR-21187 | Tuakau Dog Pound New Build | Tuakau | 68 | 2024-05 | ● | ● | ● | ● | ● | 1 |
| PLAN & DESIGN | Community Connections | PR-21188 | Te Kauwhata CCTV Installation and Monitoring | Te Kauwhata | 26 | 2024-03 | ● | ● | ▲ | ◆ | ▲ | 1 |
| PLAN & DESIGN | Community Connections | PR-21195 | Ngaruawahia Hall Improvements | Ngaaruawaahia | 73 | 2024-10 | ● | ● | ● | ● | ● | 1 |
| PLAN & DESIGN | Community Connections | PR-22048 | Tumate Mahuta Carpark Upgrade | Huntly | 60 | 2024-05 | ● | ● | ● | ● | ● | 1 |
| PLAN & DESIGN | Community Connections | PR-22056 | Tuakau - West Street Carpark Upgrade | Tuakau | 58 | 2024-06 | ● | ● | ● | ● | ● | 1 |
| PLAN & DESIGN | Community Connections | PR-22058 | Matangi – Jack Foster Reserve Carpark Upgrade | Tamahere | 70 | 2024-11 | ▲ | ● | ● | ● | ● | 1 |
| PLAN & DESIGN | Community Connections | PR-22067 | Raglan - Papahua Recreation Reserve Carpark Upgrade | Raglan | 72 | 2024-06 | ● | ● | ● | ● | ● | 1 |
| PLAN & DESIGN | Community Connections | PR-22068 | Te Kowhai Hall Carpark Upgrade | Te Kowhai | 51 | 2024-06 | ◆ | ● | ● | ● | ◆ | 1 |
| PLAN & DESIGN | Community Connections | PR-22069 | Tuakau - St Stephens Avenue Carpark Upgrade | Tuakau | 20 | 2024-11 | ● | ● | ● | ▲ | ● | 1 |
| PLAN & DESIGN | Community Connections | PR-22070 | Ngaruawahia - Paterson Park Carpark Upgrade | Ngaaruawaahia | 15 | 2024-12 | ● | ● | ● | ◆ | ● | 1 |
| PLAN & DESIGN | Community Connections | PR-22073 | Open Spaces / Sports and Recreation / Carparks / Raglan - Wainui Beach Carpark | Raglan | 87 | 2024-07 | ● | ● | ● | ● | ● | 1 |
| PLAN & DESIGN | Community Connections | PR-22084 | Carparks - Puketirini Parks and Reserves | Huntly | 69 | 2024-05 | ● | ● | ● | ● | ● | 1 |
| PLAN & DESIGN | Community Connections | PR-22157 | Te Kauwhata Domain walkway | Te Kauwhata | 70 | 2024-02 | ● | ● | ● | ● | ● | 1 |
| PLAN & DESIGN | Community Connections | PR-22158 | Woodlands Carpark & Gardeners Compound Upgrade | Gordonton | 42 | 2024-06 | ▲ | ● | ▲ | ▲ | ● | 1 |
| PLAN & DESIGN | Community Connections | PR-22184 | Paterson Park Playground | Ngaaruawaahia | 19 | 2024-08 | ● | ● | ● | ◆ | ● | 1 |
| PLAN & DESIGN | Community Connections | PR-22189 | The Point, Ngaruawahia - Pumphouse Project | Ngaaruawaahia | 0 | 2023-06 | | | | ◆ | | 1 |
| PLAN & DESIGN | Community Connections | PR-22197 | Pookeno Tennis Court Lighting Upgrade | Pookeno | 32 | 2024-06 | ● | ● | ● | ▲ | ● | 1 |
| PLAN & DESIGN | Community Connections | PR-22198 | Raglan Town Hall Seismic Strengthening | Raglan | 47 | 2024-03 | ● | | ● | ▲ | ● | 1 |
| PLAN & DESIGN | Community Connections | PR-22241 | Buckland Road Recreational Space | Tuakau | 42 | 2024-06 | ● | ● | ● | ▲ | ● | 1 |
| Total | | | | | | | | | | | 28 | |

| CAPITAL - PLAN & DESIGN cont | | | | Overall Progress S... | Ward | Portfolio | Phase | Projects | | | | |
|------------------------------|--------------------------|--------------|---|-----------------------|------------|---------------------|---------------|----------|-----------------|----------|----------------|---|
| | | | | All | All | Multiple selections | PLAN & DESIGN | 14 | | | | |
| Phase | Portfolio | Project Code | Project Name | Town | % Complete | Completion Date | Risk | Issues | Scope & Quality | Schedule | Overall Status | # |
| PLAN & DESIGN | Contracts and Partnering | PR-21215 | Harrisville Road Bridge Replacements | Tuakau | 39 | 2026-07 | 🔴 | 🟢 | 🟢 | 🟢 | 🔴 | 1 |
| PLAN & DESIGN | Contracts and Partnering | PR-21222 | Huia road resilience improvements | Pokeno | 49 | 2025-04 | 🟢 | 🟢 | 🟢 | 🟢 | 🟢 | 1 |
| PLAN & DESIGN | Contracts and Partnering | PR-21223 | Munro Road Resilience and Footpath | Pokeno | 34 | 2024-12 | 🟢 | 🟢 | 🟢 | 🟡 | 🟢 | 1 |
| PLAN & DESIGN | Contracts and Partnering | PR-21225 | Bus shelters 2022 | District | 50 | 2022-09 | 🟢 | 🟢 | 🟡 | 🔴 | 🟡 | 1 |
| PLAN & DESIGN | Contracts and Partnering | PR-21229 | Pokeno Rd resilience - Bridge to Munro Rd | Pokeno | 40 | 2025-06 | 🟢 | 🟢 | 🟢 | 🟡 | 🟢 | 1 |
| PLAN & DESIGN | Contracts and Partnering | PR-21246 | Helenslee road minor improvements | Pokeno | 66 | 2024-06 | 🟡 | 🟢 | 🟢 | 🟢 | 🟢 | 1 |
| PLAN & DESIGN | Contracts and Partnering | PR-21249 | Great South Road and Pokeno Road Intersection Upgrade | Pokeno | 41 | 2024-06 | 🟡 | 🟡 | 🟢 | 🟡 | 🟢 | 1 |
| PLAN & DESIGN | Contracts and Partnering | PR-21257 | Pokeno Road Bridge, Footpath and Road Widening | Pokeno | 47 | 2025-08 | 🟢 | 🟢 | 🟢 | 🟢 | 🟢 | 1 |
| PLAN & DESIGN | Contracts and Partnering | PR-21264 | Dean road/Great South Road intersection upgrade | Otaua | 73 | 2024-10 | 🟡 | 🟡 | 🟢 | 🟢 | 🟢 | 1 |
| PLAN & DESIGN | Contracts and Partnering | PR-21279 | Tahuna road minor improvements 2024 | Tahuna | 85 | 2024-06 | 🟢 | 🟢 | 🟢 | 🟢 | 🟢 | 1 |
| PLAN & DESIGN | Contracts and Partnering | PR-21280 | Whitikahu road minor improvements | Gordonton | 70 | 2024-05 | 🟢 | 🟢 | 🟢 | 🟢 | 🟢 | 1 |
| PLAN & DESIGN | Contracts and Partnering | PR-21380 | District wide footpaths - unsubsidised program | District | 58 | 2023-05 | 🟡 | 🟡 | 🟡 | 🔴 | 🟢 | 1 |
| PLAN & DESIGN | Contracts and Partnering | PR-21388 | Intersection (Roundabout) Upgrade Munro/Pokeno | Pokeno | 59 | 2024-08 | 🟢 | 🟢 | 🟢 | 🟢 | 🟢 | 1 |
| PLAN & DESIGN | Property and Assets | PR-22144 | Property General / District wide / Land Purchase / Tregoweth Lane | Huntly | 63 | 2023-02 | | | | 🔴 | | 1 |
| Total | | | | | | | | | | | 14 | |

