

**WAITOMO DISTRICT COUNCIL
AUDIT AND RISK COMMITTEE**

MINUTES OF A MEETING OF THE WAITOMO DISTRICT COUNCIL AUDIT AND RISK COMMITTEE HELD IN THE COUNCIL CHAMBERS, QUEEN STREET, TE KUITI ON WEDNESDAY 22 FEBRUARY 2023 AT 9.00AM

PRESENT: Independent Chairperson Bruce Robertson (via Zoom); Mayor John Robertson; Deputy Mayor Allan Goddard, Councillor Gavin Todd; Councillor Janene New; Councillor Janette Osborne and Councillor Dan Tasker

IN ATTENDANCE: Miles O'Connor (Bancorp Treasury Services Limited)

Chief Executive, Ben Smit; Manager – Governance Support, Michelle Higgle; General Manager – Business Support, Alister Duncan; General Manager – Community Services, Helen Beever; General Manager – Infrastructure Services, Shyamal Ram; General Manager – Strategy and Environment, Alex Bell and Manager – Strategy and Policy, Charmaine Ellery

Noting that this is the first meeting of the Committee following the 2022 Elections, Mayor Robertson introduced the new elected members and Independent Chairperson Bruce Robertson.

1. Apology

Resolution

The apology from Councillor Manawaiti be received and leave of absence granted.

Robertson/New Carried

2. Declaration of Member Conflicts of Interest

Members declared interests/conflicts of interest in respect to the Agenda as set out below:

Item(s) of Business on the Order Paper	Member and Reason for Declaration	Type of Conflict <i>Financial / Non-Financial / Conflict of Roles / Pre-Determination</i>
Item 7 - Insurance Update Report for the Insurance Year to 31 October 2023	Cr Osborne <ul style="list-style-type: none"> • A family member is an employee of AON Insurance 	Non-Financial

3. Mastercard Expenditure Report (September 2022 to January 2023)

The Committee considered a business paper presenting for the Committee's information and consideration, details of expenditure incurred via Waitomo District Council issued Corporate Mastercard.

The Manager – Governance Support expanded verbally and answered members questions.

The Independent Chair recommended the introduction of Guidelines rather than establishing a new Policy.

Miles O'Connor (Bancorp Treasury Services Limited) entered the meeting at 9.15am.

Resolution

- 1 The Mastercard Expenditure Report for the period (September 2022 to January 2023) 2022 be received.
- 2 A set of Guidelines for the booking of accommodation for elected members and staff be developed for the organisation.

New/Tasker Carried

4. Insurance Update Report for the Insurance Year to 31 October 2023

The Committee considered a business paper providing a brief to the Committee on Council's 2022/23 insurance arrangements.

The General Manager – Business Support expanded verbally on the business paper and answered Members' questions.

Resolution

The business paper on the Insurance Update Report for the Insurance Year to 31 October 2023 be received.

Goddard/Todd Carried

5. Treasury Report for the period ended 31 December 2022

The Committee considered a business paper providing an update on debt position and compliance with borrowing limits for the period ending 31 December 2022.

Miles gave a PowerPoint Presentation and expanded verbally on the business paper and answered Members' questions.

Resolution

- 1 The business paper on Treasury Report for period ended 31 December 2022 be received.
- 2 The Committee noted the Policy breach in terms of fixed versus floating rates and look forward to receiving further advice in respect to this position.

Robertson/Tasker Carried

Miles O'Connor (Bancorp Treasury Services Limited) left the meeting at 10.06am.

The General Manager – Strategy and Environment, General Manager – Community Services and General Manager – Infrastructure Services entered the meeting at 10.08am.

6. Progress Report: Key Performance Indicators - period ended 31 December 2022

The Committee considered a business paper providing an update on delivery performance on non-financials for the period ending 31 December 2022.

The Manager – Strategy and Policy and General Managers expanded verbally on the business paper and answered Members’ questions.

Resolution

The Progress Report: Key Performance Indicators for the period ended 31 December 2022 be received.

Todd/New Carried

The General Manager – Strategy and Environment and Manager – Strategy and Policy left the meeting at 10.35am.

The meeting adjourned for morning tea at 10.35am and reconvened at 10.50am

7. Progress Report: Risk Management – Monitoring and Reporting

The Committee considered a business paper informing of progress in respect to the implementation of the Risk Management Framework.

The General Manager – Business Support expanded verbally on the business paper and answered Members’ questions.

The Independent Chair undertook to liaise with the Chief Executive and General Manager – Business Support to prepare a plan for progressing risk management considerations.

Resolution

The business paper on Progress Report: Risk Management – Monitoring and Reporting be received.

J Robertson/New Carried

The General Manager – Business Support left the meeting at 11.30am.

8. Progress Report: Health and Safety

The Committee considered a business paper providing a brief on Waitomo District Council’s health and safety performance.

The General Manager – Community Services expanded verbally on the business paper and answered Members’ questions.

Resolution

The Progress Report: Health and Safety be received.

New/Tasker Carried

9. Progress Report: Procurement Summary Schedule (October 2022 – December 2022)

The Committee considered a business paper presenting a summary of the procurements made in the period July to October 2022 to December 2022 in accordance with Waitomo District Council’s Procurement Policy.

The General Manager – Infrastructure Services expanded verbally on the business paper and answered Members’ questions.

Resolution

The Progress Report: Procurement Summary Schedule (October 2022 to December 2022) be received.

Robertson/Tasker Carried

10. Progress Report: WDC Resource Consents – Compliance Monitoring

The Committee considered a business paper providing a brief on compliance reporting against Resource Consent conditions, due during the fourth quarter of 2021/22.

The General Manager – Infrastructure Services and Chief Executive expanded verbally on the business paper and answered Members’ questions.

Resolution

The Progress Report: WDC Resource Consents – Compliance Monitoring be received.

New/Goddard Carried

There being no further business the meeting closed at 11.55am

Dated this day of 2023

BRUCE ROBERTSON
INDEPENDENT CHAIRPERSON

Document No: A681418

Report To: Audit and Risk Committee



Meeting Date: 9 August 2023
Subject: **Mastercard Expenditure Report
February 2023 to June 2023**
Type: Information Only

Purpose of Report

- 1.1 The purpose of this business paper is to present for the Committee's information and consideration, details of expenditure incurred via WDC issued Corporate Mastercard.

Commentary

2.1 **Introduction**

2.2 In today's technological climate, the use of credit cards is an everyday norm. The issue of WDC Corporate Mastercards is also deemed a prudent and sometimes necessary form of currency.

2.3 Many purchases can be made online with discounts not applicable through other purchasing avenues, necessitating the use of a credit card. In other circumstances the only purchase method available is online. Online purchases also significantly reduce staff time in making purchases.

2.4 From time to time WDC's Senior Management Team incur work related expenses where the use of a WDC corporate credit card is the most expedient method of payment. The use of corporate credit cards avoids time consuming processes for arranging pre-purchase cheques, petty cash or making payment personally and claiming back the expense after the fact.

2.5 **Acknowledgement of Risk**

2.6 However, it is also acknowledged that as with dealing with any type of cash equivalent, there is always a risk.

2.7 To mitigate the level of risk in WDC employees utilising credit cards, WDC has an implemented Credit Card Policy.

2.8 **Policy**

2.9 A summary of the Policy is as follows:

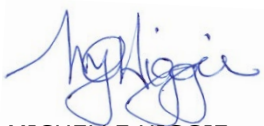
- Provides guidance on the use of a WDC Corporate Credit Card
- Limits approval of the issue of any credit card to the Chief Executive
- Requires a bi-annual review of both Cardholders and the Policy
- Details what is valid expenditure and what is not
- Makes an allowance for exceptional circumstances
- Requires all credit card purchases (both online and telephone) to reflect good security practice, to meet the criteria of WDC's Procurement Policy and comply with authorized Financial Delegations.
- Requires reimbursement of any unauthorized expenditure.
- Details the procedure for documenting monthly statements, monitoring by the Chief Executive and the approval (sign-off) of expenditure.
- Details card "limits" and the process for dealing with lost or stolen cards

2.10 **Presentation of Expenditure Details**

- 2.11 Copies of the monthly "Mastercard Statement Authorisation Forms" are presented to each Audit and Risk Committee Meeting.
- 2.12 Copies of the supporting invoices/receipts are not included in any Agendas, however should a Committee Member wish to view any of this supporting information, that information can be made available by arrangement.
- 2.13 The publishing of credit card expenditure in Committee Agendas has also reduced requests made under the Local Government Official Information and Meetings Act for this information.

Suggested Resolution

The Mastercard Expenditure Report for the period February 2023 to June 2023 be received.



MICHELLE HIGGIE

MANAGER – GOVERNANCE SUPPORT

Attachments: Mastercard Authorisation Forms: February 2023 to June 2023



A654689 7

CONSOLIDATED STATEMENT

TAX INVOICE
GST NO. 93 259 688

RECEIVED

06 MAR 2023

WAITOMO DISTRICT
COUNCIL

27 February 2023

THE DIRECTOR
WAITOMO DISTRICT COUNCIL
P O BOX 404
TE KUITI 3941

Westpac Cards Services
53 Galway Street
Auckland 1010
Phone: 0800 888 111
From overseas: +64 9 914 8026



Business Mastercard®

Account summary

Facility Number: 0030 1565 8499
Total Cardholder Limit: \$20,000.00
Total Cardholder Net Balance: \$6,760.71
Total Interest and Fees: \$0.00

Statement period: 30/01/2023 to 27/02/2023

Consolidated summary

CARDHOLDER NAME	ACCOUNT NUMBER	LIMIT \$	BALANCE \$
Ms M D Higgle	0030 2936 5933	10,000	3,883.72
Mrs H M Beever	0030 3956 2081	5,000	1,189.97
Mr A M Duncan	0030 6052 5296	5,000	1,687.02
TOTALS		\$20,000	\$6,760.71


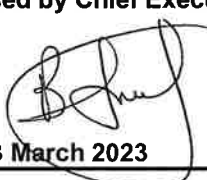
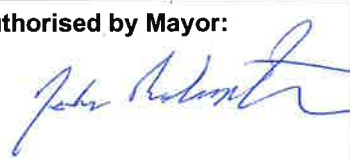
Direct Debit payment

We advise that \$6,760.71 will be directly charged to your account 03-0449-0070201-00 on 20 March 2023, please note this transaction for your records.

Mastercard is a registered trademark and the circles design is a trademark of Mastercard International Incorporated.

Westpac Business Mastercard Conditions of Use and applicable fees apply. See westpac.co.nz/business/products-services/credit-cards/business-mastercard/ for details.



Mastercard Statement ⁸ Authorisation Form

Name:	Michelle Higgie	
Position:	Manager – Governance Support	
Statement Date:	27 / 02 / 23	
Creditor:	Waka Kotahi NZ Transport Agency	
Date:	3 February 2023	
	\$796.60 (breakdown below)	
Amount:	\$384.80	
GL Code:	820 27 765	
Expenditure:	5,000km RUC for WDC Fleet Vehicle (Rego KBU338) Building Control Officer	
Amount:	\$384.80	
GL Code:	820 27 769	
Expenditure:	5,000km RUC for WDC Fleet Vehicle (Rego KBU342) Treatment Plant Technician	
Creditor:	Waka Kotahi NZ Transport Agency	
Date:	7 February 2023	
Amount:	\$384.80	
GL Code:	820 27 742	
Expenditure Details:	5,000km RUC for Fleet Vehicle (Rego LHC172) Treatment Plant Technician	
Creditor:	Air New Zealand	
Date:	9 February 2023	
Amount:	\$1,161.20	
GL Code:	\$580.60 to GL 111 42 712 and \$580.60 to GL 817 38 700	
Expenditure Details:	Return Airfares: Mayor and Chief Executive attendance at LGNZ Rural and Provincial Sector Meeting in Wellington on 2 and 3 March 2023	
Creditor:	Waka Kotahi NZ Transport Agency	
Date:	15 February 2023	
	\$796.60 (breakdown below)	
Amount:	\$384.80	
GL Code:	820 27 744	
Expenditure:	5,000km RUC for WDC Fleet Vehicle (Rego LHY96) Parks and Facilities Operator	
Amount:	\$384.80	
GL Code:	820 27 743	
Expenditure:	5,000km RUC for WDC Fleet Vehicle (Rego LHC173) Building Control Officer	
Creditor:	Waka Kotahi NZ Transport Agency (Licensys NZ Holdings Auckland NZL)	
Date:	22 February 2023	
Amount:	\$33.72	
GL Code:	820 27 784	
Expenditure Details:	Supplementary Registration Plate (Rego PSA157)	
Creditor:	Waka Kotahi NZ Transport Agency	
Date:	23 February 2023	
Amount:	\$764.80	
GL Code:	820 27 753	
Expenditure Details:	10,000km RUC for Fleet Vehicle (Rego MGA225) Team Leader, Internal Services	
I certify that:		
1 I have attached the necessary supplementary docket or receipt.		
2 The account is payable.		
3 The debt incurred is work related.		
4 That any private component is identified and the amount has been reimbursed as follows:		
Signature of Manager – Governance Support 	Authorised by Chief Executive: 	Authorised by Mayor: 
Date: 23 March 2023	Date: 23 March 2023	Date: 23 March 2023

