



**Far North
District Council**



Te Kaunihera o Tai Tokerau ki te Raki

AGENDA


Assurance, Risk and Finance Committee Meeting

Wednesday, 5 May 2021

Time: 1.30 pm
Location: Council Chamber
Memorial Avenue
Kaikohe

Membership:

Cr John Vujcich - Chairperson
Member Bruce Robertson
Mayor John Carter
Deputy Mayor Ann Court
Cr Mate Radich
Cr Rachel Smith
Cr Kelly Stratford
Cr Moko Tepania
Kaikohe-Hokianga Community Board Chairperson Mike Edmonds

	Authorising Body	Mayor/Council
	Status	Standing Committee
COUNCIL COMMITTEE	Title	Assurance, Risk and Finance Committee Terms of Reference
	Approval Date	19 December 2019
	Responsible Officer	Chief Executive

Purpose

The purpose of the Assurance, Risk and Finance Committee (the Committee) is to assist and advise the Governing Body in discharging its responsibility and ownership of finance, risk and internal control.

The Committee will review the effectiveness of the following aspects:

- The robustness of financial management practices;
- The integrity and appropriateness of internal and external reports and accountability arrangements;
- The robustness of the risk management framework;
- The robustness of internal controls and the internal audit framework;
- Compliance with applicable laws, regulations, standards and best practice guidelines;
- The establishment and maintenance of controls to safeguard the Council's financial and non-financial assets;
- Data governance framework

To perform his or her role effectively, each Committee member must develop and maintain

his or her skills and knowledge, including an understanding of the Committee's responsibilities, and of the Council's business, operations and risks.

Membership

The Council will determine the membership of the Assurance, Risk and Finance Committee including at least one independent appointment with suitable financial and risk management knowledge and experience.

The Assurance, Risk and Finance Committee will comprise of at least five elected members (one of which will be the chairperson), and one independent appointed member.

Mayor Carter

John Vujcich – Chairperson

Bruce Robertson – Deputy Chairperson and Independent Member of the Committee

Moko Tepania

Mate Radich

Rachel Smith

Kelly Stratford

Ann Court

Mike Edmonds

Adele Gardner

Non-appointed councillors may attend meetings with speaking rights, but not voting rights.

Quorum

The quorum at a meeting of the Assurance, Risk and Finance Committee is 4 members.

Frequency of Meetings

The Assurance, Risk and Finance Committee shall meet every 6 weeks, but may be cancelled if there is no business.

Power to Delegate

The Assurance, Risk and Finance Committee may not delegate any of its responsibilities, duties or powers.

Committees Responsibilities

The Committees responsibilities are described below:

Financial systems and performance of the Council

- Review the Council's financial and non-financial performance against the Long Term Plan and Annual Plan
- Review Council quarterly financial statements and draft Annual Report

Far North Holdings Limited (FNHL)

- Recommend to Council the approval of statement of intent and Annual Report (s67 LGA)
- Receive 6 monthly report on operations (s66 LGA)
- Receive quarterly financial statements
- Recommend appointment of directors of FNHL

Risk Management

- Review appropriateness of Council's risk management framework and associated procedures for effective risk identification, evaluation and treatment
- Receive and review risk management dashboard reports
- Provide input, annually, into the setting of the risk management programme of work
- Receive updates on current litigation and legal liabilities

Internal Audit and Controls

- Review whether management has in place a current and comprehensive internal audit framework
- Receive and review the internal audit dashboard reports
- Provide input, annually, into the setting of the internal audit programme of work
- Review whether there are appropriate processes and systems in place to identify and investigate fraudulent behaviour

The Committee will manage Council's relationship with external auditor.

The Committee will approve applications to declare land abandoned and any other such matters under the Rating Act.

Rules and Procedures

Council's Standing Orders and Code of Conduct apply to all the committee's meetings.

Annual reporting

The Chair of the Committee will submit a written report to the Chief Executive on an annual basis. The review will summarise the activities of the Committee and how it has contributed to the Council's governance and strategic objectives. The Chief Executive will place the report on the next available agenda of the governing body.

ASSURANCE, RISK AND FINANCE COMMITTEE - MEMBERS REGISTER OF INTERESTS

Name	Responsibility (i.e. Chairperson etc)	Declaration of Interests	Nature of Potential Interest	Member's Proposed Management Plan
Hon John Carter QSO	Board Member of the Local Government Protection Programme	Board Member of the Local Government Protection Program		
	Carter Family Trust			
John Vujcich (Chair)	Board Member	Pioneer Village	Matters relating to funding and assets	Declare interest and abstain
	Director	Waitukupata Forest Ltd	Potential for council activity to directly affect its assets	Declare interest and abstain
	Director	Rural Service Solutions Ltd	Matters where council regulatory function impact of company services	Declare interest and abstain
	Director	Kaikohe (Rau Marama) Community Trust	Potential funder	Declare interest and abstain
	Partner	MJ & EMJ Vujcich	Matters where council regulatory function impacts on partnership owned assets	Declare interest and abstain
	Member	Kaikohe Rotary Club	Potential funder, or impact on Rotary projects	Declare interest and abstain
	Member	New Zealand Institute of Directors	Potential provider of training to Council	Declare a Conflict of Interest
	Member	Institute of IT Professionals	Unlikely, but possible provider of services to Council	Declare a Conflict of Interest
Bruce Robertson (Deputy)	Chair/Deputy Chair of a number of Audit and Risk Committees: Far North Auckland Bay of Plenty Regional Tauranga Thames Coromandel Hamilton Waipa Otorohanga Waitomo Environment Southland Invercargill Southland.		There is a low level of there being a potential interest conflict. An outside potential is water reform and 'discussion' of one north regional water company in loving North AKD with Watercare.	I remain aware of my roiled and will Raise any matter with the Mayor/CEO And chair of ARF should any matter potentially conflict.
	Currently None are North AKD. Previously I have Undertaken work on Okara Park with Whangarei DC.	Advisory Work.	Okara Park is a regional Stadium. Matter solely related Governance and role of DC. Low risk of conflict.	
Deputy Mayor Ann Court	Waipapa Business Association	Member		Case by case
	Warren Pattinson Limited	Shareholder	Building company. FNDC is a regulator and enforcer	Case by case
	Kerikeri Irrigation	Supplies my water		No

Name	Responsibility (i.e. Chairperson etc)	Declaration of Interests	Nature of Potential Interest	Member's Proposed Management Plan
	District Licensing	N/A	N/A	N/A
	Top Energy Consumer Trust	Trustee	Crossover in regulatory functions, consenting economic development and contracts such as street lighting.	Declare interest and abstain from voting.
	Ann Court Trust	Private	Private	N/A
	Waipapa Rotary	Honorary member	Potential community funding submitter	Declare interest and abstain from voting.
	Properties on Onekura Road, Waipapa	Owner Shareholder	Any proposed FNDC Capital works or policy change which may have a direct impact (positive/adverse)	Declare interest and abstain from voting.
	Property on Daroux Dr, Waipapa	Financial interest	Any proposed FNDC Capital works or policy change which may have a direct impact (positive/adverse)	Declare interest and abstain from voting.
	Flowers and gifts	Ratepayer 'Thankyou'	Bias/ Pre-determination?	Declare to Governance
	Coffee and food	Ratepayers sometimes 'shout' food and beverage	Bias or pre-determination	Case by case
	Staff	N/A	Suggestion of not being impartial or pre-determined!	Be professional, due diligence, weigh the evidence. Be thorough, thoughtful, considered impartial and balanced. Be fair.
	Warren Pattinson	My husband is a builder and may do work for Council staff		Case by case
Ann Court - Partner	Warren Pattinson Limited	Director	Building Company. FNDC is a regulator	Remain at arm's length
	Air NZ	Shareholder	None	None
	Warren Pattinson Limited	Builder	FNDC is the consent authority, regulator and enforcer.	Apply arm's length rules
	Property on Onekura Road, Waipapa	Owner	Any proposed FNDC capital work in the vicinity or rural plan change. Maybe a link to policy development.	Would not submit. Rest on a case by case basis.
Mate Radich	No form received			

Name	Responsibility (i.e. Chairperson etc)	Declaration of Interests	Nature of Potential Interest	Member's Proposed Management Plan
Kelly Stratford	KS Bookkeeping and Administration	Business Owner, provides book keeping, administration and development of environmental management plans	None perceived	Step aside from decisions that arise, that may have conflicts
	Waikare Marae Trustees	Trustee	Maybe perceived conflicts	Case by case basis
	Bay of Islands College	Parent Elected Trustee	None perceived	If there was a conflict, I will step aside from decision making
	Karetu School	Parent Elected Trustee	None perceived	If there was a conflict, I will step aside from decision making
	Māori title land – Moerewa and Waikare	Beneficiary and husband is a shareholder	None perceived	If there was a conflict, I will step aside from decision making
	Sister is employed by Far North District Council			Will not discuss work/governance matters that are confidential
	Gifts - food and beverages	Residents and ratepayers may 'shout' food and beverage	Perceived bias or predetermination	Case by case basis
	Taumarere Counselling Services	Advisory Board Member	May be perceived conflicts	Should conflict arise, step aside from voting
	Sport Northland	Board Member	May be perceived conflicts	Should conflict arise, step aside from voting
Kelly Stratford - Partner	Chef and Barista	Opua Store	None perceived	
	Māori title land – Moerewa	Shareholder	None perceived	If there was a conflict of interest, I would step aside from decision making
Rachel Smith	Friends of Rolands Wood Charitable Trust	Trustee		
	Mid North Family Support	Trustee		
	Property Owner	Kerikeri		
	Friends who work at Far North District Council			
	Kerikeri Cruising Club	Subscription Member		
	Vision Kerikeri	Financial Member		
	Property Owner	Kerikeri		

Name	Responsibility (i.e. Chairperson etc)	Declaration of Interests	Nature of Potential Interest	Member's Proposed Management Plan
Rachel Smith (Partner)	Friends who work at Far North District Council			
	Kerikeri Cruising Club	Subscription Member and Treasurer		
	Vision Kerikeri	Financial Member		
	Town and General Groundcare Limited	Director/Shareholder		
Moko Tepania	Teacher	Te Kura Kaupapa Māori o Kaikohe.	Potential Council funding that will benefit my place of employment.	Declare a perceived conflict
	Chairperson	Te Reo o Te Tai Tokerau Trust.	Potential Council funding for events that this trust runs.	Declare a perceived conflict
	Tribal Member	Te Rūnanga o Te Rarawa	As a descendent of Te Rarawa I could have a perceived conflict of interest in Te Rarawa Council relations.	Declare a perceived conflict
	Tribal Member	Te Rūnanga o Whaingaroa	As a descendent of Te Rūnanga o Whaingaroa I could have a perceived conflict of interest in Te Rūnanga o Whaingaroa Council relations.	Declare a perceived conflict
	Tribal Member	Kahukuraariki Trust Board	As a descendent of Kahukuraariki Trust Board I could have a perceived conflict of interest in Kahukuraariki Trust Board Council relations.	Declare a perceived conflict
	Tribal Member	Te Rūnanga ā-lwi o Ngāpuhi	As a descendent of Te Rūnanga ā-lwi o Ngāpuhi I could have a perceived conflict of interest in Te Rūnanga ā-lwi o Ngāpuhi Council relations.	Declare a perceived conflict
Mike Edmonds	Chair	Kaikohe Mechanical and Historic Trust	Council Funding	Decide at the time
	Committee member	Kaikohe Rugby Football and Sports Club	Council Funding	Withdraw and abstain

Far North District Council
Assurance, Risk and Finance Committee Meeting
will be held in the Council Chamber, Memorial Avenue, Kaikohe on:
Wednesday 5 May 2021 at 1.30 pm

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1 KARAKIA TIMATANGA – OPENING PRAYER**2 NGA WHAKAPĀHA ME NGĀ PĀNGA MEMA / APOLOGIES AND DECLARATIONS OF INTEREST**

Members need to stand aside from decision-making when a conflict arises between their role as a Member of the Committee 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 Officer or the Team Leader Democracy Support (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 TE TONO KŌRERO / DEPUTATION

No requests for deputations were received at the time of the Agenda going to print.

4 CONFIRMATION OF PREVIOUS MINUTES

4.1 CONFIRMATION OF PREVIOUS MINUTES

File Number: A3161100

Author: Casey Gannon, Meetings Administrator

Authoriser: Aisha Huriwai, Team Leader Democracy Services

TE TAKE PŪRONGO / PURPOSE OF THE REPORT

The minutes are attached to allow the Committee to confirm that the minutes are a true and correct record of previous meetings.

NGĀ TŪTOHUNGA / RECOMMENDATION

That the Assurance, Risk and Finance Committee confirms the minutes of the Assurance, Risk and Finance Committee meeting held 24 March 2021 as a true and correct record.

1) TE TĀHUHU KŌRERO / BACKGROUND

Local Government Act 2002 Schedule 7 Section 28 states that a local authority must keep minutes of its proceedings. The minutes of these proceedings duly entered and authenticated as prescribed by a local authority are prima facie evidence of those meetings.

2) TE MATAPAKI ME NGĀ KŌWHIRINGA / DISCUSSION AND OPTIONS

The minutes of the meetings are attached.

Far North District Council Standing Orders Section 27.3 states that no discussion shall arise on the substance of the minutes in any succeeding meeting, except as to their correctness.

Te Take Tūtohunga / Reason for the recommendation

The reason for the recommendation is to confirm the minutes are a true and correct record of the previous meetings.

3) NGĀ PĀNGA PŪTEA ME NGĀ WĀHANGA TAHUA / FINANCIAL IMPLICATIONS AND BUDGETARY PROVISION

There are no financial implications or the need for budgetary provision as a result of this report.

NGĀ ĀPITI HANGA / ATTACHMENTS

- 1. 2021-03-24 Assurance, Risk and Finance Committee Minutes - A3129420** [↓](#) 

Te Hōtaka Take Ōkawa / Compliance schedule:

Full consideration has been given to the provisions of the Local Government Act 2002 S77 in relation to decision making, in particular:

1. A Local authority must, in the course of the decision-making process,
 - a) Seek to identify all reasonably practicable options for the achievement of the objective of a decision; and
 - b) Assess the options in terms of their advantages and disadvantages; and
 - c) If any of the options identified under paragraph (a) involves a significant decision in relation to land or a body of water, take into account the relationship of Māori and their culture and traditions with their ancestral land, water sites, waahi tapu, valued flora and fauna and other taonga.
2. This section is subject to Section 79 - Compliance with procedures in relation to decisions.

He Take Ōkawa / Compliance requirement	Te Aromatawai Kaimahi / Staff assessment
State the level of significance (high or low) of the issue or proposal as determined by the Council's Significance and Engagement Policy	This is a matter of low significance.
State the relevant Council policies (external or internal), legislation, and/or community outcomes (as stated in the LTP) that relate to this decision.	This report complies with the Local Government Act 2002 Schedule 7 Section 28.
State whether this issue or proposal has a District wide relevance and, if not, the ways in which the appropriate Community Board's views have been sought.	It is the responsibility of each meeting to confirm their minutes therefore the views of another meeting are not relevant.
State the possible implications for Māori and how Māori have been provided with an opportunity to contribute to decision making if this decision is significant and relates to land and/or any body of water.	There are no implications on Māori in confirming minutes from a previous meeting. Any implications on Māori arising from matters included in meeting minutes should be considered as part of the relevant report.
Identify persons likely to be affected by or have an interest in the matter, and how you have given consideration to their views or preferences (for example – youth, the aged and those with disabilities).	This report is asking for the minutes to be confirmed as true and correct record, any interests that affect other people should be considered as part of the individual reports.
State the financial implications and where budgetary provisions have been made to support this decision.	There are no financial implications or the need for budgetary provision arising from this report.
Chief Financial Officer review.	The Chief Financial Officer has not reviewed this report.

**MINUTES OF FAR NORTH DISTRICT COUNCIL
ASSURANCE, RISK AND FINANCE COMMITTEE MEETING
HELD AT THE COUNCIL CHAMBER, MEMORIAL AVENUE, KAIKOHE
ON WEDNESDAY, 24 MARCH 2021 AT 1.00 PM**

PRESENT: Cr John Vujcich, , Cr Mate Radich, , Cr Moko Tepania, Kaikohe-Hokianga Community Board Chairperson Mike Edmonds

IN ATTENDANCE: Shaun Clarke (Chief Executive Officer), William J Taylor, MBE (General Manager Strategic Planning and Policy - Acting), Helen Ronaldson (General Manager Infrastructure and Asset Management - Acting), Dean Myburgh (General Manager District Services), Jamie Dyhrberg (General Manager Corporate Services - Acting)

1 KARAKIA TIMATANGA – OPENING PRAYER

Cr Moko Tepania opened with a karakia.

2 APOLOGIES AND DECLARATIONS OF INTEREST

RESOLUTION 2021/1

Moved: Cr John Vujcich
Seconded: Cr Moko Tepania

That apologies from His Worship the Mayor John Carter, Deputy Mayor Ann Court, Member Bruce Robertson, Cr Rachel Smith, Cr Kelly Stratford be received and accepted.

CARRIED

2.1 MEMBERSHIP OF COMMITTEE

RESOLUTION 2021/2

Moved: Cr John Vujcich
Seconded: Kaikohe-Hokianga Community Board Chairperson Mike Edmonds

That the Assurance, Risk and Finance Committee recommend to Council that Adele Gardner be appointed as a member of the Assurance, Risk and Finance Committee.

CARRIED

2.2 MOTION – SPEAKING RIGHTS FOR TE HIKU COMMUNITY BOARD CHAIR ADELE GARDNER**RESOLUTION 2021/3**

Moved: Cr John Vujcich
Seconded: Cr Moko Tepania

That the Assurance, Risk and Finance Committee welcome Te Hiku Community Board Chair Adele Gardner and that she be permitted to speak during member debate.

CARRIED**3 DEPUTATION**

No deputations requested at the time of the meeting.