| CAPITAL - DELIVER | | | | Overall Status | Ward | Portfolio | Phase | Projects | | | | |
|-------------------|-----------------------|--------------|--|----------------|------------|-----------------|---------|----------|-----------------|----------|----------------|---|
| | | | | All | All | All | DELIVER | 22 | | | | |
| Phase | Portfolio | Project Code | Project Name | Town | % Complete | Completion Date | Risk | Issues | Scope & Quality | Schedule | Overall Status | # |
| DELIVER | Community Connections | PR-1686 | Huntly Historic Rail Station – Building Relocation | Huntly | 75 | 2024-01 | ▲ | ▲ | ▲ | ◆ | ▲ | 1 |
| DELIVER | Community Connections | PR-21114 | Open Spaces / Council controlled project in Pokeno / Sports Park / SP-1a | Pokeno | 89 | 2024-02 | ● | ● | ● | | ● | 1 |
| DELIVER | Community Connections | PR-21149 | Open Spaces / Historic Reserve / Pukeiahua Signage and Carvings | Ngaaruawaahia | 57 | 2021-06 | ● | ● | ● | ◆ | ● | 1 |
| DELIVER | Community Connections | PR-21169 | Dr John Lightbody Carpark Upgrade | Tuakau | 86 | 2024-02 | ● | ● | ● | | ● | 1 |
| DELIVER | Community Connections | PR-21182 | Ngaruawahia Aquatic Centre New entrance | Ngaaruawaahia | 58 | 2024-02 | ● | ● | ● | ▲ | ● | 1 |
| DELIVER | Community Connections | PR-21184 | Council Facilities / Public Toilets / Pokeno Toilet Replacement | Pokeno | 10 | 2021-07 | ▲ | ▲ | ● | ◆ | ● | 1 |
| DELIVER | Community Connections | PR-21192 | Raglan Wharf | Raglan | 98 | 2024-03 | ● | ● | ● | | ● | 1 |
| DELIVER | Community Connections | PR-21324 | Pukekawa Tennis Court Renewal | Pukekawa | 89 | 2024-06 | ● | ● | ● | | ● | 1 |
| DELIVER | Community Connections | PR-21329 | Dr John Lightbody Court Renewal | Tuakau | 78 | 2024-04 | ● | ● | ● | | ● | 1 |
| DELIVER | Community Connections | PR-21370 | Puriri Seawall Boat Ramp Renewal | Raglan | 61 | 2024-04 | ● | ● | ● | ▲ | ● | 1 |
| DELIVER | Community Connections | PR-22010 | District Wide toilets - Te Kowhai | Te Kowhai | 64 | 2024-03 | ● | ● | ● | ▲ | ● | 1 |
| DELIVER | Community Connections | PR-22041 | Raglan Beacon Replacement | Raglan | 86 | 2024-03 | ● | ● | ● | | ● | 1 |
| DELIVER | Community Connections | PR-22061 | Onewhero -Sports Domain Carpark Upgrade | Onewhero | 63 | 2024-06 | ▲ | ● | ● | | ● | 1 |
| DELIVER | Community Connections | PR-22064 | Tuakau - Henderson Hall Street Carpark Upgrade | Tuakau | 84 | 2024-02 | ● | ● | ● | | ● | 1 |
| DELIVER | Community Connections | PR-22075 | Raglan Art Centre Carpark | Raglan | 77 | 2024-03 | ● | ● | ● | | ● | 1 |
| DELIVER | Community Connections | PR-22155 | Raglan Sports Pavilion (Changing Rooms) Painting | Raglan | 100 | 2023-11 | ● | ● | ● | | ● | 1 |
| DELIVER | Community Connections | PR-22182 | Venues and Events / Campgrounds / Raglan Holiday Park Papahua | Raglan | 10 | 2028-11 | ● | ● | ● | | ● | 1 |
| DELIVER | Community Connections | PR-22185 | Te Awa Walkway Erosion Repairs | District | 100 | 2023-12 | ● | ● | ● | | ● | 1 |
| DELIVER | Community Connections | PR-22190 | Wi Neera Walkway - Sea Wall repair and Path upgrade | Raglan | 32 | 2024-12 | ● | ● | ● | | ● | 1 |
| DELIVER | Property and Assets | PR-1531 | Council Chambers | Council | 69 | 2024-05 | ● | ● | ● | | ● | 1 |
| DELIVER | Property and Assets | PR-21413 | Trade waste and Wastewater Bylaw 2023 | Council | 3 | 2022-07 | ● | ● | ● | ◆ | ● | 1 |
| DELIVER | Property and Assets | PR-22148 | Strategic Projects / District Wide / Land Purchase / Strategic Enabler | Council | 83 | 2023-02 | | | | ◆ | ● | 1 |
| Total | | | | | | | | | | | 22 | |

| CAPITAL - DELIVER | | | | Overall Status | Ward | Portfolio | Phase | Projects | | | | |
|-------------------|--------------------------|--------------|---|----------------|------------|-----------------|---------|----------|-----------------|----------|----------------|---|
| | | | | All | All | All | DELIVER | 17 | | | | |
| Phase | Portfolio | Project Code | Project Name | Town | % Complete | Completion Date | Risk | Issues | Scope & Quality | Schedule | Overall Status | # |
| DELIVER | Contracts and Partnering | PR-21103 | Huntly transfer station Hard Stand of unpaved areas | Huntly | 85 | 2024-06 | ● | ● | ● | | ● | 1 |
| DELIVER | Contracts and Partnering | PR-21221 | Gordonton road improvements | Gordonton | 95 | 2024-04 | ● | ● | ● | | ● | 1 |
| DELIVER | Contracts and Partnering | PR-21228 | Pokeno Main Street | Pokeno | 75 | 2024-07 | ▲ | ▲ | ● | | ▲ | 1 |
| DELIVER | Contracts and Partnering | PR-21233 | Harrisville road safety network improvements 2023 | Tuakau | 73 | 2024-08 | ▲ | ● | ● | | ● | 1 |
| DELIVER | Contracts and Partnering | PR-21243 | Fullerton road bridge | Rotokauri | 57 | 2023-10 | ● | ● | ● | ◆ | ● | 1 |
| DELIVER | Contracts and Partnering | PR-21247 | Mangatangi road minor improvements | Mangatangi | 95 | 2024-06 | ● | ● | ● | | ● | 1 |
| DELIVER | Contracts and Partnering | PR-21256 | Highway 22 resilience improvements | Tuakau | 92 | 2024-06 | ● | ● | ● | | ● | 1 |
| DELIVER | Contracts and Partnering | PR-21268 | Ridge Road Pokeno Road Safety Network Improvements | Pokeno | 83 | 2024-06 | ● | ● | ● | | ● | 1 |
| DELIVER | Contracts and Partnering | PR-21278 | Whitikahu road bridge | Whitikahu | 86 | 2024-09 | ▲ | ▲ | ▲ | | ▲ | 1 |
| DELIVER | Contracts and Partnering | PR-21285 | Mangatawhiri road minor improvements | Mangatawhiri | 99 | 2024-04 | ● | ● | ● | | ● | 1 |
| DELIVER | Contracts and Partnering | PR-21287 | Buckland road minor improvements 2024 | Tuakau | 37 | 2025-07 | ▲ | ▲ | ▲ | | ▲ | 1 |
| DELIVER | Contracts and Partnering | PR-21294 | Bus shelters 2023-24 | District | 47 | 2024-06 | ● | ● | ● | | ● | 1 |
| DELIVER | Contracts and Partnering | PR-22007 | River Road and Lake Road Roundabout | Ngaaruwaahia | 87 | 2024-06 | ● | ● | ● | | ● | 1 |
| DELIVER | Contracts and Partnering | PR-22014 | Horotiu Link Road | Horotiu | 52 | 2025-09 | ● | ● | ● | | ● | 1 |
| DELIVER | Contracts and Partnering | PR-22130 | Ngaruawahia - Festival Way (between Galbraith and Old Taupiri Rd) | Ngaaruwaahia | 26 | 2025-12 | ● | ● | ● | | ● | 1 |
| DELIVER | Contracts and Partnering | PR-22238 | Horotiu Raised Platform | Horotiu | 34 | 2024-02 | ● | ● | ● | ◆ | ● | 1 |
| DELIVER | Contracts and Partnering | PR-22239 | District Wide Schools Signs | District | 18 | 2025-07 | ● | ● | ● | | ● | 1 |
| Total | | | | | | | | | | | 17 | |

| CAPITAL - CLOSE includes Warranty | | | | | Overall Status | Ward | Portfolio | Phase | Projects | | | | |
|-----------------------------------|--------------------------|--------------------|--------------|---|----------------|------------|-----------------|-------|----------|-----------------|----------|----------------|---|
| | | | | | All | All | All | CLOSE | 21 | | | | |
| Phase | Portfolio | PMO Project Status | Project Code | Project Name | Town | % Complete | Completion Date | Risk | Issues | Scope & Quality | Schedule | Overall Status | # |
| CLOSE | Community Connections | Defect Period | PR-1236 | CF2017 Whatawhata Community Facility | Whatawhata | 100 | 2023-11 | ● | ● | ● | ● | ● | 1 |
| CLOSE | Community Connections | | PR-1663 | Paterson Park & Huntly West Sports Complex Lighting Upgrade | Huntly | 83 | 2024-05 | ● | ● | ● | ● | ● | 1 |
| CLOSE | Community Connections | | PR-1669 | Sunset Beach Toilet - Port Waikato | Port Waikato | 100 | 2023-12 | ● | ● | ● | ● | ● | 1 |
| CLOSE | Community Connections | | PR-1673 | District Wide toilets - Tamahere | Tamahere | 100 | 2023-12 | ● | ▲ | ▲ | ● | ▲ | 1 |
| CLOSE | Community Connections | | PR-21122 | Tuakau Hall Refurbishment | Tuakau | 97 | 2024-03 | ● | ● | ● | ● | ● | 1 |
| CLOSE | Community Connections | | PR-21162 | Lake Kainui Drainage Management | Horsham Downs | 96 | 2024-03 | ● | ● | ● | ● | ● | 1 |
| CLOSE | Community Connections | | PR-21322 | Opuatia Court Renewal | Pukekawa | 100 | 2024-02 | ● | ● | ● | ● | ● | 1 |
| CLOSE | Community Connections | Defect Period | PR-21327 | Te Kohanga Playground | Te Kohanga | 100 | 2023-09 | ● | ● | ● | ● | ● | 1 |
| CLOSE | Community Connections | Defect Period | PR-21331 | Pokeno Tennis court and deck | Pokeno | 100 | 2023-09 | ● | ● | ● | ● | ● | 1 |
| CLOSE | Community Connections | Defect Period | PR-21332 | Huntly Tennis courts | Huntly | 100 | 2023-10 | ● | ● | ● | ● | ● | 1 |
| CLOSE | Community Connections | | PR-21335 | Te Kauwhata Playground | Te Kauwhata | 100 | 2023-11 | ● | ● | ● | ● | ● | 1 |
| CLOSE | Community Connections | Defect Period | PR-21337 | Maraetai Playground | Port Waikato | 100 | 2023-10 | ● | ● | ● | ● | ● | 1 |
| CLOSE | Community Connections | | PR-21346 | Blunt Rd Te Kauwhata walkway | Te Kauwhata | 15 | 2022-09 | ▲ | ▲ | ▲ | ◆ | ▲ | 1 |
| CLOSE | Community Connections | | PR-21348 | Papahua Walkway - Stage 2 | Raglan | 100 | 2022-06 | ● | ● | ▲ | ● | ◆ | 1 |
| CLOSE | Community Connections | Defect Period | PR-21361 | Ruawaro Tennis Club | Ruawaro | 100 | 2024-02 | ● | ● | ● | ● | ● | 1 |
| CLOSE | Community Connections | | PR-22057 | Ngaruawahia - Panthers League Ground Carpark Upgrade | Ngaaruawaahia | 100 | 2024-02 | ● | ● | ● | ● | ● | 1 |
| CLOSE | Community Connections | | PR-22194 | Brownlee Ave Depot Carpark Gravel | Ngaaruawaahia | 100 | 2023-07 | ● | ● | ● | ● | ● | 1 |
| CLOSE | Community Connections | | PR-22218 | Lake Hakanoa Motor Camp Safety and Security upgrades | Huntly | 86 | 2024-03 | ● | ● | ● | ● | ● | 1 |
| CLOSE | Contracts and Partnering | | PR-21232 | Piako road safety network improvements | Gordonton | 100 | 2024-02 | ● | ● | ● | ● | ● | 1 |
| CLOSE | Contracts and Partnering | | PR-21250 | River road minor improvements 2023 | Ngaaruawaahia | 98 | 2024-01 | ● | ● | ● | ◆ | ● | 1 |
| CLOSE | Contracts and Partnering | | PR-21282 | Hakarimata road minor improvements - unsubsidised | Ngaaruawaahia | 72 | 2023-11 | ● | ● | ● | ◆ | ◆ | 1 |
| Total | | | | | | | | | | | | 21 | |

CAPITAL - TUAKAU-POKENO WARD

Phase

Overall Progress S...