Mastercard Statement ⁹ Authorisation Form

Name:	Helen Beaver
Position:	General Manager – Community Services
Statement Date:	27 / 02 / 23
Creditor:	BP 2GO Te Kuiti
Date:	29/01/2023 @ 12.08am
Amount:	\$180.70
GL Code:	52240805 (Localised Event Costs)
Expenditure Details:	EOC Food & Drink
Creditor:	BP 2GO Te Kuiti
Date:	29/01/2023 @ 4.20am
Amount:	\$57.80
GL Code:	52240805 (Localised Event Costs)
Expenditure Details:	EOC Coffee
Creditor:	BP 2GO Te Kuiti
Date:	29/01/2023 @ 10.17am
Amount:	\$26.50
GL Code:	52240805 (Localised Event Costs)
Expenditure Details:	EOC Coffee
Creditor:	BP 2GO Te Kuiti
Date:	29/01/2023 @ 4.45pm
Amount:	\$53.00
GL Code:	52240805 (Localised Event Costs)
Expenditure Details:	EOC Coffee
Creditor:	BP 2GO Te Kuiti
Date:	30/01/2023 @ 9.24am
Amount:	\$53.70
GL Code:	52240805 (Localised Event Costs)
Expenditure Details:	EOC Coffee
Creditor:	BP 2GO Te Kuiti
Date:	30/01/2023 @ 9.24am
Amount:	\$42.40
GL Code:	52240805 (Localised Event Costs)
Expenditure Details:	EOC Coffee
Creditor:	Bosco Café
Date:	30/01/2023 @ 12.34pm
Amount:	\$74.40
GL Code:	52240805 (Localised Event Costs)
Expenditure Details:	EOC Food (Lunch)
Creditor:	New World Te Kuiti
Date:	30/01/2023 @ 12.44pm
Amount:	\$22.69
GL Code:	52240805 (Localised Event Costs)
Expenditure Details:	EOC Food (Lunch)
Creditor:	E C Attwood Ltd
Date:	3 February 2023
Amount:	\$557.98
GL Code:	432 40 703
Expenditure Details:	Scotch Paper Tape for marking of Playing Courts at the Gallagher Recreation Centre.
I certify that:	
1 I have attached the necessary supplementary docket or receipt.	
2 The account is payable.	
3 The debt incurred is work related.	
4 That any private component is identified and the amount has been reimbursed as follows:	
Signature of GM – Community Services:	Authorised by Chief Executive:
	
Date: 7 March 2023	Date: 23 March 2023

Mastercard Statement ¹⁰ Authorisation Form

Name:	Alister Duncan
Position:	General Manager – Business Support
Statement Date:	27 / 02 / 23
Creditor:	Vimeo
Date:	13 February 2023
Amount:	1,687.02 NZD (\$1,035 USD) + Currency Fee \$41.31 NZD
GL Code:	816 21 700 IT Costs
Expenditure:	Vimeo Premium Subscription
	Note: Vimeo is a video hosting, sharing, and services platform.
I certify that:	
1 I have attached the necessary supplementary docket or receipt.	
2 The account is payable.	
3 The debt incurred is work related.	
4 That any private component is identified and the amount has been reimbursed as follows:	
Signature of GM – Business Support	Authorised by Chief Executive:
	
Date: 23 March 2023	Date: 23 March 2023



A658651

11
RECEIVED

CONSOLIDATED STATEMENT

TAX INVOICE
GST NO. 93 259 688

03 APR 2023

WAITOMO DISTRICT
COUNCIL

27 March 2023

THE DIRECTOR
WAITOMO DISTRICT COUNCIL
P O BOX 404
TE KUITI 3941Westpac Cards Services
53 Galway Street
Auckland 1010
Phone: 0800 888 111
From overseas: +64 9 914 8026

Business Mastercard®

Account summary

Facility Number: 0030 1565 8499
Total Cardholder Limit: \$30,000.00
Total Cardholder Net Balance: \$6,585.61
Total Interest and Fees: \$0.00

Statement period: 28/02/2023 to 27/03/2023

Consolidated summary

CARDHOLDER NAME	ACCOUNT NUMBER	LIMIT \$	BALANCE \$
Ms M D Higgie	0030 2936 5933	10,000	4,677.80
Mrs H M Beever	0030 3956 2081	5,000	0.00
Mr A M Duncan	0030 6052 5296	5,000	0.00
Mr B E Smit	0030 6638 4672	5,000	1,557.81
Mr S C Ram	0030 6674 8769	5,000	350.00
TOTALS		\$30,000	\$6,585.61

Direct Debit payment

We advise that \$6,585.61 will be directly charged to your account 03-0449-0070201-00 on 20 April 2023, please note this transaction for your records.

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12 Mastercard Statement Authorisation Form

Name:	Michelle Higgie
Position:	Manager – Governance Support
Statement Date:	27 / 03 / 23

(1)	Creditor:	BP New Zealand
	Date:	27 February 2023
	Amount:	\$200.00
	GL Code:	111 40 551
	Expenditure:	2x \$100 Fuel Gift Cards One for each of the Mayor's two TUIA Rangatahi Representatives

(2)	Creditor:	Waka Kotahi NZ Transport Agency
	Date:	27 February 2023
		\$1,149.60 (breakdown below)
	Amount:	\$764.80
	GL Code:	820 27 772
	Expenditure:	10,000km RUC for Fleet Vehicle (Rego NHZ59) Programme Lead - Roading
	Amount:	\$384.80
	GL Code:	820 27 777
	Expenditure:	5,000km RUC for Fleet Vehicle (Rego NLD334) Team Leader - Treatment Plant Operations

(3)	Creditor:	Rubbertree
	Date:	2 March 2023
	Amount:	\$842.40
	GL Code:	820 27 792 - \$421.20 820 27 793 - \$421.20
	Expenditure:	Rubber Mats and Boot liners for new Fleet Vehicles (Rego PFN108 and PFN109)

(4)	Creditor:	Air New Zealand
	Date:	2 March 2023
	Amount:	\$737.60
	GL Code:	817 38 700
	Expenditure:	Return Airfare for Treatment Plant Technician to attend Water Course in Wellington. 12-16 March

(5)	Creditor:	Waka Kotahi NZ Transport Agency
	Date:	2 March 2023
		\$499.60 (breakdown below)
	Amount:	\$249.80
	GL Code:	820 27 741
	Expenditure:	5,000km RUC for Fleet Vehicle (Rego LHC171) Treatment Plant Operator
	Amount:	\$249.80
	GL Code:	820 27 748
	Expenditure:	5,000 RUC for Fleet Vehicle (LPS822) Parks and Facilities Operator

(6) **Creditor:** Foreshore Motor Lodge
Date: 2 March 2023
Amount: \$700.00
GL Code: 817 38 700
Expenditure: Accommodation – Treatment Plant Technician attendance at Water Course in Wellington. 12-16 March.

(7) **Creditor:** Waka Kotahi NZ Transport Agency
Date: 13 March 2023
Amount: \$494.80
GL Code: 820 27 791
Expenditure: 10,000km RUC for Fleet Vehicle (NJS791)
 Team Leader - Building Services

(8) **Creditor:** Waka Kotahi NZ Transport Agency
Date: 22 March 2023
Amount: \$53.80
GL Code: 820 27 769
Expenditure: 1,000km RUC for Fleet Vehicle (KBU342)
 Treatment Plant Technician

I certify that:

- 1 I have attached the necessary supplementary docket or receipt.
- 2 The account is payable.
- 3 The debt incurred is work related.
- 4 That any private component is identified and the amount has been reimbursed as follows:

**Signature of
 Manager – Governance Support**

Date: 20 April 2023

**Authorised by
 Chief Executive:**

Date: 21 April 2023

**Authorised by
 Mayor:**




Date: 21 April 2023

14
Mastercard Statement Authorisation Form


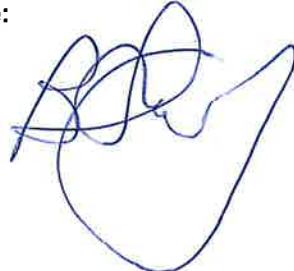
Name: Ben Smit
Position: Chief Executive
Statement Date: 27 / 03 / 23

(1) **Creditor:** Kahoot
Date: 17 March 2023
Amount: \$1,557.81
GL Code: 816 21 700
Expenditure: Annual Subscription - Kahoot! 360 Pro for Microsoft Teams

I certify that:
1 I have attached the necessary supplementary docket or receipt.
2 The account is payable.
3 The debt incurred is work related.
4 That any private component is identified and the amount has been reimbursed as follows:

Signature of Chief Executive  Date: 21 April 2023	Authorised by Mayor:  Date: 21 April 2023	Authorised by Manager – Governance Support  Date: 23 April 2023
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Mastercard Statement Authorisation Form

Name:	Shyamal Ram		
Position:	General Manager – Infrastructure Services		
Statement Date:	27 / 03 / 23		
(1) Creditor:	The Avenue		
Date:	12 March 2023		
Amount:	\$250.00		
GL Code:	12051950		
Expenditure:	General Manager – Infrastructure Services - Accommodation whilst attending 3WT Meetings in Whanganui		
(2) Creditor:	BP 2GO Te Kuiti		
Date:	23 March 2023		
Amount:	\$100.00		
GL Code:	62244761		
Expenditure:	Fuel gift voucher for Community Volunteer for emptying bins at Kara Park, Piopio		
I certify that:	<ol style="list-style-type: none"> 1 I have attached the necessary supplementary docket or receipt. 2 The account is payable. 3 The debt incurred is work related. 4 That any private component is identified and the amount has been reimbursed as follows: 		
Signature of GM – Infrastructure Services	Authorised by Chief Executive:		
			
Date: 21 April 2023	Date: 21 April 2023		



A664318
 RECEIVED
 04 MAY 2023
 WAITOMO DISTRICT
 COUNCIL

CONSOLIDATED STATEMENT

TAX INVOICE
 GST NO. 93 259 688

27 April 2023

THE DIRECTOR
 WAITOMO DISTRICT COUNCIL
 P O BOX 404
 TE KUITI 3941

Westpac Cards Services
 53 Galway Street
 Auckland 1010
 Phone: 0800 888 111
 From overseas: +64 9 914 8026



Business Mastercard®

Account summary

Facility Number: **0030 1565 8499**
 Total Cardholder Limit: **\$20,000.00**
 Total Cardholder Net Balance: **\$5,080.92**
 Total Interest and Fees: **\$0.00**

Statement period: **28/03/2023 to 27/04/2023**

Consolidated summary

CARDHOLDER NAME	ACCOUNT NUMBER	LIMIT \$	BALANCE \$
✓ Ms M D Higgle	0030 2936 5933	10,000	1,762.17
✓ Mr B E Smit	0030 6638 4672	5,000	0.00
✓ Mr S C Ram	0030 6674 8769	5,000	3,318.75
TOTALS		\$20,000	\$5,080.92

Direct Debit payment

We advise that \$5,080.92 will be directly charged to your account 03-0449-0070201-00 on 20 May 2023, please note this transaction for your records.

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Westpac Business Mastercard Conditions of Use and applicable fees apply. See westpac.co.nz/business/products-services/credit-cards/business-mastercard/ for details.

17 Mastercard Statement Authorisation Form

Name: Michelle Higgle
Position: Manager – Governance Support
Statement Date: 27 / 04 / 23

(1) **Creditor:** Waka Kotahi NZ Transport Agency
Date: 27 March 2023
Amount: \$494.80
GL Code: 820 27 778
Expenditure: 10,000km RUC for Fleet Vehicle (NMK783) - Waste Management Vehicle

(2) **Creditor:** Waka Kotahi NZ Transport Agency
Date: 29 March 2023
Amount: \$32.48
GL Code: 820 27 805
Expenditure: New Rego for Abel Concrete Mixer (65G19)

(3) **Creditor:** Rubber Tree Limited
Date: 5 April 2023
Amount: \$810.89
GL Code: 820 27 788 - \$270.30 820 27 789 - \$270.30 820 27 791 - 270.29
Expenditure: Heavy Duty Rubber Floor Mats and Boot Liners for new WDC Fleet Vehicles Regos PTN36, PTN37 and PTN38

(4) **Creditor:** BP New Zealand
Date: 13 April 2023
Amount: \$200.00
GL Code: 111 40 551
Expenditure: 2x \$100 Gift Vouchers for the Mayors TUIA Rangatahi Representatives

(5) **Creditor:** Waka Kotahi NZ Transport Agency
Date: 14 April 2023
Amount: \$53.80
GL Code: 820 27 763
Expenditure: 1,000km RUC for Fleet Vehicle (JMA8) - Pool Vehicle

(6) **Creditor:** Active Safety NZ Ltd
Date: 18 April 2023
Amount: \$170.20
GL Code: 820 27 791 - \$85.10 and 820 27 792 - \$85.10
Expenditure: 2x LED Magnetic Beacon Lights for new WDC Fleet Vehicles Regos PTN37 and PTN38

I certify that:

- 1 I have attached the necessary supplementary docket or receipt.
- 2 The account is payable.
- 3 The debt incurred is work related.
- 4 That any private component is identified and the amount has been reimbursed as follows:

**Signature of
Manager – Governance Support**



Date: 6 June 2023

**Authorised by
Chief Executive:**





Date: 8 June 2023

**Authorised by
Mayor:**



Date: 6 June 2023

18 Mastercard Statement Authorisation Form

Name:	Shyamal Ram
Position:	General Manager – Infrastructure Services
Statement Date:	27 / 04 / 23
(1) Creditor:	Novus Glass Te Awamutu
Date:	6 April 2023
Amount:	\$3,107.95
GL Code:	820 27 781
Expenditure:	New Windscreen for Fleet Vehicle (PME141) General Manager - Infrastructure Services
(2) Creditor:	37 The Landing Motel (Whakatane)
Date:	20 April 2023
Amount:	\$172.80
GL Code:	120 51 950
Expenditure:	Accommodation whilst attending 3WT Meeting General Manager – Infrastructure Services
(3) Creditor:	Subway Tauranga
Date:	21 April 2023
Amount:	\$18.00
GL Code:	120 51 950
Expenditure:	Lunch after attending LTT Entity B Meeting in BOP General Manager – Infrastructure Services
(4) Creditor:	NZTA - Toll Road
Date:	21 April 2023
Amount:	\$20.00
GL Code:	820 27 781
Expenditure:	Toll Road used (Fleet Vehicle PME141) General Manager – Infrastructure Services
I certify that:	
1 I have attached the necessary supplementary docket or receipt.	
2 The account is payable.	
3 The debt incurred is work related.	
4 That any private component is identified and the amount has been reimbursed as follows:	
Signature of GM – Infrastructure Services	Authorised by Chief Executive:
	