4 CONFIRMATION OF PREVIOUS MINUTES**4.1 CONFIRMATION OF PREVIOUS MINUTES**

Agenda item 4.1 document number A3110035, pages 12 - 19 refers.

RESOLUTION 2021/4

Moved: Cr John Vujcich
Seconded: Kaikohe-Hokianga Community Board Chairperson Mike Edmonds

That the Assurance, Risk and Finance Committee confirms the minutes of the Assurance, Risk and Finance Committee meeting held 10 February 2021 as a true and correct record with the following amendments:

- a) Mate Radich attended virtually for 2 December 2021 and 10 February 2021 meetings, and;
- b) Shaun Clark apologies accepted for 10 February 2021.

CARRIED**5 REPORTS****5.1 RECOMMENDATION TO REMOVE ARF011 ORGANISATIONAL COHESION RISK FROM THE ORGANISATIONAL RISK DASHBOARD**

Agenda item 5.1 document number A3110274, pages 20 - 24 refers.

RESOLUTION 2021/5

Moved: Cr Moko Tepania
Seconded: Cr John Vujcich

That the Assurance, Risk and Finance Committee approves the removal of ARF011 Organisational Cohesion risk from the organisational risk dashboard.

CARRIED

6 INFORMATION REPORTS

6.1 COUNCIL FINANCIAL REPORT FOR THE PERIOD ENDING 28 FEBRUARY 2021

Agenda item 6.1 document number A3111486, pages 25 - 49 refers.

RESOLUTION 2021/6

Moved: Cr John Vujcich
Seconded: Cr Moko Tepania

That the Assurance, Risk and Finance Committee receive the report Council Financial Report for the Period Ending 28 February 2021.

CARRIED

6.2 RISK PROGRESS REPORT FOR PROGRAMME OF EXTERNALLY FUNDED PROJECTS

Agenda item 6.2 document number A3110299, pages 50- 58 refers.

RESOLUTION 2021/7

Moved: Cr John Vujcich
Seconded: Cr Moko Tepania

That the Assurance, Risk and Finance Committee receive the report Risk Progress Report for Programme of Externally Funded Projects.

CARRIED

6.3 MARCH RISK MANAGEMENT

Agenda item 6.3 document number A3111424, pages 59 - 81 refers.

RESOLUTION 2021/8

Moved: Cr John Vujcich
Seconded: Cr Moko Tepania

That the Assurance, Risk and Finance Committee receive the report March Risk Management.

CARRIED

6.4 ELECTED MEMBER SENSITIVE EXPENDITURE

Agenda item 6.4 document number A3111500, page 82-83 refers.

RESOLUTION 2021/9

Moved: Cr John Vujcich
Seconded: Kaikohe-Hokianga Community Board Chairperson Mike Edmonds

That the Assurance, Risk and Finance Committee receive the report Elected Member Sensitive Expenditure.

CARRIED

7 PUBLIC EXCLUDED**RESOLUTION TO EXCLUDE THE PUBLIC****RESOLUTION 2021/10**

Moved: Cr John Vujcich
 Seconded: Cr Moko Tepania

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

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

General subject of each matter to be considered	Reason for passing this resolution in relation to each matter	Ground(s) under section 48 for the passing of this resolution
7.1 - Confirmation of Previous Minutes	s7(2)(h) - the withholding of the information is necessary to enable Council to carry out, without prejudice or disadvantage, commercial activities	s48(1)(a)(i) - the public conduct of the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding would exist under section 6 or section 7
7.2 - Internal Audit and Assurance Program 2021	s7(2)(f)(i) - free and frank expression of opinions by or between or to members or officers or employees of any local authority	s48(1)(a)(i) - the public conduct of the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding would exist under section 6 or section 7

CARRIED**RESOLUTION 2021/11**

Moved: Cr John Vujcich
 Seconded: Kaikohe-Hokianga Community Board Chairperson Mike Edmonds

That Council moves out of Closed Council into Open Council.

CARRIED**8 KARAKIA WHAKAMUTUNGA – CLOSING PRAYER**

Cr Moko Tepania closed with a karakia.

9 MEETING CLOSE

The meeting closed at 2:50 pm.

The minutes of this meeting will be confirmed at the Assurance, Risk and Finance Committee Meeting held on 5 May 2021.

.....
CHAIRPERSON

5 INFORMATION REPORTS

5.1 MAY 2021 RISK MANAGEMENT

File Number: A3150970

Author: Tanya Reid, Business Improvement Specialist

Authoriser: Jacine Warmington, General Manager - Corporate Services (Acting)

TAKE PŪRONGO / PURPOSE OF THE REPORT

To provide a report on organisational risk management, emergent risk and scheduled risk progress reports for the organisation's top risks.

No decision is required.

WHAKARĀPOPOTO MATUA / EXECUTIVE SUMMARY

Risk progress updates are provided for three of the top organisational risks. The risk rating trend for two of these risks has been assessed as stable with a risk trend increase for one of the reported risks.

No new emergent risks have been identified for inclusion in this report.

Group risk progress update including progress to refresh business continuity arrangements.

TŪTOHUNGA / RECOMMENDATION

That the Assurance, Risk and Finance Committee receive the report May 2021 Risk Management .

TĀHUHU KŌRERO / BACKGROUND

The top organisational risks are risks that may impact on Council achieving its vision, mission and community outcomes and are regularly reported to the Assurance, Risk and Finance Committee to ensure they are being appropriately managed. A number of these risks are subject to external influences which may affect effective council operations.

Table 1, below, provides a risk snapshot of the Assurance, Risk and Finance Committee Organisational Risk Dashboard with inherent and residual risk scores as accepted by this Committee and the risk progress to the residual risk score as assessed by the risk subject matter experts.

Table 2 details the 2021 risk work programme.

Within Council risk management at a group and departmental level continues.

Table 1: May 2021 Top organisational risk dashboard

Key to trend of risk rating:  Decline
 No change/stable
 Increase











Risk ID:	Risk title	Inherent risk score	Trend of risk rating	Residual risk score	Accountable Risk Governance	Responsible Risk Governance	Risk Progress Report schedule	Risk Progress Report ARF agenda:
ARF001	Climate Change	63		30	CEO	GMSPP	6 Monthly	Mar 21
ARF003	Health & Safety Vulnerabilities	46		34	CEO	Manager P&C	3 Monthly	May 21
ARF004	Asset Management Risks	45		18	CEO	GMIAM	6 Monthly	Mar 21
ARF005	Affordability Risk	45		26	CEO	GMSPP	6 Monthly	Dec 20
ARF006	Project Priorities Deliveries Delays	45		14	CEO	GMIAM	3 Monthly	May 21
ARF007	Compliance NRC Abatements	45		18	CEO	GMIAM	6 Monthly	Dec 20
ARF009	Customer Service Delivery	39		22	CEO	Manager P&C	3 Monthly	Mar 21
ARF010	Data Governance Risks	39		14	CEO	CEO	6 Monthly	Dec 20
ARF012	Contract Management Risks	39		14	CEO	GMIAM	3 Monthly	May 21
ARF013	Drinking Water Resilience	35		ARF to agree level residual risk	CEO	GMIAM	3 Monthly	Mar 21

Table 2: 2021 risk programme

2021 ARF meeting date:	10/02	24/03	05/05	16/06	21/07	08/09	20/10	01/12
Risk deep dives		ARF001	ARF003	ARF013	ARF012	ARF004	ARF006	ARF005
ARF001 Climate Change		✓				✓		
ARF003 Health & Safety Vulnerabilities	✓		✓		✓	✓		✓
ARF004 Asset Management Risks		✓				✓		
ARF005 Affordability				✓				✓
ARF006 Project - Priorities Deliveries Delays	✓		✓		✓		✓	

2021 ARF meeting date:	10/02	24/03	05/05	16/06	21/07	08/09	20/10	01/12
ARF007 Compliance NRC Abatements				✓				✓
ARF009 Customer Service Delivery		✓		✓		✓		✓
ARF010 Data Governance Risks				✓				✓
ARF012 Contract Management Risks	✓		✓		✓		✓	
ARF013 Drinking Water Resilience		✓		✓		✓		✓

MATAPAKI ME NGĀ KŌWHIRINGA / DISCUSSION AND NEXT STEPS**Organisational risk management**

The first Assurance, Risk and Finance risk deep dive for 2021 was held in March. The subject for this deep dive was our climate change risk. Further deep dives are planned for this calendar year, with timing based round scheduled risk progress reporting see table 2.

Emergent risk:

No new emergent risks have been identified for inclusion in this report.

It is understood that the government proposal to extend the government procurement rules to include territorial authorities is now off the agenda. As such the emergent risk, "Extending the Government Procurement Rules to government entities in the New Zealand public sector", has been removed from Table 3.

Table 3: Table of identified emergent risk

Emergent risks	Presented to Assurance, Risk and Finance Committee	Progress
1. The risk of externally funded shovel ready, economic stimulus employment opportunity projects due to the impact of the COVID-19 pandemic.	October 2020	Subject of a risk progress report to the Assurance, Risk and Finance Committee meeting, March 2021.
2. The financial and legal risks due to the effects of climate change. Timing of a report on this risk, to the Assurance, Risk and Finance Committee meeting, is to be determined.	October 2020	Following the March 2021 Climate Change deep dive transition risks will be subject to further work.
3. District Services have proposed to escalate one of their top group risks for consideration of inclusion on the top organisational dashboard.	October 2020	It is proposed that this be included in the Assurance, Risk and Finance Committee risk workshop agenda.
4. The risk of not fit for purpose business continuity arrangements.	October 2020	This was subject to a report at the December 20 Assurance, Risk and Finance Committee meeting.
5. Development of new legislation and the creation of Taumata Arowai, the new Water Services Regulator, to oversee and enforce a new drinking water regulatory framework, with an additional oversight role for wastewater and stormwater networks.	December 2020	Government report is due 08/06/21
6. Potential impact of the Worksafe decision, in December 2020, to charge 13 parties over the Whakaari/White Island tragedy; and the government review of Worksafe's performance.	February 2021	Impact to be considered when further information is to hand.

Organisational risk progress reports:

Three scheduled risk progress reports, including high level treatment plan progress, are provided with highlights and analysis of risk progress below. More detail is available in the attached risk progress reports.

No additional reporting requirement for organisational risk has been identified.

Risk progress report – highlights and analysis:

1. ARF003 Health Safety and Wellbeing Vulnerabilities Risk Progress Report: The risk rating trend has been assessed increasing due to delays in progressing treatments; increase in threatening behavior from the public; and the ongoing non-compliance with Health and Safety at Work Act regulations across our assets.
2. ARF006 Projects Priorities Delivery Delays Risk Progress Report: The risk rating trend has been assessed as stable (no change). There remain a number of fundamental issues which need to be addressed. These are dependent on other programmes of work such as Living Asset Management Plans and Project Darwin.
3. ARF012 Contract Management Risk Progress Report: The inherent risk rating trend has been assessed as stable (no change). Current contract management risk gaps identified include “small” and “large” contractors. The plan is to continue to make progress against treatment solutions.

Group Risk

Work is progressing within two Groups to enable risk management and risk governance.

1. District Services: established focussed quarterly risk governance meeting with the GM District Services, and the tier three managers.
2. IAM: established eight weekly risk management and governance meeting with the GM IAM, and direct reports. This meeting is based on the following standard agenda:
 - i. Have any issues / risks been escalated to us?
 - ii. Have we completed a SWOT analysis / risk assessment of our large and/or complex projects to inform the decision approval process by management and Council?
 - iii. Has our data baseline for any of our risks changed or a significant decisions / change to our external environment occurred or occurring e.g. legislation?
 1. Are there any new or emerging risks? E.g. Is there a risk due to the consequences of a decision?
 2. Does this data indicate that the risk impact score has changed?
 3. Has the likelihood of this risk materialising changed?
 4. Do we need to test any of our controls?
 - iv. Is the risk register up-to-date?
 - v. Is the risk treatment progressing to schedule?
 - vi. Do we need to escalate (e.g. to SLT) or de-escalate any of our risks?
 - a. A group risk presentation was made to all IAM staff covering:
 - i. Set the context – understand what risk is and the process we use to manage risk
 - ii. Why do we care?
 - iii. What is risk?
 - iv. What is the risk management process?
 - v. Identify your risks
 - vi. IAM risk governance
 - b. A further risk workshop was held with the Infrastructure Planning team.

Progress to refresh Council's business continuity arrangements:

Significant progress has been made, within District Services, to refresh business continuity and incident management plans culminating in a group workshop (09/04/21) where we started to test the

level of awareness, and business continuity planning and preparation based on impact and gap analysis pre-work.




Corporate Services:

Presentation to Corporate Services managers on framework to achieve business continuity plans so essential services can be operationalised, to ensure the coordination of an efficient organisational crisis response.

PĀNGA PŪTEA ME NGĀ WĀHANGA TAHUA / FINANCIAL IMPLICATIONS AND BUDGETARY PROVISION

No additional budgetary provision is requested.

ĀPITI HANGA / ATTACHMENTS

1. **2021 05 ARF003 Health Safety and Wellbeing Vulnerabilities Risk Progress Report - A3150895** [↓](#) 
2. **2021 05 ARF006 Projects Priorities Delivery Delays Risk Progress Report - A3150899** [↓](#) 
3. **2021 05 ARF012 Contract Management Risk Progress Report - A3150898** [↓](#) 



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ARF003 Health Safety and Wellbeing Vulnerabilities

Risk Status Progress Report for May 2021

Prepared 09/04/2021

Description of risk and impact

Health, Safety and Wellbeing Vulnerabilities are those elements defined in the Health and Safety at Work Act (2015).

The Council has a duty to ensure, so far as is reasonably practicable, that our workplace is without risks to the health, safety and wellbeing of any person and has controls in place to firstly eliminate or minimize those risks.

Existing Treatments - What has been done so far?

Regular health and safety reporting, with lag and lead indicators, is included in the People and Capability section of the CEO report. Current reporting trend is for an average of 8 health and safety incidents being reported per month.

The Council's 5-year strategic plan is currently into year three of Horizon 2. Planned activities are on track with 67% of the planned activities completed; and delivery of the remaining planned activities to the revised schedule. It should be noted that two initiatives are not included within the 5-year strategic plan. These are lone worker safety and health monitoring for high risk staff vulnerabilities.

The FNDC Health and Safety Committee continue to meet monthly; and all staff have a Health Safety and Wellbeing focused KPI which is reviewed and monitored quarterly.

The calendar of core Health Safety and Wellbeing activities has been reviewed, due to COVID-19, with some activities being bought forward and others re-scheduled.

Your Voice results for 2020 have been released with a continued overall increase in the Health & Safety index score (when compared year on year). Wellbeing has been identified as a focus area for further improvement with an initiative to review and implement further support mechanisms as part of the survey's engagement action plan being led by Tier-3 people leaders.

Current health and safety concerns are focused on COVID-19, contractor management, hybrid working and lone worker vulnerabilities. COVID-19 related support to customer facing and field staff include PPE, office hygiene kits and additional engineered solutions (e.g. sneeze guards).

Treatment progress is not to plan for five of the seven health and safety vulnerabilities listed in the table below:

High level treatment plan and progress up-date:

Vulnerabilities being addressed:	Progress update:
1. Lone Worker Safety	Progress not to original plan. COVID19 delays has meant a two-phase installation and roll-out, with Phase 1 installs and training for Animal Management and NTA teams completed this reporting period.

	<p>Phase 2 installs commence 19th April 2021, with end user training the week following. The project with a review phase for new users will be completed in full by financial year end.</p> <p>An additional project is being developed for District Services monitoring/compliance staff – refer threatening behavior vulnerability below.</p>
2. Health Monitoring for high risk staff (staff who have high levels of health exposure due to their roles e.g. wastewater staff, animal management officers, building officers)	<p>Progress not to original plan.</p> <p>A Health Monitoring programme is being established for high risk roles. The programme provider has been identified and a project plan in place, with delivery delayed to end of Q4 2021.</p>
3. Non-compliance against Health and Safety at Work Act regulations across our assets.	<p>Progress not to plan</p> <p>We remain non-compliant at two of FNDC's water/wastewater Treatment Plants. Contractor partners closed out the actions for five water/wastewater plants and one swimming pool.</p> <p>This work is ongoing with Three Waters Alliance partners and variations have been submitted to FNDC, status on both are "awaiting approval from IAM".</p>
4. Contractor Management	<p>Progress to plan with treatments in place.</p> <p>We have 115 SiteWise registered pre-qualified preferred contractors (an increase of seven contractors from the last report), with an average assessment score of 84%.</p> <p>Current tender documents include the SiteWise requirement with ongoing regular contractor monitoring and site inspections/audits via Project Managers and Contract Managers.</p> <p>District wide workshops were delivered to Tier 3 contractors involved in the externally funded projects workstream.</p> <p>Gap: there may be some legacy service providers who are not SiteWise pre-qualified. This work will form part of scope for the health and safety consultant work in 2021. We expect to finalize scope of work and appoint the consultant by end April 2021.</p>
5. Wellbeing programs to address our changing workforce	<p>Progress not to plan</p> <p>Program to be reviewed with implementation of remote working and hybrid operating modules, including feedback via Your Voice survey (where more support is required in the Wellbeing space was highlighted).</p> <p>Your Voice debrief sessions were completed in late March and focus areas being developed with people leader support as part of next steps.</p>

	A survey, to understand the wellbeing impact of the hybrid remote working and office based model on staff, has been designed and is now ready for roll out.
6. Threatening behavior from members of the public	<p>Progress to plan with treatments in place.</p> <p>Threatening behavior related incidents involving both staff and contractors continue to occur, with this incident type being second highest of all told at council (20% of all incidents in last 12 months relate to threatening behavior).</p> <p>Technical solutions have been procured for 23 front line staff as part of the Lone Worker Project, including 24/7 monitoring services.</p> <p>Support is in place for any threatened staff, including competence training in conflict resolution and de-escalation techniques.</p> <p>District Services project to implement body cameras and stab-proof vests have been fast tracked to high risk roles, project to commence during Q4 2021 (delay from Q3 2021 advised in last report) while Lone Worker project is finalized.</p>
7. FNDC's Generic Hazards and Controls/Treatments	<p>Progress not to plan</p> <p>Generic hazards have been identified and agreed by the Health and Safety Committee. Development of action plans and treatments have been delayed due to remote working. Q3 2021 roll of controls has commenced (and will continue through Q4 2021) via Health and Safety Committee representatives. Remote working is identified as a priority area of focus with a review of 261 staff risk assessments. Current status of this work sits at 64% complete.</p>

Where are the gaps? / what more could we be doing?

