WESTLAND
DISTRICT COUNCIL

AGENDA

RĀRANGI TAKE

NOTICE OF AN ORDINARY MEETING OF

Audit and Risk Committee

to be held on **12 May 2022** commencing at **1.00pm** in the Council Chambers, 36 Weld Street, Hokitika and via Zoom

Chairperson:	R. Dean – Independent Chair	
Members:	His Worship the Mayor	Deputy Mayor Carruthers
	Cr Hart	Cr Neale
	Kw Tumahai	Kw Madgwick

In accordance with clause 25B of Schedule 7 of the Local Government Act 2002, members may attend the meeting by audio or audio-visual link.

Council Vision:

We work with the people of Westland to grow and protect our communities, our economy and our unique natural environment.

Purpose:

The Council is required to give effect to the purpose of local government as prescribed by section 10 of the Local Government Act 2002. That purpose is:

(a)   To enable democratic local decision-making and action by, and on behalf of, communities; and

(b)   To promote the social, economic, environmental, and cultural well-being of communities in the present and for the future.

1.   NGĀ WHAKAPAAHA
APOLOGIES

His Worship the Mayor

2.   WHAKAPUAKITANGA WHAIPĀNGA
DECLARATIONS OF INTEREST

Members need to stand aside from decision-making when a conflict arises between their role as a Member of the Council and any private or other external interest they might have. This note is provided as a reminder to Members to review the matters on the agenda, and assess and identify where they may have a pecuniary or other conflict of interest, or where there may be a perception of a conflict of interest.

If a member feels they do have a conflict of interest, they should publicly declare that at the start of the meeting or of the relevant item of business and refrain from participating in the discussion or voting on that item. If a member thinks they may have a conflict of interest, they can seek advice from the Chief Executive or the Group Manager: Corporate Services (preferably before the meeting). It is noted that while members can seek advice the final decision as to whether a conflict exists rests with the member.

3.   NGĀ TAKE WHAWHATI TATA KĀORE I TE RĀRANGI TAKE
URGENT ITEMS NOT ON THE AGENDA

Section 46A of the Local Government Official Information and Meetings Act 1987 states:

(7)   An item that is not on the agenda for a meeting may be dealt with at the meeting if –
(a) the local authority by resolution so decides, and
(b) the presiding member explains at the meeting at a time when it is open to the public, -
(i) the reason why the item is not on the agenda; and
(ii) the reason why the discussion of the item cannot be delayed until a subsequent meeting.
(7A) Where an item is not on the agenda for a meeting, -
(a) that item may be discussed at the meeting if –
(i) that item is a minor matter relating to the general business of the local authority; and
(ii) the presiding member explains at the beginning of the meeting, at a time when it is open to the public, that the item will be discussed at the meeting; but

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

4. NGĀ MENETI O TE HUI KAUNIHERA
MINUTES OF MEETINGS

The minutes of the previous meeting were circulated separately via Microsoft Teams.

- **Audit and Risk Committee Meeting Minutes – 17 February 2022**

5. ACTION LIST (Page 6)

Group Manager: Corporate Services Lesley Crichton

6. NGĀ TĀPAETANGA
PRESENTATIONS

- **30 June 2022 EY Audit Plan**
  Breno Branco and Brendan Summerfield from Ernst & Young

7. PŪRONGO KAIMAHI
STAFF REPORTS

- **Quarterly Report** (Page 7-52)
  Strategy & Communications Advisor, Emma Rae and Finance Manager Lynley Truman

- **Draft Customer Complaints Management Policy** (Page 53-58)
  Group Manager: Corporate Services – Lesley Crichton

- **Reporting to Council by Chair A&R Committee** (Page 59-61)
  Group Manager: Corporate Services – Lesley Crichton

- **Rolling Work Plan** (Page 62)
  Group Manager: Corporate Services – Lesley Crichton

8. KA MATATAPU TE WHAKATAUNGA I TE TŪMATANUI
RESOLUTION TO GO INTO PUBLIC EXCLUDED

(to consider and adopt confidential items)

Resolutions to exclude the public: Section 48, Local Government Official Information and Meetings Act 1987.

The general subject of the matters to be considered while the public are 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 the resolution are as follows:

Item No.	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

1.	Confidential Minutes – 17 February 2022	Good reason to withhold exist under Section 7	That the public conduct of the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding exists. Section 48(1)(a)
2.	Quarterly Whistleblower Report	Good reason to withhold exist under Section 7	That the public conduct of the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding exists. Section 48(1)(a)
3.	Risk Report	Good reason to withhold exist under Section 7	That the public conduct of the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding exists. Section 48(1)(a)
4.	Health and Safety Initiatives	Good reason to withhold exist under Section 7	That the public conduct of the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding exists. Section 48(1)(a)

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

Item No.	Interest
1,4	Protect the privacy of natural persons, including that of deceased natural persons (Schedule 7(2)(a))
1,4	Protect information where the making available of the information: (i) would disclose a trade secret; and (ii) would be likely unreasonably to prejudice the commercial position of the person who supplied or who is the subject of the information (Schedule 7(2)(b)).
1	Enable any local authority holding the information to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations) (Schedule 7(2)(i))
2	Maintain the effective conduct of public affairs through –

(ii)	The protection of such members, officers, employees and persons form improper pressure or harassment; or (Schedule 7(2)(f)).
2,3	Maintain legal professional privilege; or (Schedule 7(2)(g))
2,3,4	Enable any local authority holding the information to carry out, without prejudice or disadvantage, commercial activities; or (Schedule 7(2)(h))

DATE OF NEXT AUDIT AND RISK COMMITTEE MEETING – 11 AUGUST 2022 (TBC)
COUNCIL CHAMBERS, 36 WELD STREET, HOKITIKA AND VIA ZOOM

12.05.22 – AUDIT AND RISK COMMITTEE – ACTION LISTING

	Date	COMPLETED IN PROGRESS OVERDUE	Item	Action Required	Status	Lead Officer
1	10.08.21	🟠	Insurance review of the Airport.	This assets value will need to be reviewed and amendment once the renovations are completed.	Destination Westland (DW) need to take the lead on this. The Chief Executive has advised he will follow up with DW on this.	CE
3	09.11.21	🟠	Workshop: Evaluation of the performance of the Committee	Workshop to be scheduled with the first meeting of 2022.		Chair/Group Manager: Corporate Services
	09.11.21	🟢	Workshop: OAG, Risk Management	Workshop to be scheduled in 2022.	March 2022 Council meeting by zoom Hugh Jory presented to Council meeting – recommend remove from action list	Group Manager: Corporate Services
	09.11.21	🟠	WDC Policy Review on Police Vetting	To be actioned	Draft brought to Feb 2022 Audit and Risk Committee Awaiting further information as requested by Committee	People and Capability Manager
	09.11.21	🟢	Policies for Audit and Risk Review	Added as a standing item to the committee agenda.	Item added to rolling work plan This is now a standing item on the work plan – recommend removed from action list	Office of the CE

Report to Committee

DATE: 12 May 2022

TO: Audit and Risk Committee

FROM: Finance Manager and Strategy and Communications Advisor

---

Quarterly Report Q3 – 1 January – 31 March 2022

1. Summary

1.1. The purpose of this report is to inform the Committee of Council's financial and service delivery performance for the nine months ended 31 March 2022 (Q3).

1.2. This issue arises from a requirement for sound financial governance and stewardship with regards to the financial performance and sustainability of a local authority.

1.3. Council seeks to meet its obligations under the Local Government Act 2002 and the achievement of the District Vision adopted by the Council in June 2021, which are set out in the Long Term Plan 2021-31. Refer page 2 of the agenda.

1.4. This report concludes by recommending that Committee receive the Quarterly Report Q3 January – March 2022, attached as appendix 1.

2. Background

2.1 The reason the report has come before the Committee is due to the requirement for the Committee to have current knowledge of Council's performance both financial and non-financial. The quarterly report provides information against targets and objectives adopted in the Long Term Plan 2021-31.

3. Current Situation

3.1. The current situation is that the Committee receives a quarterly report in a consistent format.

3.2. The Quarterly Report Q3 January – March 2022 contains the following elements:

3.2.1. Statement of Service provision.

3.2.2. Sustainability report on Financial Prudence.

3.2.3. Whole of Council Statement of Comprehensive Revenue and Expenditure, including variance analysis.

3.2.4. Capital Expenditure 2021/2022.

3.2.5. Treasury report including Council's debt position and debtors.

3.2.5.1. Due to circumstances beyond Council's control, the full Treasury report, including Loans and borrowings, and the Reserve Funds report, were not available for this Quarterly Report.

4. Options

4.1. Option 1: The Committee does not receive the Quarterly Report Q3 January – March 2022.

4.2. Option 2: The Committee receives the Quarterly Report Q3 January – March 2022.

5. Risk Analysis

5.1. Risk has been considered and the following risks have been identified:
5.1.1. Financial mismanagement through lack of awareness of the Council's financial position.

5.1.2. Poor activity performance through lack of oversight of how activity groups are tracking to their KPIs.

6. Health and Safety

6.1. Health and Safety has been considered and no items have been identified.

7. Significance and Engagement

7.1. The level of significance has been assessed as being low. The report is an administrative document for the Committee's information.

7.2. No public consultation is considered necessary.

8. Assessment of Options (including Financial Considerations)

8.1. Option 1: If the Committee does not receive the report there will be no oversight of the financial position of Council or whether the activity groups are achieving the level of service that Council determined through the long term and annual plans.
8.1.1. There are no financial implications to this option.

8.2. Option 2: This report is for information only to ensure oversight of Council's financial position and activities. Staff welcome feedback for continuous improvement of the quality of the information provided.
8.2.1. There are no financial implications to this option.

9. Preferred Option(s) and Reasons

9.1. The preferred option is Option 2

9.2. The reason that Option 2 has been identified as the preferred option is that the report is administrative in nature and to do nothing would create a financial risk to Council.

10. Recommendation(s)

10.1.   That the report be received.
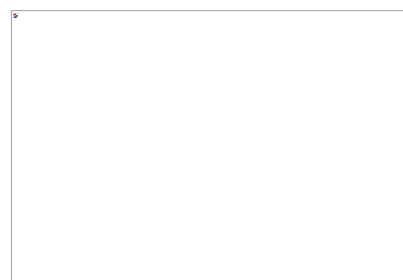
Lynley Truman
Finance Manager

Emma Rae
Strategy and Communications Advisor

Appendix 1:   Quarterly Report Q3 January – March 2022

TE KAHUI O POUTINI
WESTLAND DISTRICT COUNCIL
QUARTERLY REPORT 3 – JANUARY – MARCH 2022

Contents

Statement of Service Performance

How we are achieving against our Community Outcomes

	Number of performance measures supporting each outcome	Number of performance measures achieving against the indicators.
Diverse Economy	8	0
Sustainably Managed Environment	18	7
Resilient Communities	37	10

Measures of resident satisfaction have not been achieved in this quarter as the Resident Satisfaction Survey was being undertaken during this time. The final results will be reported to the May Council meeting.

Some activities did not provide reports, or were unable to provide information against their performance measures in the quarter as the information is a yearly measure.

Leadership

Democracy

The following meetings and workshops were held during the period 1 January 2022 to the 31 March 2022:

Date	Name of Committee/Subcommittee	Formal Meeting or Workshop
9 February	Capital Projects and Tenders Committee meeting	Formal meeting of Committee
17 February	Audit and Risk Committee meeting	Formal meeting of Committee
23 February	Staff Annual Plan Budgets Workshop	Annual Plan Workshop
24 February	Council Workshop Hokitika Racecourse	Council Workshop
24 February	Council meeting	Ordinary February meeting
3 March	Cycling and Walking Subcommittee meeting	Formal meeting of Committee
7 March	Community Development Committee meeting (meeting lapsed due to a lack of a quorum)	Formal meeting (lapsed)
9 March	Councillor Annual Plan Workshop	Annual Plan Workshop
23 March	Chief Executive's Review Committee Meeting	Formal meeting of Committee
24 March	Council meeting	Ordinary March meeting
29 March	Planning Committee workshop – Protections works update, Hokitika and Franz Josef/Waiau, Hokitika River works	Committee Workshop
29 March	Council Workshop – Pakiwaitara Building and Council Headquarters Building	Council Workshop
29 March	Planning Committee meeting	Formal meeting of Committee
30 March	Hokitika Waste Water Treatment Plant Upgrade Project Iwi representatives workshop	Workshop with Iwi representatives

LGOIMA

There were 13 requests for information under the Local Government Information and Meetings Act during this quarter. Information requested included: three waters correspondence, Covid-19 vaccine passes and the February weather event.