Date: 6 June 2023	Date: 8 June 2023



A6705819

CONSOLIDATED STATEMENT

TAX INVOICE
GST NO. 93 259 688

RECEIVED

02 JUN 2023

WAITOMO DISTRICT
COUNCIL

27 May 2023

THE DIRECTOR
WAITOMO DISTRICT COUNCIL
P O BOX 404
TE KUITI 3941

Westpac Cards Services
53 Galway Street
Auckland 1010
Phone: 0800 888 111
From overseas: +64 9 914 8026



Business Mastercard®

Account summary

Facility Number: **0030 1565 8499**
Total Cardholder Limit: **\$30,000.00**
Total Cardholder Net Balance: **\$5,003.92**
Total Interest and Fees: **\$0.00**

Statement period: **28/04/2023 to 27/05/2023**

Consolidated summary

CARDHOLDER NAME	ACCOUNT NUMBER	LIMIT \$	BALANCE \$
✓ Ms M D Higgle	0030 2936 5933	10,000	2,696.01
✓ Mrs H M Beever	0030 3956 2081	5,000	89.98
✓ Mr A M Duncan	0030 6052 5296	5,000	1,034.69
✓ Mr A M Bell	0030 6627 0319	5,000	1,102.52
✓ Mr S C Ram	0030 6674 8769	5,000	80.72
TOTALS		\$30,000	\$5,003.92

Direct Debit payment

We advise that \$5,003.92 will be directly charged to your account 03-0449-0070201-00 on 20 June 2023, please note this transaction for your records.

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20 Mastercard Statement Authorisation Form

Name: Michelle Higgle
Position: Manager – Governance Support
Statement Date: 27 / 05 / 23

(1) **Creditor:** Waka Kotahi NZ Transport Agency
Date: 1 May 2023
 \$857.00 (breakdown as follows)

Amount: \$53.80
GL Code: 820 27 765
Expenditure: 1,000km RUC for Fleet Vehicle (KBU338)
 Building Control Team

Amount: \$53.80
GL Code: 820 27 763
Expenditure: 1,000km RUC for Fleet Vehicle (JMA8)
 Building Control Team

Amount: \$249.80
GL Code: 820 27 733
Expenditure: 5,000km RUC for Fleet Vehicle (JDQ986)
 Property and Facilities Team

Amount: \$249.80
GL Code: 820 27 747
Expenditure: 5,000km RUC for Fleet Vehicle (LPS811)
 Water Services

Amount: \$249.80
GL Code: 820 27 773
Expenditure: 5,000km RUC for Fleet Vehicle (NKG330)
 Water Services

(2) **Creditor:** VTNZ
Date: 3 May 2023
Amount: \$46.41
GL Code: 820 27 805
Expenditure: Deregistration of trailers E112U, E111U, E110U, C312E, A7MNA

(3) **Creditor:** Waka Kotahi NZ Transport Agency
Date: 11 May 2023
Amount: \$249.80
GL Code: 82027751
Expenditure: 5,000km RUC for Fleet Vehicle (LMZ559) - Building Team

(4) **Creditor:** Air New Zealand
Date: 12 May 2023
Amount: \$1,043.20
GL Code: 111 42 700
Expenditure: Airfares: Hamilton - Christchurch Return for Mayor and Chief Executive attendance at 2023 LGNZ AGM and Conference

(5) **Creditor:** Waka Kotahi NZ Transport Agency
Date: 19 May 2023
Amount: \$249.80
GL Code: 82027752
Expenditure: 5,000km RUC for Fleet Vehicle (MGA224) ISU Services

(6) **Creditor:** Waka Kotahi NZ Transport Agency
Date: 25 May 2023
Amount: \$249.80
GL Code: 82027777
Expenditure: 5,000km RUC for Fleet Vehicle (NLD334) ISU Services

I certify that:

- 1 I have attached the necessary supplementary docket or receipt.
- 2 The account is payable.
- 3 The debt incurred is work related.
- 4 That any private component is identified and the amount has been reimbursed as follows:

**Signature of
Manager – Governance Support**



Date: 6 June 2023

**Authorised by
Chief Executive:**



Date: 8 June 2023

**Authorised by
Mayor:**



Date: 6 June 2023

Mastercard Statement Authorisation Form

22

Name: Helen Beever
Position: General Manager – Community Services
Statement Date: 27 / 05 / 23

(1) **Creditor:** BP 2GO Te Kuiti
Date: 22 May 2023
Amount: \$89.98
GL Code: 817 39 705
Expenditure: Replacement of Gas Bottle

I certify that:

- 1 I have attached the necessary supplementary docket or receipt.
- 2 The account is payable.
- 3 The debt incurred is work related.
- 4 That any private component is identified and the amount has been reimbursed as follows:

**Signature of
GM – Community Services:**



Date: 8 June 2023

**Authorised by
Chief Executive:**



Date: 8 June 2023

Mastercard Statement Authorisation Form

23

Name: Alister Duncan
Position: General Manager – Business Support
Statement Date: 27 / 05 / 23

(1) **Creditor:** Solarwinds
Date: 3 May 2023
Amount: \$274.31 (\$166.00 USD plus Foreign Currency Fee \$6.67 NZD)
GL Code: 816 21 700
Expenditure: 2 x SolarWinds DameWare Remote Support Per Technician License (2 to 3 user price) - Annual Maintenance Renewal

(2) **Creditor:** Teamviewer GMBH
Date: 4 May 2023
Amount: \$760.38
GL Code: 816 21 700
Expenditure: TeamViewer Business (Computer Software)
PAC License: E5E6B263-0E7A-4F7D-A6ACBAC38257C7FD
• 200 managed devices

I certify that:

- 1 I have attached the necessary supplementary docket or receipt.
- 2 The account is payable.
- 3 The debt incurred is work related.
- 4 That any private component is identified and the amount has been reimbursed as follows:

**Signature of
GM – Business Support**

Alister's last day at WDC was 4 May 2023



**Authorised by
Chief Executive:**



Date: 8 June 2023

Mastercard Statement Authorisation Form

24

Name: Alex Bell	
Position: General Manager – Strategy and Environment	
Statement Date: 27 / 05 / 23	
(1) Creditor: Gore District Council	
Date: 2 May 2023	
Amount: \$411.52	
GL Code: 817 38 700	
Expenditure: Registration for Taituara Webinar (Talk It Up - Unleashing the Future for Local Government) Leader – Communications and Engagement	
(2) Creditor: Booking.com (Millennium Hotel)	
Date: 10 March 2023	
Amount: \$691.00	
GL Code: 817 38 700	
Expenditure: Accommodation (3 Nights) – Attendance at 2023 BOINZ (Building Officials Institute of New Zealand) Conference (21-24 May 2023) Building Control Officer	
I certify that:	
1 I have attached the necessary supplementary docket or receipt.	
2 The account is payable.	
3 The debt incurred is work related.	
4 That any private component is identified and the amount has been reimbursed as follows:	
Signature of GM – Strategy and Environment 	Authorised by Chief Executive: 
Date: 6 June 2023	Date: 8 June 2023

25
Mastercard Statement Authorisation Form

Name: Shyamal Ram
Position: General Manager – Infrastructure Services
Statement Date: 27 / 05 / 23

(1) **Creditor:** Sierra Café Centre Place
Date: 5 May 2023
Amount: \$74.72
GL Code: 740 31 705
Expenditure: Lunch – 3 people - attendance at Roding Activity meeting with Hamilton City Council

(2) **Creditor:** Hamilton City Council
Date: 5 May 2023
Amount: \$6.00 Parking Docket only attached - No Receipt Issued
GL Code: 740 31 705
Expenditure: Parking: Attendance at Roding Activity meeting at Hamilton City Council
General Manager – Infrastructure Services


I certify that:
1 I have attached the necessary supplementary docket or receipt.
2 The account is payable.
3 The debt incurred is work related.
4 That any private component is identified and the amount has been reimbursed as follows:

Signature of
GM – Infrastructure Services



Date: 8 June 2023

Authorised by
Chief Executive:



Date: 8 June 2023



26

RECEIVED

04 JUL 2023

WAITOMO DISTRICT COUNCIL

CONSOLIDATED STATEMENT

TAX INVOICE
GST NO. 93 259 688

27 June 2023

THE DIRECTOR
WAITOMO DISTRICT COUNCIL
P O BOX 404
TE KUITI 3941

Westpac Cards Services
53 Galway Street
Auckland 1010
Phone: 0800 888 111
From overseas: +64 9 914 8026



Business Mastercard®

Account summary

Facility Number: **0030 1565 8499**
Total Cardholder Limit: **\$25,000.00**
Total Cardholder Net Balance: **\$3,484.20**
Total Interest and Fees: **\$0.00**

Statement period: **28/05/2023 to 27/06/2023**

Consolidated summary

CARDHOLDER NAME	ACCOUNT NUMBER	LIMIT \$	BALANCE \$
Ms M D Higgle	0030 2936 5933	10,000	3,106.34
Mrs H M Beever	0030 3956 2081	5,000	0.00
Mr A M Duncan	0030 6052 5296	0	0.00
Mr A M Bell	0030 6627 0319	5,000	0.00
Mr S C Ram	0030 6674 8769	5,000	377.86
TOTALS		\$25,000	\$3,484.20

Direct Debit payment

We advise that \$3,484.20 will be directly charged to your account 03-0449-0070201-00 on 20 July 2023, please note this transaction for your records.

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Mastercard Statement Authorisation Form

27

Name: Michelle Higgle
Position: Manager – Governance Support
Statement Date: 27 / 06 / 23

(1) **Creditor:** Waka Kotahi NZ Transport Agency
Date: 29 May 2023
Amount: \$249.80
GL Code: 82027766
Expenditure: 5,000Km for Fleet Vehicle (Registration KBU339) - Animal Control

(2) **Creditor:** Air New Zealand
Date: 6 June 2023
Amount: \$757.60
GL Code: 111 40 551
Expenditure: Airfares (1 way): Auckland to Queenstown for Mayoral TUIA Representatives (x2) to attend the third wananga - Tuia I Roto at Otakou Marae 25 Tamatea Road Portobello Otakou. (53.2km via SH1 and Portobello Rd from Dunedin airport)

(3) **Creditor:** Air New Zealand
Date: 6 June 2023
Amount: \$689.60
GL Code: 111 40 551
Expenditure: Airfares (1 way): Dunedin to Auckland for Mayoral TUIA Representatives (x2) to attend the third wananga - Tuia I Roto at Otakou Marae 25 Tamatea Road Portobello Otakou (53.2km via SH1 and Portobello Rd from Dunedin airport)

(4) **Creditor:** Waka Kotahi NZ Transport Agency
Date: 8 June 2023
Amount: \$249.80
GL Code: 82027779
Expenditure: 5,000 Km for Fleet Vehicle (Registration PFN107) - CEO

(5) **Creditor:** Waka Kotahi NZ Transport Agency
Date: 12 June 2023
Amount: \$249.80
GL Code: 82027774
Expenditure: 5,000 Km for Fleet Vehicle (Registration NKQ165) - ISBU

(6) **Creditor:** VTNZ
Date: 13 June 2023
Amount: \$13.37
GL Code: 82027757
Expenditure: Change of Ownership & Registration Label for WDC Abel Concrete Mixer Trailer

(7) **Creditor:** Air New Zealand
Date: 15 June 2023
Amount: \$62.00
GL Code: 111 40 551
Expenditure: Airfares (1 way): Additional Fee to change flight destination and date (change destination from Queenstown to Dunedin and date from Thursday 28th to Friday 29th June) for Mayoral TUIA Representatives (x2) to attend the third wananga - Tuia I Roto at Otakou Marae 25 Tamatea Road Portobello Otakou. (53.2km via SH1 and Portobello Rd from Dunedin airport)

(8) **Creditor:** Air New Zealand
Date: 15 June 2023
Amount: \$274.00
GL Code: 111 40 551
Expenditure: Airfares (1 way): Additional Fee to change flight date (change from Tuesday 4 July to Monday 3 July) for Mayoral TUIA Representatives (x2) to attend the third wananga - Tuia I Roto at Otakou Marae 25 Tamatea Road Portobello Otakou. (53.2km via SH1 and Portobello Rd from Dunedin airport)

(9) **Creditor:** Park n Fly Auckland
Date: 15 June 2023
Amount: \$60.77
GL Code: 111 40 551
Expenditure: Airport Parking (4 days): Mayoral TUIA Representatives attendance at third wananga - Tuia I Roto at Otakou Marae 25 Tamatea Road Portobello Otakou. (53.2km via SH1 and Portobello Rd from Dunedin airport)

(10) **Creditor:** Waka Kotahi NZ Transport Agency
Date: 19 June 2023
Amount: \$249.80
GL Code: 82027742
Expenditure: 5,000Km RUC for Fleet Vehicle (Registration LHC172) - Water Treatment

(11) **Creditor:** Waka Kotahi NZ Transport Agency
Date: 20 June 2023
Amount: \$249.80
GL Code: 82027792
Expenditure: 5,000Km RUC for Fleet Vehicle (Registration PFN108) - Water Services

I certify that:

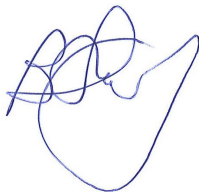
- 1 I have attached the necessary supplementary docket or receipt.
- 2 The account is payable.
- 3 The debt incurred is work related.
- 4 That any private component is identified and the amount has been reimbursed as follows:

**Signature of
Manager – Governance Support**



Date: 21 July 2023

**Authorised by
Chief Executive:**



Date: 21 July 2023

**Authorised by
Mayor:**



Date: 21 July 2023

Mastercard Statement Authorisation Form

Name: Shyamal Ram
Position: General Manager – Infrastructure Services
Statement Date: 27 / 06 / 23

(1) **Creditor:** Fieldays NZ
Date: 15 June 2023
Amount: \$61.80
GL Code: 82027500
Expenditure: 2x Tickets to Fieldays for General Manager – Infrastructure Services and Manager – Internal Services to inspect vehicles, plant and machinery suitable for WDC water services and parks and reserves purposes.