Ward

All

All

All

| Maaori Ward | General Ward | Town | Delivery Category | Phase | Status | Code | Project Name | % Complete | Comp Date | Overall Status | Risk | Issues | Scope & Quality | Schedule | # |
|------------------|----------------|---------|-------------------|---------------|-------------|----------|--|------------|-----------|----------------|------|--------|-----------------|----------|-----------|
| Tai Raro Takiwaa | Tuakau-Pookeno | Pookeno | | INITIATE | Not Started | PR-22195 | Pokeno Library New Build | 0 | 2023-07 | | | | | | 1 |
| Tai Raro Takiwaa | Tuakau-Pookeno | Pookeno | LTP Project | DELIVER | In Progress | PR-21184 | Council Facilities / Public Toilets / Pokeno Toilet Replacement | 10 | 2021-07 | ▲ | ▲ | ▲ | ● | ◆ | 1 |
| Tai Raro Takiwaa | Tuakau-Pookeno | Pookeno | WDA Managed | DELIVER | In Progress | PR-21228 | Pokeno Main Street | 75 | 2024-07 | ● | ▲ | ▲ | ● | ● | 1 |
| Tai Raro Takiwaa | Tuakau-Pookeno | Pookeno | WDA Managed | DELIVER | In Progress | PR-21268 | Ridge Road Pokeno Road Safety Network Improvements | 83 | 2024-06 | ▲ | ● | ● | ● | ● | 1 |
| Tai Raro Takiwaa | Tuakau-Pookeno | Pookeno | WDA Managed | INITIATE | In Progress | PR-21248 | Pokeno road minor improvements and Pedestrians Bridge | 52 | 2024-08 | ▲ | ▲ | ▲ | ● | ▲ | 1 |
| Tai Raro Takiwaa | Tuakau-Pookeno | Pookeno | WDA Managed | PLAN & DESIGN | In Progress | PR-21246 | Helenslee road minor improvements | 66 | 2024-06 | ▲ | ▲ | ● | ● | ● | 1 |
| Tai Raro Takiwaa | Tuakau-Pookeno | Pookeno | WDA Managed | PLAN & DESIGN | In Progress | PR-21249 | Great South Road and Pokeno Road Intersection Upgrade | 41 | 2024-06 | ▲ | ▲ | ▲ | ● | ▲ | 1 |
| Tai Raro Takiwaa | Tuakau-Pookeno | Pookeno | WDA Managed | PLAN & DESIGN | In Progress | PR-21257 | Pokeno Road Bridge, Footpath and Road Widening | 47 | 2025-08 | ▲ | ● | ● | ● | ● | 1 |
| Tai Raro Takiwaa | Tuakau-Pookeno | Pookeno | WDA Managed | PLAN & DESIGN | In Progress | PR-21388 | Intersection (Roundabout) Upgrade Munro/Pokeno | 59 | 2024-08 | ▲ | ● | ● | ● | ● | 1 |
| Tai Raro Takiwaa | Tuakau-Pookeno | Pookeno | WDC Managed | DELIVER | In Progress | PR-21114 | Open Spaces / Council controlled project in Pokeno / Sports Park / SP-1a | 89 | 2024-02 | ▲ | ● | ● | ● | ● | 1 |
| Tai Raro Takiwaa | Tuakau-Pookeno | Pookeno | WDC Managed | INITIATE | In Progress | PR-22236 | Pookeno CCTV Installation and Monitoring | 26 | 2024-03 | ● | ● | ● | ▲ | ◆ | 1 |
| Tai Raro Takiwaa | Tuakau-Pookeno | Pookeno | WDC Managed | PLAN & DESIGN | In Progress | PR-21222 | Huia road resilience improvements | 49 | 2025-04 | ▲ | ● | ● | ● | ● | 1 |
| Tai Raro Takiwaa | Tuakau-Pookeno | Pookeno | WDC Managed | PLAN & DESIGN | In Progress | PR-21223 | Munro Road Resilience and Footpath | 34 | 2024-12 | ▲ | ● | ● | ● | ▲ | 1 |
| Tai Raro Takiwaa | Tuakau-Pookeno | Pookeno | WDC Managed | PLAN & DESIGN | In Progress | PR-21229 | Pookeno Rd resilience - Bridge to Munro Rd | 40 | 2025-06 | ▲ | ● | ● | ● | ▲ | 1 |
| Tai Raro Takiwaa | Tuakau-Pookeno | Pookeno | WDC Managed | PLAN & DESIGN | In Progress | PR-22197 | Pookeno Tennis Court Lighting Upgrade | 32 | 2024-06 | ▲ | ● | ● | ● | ▲ | 1 |
| Tai Raro Takiwaa | Tuakau-Pookeno | Tuakau | WDA Managed | DELIVER | In Progress | PR-21169 | Dr John Lightbody Carpark Upgrade | 86 | 2024-02 | ▲ | ● | ● | ● | ● | 1 |
| Tai Raro Takiwaa | Tuakau-Pookeno | Tuakau | WDA Managed | DELIVER | In Progress | PR-21233 | Harrisville road safety network improvements 2023 | 73 | 2024-08 | ▲ | ▲ | ● | ● | ● | 1 |
| Tai Raro Takiwaa | Tuakau-Pookeno | Tuakau | WDA Managed | DELIVER | In Progress | PR-21256 | Highway 22 resilience improvements | 92 | 2024-06 | ▲ | ● | ● | ● | ● | 1 |
| Tai Raro Takiwaa | Tuakau-Pookeno | Tuakau | WDA Managed | DELIVER | In Progress | PR-21287 | Buckland road minor improvements 2024 | 37 | 2025-07 | ● | ▲ | ▲ | ▲ | ● | 1 |
| Tai Raro Takiwaa | Tuakau-Pookeno | Tuakau | WDC Managed | DELIVER | In Progress | PR-21329 | Dr John Lightbody Court Renewal | 78 | 2024-04 | ▲ | ● | ● | ● | ● | 1 |
| Tai Raro Takiwaa | Tuakau-Pookeno | Tuakau | WDC Managed | DELIVER | In Progress | PR-22064 | Tuakau - Henderson Hall Street Carpark Upgrade | 84 | 2024-02 | ▲ | ● | ● | ● | ● | 1 |
| Tai Raro Takiwaa | Tuakau-Pookeno | Tuakau | WDC Managed | PLAN & DESIGN | In Progress | PR-1628 | Tuakau aquatic centre | 91 | 2023-12 | ▲ | ● | ● | ● | ◆ | 1 |
| Tai Raro Takiwaa | Tuakau-Pookeno | Tuakau | WDC Managed | PLAN & DESIGN | In Progress | PR-21106 | Buckland Road Playground | 51 | 2024-11 | ▲ | ● | ● | ● | ● | 1 |
| Tai Raro Takiwaa | Tuakau-Pookeno | Tuakau | WDC Managed | PLAN & DESIGN | In Progress | PR-21187 | Tuakau Dog Pound New Build | 68 | 2024-05 | ▲ | ● | ● | ● | ● | 1 |
| Tai Raro Takiwaa | Tuakau-Pookeno | Tuakau | WDC Managed | PLAN & DESIGN | In Progress | PR-21215 | Harrisville Road Bridge Replacements | 39 | 2026-07 | ◆ | ◆ | ● | ● | ● | 1 |
| Tai Raro Takiwaa | Tuakau-Pookeno | Tuakau | WDC Managed | PLAN & DESIGN | In Progress | PR-22056 | Tuakau - West Street Carpark Upgrade | 58 | 2024-06 | ▲ | ● | ● | ● | ● | 1 |
| Tai Raro Takiwaa | Tuakau-Pookeno | Tuakau | WDC Managed | PLAN & DESIGN | In Progress | PR-22069 | Tuakau - St Stephens Avenue Carpark Upgrade | 20 | 2024-11 | ▲ | ● | ● | ● | ▲ | 1 |
| Tai Raro Takiwaa | Tuakau-Pookeno | Tuakau | WDC Managed | PLAN & DESIGN | In Progress | PR-22241 | Buckland Road Recreational Space | 42 | 2024-06 | ▲ | ● | ● | ● | ▲ | 1 |
| Tai Raro Takiwaa | Tuakau-Pookeno | Tuakau | WDC Managed | PLAN & DESIGN | Not Started | PR-21173 | Tuakau Tennis Court Lighting Upgrade | 0 | 2024-01 | ▲ | ● | ● | ● | ◆ | 1 |
| Total | | | | | | | | | | | | | | | 29 |