21 requests were sent from the media directly to the Strategy and Communications Advisor for response. Many of these requests were for information about vaccine passes, Council's Covid protocols and staff vaccination status.

Days to Complete*
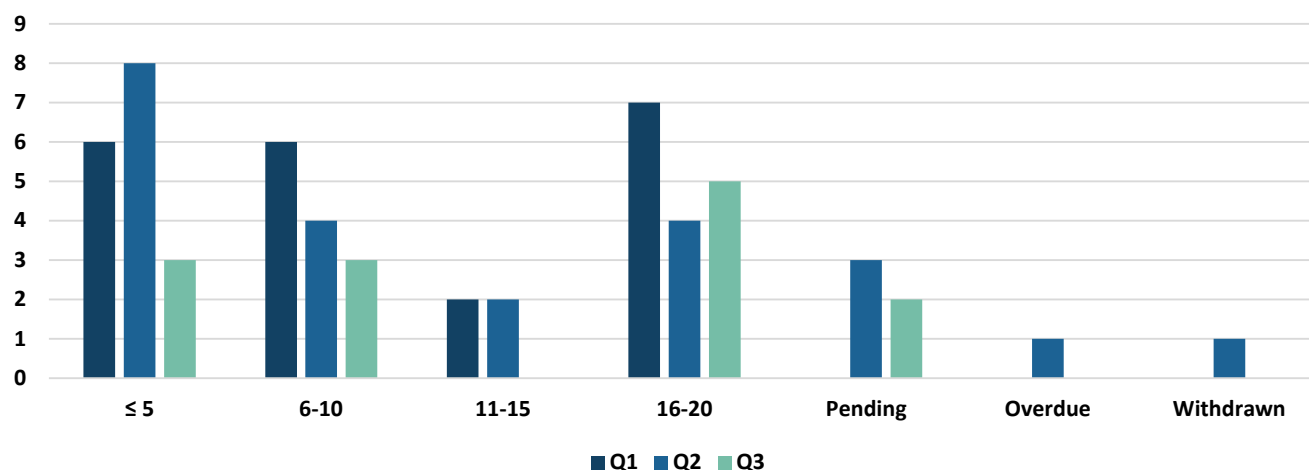
* Not including media requests to Communications, which are typically answered on the same day.

Requests per quarter*

■ Q1 July - September   ■ Q2 October - December   ■ Q3 January - March
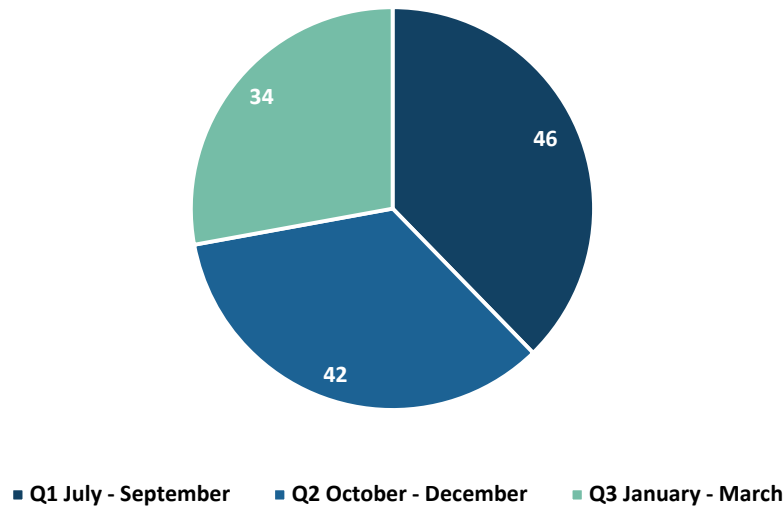
*Including request from the media through Strategy and Communcations.

How this activity contributes to Community Outcomes & Well-being

In this quarter the Democracy activity contributed to the Resilient Communities outcome through:

- Open and transparent meeting processes.
- Council demonstrated iwi participation, partnership and protection with the Hokitika Waste Water Treatment Plant Oversight Workshop with Iwi representatives. The Oversight Committee itself is represented with equal membership between Council and nominated iwi members.
- Deputy Mayor Carruthers and Cr Martin attended a meeting in Wellington with the Hon Nanaia Mahuta and Green Party Co-leaders. At the meeting Communities 4 Local Democracy (C4LD) presented a proposed governance document clearly setting out the intent to work with Iwi to co-design governance structures that would work within each specific region. A 10 point plan was presented to the Ministers setting out the framework, which if adopted by the Minister, would ensure C4LD would be able to support the newly proposed changes.

Cr Martin and Deputy Mayor Carruthers in front of the Beehive in Wellington

Performance in this activity

Community Outcome	Level of service	Measure / Target	Current performance
Resilient Communities	**Responsible leadership**	**65%** of residents satisfied with Council's leadership	The next resident satisfaction survey is being reported to Council in May 2022. *(No Resident Satisfaction survey was undertaken in 2021)*
Resilient Communities	**The community understands what Council does**	**70%** of residents who understand how Council make decisions	The next resident satisfaction survey is being reported to Council in May 2022. *(No Resident Satisfaction survey was undertaken in 2021)*

Corporate Services

Finance

The third quarter has not just been about business as usual for the Finance team, as with work concentrating on ensuring finance processes in place now provide a better foundation for the next Annual Report and for reporting in general. Process improvement will continue to be high on the agenda for the Finance team.

This is also the quarter where focus is on the Annual Plan 2022/2023. Capital projects were finalised and the draft budget completed ready for report preparation for the Draft Annual Plan and Feedback document in April.

Recruitment for a new Management Accountant was successful. The new staff member joined the team in April.

Strategy and Communications

Work in Q3 focussed on working with staff and elected members to draft the Annual Plan and engagement document for 2022/2023. This involved facilitating workshops with staff and councillors and working closely with finance to compile the documents.

The Strategy and Communications Advisor (SCA) has also been working with staff in other activity groups, training them to edit the website in our content management system, Umbraco. Staff have access to the relevant area of the website and new content is reviewed by a manager or SCA before being published.

A review of the Council's Consultation Policy is underway, along with templates for staff and guidance on communications plans to be included with future engagement or community consultation opportunities.

Information Management

The Council's Document management system is now handling all new Policy document creation, distribution, publishing and monitoring. Historic policies will be migrated to this system and this will allow us to report on review dates.

The team has successfully recruited an additional Information Officer, whose role focusses on Land Information Memorandum (LIM) processing and the digitisation of our paper based Property Files.

A high-speed scanner has been purchased and the team are configuring and testing processes that will allow automatic extraction of information from scans, with a view to storing these as meta-data in Council's Document Management system. Scanning "on demand" should begin during the next quarter.

Despite experiencing some technical issues with the Public Portal, this continues to function and staff will be adding more digital forms to this system shortly. Staff are also developing plans for self- service kiosks such that customers can access our digital forms and information in the customer service area.

Information Technology

The IT team is continuing the program of upgrading all staff to laptops and mobile phones but there are still some issues with the supply chain. Staff have now been waiting over six months for docking stations for some of the laptops.

Working from home has proven to be a lot easier for staff over the past few months, with fewer issues requiring support reported. People have become more comfortable with Zoom meetings and Zoom phones.

As part of Council's business continuity plan, staff are currently investigating a failover connection if for some reason we lose our fibre connection. The current failover is a wifi, which connects into the mobile network and is not very good. Alternative options include what satellite connections would be available.

The project to define and upgrade the equipment and support provided to the CDEM group is advancing well. Eight new laptops have been purchased and set-up for use in the emergency operations centre.

How this activity contributes to Community Outcomes & Well-being

In this quarter the Corporate Services activity contributed to the Resilient Communities outcome through:

- Open and transparent meeting processes
- Work by our IT department to improve business continuity and enable staff to work in and out of the Council offices.
- Improvements to processes within the Information Management department that benefit the community and the business.

Performance in this activity

Community Outcome	Level of service	Measure / Target	Current performance
Resilient Communities	**Provide accountability about Council activities**	Legally compliant financial plans and reports adopted a. **100% LTP, Annual Plans and Reports adopted on time.** b. **100% LTP and Annual Reports receive unqualified Auditor's Opinions.**	a. The draft Annual Plan 2022/2023 is scheduled for adoption in May and will be open for feedback until early June. The final Annual Plan will be formally adopted by 30 June 2022. (*The Annual Report 2020/2021 was adopted on 17 December 2021 as allowed by the amendment to the Local Government Act.*). b. The Annual Report 2020/2021 received an unqualified Auditor's opinion.

Community Outcome	Level of service	Measure / Target	Current performance
			(*The Long Term Plan 2021 – 2031 received an unqualified Auditor's opinion*).
Resilient Communities	**Effective engagement of the community during public decision making opportunities**	**65%** of residents that believe they have been appropriately consulted	The next resident satisfaction survey is being reported to Council in May 2022. (*No Resident Satisfaction survey was undertaken in 2021*)
Resilient Communities	**A comprehensive Customer Service Centre**	**80%** of residents satisfied with the service they receive	The next resident satisfaction survey is being reported to Council in May 2022. (*No Resident Satisfaction survey was undertaken in 2021*)

Planning and Regulatory

Resource Management

During this quarter the Te Tai o Poutini Plan (TTPP), being the one District Plan for Westland, Grey and Buller Districts, has been made available to public as an exposure draft. Community feedback continues to be provided to the joint committee both via the TTPP website and through public consultation, which has been undertaken throughout the Westland District in the form of community engagement meetings.

The Planning Manager resigned at the end of the quarter and recruitment for their replacement is underway.

The resource management and planning team achieved 94.12% compliance with statutory timeframes for the entire quarter (i.e. processing all non-notified resource consents within the 10 or 20 working day timeframe set under the RMA 1991). One resource consent was issued outside of the 20 working day timeframe due to human error, however this consent was processed by the overseeing planner within the required timeframe.

No Customer Satisfaction Surveys have been submitted by the public in this quarter. The survey remains available within a link contained within the email signature of all Planning staff.

38 resource consent applications were received during this quarter. The most significant of these relate to:

- 20 Lot subdivision at Mehrtens Road, which included a bundled land use consent application for the purpose of constructing a new road to be vested to Council and a single residential dwelling within each Lot, resulting in a proposed total of 20 new dwellings.
- The formation of new roading outside of the legal road reserve within the Small Settlement Zone, Kaniere Road.
- To undertake the refurbishment and operation of the Empire Hotel building, Kumara.
- An eight Lot subdivision within the Franz Alpine Resort Area.
- To undertake a variation to the approved modification of the Carnegie Building, being a Schedule II heritage building.

Overall, 25 decisions were issued over the third quarter, including 100% of these consents being granted under delegated authority. Nineteen of these decisions related to land use consents, the remaining six were associated with subdivisions.

Two resource consent applications were withdrawn.

One resource consent application proceeded to limited notification. The outcome of the notification was positive and no hearing was required. This consent was granted under delegated authority.

Presently there are 49 live resource consent applications with the Planning Department, which continue to be processed.

How this activity contributes to Community Outcomes & Well-being

The assessment of applications and provision of resource consent decisions has contributed to the economic and social well-being of the Westland District whilst ensuring environmental and cultural well-beings are protected or enhanced through sustainable resource use.

The resource consent process enables applicants to undertake activities that would not otherwise be permitted by existing legislation through a decision process that factors in those who may be affected and the receiving environment, in an effort to ensure natural justice achieved.

Ongoing community consultation in respect to the TTPP, being the future District wide statutory document for resource management, has ensured the four recognised well-beings are considered and provided for based on the values and priorities of the community.