(2) **Creditor:** Millennium Hotel Rotorua
Date: 22 June 2023
Amount: \$247.86
GL Code: 12040600
Expenditure: Accommodation (1 Night): General Manager - Infrastructure Services attendance at 3 Waters Reform Conference on 22 and 23 June 2023

(3) **Creditor:** Millennium Hotel Rotorua
Date: 22 June 2023
Amount: \$45.00 No GST invoice/receipt provided
GL Code: 12040600
Expenditure: Meal: General Manager - Infrastructure Services attendance at 3 Waters Reform Conference on 22 and 23 June 2023

(4) **Creditor:** Millennium Hotel Rotorua
Date: 22 June 2023
Amount: \$4.50 No GST invoice/receipt provided
GL Code: 12040600
Expenditure: Meal: General Manager - Infrastructure Services attendance at 3 Waters Reform Conference on 22 and 23 June 2023

(5) **Creditor:** Subway Rotorua
Date: 23 June 2023
Amount: \$18.70
GL Code: 12040600
Expenditure: Meal: General Manager - Infrastructure Services attendance at 3 Waters Reform Conference on 22 and 23 June 2023

I certify that:

- 1 I have attached the necessary supplementary docket or receipt.
- 2 The account is payable.
- 3 The debt incurred is work related.
- 4 That any private component is identified and the amount has been reimbursed as follows:

Signature of
GM – Infrastructure Services



Date: 21 July 2023

Authorised by
Chief Executive:



Date: 21 July 2023

Document No: A681457

Report To: Audit and Risk Committee



Meeting Date: 15 August 2023

Subject: **Riskpool – Update on Winding Up**

Type: Information Only

Purpose of Report

- 1.1 The purpose of this business paper is to brief the Committee on the winding up of Riskpool.

Background

- 2.1 Riskpool is a mutual liability fund that offered public liability and professional indemnity cover to its members from 1 July 1997 to 30 June 2017, a total of twenty years. At its peak, Riskpool provided cover to 82 out of a possible 85 district, unitary and regional councils. As at June 2022, it had paid its member councils \$171.2 million in claims.
- 2.2 Riskpool ceased to offer cover from 1 July 2017, as support from the sector had dropped, particularly from larger councils, and without good support Riskpool could not offer competitively priced cover and risk management services. Riskpool has now been in run-off mode for over 5 years. It is expected that Riskpool will remain in run off for a further 3-5 years.
- 2.3 Riskpool is governed by a trust deed, with covered provided for members via a series of pooled funds. Riskpool's trustee is able to call on its member councils for financial support for each of Riskpool's funds, commonly referred to as "calls". Riskpool members (including Waitomo District Council) paid an interim call in July 2019 with Riskpool advising that it expected to make a final call prior to wind up.
- 2.4 Council included in its 2021-22 Annual Report, a contingent liability disclosure for the obligation for the final call. No provision was made at that time due to the uncertainty of amount and timing of the final call.

Commentary

- 3.1 To achieve an orderly wind-up, all claims must be settled and paid and Riskpool has been working towards this since 2017 with only 6 open claims remaining at December 2022.
- 3.2 One particular claim has a bearing on the timely wind-up of Riskpool and the quantum of a final call(s) that will need to be made. This involves proceedings served on Riskpool by a member council in June 2017 in relation to a liability claim which had previously been declined. The claim included both weathertight and non-weathertight defects for a multi-unit apartment block and was declined in its entirety. The member accepted that Riskpool was correct in declining the weathertight defects, but claimed it was still entitled to be covered for its liability in respect of the non-weathertight defects.
- 3.3 Riskpool and its legal advisors held a consistent view that the member council did not have a valid claim against Riskpool. In June 2021, the High Court found in Riskpool's favour. In September 2022 the Court of Appeal reversed the finding in favour of the member council. Riskpool applied to the Supreme Court for a final decision, the appeal was held in April 2023.
- 3.4 There are a number of other claims, some involving court proceedings, which involve the same issue (i.e., claims involving both weathertight and non-weathertight defects) which are waiting on the outcome of the Supreme Court decision.

- 3.5 Further to this some of the other claims involve late notification issues (i.e., where the claims were not notified until after the members had left the scheme).
- 3.6 On 2 August 2023, a letter was received from Riskpool advising that the Supreme Court had dismissed Riskpool's appeal. The letter is included as an attachment to this business paper.
- 3.7 The effect of this decision means that Riskpool now has a liability for that members' claim in respect of the non-weather-tight defects. Riskpool's reinsurers have reserved their position regarding cover for the claim, which means Riskpool may be required to make a call on member councils to pay that claim.
- 3.8 A hearing is set down for 11 December 2023 to resolve the amount of the claim. Riskpool are now seeking advice from the member council as to the amount they intend to seek at the hearing so that they can advise all members in the next 2-3 weeks of the likely maximum liability and the likely level of the call that will need to be made in respect of this claim.
- 3.9 For the other claims involving late notification, Riskpool intends to apply to have those claim/proceedings struck out.
- 3.10 For those claims for non-weather-tight defects which are not impacted by late notification, further information is being sought about the actual or anticipated liability. As Riskpool's reinsurers have reserved their position for these other claims, it may mean there will be future calls on member councils for these claims.
- 3.11 Once the information is received from Riskpool on the maximum liability and level of call that will be required, staff will make an assessment on the impact on the 2022-23 Annual Report. The initial assessment is that a new provision may need to be recognised at 30 June 2023 for the future calls from Riskpool.
- 3.12 No allowance has been made in the budget for the future calls.
- 3.13 A further update will be provided to Council once the information has been received from Riskpool.

Suggested Resolution

The business paper on Riskpool – Update on Winding Up be received.



TINA HITCHEN
CHIEF FINANCIAL OFFICER

7 August 2023

Attachment: Letter from Riskpool – Update on Winding Up (A681454)

2 August 2023

Ben Smit
Waitomo District Council
PO Box 404
TE KUITI 3941 bens@waitomo.govt.nz

Riskpool: Update on Winding Up

Dear Ben

On 7 June 2023 we wrote to members with an update on Riskpool's appeal to the Supreme Court regarding a liability claim concerning both weathertight and non-weathertight defects, where the member has sought to be covered for its liability for the non-weathertight defects.

On 1 August 2023, the Supreme Court issued its decision in which it has dismissed Riskpool's appeal.

The effect of the Court's decision is that Riskpool now has a liability for that member's claim in respect of the non-weathertight defects. At present, Riskpool's reinsurers have reserved their position regarding cover for the claim, which means that Riskpool may be required to make a call to pay that claim. Before that can occur, the amount of the claim (which is still in dispute between the parties) needs to be quantified. There is a hearing set down in the High Court on 11 December 2023 to resolve that issue. We are seeking advice from the member concerned as to the amount that they intend seeking at the hearing, which should enable Riskpool to advise all members of the likely maximum liability and therefore the likely level of the call that may need to be made. We hope to be in a position to provide further information regarding that within the next two to three weeks.

As also noted in our letter of 7 June 2023, there are a number of other claims, some involving Court proceedings, which involve the same issue and which have been waiting on the outcome of the Supreme Court decision. Many of those other claims involve late notification issues (that is, the claims were not notified to Riskpool until after the members had left the Scheme) and Riskpool intends applying to have those claims/proceedings struck out. For those claims which do not involve late notification issues, further information is being sought about the actual or anticipated liability of those members in respect of the non-weathertight defects. At present, Riskpool's reinsurers have also reserved their position regarding cover for these other claims which might mean that there is a need to make further calls in the future relating to these claims.

We welcome the Supreme Court decision which clarifies an important matter of law for our members. We also acknowledge there will be some uncertainty in respect of future calls and the path to winding up and we will continue to keep members updated as these matters progress.

If you have any questions please contact CEO, Charlie Howe.

Yours sincerely



Charlie Howe
CEO Civic Financial Services Ltd



Marty Grenfell
Chair of LGMFT (Riskpool)

Document No: A678479

Report To: Audit and Risk Committee



Meeting Date: 15 August 2023
Subject: **Treasury Management Report for the period ended 30 June 2023**
Type: Information only

Purpose of Report

- 1.1 The purpose of this business paper is to provide an update on WDC's debt position and compliance with borrowing limits for the period ended 30 June 2023.

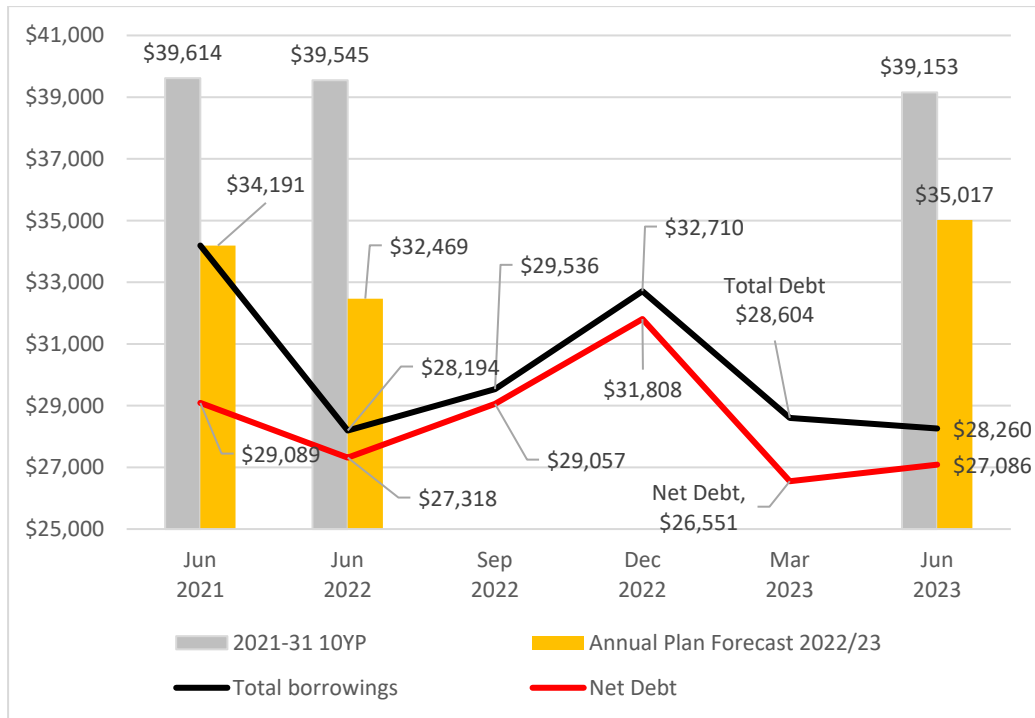
Background

- 2.1 The total borrowings and net debt position are regularly reviewed and monitored against current interest rates and compared to the current 10YP and Annual Plan Forecasts. This includes monitoring against WDC's borrowing limits as set in the Financial Strategy, with reporting to the Audit and Risk Committee on a quarterly basis.
- 2.2 Bancorp, Council's external treasury advisors, prepare a quarterly Treasury Reporting Dashboard that includes information on:
- Market environment impacting interest rates and Local Government Funding Agency (LGFA) borrowing rates,
 - Council's funding profile,
 - Council's debt and hedging profile,
 - Council's cost of borrowing funds, and
 - Council's compliance with its Treasury Management Policy.
- 2.3 A copy of the Bancorp Treasury Reporting Dashboard for the period ended 30 June 2023 is enclosed separately and forms part of this business paper.

Commentary

- 3.1 **PUBLIC DEBT**
- 3.2 At 30 June 2023 public debt was **\$28.3 million** and net debt was \$27.1 million. At 30 June 2022 public debt was \$28.2 million and net debt¹ was \$27.3 million.
- 3.3 The following graph shows the total borrowings and net debt position compared to forecast debt from the 10YP 2021-31 and the Annual Plan 2022/23.

¹ Net debt is total public debt less LGFA Borrower notes and unrestricted cash.



3.4 Borrowings are less than forecast in the Annual Plan due to the utilisation of cash surpluses (bought about in part by reduced operating costs) and unspent capital expenditure during the last two financial years.

3.5 INTEREST EXPENSE

3.6 Total interest expense for the financial year was \$1.29 million which was \$35,000 more than the budget of \$1.26 million. The additional interest cost was due to increasing interest rates applicable to debt which is on a floating rate profile.

3.7 The assumed interest rate used in the Annual Plan for the 2022/23 year was 3.71%. The weighted average interest rate at 30 June 2023, excluding the drawn Westpac Bank Multi Option Credit Line facility but including the credit facility fee is 5.10%.