CAPITAL - AWAROA-MARAMARUA and Huntly WARD

Phase: Overall Status: Ward:

| Maaori Ward | General Ward | Town | Delivery Category | Phase | Status | Code | Project Name | % Complete | Comp Date | Overall Status | Risk | Issues | Scope & Quality | Schedule | # |
|------------------|------------------|---------------|-------------------|---------------|-------------|----------|--|------------|-----------|----------------|------|--------|-----------------|-----------|---|
| Tai Raro Takiwaa | Awaroa-Maramarua | Mangataawhiri | WDC Managed | DELIVER | In Progress | PR-21285 | Mangataawhiri road minor improvements | 99 | 2024-04 | ● | ● | ● | ● | ● | 1 |
| Tai Raro Takiwaa | Awaroa-Maramarua | Mangatangi | WDC Managed | DELIVER | In Progress | PR-21247 | Mangatangi road minor improvements | 95 | 2024-06 | ● | ● | ● | ● | ● | 1 |
| Tai Raro Takiwaa | Awaroa-Maramarua | Otaua | WDC Managed | PLAN & DESIGN | In Progress | PR-21264 | Dean road/Great South Road intersection upgrade | 73 | 2024-10 | ● | ▲ | ▲ | ● | ● | 1 |
| Tai Raro Takiwaa | Huntly | Huntly | | INITIATE | In Progress | PR-21316 | Open Spaces/ Hakanoa Footbridge | 58 | 2023-11 | ● | ● | ● | ● | ◆ | 1 |
| Tai Raro Takiwaa | Huntly | Huntly | WDA Managed | PLAN & DESIGN | In Progress | PR-22084 | Carparks - Puketirini Parks and Reserves | 69 | 2024-05 | ● | ● | ● | ● | ● | 1 |
| Tai Raro Takiwaa | Huntly | Huntly | WDC Managed | DELIVER | In Progress | PR-1686 | Huntly Historic Rail Station – Building Relocation | 75 | 2024-01 | ▲ | ▲ | ▲ | ▲ | ◆ | 1 |
| Tai Raro Takiwaa | Huntly | Huntly | WDC Managed | DELIVER | In Progress | PR-21103 | Huntly transfer station Hard Stand of unpaved areas | 85 | 2024-06 | ● | ● | ● | ● | ● | 1 |
| Tai Raro Takiwaa | Huntly | Huntly | WDC Managed | INITIATE | In Progress | PR-22232 | Huntly CCTV Installation and Monitoring | 26 | 2024-03 | ▲ | ● | ● | ▲ | ◆ | 1 |
| Tai Raro Takiwaa | Huntly | Huntly | WDC Managed | PLAN & DESIGN | In Progress | PR-21116 | Council Facilities / Aquatic Centres / Huntly / Boiler replacement | 10 | 2023-08 | ● | ● | ● | ● | ◆ | 1 |
| Tai Raro Takiwaa | Huntly | Huntly | WDC Managed | PLAN & DESIGN | In Progress | PR-22048 | Tumate Mahuta Carpark Upgrade | 60 | 2024-05 | ● | ● | ● | ● | ● | 1 |
| Tai Raro Takiwaa | Huntly | Huntly | WDC Managed | PLAN & DESIGN | In Progress | PR-22144 | Property General / District wide / Land Purchase / Tregoweth Lane | 63 | 2023-02 | | | | | ◆ | 1 |
| Total | | | | | | | | | | | | | | 11 | |

| CAPITAL - NEWCASTLE-NGARUAWAHIA WARD | | | | | | | | Phase | | Overall Status | | Ward | | | |
|--------------------------------------|-------------------------|---------------|-------------------|---------------|----------------|----------|---|------------|-----------|----------------|------|--------|-----------------|-----------|---|
| | | | | | | | | All | All | All | | | | | |
| Maaori Ward | General Ward | Town | Delivery Category | Phase | Project Status | Code | Project Name | % Complete | Comp Date | Overall Status | Risk | Issues | Scope & Quality | Schedule | # |
| Tai Runga Takiwaa | Newcastle-Ngaaruawaahia | Ngaaruawaahia | WDC Managed | PLAN & DESIGN | Not Started | PR-22189 | The Point, Ngaruawahia - Pumphouse Project | 0 | 2023-06 | | | | | | 1 |
| Tai Runga Takiwaa | Newcastle-Ngaaruawaahia | Gordonton | WDC Managed | INITIATE | In Progress | PR-21107 | Hukanui Playground | 51 | 2025-07 | ● | ▲ | ● | ● | ● | 1 |
| Tai Runga Takiwaa | Newcastle-Ngaaruawaahia | Horotiu | | DELIVER | In Progress | PR-22014 | Horotiu Link Road | 52 | 2025-09 | ● | ● | ● | ● | ● | 1 |
| Tai Runga Takiwaa | Newcastle-Ngaaruawaahia | Horotiu | WDC Managed | DELIVER | In Progress | PR-22238 | Horotiu Raised Platform | 34 | 2024-02 | ● | ● | ● | ● | ◆ | 1 |
| Tai Runga Takiwaa | Newcastle-Ngaaruawaahia | Ngaaruawaahia | | DELIVER | In Progress | PR-21149 | Open Spaces / Historic Reserve / Pukeiahua Signage and Carvings | 57 | 2021-06 | ● | ● | ● | ● | ◆ | 1 |
| Tai Runga Takiwaa | Newcastle-Ngaaruawaahia | Ngaaruawaahia | | INITIATE | Deferred | PR-21330 | Te Wiata Lane Playground | 32 | 2022-09 | ● | ● | ● | ● | ◆ | 1 |
| Tai Runga Takiwaa | Newcastle-Ngaaruawaahia | Ngaaruawaahia | | INITIATE | Not Started | PR-1341 | LTP2018 Landowner Obligations | 0 | 2022-09 | ● | ● | ● | ● | ◆ | 1 |
| Tai Runga Takiwaa | Newcastle-Ngaaruawaahia | Ngaaruawaahia | WDA Managed | INITIATE | Not Started | PR-22074 | The Point, Ngaruawahia - Carpark | 0 | 2023-01 | ● | ● | ● | ● | ◆ | 1 |
| Tai Runga Takiwaa | Newcastle-Ngaaruawaahia | Ngaaruawaahia | WDC Managed | DELIVER | In Progress | PR-21182 | Ngaruawahia Aquatic Centre New entrance | 58 | 2024-02 | ● | ● | ● | ● | ▲ | 1 |
| Tai Runga Takiwaa | Newcastle-Ngaaruawaahia | Ngaaruawaahia | WDC Managed | DELIVER | In Progress | PR-22007 | River Road and Lake Road Roundabout | 87 | 2024-06 | ● | ● | ● | ● | ● | 1 |
| Tai Runga Takiwaa | Newcastle-Ngaaruawaahia | Ngaaruawaahia | WDC Managed | DELIVER | In Progress | PR-22130 | Ngaruawahia - Festival Way (between Galbraith and Old Taupiri Rd) | 26 | 2025-12 | ● | ● | ● | ● | ● | 1 |
| Tai Runga Takiwaa | Newcastle-Ngaaruawaahia | Ngaaruawaahia | WDC Managed | INITIATE | In Progress | PR-22188 | The Point, Ngaruawahia - Toilet Project | 10 | 2023-07 | ● | ● | ● | ● | ◆ | 1 |
| Tai Runga Takiwaa | Newcastle-Ngaaruawaahia | Ngaaruawaahia | WDC Managed | INITIATE | In Progress | PR-22223 | Centralised Dog Pound | 17 | 2025-05 | ● | ● | ● | ● | ● | 1 |
| Tai Runga Takiwaa | Newcastle-Ngaaruawaahia | Ngaaruawaahia | WDC Managed | INITIATE | In Progress | PR-22234 | Ngaaruawaahia Te Kauwhata CCTV Installation and Monitoring | 26 | 2024-03 | ▲ | ● | ● | ▲ | ◆ | 1 |
| Tai Runga Takiwaa | Newcastle-Ngaaruawaahia | Ngaaruawaahia | WDC Managed | PLAN & DESIGN | In Progress | PR-21113 | The Point, Ngaruawahia | 26 | 2024-12 | ● | ● | ● | ● | ▲ | 1 |
| Tai Runga Takiwaa | Newcastle-Ngaaruawaahia | Ngaaruawaahia | WDC Managed | PLAN & DESIGN | In Progress | PR-21118 | Council Offices / Ngaruawahia / Exterior Cladding | 78 | 2024-06 | ● | ● | ● | ● | ● | 1 |
| Tai Runga Takiwaa | Newcastle-Ngaaruawaahia | Ngaaruawaahia | WDC Managed | PLAN & DESIGN | In Progress | PR-21177 | Rotokauri walkway | 84 | 2024-04 | ● | ● | ● | ● | ● | 1 |
| Tai Runga Takiwaa | Newcastle-Ngaaruawaahia | Ngaaruawaahia | WDC Managed | PLAN & DESIGN | In Progress | PR-21195 | Ngaruawahia Hall Improvements | 73 | 2024-10 | ● | ● | ● | ● | ● | 1 |
| Tai Runga Takiwaa | Newcastle-Ngaaruawaahia | Ngaaruawaahia | WDC Managed | PLAN & DESIGN | In Progress | PR-22070 | Ngaruawahia - Paterson Park Carpark Upgrade | 15 | 2024-12 | ● | ● | ● | ● | ◆ | 1 |
| Tai Runga Takiwaa | Newcastle-Ngaaruawaahia | Ngaaruawaahia | WDC Managed | PLAN & DESIGN | In Progress | PR-22184 | Paterson Park Playground | 19 | 2024-08 | ● | ● | ● | ● | ◆ | 1 |
| Tai Runga Takiwaa | Newcastle-Ngaaruawaahia | Rotokauri | WDA Managed | DELIVER | In Progress | PR-21243 | Fullerton road bridge | 57 | 2023-10 | ● | ● | ● | ● | ◆ | 1 |
| Tai Runga Takiwaa | Newcastle-Ngaaruawaahia | Te Kowhai | WDC Managed | DELIVER | In Progress | PR-22010 | District Wide toilets - Te Kowhai | 64 | 2024-03 | ● | ● | ● | ● | ▲ | 1 |
| Tai Runga Takiwaa | Newcastle-Ngaaruawaahia | Te Kowhai | WDC Managed | INITIATE | In Progress | PR-22237 | Te Kowhai CCTV Installation and Monitoring | 26 | 2024-03 | ▲ | ● | ● | ▲ | ◆ | 1 |
| Tai Runga Takiwaa | Newcastle-Ngaaruawaahia | Te Kowhai | WDC Managed | PLAN & DESIGN | In Progress | PR-22068 | Te Kowhai Hall Carpark Upgrade | 51 | 2024-06 | ◆ | ◆ | ● | ● | ● | 1 |
| Total | | | | | | | | | | | | | | 24 | |