- Worker engagement is developing and ongoing.
- Speed of Council to bring assets up to meet legislative requirements as regulations change.
- Working remotely from home safely as an organisation. Monitoring the impacts of this way of working continue. WorkSafe's "best practice" guidelines are still to be published.
- WorkSafe's Whakaari (White Island) decision prosecute 13 organisations for not meeting their obligations as a PCBU under the Health and Safety at Work Act (2015) has created further uncertainty. This has been identified as an emergent risk in the February 2021 risk management report.
- High potential impact risk has been identified and escalated on the Pou Herenga Tai Twin Coast Cycle Trail. Work with the trust and community has commenced on the identified Opua section to review the mitigations in place.

The impact and likelihood of this risk has increased due to delays in progressing treatments; increase in threatening behavior from the public; and the ongoing non-compliance with Health and Safety at Work Act regulations across our assets.

Inherent Risk:	Trend of risk rating	Residual Risk:	Accountable:	CEO	Date raised:	29/11/18	Report frequency:
	Increase		Responsible:	Mgr. P&C	Date accepted:	16/06/19	3 monthly



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ARF006 Projects / Priorities Delivery Delays

Risk Status Progress Report for May 2021

Prepared: 29/03/2021

Description of risk and impact

Project / Priority delivery risks start with the elements of the project lifecycle (conception and business casing through delivery and ongoing management / maintenance) and involve having robust capabilities to support each stage of this life-cycle. Deficiencies in any one of these stages have flow on effects including costs, quality and delays.

Existing Treatments

Treatments established:

The November 2020 CouncilMARK review has acknowledged significant improvements to how we manage capital programmes.

1. Building capability

- a. Project Management Office Project Management framework: This is now starting to pay dividends. Results are being seen in the delivery of projects in a more mature manner, in line with project management best practice. This improvement was acknowledged as "significant" in the CouncilMark assessment.
- b. Business case specialist is now in place. Expectation is that benefits will be seen in the next LTP.
- c. The Project Delivery Team has completed project management and commercial training.

2. Managing capacity

- a. All capital projects are reviewed with elected members engaged as part of the LTP process.

3. Reporting

- a. The Capital Project Report Improvement has been established with monthly reporting in the IAMs business report.

High level treatment plan and progress up-date:

High level treatment plan:	Progress update:
Project Management Office Project Management framework.	<p>Ongoing.</p> <p>The team is empowered to identify and make continuous improvements to the framework.</p> <p>In line with best management practice a formal review of the framework is being planned to ensure it is best streamlined to meet the requirements of the team. This work has been delayed as the specialist resource was deployed to work on portfolio management for the LTP.</p>

Review of the Asset Management frameworks	To start. This review will help to identify current short comings in the Asset Framework so that it can be further developed to produce better quality business cases and scopes.
Training, project governance and project roles.	Ongoing. The Project Delivery Team is completing bespoke internal training round programme management and creation. This will include lessons learned.
Project resourcing	In place As part of the government's COVID-19 economic recovery response FNDC has received significant external funding for new capital projects. These projects are being delivered by a separate team, with governance structure and regular reporting so as not to impact "business as usual" projects.

Where are the gaps? / what more could we be doing?

Current environment

Contractor resourcing may potentially be a risk to project delivery timeframes.

There remain a number of fundamental issues which need to be addressed. These are dependent on other programmes of work such as Living Asset Management Plans and Project Darwin.

Inherent Risk:	Trend of risk rating	Residual Risk:	Accountable:	CEO	Date raised:	29/11/18	Report frequency:
	Stable		Responsible:	GM IAMs	Date accepted:	30/05/19	Three monthly



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ARF012 Contract Management Risks

Risk Status Progress Report for May 2021

Prepared: 01/04/2021

Description of risk and impact

Contract management risk can arise due to contract wording, contract breaches, contract performance and relationship management.

Contract management risks have the potential to negatively impact on financial, legal, reputational, service delivery and create long term issues for the Far North District. If not managed correctly we could see delays and interruptions with lengthy drawn out disruption. Commercial resource demand could be impacted.

Existing Treatments

Treatments established:

A. Two specialists are in place:

1. Contract Management Specialist whose focus is to build capability and address risk treatments; and
2. Contract Specialist whose focus is the operational contract management in District Facilities with the primary focus on the swimming pool contracts.

B. A FNDC-wide Contracts Register is available in TK2 system.

High level treatment plan and progress up-date:

High level treatment plan:	Progress update:
Develop a Contract Management Framework. The Contracts Framework will cover three main contractual arrangements with the addition of AOG (All of Government) and syndicated contracts.	Completed. Progress is not to plan due to the delay in completing the Contract Framework peer review. The peer review is expected to be completed by end of Q4 20/21. The Contract Framework peer review delay has delayed the roll out. Phase 1 of the roll out (to IAMs) will commence immediately the review has been completed.
Develop Policy, process and templates.	In progress. Delivery planned for Q4 20/21. <ul style="list-style-type: none"> • Templates for contracts completed. • Draft Policy is currently with SLT for review • The process is contained within the framework.
Building capability	
Increase internal commercial expertise.	In progress.

	Weekly training to develop contract management capability in the IAMS Infrastructure & Asset Management team continues. Currently working through the New Zealand standard construction contract, NZS3910. The Contract Management Specialist is providing project specific advice.
Contract Management training. Training plan to support contract management framework roll-out to be developed.	Underway. One training session delivered to Facilities Operation Team. Further training needs will be determined via a survey which will ask participants "if they would benefit from contract management training?"
New treatment: Refresh of the contract register.	<ul style="list-style-type: none"> • a survey is planned to identify who manages contracts, how many and what contracts they manage. This survey will also contain the training question referenced in the above treatment • migration of the contract register from TK2 to TK3 • inclusion of an additional field to identify which contracts contain business continuity arrangements • determine secure locations to hold hard and soft copies of crucial contract documents such as the contract, bonds and warranties and insurance certificates.
District Facilitates Assurance Review	This is with the Assurance and Audit Specialist for programming into the assurance schedule.
17A reviews	Scheduled to commence July 21: <ol style="list-style-type: none"> 1. Solid Waste 2. Town, parks and reserves maintenance.

Where are the gaps? / what more could we be doing?

Current environment:

Within the evolving contract scene Council is engaging with an increasing number of "small" contractors. It is anticipated that this trend will continue when we implement our Sustainable Procurement Policy. This will change the contract management risk profile.

Contract concentration risk – there is a large financial exposure (in FNDC terms) to a number of providers. FNDC complete due diligence prior to entering a contract and contract manage these providers. The risk is the ongoing maintenance e.g. insurance certificates so that the provider does not become a liability to Council.

Current gaps identified are:

- "Small" contractors contract management risk (health and safety, delivery and financial risk)
- "Larger" contractors where we have a contract concentration risk and a large financial exposure

The plan is to continue to make progress against treatment solutions as identified in the table above.

Inherent Risk:	Trend of risk rating	Residual Risk:	Accountable:	CEO	Date raised:	29/11/18	Report frequency:
	Stable		Responsible:	GM IAMs	Date accepted:	30/05/19	3 monthly

5.2 INTERNAL AUDIT AND ASSURANCE - AUDIT RECOMMENDATIONS REGISTER UPDATE

File Number: A3159230

Author: Celine Carlisle, Audit and Assurance Specialist

Authoriser: Jacine Warmington, General Manager - Corporate Services (Acting)

TAKE PŪRONGO / PURPOSE OF THE REPORT

To provide the Assurance, Risk and Finance Committee with an update on internal and external audits, and any associated recommendations.

WHAKARĀPOPOTO MATUA / EXECUTIVE SUMMARY

This report provides an update on internal and external audit recommendations. Since the last report on 2 December 2020 progress on understanding the best way to proceed on outstanding recommendations has been made. Two recommendations have been completed. Consideration of more meaningful reporting, tracking and measuring of all recommendations has begun. Design work for this reporting process has been tested and shown to be successful. The new reporting format will commence at the next Assurance, Risk and Finance Committee Meeting. Additional data collection techniques will form a continuous flow of updates to the Audit Recommendations Register.

The new reporting measures will ensure active solutions capture, uphold and reinforce the original intent of each audit recommendation. An additional output of these measures will be community enhancing solutions that work and better flow of audit recommendations through to completion.

TŪTOHUNGA / RECOMMENDATION

That the Assurance, Risk and Finance Committee receive the report Internal Audit and Assurance - Audit Recommendations Register Update.

TĀHUHU KŌRERO / BACKGROUND

There are active plans in place to complete most outstanding recommendations. For those that have stalled, the new reporting system will ensure they are completed in a timely manner.

Audit recommendations as at 19 April 2021:

ID	Audit Name	Title	Assigned To	Priority	Status	Description
23	Internal Audit – Information Security	External user access and authentication	GM Corporate Services	Must do	Complete	Network logon account internal audit completed. Progress: IT team have actioned audit findings.
28	Internal Audit – Information Security	Project Security Risks	GM Corporate Services	Should do	Underway	Information security controls need to be factored into Council's project management framework to

						<p>ensure associated risks are managed.</p> <p>Progress:</p> <p>The Project Management Office (PMO) are developing a checklist to understand all the requirements needed to uphold information security for project delivery. Completion date to be advised. Information Security considerations to be included in Project Management Framework training to all key staff and inductions.</p>
58	KPMG - Procurement	Spend monitoring	GM Corporate Services	Should do	Underway	Implement quarterly procurement spend analysis.
59	KPMG - Procurement	Spend monitoring	GM Corporate Services	Should do	Underway	As part of the spend analysis process, integrate category spend management on a periodic basis.
74	2017 Audit NZ Interim Annual Management Report	Legislative Compliance System	GM Corporate Services	Should do	On hold	<p>Audit NZ recommend a mechanism for monitoring compliance with legislative requirements is put in place as part of the Council's overall risk management strategies.</p> <p>Stakeholder interviews reassessed to ensure the legislative</p>

						compliance system purchased is fit for purpose. Further steps to investigate the compliance system for purchase and include this consideration in future budgets.
99	Contract Management Review	Set contract management guidelines	GM Corporate Services	Must do	Underway	<p>Focus to set organisation wide contract management guidelines, encompassing the three main contractual areas: physical works, fixed term operational and maintenance, and goods and services. This encompasses the four contract stages: contract planning and development, contract execution, contract management and contract review/close-out.</p> <p>Progress:</p> <p>Contract Management Policy and Framework progressing.</p>
105	2018 Audit NZ Final Annual Management Report	Resource Management Deposits (Bonds)	GM District Services	Must do	On hold	<p>When testing the liability balance related to resource management deposits, Audit NZ found some deposits in the listing were received 18 years ago.</p> <p>They recommended resource management</p>

						<p>deposits be reviewed and an assessment made as to whether they still meet the definition of a liability. If not, they should be released to revenue.</p> <p>This recommendation item has changed hands and is actively reinstating correct procedures to ensure solutions are thorough and correctly applied.</p>
111	Three Waters Interim Alliance Agreement Review	Education of Alliance contracts and principles	GM Infrastructure and Asset Management	Should do	Underway	<p>Greater education for staff regarding expectations of an Alliance contract and understanding of the Alliance principles.</p> <p>Toolbox sessions held regularly with Far North Waters.</p>
115	Three Waters Interim Alliance Agreement Review	Agree on Key Performance Indicators (KPI)	GM Infrastructure and Asset Management	Should do	Underway	<p>Agree on the KPI's through the Alliance Management Team, including finance and contract performance, proactiveness and innovation, and co-developed Health and Safety.</p>
123	2019 Audit NZ Final Annual Management Report	Deferral of capital expenditure	GM Infrastructure and Asset Management	Must do	Underway	<p>Audit NZ recommend the Council consider the impact of deferred capital expenditure on asset condition and any potential impact this may also have on Council's asset valuations and impairment assessments for</p>

						<p>future reporting cycles.</p> <p>Council has commenced Programme Darwin which is aimed at addressing issues with asset management. Delivery of the capital programme being one of these issues. Council is reviewing the capital programme to ensure it is achievable from inception and limited to what can reasonably be delivered.</p>
138	LGOIMA Compliance and Practice Report	Amend operational guidance on staff intranet to comply with LGOIMA	GM Corporate Services	Must do	Complete	<p>SLT approved the policy. Legal Services working with Communications and IT teams to place it on the Intranet.</p> <p>Progress:</p> <p>This item is now complete.</p>
139	LGOIMA Compliance and Practice Report	Develop a Proactive Release Policy	GM Corporate Services	Must do	On hold	<p>The Proactive Release Policy is nearing completion. As a result of the adoption of this policy, Legal Services will commence work on establishing the processes for proactive release of information, as well as how we manage publicly excluded items according to the policy guidelines. The Proactive Release Policy is</p>

						<p>complete and adopted.</p> <p>Progress:</p> <p>Legal Services continues this work whilst keeping the proactive release of information in mind. This item has been put on hold in light of the new Privacy Act. Legal Services considers it important to continue to work with various departments in regard to publishing of information.</p>
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Complete: 2

Almost complete: 0

Underway: 7

On hold: 3

Total: 12

PĀNGA PŪTEA ME NGĀ WĀHANGA TAHUA / FINANCIAL IMPLICATIONS AND BUDGETARY PROVISION

This report is for information only and there are no financial implications associated.

ĀPITI HANGA / ATTACHMENTS

Nil

5.3 LEVEL OF SERVICE KPI QUARTER 3 PERFORMANCE REPORT

File Number: A3155141

Author: Mia Haywood, Accounting Support Officer

Authoriser: Jacine Warmington, General Manager - Corporate Services (Acting)

PURPOSE OF THE REPORT

The purpose of this report is to present the Level of Service KPI Performance Report for the Assurance, Risk and Finance Committee's consideration.

EXECUTIVE SUMMARY

This report is to present the level of service KPI performance report for the Assurance, Risk and Finance committee's consideration.

RECOMMENDATION

That the Assurance, Risk and Finance Committee receive the Level of Service KPI Quarter 3 Performance Report.

BACKGROUND

An overview of staffing and financial data is included to give an overall picture of the activity groups, and what factors may have an influence on performance.

DISCUSSION AND NEXT STEPS

This report is for information only.

FINANCIAL IMPLICATIONS AND BUDGETARY PROVISION

There are no financial implications or budgetary provision needed as a result of this report.

ATTACHMENTS

1. Q3 Master Quarterly Performance Report LOS 2020_21 - A3157036 [↓](#) 



Quarterly Performance Report:

Quarter 3: January - March 2021

Performance of Service Level Results

Introduction

Welcome to the performance report for the third quarter of 2020/2021.

This report measures the key Long Term Plan KPIs that we report in the Annual Report, along with some internal performance measures.

Service Level KPIs are reported together by activity group, we have also included an overview of staffing and financial data to give an overall picture of the activity groups and what factors may have an influence upon performance.