3.8 Interest expense is expected to continue to increase due to anticipated increases in interest rates over the short term. Of the total borrowings of \$28.3 million, the floating interest rate debt totals \$12 million at 30 June which may be affected by interest rate increases, the remaining \$16 million of public debt is on a fixed interest rate exposure which is unaffected by short term interest rate changes, up until the date fixed rate arrangement expires (The remaining amount is accrued interest and finance lease liability).

3.9 BORROWING LIMITS

3.10 The borrowing limits set in the Financial Strategy are:

- The ratio of net debt to total revenue will not exceed 165%
- Net interest will not exceed 20% of annual rates.

	Limit	Actual Jun 2022	Actual Jun 2023 Interim Unaudited
Net debt to total revenue	<165%	62%	58%
Net interest to annual rates	<20%	5%	6%

3.11 WDC is currently well below these limits so has borrowing capacity should this be required.

3.12 A standby credit facility with Westpac bank with a credit limit of \$10 million is in place. At 30 June there was nil drawn from this facility.

3.13 **INTEREST RATE EXPOSURE**

3.14 Fixed rate hedging band 2-4 years (June 2025 - June 2027)

3.15 WDC is currently operating outside its policy limits for fixed rate hedging percentages for the 2-4 years band, as highlighted on page 4 the Bancorp Treasury Reporting Dashboard and depicted in the top left chart on page 5. The breach relates to the fixed rate cover which reduces to nil in September 2026, whereas the Treasury Policy requires at least 20% of the total debt portfolio to be fixed for 2-4 years (ie, until June 2027).

3.16 This breach was noted at the February 2023 Audit and Risk meeting and at the May 2023 Council meeting. The rationale for the breach is due to the uncertainty around the Three Waters Reforms and the risk associated with entering into further fixed term cover beyond July 2026. The latest changes to the reform announced in April 2023 means the transfer of waters assets will now take place in July 2026. The anticipated funding attributed to '3 waters' debt will be utilised for debt repayment. No new debt settlement information (post the April 2023 announcement) has been received for the '3 waters' transition and it is unclear at this stage whether the debt settlement will be received as a lump sum or phased over a number of years.

3.17 It is not recommended to enter into further fixed rate cover beyond July 2026 at this time to avoid having outstanding hedges in place, when the underlying hedged debt is likely to be repaid through this cash injection.

3.18 Although the current hedges Council holds are "in the money" meaning they could be cashed out and Council receives cash (rather than paying), this could not be guaranteed (and is unlikely) for any new swaps executed now.

3.19 The Treasury Management Committee is maintaining a watching brief of the debt market and progress of the Three Waters Reform.

3.20 **INTEREST RATE SWAP VALUATIONS**

3.21 Included in the balance sheet is the valuation of the interest rates swaps that are in place at balance date for both current and forward starting swaps. These are included as "Derivative Financial Instruments" and recognised at market value at balance date. The valuation at 30 June 2023 is \$557,233 as an asset.

3.22 Hedge effectiveness has been maintained through the year, which means they have matched to interest movements in their associated debt tranche. That allows for the movement in their valuation from the prior year to be shown in "Other Comprehensive Revenue and Expense" rather than in the Surplus/(Deficit) in the Income Statement.

3.23 A gain on cashflow hedges of \$390,000 will be shown in Other Comprehensive Revenue and Expense.

3.24 **BANCORP TREASURY SERVICES LIMITED**

3.25 Attached is the Bancorp Treasury Services Limited Treasury Reporting Dashboard as at 30 June 2023.

Suggested Resolution

The business paper on Treasury Management Report for period ended 30 June 2023 be received.

WAYNE LA ROCHE
ASSET ACCOUNTANT

TINA HITCHEN
CHIEF FINANCIAL OFFICER

Attachment: Bancorp Treasury Services Limited: Treasury Management Dashboard as at 30 June 2023 (A678606)



Treasury Reporting Dashboard

As at 30 June 2023

STRICTLY PRIVATE AND CONFIDENTIAL



BANCORP

BANCORP TREASURY SERVICES LIMITED



Global (for the June 2023 quarter)

Stubbornly high core inflation, tight labour markets, and wage inflation continue to impact the developed economies, which has seen several central banks continue to hike. Some, like the Reserve Bank of Australia (“RBA”) and the Bank of Canada (“BoC”), return to hiking after having earlier paused during the quarter.

At its June meeting, the US Federal Reserve (“Fed”) paused its hiking cycle for the first time since March 2022, with the Fed Funds range at 5.00%-5.25%. However, this stalling will likely be consigned to the history books as the ‘pointless pause’ given that Fed Chair, Jerome Powell emphasised in his semi-annual testimony to Congress that *“the process of getting inflation down to 2% has a long way to go (as) the labour market remains very tight”*. He also reminded markets that *“we don't see rate cuts any time soon. The FOMC broadly feels it will be appropriate to raise rates again this year, and perhaps two more times,”* to support the FOMC’s dot plot forecasts.

The benchmark US 10-year bond yield touched a quarterly low of 3.26% in early April but climbed in the second half of May up to 3.83% as the debt ceiling fiasco played out. There was a brief respite from the selling until yields began another up-move in response to concerns that inflation would remain high for a longer than expected period and that this would have to be met with further increase in the Fed Funds rate. By the end of June, the yield had reached 3.88%.

While the European Central Bank (“ECB”) met expectations, raising the deposit rate by 25bps to 3.50% at its June meeting, the risks remain firmly skewed towards higher rates for longer after ECB President Christine Lagarde announced, *“inflation is expected to remain too high for too long. The ECB has more ground to cover. Barring a material change to our baseline, it is very likely that we will continue to increase rates at our next policy meeting in July.”* Interestingly, there is increasing evidence of splits within the ECB after Germany’s Isabel Schnabel, a member of the bank’s Executive Board and noted hawk announced, *“it is better to overdo it [with rate hikes] than to fall short,”* while French Governor François Villeroy, a dove, called for calm emphasising *“we are guided by data, not forecasts.”*

The June RBA Board meeting minutes confirmed that the risks have shifted to the upside when it comes to achieving the inflation target. The arguments favouring the two policy options of a pause or a 25bps rate increase were largely familiar: the slowing in activity and uncertain duration of policy lags versus the current strength of domestic inflation indicators, particularly the stickiness of services inflation.

Inflation in Australia came out better than expected after the May monthly release saw headline inflation fall to 0.0% from 0.3% in April. On an annual basis, inflation came in at 5.6%, a 13-month low, lower than last month’s 6.8% and forecasts of 6.1%. Unfortunately, the ‘core’ print wasn’t so encouraging, coming in at 6.4% on the year, while the trimmed mean eased to 6.1% from April’s 6.7%.

Economic Commentary

New Zealand (for the June 2023 quarter)

	OCR	90 day	2 years	3 years	5 years	7 years	10 years
31 March 2023	4.75%	5.24%	5.03%	4.72%	4.40%	4.31%	4.27%
30 June 2023	5.50%	5.70%	5.47%	5.09%	4.69%	4.55%	4.50%
Change	+1.25%	+0.46%	+0.44%	+0.37%	+0.29%	+0.24%	+0.23%

New Zealand entered a recession after March quarter GDP contracted -0.1%. This, combined with the December quarter's -0.7% (revised lower from -0.6%), means the domestic economy contracted -0.8% over the six months to 31 March. In annual terms, the economy grew 2.2%, although it was lower than the 2.6% forecast. While many will 'blame' Cyclone Gabrielle for the poor March quarter result, the main areas of weakness in the data were services, transport, manufacturing, and education, suggesting the wider economy is in a more precarious state than previously forecast.

Since the Reserve Bank of New Zealand's ("RBNZ") 25bps rate hike to 5.50% in May, domestic interest rate moves have been subject to the inputs and influences of international movements. This has seen the swap curve firm 23bps-46bps higher, with the larger increases occurring at the short end of the yield curve. Looking ahead, the RBNZ could now be on-hold until its November meeting, given that Governor Orr's comments at the May *Monetary Policy Statement* ("MPS") suggest that the RBNZ is unlikely to change its economic outlook by the 12 July meeting. While the General Election (on 14 October) will likely result in the RBNZ maintaining the status quo as, generally speaking, central bankers don't want to be seen to be placing undue influence on political events. The major upcoming data releases will be June quarter CPI (19 July), unemployment (2 August), retail sales (23 August), the Treasury's Economic and Fiscal Update 2023 (12 September), and June quarter GDP (21 September). Beyond the RBNZ meeting and data releases, the focus from financial markets will be on the depth and duration of the domestic recession and corporate performance and forecasts.

By the end of June, the markets were assigning a 28% chance that the OCR would climb to 5.75% by the end of the year and that the first cut would be in the middle of 2024, with the OCR at 4.50%-4.75% by October 2024. This is in contrast to the RBNZ which sees the OCR remaining at its current level until late 2024.

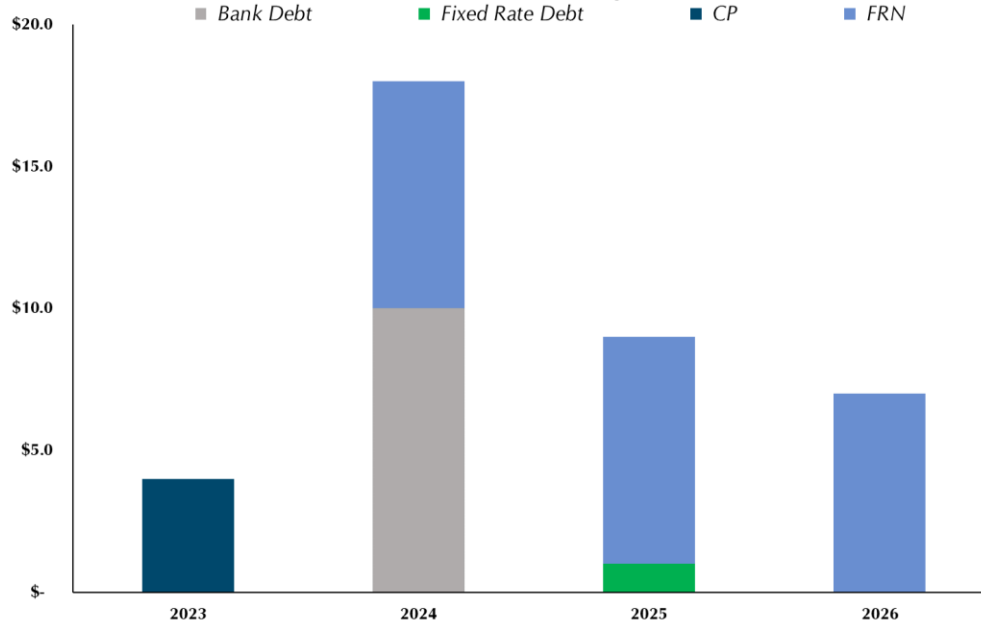
Even though the RBNZ has signalled an end to its hiking cycle, movements in New Zealand swap rates have been driven by movements in international yield curves until the cutting cycle begins. As an example, the recent rally in local swap rates has seen the 5-year swap rate break out of its prior 4.25%-4.50% range and rally to close the quarter at 4.69%, driven by the recent rally in US treasury yields, which saw the 10-year Treasury bond break out of its recent 3.30%-3.60% range to finish the quarter at 3.88%.

Internationally, investors will be monitoring the ratings agencies for any hints of a possible NZ sovereign rating downgrade, while the performance of the NZD and NZ interest rates will be largely dependent upon international inputs, especially international equity volatility, as liquidity drains ahead of the northern hemisphere summer.



Funding, Liquidity and Hedging Bands ³⁹

Waitomo DC - Maturity Profile



Debt
\$28.0m
 External Council Drawn Debt

LGFA Debt
\$28.0m
 Funds Drawn from LGFA

Headroom = committed bank facility
\$10.0m

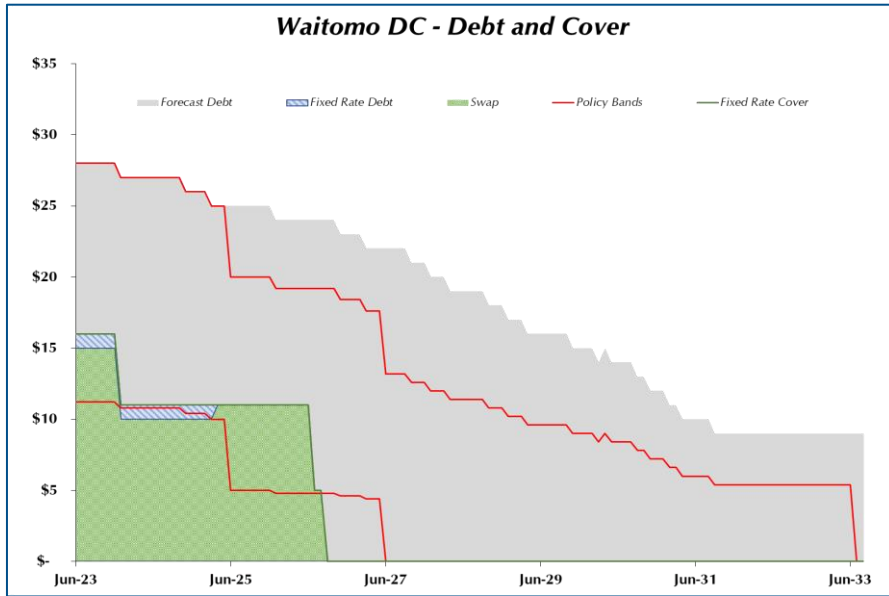
Liquidity Ratio
139.58%
 Definition: Includes Cash Reserves + Lines of Credit + Drawn Debt)/Drawn Debt (excludes Borrower Notes and restricted cash).