Performance in this activity

Community Outcome	Level of service	Measure / Target	Current performance
Sustainably Managed Environment	**Resource consents processed in accordance with relevant legislation**	**100%** of resource consents processed within statutory Time frames	**94.12%** of resource consents were processed within statutory time frames. **1 consent** was not issued within the statutory timeframe. *(Q2: this activity did not provide a report)*
Resilient Communities	**Provide appropriate advice to customers**	**85%** of users satisfied with the quality of the advice provided on resource management matters	No Customer Satisfaction Surveys have been submitted *(Q2: this activity did not provide a report)*

Inspections and Compliance

Building Control

Consent numbers are consistently increasing, with 80 consent applications received this quarter, compared to 50 received for the same quarter last year. 192 inspections were undertaken and 31 Code Compliance Certificates issued.

With such a high workload and a shortage of building control staff around NZ, issues with supply chains and delays and constant increases in prices, there is a lot of stress on the industry. While staff try to meet the statutory deadlines, these cannot always be achieved. This is becoming a common trend with the bulk of councils facing the same pressures.

The department is actively trying to recruit a Senior Building Control Officer, as are most councils' country wide. In this quarter a Building Control Officer, a Compliance Officer and an Administration Officer have been recruited to help alleviate some pressure.

Environmental Health – Food and Alcohol Licensing

Food Licensing

The Environmental Health officer completed 23 inspections in Q3. Over the past three Quarters 77% of the premises that are still open have been inspected. Some premises remain registered but are not open for trading.

Alcohol Licensing

The Environmental Health officer completed seven visits to licensed premises in Q3. Over the past three Quarters 86% of the inspections due to be completed have been conducted.   The number of liquor premises that are open and due inspection during the last two years has varied significantly during the course of the year.

How this activity contributes to Community Outcomes & Well-being

Not reported.

Performance in this activity

Community Outcome	Level of service	Measure / Target	Current Performance
Diverse Economy	**Timely processing of Building Consents.**	**100%** of building consents processed within 20 working days as per the requirements of the Building Act	83.67 (66/80) *(Q2: this activity did not provide a report)*
Diverse Economy	**Provide appropriate advice to customers.**	**85%** of users satisfied with the quality of the advice provided on building consent, environmental health and Liquor Licensing matters	**Building Consents** The next resident satisfaction survey is being reported to Council in May 2022. *(Q2: this activity did not provide a report)* **Environmental Health** The next resident satisfaction survey is being reported to Council in May 2022. *(No Resident Satisfaction survey was undertaken in 2021)* **Liquor Licencing** The next resident satisfaction survey is being reported to Council in May 2022. *(No Resident Satisfaction survey was undertaken in 2021)*
Diverse Economy	**Encourage compliance with health standards by undertaking inspections so that all food, liquor and other licensed premises comply with the relevant legislation.**	**100%** licensed and registered premises are inspected at least annually.	**Food Premises** 77% (65 / ~84 – based on currently registered businesses) *(Q2: 32% (20 premises) as of 31 December 2021)* **Liquor Premises** 86% (39 / ~45 – based on currently registered businesses) *(Q2: 26% (18 premises) as of 31 December 2021)*

Animal Control

Compliance

During the reporting period there have been six reported incidents of dog attacking other dogs and numerous barking complaints. A total of four infringements have been issued for wandering dogs, and infringements continue to be issued for failing to register dogs within required timeframes.

Patrols for wandering dogs and stock have been undertaken from Kumara to Haast.

Council is continuing to work with and educate people who haven't registered dogs, including provision of assistance to complete registration forms, and where required, setting up automatic payments to ensure full fees are paid within legislated timeframes. Building relationships with people in the community and farming fraternity is a primary focus.

Pound activities

One dog was impounded on a seven-day notice. Fourteen wandering or lost dogs were collected by the Animal Control Officer, of which all but two were returned to their owners. The Officer has also responded to a number of stock control incidents during this reporting period for horses, sheep, goats and cattle that have broken through fencing.

How this activity contributes to Community Outcomes & Well-being

While restrictions imposed by Covid-19 have presented challenges in the ability to engage face-to-face with people in relation to Dog and Animal Control matters, the ability to respond to complaints has enabled delivery in services. This contributes to community resilience, through minimisation of harm from wandering dogs and stock. Where incidents have occurred, appropriate action has been taken with identified owners.

Performance in this activity

Community Outcome	Level of service	Measure / Target	Current Performance
Resilient Communities **Sustainably Managed Environment**	**Keep the public safe from dogs and wandering stock**	**90%** Residents satisfied with the response provided	The next resident satisfaction survey is being reported to Council in May 2022. *(No Resident Satisfaction survey was undertaken in 2021)*
		99% of known dogs registered by 30 June each year	Not reported *(Q2: 98% (2004))*
		Response times to Priority 1 callouts: **30 minutes or less (excluding travel time)**	Not reported *(Q2: this activity did not provide a report)*

Emergency Management

Not reported.

How this activity contributes to Community Outcomes & Well-being

Not reported.

Performance in this activity

Community Outcome	Level of service	Measure / Target	Current Performance
Resilient Communities	**Council is prepared for and maintains an effective response capacity to manage civil defence emergencies**	Council's e-text alerting system is tested twice per annum. **Achieved**	Not reported *(Q2: this activity did not provide a report)*
		At least one Emergency Operations Centre (EOC) activation occurs annually (event or exercise). **Achieved**	Not reported *(Q2: this activity did not provide a report)*
		At least two training sessions are held annually for Council CDEM Incident Management Personnel **Achieved**	Not reported *(Q2: this activity did not provide a report)*
Resilient Communities	**CDEM relationships with WC CDEM Group territorial authorities, emergency services, and life line utilities are maintained and strengthened**	Council is represented at CDEMG Joint Committee meetings by the Mayor, or a nominated attendee. **80% of the time.**	Not reported *(Q2: this activity did not provide a report)*
		Council is represented at CEG meetings by the Chief Executive or a nominated attendee. **80% of the time.**	Not reported *(Q2: this activity did not provide a report)*

Community Development and Assistance

Funding sources and opportunities are promoted through our Westland Communities and assistance has been given where needed to complete or review applications.

The Westland Creative Communities Scheme allowed Council to extended funding applications into April. This extension was to encourage further applications to use the additional Covid funding received. Completion dates for previous allocations of funding have been extended up to 12 months where Covid restrictions have impacted on projects or events.

Other funding

The Community Development Advisor is now responsible for the Community Public Toilet funding. All accountabilities for 2020-2021 have been received and all five communities have received the Community Public Toilet Grant. Accountabilities have been requested for the 2021 – 2022 year to process payments before June 30 2022.

Safer Westland

Safer Westland is working on Strategy 2022-2023. Safer Westland Projects have continued to deliver.

How this activity contributes to Community Outcomes & Well-being

Achieving positive results in funding applications encourages activities that build a sense of community, social inclusion and participation

Small Events funding encourages recreational and cultural celebrations and activities, which promote the acceptance of diversity with activities open to all life stages.

Most social services and groups are adapting to live with Covid-19 in our communities, programmes to encourage checking on our elderly and our neighbours along with online contact are reducing the negative emotional effects of isolation, supporting wellbeing and increasing community resilience during the pandemic recovery.

Performance in this activity

Community Outcome	Level of service	Measure / Target	Current performance
Resilient Communities	**Supporting Communities to improve their social and cultural wellbeing**	CDA co-ordinates funding and committee process for: • Creative Community Scheme funding local arts. • Sport NZ Rural Travel Fund. • Funding to promote events for Community well-being and social connectedness. **Achieved**	• Creative Community Applications were extended onto April • Community funding was allocated. *(Q2:* • *Creative Community funding was allocated.* • *Sport NZ funding was allocated.* *Community funding was allocated.)*
Resilient Communities	**Commitment to "Safer Westland"**	Westland Safe Community Coalition maintains "Safer Westland" accreditation with NZ Safe Community Foundation. **Achieved**	No change from Q2. *(Q2: Safer Westland maintains accreditation with*

			NZ Safe Community Foundation.)
	Safer Westland Community Coalition meets bi-monthly. **Achieved**		No change from Q2. *(Q2: There were no meetings held in this quarter due to Covid-19 restrictions..)*

Community Halls

Community Outcome	Level of service	Measure / Target	Current performance
Resilient Communities	**Provide safe and useful community halls**	**80%** of residents satisfied with the standard of their community hall	The next resident satisfaction survey is being reported to Council in May 2022. *(No Resident Satisfaction survey was undertaken in 2021)*

Facilities, and Leisure Services

Cemeteries

Not reported.

How this activity contributes to Community Outcomes & Well-being

Not reported.

Performance in this activity

Community Outcome	Level of service	Measure / Target	Current performance
Resilient Communities **Sustainably Managed Environment**	**Council owned cemeteries are appropriately maintained**	Customer Satisfaction: The number of service requests received per cemetery **Hokitika: ≤ 5** **Kumara: ≤ 5** **Ross: ≤ 5**	This activity did not provide a report. *(Q2: This activity did not provide a report)*
Resilient Communities **Sustainably Managed Environment**	**Burials adhere to the relevant legislation**	Standards for burial adhere to Cemeteries and Cremations Act 1964 **100%**	This activity did not provide a report. *(Q2: 100%)*

Hokitika Museum

Due to COVID-19 restrictions limiting in person contact for collection access and research enquiries, the Hokitika Museum has placed emphasis on finalising the Museum's new website content and launch. Other pieces of work have included additional collection audits, and developing and compiling content for the Ngā Whakatūranga Project (Carnegie exhibitions development project). Staff have also been investigating museum trust boards that have an emphasis on sourcing external funding. Securing external funding will provide economic relief to the Ngā Whakatūranga Project and other related Museum capital projects in the future.

How this activity contributes to Community Outcomes & Well-being

The Museum's priority is to develop social and cultural opportunities for the community and visitors. Allowing access to Museum services online can largely provide these opportunities, as seen by other cultural institutions during the COVID-19 pandemic. In particular, creating a website that acts as an online conduit allows users to interact with the Museum Team, heritage collections and developments, resulting in positive impacts on community mental health and cultural resilience. These impacts have been seen globally with Museum online projects.

To further support community cultural wellbeing, additional collection audits and targeted research has been conducted to support the Museum website, collection readiness priorities and part of the research for the Ngā Whakatūranga Project.

Performance in this activity

Community Outcome	Level of service	Measure / Target	Current performance
Resilient Communities	**Collections developed and maintained with access**	Collections continue to grow, in line with Hokitika Museum policies. **Achieved**	Achieved *(Q2: Achieved)*

		provided	
		Deaccessions and disposals are aligned with Hokitika Museum policies. **Achieved**	Achieved *(Q2: Achieved)*
		Backlog of records and documentation reduced. **Achieved**	Achieved *(Q2: Achieved)*

Parks and Reserves

Not reported.

How this activity contributes to Community Outcomes & Well-being

Not reported.

Performance in this activity

Community Outcome	Level of service	Measure / Target	Current performance
Sustainably Managed Environment **Resilient Communities**	**Reserves are pleasant, enjoyable and safe places**	**90%** of residents satisfied with parks and reserves	The next resident satisfaction survey is being reported to Council in May 2022. *(No Resident Satisfaction survey was undertaken in 2021)*

Public Toilets

In this quarter staff have maintained regular inspection of toilets to ensure ongoing community satisfaction. On receipt any complaints are actioned directly. Staff have reviewed maintenance contracts and are developing maintenance plans.

How this activity contributes to Community Outcomes & Well-being

Not reported.

Performance in this activity

Community Outcome	Level of service	Measure / Target	Current Performance
Sustainably Managed Environment **Resilient Communities**	**Provide public toilets throughout the district**	**85%** of residents satisfied with the service.	The next resident satisfaction survey is being reported to Council in May 2022. *(No Resident Satisfaction survey was undertaken in 2021)*

West Coast Wilderness Trail

Not reported.

How this activity contributes to Community Outcomes & Well-being

Not reported

Performance in this activity

Community Outcome	Level of service	Measure / Target	Current Performance
Diverse Economy **Resilient Communities**	The cycle trail is well used	Numbers using the trail as measured by trail counters **increase by 10% per annum.**	This activity did not provide a report. *(Q2: This activity did not provide a report)*

Westland District Library

Changes to the way the library has delivered services (reduced hours and programmes on hold) and public health measures due to Covid-19 has contributed to a change in behaviour of our patrons. Many chose to avoid public spaces and limit social contact. This reduced footfall by 20% and APNK computer use by 30% compared to the previous quarter.