CAPITAL - TAMAHERE-WOODLANDS and Whaingaroa WARD

Phase: Overall Status: Ward:

| Maaori Ward | General Ward | Town | Delivery Category | Phase | Project Status | Code | Project Name | % Complete | Comp Date | Overall Status | Risk | Issues | Scope & Quality | Schedule | # |
|-------------------|--------------------|-----------|-------------------|---------------|----------------|----------|---|------------|-----------|----------------|------|--------|-----------------|----------|-----------|
| Tai Runga Takiwaa | Tamahere-Woodlands | Gordonton | WDA Managed | DELIVER | In Progress | PR-21221 | Gordonton road improvements | 95 | 2024-04 | ● | ● | ● | ● | ● | 1 |
| Tai Runga Takiwaa | Tamahere-Woodlands | Gordonton | WDC Managed | INITIATE | In Progress | PR-22071 | Open Spaces / Sports and Recreation / Car parks / Gordonton Tennis Club Carpark | 36 | 2024-05 | ● | ● | ● | ● | ▲ | 1 |
| Tai Runga Takiwaa | Tamahere-Woodlands | Gordonton | WDC Managed | PLAN & DESIGN | In Progress | PR-21280 | Whitikahu road minor improvements | 70 | 2024-05 | ● | ● | ● | ● | ● | 1 |
| Tai Runga Takiwaa | Tamahere-Woodlands | Tamahere | WDC Managed | INITIATE | In Progress | PR-22231 | Tamahere CCTV Installation and Monitoring | 26 | 2024-03 | ▲ | ● | ● | ▲ | ◆ | 1 |
| Tai Runga Takiwaa | Tamahere-Woodlands | Tamahere | WDC Managed | PLAN & DESIGN | In Progress | PR-22058 | Matangi – Jack Foster Reserve Carpark Upgrade | 70 | 2024-11 | ● | ▲ | ● | ● | ● | 1 |
| Tai Runga Takiwaa | Whaingaroa | Raglan | WDA Managed | PLAN & DESIGN | In Progress | PR-22073 | Open Spaces / Sports and Recreation / Carparks / Raglan - Wainui Beach Carpark | 87 | 2024-07 | ● | ● | ● | ● | ● | 1 |
| Tai Runga Takiwaa | Whaingaroa | Raglan | WDC Managed | DELIVER | Completed | PR-22155 | Raglan Sports Pavilion (Changing Rooms) Painting | 100 | 2023-11 | ● | ● | ● | ● | ● | 1 |
| Tai Runga Takiwaa | Whaingaroa | Raglan | WDC Managed | DELIVER | In Progress | PR-21192 | Raglan Wharf | 98 | 2024-03 | ● | ● | ● | ● | ● | 1 |
| Tai Runga Takiwaa | Whaingaroa | Raglan | WDC Managed | DELIVER | In Progress | PR-21370 | Puriri Seawall Boat Ramp Renewal | 61 | 2024-04 | ● | ● | ● | ● | ▲ | 1 |
| Tai Runga Takiwaa | Whaingaroa | Raglan | WDC Managed | DELIVER | In Progress | PR-22041 | Raglan Beacon Replacement | 86 | 2024-03 | ● | ● | ● | ● | ● | 1 |
| Tai Raro Takiwaa | Whaingaroa | Raglan | WDC Managed | DELIVER | In Progress | PR-22075 | Raglan Art Centre Carpark | 77 | 2024-03 | ● | ● | ● | ● | ● | 1 |
| Tai Runga Takiwaa | Whaingaroa | Raglan | WDC Managed | DELIVER | In Progress | PR-22182 | Venues and Events / Campgrounds / Raglan Holiday Park Papahua | 10 | 2028-11 | ● | ● | ● | ● | ● | 1 |
| Tai Runga Takiwaa | Whaingaroa | Raglan | WDC Managed | DELIVER | In Progress | PR-22190 | Wi Neera Walkway - Sea Wall repair and Path upgrade | 32 | 2024-12 | ● | ● | ● | ● | ● | 1 |
| Tai Runga Takiwaa | Whaingaroa | Raglan | WDC Managed | INITIATE | In Progress | PR-21105 | Greenslade Road Reserve Playground | 22 | 2024-04 | ● | ▲ | ▲ | ▲ | ◆ | 1 |
| Tai Runga Takiwaa | Whaingaroa | Raglan | WDC Managed | INITIATE | In Progress | PR-22233 | Raglan CCTV Installation and Monitoring | 26 | 2024-03 | ▲ | ● | ● | ▲ | ◆ | 1 |
| Tai Runga Takiwaa | Whaingaroa | Raglan | WDC Managed | PLAN & DESIGN | In Progress | PR-22067 | Raglan - Papahua Recreation Reserve Carpark Upgrade | 72 | 2024-06 | ● | ● | ● | ● | ● | 1 |
| Tai Runga Takiwaa | Whaingaroa | Raglan | WDC Managed | PLAN & DESIGN | In Progress | PR-22198 | Raglan Town Hall Seismic Strengthening | 47 | 2024-03 | ● | ● | | ● | ▲ | 1 |
| Total | | | | | | | | | | | | | | | 17 |

Waerenga-Whitikahu and Western Districts Ward

Phase: Overall Status: Ward:

| Maaori Ward | General Ward | Town | Delivery Category | Phase | Project Status | Code | Project Name | % Complete | Comp Date | Overall Status | Risk | Issues | Scope & Quality | Schedule | # |
|-------------------|--------------------|-------------|-------------------|---------------|----------------|----------|--|------------|-----------|----------------|------|--------|-----------------|----------|-----------|
| Tai Raro Takiwaa | Waerenga-Whitikahu | Meremere | WDC Managed | INITIATE | In Progress | PR-22230 | Meremere CCTV Installation and Monitoring | 26 | 2024-03 | ● | ● | ● | ▲ | ◆ | 1 |
| Tai Raro Takiwaa | Western Districts | Onewhero | WDC Managed | DELIVER | In Progress | PR-22061 | Onewhero -Sports Domain Carpark Upgrade | 63 | 2024-06 | ● | ▲ | ● | ● | ● | 1 |
| Tai Raro Takiwaa | Western Districts | Pukekawa | WDC Managed | DELIVER | In Progress | PR-21324 | Pukekawa Tennis Court Renewal | 89 | 2024-06 | ● | ● | ● | ● | ● | 1 |
| Tai Raro Takiwaa | Waerenga-Whitikahu | Tahuna | WDC Managed | PLAN & DESIGN | In Progress | PR-21279 | Tahuna road minor improvements 2024 | 85 | 2024-06 | ● | ● | ● | ● | ● | 1 |
| Tai Raro Takiwaa | Waerenga-Whitikahu | Te Kauwhata | WDC Managed | INITIATE | In Progress | PR-22235 | Tuakau CCTV Installation and Monitoring | 26 | 2024-03 | ▲ | ● | ● | ▲ | ◆ | 1 |
| Tai Raro Takiwaa | Waerenga-Whitikahu | Te Kauwhata | WDC Managed | PLAN & DESIGN | In Progress | PR-21188 | Te Kauwhata CCTV Installation and Monitoring | 26 | 2024-03 | ▲ | ● | ● | ▲ | ◆ | 1 |
| Tai Raro Takiwaa | Waerenga-Whitikahu | Te Kauwhata | WDC Managed | PLAN & DESIGN | In Progress | PR-22157 | Te Kauwhata Domain walkway | 70 | 2024-02 | ● | ● | ● | ● | ● | 1 |
| Tai Runga Takiwaa | Waerenga-Whitikahu | Gordonton | WDC Managed | PLAN & DESIGN | In Progress | PR-22158 | Woodlands Carpark & Gardeners Compound Upgrade | 42 | 2024-06 | ● | ▲ | ● | ▲ | ▲ | 1 |
| Tai Runga Takiwaa | Waerenga-Whitikahu | Taupiri | WDC Managed | PLAN & DESIGN | In Progress | PR-21185 | Woodlands Lighting and Security Upgrade | 18 | 2025-04 | ● | ● | ● | ● | ▲ | 1 |
| Tai Runga Takiwaa | Waerenga-Whitikahu | Whitikahu | WDA Managed | DELIVER | In Progress | PR-21278 | Whitikahu road bridge | 86 | 2024-09 | ▲ | ▲ | ▲ | ▲ | ● | 1 |
| Total | | | | | | | | | | | | | | | 10 |