Cost of Funds as at 30 June
5.10%

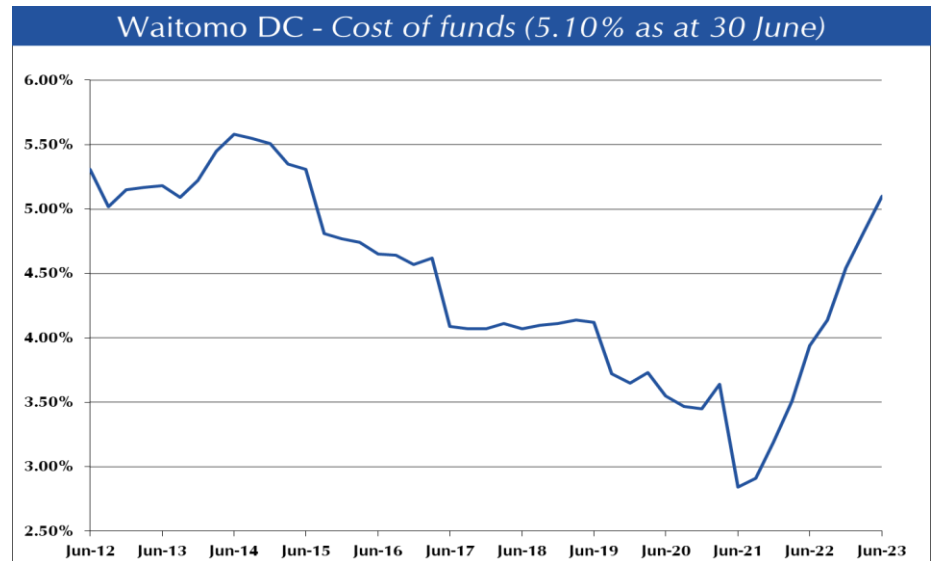
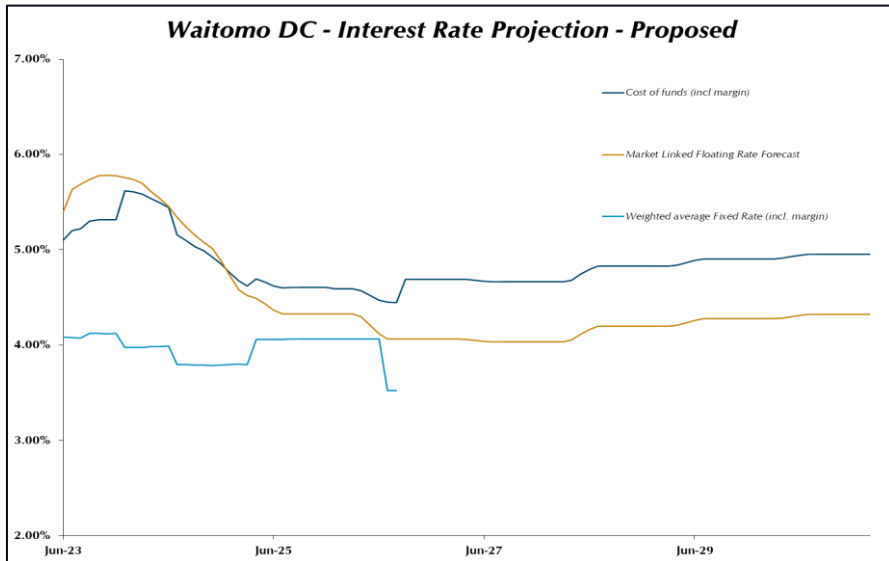
Policy Compliance	Compliant
Have all transactions been transacted in compliance with policy?	Yes
Is fixed interest rate cover within policy control limits?	No
Is the funding maturity profile within policy control guidelines?	Yes
Is liquidity within LGFA control limits?	Yes
Are swaps transacted with approved counterparties?	Yes

Fixed Rate Hedging Bands			
	Minimum	Maximum	Policy
0 - 2 years	40%	100%	Compliant
2 - 4 years	20%	80%	Non-Compliant
4 - 8 years	0%	60%	Compliant

Interest Rate Risk Management ⁴⁰



Current % of Debt Fixed	57.1%
Current % of Debt Floating	42.9%
Value of Fixed Rate (m)	\$16.0
Weighted Average Cost of Fixed Rate Instruments	3.63%
Value of Forward Starting Cover	\$5.0
Value of Floating Rate (m)	\$12.0
Current Floating Rate	5.63%
All Up Weighted Average Cost of Funds Including Margin	5.10%
Total Facilities In Place	\$38.0



LGFA Borrowing Rates

41

6

As at 30 June

Listed below are the credit spreads and applicable interest rates as of 30 June for Commercial Paper ("CP"), Floating Rate Notes ("FRN") and Fixed Rate Bonds ("FRB"), at which Waitomo District Council ("WDC") could source debt from the Local Government Funding Agency ("LGFA").

Maturity	Margin	FRN (or CP Rate)	FRB
3 month CP	0.20%	5.89%	N/A
6 month CP	0.20%	6.04%	N/A
April 2024	0.46%	6.15%	6.28%
April 2025	0.49%	6.18%	5.98%
April 2026	0.55%	6.24%	5.67%
April 2027	0.70%	6.39%	5.57%
May 2028	0.82%	6.51%	5.52%
April 2029	0.91%	6.60%	5.54%
May 2030	0.96%	6.65%	5.52%
May 2031	1.02%	6.71%	5.56%
April 2033	1.10%	6.79%	5.61%
May 2035	1.18%	6.87%	5.75%
April 2037	1.20%	6.89%	5.81%



WDC - LGFA Borrowings ⁴²

As at 30 June 2023, WDC had \$28.0million of core debt, all of which is sourced from the LGFA using Commercial Paper, FRNs, and FRBs. WDC also has a bank facility with Westpac Bank for \$10.0 million that matures on 1 July 2024, which has a margin of 90 basis points and a line fee of 30 basis points. Details of WDC's drawn debt as at 30 June is as follows:

Instrument	Maturity	Yield	Margin	Amount
LGFA CP	4-Sep-23	5.62%	N/A	\$4,000,000
LGFA FRN	18-Apr-24	6.20%	0.65%	\$3,000,000
LGFA FRN	11-Sep-24	6.37%	0.69%	\$5,000,000
LGFA FRB	19-Apr-25	3.68%	N/A	\$1,000,000
LGFA FRN	22-Apr-25	6.05%	0.49%	\$5,000,000
LGFA FRN	30-Aug-25	6.28%	0.57%	\$3,000,000
LGFA FRN	24-Jul-26	6.22%	0.66%	\$5,000,000
LGFA FRN	30-Aug-26	6.37%	0.66%	\$2,000,000



Swap details and valuation⁴³

As at 30 June

As at 30 June, WDC had four interest rate swaps which convert a portion of the floating interest rate exposures into a fixed rate. Details of the swaps are contained in the following table.

Start Date	Maturity Date	Rate	Amount	Market Value
24/01/2017	24/01/2024	3.84%	\$5,000,000.00	\$69,062
20/04/2020	20/04/2025	3.93%	\$5,000,000.00	\$150,029
11/09/2020	11/09/2026	2.89%	\$5,000,000.00	\$316,639
22/04/2025	22/07/2026	3.95%	\$5,000,000.00	\$21,503
			\$20,000,000	\$557,233



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Document No: A681987

Report To: Audit and Risk Committee



Meeting Date: 15 August 2023
Subject: **Progress Report Key Performance Indicators - period ended 30 June 2023**
Type: Information Only

Purpose of Report

- 1.1 The purpose of this business paper is to present Waitomo District Council's delivery performance on non-financials for the 2022/23 financial year ending 30 June 2023.
- 1.2 A copy of the KPI (Key Performance Indicator) Report is included as an attachment to this business paper.

Background

- 2.1 The WDC Ten Year Plan (10YP) 2021-2031 was adopted in June 2021 which includes the outcomes Council is aiming to deliver for the community through each activity area. Each group of activities has a level of service that we have agreed with the community to deliver.
- 2.2 These outcomes and levels of service are reported on to the community via the Annual Report at the end of each financial year.
- 2.3 Each quarter a report is produced to monitor the performance of the activities and levels of service by way of the KPI's developed through the 10YP 2021-2031.

Commentary

3.1 **SERVICE PERFORMANCE SUMMARY**

- 3.2 Of the 59 key performance indicators measured, 39 (66%) have been achieved, 18 (31%) not achieved, and 2 (3%) with no data available.

Leadership

- 3.3 Two measures not achieved and one with no data available. In Quarter 3, one Council agenda was uploaded only one day prior to a meeting rather than two days as required; this was due to staff responding to Cyclone Gabriel. The result of the 2023 Residents Survey for Council Communications was 87%, below the 90% target.
- 3.4 The third measure in this section, the evaluation of the annual Civil Defence exercise, has not yet been assessed so there is no data available.

Community and Partnership

- 3.5 One measure not achieved as the Youth Council did not resume this year. This was not seen as a priority given the current school environment, with the effects of Covid-19, students catching-up, teachers strikes, and absenteeism. Time is being taken to revise the Youth Council; a refresh of which will be launched in the 2023/2024 FY.

Recreation and Property

- 3.6 One measure not achieved for resident satisfaction with parks and open spaces, 2023 survey result was 83% down from 89%.

Regulatory Services

- 3.7 Two measures not achieved due to administration errors relating to building consents and LIM reports.

Solid Waste

- 3.8 Satisfaction with rural transfer stations is a new measure, the result of the 2023 Residents Survey of 91% satisfaction will be used as the new benchmark.

Stormwater

- 3.9 Three measures not achieved following flooding events in January and Cyclone Gabriel. The Council reported thirteen habitable floors affected by flooding and received 7.5 complaints per 1000 properties about urban stormwater across the year.

Wastewater

- 3.10 Three measures not achieved, one for resolution times for callouts in Piopio due to times from contractors not being reported correctly; improvements are being put in place to address this issue. The further two not-achieved results relate to complaints about wastewater in Piopio and the rest of the District, largely related to systems faults and blockages.

Water Supply

- 3.11 Five measures are not achieved: high consumption of water in Piopio has resulted in high average daily consumption overall, this is due to high unaccounted water loss through leaks. Comprehensive leak detection programme planned for 2023/24 FY.
- 3.12 Attendance time to callouts, and resolution times for urgent callouts are also over the target. Water services are working to reduce this reporting issue caused by manual reporting processes resulting in inaccurate data. Devices to be introduced to contractors to address this.
- 3.13 Protozoal compliance has failed in Maniaiti/Benneydale and Piopio due to high turbidity and data loss of greater than 1 minute. Any loss of data for this length of time results in non-compliance.

Roads and Footpaths

- 3.14 One measure is not achieved due to the occurrence of three serious injury crashes and one fatality this year. Compared to the 2021/22 financial year, when there was only one serious injury crash and one fatality, this is an increase of two for the year to date.

Suggested Resolution

The business paper for the Progress Report KPI's for period ended 30 June 2023 be received.



ALICE TASKER
SENIOR STRATEGY AND POLICY ADVISOR



CHARMAINE ELLERY
MANAGER STRATEGY AND POLICY

Key Performance Indicators Progress Report

For the period 1 April 2023 to 30 June 2023

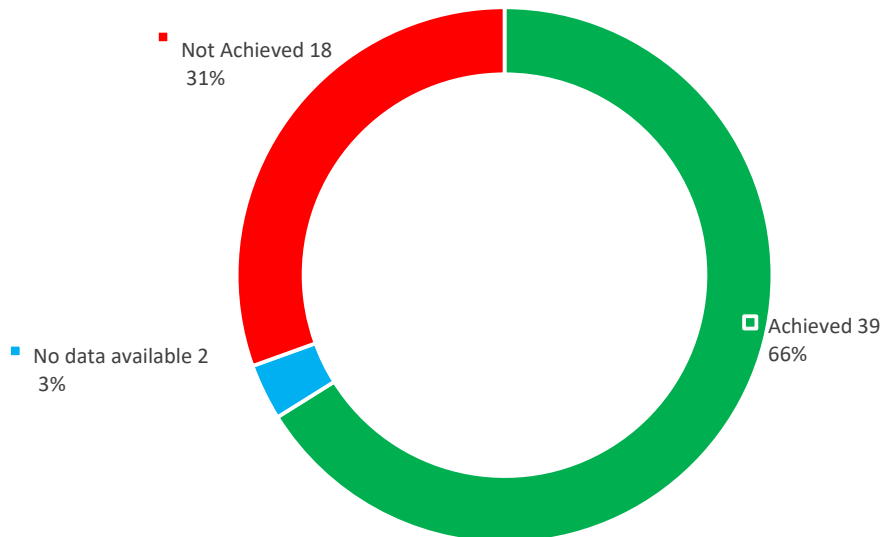
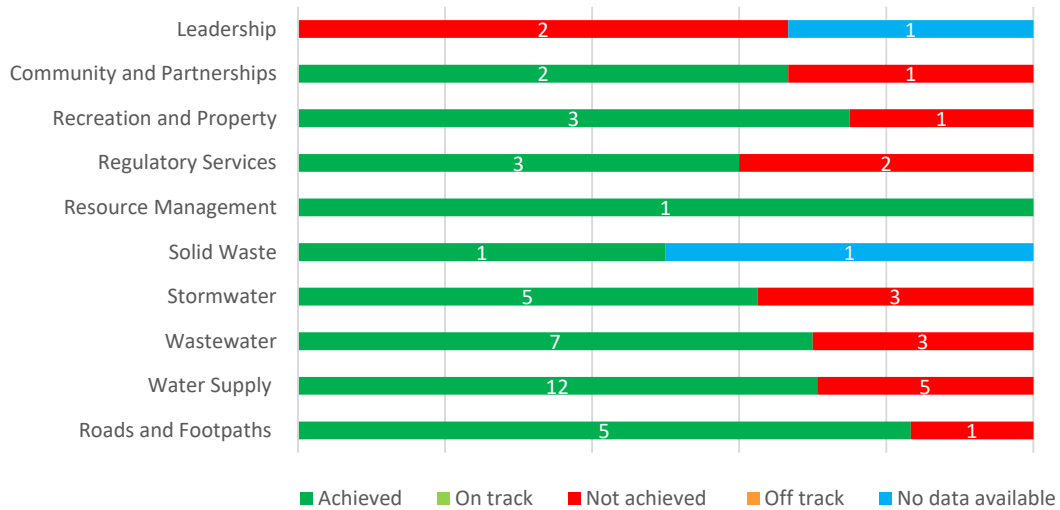


INTRODUCTION






The 2021-31 10 Year Plan (10YP) was adopted in June 2021. It sets out outcomes we aim to deliver for our community, through the activities we undertake. Within each group of activities outlined in the 10YP, we have outlined the levels of service we intend to deliver.