Roading

To maintain the District's roading network in a satisfactory condition and in accordance with national safety and engineering standards

Performance Measure	2018/19 Result	2019-20 Result	2020-21 Target	Measures	Q1 Total Performance	Q2 Total Performance	Jan-20	Feb-20	Mar-20	Q3 Total Performance	YTD Result	
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	Decrease of 11 fatal and serious injury crashes	30 total 4 fatalities 26 serious injury crashes Actual increase in serious injuries and fatalities is 6	No increase	Fatalities/serious injury crashes 2020/21	7	10	7	2	0	9	-4	
				Fatalities/serious injury crashes 2019/20.			30 Total 4 Fatalities 26 serious injury crashes					
Percentage of fatal and serious crashes on the District's roading network where the road condition is the main contributing factor, in relation to vehicle km travelled on our roads	0	No crashes caused by road condition	< previous year	No. crashes caused by road condition per km travelled 2020/21	-	-	0	0	0	-	0	
				No. crashes caused by road condition per km travelled 2019/20	-	-	0	0	0	-		
				%	-	-	0	0	0	-		
The average quality of ride on a sealed local road network, measured by smooth travel exposure	97%	94%	≥87%		N/A	N/A	N/A	N/A	N/A	N/A	N/A	
					-	-	0.00	0.00	0.00	-		
					0.0%	0.0%	0.0%	0.0%	0.0%	0.0%		
				Q3 Performance Comments:								
				Smooth Travel Exposure (STE) is an indication of the percentage of vehicle kilometres travelled on a road network with roughness below a defined roughness threshold. The results are generated annually at the end of a financial year.								
The percentage of the sealed local road network that is resurfaced	35.6 km 4.1%	5.7%	≥9% of the sealed network resurfaced per annum	Length resurfaced km	-	32.1	-	141.1	0.15	141.3	6.6%	
				Total length sealed road network	877.2	877.2	877.2	877.2	877.2	877.2		
				%	0.0%	3.7%	0.0%	16.1%	0.02%	16.1%		
Resurfacing of the roading network as outlined in the Council's roading programme	1	0.887	≥95% of planned work completed	Length completed work km	0.00	32.1	-	141.1	0.15	141	97.4%	
				Total length planned	0.00	36.8	-	141.1	0.15	141		
				%	0.0%	87.2%	0.0%	100.0%	100.0%	100.0%		

Performance Measure	2018/19 Result	2019-20 Result	2020-21 Target	Measures	Q1 Total Performance	Q2 Total Performance	Jan-20	Feb-20	Mar-20	Q3 Total Performance	YTD Result
The percentage of customer service requests relating to roads to which the territorial authority responds within the time frame specified:											
Emergency / Public Safety - within 3 hours	97.1%	96.9%	≥95%	No. responded within timeframe	201	32	11	16	13	40	99.3%
				Total incidences	202	33	11	16	13	40	
				%	99.5%	97.0%	100.0%	100.0%	100.0%	100.0%	
Urgent - within 7 days	81.9%	92.9%		No. responded within timeframe	75	65	28	18	19	65	84.4%
				Total incidences	83	78	31	27	24	82	
				%	90.4%	83.3%	90.3%	66.7%	79.2%	79.3%	
Non-urgent - within 14 days	88%	92%		No. responded within timeframe	936	576	164	276	296	736	78.8%
				Total incidences	1064	801	235	361	391	987	
				%	88.0%	71.9%	69.8%	76.5%	75.7%	74.6%	
The Hokianga Ferry Service will run in accordance with the advertised timetable	99%	99%	No. runs on time	2617	2649	876	784	862	2522	96.7%	
			Total scheduled crossings	2708	2695	912	824	914	2650		
			%	96.6%	98.3%	96.1%	95.1%	94.3%	95.2%		
Our sealed and unsealed network will meet the agreed Council's levels of service specified in our roading contracts and the network is at least 95% compliant at all times	84%	99.7%	No. (fixed and repaired)	0.0%	99.1%	98.0%	98.0%	99.0%	2.95	100.9%	
			South (fixed and repaired)	0.0%	97.5%	96.0%	98.0%	99.0%	2.93		
			Total	0.0%	98.3%	102.1%	100.0%	100.0%	100.7%		

Footpaths

To maintain the District's footpath network and infrastructure to high standards

Performance Measure	2018/19 Result	2019-20 Result	2020-21 Target	Measures	Q1 Total Performance	Q2 Total Performance	Jan-20	Feb-20	Mar-20	Q3 Total Performance		
The percentage of 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).	98.7%	Grade 1 - 11.46% Grade 2 - 37.87% Grade 3 - 50.02% Grade 4 - 0.38% Grade 5 - 0.27%	Maintain / Increase	217,113 condition assessments meet standard	0	0	N/A	N/A	N/A	N/A	0.0%	
				218,770 condition assessments undertaken	0	0	N/A	N/A	N/A	N/A		
					0.0%	0.0%	N/A	N/A	N/A	N/A		
				Q3 Performance Comments:								
							Quarter three data was unable to be collected due to internal staffing changes.					
Resurface and extend the footpath network as planned	96.0%	100.0%	≥95% of planned work completed	Length completed work	-	0	N/A	N/A	N/A	N/A	0.0%	
				Total length planned	-	0	N/A	N/A	N/A	N/A		
				%	-	0%	N/A	N/A	N/A	N/A		
				Q3 Performance Comments:								
							Quarter three data was unable to be collected due to internal staffing changes.					
Emergency / Public Safety - within 3 hours	N/A	No incidences to report	≥95%	No. responded within timeframe	0	0	0	0	0	0	No incidences to report	
				Total incidences	0	0	0	0	0	0		
				%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%		
Urgent - within 7 days	N/A	No incidences to report		No. responded within timeframe	0	0	0	0	0	0	No incidences to report	
				Total incidences	0	0	0	0	0	0		
				%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%		
Non-urgent - within 14 days	90%	93.6%		No. responded within timeframe	31	44	5	18	17	40	83.3%	
				Total incidences	33	55	10	19	21	50		
				%	93.9%	80.0%	50.0%	94.7%	81.0%	80.0%		

Water Supply

To provide reliable and sustainable water supply, ensuring sustainable development and adequate water supply in times of emergency.

Performance Measure	2018/19 Result	2019-20 Result	2020-21 Target	Measures	Q1 Total Performance	Q2 Total Performance	Jan-20	Feb-20	Mar-20	Q3 Total Performance	YTD %
The extent to which the local authority's drinking water supply complies with: (a) part 4 of the drinking-water standards (bacteria compliance criteria)	All schemes compliant	All schemes compliant	Each scheme continuously meets the required standards for drinking water	Kaikohe Compliant Y/N	Yes	Yes	Y	Y	Y	Yes	Yes
				Kerikeri Compliant Y/N	Yes	Yes	Y	Y	Y	Yes	Yes
				Paihia Compliant Y/N	Yes	Yes	Y	Y	Y	Yes	Yes
				Kawakawa Compliant Y/N	Yes	Yes	Y	Y	Y	Yes	Yes
				Kaitaia Compliant Y/N	Yes	Yes	Y	Y	Y	Yes	Yes
				Opononi Compliant Y/N	Yes	Yes	Y	Y	Y	Yes	Yes
				Rawene Compliant Y/N	Yes	Yes	Y	Y	Y	Yes	Yes
The extent to which the local authority's drinking water supply complies with: (b) part 5 of the drinking-water standards (protozoal compliance criteria)	All schemes compliant	All schemes compliant	Each scheme continuously meets the required standards for drinking water Each scheme to be reported on separately	Kaikohe Compliant Y/N	Yes	Yes	Y	Y	Y	Yes	Yes
				Kerikeri Compliant Y/N	Yes	Yes	Y	Y	Y	Yes	Yes
				Paihia Compliant Y/N	Yes	Yes	Y	Y	Y	Yes	Yes
				Kawakawa Compliant Y/N	Yes	Yes	Y	Y	Y	Yes	Yes
				Kaitaia Compliant Y/N	Yes	Yes	Y	Y	Y	Yes	Yes
				Opononi Compliant Y/N	Yes	Yes	Y	Y	Y	Yes	Yes
				Rawene Compliant Y/N	Yes	Yes	Y	Y	Y	Yes	Yes
The percentage of real water loss from the local authority's networked reticulation system (including a description of the methodology used to calculate this)	31.7% water loss	0.25	<26%	Total Nett Metered	7,650,393	7,533,142	2,425,498	2,385,504	2,378,804	7,189,806	30.6%
				Total Nett Production	10,336,096	10,287,040	3,437,740	3,448,168	3,473,670	10,359,578	
				%	26.0%	26.77%	29.4%	30.8%	31.5%	30.60%	

Performance Measure	2018/19 Result	2019-20 Result	2020-21 Target	Measures	Q1 Total Performance	Q2 Total Performance	Jan-20	Feb-20	Mar-20	Q3 Total Performance	YTD %
Where the local authority attends a call-out in response to a fault or unplanned interruption to its networked reticulation system, the following median response times measured:											
(a) attendance for urgent call-outs: from the time that the local authority receives notification to the time that service personnel reach the site	0.85 hours	0.95	< 2 hours	Median attend time	0.7	1.7	1.2	1.2	1.2	1.2	1.2
(b) 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.	2.5 hours	2.78	< 4 hours	Median response time	3.5	3.1	3.1	3.4	3.1	3.1	3.1
(c) attendance for non-urgent call-outs: from the time that the local authority receives notification to the time that service personnel reach the site, and	0.1 working days	0.3	< 2 working days	Median attend time	0.7	0.7	0.8	0.8	0.8	0.8	0.7
(d) 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.	0.2 working days	0.8	<3 working days	Median response time	0.8	0.8	0.9	0.9	0.9	0.9	0.8
The total number of complaints received by the local authority about any of the following: (a) drinking water clarity (a) drinking water taste (b) drinking water odour (c) drinking water pressure or flow (d) continuity of supply, and (e) the local authority's response to any of these issues expressed per 1000 connections to the local authority's networked reticulation system.	91.37 complaints per 1000	78.11	100	Complaints YTD	171.0	387.0	475	549	645	645	63.36
				Monthly complaints	171.0	216	88.0	74.0	96.0	258	
				Number connected properties	10,180	10,180	10,180	10,180	10,180	10,180	
				Total per 1000 properties	16.8	38.02	46.66	53.93	63.36	63.36	
The average consumption of drinking water per day per resident within the territorial authority district	486L per person per day	310.78L	≤ 350L per person per day	Volume consumed this month	2,550,131	2,511,047	2425498	2385504	2378804	2,396,602	165.73
				No of residents	23,923	23,923	23923	23923	23923	23,923	
				Consumption per resident	292.0	105	278	273	272	100	

Wastewater

To provide reliable waste water infrastructure, protecting the environment and community

Performance Measure	2018/19 Result	2019-20 Result	2020-21 Target	Measures	Q1 Total Performance	Q2 Total Performance	Jan-20	Feb-20	Mar-20	Q3 Total Performance	YTD %
The number of dry weather sewerage overflows from the territorial authority's sewerage system, expressed per 1000 sewerage connections to that sewerage system	2 per 1000 connections	2.42	≤ 12 per 1000 connections	Number affected	10	8	1	1	2	4	0.63
				Number connected properties	11591	11591	11591	11591	11591	11591	
				Total per 1000 properties	0.86	0.69	0.09	0.09	0.17	0.35	

Compliance with the territorial authority's resource consents for discharge from its sewerage system, measured by the number of:

(a) abatement notices	0	1	1 or less	Number of notices	0	0	0	0	0	0	0
(b) infringement notices	0	1	0	Number of notices	0	0	0	0	0	0	0
(c) enforcement orders	0	0	0	Number of notices	0	0	0	0	0	0	0
(d) convictions	0	0	0	Number of notices	0	1	0	0	0	0	0

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 are measured:

a) attendance time: from the time that the territorial authority receives notification to the time that service personnel reach the site	0.5 hours	1.1	≤ 2 hours	Median attend time (hours)	1.5	1.5	1.3	1.3	1.3	1.3	1.50
				Achieved/Not Achieved:	Achieved	Achieved	Achieved	Achieved	Achieved	Achieved	
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	3.85 hours	3.16 hours	≤ 4 hours	Median response time (hours)	2.9	3.6	3.0	3.0	2.7	3.0	3.00
				Achieved/Not Achieved:	Achieved	Achieved	Achieved	Achieved	Achieved	Achieved	

Performance Measure	2018/19 Result	2019-20 Result	2020-21 Target	Measures	Q1 Total Performance	Q2 Total Performance	Jan-20	Feb-20	Mar-20	Q3 Total Performance	YTD %
Where Council attends to sewerage overflows resulting from a blockage or other fault in the Council's sewerage system, the following response times are measured:											
a) attendance	80.60%	56%	≥ 95% responded in ≤ 2 hours	No. attended in 2 or less hours	21	17	8	6	17	31	63.9%
				Total incidences	45	28	9	7	19	35	
				%	46.7%	60.7%	88.9%	85.7%	89.5%	88.6%	
b) resolution to prevent overflow	75%	41%	≥ 95% responded to in ≤ 4 hours	No. resolved in 4 or less hours	24	15	7	4	15	26	60.2%
				Total incidences	45	28	9	7	19	35	
				%	53.3%	53.6%	77.8%	57.1%	78.9%	74.3%	
The total number of complaints received by the territorial authority about any of the following: (a) sewage odour (b) sewerage system faults (c) sewerage system blockages, and (d) the territorial authority's response to issues with its sewerage system, expressed per 1000 connections to the territorial authority's sewerage system	21.92 per 1000 connections	22.52	≤ 50 per 1000 connections	Number affected	89	67	26	18	31	75	19.69
				Number connected properties	11591	11591	11591	11591	11591	11591	
				Total per 1000 properties	7.68	5.78	2.24	1.55	2.67	6.47	

Stormwater

To enable sustainable development through urban storm water infrastructure, protecting the environment and community

Performance Measure	2018/19 Result	2019-20 Result	2020-21 Target	Measures	Q1 Total Performance	Q2 Total Performance	Jan-20	Feb-20	Mar-20	Q3 Total Performance	YTD %
The number of flooding events that occur in a territorial authority district	0	0	0	Number of events	1	0	0	0	0	0	1
For each flooding event, the number of habitable floors affected. (Expressed per 1000 properties connected to the territorial authority's Stormwater system.)	0.00 per 1000 properties	No events	0 per 1000	Number affected	3	0	0	0	0	0	3
				Number connected properties	15666	15666	15666	15666	15666	15666	19%
				Total per 1000 properties	19%	0%	0%	0%	0%	0%	
(a) abatement notices	0	0	1 or less	Number of notices	0	0	0	0	0	0	0
(b) infringement notices	0	0	0	Number of notices	0	0	0	0	0	0	0
(c) enforcement orders	0	0	0	Number of notices	0	0	0	0	0	0	0
(d) convictions	0	0	0	Number of notices	0	0	0	0	0	0	0
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	No events for 2018/19 Period	No events	≤ 48 hours	Median response time (hours)	48 hours	0	0	0	0	0	48 hours

Performance Measure	2018/19 Result	2019-20 Result	2020-21 Target	Measures	Q1 Total Performance	Q2 Total Performance	Jan-20	Feb-20	Mar-20	Q3 Total Performance	YTD %
The number of complaints received by a territorial authority about the performance of its Stormwater system, expressed per 1000 properties connected to the territorial authority's Stormwater system	26.59 RFS per 1000 properties	16.42	0	Number complaints	169	72	18	28	29	75	19.98
				Number connected properties	15666	15666	15666	15666	15666	15666	
				Total per 1000 properties	10.79	4.60	1.15	1.79	1.85	4.79	
				Q3 Performance Comments: During quarter three there has been a normal amount of requests coming in for the summer months. Inspection rates for requests is going up as Far North Waters alliance are beginning to regularly visit and process stormwater requests.							
The response time to attend a flooding event resulting from the failure of Council's urban storm water system. Measured from the time that the Council receives notification to the time that service personnel reach the site. Response time is set at 2 working days.	N/A	No events	≥ 95% responded to within set timeframe	No. responded within timeframe	3	0	0	0	0	0	100.0%
				Total incidences	3	0	0	0	0	0	
				%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	

Solid Waste Management

To decrease the proportion of waste sent to landfill and increase the proportion of waste that is sent for recycling, promoting the sustainable management of resources and benefitting future generations

Performance Measure	2018/19 Result	2019-20 Result	2020-21 Target	Measures	Q1 Total Performance	Q2 Total Performance	Jan-20	Feb-20	Mar-20	Q3 Total Performance	YTD %	
Percentage by tonnage of waste from refuse transfer station that is recycled/ reused	63.7%	64.3%	65.0%	Tonnage recycled/reused	2184.49	2557.57	1235.06	709.09	826.42	2770.57	61.4%	
				Total Tonnage	3653.56	4173.74	1867.38	1189.91	1346.4	4403.69		
				%	59.8%	61.3%	66.1%	59.6%	61.4%	62.9%		
Add at least one new community recycling facility	0	1	Minimum of 1 per year	Number completed	0	0	0	0	0	0	0	
				Q3 Performance Comments:								
				Although there has been no new community recycling facility completed this quarter, we have an agreement in principal with Te Ti Trust to open a community recycling centre in Waitangi. Currently waiting on management approval to move forward.								
All refuse transfer stations to be open on time	97%	99.97%	99.5%	No reports or complaints regarding late openings	0	0	0	0	1	1	99.98%	
				Number of days opened across all sites per month. Summer = 662 days per month Winter = 613 day per month	613	629	662	662	662	662		
					100.0%	100.0%	100.0%	100.0%	99.8%	99.9%		
Attending to RFS relating to illegal dumping												
Offensive waste: pick up within 24 hours	80%	100%	95% within set timeframe	No. collected within timeframe	0	0	0	0	0	0	100.0%	
				Total incidences	0	0	0	0	0	0		
				%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%		
Standard waste: pick up within 4 days	89.1%	91.1%	95% within set timeframe	No. collected within timeframe	78	50	21	15	21	57	84.1%	
				Total incidences	92	63	26	16	23	65		
				%	84.8%	79.4%	80.8%	93.8%	91.3%	87.7%		
				Q3 Performance Comments:								
				The majority of collections taking more than four days were due to collections not happening over weekends. Difficulty in contacting customers for additional information was the second most common cause.								

District Facilities

Cemeteries

To ensure cemeteries are operated in a way that meets the community's needs

Performance Measure	2018/19 Result	2019-20 Result	2020-21 Target	Measures	Q1 Total Performance	Q2 Total Performance	Jan-20	Feb-20	Mar-20	Q3 Total Performance	YTD %
All preparations are in place in time for the funeral services to take place (plots dug, and in the right place etc.)	No complaints received for 18/19 year	0.02	No complaints are received regarding the preparations for our funeral services	No. complaints received	0	0	0	0	0	0	0.0%

Civic and Community Buildings

To provide buildings for public recreation and leisure

Performance Measure	2018/19 Result	2019-20 Result	2020-21 Target	Measures	Q1 Total Performance	Q2 Total Performance	Jan-20	Feb-20	Mar-20	Q3 Total Performance	YTD %
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Number of community halls per ward per annum modified to improve disability access

Northern Ward	1	0	1 hall per ward per annum	Number completed	0	0	0	0	0	0	0
Eastern Ward	2	0	1 hall per ward per annum	Number completed	0	0	0	0	0	0	0
Western Ward	3	0	1 hall per ward per annum	Number completed	0	0	0	0	2	2	2
				Q3 Performance Comments							
				Rawene and Taheke halls have been modified in March to improve disability access. No further halls are scheduled to be upgraded this financial year.							
All Civic and Community buildings are safe for Community use and meet all statutory legislation levels	Achieved - All 18 Council building's have current BWOF certificates	All buildings compliant	All halls have appropriate certificates including BWOF for those that require them	Number uncertified	0	0	0	0	0	0	0.0%
				Q3 Performance Comments							
				Kerikeri Sports Complex's BWOF expired in December, however defects have been fixed and building is now compliant.							