| DISTRICT WIDE | | | | | | | | | | | | | | | |
|---------------|--------------|----------|-------------------|---------------|----------------|----------------|--|------------|-----------|----------------|------|---------|-----------------|-----------|---|
| | | Ward | | Phase | | Overall Status | | Ward | | Portfolio | | Program | | | |
| | | All | | All | | All | | All | | All | | All | | | |
| Maaori Ward | General Ward | Town | Delivery Category | Phase | Project Status | Code | Project Name | % Complete | Comp Date | Overall Status | Risk | Issues | Scope & Quality | Schedule | # |
| Other | Council | Council | | DELIVER | In Progress | PR-1531 | Council Chambers | 69 | 2024-05 | ● | ● | ● | ● | ● | 1 |
| Other | Council | Council | | DELIVER | In Progress | PR-21413 | Trade waste and Wastewater Bylaw 2023 | 3 | 2022-07 | ● | ● | ● | ● | ◆ | 1 |
| Other | Council | Council | | INITIATE | In Progress | PR-21360 | Waste Assessment, WMMP and Services review | 43 | 2025-06 | ● | ● | ● | ● | ▲ | 1 |
| Other | Council | Council | WDC Managed | DELIVER | In Progress | PR-22148 | Strategic Projects / District Wide / Land Purchase / Strategic Enabler | 83 | 2023-02 | | | | | ◆ | 1 |
| Other | District | District | | PLAN & DESIGN | In Progress | PR-21147 | Venues and Events / Cemeteries / District Wide Improvements | 64 | 2023-03 | ● | ● | ● | ● | ◆ | 1 |
| Other | District | District | WDA Managed | DELIVER | In Progress | PR-21294 | Bus shelters 2023-24 | 47 | 2024-06 | ● | ● | ● | ● | ● | 1 |
| Other | District | District | WDA Managed | PLAN & DESIGN | In Progress | PR-21380 | District wide footpaths - unsubsidised program | 58 | 2023-05 | ● | ▲ | ▲ | ▲ | ◆ | 1 |
| Other | District | District | WDC Managed | DELIVER | Completed | PR-22185 | Te Awa Walkway Erosion Repairs | 100 | 2023-12 | ● | ● | ● | ● | ● | 1 |
| Other | District | District | WDC Managed | DELIVER | In Progress | PR-22239 | District Wide Schools Signs | 18 | 2025-07 | ● | ● | ● | ● | ● | 1 |
| Other | District | District | WDC Managed | INITIATE | In Progress | PR-21112 | North Waikato Resource Recovery Centre | 65 | 2023-06 | ● | ● | ● | ● | ◆ | 1 |
| Other | District | District | WDC Managed | PLAN & DESIGN | In Progress | PR-21225 | Bus shelters 2022 | 50 | 2022-09 | ▲ | ● | ● | ▲ | ◆ | 1 |
| Total | | | | | | | | | | | | | | 11 | |

Open – Information only

| | |
|---------------------|---|
| To | Performance and Strategy Committee |
| Report title | 2024-2034 Long Term Plan work programme update |
| Date: | 19 February 2024 |
| Report Author: | Nicole Hubbard, Corporate Planning Manager |
| Authorised by: | Tony Whittaker, Chief Operating Officer |

1. Purpose of the report

Te Take moo te puurongo

- 1.1 The purpose of this report is to provide the Performance and Strategy Committee with an update on progress in the Long-Term Plan (LTP) work programme, as well as information about what's coming up for elected members.

2. Executive summary

Whakaraapopotanga matua

- 2.1 The report provides an update about the work programme for the 2024-2034 LTP under the 11 key building blocks that make up the LTP. The updates include timeframes (where these are known), as well as how elected members can expect to be involved.

3. Staff recommendations

Tuutohu-aa-kaimahi

THAT the Performance and Strategy Committee receives the report.

4. Background

Koorero whaimaarama

4.1 Elected members were provided with an overview of the LGA planning and reporting process, and the requirements and work programme for the 2024-2034 Long Term Plan, at the Performance and Strategy Committee meeting on 27 March 2023, and since then have received an update at each meeting on the building blocks progress.

Objectives

4.2 The key project management objectives for the 2024-2034 LTP project are:

- to create, and effectively consult on, an LTP Consultation Document;
- to deliver a final 2024-2034 Long Term Plan by 30 June 2024 that meets statutory requirements and receives an unmodified audit opinion; and
- to ensure that the final LTP is a document that has buy-in from, and can be relied on, by staff, elected members and the community.

Work programme update

4.3 The LTP project involves many process and content pieces, many of which overlap or are dependent on each other, before getting to the final LTP document that is adopted at the very end.

4.4 Updates about each of the key building blocks for the LTP are in the table below.

| Key Building Blocks | | Where it's at/what's the plan | Status |
|---------------------|---|---|------------------|
| 1 | Community Outcomes and Strategic Direction setting | Community Outcomes and Strategic Priorities were adopted by Council on 7 June 2023. These will be used to provide direction to staff when planning work programmes and will be included in the LTP proper. | Completed |
| 2 | Groups of Activities structure | The Groups of Activities (GOA) structure has been endorsed by ELT. Information on how activities fit within the structure was presented to Council through the Activity Management Plan workshops. The GOA structure will be formally adopted at the Council meeting 28/29 February 2024. | On track |

| | | | |
|---|--|--|-----------------|
| 3 | Significant forecasting assumptions | <p>The significant forecasting assumptions were workshopped with Council on 15 May 2023 and a light review was undertaken in December 2023 after the new coalition government had announced its 100-day plan. The key change was that Three Waters is now being included in the LTP from year one.</p> <p>Another review will be done post the enactment of the Waters legislation to retest and confirm the assumptions leading into consultation.</p> | On track |
| 4 | Significance and engagement policy | <p>This policy determines how to assess the level of significance of decisions that Council makes, and also sets out how and when communities can expect to be engaged with. Staff have completed a high-level review of the document and no changes have been identified. The policy was endorsed by the Policy and Regulatory committee on 14 November and has been adopted by Council.</p> | Complete |
| 5 | Budgeting process | <p>The budgeting process will set CAPEX and OPEX for each of the 10 years of the LTP. Elected members have provided input into the budgeting process through workshops on asset and activity management plans undertaken in mid-late 2023. Elected members then reviewed detailed budgets as part of the workshops on 7/8 February and have provided direction to staff on final changes. The budget will be formally adopted at the Council meeting on 28/29 February.</p> <p>It should also be noted that staff have been embedding a new financial system which will improve our financial planning and reporting functionality. As this budgeting round is the first time that we have used the system, staff identified some updates that needed to happen once it was deployed in a live environment. As a result of working through these fixes, we have had to delay some of our Long Term Plan timelines.</p> | On track |

| | | | |
|----------|---------------------------------------|--|-----------------|
| 6 | Financial and funding policies | <p>There are various financial and funding policies that will be reviewed through the LTP project. These include a review of Council's fees and charges, the Revenue and Financing Policy and several rates remission policies. A workshop was held with Council on 30 May 2023; further work will continue throughout the LTP process.</p> <p>Council's fees and charges are being reviewed alongside the budgeting process, engagement with staff who are responsible for fees and charges has been completed.</p> <p>The individual survey on the Revenue and Financing Policy was circulated to councillors in September 2023 and a council workshop was held on 9 October 2023. The outputs of the survey are being framed up in terms of policy statement options for council to consider and will now be progressed alongside budget discussions.</p> | On track |
| 7 | Financial Strategy | <p>The financial strategy describes the significant factors impacting the council that have influenced the strategy (e.g. changes in population and land use, and expected capital expenditure needed to maintain levels of service). It also sets out limits on rates increases and borrowing. The draft financial strategy will be developed based on the outcomes of the detailed budgeting process and will be taken to the 19 March Council meeting for adoption.</p> | On track |

| | | | |
|-----------------|--|---|------------------------|
| <p>8</p> | <p>Infrastructure Strategy</p> | <p>The infrastructure strategy is a synthesis of the significant infrastructural issues that are likely to arise over the next 30 years, including their financial and non-financial consequences, and the principal options for managing them.</p> <p>Elected members were provided with their first opportunity to contribute to this strategy during a workshop held on 15th May 2023, in conjunction with the financial strategy. The capital and operating expenditures related to infrastructure assets are currently being compiled. The community asset team has completed its review of the infrastructure strategy, with only the finalisation of capital funding details pending confirmation. Council will see the strategy for approval at the 19 March Council meeting.</p> | <p>On track</p> |
| <p>9</p> | <p>Development contributions policy</p> | <p>The development contributions policy (DCP) enables the council to set charges for new developments to contribute to the growth-related costs of building infrastructure to support the increased demand.</p> <p>The DCP is not a policy required to be reviewed as part of the LTP process, however it is included here as the review will occur alongside the LTP development. The LTP will set in place the CAPEX for the upcoming 10 years, so the DCP levies have strong interdependencies with the LTP.</p> <p>The proposed 2024 draft policy has been written (incorporating key changes based on feedback from Council and Development Agreements Committee) and was sent for external legal review early December 2023.</p> <p>The Section 82 consultation material is being prepared (including new maps being prepared by GIS team and Growth data updates by Analytics), so it can be out for consultation alongside the LTP.</p> | <p>On track</p> |

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|-----------|------------------------------------|---|-----------------|
| 10 | Activity and asset planning | <p>Activity management plans describe the activities, services and outcomes Council is delivering to the community.</p> <p>Asset management plans focus on the physical assets, covering condition, lifespan, resources needed to manage the assets, cost of replacing the assets.</p> <p>Several council workshops have been held on asset and activities.</p> <p>Staff have now completed <i>Part C: Budgets and work programmes and levels of service</i> of. The full budget was brought to Council in early February 2024, and will be formally adopted at the end of February 2024.</p> | On track |
| 11 | Consultation and engagement | <p>Formal Consultation</p> <p>Formal consultation on the LTP’s consultation document will be undertaken in March-April 2024. Alongside this Council will also consult on the Development Contributions Policy and Fees and Charges, with subsequent hearings and deliberations to be during May 2024.</p> | On track |

Key project risks

| Risk description | Mitigation |
|---|--|
| <p>Government elections</p> <p>There is a risk that budgets may not be affordable, considering the recent inclusion of three waters infrastructure due to change in policy direction of new National led government.</p> | <p>To mitigate this risk, we will make an assumption of receiving a certain level of funding from the central government to support the implementation of our infrastructure plans.</p> |
| <p>District Rating Valuations</p> <p>District valuations due in March 2024 are likely to result in individual property general rate increases to vary from the average used for consultation, i.e., the overall rates income does not change while the apportionment changes according to property values.</p> | <p>Communications team are working on early general messages.</p> <p>The consultation document will include reference examples of how individual property rates change depending on value changes (provided the valuation information is received in time).</p> <p>Ratepayers will be provided with a summary proposed rates before and after the valuation changes.</p> |

| | |
|--|---|
| <p>LTP Project Timeline to Adoption Moving the project timeline back has eliminated any flexibility for making further changes/delays in project programme.</p> | <p>Staff have ensured they have a clear understanding of the project timelines and potential bottlenecks will allow them to plan accordingly and prioritise their work effectively.</p> <p>Staff are also making plans for securing additional resources during times when there is expected to be a high volume of work, such as the analysis of submissions, this can help mitigate any capacity constraints and ensure timely completion of tasks.</p> |
|--|---|

5. Next steps

Ahu whakamua

At the time of preparing this update, a Council meeting has been scheduled for the 28 and 29 February to approve the full budget and consultation topics.