The purpose of this report is to provide high-level updates of these Council activities for the months of April to June 2023. The report covers progress on groups of activities non-financial KPI (Key Performance Indicators).









SERVICE PERFORMANCE SUMMARY AS AT 30 June 2023



Of the 59 key performance indicators measured, 39 (66%) have been achieved, 18 (31%) not achieved, and 2 (3%) with no data available.

SERVICE PERFORMANCE MEASURES				
Performance Measure Status				
 Not Achieved	 Off Track	 Achieved	 On Track	 Data not available

Leadership							
You can expect	Measure	Q1	Q2	Q3	Q4	Target/Result	Commentary
Provide and promote governance processes that are robust and transparent for our community	Percentage of Council agendas that are publicly available two working days or more before the meeting.					Target: 100% Result: 94%	Of the 16 Council and Committee meetings convened during the year, one agenda was not publicly available two working days prior to a meeting due to staffing resources impacted by the Civil Defence Declaration made because of Cyclone Gabrielle.
Effective communication with our community.	Percentage of residents satisfied with the effectiveness and usefulness of Council Communications					Target: 90% Result: 87%	The result from the June 2023 Residents Survey was 87% down from 90% in 2021.
Emergency preparedness through community-based emergency management	The evaluation of annual exercise as a measure of effectiveness of training					Target: Increasing trend Result: No data	Emergency Operation Centre was activated in January 2023 and will be used for assessment. Previous result from May 2022 was 74%.

Community and Partnerships							
You can expect	Measure	Q1	Q2	Q3	Q4	Target/Result	Commentary
Contestable grant funding is disseminated through a robust process.	Percentage of grants funding available is disseminated					Target: ≥ 80% Result: 88% of grant funding was disseminated.	88% of grant funding has been disseminated through the contestable grant funds. A total of 33 grants were approved during the year.
Council supports the delivery of youth related projects by the Youth Council.	Youth Council undertakes two youth related projects per year.					Target: 2 Result: 0	Not a priority given the current school environment. Time is being taken to revise the Youth Council; a refresh will be launched in the 2023/2024 FY.

Involvement in economic development initiatives and promotional opportunities.	≥5 initiatives or promotional opportunities					Target: ≥ 5 Result: 5	Stadium; Housing Assessment, Housing Strategy; District profiled in key publications; Travel trade marketing and famils; Ambassador Programme developed.
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Recreation and Property							
You can expect	Measure	Q1	Q2	Q3	Q4	Target/Result	Commentary
We provide parks and open spaces across our district.	Percentage of residents satisfied with or parks and open spaces.					Target: ≥ 89% Result: 83%	The result from the June 2023 Residents Survey was 83% down from 89% previously.
We provide pools and community facilities that are compliant with legislative standards.	Current Building Warrant of Fitness (BWOFF) for facilities with compliance schedules.					Target: Achieve Result: Achieved	All BWOFF's have been received and are current.
We will provide a comprehensive library facility for our community.	Percentage of residents satisfied with the quality of the library facility and service.					Target: ≥ 85% Result: 95%	The result from the June 2023 Residents Survey was 95%.
We provide public toilets for our community and visitors to the district.	Percentage of residents satisfied with the quality of public toilets.					Target: ≥ 85% Result: 89%	The result from the June 2023 Residents Survey was 89%.

Regulatory Services							
You can expect	Measure	Q1	Q2	Q3	Q4	Target/Result	Commentary
We ensure the public sale and supply of alcohol is undertaken safely and responsibly.	All premises that sell alcohol are licensed.					Target: 100% Compliance Result: 100%	100% compliance.
Building consents are processed in a timely fashion.	Building consents are processed within 20 working days.					Target: 100% Result: 99%	Year end 99% compliance. Q1 98% & Q2 97% (administrative error), Q3 100% & Q4 100%.

Council will process, inspect, and certify building work in the Waitomo District.	WDC maintains building control systems and process to meet IANZ Audit requirements					Target: BCA Accreditation achieved Result: Achieved	Assessed in June 2022, not due again until June 2024.
We provide land information Services (LIMs) efficiently.	LIMs are processed within statutory timeframe.					Target: 100% Result: 98%	Year end 98% compliance. Q1 100%, Q2 98% (administrative error), Q3 100%, Q4 96% (administrative error).
We provide an effective Animal Control Service.	Percentage of residents satisfied with the provision of the Animal Control Service.					Target: ≥ 75% Result: 77%	77% of respondents were satisfied with animal control services in the June 2023 Residents Survey.

Resource Management

You can expect	Measure	Q1	Q2	Q3	Q4	Target/Result	Commentary
Resource consents are processed in accordance with legislation.	All non-notified resource consents are processed within statutory timeframes.					Target: 100% Result: 100%	All non-notified resource consents received have been processed within statutory timeframes.

Solid Waste

You can expect	Measure	Q1	Q2	Q3	Q4	Target/Result	Commentary
We provide safe solid waste facilities within District.	Percentage of users that are satisfied with the rural transfer service stations.					Target: New measure Result: 91%	Result of the June 2023 Residents Survey was 91%, this is the new baseline.
We will provide a reliable kerbside rubbish collection to stop rubbish becoming a health risk. ¹	There are no more than 10 justifiable complaints per week about uncollected rubbish.					Target: New measure ≤ 10 per week Result: 0.35	Year-end average 0.35 complaints per week or 18 complaints in 52 weeks.

¹ Kerbside collection services offered in Te Kuiti, Waitomo Village, Piopio, and Mokau.

Stormwater							
You can expect	Measure	Q1	Q2	Q3	Q4	Target/Result	Commentary
We maintain and operate the stormwater network in a way that minimises the likelihood of stormwater entering habitable buildings.	The number of flooding events ² that occur in the district in a financial year.					Target: 0 Result: 2	There were two flooding events in Q3: 28 Jan floods, and Cyclone Gabrielle on 3 Feb.
	For each flooding event the number of habitable floors affected in a financial year.					Target: ≤ 1 per 1000 connections (2,655 connections) Result: 4.91 per 1000 connections	Two incidents were raised as service requests in Q3 on 28/1 and 3/02. During the above events, seven residential & four commercial buildings were visited by Building Services and recorded as flooded. Total recorded by Council is 13, this may not reflect unreported flooding.
We comply with our resource consent conditions and minimise the impact of stormwater on the environment.	abatement notices					Target: 0 Result: 0	There have been no notices received.
	infringement notices					Target: ≤ 2 Result: 0	There have been no notices received.
	enforcement orders					Target: 0 Result: 0	There have been no enforcement orders.
	successful prosecutions					Target: 0 Result: 0	There have been no successful prosecutions.
We will respond within a reasonable timeframe to flooding.	The median response time ³ to attend a flooding event (measured from the time that the notification is received to the time that service personnel reach the site).					Target: ≤ 180 minutes (3hrs) Result: 2hr 44min	
The Council provides a reliable stormwater collection service.	The number of complaints received about the performance of the Council's urban stormwater system per 1,000 properties connected.					Target: ≤ 4 complaints per 1,000 properties (2,655 connections) Result: 7.5 per 1000 properties	There were two flooding events in Q3 resulting in 17 complaints about urban stormwater, particularly in Te Kuiti. Total annual complaints 20.

² A flooding event means an overflow of stormwater from a territorial authority's stormwater system that enters a habitable floor. Habitable floor refers to the floor of a building (including a basement) but does not include ancillary structures such as stand-alone garden sheds or garages.

³ The median response times for resolution, in a year, measured from the time that the Council receives notification to the time that service personnel confirm resolution of the blockage or other fault.

Wastewater							
You can expect	Measure	Q1	Q2	Q3	Q4	Target/Result	Commentary
We will attend and resolve issues with the wastewater system within a reasonable timeframe. ⁴	The median attendance time for callouts, from the time that we received notification to the time that our service personnel reach the site.	○	○	○	●	Target: ≤180 minutes (3hrs) Result: 2hr 05min	
	The median resolution time of callouts, from the time that we received notification to the time that our service personnel confirm the fault or interruption has been resolved.	○	○	○	●	Target: Rest of District ≤540 minutes (9hrs) Result: 5hr 32min	
		○	●	●	●	Target: Piopio ≤540 minutes (9hrs) Result: 19hrs 34min	Improvements have been made to the reporting system. Delays in resolving some faults has increased the average resolution time. Mostly these are attended to by external contractors.
Compliance with the Council's resource consents for discharge from its sewerage system, measured by the number of the following (received by Council in a financial year).	abatement notices	○	○	○	●	Target: 0 Result: 0	
	Infringement notices	○	○	○	●	Target: 0 Result: 0	
	enforcement orders	○	○	○	●	Target: 0 Result: 0	
	convictions received	○	○	○	●	Target: 0 Result: 0	
Our wastewater system is operated and maintained to minimise odour and blockages.	The number of complaints about wastewater odour, system faults or blockages and complaints about our response to issues with its wastewater system.	●	●	●	●	Target: Piopio complaints per 1,000 connections ≤35 (Total number of connections 210) Result: 181 per 1000	Total of 38 complaints annually, largely related to systems faults and blockages.
		○	○	○	●	Target: Rest of District complaints per 1,000 connections ≤35 (Total number of connections 1794) Result: 39 per 1000	Total of 70 complaints annually, mostly concerning blockages.

⁴ The median response times for resolution, in a year, measured from the time that the Council receives notification to the time that service personnel confirm resolution of the blockage or other fault.

Our wastewater system is optimised to reduce the risk of harm to the community and environment.	Number of dry weather overflows in a financial year					Target: Total complaints per 1,000 connections ≤10 (Total number of connections 1,794) Result: 0	No dry weather overflow complaints were received this quarter.
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Water supply							
You can expect	Measure	Q1	Q2	Q3	Q4	Target/Result	Commentary
We provide water that is safe to drink and hygienic to use which meets the drinking water standards.	Water quality complies with the drinking water standards for (a) bacteria					Target: Achieve Compliance Result: Achieved	All Water Treatment Plants complied with Bacteriological requirement under Taumata Arowai Drinking Water Quality Assurance Rules. ⁵
	Water quality complies with the drinking water standards for (b) protozoa					Target: Achieve compliance Result: Not achieved	Maniaiti/Benneydale & Piopio Water Treatment Plants failed the Protozoa compliance based on continuous monitoring requirements.
We provide an efficient and effective water supply. We will achieve this by undertaking activities such as water leakage detection and maintaining the network of water pipes. ⁶	Percentage of real water loss from the Council's networked reticulation system in a financial year in:						
	Te Kuiti					Target: ≤ 20% Result: 13.14%	Compared to 15.3% the year previous
	Mokau					Target: ≤ 5% Result: 1.1%	Compared to 20.7% the year previous
	Piopio					Target: ≤ 5% Result: 0.67%	Compared to 0.3% the year previous
	Maniaiti/Benneydale					Target: ≤ 10% Result: 8.64%	Compared to 17.3% the year previous
We provide efficient management of demand for water for our community.	The average consumption of drinking water per Waitomo District resident, per day.					Target: ≤ 400 litres per person per day Result: 470l/day	High consumption of water in Piopio due to high unaccounted water loss through leaks. Comprehensive leak detection programme planned for 2023/24 FY.

⁵ The New Zealand Drinking Water Standards are monitored by Taumata Arowai as a national standard for public safety.

⁶ Water Losses includes real losses through leaks in the network and apparent losses through metering inaccuracies or water theft. This does not include unauthorised consumption.

We will respond within a reasonable timeframe to issues with the water supply. ⁷	The median attendance time ⁸ for urgent callouts, from the time that we received notification to the time that our service personnel reach the site.					Target: ≤ 180 minutes (3hrs.) Result: 27hr 40mins	Working to reduce this reporting issue caused by manual reporting processes resulting in inaccurate data. Devices to be introduced to contractors to address this.
	The median resolution time ⁹ of urgent callouts, from the time that we received notification to the time that our service personnel confirm the fault or interruption has been resolved.					Target: ≤ 540 minutes (9hrs.) Result: 26hrs 24mins	
	The median attendance time for non-urgent callouts, from the time that we received notification to the time that our service personnel reach the site.					Target ≤ 660 minutes (11 hrs.) Result: 57hrs 40mins	
	The median resolution time of non-urgent callouts, from the time that we received notification to the time that our service personnel confirm the fault or interruption has been resolved.					Target: ≤ 96 hours (4 days) Result: 70hrs 11mins	
We provide water that is wholesome and is reliably supplied. The measure indicates customers and community satisfaction with the quality of the water.	The total number of complaints received by Council in a year for: ¹⁰						
	Drinking water clarity					Target: ≤ 20 per 1000 connections Result: 5.66	
	Drinking water taste					Target: ≤ 5 per 1000 connections Result: 0.38	

⁷ Resolution and attendance based on working days are defined as Monday – Friday, excluding public holidays. If notification is received on the weekend or public holiday the timeframes start from the next working day.