Housing for the Elderly

To provide housing for the elderly that is affordable, safe, well maintained, and strategically located

Performance Measure	2018/19 Result	2019-20 Result	2020-21 Target	Measures	Q1 Total Performance	Q2 Total Performance	Jan-20	Feb-20	Mar-20	Q3 Total Performance	YTD %
Occupancy of available units	97.0%	94.1%	95.0%	Occupied Units	409	402	130	133	131	394	91.1%
				Total Units	441	441	147	147	147	441	
				%	92.7%	91.2%	88.4%	90.5%	89.1%	89.3%	
Percentage of faults responded within: Emergency - 12 hours	92.1	100%	100.0%	No. responded within timeframe	22	10	1	1	3	5	100.0%
				Total incidences	22	10	1	1	3	5	
				%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	
Percentage of faults responded within: Urgent - 2 days	73.3%	92.6%	100.0%	No. responded within timeframe	31	43	28	13	9	50	62.9%
				Total incidences	52	63	40	22	20	82	
				%	59.6%	68.3%	70.0%	59.1%	45.0%	61.0%	
Percentage of faults responded within: Non Urgent - 7 days	67.3%	86.1%	≥95%	No. responded within timeframe	34	70	16	5	8	29	54.5%
				Total incidences	66	103	62	5	8	75	
				%	51.5%	68.0%	25.8%	100.0%	100.0%	38.7%	
				Q3 Performance Comments							
					Target has not been met for Urgent & Non Urgent requests due to an increase in the number of requests received for January. Along with the increase in requests, contractor availability was limited for other non urgent requests due to Christmas/New Year holiday break						

Public Toilets

Council will provide well maintained and accessible public toilets in high use areas.

Performance Measure	2018/19 Result	2019-20 Result	2020-21 Target	Measures	Q1 Total Performance	Q2 Total Performance	Jan-20	Feb-20	Mar-20	Q3 Total Performance	YTD %
Increase the number of public toilets with disabled access per annum in line with facility renewal/upgrades	5 Completed	2	2	Number completed	0	0	0	0	0	0	0
Ensure that public toilets are maintained to an acceptable standard as per contract	72.2%	90.9%	≥92%	Number of audits met	16	15	5	9	9	23	96.4%
				Total number of audits	16	17	5	9	9	23	
					100.0%	88.2%	100.0%	100.0%	100.0%	100.0%	

Car Parks

Council will provide well maintained public car parks

Performance Measure	2019/20 Result	2019-20 Result	2020-21 Target	Measures	Q1 Total Performance	Q2 Total Performance	Jan-20	Feb-20	Mar-20	Q3 Total Performance	YTD %
Provide additional disability parking spaces in each ward											
Northern Ward	3 additional parking spaces	0	2 per annum	Number completed	0	0	0	0	0	0	0
Eastern Ward	2 additional parking spaces	0	2 per annum	Number completed	0	0	0	0	0	0	0
Western Ward	0 additional parking spaces	0	2 per annum	Number completed	0	0	0	0	0	0	0
					Q3 Performance Comments						
					The contractor has been awarded for the Eastern Car Parks and has ordered the signs. No scope received for the Northern or Western Wards. One of the Eastern Car Parks cannot be completed until after the Kawakawa roundabout has finished due to its location.						

Customer Services

Council provides the right services, in the right places, to the agreed standard

Performance Measure	2018/19 Result	2019-20 Result	2020-21 Target	Measures	Q1 Total Performance	Q2 Total Performance	Jan-20	Feb-20	Mar-20	Q3 Total Performance	YTD %
Percentage of abandoned calls (Contact Centre)	20.8%	14.6%	6%	Abandoned calls	4,549	2,955	705	1,871	3,019	5,595	19.5%
				Total calls received	25,128	19,613	5,876	7,724	8,804	22,404	
				Percentage %	18.1%	15.1%	12.0%	24.2%	34.3%	25.0%	
				Q3 Performance Comments:							
				Januarys result was an improvement from December, however the rest of the quarter was challenging with extreme levels of unplanned staff absences and internal technical difficulties which impacted negatively on the result.							
Percentage of Ask.U.s emails processed within 5 working days	100%	100%	>100%	Processed within 5 days	5,432	4,217	1,331	10,268	1,761	13,360	99.1%
				Total emails received	5,432	4,217	1,331	10,468	1,761	13,560	
				Percentage %	100.0%	100.0%	100.0%	98.1%	100.0%	98.5%	
Service Centre users' satisfaction	96.80%	User satisfaction 89%	≥96.8	User satisfaction 2020/21	96.7%	96.3%	N/A	N/A	N/A	0.0%	96.5%
				User satisfaction 2019/20	95.7%	97.8%	99%	99%	98%	98.7%	
				Percentage change %	1.0%	-1.5%	N/A	N/A	N/A	N/A	
			Q3 Performance Comments:								
			We are currently changing providers for the survey results. Once the changeover has been completed the monthly reporting will resume.								

i-SITES

To provide booking and information services through the District's Information Centres, influencing visitors to stay longer and spend more

Performance Measure	2018/19 Result	2019-20 Result	2020-21 Target	Measures	Q1 Total Performance	Q2 Total Performance	Jan-20	Feb-20	Mar-20	Q3 Total Performance	YTD %
Number of visitor bookings through the Information centres will show an increase each year	14.2%	-14.6%	≥1% increase on previous year	Visitor bookings 2020/21	8,245	13,787	8,825	3,901	4,648	17,374	-44.0%
				Visitor bookings 2019/20	8,275	18,921	12,633	9,485	5,709	29,595	
				Percentage change %	-0.4%	-27.1%	-30.1%	-58.9%	-18.6%	-41.3%	
				Q3 Performance Comments:							
				Visitor Numbers are down with cruise ship and International visitors unable to visit New Zealand although there has been good numbers of New Zealander's travelling. Lockdown in Auckland affects the North with no one getting in or out of Auckland.							
Increase net profit on retail sales by 1.5% per year (profit increase on previous year)	1.8%	-0.1%	Retail sales net profit ≥1% increase on previous year	Percent net profit 2020/21	39.3%	42.8%	38.0%	46.6%	51.2%	43.8%	-3.0%
				Percent net profit 2019/20	43.9%	42.3%	47.8%	41.1%	39.2%	43.6%	
				Change in percent net profit	-4.6%	0.5%	-9.8%	5.5%	12.0%	0.2%	
				Q3 Performance Comments:							
				Retail has bounced back with New Zealanders purchasing lots of souvenirs and local products..							
Customer/Visitor satisfaction	1.642	0.9933	≥1% increase on previous year	Visitor satisfaction 2019/20	100	96	N/A	N/A	N/A	N/A	-1.4%
				Visitor satisfaction 2018/19	100	99	99	100	100	100	
				Percentage change %	0.0%	-2.8%	N/A	N/A	N/A	0	
				Q3 Performance Comments:							
				We are currently changing providers for the survey results. Once the changeover has been completed the monthly reporting will resume.							

Libraries

To provide quality library services for the benefit of all of the community

Performance Measure	2018/19 Result	2019-20 Result	2020-21 Target	Measures	Q1 Total Performance	Q2 Total Performance	Jan-20	Feb-20	Mar-20	Q3 Total Performance	YTD %
Customer/visitor satisfaction	94.50%	93.40%	≥ to previous year	Visitor satisfaction 2020/21	92.2%	97.2%	N/A	N/A	N/A	N/A	94.7%
				Q3 Performance Comments:							
				We are currently changing providers for the survey results. Once the changeover has been completed the monthly reporting will resume.							
Increase the percentage of online library service use	8.4% increase	25.9%	≥1% increase on previous year	Online hits 2020/21	229,537	157,856	57,955	52,289	59,763	170,007	74.9%
				Online hits 2019/20	109,531	94,781	36,328	37,518	40,527	114,373	
				Percentage change %	109.6%	66.5%	59.5%	39.4%	47.5%	48.6%	
				Q3 Performance Comments:							
				Increased range of databases and customer awareness has led to more use.							
Increase the total library membership relevant to the population of the District	42.50%	41.60%	≥ to previous year	Membership numbers	27,114	27,851	28379	28662	28935	28,935	41.8%
				District population	69,300	69,300	69,300	69,300	69,300	69,300	
				Percentage %	39.1%	40%	41.0%	41.4%	41.8%	41.8%	
				Q3 Performance Comments:							
				We have seen a high number of new members sign up to our districts libraries over summer.							

Environmental Management

Animal Control

To ensure animal related activities are managed in accordance with legislative requirements

Performance Measure	2018/19 Result	2019-20 Result	2020-21 Target	Measures	Q1 Total Performance	Q2 Total Performance	Jan-20	Feb-20	Mar-20	Q3 Total Performance	YTD %
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Respond to reported incidents by contacting customer and arranging next steps within the following timeframes:

Urgent within 2 hours	51.1%	94.3%	≥92%	No. responded within timeframe	192	130	55	44	58	157	95.8%
				Total incidences	196	135	64	45	60	169	
				%	98.0%	96.3%	85.9%	97.8%	96.7%	92.9%	
Non-urgent within 10 days	88.80%	95.90%	≥92%	No. responded within timeframe	817	704	237	238	270	745	93.6%
				Total incidences	830	759	298	249	285	832	
				%	98.4%	92.8%	79.5%	95.6%	94.7%	89.5%	

Environmental Health

To monitor food premises in accordance with the requirements of the Food Act, 2014.

Performance Measure	2018/19 Result	2019-20 Result	2020-21 Target	Measures	Q1 Total Performance	Q2 Total Performance	Jan-20	Feb-20	Mar-20	Q3 Total Performance	YTD %
Food Control Plan and National Programme audits completed as scheduled	93%	74.6%	≥95% of all food control plans and national programs assessed	No. completed as scheduled	112	88	2	19	34	55	91.4%
				Total scheduled	122	98	2	20	37	59	
				%	91.8%	89.8%	100.0%	95.0%	91.9%	93.2%	
				Q3 Performance Comments:							
				Food verifications do not take place during December to January each year, two verifications were scheduled in January 2021 at the operators request. The reason for one of these verifications taking place was due to the owner only operating during December to January, so a verification was scheduled and completed in January 2021. During February one verification was cancelled by the operator for medical reasons and has been rescheduled to take place in March. In March two audits were cancelled by the operator, these are being rescheduled and one not completed as the operator voluntarily surrendered their registration.							

Monitoring and Enforcement

To ensure compliance with Resource Management Act relating to noise pollution

Performance Measure	2018/19 Result	2019-20 Result	2020-21 Target	Measures	Q1 Total Performance	Q2 Total Performance	Jan-20	Feb-20	Mar-20	Q3 Total Performance	YTD %
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Respond to noise complaints within the following timeframes:

In urban areas: 1 hour	78.60%	74.4%	≥95% within set timeframe	No. responded within timeframe	188	249	92	70	66	228	77.6%
				Total incidences	238	323	122	83	91	296	
				%	79.0%	77.1%	75.4%	84.3%	72.5%	77.0%	
In rural areas: 2 hours	74.50%	85.7%	≥95% within set timeframe	No. responded within timeframe	33	50	15	9	5	29	83.0%
				Total incidences	42	59	19	9	6	34	
				%	78.6%	84.7%	78.9%	100.0%	83.3%	85.3%	

District Licensing

To license and monitor the sale of liquor in accordance with the Sale and Supply of Alcohol Act, 2012.

Performance Measure	2018/19 Result	2019-20 Result	2020-21 Target	Measures	Q1 Total Performance	Q2 Total Performance	Jan-20	Feb-20	Mar-20	Q3 Total Performance	YTD %
All licensed premises to be visited for Host Responsibility inspections at least once every four years.	22.8%	55.2%	≥25% of premises visited annually	No. premises visited	51	73	7	24	24	55	69.6%
				Total premises	260	257	257	257	257	257	
				%	19.6%	28.4%	2.7%	9.3%	9.3%	21.4%	
				Q3 Performance Comments:							
				The team have already exceeded the target of visiting more than 25% of total premises and on track to visit all licensed premises in the District.							

Resource Consent Management

To administer and enforce the Resource Management Act 1991.

Performance Measure	2018/19 Result	2019-20 Result	2020-21 Target	Measures	Q1 Total Performance	Q2 Total Performance	Jan-20	Feb-20	Mar-20	Q3 Total Performance	YTD %
Respond to compliance incidents within 10 working days	74%	75%	≥93%	No. responded within timeframe	75	66	22	34	25	81	94.5%
				Total incidences	75	75	22	36	27	85	
				%	100.0%	88.0%	100.0%	94.4%	92.6%	95.3%	
Process applications made under the Resource Management Act 1991 within statutory timeframes	57%	66%	≥95%	No. processed within timeframe	109	166	23	27	46	96	88.3%
				Total applications	130	183	23	33	51	107	
				%	83.8%	90.7%	100.0%	81.8%	90.2%	89.7%	
				Q3 Performance Comments:							
				A number of more complex consents were not able to be signed by delegated authority on time and/or Engineering input received late, causing the drop in performance in February and March.							

Building Consent Management

To comply with current legislative requirements with regards to processing building consent applications

Performance Measure	2018/19 Result	2019-20 Result	2020-21 Target	Measures	Q1 Total Performance	Q2 Total Performance	Jan-20	Feb-20	Mar-20	Q3 Total Performance	YTD %
Process building consents within statutory timeframes	48.8%	95.0%	≥95%	No. processed within timeframe	364	325	75	88	132	295	99.5%
				Total applications	367	325	75	88	134	297	
				%	99.2%	100.0%	100.0%	100.0%	98.5%	99.3%	

5.4 COUNCIL FINANCIAL REPORT FOR THE PERIOD ENDING 31 MARCH 2021**File Number:** A3156181**Author:** Angie Thomas, Manager - Accounting Services**Authoriser:** Jacine Warmington, General Manager - Corporate Services (Acting)**TE TAKE PŪRONGO / PURPOSE OF THE REPORT**

To provide an overview and information on the current financial position and performance of the Far North District Council as at 31 March 2021.

TE WHAKARĀPOPOTO MATUA / EXECUTIVE SUMMARY

This report provides a summary overview, Statement of Financial Performance, Capital Performance and Borrowing and Investment reports.

NGĀ TŪTOHUNGA / RECOMMENDATION

That the Assurance, Risk and Finance Committee receive the report Council Financial Report for the Period Ending 31 March 2021.

TE TĀHUHU KŌRERO / BACKGROUND

This report provides financial information as at 31 March 2021.

TE MATAPAKI ME NGĀ KŌWHIRINGA / DISCUSSION AND NEXT STEPS

The report is for information only.

NGĀ PĀNGA PŪTEA ME NGĀ WĀHANGA TAHUA / FINANCIAL IMPLICATIONS AND BUDGETARY PROVISION

There are no financial implications or budgetary provisions required as a result of this report.

NGĀ ĀPITIHINGA / ATTACHMENTS

1. Council Financial Report Mar 2021 (Pd9) - A3168723 [↓](#) 



Far North District Council

Council Financial Report

for the period ending **31-March-2021**

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Financial Overview

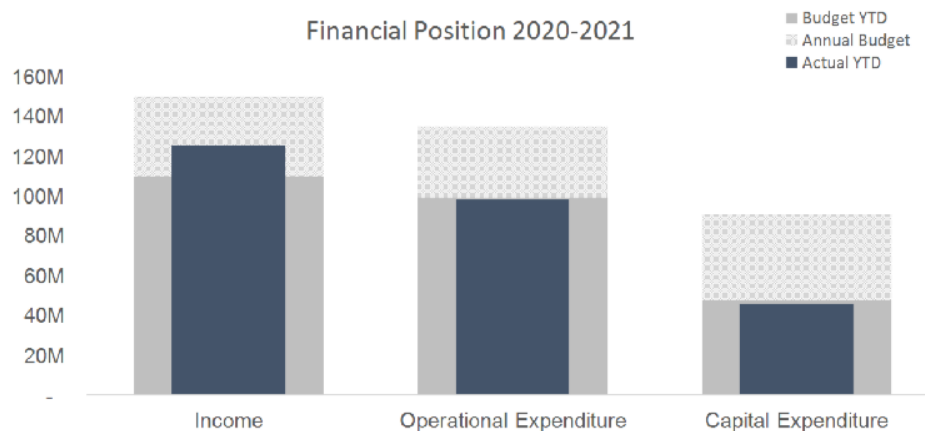
Key financial metrics from the Statement of Financial Performance for the Far North District Council as at 31-March-2021.

The overall performance of Council has continued as usual even though we have only just come out of the final drought level, post COVID-19 and the July flood event.

The organisation is refocusing their priorities in order to accommodate these situations so ongoing income and expenditure will be reviewed.

The commentary this month will only be by exception.

Overall, we had a Variance to Budget YTD movement of \$16.6M.



Year to Date

Actual Position as at 31-March-2021

	Actual YTD	Budget YTD	Variance to Budget YTD	% Variance Actual to Budget YTD
Total Income	125.7M	109.7M	15.9M	15%
Operational Expenditure	98.2M	98.9M	-0.7M	-1%
Net Operating Position	27.5M	10.9M	16.6M	153%
Capital Expenditure	45.7M	47.7M	-2.0M	-4%

Year End

Forecast Position as at 30-June-2021

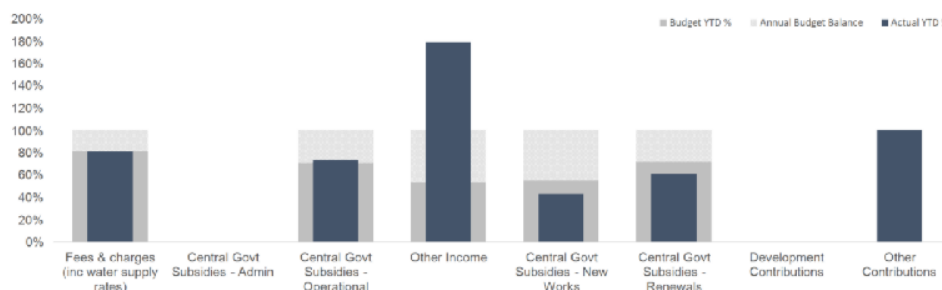
	Annual Forecast	Annual Budget	Forecast Variance to Budget	% Variance Forecast to Budget YTD
Total Income	176.2M	149.9M	26.3M	18%
Operational Expenditure	142.7M	135.0M	7.7M	6%
Net Operating Position	33.5M	14.9M	18.6M	125%
Capital Expenditure	105.2M	90.6M	14.6M	16%

**In the tables above and throughout this report, variances +/- 5% from budget are indicated as on track / green, anything outside this is red.*

Council Financial Performance – Income

Please note these figures relate to the Statement of Financial Performance controllable costs only, which excludes general rates and rates penalties.