To continue to provide access to library services to those unable or reluctant to use the physical spaces, service delivery models have been adapted and as a result, there has only been a 10% reduction in issues this quarter and Wi-Fi use has remained similar to last quarter. Staff have answered telephones and email enquiries during regular working hours.

Click or Call and Collect facilitated services enabled continued access to the collection, and further adaptation enabled us to provide books to individuals and families required to isolate. Volunteers continued to deliver books to our housebound patrons. Use of the digital collections increased and numbers of Skinny Jump modems (for home internet access) issued rose. Staff also developed a number of take home packs with books and activities for adults and children as an alternative to face-to-face and online programmes. The online Beanstack Reading Challenges for children and adults have been successful with 127 participants and positive feedback.

How this activity contributes to Community Outcomes & Well-being

The library's activities are inclusive, foster connection and reduce isolation. While the pandemic and associated restrictions required to protect the most vulnerable in our community have reduced library programs, the library has adapted services to both minimise the impact of these restrictions and to ensure that services were not further impacted by staff illness and absence during the peaks of community infection. The library has maintained access to the recreational and cultural facilities it provides and continues to support the wellbeing and resilience of our communities across the district.

Performance in this activity

Community Outcome	Level of service	Performance measures (KPI)	Current performance
Resilient Communities	**Provide the district with quality library services that are responsive to the needs and wellbeing of the diverse communities.**	**99%** of residents satisfied with library services	The next resident satisfaction survey is being reported to Council in May 2022. *(No Resident Satisfaction survey was undertaken in 2021)*

Land Transport

This quarter has been particularly busy and challenging with the Storm event of February creating approximately $170,000 worth of damage to the network. Largely located in the South Westland area with Poerua River Road and Oneone Road in the Harihari area most affected. There was damage elsewhere along the Gillespies Beach Road and several other minor areas but for the most part Westland avoided the larger scale damage experienced elsewhere in the rest of the West Coast road networks.

The annual reseal programme has been successfully completed. However, cost increases due to Covid and oil prices have meant that resealing could only be done on a significantly reduced portion of the network. Approximately 13km sealed where the performance target was approximately 25km. This will be an ongoing challenge over the next two years of the current NLTP funding as inflation plays a significant part in the capacity to deliver the annual roading programme.

Kaniere bridge intersection improvements have been hampered by Covid with the kerbing contractor having a majority of their staff off due to active Covid cases.

The footpath maintenance/renewal programme is also underway with patching carried out in Haast, Fox, Franz, Whataroa and Ross and more renewals underway in Hokitika. The Hokitika work has also been affected by the Kerb and Channel contractor being redeployed to Kaniere.

Annual pavement marking has also been completed.

The maintenance contractor is now focusing on the preparation works for the next season's reseal works.

How this activity contributes to Community Outcomes & Well-being

Council staff are implementing the Combined West Coast Transportation AMP Improvement plan, which aims to identify and inform the next Land Transport Plan Funding Application in 2023. This is a significant body of development work and investigation that will involve community engagement to help identify the priority areas as perceived by the customers. This will greatly assist in Council's ability to anticipate and plan future improvement works that improve both social and economic factors within the community. Well-maintained, safe and efficient transportation networks are able to make a measurable contribution towards environmental improvements and sustainability for the wider community.

Performance in this activity

Community Outcome	Level of service	Performance measures (KPI)	Current performance
Diverse Economy **Resilient Communities**	**The transportation network is safe for all users in Westland District**	**Road safety:** The change from the previous financial year in the number of fatalities and serious injury crashes on the local road network, expressed as a number. **0 fatalities and serious crash injuries**.	This is an annual measure. The next round of data will be available in the 2021/2022 Annual Report. *(2020/2021: 2 recorded serious crashes so no actual change in total Fatal/Serious Crashes)*

Community Outcome	Level of service	Performance measures (KPI)	Current performance
Diverse Economy **Resilient Communities**	**The surface condition of roads in Westland is of good quality**	**Road Condition:** The average quality of ride on a sealed local road network, measured by smooth travel exposure. **Primary Collector >= 93%** **Secondary Collector >= 93%** **Access >= 90%** **Low Volume >= 89%**	This is an annual measure. The next round of data will be available in the 2021/2022 Annual Report. *(2020/2021: Amended measure, previous data is not comparable)*
Resilient Communities		**>70%** of residents are satisfied with the standard and safety of Council's unsealed roads.*	The next resident satisfaction survey is being reported to Council in May 2022. *(No Resident Satisfaction survey was undertaken in 2021)*
Diverse Economy **Resilient Communities**	**The surface condition of roads in Westland is maintained to a high standard**	**Road maintenance:** ≥6.5% of the sealed local road network that is resurfaced	This is an annual measure. The next round of data will be available in the 2021/2022 Annual Report. *(2020/2021: 4.9%, as a result of increasing bitumen prices. Work was completed within the allocated budget.)*
Resilient Communities	**Footpaths are maintained in good condition and are fit for purpose**	**Footpaths:** **90%** footpaths within a territorial authority district that fall within the level of service or service standard for the condition of footpaths that is set out in the territorial authority's relevant document (such as its annual plan, activity management plan, asset management plan, annual works program or long term plan).	This is an annual measure. The next round of data will be available in the 2021/2022 Annual Report. *(2020/2021: All footpaths have now been condition rated on a 1-5 scale with 1 being Excellent and 5 being Very Poor (Fail). 92.4% of footpaths fall within the 1-4 rating. 71.4% within 1-3 and only 7.6% are rated 5 and in need of considerable renewal/upgrade works. There is still presently no agreed level of service standard set for footpaths.)*

Community Outcome	Level of service	Performance measures (KPI)	Current performance
Resilient Communities	**Response to service requests are dealt with promptly**	**Customer service requests: 100% within 3 days** customer service requests relating to roads and footpaths to which the territorial authority responds.	This is an annual measure. The next round of data will be available in the 2021/2022 Annual Report. *(2020/2021: 50% of Transportation related service requests were responded to within 2 days (142/279). 65% of Transport related service requests resolved within the informal target timeframe (182/279).)*

Drinking Water

There were 80 water related service requests recorded between 1 January 2022 – 31 March 2022.

Service Requests

Legend: ■ 1 January - 31 March ■ Completed on Time ■ Total Year to date — % Completed on Time
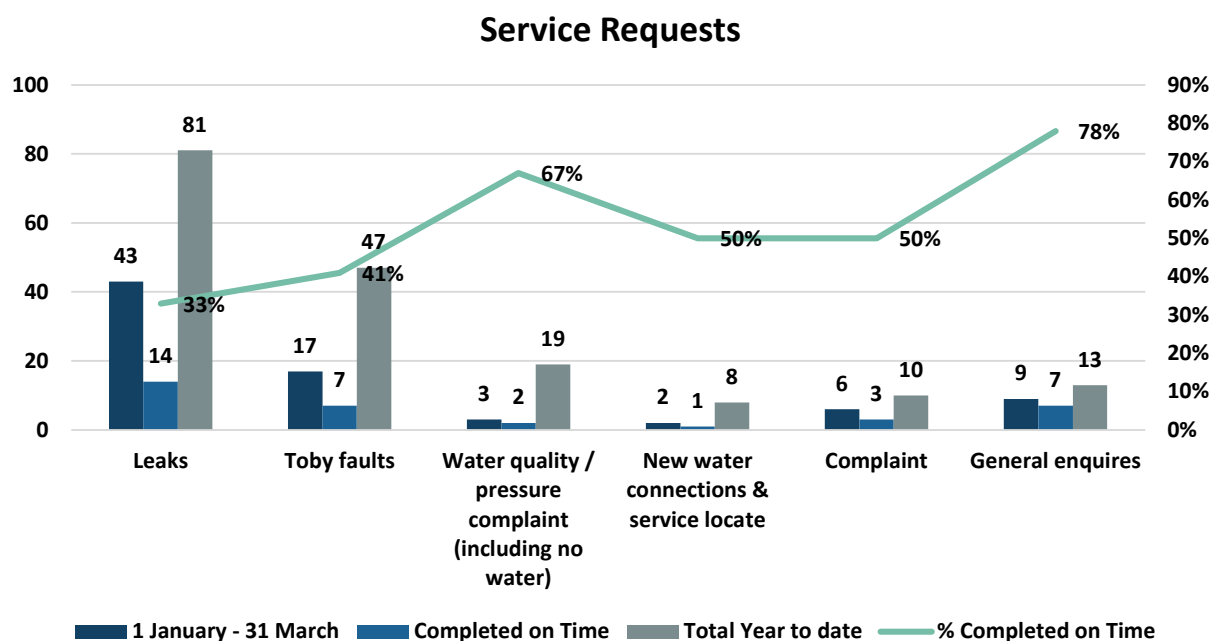
The new Arahura water treatment plant is scheduled for commissioning and operation after Easter 2022.This will provide safe compliant water to the community and Marae. A new generator has been installed which addresses resilience at times of power outages

How this activity contributes to Community Outcomes & Well-being

The following project improvements are aligned with ensuring a sustainably managed environment and resilient communities:

- Water reticulation upgrades have been carried out district wide providing a sustainable water supply for townships. The upgrades have included replacement and upsizing of some watermains along with new reservoirs for Harihari and Hokitika.
- New generators have been installed at all water treatment plants providing resilience for the townships during power outages.

Performance in this activity

Community Outcome	Level of service	Performance measures (KPI)	Current performance
Resilient Communities	**Council supplied potable water is safe to drink**	**Safety of drinking water:** The extent to which the local authority's drinking water supply complies with: a) Part 4 of the drinking water standards (bacteria compliance criteria), **90%** and	The situation is unchanged from Q2, however the Arahura WTP is now due to be operational at the end of April 2022. *(Q2: (a) To date, 3 out of the 9 supplies are fully compliant with bacterial compliance criteria at both the*

Community Outcome	Level of service	Performance measures (KPI)	Current performance
		b) Part 5 of the drinking-water standards (protozoal compliance criteria) **90%**	*water treatment plant and in the distribution zone.*
			Both Hokitika and Haast had samples not delivered on time to the laboratory. (E-coli samples must be delivered within 24hours of sample being taken).
			Franz Josef had a transgression at the after plant, and while subsequent results were clear it is unsure at this stage if the new water regulator, Taumata Arowai, will issue leniency.
			Kumara had a transgression in the zone which resulted in a precautionary boil water notice issued.
			Currently samples are not taken at Arahura for After Plant, due to no plant. The new WTP will be operational at the end of January 2022.
			The Fox Glacier WTP is programmed to be operational by October 2022.
			(b) *0 out of the 9 supplies are compliant with protozoal compliance criteria (Requires DWA approval.)*
			All plants require data logging reports to be submitted to obtain protozoal compliance.
			Council has been implementing an external data logging and reporting system, which will provide exception reporting for protozoal compliance. To date 7 out of the 9 supplies have this implemented. NB: As this does not cover the full year, all supplies will be non-compliant in this area.)
Resilient Communities	**Requests for service are dealt with promptly**	**Fault response times:** Where the local authority attends a call-out in response to a fault or unplanned interruption to its networked reticulation system, the	a) 84% (16/19) b) 32% (6/19) c) 59% (76/128) d) 41% (52/128) *(Q2:*

Community Outcome	Level of service	Performance measures (KPI)	Current performance
		following median response times measured: a) **95%** attendance for urgent call-outs: from the time that the local authority receives notification to the time that service personnel reach the site **(2 hours)** , and b) **100%** resolution of urgent call-outs: from the time that the local authority receives notification to the time that service personnel confirm resolution of the fault or interruption. **(12 hours)** c) **100%** attendance for non-urgent call-outs: from the time that the local authority receives notification to the time that service personnel reach the site **(24 hours)** , and d) **100%** resolution of non-urgent call-outs: from the time that the local authority receives notification to the time that service personnel confirm resolution of the fault or interruption **(72 hours)**.	a) *93% (13/14)* b) *61% (43/70)* c) *29% (4/14)* d) *86 (31/36))*
Sustainably Managed Environment	**Council supplied water is reliable**	**Maintenance of the reticulation network:** The percentage of real water loss from the local authority's networked reticulation system (including a description of the methodology used to calculate this). **Council does not intend to measure this as it will impose an unreasonable cost.**	Not measured **Monitored in a number of ways including; telemetry, water meters, repair program, mains replacements and pressure management. This is in context with the Benchloss NZ Manual.**
Sustainably Managed Environment		**Demand management:** The average consumption of drinking water per day per	Not measured. Council does not have the equipment to measure average consumption

Community Outcome	Level of service	Performance measures (KPI)	Current performance
		resident within the territorial authority district is **< 500l/day**.	hence a new three yearly measurement has not been performed since 2016/2017. *Most recent measurement was 2016/2017: Winter 253l per head, Summer 480l per head*

Resilient Communities	**Customers are generally satisfied with the Council supplied water**	**Customer satisfaction:**
		The total number of complaints received by the local authority about any of the following:
		
		  a) Drinking water clarity
		  b) Drinking water taste
		  c) Drinking water odour
		  d) Drinking water pressure or flow
		  e) Continuity of supply, and
		  f) The local authority's response to any of these issues.
		