Looking ahead, a Council meeting will take place on the 19 March to adopt the Consultation Document, Fees and Charges, Development Contributions policy, for public consultation. Staff will continue to provide updates on the progress of the 2024-2034 Long-Term Plan (LTP) at each Performance and Strategy meeting, focusing on the essential components. Staff are ultimately working towards the full LTP being adopted at a 25th June Council meeting.

| | |
|---------------------|---|
| To | Risk and Assurance Committee |
| Report title | Future Work Plan Update |
| Date: | 26 March 2024 |
| Report Author: | Ashleigh Fairhead, Executive Assistant |
| Authorised by: | Tony Whittaker, Chief Operating Officer |

1. Purpose of the report

Te Take moo te puurongo

To provide the Committee's work programme for information.

Please note a Zero Harm site visit will accompany each committee day.

2. EXECUTIVE SUMMARY

WHAKARAAPOTOTANGA MATUA

With the support of the Committee we would like to move the Strategic Risk and Annual Risk Appetite reviews to September from June. This is to accommodate resource constraints given the significant work required in the next quarter to support the Enhanced Annual Plan.

3. Staff recommendations

Tuutohu-aa-kaimahi

THAT the Risk & Assurance Committee receives the Future Work Plan Update.

4. Attachments

Ngaa taapirihanga

Attachment 1 – Risk & Assurance Future Work Programme 2024.

Risk & Assurance Committee: Future Work Plan

| | June 2024 | September 2024 | December 2024 | March 2025 | Standing items for all meetings |
|----------------------------------|--|--|---|--|---|
| Risk | | Strategic Risk Register Review (workshop prior to August) Annual Risk Appetite Review (workshop prior to August) Health & Safety Framework Review | Risk Management Framework review | Risk Assessment of Council Controlled Organisation's Statements of Intent | <ul style="list-style-type: none"> ▪ Chief Financial Officer Report Update on risks and issues that could impact council and its stakeholders from a financial perspective, including insurance and procurement matters. ▪ Strategic Risk Register and Emerging Risks Update on key strategic risks and associated management actions, including trajectory of risk assessment. Opportunity to discuss emerging risks with potential for strategic impact. ▪ Strategic Risk Deep Dive Detailed inspection of a key risk for the purpose of assurance. ▪ Zero Harm Update Health & Safety performance update against agreed targets, systemic issues identified which can be fed into the risk control framework. To include monthly statistics. ▪ Quality Governance and Assurance Progress against audit issues and rolling review of bylaw & policies: <ul style="list-style-type: none"> - Anti-fraud and corruption framework (and related policies) - Health & Safety Policy - Risk Management Policy - Treasury Risk Management Policy ▪ Post Implementation Reviews and/or Incident Debrief Reports Post project appraisals on key investments. ▪ Zero Harm Site Visits Six monthly and separate day to meeting |
| Strategic Risk Deep Dives | Te Tiriti O Waitangi Relationships | Community Climate Resilience Government Policy & Legislative Reform Community Expectations | Recruitment and Retention Workplace Culture | Climate Resilience Infrastructure Resilience | |
| Internal Audit | Internal Audit (NZTA Audit) | Internal Audit (included in Health and Safety Framework Review) | Internal Audit Framework & Internal Audit Programme Review | | |
| Insurance | | | | Insurance Policy / Premium Confirmation | |
| Annual Report | Annual Report Plan | | | Annual Report Risk Assessment Final Audit Management Report (one off timing due to Audit NZ delays) | |
| Other | Committee Terms of Reference review | Risk & Assurance Committee Key Achievements Review of Committee performance against Terms of Reference | Fraud and corruption risk management update | Committee Performance Evaluation Survey Results | |

Deep Dives Received by Other Council Committees

- Zero Harm
- Cyber Security
- Project Delivery

Deep Dives Received by Risk & Assurance

- Affordable Services
- Operational Capability
- Business Resilience
- Servicing Growth
- Infrastructure Resilience
- Recruitment and Retention

- Workplace Culture
- Te Tiriti O Waitangi Relationships
- Community Climate Resiliences
- Government Policy & Legislative Reform
- Community Expectations

| | |
|---------------------|--|
| To | Risk & Assurance Committee |
| Report title | Register of Interests – Council |
| Date: | Friday, 8 March 2024 |
| Report Author: | Gaylene Kanawa, Democracy Manager |
| Authorised by: | Gavin Ion, Chief Executive |

1. Purpose of the report

Te Take moo te puurongo

The purpose of this report is to provide a summary of interests declared by elected and appointed members of Council and independent members of committees.

We have received some minor updates from Her Worship the Mayor, Mrs JA Church this quarter who received two complementary tickets to the Sunsplash a Summer Fashion Parade as well as attending a pre-TWSO Sunset Symphony event with the Deputy Mayor Cr Eyre.

2. Staff recommendations

Tuutohu-aa-kaimahi

THAT the Risk & Assurance Committee receives the Council Register of Interests for March 2024.

3. Attachments

Ngaa taapirihanga

- A Financial Interests – Statement Reference
 - B Register of Elected Members Interests
-

| Financial Interests | |
|----------------------------|---|
| Statement Reference | |
| 1 | I am, or my spouse or partner is, a party to a contract with Waikato District Council |
| 2 | I, or my spouse or partner, individually or together own(s) 10% or more of the shares in a contracting company or controlling company . |
| 3 | I am, or my spouse or partner is, a shareholder in a contracting company or controlling company , AND either I am, or my spouse/partner is, also a shareholder of the controlling company . |
| 4 | I am, or my spouse or partner is, a managing director or a general manager of a contracting company AND either I am, or spouse/partner is, also a shareholder of the controlling company . |
| 5 | I, or my spouse or partner, individually or together, has/have an indirect concern or interest in a contract with Waikato District Council not already disclosed above. |
| 6 | If you answered 'Yes' to any of questions 1 to 5, does the total value of all contracts listed above, exceed \$25,000 (including GST) for the current financial year. |

| Register of Elected Members Interests | | | | | | | | | | | | | |
|---------------------------------------|---|-----------------------|--|---|--|--|--|--|---|--|-------------------------------------|---|-------|
| COUNCIL | Financial Interests | | | Non - Financial Interests | | | | | | | | | |
| | Please refer to Statement Reference here. | | | Companies | | | | Other Organisations | | Property | Gifts (received since October 2022) | Payments for activities and services (since October 2022) | Debts |
| | 1 to 6 | With the exception of | | Director/Manager | Financial Interests | Employment/Paid Positions | Trustee/Beneficiary | Other Bodies | | | | | |
| Crystal Beavis | No | N/A | | *Bridger Beavis & Associates Ltd (Management & Marketing Consultancy) *Strategic Lighting Partners Ltd (Lighting Management Consultancy) | *Apple Inc (Consumer Electronics, Software) *BLIS Technologies (Biotech Company marketing oral pro-biotics) *Fisher & Paykel Healthcare (Manufactures products for respiratory care) *SmartPay Holdings (EFTPOS machines & payment solutions provider) *Summerset Group Holdings (Retirement Village Operator) *Tesla Inc (Electric Vehicle & Battery Storage Manufacturer) *Xero Ltd (Accounting Software Supplier) | • RMA Commissioner | *BBA Family Trust *CJB Trust | *St Stephens Anglican Church, Tamahere (Hosts the Tamahere Country Market) | *Tamahere (Family Residence) | | N/A | N/A | |
| Mayor Jacqui Church | | | | Great Goods Ltd (Director - Wholesale Food Service Distribution); | | | South West Trust | *Member - Pukekohe Lions Club *Member - Port Waikato Pink Breakfast Committee (Chair) *Member - Tuakau Cleanup & Planting Group (Chair) *Justice of the Peace (Franklin Branch) *Judicial Justice - Pukekohe/Papakura Courts | *Port Waikato (Family Residence) *Pukekohe (Commercial Property - Trust - South West) | *1x Ticket - Balance Farm Awards (\$70) *1x Gift from Yashili (\$50 value) *Rally Dinner (NZ Association of Women in Aviation (\$150 value) *FIFA World Cup Ticket (\$200 value) *Formal Dinner - Turangawaewae Marae (\$150 value) *Rugby Tickets - Steelers vs Manawatu & Black Ferns vs Samoa - Counties Energy (\$150 value) *Conference - Future Roads (\$1,800 value) *Hand Stitched Shawl - Pokeno Indian Punjabi Festival (\$300 value) *Bottle Wine - Future Roads Panel (\$33.95 value) *Sunsplash a Summer Fashion Parade' 2x Tickets (\$50.00 value) *TWSO Pre-Sunset Symphony Event (\$50.00 Value) | N/A | N/A | |
| Carolyn Eyre | No | N/A | | • Pepepe Investments (Farming) | • Pepepe Investments (Farming) | • Pepepe Investments Ltd (Director) • RMA Commissioner | • SM Eyre Trust (Beneficiary) • Gillings Family Trust (Beneficiary) | • Business + Professional Women NZ (Member) • Rural Women NZ (Member) • Arbitrators & Mediators Institute of NZ (Associate Member) * National Animal Welfare Advisory Committee - Member (From August 2023) | • Huntly - farm, forestry block, x3 residential dwellings (Beneficiary) • 1x Pareroa (Beneficiary) | *Sport NZ paid for flights Hamilton to Wellington for Sports NZ Conference (13th/14th March) •One ticket to Balance Farm Environment Awards (worth \$70) *1x Gift from Yashili (\$50 value) *TWSO Pre-Sunset Symphony Event (\$50.00 Value) | N/A | N/A | |
| Janet Gibb | No | N/A | | • IMG Ltd (Rental Properties) • Ede Investments Ltd (Farming) | N/A | • Ede Investments Ltd (Farming) • JMG Ltd (Rental Properties) • RMA Commissioner | • Janet Gibb Family Trust (Trustee/Settlor/Beneficiary) • Rarangi Trust (Trustee/Beneficiary) • Mangatokatoka Trust (Trustee/Beneficiary) * Taraheke Paa Charitable Trust (Non-Financial Trustee) | *Buisness Professional Women NZ (President) *NZ Institute of Directors *Australia and NZ Institute of Accountants *Justices of the Peace NZ (JP) | • 2x Taupiri (Owner) • 1x Hamilton (Beneficiary) | | N/A | N/A | |
| Mike Keir | | | | *JRK Ltd (Civil Consultancy, Teaching Service) *KLS Ltd (Structural Landscape Services) | *Aeronavics Ltd (Drone Development Business) * MDJFK Ltd (Early Childcare Centre) | *JFK Ltd (Civil Consultancy & Teaching Service) *RMA Commissioner (2nd June 2023) | | *Keir Landscaping & Structures Ltd (Supplies landscaping & civil services to Waikato District Council) | • 1x Raglan (Owner) *1x Tamahere (Owner - Vacant Land) • 2x Putaruru (Owner - 1x vacant land) • 1x Ohakune (Owner) | • 20% interest in KLS Ltd which contracts to WDC to provide services above \$25,000 PA | | N/A | |
| Paaniora Matatahi-Poutapu | No | N/A | | | N/A | N/A | N/A | N/A | N/A | | N/A | N/A | |