Actual YTD	Budget YTD	Variance to Budget YTD	% Variance to Budget YTD	Annual Budget	Annual Forecast	Forecast Variance to Budget	% Forecast Variance to Budget
57.5M	41.0M	16.5M	40%	58.3M	84.6M	26.3M	31%



Highlights:

Fees & Charges (inc water supply rates)

- Due to the increase in local tourists to the district, income received from the Hokianga Ferry has steadily increased.

Central Govt Subsidies – Operational

- Unbudgeted Tourism Infrastructure Funds (TIF) have been received for the Waipapa Toilet capacity upgrade for the soakage field and the Waitangi Jetty Toilet capacity upgrade, both to commence in April.
- Unbudgeted Tourism Infrastructure Funds (TIF) have been received for the following projects, however, these are likely to carry over to the next financial year due to:
 - Boat ramp study – the final report is completed and at stage of submission to Ministry of Business, Innovation & Employment (MBIE).
 - Freedom camping study – infrastructure requirements are being priced and the final draft report is in progress to the Ministry of Business, Innovation & Employment (MBIE).
 - Stone Store Lighting project – a contractor has been appointed for the electrical work and yet to be scheduled to commence works. Also, construction design is underway and is likely to commence July 2021 due to contractor availability and Heritage New Zealand Pouhere Taonga preferences.
 - Taipa tree protection – this has been completed to ensure the protection of the pohutukawa tree roots from damage at the Taipa Beach Reserve.
 - Paihia toilet enhancement project – drainage issues has now been resolved and shower now installed.

Other Income

- Unbudgeted income received from an insurance claim for the damage to the Pakaraka stock effluent facility in September 2020.
- Unbudgeted funds received from the Ministry of Business, Innovation & Employment (MBIE) for flood hazard mapping work and Department of Internal Affairs (DIA) funds received for the Three Waters Services Reforms for planned projects works.
- Planned Provincial Growth Funds (PGF) have been received for the Lake Omapere de-mobilisation.
- Planned Provincial Growth Funds (PGF) have been received to support road seal projects at Ruapekapeka, Ngapipito and Peria Road.
- Ministry of Business, Innovation & Employment (MBIE) grant received under the maintaining the quality of great rides fund for the Twin Cost Cycletrail.
- Unbudgeted grant has been received for the July 2020 Flood program for the vegetation clearance and clean-up from the Ministry of Business, Innovation & Employment (MBIE).
- The dividend payment from Far North Holdings (FNHL) has been partly paid in March 2021.

Central Govt Subsidies – New Works

- Stage 2 of the Panguru Road raising has commenced and is funded by Northland Regional Council (NRC) and Ministry of Business, Innovation & Employment (MBIE).
- The Infill Lighting project is behind schedule due to lengthy negotiations and approval of the tender phase; however, this will be completed by the end of June 2021.
- Subsidy for ongoing minor safety & improvements projects from last financial year for bridges at Otua Rd which is near completion, West Coast Rd is slightly behind due to a power pole being relocated and associated works across the district now completed.
- Ongoing unbudgeted Tourism Infrastructure Funds (TIF) received from Ministry of Business, Innovation & Employment (MBIE) for the construction of public toilets at Opononi, Mitimiti, Waitangi boat ramp and Haruru Falls bush walk.
- Unbudgeted Tourism Infrastructure Funds (TIF) grant received for the Waitangi Jetty Toilet capacity upgrade and Cable Bay Carparks and Hundertwasser carpark lighting projects.
- Unbudgeted subsidy received from Waka Kotahi (NZTA) for the Te Hiku Community Board footpath project North Park Drive to Whangatane Drive, Kaitaia, Ahipara Foreshore Road to Tasman Heights, Foreshore Road Toilets to Panorama Lane, Matthews Avenue, Dominion road, SH1 Harbour View road to a private access, Donald Lane, Mill Bay Road.
- Unbudgeted subsidy received from Waka Kotahi (NZTA) for the Bay of Islands – Whangaroa Community Board footpath project Pa Road, Kaipatiki Road to York Road, Te Tau Road to Matauri Bay School Link and the pedestrian bridge at Kaeo.
- Unbudgeted subsidy received from Waka Kotahi (NZTA) for the Kaikohe-Hokianga community Board projects at Horeke Road to Cemetery Okaihau, Kohukohu Road Manning to Mariner, Taumatawiwi Street Opononi, Taheke Road to Orrs Road, Lake Road Okaihau.

- Unbudgeted subsidy received from Waka Kotahi (NZTA) for the shared path walking and cycling project along State Highway 1, Kawakawa.

Central Govt Subsidies – Renewals

- Sealed road resurfacing and rehabilitation contractors are now back on track with all subsidies now claimed for the year.
- Rehabilitation works, there is only 1 more site to be completed for the North and South contracts and is anticipated to be completed in April with savings to cover the overspend in the sealed Road Surfacing area.
- Safety improvement for Pedestrian and Cycling (Traffic Calming) Improvements, roadside barriers/guardrails and associated improvements, audible tactile profile/structural road markings, bridge and resilience projects across the district has commenced and expect to be completed by the end of the financial year.
- Offset by, subsidy now received from Waka Kotahi (NZTA) for the August 2019 emergency works for which tenders has come under budget due to competitive pricing and additional funds received for the July 2020 storm events.
- Unsealed Road Metalling is ahead of schedule due to the suitable weather conditions before the summer season.

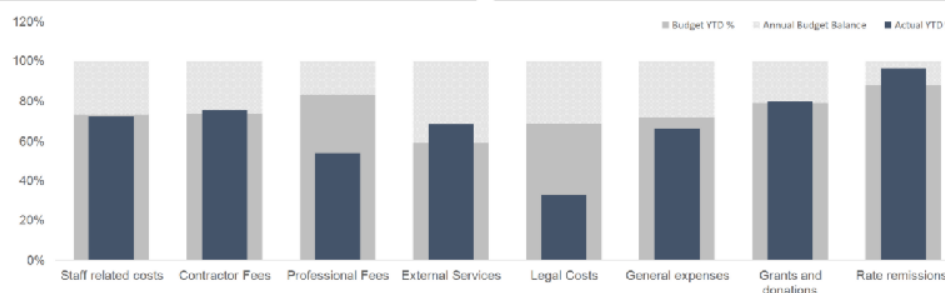
Other Contributions

- Provincial Growth Funds (PGF) received for projects Kerikeri Domain, Waipapa Sports Hub and Te Hiku o te Ika Kaitaia Revitalisation.
- Ministry of Business, Innovation & Employment (MBIE) received for the Southern Animal Welfare Facility.
- Department of Internal Affairs (DIA) funding has been received for the 3 Waters Services Reform project.
- Ministry of Business, Innovation & Employment (MBIE) grant funds received for the Te Tai Tokerau Worker Redeployment scheme.
- Planned Provincial Growth Funds (PGF) capital grant received for road seal projects at Ruapekapeka. Ngapipito and Peria Road.
- Grant received from the Ministry of Business, Innovation & Enterprise relating to the July 2020 storm event for drainage works at Moerewa and District wide.

Council Financial Performance – Operational Expenditure

Please note these figures relate to the Statement of Financial Performance controllable costs only, which excludes allocations, interest costs, depreciation and other asset costs and gain/loss on disposal.

Actual YTD	Budget YTD	Variance to Budget YTD	% Variance to Budget YTD	Annual Budget	Annual Forecast	Forecast Variance to Budget	% Forecast Variance to Budget
69.9M	71.6M	1.7M	-2%	98.7M	106.3M	7.7M	7%



Highlights:

Contractor Fees

- Sealed Pavement maintenance works in the southern area is behind budget due to contractor lack of resources. NTA has put the contractor on notice and are confident this will be sorted in due course and confident the program will be delivered by the end of the financial year. Works has started to pick up now with the resource issue slowly being addressed by the contractor and all geared up to fully spend the budget by end of June 2021.
- This has been offset by an overspend in contract professional fees relating to Programme Darwin. A contractor has been engaged to fill a position that would normally be undertaken by a staff member.
- Favourable variance recorded in Unsealed pavement maintenance, Routine drainage maintenance and Structures maintenance for the North and South areas with works being re-prioritised to Environmental maintenance and Traffic Services maintenance.
- There is a variance related to both a timing issue with budget phasing and increased Ventia Limited expenditure to date in the areas of labour, materials and sub-contractors relating to the July 2020 storm event for response and recovery, high volumes of reactive work driven by Requests for Service (RFS) and an aging fleet. Through careful budget management, these will be monitored in the remaining months.

Professional Fees

- A number of consultants have not yet been engaged across the organisation.

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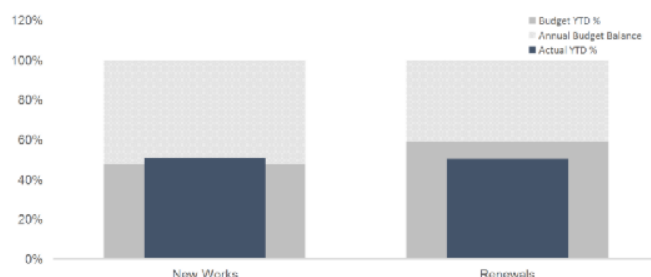
General Expenses

General expenses are behind budget across the whole of the organisation.

Council Financial Performance – Capital Expenditure

These figures are direct from the Statement of Capital Performance.

Actual YTD	Budget YTD	Variance to Budget YTD	% Variance to Budget YTD	Annual Budget	Annual Forecast	Forecast Variance to Budget	% Forecast Variance to Budget
45.7M	47.7M	2.0M	-4%	90.6M	105.2M	14.6M	14%



Highlights:

New Works

- Kerikeri Wastewater Treatment Plant is over budget, a reconciliation of the whole of project is in progress to finalise an end of year position. Construction is now complete with the final adjustments to the dewatering plant and some operational issues outstanding.
- The Paihia Treatment Plant Improvements project is under budget, there has been a regression due to chemical dosing requirements.
- District wide sludge management is under budget. Sludge work has been delayed due to lack of resourcing and COVID-19. Work is ongoing and commitments have been raised.
- Panguru Rd raising project stage 2 has now commenced and is funded by Northland Regional Council (NRC) and the Ministry of Business, Innovation & Enterprise (MBIE), offset by the Infill Lighting project which is behind programme due to lengthy negotiations and approval of the tender phase, however, works has now commenced and is expected to be completed by end of the financial year.
- Pungaere Road project has experienced some delays in the investigation and design as a result of negotiations with a resident over drainage issues, a managed cattle underpass is to be installed before road construction commences, however, works onsite has progressed well with the completion of the full pavement overlay. Sealing has started and will be completed in April subject to weather conditions.
- Ongoing subsidy received from Waka Kotahi (NZTA) for a number of footpath projects in each ward.
- Kaitia New Source (Sweetwater) is behind budget for a number of reasons but funds are fully committed. Due to the delay in the contract being awarded due to Easements not being secured.
- The Monument Hill project has been delayed by a month due to a crack in the casing and repairs are required. Stage II testing for the sustainable yield and consenting was to be completed in March, this will determine the outcome of Stage III of the reticulation and electrical design.

- Unbudgeted purchase of the Kaitaia Warehouse property in support of the Te Hiku revitalisation project.
- Ongoing unbudgeted Tourism Infrastructure Funds (TIF) received from Ministry of Business, Innovation & Employment (MBIE) for the construction of public toilets at Opononi, Mitimiti, Waitangi boat ramp and Haruru Falls bush walk.
 - Mitimiti has been completed.
 - Other projects were delayed. Construction commenced in November 2020 at the Opononi I-Site public toilets.
 - Consent for the Waitangi boat ramp public toilets has been approved and the tender process has commenced.
 - Tender has been awarded for the Haruru Falls public toilets after changing the scope and design to include more natural light as the cost of getting the power to the site was too excessive.
- The Centennial/Jaycee Park project works for construction of the basketball court and footpath completed in February 2021. Planting works are expected to commence in April after finalising the award of the contract. Amenity lighting works has been awarded, stage II of this project work to commence in May/June.

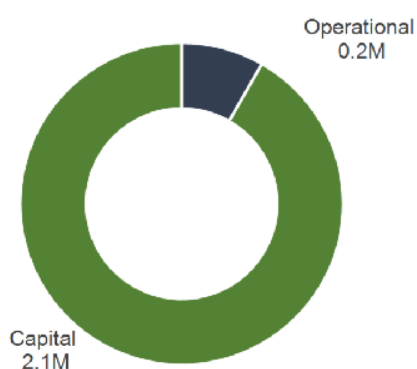
Renewals

- Sealed road resurfacing and rehabilitation contractors are now back on track with all subsidies now claimed for the year.
- Rehabilitation works, there is only 1 more site to be completed for the North and South contracts and is anticipated to be completed in April with savings to cover the overspend in the sealed Road Surfacing area.
- Safety improvement for Pedestrian and Cycling (Traffic Calming) Improvements, roadside barriers/guardrails and associated improvements, audible tactile profile/structural road markings, bridge and resilience projects across the district has commenced and expect to be completed by the end of the financial year.
- Offset by, subsidy now received from Waka Kotahi (NZTA) for the August 2019 emergency works for which tenders has come under budget due to competitive pricing and additional funds received for the July 2020 storm events.
- Unsealed Road Metalling is ahead of schedule due to the suitable weather conditions before the summer season.
- Moerewa parks & reserves lighting at Simpson Park is behind due to delays with getting approval to award the contract, however, this is due to start in April.

Unbudgeted Expenditure

These are additional works not included in the original budget for the current year.

Unbudgeted work greater than \$100,000 must be approved by Council, anything less than that can be approved by a General Manager with appropriate financial delegation.



Unbudgeted Expenditure

**Expenditure over \$100K approved*

Unbudgeted Operational		Amount
Water - 3 Waters Reform	CAPEX New Works Contract Services	1,184,000
Water - 3 Waters Reform	CAPEX New Works Contract Services	500,000
Facilities operations - not buildings	Professional Fees	150,000
Water - 3 Waters Reform	CAPEX New Works Contract Services	150,000
Water - 3 Waters Reform	CAPEX New Works Contract Services	100,000
Water - 3 Waters Reform	CAPEX New Works Contract Services	100,000
Water - 3 Waters Reform	CAPEX New Works Contract Services	70,000
Maritime Facilities	External Services	30,000
Public Toilets	Repairs & Maintenance Buildings	6,400
Water Schemes	CAPEX New Works Contract Services	-70,000
Water Schemes	CAPEX New Works Contract Services	-100,000
Water Schemes	CAPEX New Works Contract Services	-100,000
Water Schemes	CAPEX New Works Contract Services	-150,000
Water Schemes	CAPEX New Works Contract Services	-500,000
Water Schemes	CAPEX New Works Contract Services	-1,184,000
		186,400

Unbudgeted Capital Works		Amount
Te Hiku o te Ika - PGF	CAPEX New Works Contract Services	7,000,000
Kerikeri Domain - PGF	CAPEX New Works Contract Services	3,000,000
Waipapa Sports Hub - PGF	CAPEX New Works Contract Services	2,000,000
Hokianga Harbour Coastal Repairs	CAPEX New Works Contract Services	1,815,000
Kaitaia New Source (Sweetwater) - 3	3 Waters Reform - CAPEX New Works	1,754,000
Monument Hill Drought Impact - 3	3 Waters Reform - CAPEX New Works	1,184,000
Dog Pound Southern	CAPEX New Works Contract Services	1,000,000
Lake Omapere (PGF)	External Services	500,000
Kerikeri WTP New Clarifiers - 3 Waters	3 Waters Reform - CAPEX New Works	500,000
Water main renewals - 3 Waters	3 Waters Reform - CAPEX New Works	330,000
Windsor Landing Carpark and Access	CAPEX New Works Contract Services	291,195
Network model updates - Stormwater	3 Waters Reform - Professional Fees	250,000
Network model updates - Wastewater	3 Waters Reform - Professional Fees	250,000
Network model updates - Water - 3	3 Waters Reform - Professional Fees	250,000
Omapere Freese Park	Professional Fees	200,000
Enhanced water leak repairs - 3	3 Waters Reform - Professional Fees	200,000
Ex res chlorine measurements - 3	3 Waters Reform - CAPEX New Works	200,000
Hazard Mapping	External Services	178,000
Awanui River Intake Permanent Weir -	3 Waters Reform - CAPEX New Works	150,000
Kotui Library Licence/Subscription	Software Licence Fees	137,863
WWTP Wetland remedial works - 3	3 Waters Reform - Professional Fees	130,000
Water Safety Plan updates - 3 Waters	3 Waters Reform - Professional Fees	130,000
Houhora WWTP	CAPEX New Works Contract Services	112,000
Rangitane Maritime Boat Ramp	CAPEX Renewal Works Contract	111,925
Structural works Kawakawa WTP	CAPEX New Works Contract Services	109,051
Paihia WTP Self-Cleaning Screen - 3	3 Waters Reform - CAPEX New Works	100,000
District Wide Leak Detection Equipment -	3 Waters Reform - CAPEX New Works	100,000
Okaihau Bore Refurbishment - 3 Waters	3 Waters Reform - CAPEX New Works	100,000
Hundertwasser toilet upgrade	CAPEX Renewal Works Contract Services	82,000
Kawakawa Water Take Consent - 3	3 Waters Reform - CAPEX New Works	70,000
MBIE Flood Program - Kaeo Service	External Services	50,000
MBIE Flood Program - Kaeo Car Park	External Services	50,000
MBIE Flood Program - Kaka Street	External Services	50,000
MBIE Flood Program - Kaitaia Cemetery	External Services	50,000
MBIE Flood Program - Omapere and	External Services	50,000
Water Safety Lead - 3 Waters Reform	3 Waters Reform - OPEX Salaries	50,000
East Coast PS Bush Point Rd	CAPEX New Works Contract Services	49,942
Kawakawa WTP Roof Replacement	CAPEX New Works Contract Services	47,366
MBIE Flood Program - Pah Road	External Services	40,000
Kaikohe Streetscape Project	CAPEX New Works Contract Services	40,000
East Coast PS Leslie Rd	CAPEX New Works Contract Services	38,000
Kerikeri Wastewater Infrastructure	CAPEX New Works Contract Services	31,836
MBIE Flood Program - Kawakawa	External Services	30,000