		Expressed per 1000 connections to the local authority's networked reticulation system.
		25 per 1000 connections (2773 connections)
			(a) 1
			(b) 0
			(c) 1
			(d) 2
			(e) 15
			(f) 10
			
			Total number of complaints = **29**
			Complaints per 1000 connections = **10.5**
			
			(Q2:
			
			(g) 1
			(h) 0
			(i) 1
			(j) 2
			(k) 12
			(l) 4
			
			Total number of complaints = 20
			
			Complaints per 1000 connections = 7)

Stormwater

There were 17 Stormwater related service requests recorded between 1 January 2022 – 31 March 2022.
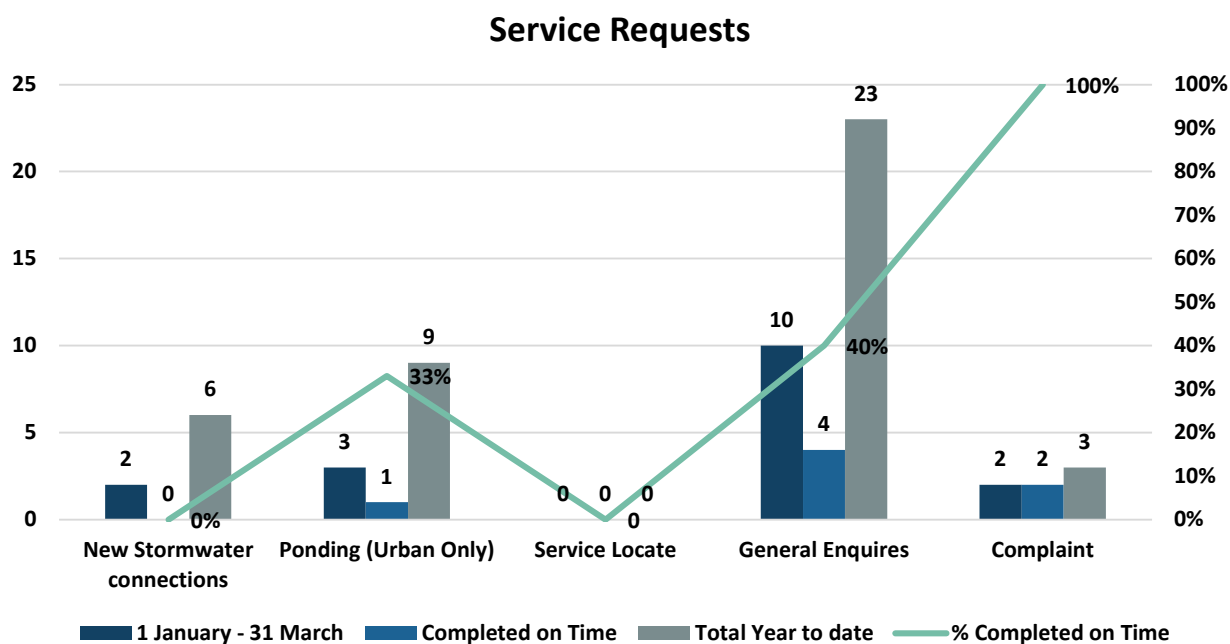
Service Requests

Legend: 1 January - 31 March | Completed on Time | Total Year to date | % Completed on Time

How this activity contributes to Community Outcomes & Well-being

The following project improvements are aligned with ensuring a sustainably managed environment and resilient communities.

- CCTV work has been carried out within the district recently to ascertain pipe condition, size confirmation, integrity and issues such as leakage and blockages. Video footage has highlighted a variety of issues including decreased capacity in some areas due to blockages that were previously not known.
- Minor improvements including two new large capacity sumps were installed in areas of Hokitika to alleviate roadside flooding during high rainfall events. Property owners in these areas typically experienced issues during these events.

Performance in this activity

Community Outcome	Level of service	Performance measures (KPI)	Current performance
Sustainably Managed Environment **Resilient Communities**	**Council Stormwater systems have the capacity to resist major storms and flooding events**	**System adequacy:** a) The number of flooding events that occur in a territorial authority district. **No more than 2.** b) For each flooding event, the number of habitable floors affected. **10 per 1000 properties connected to the territorial authority's stormwater system.**	There were no flooding events in Q3. *(Q2:* *a) 0 –No flooding events affecting habitable floors within the Council reticulated stormwater system.* *b) **Total habitable floors** = 0* ***Per 1000 connections** = 0 **(512 connections**))*

Community Outcome	Level of service	Performance measures (KPI)	Current performance
Sustainably Managed Environment **Resilient Communities**	**Requests for service are dealt with promptly**	**Response times:** The median response time to attend a flooding event, measured from the time that the territorial authority receives notification to the time that service personnel reach the site. **(95% within 2 hours)**	There were no reported flooding events to attend. *(Q2: There were no reported flooding events to attend.)*
Sustainably Managed Environment **Resilient Communities**		**Customer Satisfaction:** The number of complaint received by a territorial authority about the performance of its storm water system, expressed per 1000 properties connected to the territorial authority's storm water system. **10 per 1000 connections (495 connections)**	Total number of complaints = **12** Complaints per 1000 = **23.4** (512 connections) *(Q2: Total number of complaints = 7 Complaints per 1000 = 14 (512 connections))*
Sustainably Managed Environment **Resilient Communities**	**Council storm water systems protect the natural environment**	**Discharge compliance:** **100%** Compliance with the territorial authority's resource consents for discharge from its stormwater system, measured by the number of: a) Abatement notices b) Infringement notices c) Enforcement orders; and d) convictions	100% compliance. *(Q2:* *a) 0* *b) 0* *c) 0* *d) 0* *100% compliance.)*

Wastewater

There were 10 Wastewater related service requests recorded between 1 January 2022 – 31 March 2022.
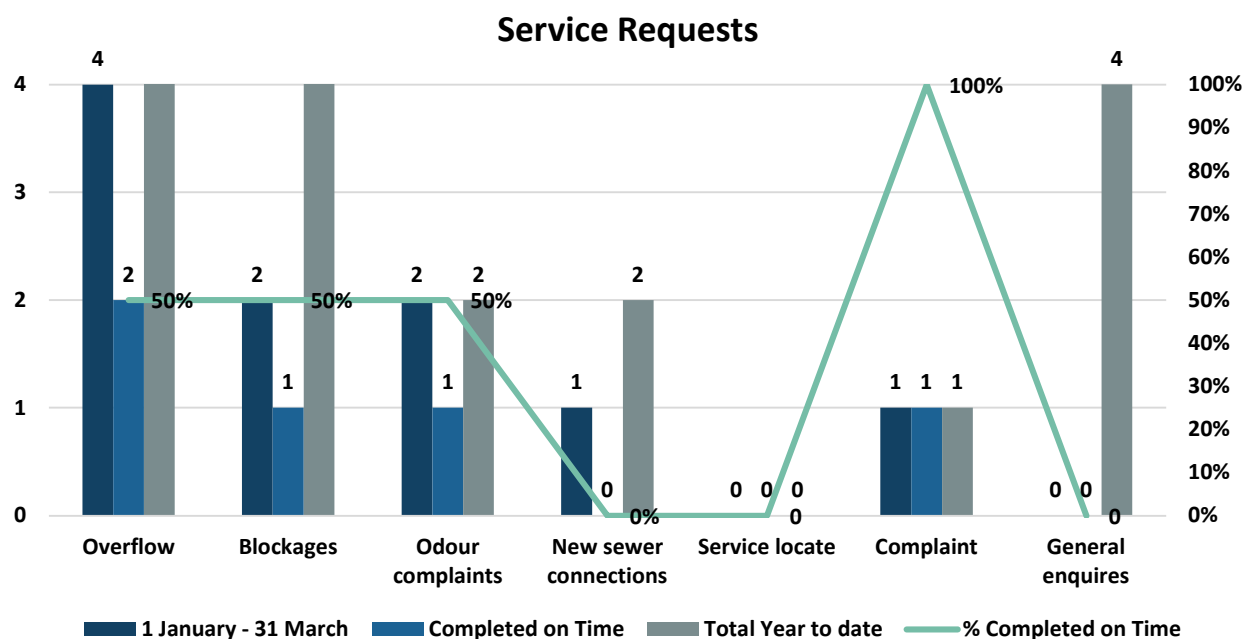
Service Requests

Legend: 1 January - 31 March | Completed on Time | Total Year to date | % Completed on Time

How this activity contributes to Community Outcomes & Well-being

The following project improvements are aligned with ensuring a sustainably managed environment and resilient communities.

- Septage receivers have been installed at the Fox and Haast oxidation ponds to ensure septage deliveries do not adversely affect the biological treatment process of the ponds. The septage receivers will greatly reduce the potential for odours which can negatively impact the surrounding environment.
- An inflow / infiltration study was carried out in Hokitika and Franz Josef. This project provided useful data to highlight areas within the reticulation networks where stormwater has been accessing pipework and reducing the capacity of the network.
- The Hokitika wastewater treatment plant upgrade project is in the planning stage and will ensure a more robust treatment process and increased capacity for future development. Partnering with iwi is aligned with Resilient Communities relating to community engagement.

Performance in this activity

Community Outcome	Level of service	Performance measures (KPI)	Current performance
Resilient Communities **Sustainably Managed Environment**	**Council wastewater systems are managed without risk to public health**	**System and adequacy:** The number of dry weather sewerage overflows from the territorial authority's sewerage system. **10 per 1000 connections (2141 connections)**	1 complaint *Complaints per 1000 connections = 0.2 (2150 connections)* *(Q2: **Complaints per 1000 connections = 1.4 (2141 connections)***
Resilient Communities	**Council wastewater**	**Discharge compliance:**	100% compliance

Community Outcome	Level of service	Performance measures (KPI)	Current performance
Sustainably Managed Environment	**systems are safe and compliant**	**100%** Compliance with the territorial authority's resource consents for discharge from its sewerage system measured by the number of: a) abatement notices b) infringement notices c) enforcement orders, and d) convictions. Received by the territorial authority in relation those resource consents.	*(Q2:* *a) 0* *b) 1* *c) 0* *d) 0* *The infringement notice was issued for the Haast WWTP for breaching the discharge consent condition. This issue was rectified within an appropriate timeframe of being notified.)*
Resilient Communities **Sustainably Managed Environment**	**Customers are generally satisfied with the Council wastewater systems**	**Fault response times:** Where the territorial authority attends to sewerage overflows resulting from a blockage or other fault in the territorial authority's sewerage system, the following median response times measured: a) attendance time: from the time that the territorial authority receives notification to the time that service personnel reach the site (2 hours), **95%** and b) resolution time: from the time that the territorial authority receives notification to the time that service personnel confirm resolution of the blockage or other fault (4 hours) **90%.**	a) 50% (2/4) b) 50% (2/4) *(Q2:* *a) 100% (1/1)* *b) 100% (1/1))*
Resilient Communities **Sustainably Managed Environment**		**Customer satisfaction:** The total number of complaints received by the territorial authority about any of the following: a) sewage odour b) sewerage system faults	a) 2 b) 4 c) 4 d) 1 a) New measure – this measure should not have been

Community Outcome	Level of service	Performance measures (KPI)	Current performance
		c) sewerage system blockages, and d) the territorial authority's response to issues with its sewerage system, **a) 2** - *this measure should not have been included in the LTP and will not be reported on.* **b) 25 per 1000 connections (2197 connections)**	included in the LTP and will not be reported on. b) **Total number of complaints = 11** **Complaints per 1000 connections** = 0.6 (2150 connections) *(Q2:* *a) 0* *b) 0* *c) 2* *d) 0* *a) New measure – this measure should not have been included in the LTP and will not be reported on.* *b)* ***Total number of complaints = 2*** ***Complaints per 1000 connections = 1.4 (2141 connections)***

Solid Waste

Recycling of glass is progressing well with the bulk colour separated glass recycling bins installed at the Hokitika Transfer Station. The e-waste collection recycling pilot programme goes from strength-to-strength with over 500kg diverted from landfill in Q3.