| Register of Elected Members Interests | | | | | | | | | | | |
|---------------------------------------|---------------------|--|--|--|---|--|--|--|-------------------------------------|---|-------|
| COUNCIL | Financial Interests | | | Non - Financial Interests | | | | | | | |
| | 1 to 6 | With the exception of Please refer to Statement Reference here. | Companies | | Employment/Paid Positions | Other Organisations | | Property | Gifts (received since October 2022) | Payments for activities and services (since October 2022) | Debts |
| | | | Director/Manager | Financial Interests | | Trustee/Beneficiary | Other Bodies | | | | |
| Kandi Ngataki | No | N/A | | | • RMA Commissioner | N/A | N/A | N/A | | N/A | N/A |
| Eugene Patterson | No | N/A | *Cobrah Ltd (Painting Services) | N/A | *Cobrah Ltd (Painting Services) - Partner | | *President - Ngaruawahia Rugby League Club *Committee Member - Ngaruawahia Bowling Club | *2x Ngaruawahia (Owner) | N/A | N/A | N/A |
| Marlene Raumati | No | N/A | | | • Tuuhono Maaori Mediators Collective (Cultural Mediator and Member) • Te Pae Oranga NZ Police (Panel Member) • Laidlaw Law and Consultants (Consultant and Advisor) • Resolution Institute (Consultant) | • Ngaa Muka o Ngaa Harakeke Trust * Waikato Tainui - Beneficiary | • Te Kauwhata Volunteer Firebrigade (Member) * Taniwha-Tangoao Marae - for Te Whakakitenga (Tribal Parliament for Waikato) - Alternate Member | • 1x Okarea (Land) | | N/A | N/A |
| Vern Reeve | | | • VL Reeve Property Ltd | *VL Reeve T/A Kartel Marketing (Real Estate Sales in Ray White) | *Contracted Real Estate Sales with Southern Corridor Realty T/A Ray White Pukekohe | • The Reeve Family Trust The Ski Trust *Tuakau Emergency Services | • Tuakau Business Association • Tuakau Rotary Club • Tuakau Emergency Services Charitable Trust | 1x Tuakau (Owner) | | N/A | N/A |
| Lisa Thomson | No | N/A | N/A | N/A | N/A | N/A | N/A | N/A | | N/A | N/A |
| Peter Thomson | | | P&A Thomson Ltd (Farming) | P&A Thomson Ltd (Farming) | P&A Thomson Ltd (Director) | | N/A | 1x Farm at Maramarua(Owner) | | N/A | N/A |
| Tilly Turner | | | • Mighty Fine Products/Taana Mussel Fritters (Director) • Power Up Ltd (Director) | • Mighty Fine Products/Taana Mussel Fritters (Director) • Power Up Ltd (Director) | • Waikato Raupatu Lands Trust • Te Puni Kokiri | • Waikato Raupatu Lands Trust • Hone & Miriama Turner Whanau Trust • Rawiri Whanau Trust | | 1x (Beneficiary) - location not specified | | N/A | N/A |
| David Whyte | No | N/A | *Whyte Professional Property Ltd (professional property management) | *Whyte Professional Property Ltd (professional property management) | *Zestos (Investigative Research & Reporting; Organic Orchards & Food Forrest; Residential Rental Property) | | *Huntly Arts *NZ Tree Crops Association *Waikato Tree Crops | 2x Ohinewai (Owner) *2x Huntly (Owner) *1x Ngaruawahia (Owner) | | | |

| | |
|---------------------|--|
| To | Risk & Assurance Committee |
| Report title | Exclusion of the Public |
| Date: | Monday, 18 March 2024 |
| Report Author: | Elizabeth Saunders, Senior Democracy Advisor |
| Authorised by: | Gaylene Kanawa, Democracy Manager |

1. Staff recommendations

Tuutohu-aa-kaimahi

THAT the Risk & Assurance Committee:

- a. **exclude the public from the following parts of the proceedings of this meeting.**

The general subject of each matter to be considered while the public is excluded, the reason for passing this resolution in relation to each matter, and the specific grounds under section 48(1) of the Local Government Official Information and Meetings Act 1987 for the passing of this resolution 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(1) for the passing of this resolution |
|--|--|--|
| Item number PEX 2 Confirmation of Minutes Item PEX 3.1 Risk Assessment of Council Controlled Organisations Statement of Intent Item PEX 3.2 Tax Compliance Update Item PEX 3.3 Fraud & Corruption Risk Management Update Item PEX 3.4 Audit Fees Item PEX 3.5 Fraud Declaration | Good reason to withhold exists under Section 6 or Section 7 Local Government Official Information and Meetings Act 1987 | Section 48(1)(a) |

| General subject of each matter to be considered | Reason for passing this resolution in relation to each matter | Ground(s) under section 48(1) for the passing of this resolution |
|--|--|--|
| <p>Item PEX3.6 Senior Staff Register of Interests</p> <p>Item PEX3.7 Committee Time with Audit New Zealand (Management Excluded)</p> | <p>Good reason to withhold exists under Section 6 or Section 7 Local Government Official Information and Meetings Act 1987</p> | <p>Section 48(1)(a)</p> |

This resolution is made in reliance on section 48(1)(a) of the Local Government Official Information and Meetings Act 1987 and the particular interest or interests protected by Section 6 or Section 7 of that Act which would be prejudiced by the holding of the whole or relevant part of the proceedings of the meeting in public, as follows:

| Item No. | Section | Interest |
|---|---|---|
| <p>Item PEX 1 Minutes from Meeting held on Monday, 11 December 2023</p> | <p>Refer to the previous Public Excluded reason in the agenda for this meeting.</p> | |
| <p>Item PEX 3.1 Risk Assessment of Council Controlled Organisations Statement of Intent</p> | <p>7(2)(b)(ii)</p> | <p>To protect information that would otherwise unreasonably prejudice a person's commercial position.</p> |
| <p>Item PEX 3.2 Tax Compliance Update</p> | <p>7(2)(a)</p> | <p>Protect the privacy of natural persons, including that of deceased natural persons.</p> |

| Item No. | Section | Interest |
|---|-------------|--|
| Item PEX 3.3 Fraud & Corruption Risk Management Update | 7(2)(a) | Protect the privacy of natural persons, including that of deceased natural persons. |
| | 7(2)(c)(i) | To protect information that is subject to an obligation of confidence and to ensure the information avenue remains open, when it is in the public interest for it to do so. |
| | 7(2)(c)(ii) | To protect information which is subject to an obligation of confidence to protect the public's interest. |
| Item PEX 3.4 Audit Fees | 7(2)(a) | To protect the privacy of natural persons, including that of deceased natural persons. |
| Item PEX3.5 Fraud Declaration | 7(2)(a) | To protect the privacy of natural persons, including that of deceased natural persons. |
| | 7(2)(c)(ii) | To protect information which is subject to an obligation of confidence or which any person has been or could be compelled to provide under the authority of any enactment, where the making available of the information - <ul style="list-style-type: none"> <li data-bbox="794 1496 1276 1585">i. would be likely otherwise to damage the public interest |
| Item PEX3.6 Senior Staff Register of Interests | 7(2)(a) | Protect the privacy of natural persons, including that of deceased natural persons. |

| Item No. | Section | Interest |
|---|-------------|---|
| Item PEX3.7 Committee Time with Audit New Zealand | 7(2)(c)(ii) | To protect information which is subject to an obligation of confidence or which any person has been or could be compelled to provide under the authority of any enactment, where the making available of the information would be likely otherwise to damage the public interest. |

- b. THAT Ms Macown and Mr Susan from Audit NZ be permitted to remain at this meeting, after the public has been excluded, because of their knowledge of audit requirements for Waikato District Council. This knowledge, which will be of assistance in relation to the matter to be discussed, is relevant to that matter to inform and advise the Committee members.

2. Attachments

Ngaa taapirihanga

There are no attachments for this report.