MBIE Flood Program - Wharau Road	External Services	30,000
MBIE Flood Program - Puckey Ave HFTE	External Services	30,000
MBIE Flood Program - Moerewa Illegal	External Services	30,000
MBIE Flood Program - Ahipara	External Services	25,000
Regional Allocation - Wastewater - 3	3 Waters Reform - Professional Fees	24,000
Regional Allocation - Stormwater - 3	3 Waters Reform - Professional Fees	23,000
Regional Allocation - Water - 3 Waters	3 Waters Reform - Professional Fees	23,000
60 Peninsula Parade Hihi Sewer	CAPEX New Works Contract Services	22,387
MBIE Flood Program - Opua-Paihia	External Services	20,000
MBIE Flood Program - Jacks Bay	External Services	20,000
MBIE Flood Program - Paihia Beach	External Services	20,000
MBIE Flood Program - Hihi Beach	External Services	20,000
Network Model review lead -	3 Waters Reform - Professional Fees	17,000
Network Model review lead - Wastewater	3 Waters Reform - Professional Fees	16,500
Network Model review lead - Water - 3	3 Waters Reform - Professional Fees	16,500
MBIE Flood Program - Te Wahapu	External Services	15,000
MBIE Flood Program - Paihia Seaview	External Services	15,000
Opononi/Omapere WTP pH Treatment	CAPEX New Works Contract Services	15,000
Kerikeri Wastewater Infrastructure	Equipment Purchases (uncapitalisable)	13,827
Mitimiti Toilet (TIF)	CAPEX New Works Contract Services	13,000
Proof of concept - new ways of working	External Services	12,788
Te Hononga CCTV - Hundertwasser	CAPEX New Works Contract Services	12,000
Rawene Housing for the Elderly	CAPEX Renewal Works Contract Services	11,836
Operational Data Management Software	3 Waters Reform - Professional Fees	10,000
Operational Data Management Software	3 Waters Reform - Professional Fees	10,000
Operational Data Management Software	3 Waters Reform - Professional Fees	10,000
Rawene Hall	CAPEX Renewal Works Contract Services	4,110
MBIE Flood Program - Ahipara Refuse	External Services	2,500
MBIE Flood Program - Moerewa	External Services	1,435
MBIE Flood Program - Pawarenga	External Services	1,000
MBIE Flood Program - Totara North	External Services	800
MBIE Flood Program - Totara North	Grants Operational	-800
MBIE Flood Program - Pawarenga	Grants Operational	-1,000
MBIE Flood Program - Moerewa	Grants Operational	-1,435
MBIE Flood Program - Ahipara Refuse	Grants Operational	-2,500
Operational Data Management Software	Grants Operational	-10,000
Operational Data Management Software	Grants Operational	-10,000
Operational Data Management Software	Grants Operational	-10,000
MBIE Flood Program - Te Wahapu	Grants Operational	-15,000
MBIE Flood Program - Paihia Seaview	Grants Operational	-15,000
Network Model review lead - Wastewater	Grants Operational	-16,500
Network Model review lead - Water - 3	Grants Operational	-16,500
Network Model review lead -	Grants Operational	-17,000
MBIE Flood Program - Opua-Paihia	Grants Operational	-20,000
MBIE Flood Program - Jacks Bay	Grants Operational	-20,000

MBIE Flood Program - Paihia Beach	Grants Operational	-20,000
MBIE Flood Program - Hihi Beach	Grants Operational	-20,000
Regional Allocation - Stormwater - 3	Grants Operational	-23,000
Regional Allocation - Water - 3 Waters	Grants Operational	-23,000
Regional Allocation - Wastewater - 3	Grants Operational	-24,000
MBIE Flood Program - Ahipara	Grants Operational	-25,000
MBIE Flood Program - Kawakawa	Grants Operational	-30,000
MBIE Flood Program - Wharau Road	Grants Operational	-30,000
MBIE Flood Program - Puckey Ave HFTE	Grants Operational	-30,000
MBIE Flood Program - Moerewa Illegal	Grants Operational	-30,000
MBIE Flood Program - Pah Road	Grants Operational	-40,000
MBIE Flood Program - Kaeo Service	Grants Operational	-50,000
MBIE Flood Program - Kaeo Car Park	Grants Operational	-50,000
MBIE Flood Program - Kaka Street	Grants Operational	-50,000
MBIE Flood Program - Kaitia Cemetery	Grants Operational	-50,000
MBIE Flood Program - Omapere and	Grants Operational	-50,000
Water Safety Lead - 3 Waters Reform	Grants Operational	-50,000
Kawakawa Water Take Consent - 3	Grants Capital	-70,000
Paihia WTP Self-Cleaning Screen - 3	Grants Capital	-100,000
District Wide Leak Detection Equipment -	Grants Capital	-100,000
Okaihau Bore Refurbishment - 3 Waters	Grants Capital	-100,000
WWTP Wetland remedial works - 3	Grants Operational	-130,000
Water Safety Plan updates - 3 Waters	Grants Operational	-130,000
Awanui River Intake Permanent Weir - 3	Grants Capital	-150,000
Hazard Mapping	Grants Operational	-178,000
Enhanced water leak repairs - 3 Waters	Grants Operational	-200,000
Ex res chlorine measurements - 3	Grants Capital	-200,000
Network model updates - Stormwater - 3	Grants Operational	-250,000
Network model updates - Wastewater - 3	Grants Operational	-250,000
Network model updates - Water - 3	Grants Operational	-250,000
Water main renewals - 3 Waters Reform	Grants Capital	-330,000
Lake Omapere (PGF)	Grants Operational	-500,000
Kerikeri WTP New Clarifiers - 3 Waters	Grants Capital	-500,000
Dog Pound Southern	Grants Capital	-1,000,000
Monument Hill Drought Impact - 3	Grants Capital	-1,184,000
Kaitia New Source (Sweetwater) - 3	Grants Capital	-1,754,000
Hokianga Harbour Coastal Repairs	Subsidy New Works	-1,815,000
Waipapa Sports Hub - PGF	Grants Capital	-2,000,000
Kerikeri Domain - PGF	Grants Capital	-3,000,000
Te Hiku o te Ika - PGF	Grants Capital	-7,000,000
		1,356,126

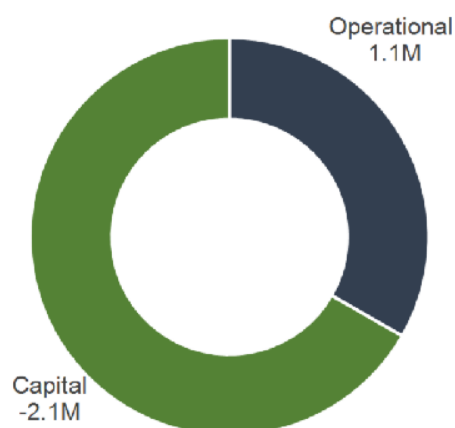
Unbudgeted Rounding		Amount
Ngapipito Road - PGF	CAPEX New Works Contract Services	6,850,000
Peria Road - PGF	CAPEX New Works Contract Services	6,446,000

Ruaapekapeka Road - PGF	CAPEX New Works Contract Services	6,133,000
District Wide Storm Response &	CAPEX Renewal Works Contract	699,529
Kawakawa Safety and Streetscape	External Services	474,375
Peria Road - PGF	CAPEX New Works Professional Fees	400,000
District Wide Storm Response &	External Services	250,000
Peria Road - PGF	External Services	204,000
Ruaapekapeka Road - PGF	CAPEX New Works Professional Fees	200,000
Ngapipito Road - PGF	CAPEX New Works Professional Fees	140,000
Moerewa Safe Streets - Innovating	External Services	126,500
Ruaapekapeka Road - PGF	External Services	117,000
Tai Tokerau Kaikohe Safe Streets -	External Services	111,550
Ngapipito Road - PGF	External Services	60,000
Ruaapekapeka Road - PGF	Professional Fees PSU New Works	50,000
Ngapipito Road - PGF	Professional Fees PSU New Works	50,000
Peria Road - PGF	Professional Fees PSU New Works	50,000
Moerewa Drainage Works - MBIE	CAPEX Renewal Works Contract Services	29,187
Moerewa Drainage Works - MBIE	External Services	20,914
Moerewa Drainage Works - MBIE	Grants Operational	-20,914
Moerewa Drainage Works - MBIE	Grants Capital	-29,187
Ngapipito Road - PGF	Grants Operational	-60,000
Ruaapekapeka Road - PGF	Grants Operational	-117,000
Peria Road - PGF	Grants Operational	-204,000
District Wide Storm Response &	Grants Operational	-250,000
District Wide Storm Response &	Grants Capital	-699,529
Ruaapekapeka Road - PGF	Grants Capital	-6,383,000
Peria Road - PGF	Grants Capital	-6,896,000
Ngapipito Road - PGF	Grants Capital	-7,040,000
		712,425
		2,254,951

Budget Movements

These are budgets timed in future years, brought forward into the current year (positive values) OR budgets timed in the current year to be moved out to future years (negative values).

The figures that follow exclude the \$5M Roothing budget adjustment moved out to future years to reflect the lower of FNDC or NZTA budget.



Budget Movements

General Ledger	Comment	Amount
Infrastructure & Asset Management Operations	TIF funding applications wrongly classified as Capex in EB	1,100,000
Pou Herenga Tai Cycle Trail NZ Heritage	Cycletrail MBIE grant July 2020 storm event	241,000
Community Board Operations	Opex budget savings 2020-2021 Corporate	-349
Internal Control & Risk Management	Opex budget savings 2020-2021 Corporate	-2,000
Community Board Operations	Opex budget savings 2020-2021 Corporate	-5,000
Community Board Operations	Opex budget savings 2020-2021 Corporate	-5,000
Council Advisory Services	Opex budget savings 2020-2021 Corporate	-5,220
Internal Control & Risk Management	Opex budget savings 2020-2021 Corporate	-12,000
Pou Herenga Tai Cycle Trail NZ Heritage	Cycletrail MBIE grant July 2020 storm event	-241,000
		1,070,431

Project Ledger	Comment	Amount
Kaikohe Footpath Signal Stn Rd, Omapere - MBIE	New footpath redeployment package MBIE shovel ready funds 2020-21	300,700

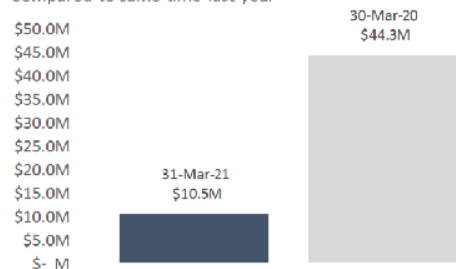
Footpaths Northern Ward	Reforecast NZTA Subsidy to gross up for CB New Footpath projects	205,573
Hokianga Harbour Coastal Repairs	Hokianga Harbour Coastal Repairs Correction of budget & forecast	200,000
Tree Management Eastern Ward	Te Tai Tokerau Worker Redeployment Package for Vegetation Clearance & Clean Ups	150,000
Length of Blacks Road - MBIE	New footpath redeployment package MBIE shovel ready funds 2020-21	110,000
Footpaths Eastern Ward	Reforecast NZTA Subsidy to gross up for CB New Footpath projects	105,073
Footpaths Western Ward	Reforecast NZTA Subsidy to gross up for CB New Footpath projects	105,073
RFID Installation	RFID Budget Brought Forward	90,000
Donald Ln to WINZ on N Park Drive - MBIE	New footpath redeployment package MBIE shovel ready funds 2020-21	80,000
IT Online Services Stage 3	Pathway Online Services funds from future year 2021-22 required	70,330
Foreshore Road, Taipa Footpath - MBIE	New footpath redeployment package MBIE shovel ready funds 2020-21	70,000
Ward Wide Town Beautification / Improvements Western	Ward Wide Town Western Beautification / Improvements	52,275
Point Road, Taipa - MBIE	New footpath redeployment package MBIE shovel ready funds 2020-21	40,000
Jaycee Park/Centennial Park	Jaycee Park/Centennial Park Planting budget forecast from CB grant	38,719
Disability Access Halls Western	Budget Movement Disability Access Hall Western - LOS	28,320
Tree Management Northern Ward	Te Tai Tokerau Worker Redeployment Package for Vegetation Clearance & Clean Ups	25,000
Tree Management Western Ward	Te Tai Tokerau Worker Redeployment Package for Vegetation Clearance & Clean Ups	25,000
Mamaru Road Footpath - MBIE	New footpath redeployment package MBIE shovel ready funds 2020-21	20,000
Rawene Housing for the Elderly	Rawene HFTE Unit3 building structural & plumbing fixtures renewal	15,753
Rawene Hall	Budget Movement Rawene Hall Deck Repairs -	8,250
Punguru Transfer Station	Punguru Transfer Station Sealing - Renewals	4,698
Russell Chapel Street Carpark	Russell Chapel Street Carpark Remove budget now project	-2,245
Parks & Reserves Western	P&R Western Assets moving out of future	-3,251
Water Saving Devices for Russell public	Budget not required this FY Move to 2024-25	-5,000
Whangaroa Hall Renewals	Whangaroa Hall Renewals Savings - advised by PNewman	-10,487
Kaitia Stormwater Minor Works	Capex Reforecast 3-Waters	-15,683
Mamaru Road Footpath - MBIE	New footpath redeployment package MBIE shovel ready funds 2020-21	-20,000
Tree Management Northern Ward	Te Tai Tokerau Worker Redeployment Package for Vegetation Clearance & Clean Ups	-25,000
Tree Management Western Ward	Te Tai Tokerau Worker Redeployment Package for Vegetation Clearance & Clean Ups	-25,000
Mains replacement Kaitia	Capex Reforecast 3-Waters	-31,861

Parks & Reserves Western	P&R Western Assets moving out of future	-32,511
Point Road, Taipa - MBIE	New footpath redeployment package MBIE shovel ready funds 2020-21	-40,000
Water Saving Devices for Russell public	Budget not required this FY Move to 2024-25	-50,000
Foreshore Road, Taipa Footpath - MBIE	New footpath redeployment package MBIE shovel ready funds 2020-21	-70,000
Donald Ln to WINZ on N Park Drive - MBIE	New footpath redeployment package MBIE shovel ready funds 2020-21	-80,000
Opononi Waiotemarama Source Upgrade	Capex Reforecast 3-Waters	-97,128
Length of Blacks Road - MBIE	New footpath redeployment package MBIE shovel ready funds 2020-21	-110,000
Russell Chapel Street Carpark	Russell Chapel Street Carpark Remove budget now project	-122,451
Tree Management Eastern Ward	Te Tai Tokerau Worker Redeployment Package for Vegetation Clearance & Clean Ups	-150,000
Kaitia Stormwater Minor Works	Capex Reforecast 3-Waters	-156,826
Footpaths Eastern Ward	Reforecast NZTA Subsidy to gross up for CB New Footpath projects	-175,473
Footpaths Western Ward	Reforecast NZTA Subsidy to gross up for CB New Footpath projects	-175,473
Maritime - Improvement to Structures	Hokianga Harbour Coastal Repairs Correction of budget & forecast	-200,000
Kaikohe HQ Building (Roof) Renewals	Kaikohe HQ Building (Roof) Renewals Savings requested as per Feb Capex Rpt	-250,000
Kerikeri Rugby Pavilion	Kerikeri Rugby Pavilion Savings - advised by	-296,230
Kaikohe Footpath Signal Stn Rd, Omapere - MBIE	New footpath redeployment package MBIE shovel ready funds 2020-21	-300,700
Footpaths Northern Ward	Reforecast NZTA Subsidy to gross up for CB New Footpath projects	-343,308
TIF Funding Application	TIF funding applications wrongly classified as Capex in EB	-1,100,000
		-2,143,859
		<u>-1,073,428</u>

Treasury Report

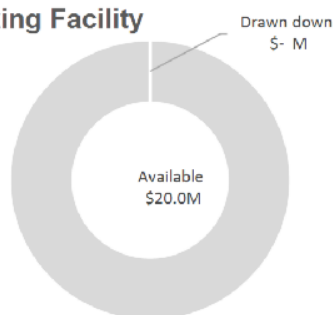
Cash Position

Compared to same time last year



	31-Mar-21	30-Mar-20
ASB General Fund	\$ 5.4M	\$ 19.2M
ASB Special Funds	\$ 5.1M	\$ 5.1M
Investments	\$ - M	\$ 20.0M
Total Cash	\$ 10.5M	\$ 44.3M

Banking Facility



Banking Facility	\$ 20.0M
Drawn down	\$ - M
Available	\$ 20.0M

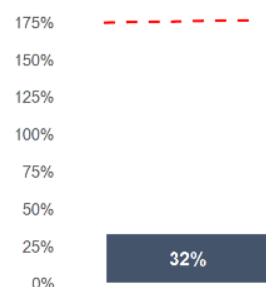
Public Debt

Loans by Maturity Date



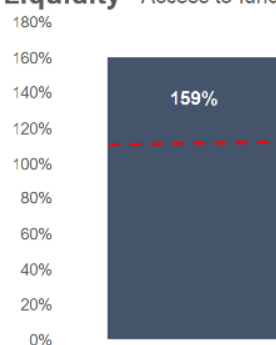
Treasury Compliance

Net Debt as a % of Revenue must be less than 175%



Net Debt	\$ 46.0M
Budgeted Total income	\$ 141.7M
Debt Ceiling	\$ 247.9M
Net debt as % total revenue	32%
Policy Maximum	143%

Liquidity - Access to funds must be greater than 110%



External Debt	\$ 56.5M
ASB Banking Facility	\$ 20.0M
ASB Banking Facility used	\$ - M
Total Committed Public Debt	\$ 76.5M
Liquid Investments Cash at Bank	\$ 10.5M
Liquid Investments ASB Overdraft Facility	\$ 3.0M
	\$ 90.0M
Access to Funds	159%
Policy Minimum	110%

Note: Total revenue is based on 2020/21 total forecast income excluding non government capital contributions (eg. developer contributions and vested assets).