A dedicated Waste officer has been appointed. Contractors continued to undertake audits of recycling bins at kerbside. Staff have been working with the other West Coast councils on shared services contract investigation.

In the fourth quarter staff will instigate a non- compliance register to target recidivist offenders and have statistics available to measure progress for maximised recycling efficiency.

How this activity contributes to Community Outcomes & Well-being

These activities contribute to Council's focus on sustainable waste management practices:

- Increasing the quantity of recyclable material extracted from the waste stream.
- Monitoring of recycling bin materials.
- Educating residents on improved waste management practises.

Performance in this activity

Community Outcome	Level of service	Performance measures (KPI)	Current performance
Sustainably Managed Environment	**Solid waste is managed appropriately**	All necessary consents for solid waste activities and capital projects are applied for, held and monitored accordingly.	All waste management consents compliant. Monitoring of waste management sites undertaken in a timely manner. *(Q2: 100% consents in place.)*
Sustainably Managed Environment	**Maximised recycling efficiency**	Reduce incidents of recycling bin contamination.	Contractors and staff focussed on resident education. *(Q2: This activity did not provide a report.)*

Whole of Council Financial Summary
Sustainability Report

Total revenue	Total expenditure	Total surplus/(deficit)
$29.80M	**$20.29M**	**$9.51M**
Is 23.58% more than the total budget of $24.11M	Is 0.24% less than the total budget of $20.34M	Against a budget of $3.78M

SUSTAINABILITY

Rates to operating revenue   **45.46%**

Rates Revenue	$13.55M
Operating Revenue	$29.80M

45.46% of operating revenue is derived from rates revenue. Rates revenue includes penalties, water supply by meter and is gross of remissions. Operating revenue excludes vested assets, and asset revaluation gains.

Balanced budget ratio   **146.88%**

Operating revenue	$29.80M
Operating expenditure	$20.29M

Operating revenue should be equal or more than operating expenditure. Operating revenue excludes vested assets and asset revaluation gains. Operating expenditure includes depreciation and excludes landfill liability and loss on asset revaluations. Year to date revenue is 146.88% of operating expenditure.

Interest to rates revenue (LGFA Cov.)   **2.89%**

Net interest and finance costs	$0.39M
Rates Revenue	$13.55M

2.89% of rates revenue is paid in interest. Our set limit is 25% of rates revenue. Net interest is interest paid less interest received. Rates revenue includes penalties, water supply by meter and gross of remissions.

Interest to operating revenue   **1.32%**

Net Interest and finance costs	$0.39M
Operating revenue	$29.80M

1.32% of operating revenue is paid in interest. Our set limit is 10% of operating revenue. Net interest is interest paid less interest received.

Liquidity Risk (LGFA Cov.)   **146%**

Gross debt	$24.82M
Undrawn committed facilities	$3.98M
Cash and cash equivalents	$10.47M

The liquidity risk policy requires us to maintain a minimum ratio of 110% which is also an LGFA covenant. Council's current liquidity risk is 146%. Gross debt includes $3m prefunding invested in term deposit.

Essential services ratio   **130.28%**

Capital expenditure	$6.17M
Depreciation	$4.74M

Capital expenditure should be equal or more than depreciation for essential services. Year to date capex is 130.28% of depreciation. Essential Services are Water Supply, Wastewater, Stormwater, and Roading.

Revenue and Expenditure

Operating Revenue Actual Year to March

- Rates 46%
- Fees and charges 5%
- Grants and subsidies 42%
- Other revenue 7%
- Interest 0%

Legend: Fees and charges ■ Grants and subsidies ■ Interest ■ Other revenue ■ Rates

Operating Expenditure Actual Year to March

- Other expenses 49%
- Depreciation and amortisation 30%
- Finance costs 2%
- Employee benefit expenses 19%

Legend: ■ Depreciation and amortisation ■ Employee benefit expenses ■ Finance costs ■ Other expenses

Operating revenue

Categories: Fees and charges, Grants and subsidies, Interest, Other revenue, Rates
Legend: ■ YTD Actual ■ YTD Budget ■ Full Year Forecast ■ Full Year Budget

Operating expenditure

Categories: Depreciation and amortisation, Employee benefit expenses, Finance costs, Other expenses
Legend: ■ YTD Actual ■ YTD Budget ■ Full Year Forecast ■ Full Year Budget

Statement of Comprehensive Revenue and Expenditure

Statement of Comprehensive Revenue and Expense	Notes	Full Year Forecast ($000)	Full Year Budget ($000)	YTD Budget ($000)	Actual YTD ($000)	Variance YTD ($000)	Var/Bud %
Revenue							
Rates	01	17,977	18,030	13,601	13,548	(54)	-0.39%
Grants and subsidies	02	14,654	10,750	8,535	12,439	3,903	45.73%
Interest Revenue	03	50	8	8	50	42	559.41%
Fees and Charges	04	2,043	1,801	1,356	1,597	242	17.83%
Other revenue	05	2,561	1,009	613	2,165	1,552	253.12%
Total operating revenue		37,284	31,598	24,113	29,799	5,686	23.58%
Expenditure							
Employee Benefit expenses	06	5,277	5,474	4,111	3,915	(196)	-4.78%
Finance Costs	07	982	904	365	442	77	21.22%
Depreciation	08	8,044	7,864	5,898	6,078	181	3.06%
Other expenses	09	12,701	12,811	9,964	9,854	(110)	-1.11%
Total operating expenditure		27,004	27,053	20,338	20,289	(49)	-0.24%
Operating Surplus/(Deficit)		**10,280**	**4,545**	**3,776**	**9,511**	**5,735**	**151.90%**

Notes to the Statement of Comprehensive Revenue and Expenditure

Comments are provided on permanent variances over $25,000.

01 Rates

Rates income is lower than planned due to higher rates discounts given to full payment of rates and lower water usage as a result of lower tourism.

02 Grants and subsidies

Mainly due to unbudgeted grants received, Butlers landfill $1.01m, and 3 Waters grant $2.8m

03 Interest Revenue

Unbudgeted interest received from term deposits, mainly from grant funding and prefunding

04 Fees and charges

Income is higher than planned mainly due to increased refuse fees collected at Hokitika transfer station $156k, part of which came from Buller District, $27k. Resource consents, Resource management processing fees and Building processing fees are collectively higher than budget by $231k due to increased interest in the property market. Franz Josef refuse is $65k below budget due to reduced tourism. Trade waste fees are $51 below budget, also due to reduced tourism.

05 Other Revenue

Actual income is higher than planned mainly due to an unbudgeted gain on swaps, $960k and income gained from vested assets, $562k: Lake Matheson walkway, and a constructed asset at Heritage Industrial Park, and part of Franz josef watermains.

06 Employee benefit expenses

Actual salary cost is lower than planned due to unfilled roles.

07 Finance Costs

The variance is due to higher than budgeted interest rates which are offset by a gain in swaps reflected in other revenue.

08 Depreciation

Mainly due to depreciation of capitalised projects:Westland Sports Hub (unfunded) $65k, Hokitika wastewater reticulation $64k, and Hokitika Drainage $33k.

09 Other expenses

The variance is mainly due to the timing of maintenance works.

Statement of Financial Position

Statement of Financial Position	March YTD 2022 ($000)	Annual Plan 2021/2022 ($000)	Actual 2020/2021 ($000)
Assets			
Current assets			
Cash & cash equivalents	10,470	13,253	11,411
Debtors & other receivables	2,607	2,514	4,361
Assets held for sale	-	-	
Other financial assets	48	-	48
Total Current Assets	**13,124**	**15,767**	**15,820**
Non-current assets			
Council Controlled Organisation	8,695	11,010	8,695
Intangible assets	52	37	65
Assets Under Construction	19,356	-	10,088
Other Financial Assets	1,019	418	527
Property, Plant and Equipment	405,077	447,288	409,369
Deferred Tax	37		
Total Non-current assets	**434,236**	**458,753**	**428,742**
Total Assets	**447,360**	**474,520**	**444,562**
Liabilities			
Current liabilities			
Creditors & other payables	229	2,930	4,082
Employee benefit liabilities	548	446	436
Tax payable		3	
Borrowings	3,000	-	3,000
Derivative financial intruments		-	94
Other	1,331	425	6,554
Total Current Liabilities	**5,107**	**3,804**	**14,166**
Non-current liabilities			
Borrowings	21,818	33,734	18,818
Employee benefit liabilities	38	47	41
Provisions	1,846	2,371	1,846
Derivative financial intruments		583	536
Other Non-current liabilities		32	
Total Non-Current Liabilities	**23,702**	**36,767**	**21,241**
Total Liabilities	**28,809**	**40,571**	**35,406**
Net Assets	**418,551**	**433,948**	**409,156**

	February YTD 2022 ($000)	Annual Plan 2021/2022 ($000)	Actual 2020/2021 ($000)
Equity			
Retained earnings	168,254	166,323	158,744
Restricted Reserves	10,538	9,361	10,538
Revaluation reserves	239,673	258,201	239,788
Other comprehensive revenue and expense reserve	87	64	87
Equity	**418,551**	**433,949**	**409,156**

Note:

Cash & Cash equivalents	
Grants	5,002
Prefunding LGFA Loan	3,000
Bank balance from operations	2,468
Total	**10,470**

Capital Expenditure

CAPITAL EXPENDITURE 2021-2022												
	Budgets			Expenditure				Commitments / projected carry overs				
	2020-2021 Carried Forward Budget	Approved additional	Full Year Annual Plan	YTD Actual Expenditure	Budget Remaining	YTD Spent %	Notes	Open Purchase Orders	Commitment as a % of Original Budget Remaining	Proposed 2023/31 carry overs	Proposed carry overs notes	CY Budget Remaining after Commitments and carry overs
Leadership	$151,825		$1,022,280	$132,582	$1,071,207	11%	Main projects included in this section are the Council's HQ earthquake strengthening (waiting on costings from Joseph & Associates); refurbishment of the visitor area projects; and IT Equipment renewals. The refurbishment of the visitor centre area project is on hold pending further discussions around the location of Council Chambers.	$45,592	4%	$720,000	HQ Earthquake strengthening	$305,615
Planning & Regulatory Services	$243,158		$600,000	$26,428	$816,730	3%	These are all Civil Defence projects: Council is in consultation with other agencies to determine their involvement in the EOC.	$16,614	2%	$620,539	CD Emergency Operations Centre and Communications equipment	$179,577
Facilities, and Leisure Services - Park & Reserves	$836,501		$1,819,500	$190,644	$2,467,402	7%	The main projects included in this section are Cass Square development projects (Toilet facilities, upgrade of playground equipment etc.); WCWT Trail projects; Waterfront Development (beach access, landscaping & structures, relocation of FENZ practice eqpmt). Other projects are the Whataroa, Haast and Kumara playground equipment upgrades. The Ross playground equipment upgrade is on hold following Community discussions. TIF funding of $191.5k has now been approved for the new Cass Square toilets and the toilets have been ordered.	$774,401	31%	$880,250	Ross Playground Equipment and Dog Park. Also, Wainihinhi wet weather route bridge ($160k) which is now planned to be linked to a potential Arahura Cycleway enhancement. Cass Square playground $410k) & skatepark ($200k)	$812,751
Facilities, and Leisure Services - Other	$1,072,161	$250,000	$4,754,000	$1,832,973	$4,748,223	30%	The major projects included in this section are the Carnegie building earthquake stengthening and fitout; Jacksons Bay Wharf; Hokitika and Franz Josef revitalization plan projects; lighting and flag trax system for Hokitika; and the Museum archives work. The flag trax system has been installed. Carnegie Building earthquake strengthening is nearing completion.	$1,734,269	37%	$1,400,000	Pakiwaitara projects	$1,613,954
Solid Waste	$148,100		$404,000	$170,987	$407,621	31%	The Butlers intermediate capping project continues to be carried over due to funding received to transfer the Fox Landfill waste to Butlers Landfill. Franz Josef landfill final capping; Haast capping and the transfer station; and Hari Hari landfill protection projects have also been extended into the current year with additional funding for the latter three. New projects this year which are underway include Refuse shed 1 door and iron replacement and equipment for Waste Minimisation.	$8,827	2%	$215,000	Haast capping ($15k) and development of Haast transfer station	$183,794

Category					%	Description		%		Notes	
Transportation	$0		$4,506,879	$374,462	$4,132,417	8%	Major projects included here are SPR Low Cost Low Risk resilience; Sealed Road resurfacing; Structures Component Replacement (incl. bridges); Sealed Road Resurfacing; Unsealed Road Metalling; Drainage Renewals; and Traffic Services Renewals.	$15,900	0%	$0	These projects are funded to either 62% or 100% by NZTA. The current funding period is 2022-2024 and there is flexibility to re-allocated between these years where the budget has been underspent or is required to be brought forward. A three-month program of work has been prepared for the remaining budget.	$4,116,517
Stormwater	$1,714,627		$792,400	$157,131	$2,349,896	6%	The key project this year is the Livingstone St Pump upgrade which is underway. Other projects include mains replacement; Tancred and Sewell St pump upgrades; and the Jollie St extension and Beach St re-alignment. All projects are either underway or completed apart from Livingstone St pump upgrade which is at final design stage and Jollie St extension, for which additional prices are currently being sought; and Beach St re-alignment.	$32,141	1%	$300,000	Beach Street re-alignment - design being rescoped.	$2,017,754
Wastewater	$3,411,652		$122,831	$152,848	$3,388,114	4%	The main projects relate to Hokitika waste water management, with a feasibility study underway for the Hokitika WW Treatment plant under the Reform Package projects. Other key projects are the Fox Glacier WWTP upgrades (completed); Hokitika Pump upgrade (Kaniere) and the Hokitika Z-line section replacement. Additional prices are being sought for the Hokitika Z-line replacement.	$140,650	4%	$3,010,491	Hokitika Outfall Structure and WWTP	$236,973
Water Supply	$1,749,624	$300,000	$925,000	$487,374	$2,487,250	16%	The Fox Glacier Plant upgrade project has commenced. The Ross new intake project is shceduled to commence in January. Commissioning can begin on the Arahura water treatment plant once the power supply has been connected (subject to approval by Kiwirail). Closing date for pPrices for the Hokitika mains upgrade program is 9th March. The mains upgrade programme for Kumara is wating on a start date from Westroads. The Hokitika seismic valve (main outlet) is on order but not due in until February.	$1,346,947	54%	$0		$1,140,303
Unbudgeted Capital Expenditure	-		-	$83,209	$0		This relates to additional HQ refurbishment costs ($18k); teleconferencing costs ($5k); and new water ($6k) and storm water connection ($4k) requests from ratepayers;	$1,027,775	-	-		N/A
Total Capital Expenditure	**$9,327,649**	**$550,000**	**$14,946,890**	**$3,608,638**	**$21,868,860**	**15%**		**$5,143,118**	**24%**	**$7,146,280**		**$10,607,238**
Externally funded Capital Expenditure	**$11,399,492**	**$0**	**$0**	**$7,198,423**	**$4,620,140**	**63%**	The main projects included here are the sealing of Old Christchurch Road ($1.5M PGF grant funded); Hokitika Swimming Pool ($2.6M funding contribution); Butlers new cell development project ($3.3M) and the Stimulus Funded 3Waters Reform projects ($6.9M). The 3 Water Reform funded projects have either been completed or are on track for completion by 31 March 2022. The Hokitika swimming pool has re-opened after the completion of Stage 1.	**$1,827,678**	**40%**	**$86,750**		**$1,827,678**
Total Capital Expenditure	**$20,727,140**	**$550,000**	**$14,946,890**	**$10,807,062**	**$26,489,000**	**30%**		**$6,970,795**	**26%**	**$7,233,030**		**$12,434,915**

Treasury Report

Summary

The purpose of this section of the Quarterly Report is to provide an update on Council's Treasury Position as at **31 March 2022**.

This section shows the Council's position for the following items:

- Council's debt position
- Debtors (Sundry and Rates)

The following items were not available for this Quarterly Report due to circumstances beyond Council's control:

- Loans
- Other Borrowings (if any)
- Swap
- Internal borrowing
- Cash Investments
- Deposits
- Debtors by Activity & Debt collection
- Reserve Funds report

Council has contracted PWC as an independent treasury adviser.

Debt position

Debt Position 2021/2022 ($000)

	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Apr-22	May-22	Jun-22
Actual Debt Position	21,818	21,818	21,818	24,818	24,818	24,818	24,818	24,818	24,818	24,818			
Budget	21,818	21,818	21,818	21,818	21,818	21,818	21,818	21,818	21,818	29,103	29,103	29,103	29,103
Forecast											24,818	29,103	29,103

Forecast Debt Position for 2021-2022 Financial Year

	Jun-22
Forecast as at	
Opening Balance	21,818
Loan funded capex forecast	8,235
Forecast repayments 2021-22	-950
Forecast balance June 2022	**29,103**

Monthly Debt Position for 2021 - 2022 Financial Year

Actual to March/Forecast to June vs Budget

Actual Debt Position ■ Budget ■ Forecast
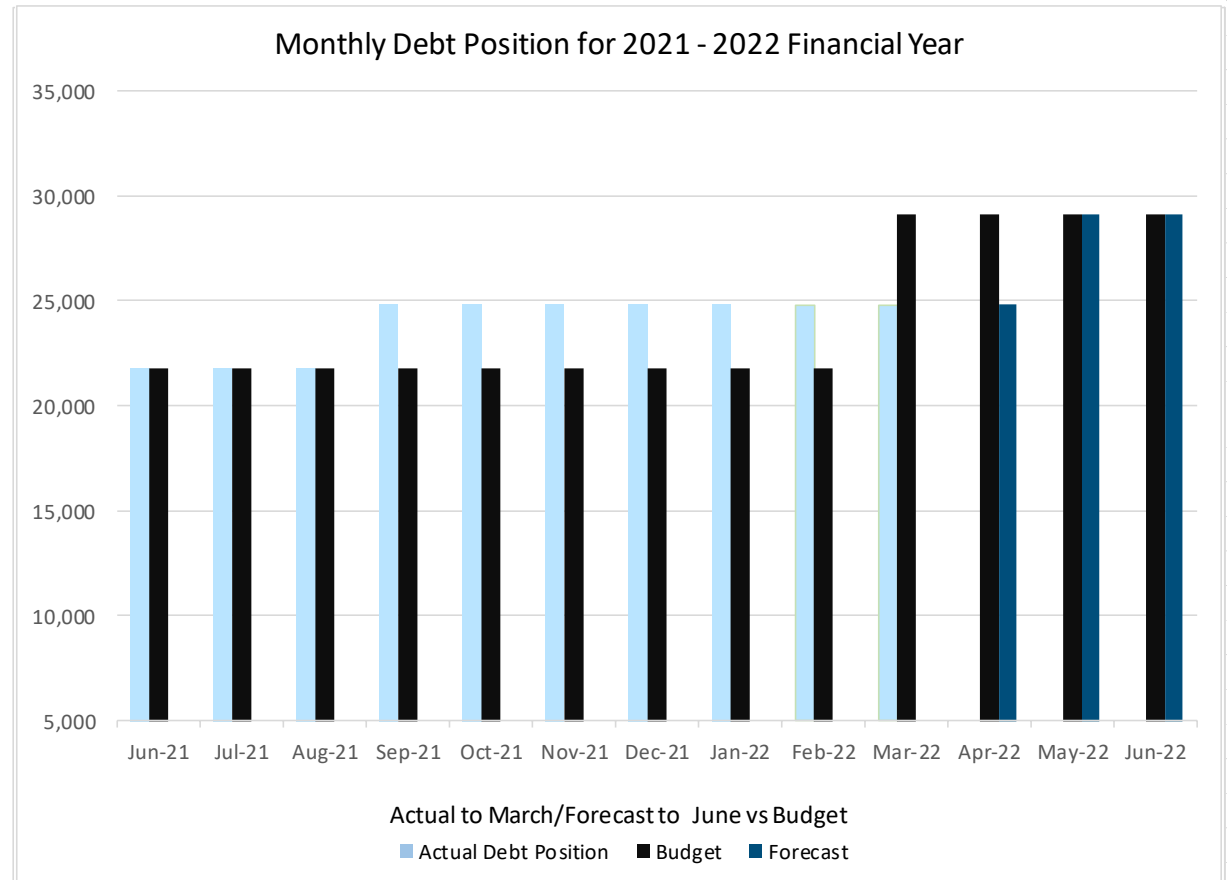
Debtors

Sundry Debtors

31/03/2022

Type	Over 90 Days	60-90 Days	30-60 Days	Current	Total ($)
Building Consents	21,816	44	3,973	35,144	60,977
Building Warrants	556	-	-	(140)	416
Resource Consents	2,731	-	2,411	9,256	14,399
Sundry Debtors	18,584	153,952	460,505	29,040	662,081
Grand Total	**43,687**	**153,996**	**466,889**	**73,300**	**737,872**

31/03/2021

Type	Over 90 Days	60-90 Days	30-60 Days	Current	Total ($)
Building Consents	23,714	8,644	4,428	2,420	39,206
Building Warrants	235			(290) -	55
Resource Consents			253	(574) -	322
Sundry Debtors	79,862	17,167	30,481	3,215,951	3,343,460
Grand Total	**103,811**	**25,812**	**35,161**	**3,217,507**	**3,382,290**

The bulk of debtors are outstanding grant invoices

Rates Debtors

Rates Debtors at 28 February 2022		**1,014,215**
Rates instalment		
Less payments received	-526,733	
Paid in advance change	115,246	
Previous years write off's	-6,271	
Write off's	-1,032	
Penalties	25,392	
Discounts		
Court Cost	4,329	
		-389,069
Total Rates Debtors at 31 March 2022		**625,146**
Arrears included above at 31 March 2022	625,146	
Arrears at 31 March 2021	599,149	
Increase/(decrease) in arrears		**25,997**

Report to Committee

DATE: 12 May 2022

TO: Audit and Risk Committee

FROM: Group Manager, Corporate Services

Customer Complaints Management Policy

1. Summary

1.1. The purpose of this report is to present the draft Customer Complaints Management Policy to the Audit and Risk Committee (A&R) for feedback and endorsement.

1.2. This issue arises from the Terms of Reference (ToR) to review policy as part of Internal Control.

1.3. Council seeks to meet its obligations under the Local Government Act 2002 and the achievement of the District Vision adopted by the Council in June 2021, which are set out in the Long Term Plan 2021 - 31. Refer page 2 of the agenda.

1.4. This report concludes by recommending that the A&R Committee receive and endorse the draft Customer Complaints Management Policy.

2. Background

2.1 The reason the report has come before the Committee is due to the delegated authority to review policies as part of Councils internal controls.

2.2 Council has been operating without a formal Complaints Policy.

2.3 The need to have a formal policy to feed into a procedure will allow for consistency of how complaints are managed and will guide staff. The policy will also guide the complainant's expectations and raise Council's customer service experience.

2.4 The policy will be an external policy and will be held on Councils website.

3. Current Situation

3.1. The current situation is that a Draft Customer Complaints Management Policy has been written with input from the Executive Team, the Strategy and Communications Advisor and the Information Manager.