Liquidity is defined as external debt + committed loan facilities + liquid investments, including bank overdraft facility, divided by existing external debt.

Statement of Financial Performance

for the period ending Mar 2021 (Pd9)

	Year To Date (\$000's)			Full Year (\$000's)						
	YTD Actual	Total Budget YTD	Variance	LTP Budget	Budget Brought Forward	Total Annual Budget	Actual vs Budget Variance	Actual vs Budget %	Total Annual Forecast	Forecast vs Budget Variance
Operational Income										
Rates - general (excl water supply rates)	67,259	67,144 -	115	89,525	-	89,525	22,267	75%	89,525	-
Rates - penalties	872	1,555	683	2,073	-	2,073	1,201	42%	2,073	-
Fees & charges (inc water supply rates)	13,783	13,887	104	17,059	-	17,059	3,276	81%	17,132	73
Central Govt Subsidies - Admin	-	-	-	-	-	-	-	0%	-	-
Central Govt Subsidies - Operational	7,955	7,658 -	297	10,276	550	10,825	2,870	73%	11,501	676
Other Income	6,593	1,956 -	4,636	3,686	-	3,686 -	2,906	179%	7,780	4,093
Capital Income										
Central Govt Subsidies - New Works	4,014	5,103	1,089	6,124	3,230	9,354	5,340	43%	11,734	2,380
Central Govt Subsidies - Renewals	10,558	12,442	1,884	15,051	2,327	17,378	6,820	61%	15,419 -	1,959
Development Contributions	-	-	-	-	-	-	-	0%	-	-
Other Contributions	14,625	- -	14,625	-	-	- -	14,625	100%	21,018	21,018
Total Operating Income	125,658	109,745 -	15,914	143,794	6,107	149,901	24,243	84%	176,183	26,282
Operational Expenditure										
Staff related costs	23,573	23,825	253	32,633	-	32,633	9,061	72%	32,609	24
Contractor Fees	21,655	21,118 -	537	28,719	-	28,719	7,064	75%	29,345	626
Professional Fees	4,040	6,255	2,215	7,515	-	7,515	3,474	54%	9,436	1,922
External Services	7,188	6,182 -	1,006	9,217	1,319	10,536	3,348	68%	14,074	3,539
Legal Costs	222	466	243	682	-	682	460	33%	687	4
General expenses	9,717	10,479	762	14,681	-	14,681	4,964	66%	16,258	1,577
Grants and donations	1,311	1,302 -	9	1,624	22	1,647	336	80%	1,677	30
Rate remissions	2,170	1,982 -	188	2,257	-	2,257	86	96%	2,257	-
Allocations (direct and indirect)	-	0	0	0	-	0 -	0	0%	0	-
Interest costs	1,028	1,288	260	1,715	-	1,715	889	60%	1,715	-
Sub total	70,902	72,896	1,994	99,042	1,342	100,384	29,482	71%	108,058	7,674
Depreciation and other asset costs	25,726	25,984	258	34,645	-	34,645	8,919	74%	34,645	-
Gain/Loss on Disposal	1,574	- -	1,574	-	-	- -	1,574	100%	-	-
Total Operational Expenditure	98,184	98,880	696	133,687	1,342	135,029	36,845	73%	142,703	7,674
Net Operating Surplus	27,474	10,865	16,610	10,107	4,765	14,872 -	12,502		33,480	18,608

Statement of Capital Performance

for the period ending Mar 2021 (Pd9)

	Year To Date (\$000's)			Full Year (\$000's)						
	YTD Actual	Total Budget	Variance	LTP Budget	Budget Brought Forward	Total Annual Budget	Actual vs Budget Variance	Actual vs Budget %	Total Annual Forecast	Forecast vs Budget Variance
District Facilities	4,024	3,766 -	259	13,028	4,031	17,059	13,034	24%	19,008	1,949
Environmental Management	996	1,388	392	-	1,914	1,914	919	52%	1,961	47
Roading and Footpaths	29,424	25,982 -	3,442	37,388	7,974	45,362	15,938	65%	54,271	8,909
Wastewater	5,064	7,746	2,682	4,936	6,780	11,696	6,632	43%	11,552	144
Stormwater	846	1,130	284	1,179	666	1,844	999	46%	1,463	381
Solid Waste Management	22	96	74	325	96	421	399	5%	426	5
Water Supply	2,253	5,405	3,152	4,495	2,054	6,549	4,296	34%	10,830	4,281
Governance & Strategic Administration	2,605	1,596 -	1,009	2,334	1,952	4,286	1,681	61%	4,107	180
Customer Services	471	613	142	533	933	1,467	996	32%	1,557	90
Strategic Planning & Policy	-	-	-	-	-	-	-	100%	40	40
Total Capital Expenditure	45,705	47,720	2,015	64,219	28,380	90,599	44,884	50%	105,214	14,615

Analysis of Operational Income and Expenditure by LTP Group

Income	Year To Date (\$000's)			Full Year (\$000's)						
	YTD Actual	Total Budget	Variance	LTP Budget	Budget Brought Forward	Total Annual Budget	Actual vs Budget Variance	Actual vs Budget %	Total Annual Forecast	Forecast vs Budget Variance
District Facilities	6,489	1,781 -	4,708	1,866	923	2,789 -	3,700	-233%	9,739	6,950
Environmental Management	5,529	4,175 -	1,354	5,464	-	5,464 -	65	-101%	6,355	891
Roading and Footpaths	31,143	24,408 -	6,735	34,441	3,151	37,592	6,449	-83%	49,480	11,887
Wastewater	502	2,325	1,823	403	2,032	2,435	1,933	-21%	2,765	331
Stormwater	373	- -	373	-	-	- -	373	-100%	551	551
Solid Waste Management	1,170	1,112 -	58	1,405	-	1,405	235	-83%	1,441	36
Water Supply	11,058	6,014 -	5,044	6,642	-	6,642 -	4,416	-166%	12,309	5,668
Governance & Strategic Administration	842	858	16	1,458	-	1,458	617	-58%	1,488	30
Customer Services	354	374	19	442	-	442	88	-80%	366	76
Strategic Planning & Policy	67	- -	67	75	-	75	8	-90%	90	15
Total Operating Income	57,527	41,046 -	16,481	52,196	6,107	58,303	775	99%	84,585	26,282

Operational Expenditure	Year To Date (\$000's)			Full Year (\$000's)						
	YTD Actual	Total Budget	Variance	LTP Budget	Budget Brought Forward	Total Annual Budget	Actual vs Budget Variance	Actual vs Budget %	Total Annual Forecast	Forecast vs Budget Variance
District Facilities	6,723	7,809	1,086	9,549	550	10,099	3,376	67%	11,278	1,178
Environmental Management	6,851	7,717	866	10,489	-	10,489	3,639	65%	11,004	515
Roading and Footpaths	18,228	17,097 -	1,131	25,521	-	25,521	7,293	71%	28,885	3,364
Wastewater	4,635	5,800	1,164	6,850	792	7,642	3,006	61%	8,085	444
Stormwater	1,255	1,381	126	1,942	-	1,942	687	65%	2,629	687
Solid Waste Management	3,019	3,198	179	4,282	-	4,282	1,263	71%	4,328	48
Water Supply	4,581	3,636 -	945	4,970	-	4,970	389	92%	6,160	1,190
Governance & Strategic Administration	17,226	16,190 -	1,036	21,576	-	21,576	4,350	80%	21,635	59
Customer Services	3,646	4,159	513	5,658	-	5,658	2,013	64%	5,741	83
Strategic Planning & Policy	3,712	4,624	912	6,489	-	6,489	2,777	57%	6,600	110
Total Direct Costs	69,876	71,810	1,733	97,328	1,342	98,669	28,793	71%	106,343	7,674

5.5 ELECTED MEMBER SENSITIVE EXPENDITURE**File Number:** A3157554**Author:** Rhonda-May Whiu, Elected Member Administrator**Authoriser:** Jacine Warmington, General Manager - Corporate Services (Acting)**TAKE PŪRONGO / PURPOSE OF THE REPORT**

To provide information on all expenses incurred by Elected Members.

WHAKARĀPOPOTO MATUA / EXECUTIVE SUMMARY

All Elected Member Sensitive Expenditure incurred from 1 January to 31 March 2021 was \$29,282.49.

TŪTOHUNGA / RECOMMENDATION

That the Assurance, Risk and Finance Committee receive the report Elected Member Sensitive Expenditure.

TĀHUHU KŌRERO / BACKGROUND

Formal reporting of all Elected Member expenses is a best practice recommendation from Audit New Zealand. Reimbursement of expenses processed as part of the fortnightly pay claim process are also included in the attached figures. This report reflects the months in which payments were processed and do not necessarily reflect the months when the expenses were incurred. Elected Member Sensitive Expenditure is any council expenditure where there may be a perceived personal benefit to an Elected Member.

Elected Member sensitive expenditure for the 2020-2021 financial year:

1 July to 30 September 2020	\$16,205.35
1 October to 31 December 2020	\$16,822.12
1 January to 31 March 2021	\$29,282.49
Financial Year to date total	\$62,309.96

MATAPAKI ME NGĀ KŌWHIRINGA / DISCUSSION AND NEXT STEPS

This information will be reported quarterly to the Assurance, Risk and Finance Committee.

PĀNGA PŪTEA ME NGĀ WĀHANGA TAHUA / FINANCIAL IMPLICATIONS AND BUDGETARY PROVISION

This report identifies financial expenditure that has occurred from 1 January to 31 March 2021.

ĀPITI HANGA / ATTACHMENTS

1. Elected Member Sensitive Expenditure 1 January to 31 March 2021 - A3158469  

Elected Member Expenses 1 January to 31 March 2021		
Purpose	Elected Member	Amount (Excluding GST)
Reimbursement of November and December phone accounts	Mayor John Carter	\$ 210.10
Reimbursement of January phone account	Mayor John Carter	\$ 89.48
Reimbursement of February phone account	Mayor John Carter	\$ 138.65
Elected Member Uniform	Moko Tepania	\$ 124.16
Reimbursement of March phone account	Mayor John Carter	\$ 101.34
Risk Essentials Training	John Vujcich	\$ 739.13
NZ Planning Institute Conference	Felicity Foy	\$ 1,185.22
RMA Good decisions Making training Accommodation and Incidentals	David Clendon	\$ 223.91
NZ Planning Institute Conference Flights (Return only)	Felicity Foy	\$ 466.44
NZ Planning Institute Conference Accommodation and Incidentals	Felicity Foy	\$ 848.68
Airport Car Storage	Mayor John Carter	\$ 28.70
Whangarei Meetings Accommodation and Incidentals	Kelly Stratford	\$ 151.31
Chairing Meetings Training	Mayor, Councillors, CB Chairs and Deputy's	\$ 6,106.42
December LGNZ Community Board Workshop	Community Board Members	\$ 4,920.95
Name Badges x2	Dave Hookway-Kopa	\$ 33.63
2021 Community Board Conference Flights	Belinda Ward	\$ 850.26
2021 Community Board Conference Flights	Frank Owens	\$ 850.26
2021 Community Board Conference Flights	Manuwai Wells	\$ 850.26
2021 Community Board Conference Flights	Lane Ayr	\$ 850.26
2021 Community Board Conference Registration	Belinda Ward	\$ 656.52
2021 Community Board Conference Registration	Frank Owens	\$ 656.52
2021 Community Board Conference Registration	Manuwai Wells	\$ 656.52
2021 Community Board Conference Registration	Lane Ayr	\$ 656.52
Community Board Conference Airport Shuttles	Belinda Ward, Lane Ayr, Manuwai Wells, Frank Owens	\$ 173.91
2021 Community Board Conference Accommodation	Belinda Ward	\$ 404.35
2021 Community Board Conference Accommodation	Lane Ayr	\$ 404.35
2021 Community Board Conference Accommodation	Manuwai Wells	\$ 430.44
2021 Community Board Conference Accommodation	Frank Owens	\$ 404.35
2021 Community Board Conference Flights	Jaqi Brown	\$ 850.26
2021 Community Board Conference Flights	Adele Gardner	\$ 850.26
2021 Community Board Conference Registration	Jaqi Brown	\$ 656.52
2021 Community Board Conference Registration	Adele Gardner	\$ 656.52
Community Board Conference Airport Shuttles	Adele Gardner and Jaqi Brown	\$ 86.96
2021 Community Board Conference Accommodation	Jaqi Brown	\$ 430.44
2021 Community Board Conference Accommodation	Adele Gardner	\$ 430.44
Namae Badge	Bill Subritzky	\$ 17.25
Business Cards	Bill Subritzky	\$ 58.33
2021 Community Board Conference Flights	Emma Davis	\$ 850.26
2021 Community Board Conference Registration	Emma Davis	\$ 656.52
Community Board Conference Airport Shuttles	Emma Davis	\$ 43.48
2021 Community Board Conference Accommodation	Emma Davis	\$ 482.61
Total		\$ 29,282.49

5.6 COUNCIL DECISION TRACKING ASSESSMENT FOR THE 2020 CALENDAR YEAR**File Number:** A3172438**Author:** Aisha Huriwai, Team Leader Democracy Services**Authoriser:** Jaime Dyhrberg, General Manager - Corporate Services (Acting)**TAKE PŪRONGO / PURPOSE OF THE REPORT**

To provide the Assurance, Risk and Finance Committee with an overview of an assessment council staff undertook on Council decisions for the 2020 calendar year.

WHAKARĀPOPOTO MATUA / EXECUTIVE SUMMARY

- Council staff have reintroduced action sheets as a mechanism to communicate progress against Council decisions and confirm when decisions have been implemented.
- 8% of Council decisions in the 2020 calendar year remain outstanding.
- The focus of this paper is on Council decisions.
- Action sheets are also in place for Committees and Community Boards.

TŪTOHUNGA / RECOMMENDATION

That the Assurance, Risk and Finance Committee receive the report Council Decision Tracking Assessment for the 2020 Calendar Year.

TĀHUHU KŌRERO / BACKGROUND

The Democracy Services Team have been working on a solution to ensure that elected members can receive regular updates on progress against decisions made at meetings, in alignment with a Chief Executive Officer key performance indicator.

Action sheets have been designed as a way to close the loop and communicate with elected members on the decisions made by way of resolution at formal meetings.

Action sheets are not intended to be public information but will provide updates to elected members, who, when appropriate can report back to their communities and constituents.

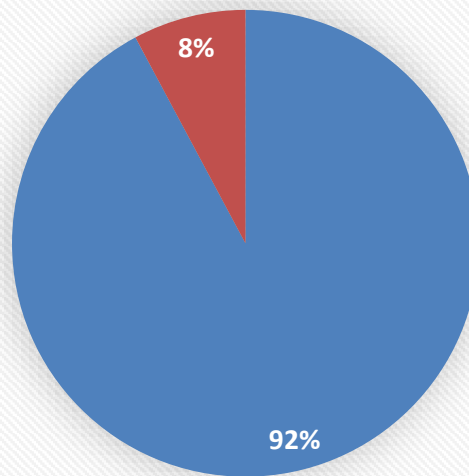
MATAPAKI ME NGĀ KŌWHIRINGA / DISCUSSION AND NEXT STEPS

During the 2020 calendar year Council made a total of 128 decisions. Of the 128 there are 10 decisions that have not been completely implemented and are in progress.

The outstanding tasks are multi-facet projects that take longer to fully complete.

The Democracy Services staff are working with staff to ensure that the project completion times are updated so that action sheets provided to members differentiate between work outstanding and work in progress.

Council Decision Tracking Assessment for the 2020 Calendar Year.



■ 118 Decisions Complete

■ 10 Decisions In Progress

PĀNGA PŪTEA ME NGĀ WĀHANGA TAHUA / FINANCIAL IMPLICATIONS AND BUDGETARY PROVISION

There are no financial implications or need for budgetary provision in receiving this report.

ĀPITIHINGA / ATTACHMENTS

Nil

6 TE WĀHANGA TŪMATAITI / PUBLIC EXCLUDED**RESOLUTION TO EXCLUDE THE PUBLIC****RECOMMENDATION**

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

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

General subject of each matter to be considered	Reason for passing this resolution in relation to each matter	Ground(s) under section 48 for the passing of this resolution
6.1 - Confirmation of Previous Minutes	s7(2)(h) - the withholding of the information is necessary to enable Council to carry out, without prejudice or disadvantage, commercial activities	s48(1)(a)(i) - the public conduct of the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding would exist under section 6 or section 7
6.2 - Opuā Cycle Trail Risk Mitigation Update	s7(2)(f)(i) - free and frank expression of opinions by or between or to members or officers or employees of any local authority	s48(1)(a)(i) - the public conduct of the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding would exist under section 6 or section 7
6.3 - Cybersecurity Framework Update	s7(2)(j) - the withholding of the information is necessary to prevent the disclosure or use of official information for improper gain or improper advantage	s48(1)(a)(i) - the public conduct of the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding would exist under section 6 or section 7

7 KARAKIA WHAKAMUTUNGA – CLOSING PRAYER**8 TE KAPINGA HUI / MEETING CLOSE**