3.2. This policy relates to Complaints rather than service requests and the policy and procedure will together guide customers and staff to use the correct process. An example of a service request is where a request for such as a broken pipe to be fixed is made, whereas a complaint under this policy would be against how that request was managed if the customer was not satisfied.

3.3. The intention is to use Councils eDRM system to manage the workflow of a complaint. There would be a form on Councils website under the "Do it online" section where the policy will be available and a description of when and how to make a complaint under this policy.

3.4. Once this form is completed, a workflow process will begin. Customer Service staff will also be able to complete this form on behalf of a complainant if a telephone complaint is made.

3.5. Using the eDRM system will allow for complaints to be managed confidentially.

3.6. Full staff training will be provided to manage complaints efficiently and in a timely manner.

3.7. The intention is for the policy to be endorsed by A&R Committee and this will then feed a procedure and workflow to be developed. This work could be started shortly after the policy is endorsed.

3.8. Once the procedure is developed the policy and reporting process will be made public through the website and Councils newsletter.

3.9. Formal reporting will be developed and brought to both the executive team and A&R Committee periodically.

4. Options

4.1. Option 1: Endorse the Draft Customer Complaints Management Policy.

4.2. Option 2: Request changes to the Draft Customer Complaints Management Policy.

5. Risk Analysis

5.1. Risk has been considered and the following risks have been identified;
5.1.1 Reputational risk through poor management of complaints and possible external party involvements such as Ombudsman.
5.1.2 Conduct risk through an inconsistent process in managing complaints leading to further reputational risk and potential financial impact.

6. Health and Safety

6.1. Health and Safety has been considered and no items have been identified.

7. Significance and Engagement

7.1. The level of significance has been assessed as being low.

7.2. No public consultation is considered necessary.

8. **Assessment of Options (including Financial Considerations)**

8.1. Option 1 – Endorse the Draft Customer Complaints Management Policy.
It is best practice to have a policy and will allow for consistency and accountability on how complaints are to be handled. The Westland community has expectations of Council and the policy will show that Council is committed to provide exceptional Customer Service that meets those expectations.

8.2. There are no financial implications to this option.

8.3. Option 2 – Request changes to the policy.
The policy has been written purposefully to be short and in plain English. Too much detail and jargon will alienate complainants and will give the impression that Council does not really want complaints to be made.
Any changes that enhance the policy without detracting from the ease of reading will be welcomed.

9. **Preferred Option(s) and Reasons**

9.1. The preferred option is Option 1

9.2. The reason that Option 1 has been identified as the preferred option is that it will allow staff to move forward with the process and development of the eDRM system workflow. Council has been operating for some time now without a policy and process and the executive team have directed that this policy and procedure be implemented with some urgency now.

10. **Recommendation(s)**

10.1. That the report be received.

10.2. That the Draft Customer Complaints Management Policy be endorsed by the Audit and Risk Committee.

Lesley Crichton
Group Manager, Corporate Services

Appendix 1:   Draft Customer Complaints Management Policy

Customer Complaints Management Policy

1. Purpose

Council is committed to the delivery of quality services to meet the needs of its customers. Council welcomes feedback from customers as this provides opportunities for learning and improving services.

1.1 Scope

Customers are encouraged to inform Council if they are dissatisfied with any aspect of our service. Council will resolve complaints in a fair, timely and confidential manner in order to achieve positive outcomes for customers and staff.

1.2 Commencement

This Policy comes into force on XXXXXX 2022 and will be reviewed every 3 years.

2.1 Definitions

Complaint	Any expression of dissatisfaction about the Council service or action of a staff member that cannot be resolved at the first point of contact. Examples include: • Taking too long to take action or failing to take action. • Not following policy or rules. • Not making a decision in the prescribed way. • Giving wrong or misleading information. • A member of staff failing to deliver on a commitment made.
Electronic complaint	A complaint received via email or other electronic communications.
Frivolous, habitual or vexatious	Frivolous, habitual or vexatious complaint means the complaint is initiated with malicious intent or is part of a pattern of conduct by the complainant that amounts to an abuse of the formal complaints process.
Investigating Officer	The investigating officer is the Council officer tasked with investigating the complaint.
Verbal complaint	A complaint received over the telephone or face-to-face

2.2 Procedure on receipt of a complaint

Every effort will be made to resolve a complaint received verbally, electronically or by post at the first point of contact following the Complaints Management Procedure.

Where a complaint cannot be resolved at the first instance, the receiver will escalate the complaint as per the Complaints Management Procedure.

2.3 Support for complainants

Complaints can be made on behalf of another person. The support person must provide their contact details for communication and written consent of the complainant.

If the assistance of an interpreter is required to facilitate the issue, Council will work with the complainant to arrange this.

2.4 Exceptions

Although it is intended that all issues will be dealt with under this process, there may be exceptions that arise as a result of other processes of review or statute. Possible examples are:

- Complaints that are criticisms or disagreement with Council policy or decisions.
- Complaints that constitute a disagreement with or refusal to accept matters that the Council is obliged or required by statute to apply.
- A complaint where the customer or Council has started legal proceedings or has taken court action.
- A complaint that has already been heard by a court or tribunal.
- Insurance claims
- Any other complaint where another formal process has been commenced.
- Where another formal complaints process exists, e.g. a statutory requirement.
- Where a formal right of appeal already exists.

The management of such complaints fall outside this policy, with each situation suitably managed given all the circumstances.

2.5 Unacceptable actions by complainants

Council acknowledges that Customers may behave out of character in times of distress. However, Council will not tolerate abusive behaviour towards staff, verbal or otherwise.

A complainant's actions may be deemed to be unacceptable if, for example:

- They are abusive to Council staff.
- They persistently make the same complaint, despite it having been fully investigated under the complaints policy or persist in seeking an unrealistic outcome.
- They repeatedly change aspects of the complaint or the desired outcome part-way through an investigation

An Investigating Officer may refuse to investigate a complaint if they consider that the complaint is frivolous, habitual or vexatious. In this case, the investigating officer should follow the process set out in the Complaints Management Procedure.

2.6 Monitoring

All complaints will be investigated and dealt with in confidence, consistent with the needs of the investigation. Monitoring of the compliance with the policy will be undertaken to enable the Policy to be adequately reviewed and revised.

The Group Manager: Corporate Services will be responsible for production of an annual monitoring report for key stakeholders, covering, but not limited to:

- Quantitative data of use of the policy.
- Unsuccessful complaints outcomes.
- Areas identified for service improvement.

The procedure for responding to a complaint is outlined in the Complaints Management Procedure.

The following legislation relates to this policy:

- Privacy Act 2020
- Local Government Official Information and Meetings Act 1987 (LGOIMA)
- Protected Disclosures Act 2000

Note: Any legislation referred to should be interpreted as meaning the Act and its amendments

Staff are also referred to:
- Staff Handbook
- Staff Code of Conduct

A review of this policy will take place by XXXXXX 2025..

Created:	XXXX	Date for review:	XXXXX 2025
Author:	Group Manager: Corporate Services	Authorised by:	Executive Team
Consulted on:	(date)	Version	1

Report to Committee

DATE: 12 May 2022

TO: Audit and Risk Committee

FROM: Group Manager, Corporate Services

Committee reporting to Full Council

1. Summary

1.1. The purpose of this report is to consider formal reporting between the Audit and Risk Committee and full Council on risk and the work of the Audit and Risk Committee.

1.2. This issue arises due to delegation of responsibilities to the Audit and Risk Committee as adopted under the terms of reference.

1.3. Council seeks to meet its obligations under the Local Government Act 2002 and the achievement of the District Vision adopted by the Council in June 2021, which are set out in the Long Term Plan 2021 - 31. Refer page 2 of the agenda.

1.4. This report concludes by recommending that Committee provide risk and Committee reporting to full council on a periodic basis through the Chair, Audit and Risk Committee (A&R).

2. Background

2.1 The reason the report has come before the Committee is due to the delegation of responsibilities by Council to the A&R Committee through the terms of reference (ToR) adopted 29 April 2021.

2.2 The Office of the Auditor General (OAG) states the primary focus of A&R Committees should be on risk, and the main purpose should be to provide assurance to elected members that risk is being well managed.

2.3 The Audit and Risk Committee can also help Council to;
2.3.1. provide assurance to elected members on council's financial management and the key systems council has in place, such as controls to manage risks such as fraud.
2.3.2. provide assurance that council's strategies are achieving the intended objectives such as levels of service as stated in the Long Term Plan.
2.3.3. help elected members test and challenge new ideas, and business-as-usual operations, to ensure that council is improving, as well as meeting intended objectives.

2.4 If an A&R Committee is effective, it supports and enhances good governance and accountability to the community.

2.5 When the chairperson promotes open and proactive dialogue with management and the governing body, the audit committee is able to effectively influence the organisation and its achievements.

3. Current Situation

3.1. The A&R Committee meet quarterly, and although the committee overlaps with Council through its membership, there is no formal reporting process back to full Council to support governance and assurance.

3.2. Reporting back to full council also provides transparency and stewardship over the A&R Committees delegated responsibilities.

3.3. As stated by OAG, risk is the main focus of A&R Committees, by using a formal reporting process allows for assurance to elected members on the management of Council risk that may impact the level of service to the community.

3.4. This feedback would be through a confidential agenda item on Top 10 risks, to be presented by Chair, A&R Committee at the next full council meeting after the A&R Committee is held.

3.5. Another area of good practice recommended is that the Chair, A&R Committee writes an annual report to full council on the work the A&R Committee has undertaken.

4. Options

4.1. Option 1: That the A&R Committee approve the recommendation for the Chair, A&R Committee to report the top 10 risks to the first full council meeting after the A&R Committee meeting, and;

Provides an annual report to full council on the work the A&R Committee has undertaken.

4.2. Option 2: Do not approve the recommendation to report to Council.

5. Risk Analysis

5.1. Risk has been considered and the following risks have been identified;
The report is administrative and no risk has been identified for receiving the report.

6. Health and Safety

6.1. Health and Safety has been considered and no items have been identified.

7. Significance and Engagement

7.1. The level of significance has been assessed as being low as the report is for administrative purposes only.

7.2. No public consultation is considered necessary.

8. Assessment of Options (including Financial Considerations)

8.1. Option 1 – Provides Council with the opportunity to question and gain further understanding of risks to Council. It also keeps focus on the importance of risk and how risk could be impacting Council services.
Annual reporting provides Council with stewardship over Committee work.
Council would be carrying out best practice under OAG guidelines by encouraging an open and proactive dialogue between A&R Committee and Council,

8.2. There are no financial implications to this option.

8.3. Option 2 – There would continue to be no formal reporting from A&R Committee to Council, with no open dialogue or opportunities for questioning and deeper understanding of risk and other work carried out by the committee.
This would be a loss of Governance over what is deemed to be a critical Committee for Councils.

9. Preferred Option(s) and Reasons

9.1. The preferred option is Option 1

9.2. The reason that Option 1 has been identified as the preferred option is that through a formal reporting process, there will be increased transparency between A&R Committee and Full Council.
Efficiencies through an open and transparent dialogue between the Committee and Council.
Understanding of the risk that may impact the objectives and service levels of Council.

10. Recommendation(s)

10.1. That the report be received.

10.2. That the Chair, Audit and Risk presents the top 10 risks to the first full Council meeting after the Audit and Risk Committee meeting is held, and

10.3. The Chair, Audit and Risk Committee provides an annual report to full Council on the Audit and Risk Committee work undertaken at each August Council meeting.

Lesley Crichton
Group Manager, Corporate Services

AUDIT AND RISK COMMITTEE ROLLING WORK PLAN

Item	May-22	Aug-22 Final committee meeting of triennium
External Audit	Audit Management Report 2020/21 (dependent on Audit NZ) Finalised report not received from Audit NZ Proposed Interim audit starts	Interim Audit report (dependant on PwC)
Financial Reporting	Quarterly financial report	No financial report due to Annual Report preparation.
Insurance		Insurance renewals
Risk Management Framework	Review Risk Register Health & Safety Report "Deep Dive" wellbeing in COVID environment	Review Risk Register – Full register Health & Safety Report
Internal Control Framework	PwC quarterly Whistleblower Report	PwC quarterly Whistleblower Report
Policy review	Complaints Policy (new)	Draft Police Vetting Policy (return after further review)