⁸ Measured from the time that the local authority received notification to the time that service personnel reach the site.

















⁹ Measured from the time that the local authority received notification to the time that service personnel confirm resolution of the fault or interruption.

¹⁰ Total number of connections is 2640

	Drinking water odour					Target: ≤ 5 per 1000 connections Result: 0.38	
	Drinking water pressure flow					Target: ≤ 20 per 1000 connections Result: 2.64	
	Continuity of supply					Target: ≤20 per 1000 connections Result: 7.92	
	Council's response to any of these issues.					Target: New measure ≤20 per 1000 connections Result: 0	

Roads and Footpaths							
You can expect	Measure	Q1	Q2	Q3	Q4	Target/Result	Commentary
We are working towards a safe network with a vision of a decreasing trend of deaths and serious injuries on Waitomo District roads within ten years. We aim to achieve this by delivering projects that are focused on maintaining, upgrading, or changing the conditions of the roading environment to keep our community safe	The change from the previous financial year in the number of fatalities and serious injury crashes on Waitomo District's local road network.					Target: ≤ 1 Result: Serious Injury crashes YTD: 3 Fatal crashes YTD: 1 Change in serious injury: 2 Change in fatality: 0	During Q4 there has been 0 fatalities and 1 serious crash. YTD 1 fatality and 3 serious crashes, compared to 1 fatality & 1 serious crash the year previous.
We aim for a smooth road that provides comfort for road users and improves the safety of the roads.	The average smooth travel exposure rating across the sealed road network. ¹¹					Target: 90% (of total network) Result: 90%	Achieved at 90% below 150 NAASRA count.

¹¹ Percentage of measured sealed road lane kilometres not exceeding a NAASRA roughness count rating of 150 to be at least 90%. NAASRA is a generally acceptable measure of road roughness. A NAASRA count of less than 150 indicates an acceptable level of ride comfort.

We will maintain the overall condition of the unsealed roads to a specified adequate standard.	Percentage of unsealed road metaled each year.					Target: 10% (of total network) Result: 22.18%	22.2% of the unsealed network has received metalling in 2022/23. Q4 saw a push on metalling in various locations. Roads where logging operations taken place were some of the main drivers for this.
We will maintain the road network by resealing it as needed. Resurfacing is only undertaken as required depending on the condition of the surface in that financial year.	The percentage of Waitomo District's sealed local road network that is resurfaced each year.					Target: 7% (Of total network) Result: 7.2%	Due to sub-contract availability a couple of the asphalt sites were deferred. 33.17km of road or 7.2% of the network has been resurfaced in 2022/23.
We will provide footpaths that are well maintained. The measure is the percentage of footpaths that meet the service level	The percentage of footpath network that falls within a condition rating of 3. ¹²					Target: 90% Result: 97%	Condition rating of footpaths is undertaken every 3 years, the assessment was completed in June 2022.
We will investigate and respond to the customer about their request for service relating to road and footpath issues.	The percentage of customer service requests relating to roads and foot paths responded to within 10 working days.					Target: 80% Result: 96%	96% of service requests responded to within 10 working days. Of 847 requests, 35 took more than 10 days to respond to.

¹² Acceptable ratings being 1-very good 2-good and 3-fair as assessed by industry trained raters.

Document: A677363

Report To: Audit, Risk and Finance Committee



Date: 15 August 2023
Subject: **Progress Report: Health and Safety**
Type: Information Only

Purpose of Report

- 1.1 The purpose of this business paper is to brief the Committee on Waitomo District Council's (WDC) health and safety performance during the 2022/23 year.

Background

- 2.1 Elected Members are provided ongoing progress reports to provide visibility of health and safety performance and various key performance indicators.
- 2.2 This report has been structured to align with the SafePlus Programme developed by WorkSafe NZ, ACC and MBIE in 2017. The programme is voluntary and aims to support organisations wanting to improve their health and safety culture and exceed minimum compliance requirements.

Commentary

3.1 **LEADERSHIP COMMITMENT**

- 3.2 Under the Health and Safety at Work Act 2015, "Officers" are required to exercise due diligence to provide them with a level of assurance that health and safety is being effectively managed. Due diligence requires the need for "Officers" to keep up to date with health and safety matters and information; ensure critical risks are effectively controlled; ensure health and safety is adequately resourced; ensure appropriate monitoring and reviews are conducted to provide assurance and verify that health and safety matters are being appropriately addressed.

- 3.3 Identified improvements and actions during the 2022/23 year included:

- 3.3.1 Approved Fire Evacuation Schemes in place for Treatment Plants where the quantities of hazardous substances meet the threshold.

- In progress, awaiting final hazardous substances compliance requirements for relevant plants before application can be submitted.

- 3.3.2 Development and rollout of Tomo, the new Health and Safety software system.

- Official rollout to the whole organisation occurred on 23 May 2023.

- 3.3.3 Complete health and safety assessments across WDC's quarry network.

- Completed. Management is working on actions to be taken from this review.



- 3.3.4 Support and encourage a continued increase in site safety inspections and near miss recording.

- Ongoing.

3.3.5 SafePlus self-assessment.

- Completed.

3.4 The Annual Plan for 2022/23 was approved by the Senior Management Team in June 2022. The Key Performance Indicators below provide an indication of how we tracked against the set objectives.

KPI	Target	Status
Site Inspections	5 per month	
Workplace Inspections	1 quarterly	
Health and Safety Committee Meetings	1 per month	
Near Miss Reporting	10% increase	




Red light = target not reached – management focus required

Yellow light = target almost reached – maintain management focus

Green light = target achieved or exceeded

- 3.5 Conducting an organisational self-assessment was one of WDC's Health and Safety Annual Plan 2022/23 objectives. Management and staff were emailed a link by SafePlus in March 2023, with the self-assessment questionnaire completed by 62% of staff.
- 3.6 Results were shared with the Senior Management Team and the Health and Safety Committee to identify improvement opportunities. The results were presented to all staff at the Tomo rollout event held in May 2023.
- 3.7 Outcomes showed a result of "Performing" with some improvement opportunities identified.

Health and safety performance of Waitomo District Council

	Developing	Performing	Leading
 Leadership		✓	
 Worker Engagement		✓	
 Risk Management		✓	

3.8 A summary of the assessment findings were:

- Some risks are not managed as well as they could be e.g., stress, hazardous substances.
- Management and staff may have differing views on whether WDC thinks about impacts on health and safety of staff during decision making.
- WDC talks to staff about health and safety in a way that is understood.

3.9 Agreed actions to develop and implement following the assessment include:

- Carry out hazardous substances audit.
- Identify and implement relevant wellbeing education/training.
- Develop and implement wellbeing self-help tools.

3.10 **COUNCIL ADMINISTRATION BUILDING – HEALTH AND SAFETY**

3.11 The Health and Safety at Work Act states Officers (Chief Executive and Elected Members) are responsible for ensuring identified risks are managed effectively.

3.12 Following the seismic assessment results of the Queen Street administration building, the Senior Management Team initiated/agreed to implementing controls to manage the risk until seismic strengthening can occur:

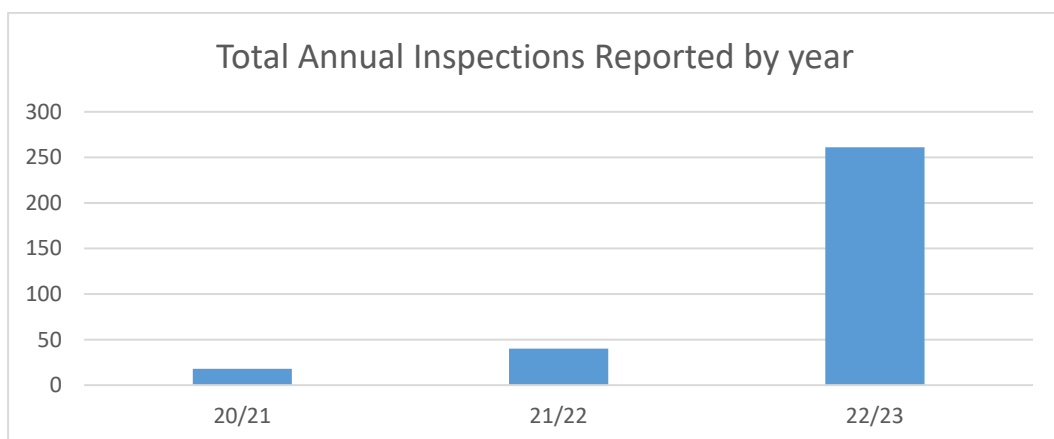
- Secure all large/heavy objects that could fall during an earthquake.
- Review earthquake emergency response procedure.
- Practice earthquake emergency response every six months until strengthening has occurred.
- Relocate customer services staff and allow other higher risk staff to work remotely if preferred and where practical.

3.13 **WORKER ENGAGEMENT PARTICIPATION AND REPRESENTATION**

3.14 WDC continues to maintain an active Health and Safety Committee. The Committee consists of five elected Health and Safety Representatives (HSR's), a senior management representative, Health and Safety Administrator and WDC's external Health and Safety Advisor.

3.15 The Health and Safety Committee meetings occur monthly and have been frequently attended. These meetings are minuted and held on file on the WDC document management system. Actions from the meeting are transferred into Tomo to ensure all actions are held in one location.

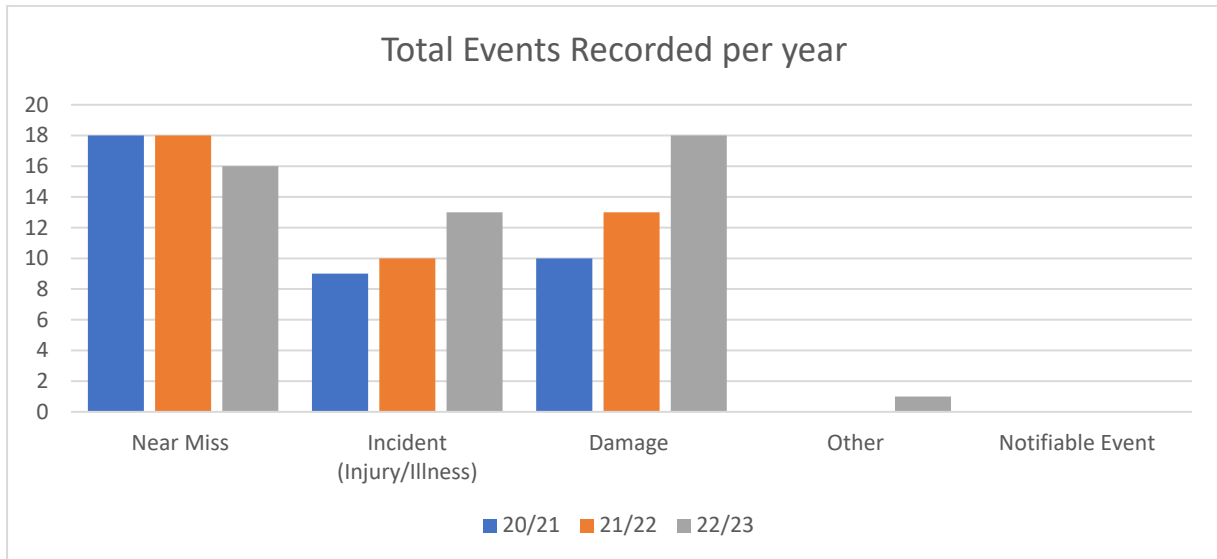
3.16 Health and Safety Representatives and Management have demonstrated an increased commitment to health and safety, by engaging in workplace and site inspections. This is an excellent increase on a lead indicator, highlighting increased monitoring of operational areas, including contractors.



3.17 48 events were reported in 2022/23, compared to the 41 events reported in 2021/22.

3.18 With an increase in injuries and damages, this highlights the need for management to actively encourage an increase in near miss reporting. With the rollout of Tomo, it is hoped that this will make it easier for staff to record near misses. Reporting will continue to be

encouraged, enabling WDC to identify preventative actions rather than corrective actions following an injury or damage.



- 3.19 11 formal training courses have been held during 2022/23 to ensure compliance is maintained and to provide tools and education to frontline workers.

Training provided in 2022/23

- Confined Space and Gas Detection
- Heights Safety Induction
- Heights Safety Refresher
- Management and Handling of Hazardous Substances
- Off-Road Vehicle - 4x4
- Accident and Event Investigation
- ICAM Investigation
- Advanced Work-Based First Aid
- Three Steps to Life – Cardiac Arrest
- Customer Conflict – Mental Awareness
- Skin Health Education Session

3.20 **RISK MANAGEMENT**

- 3.21 All Risk Registers have been developed using WDC's risk matrix and undergo an annual review with consultation from staff and HSR's. These are currently being uploaded into Tomo.

- 3.22 The top five risks that have previously been identified by the Senior Management Team remain unchanged:

- 1 **Working Alone** – Lone worker devices are in place and monitored to provide staff with security/support at all hours. Vehicle monitoring devices (Smartrak) are installed in vehicles to provide vehicle location (in cell network coverage areas only).
- 2 **Contractor Management** – The SHE Pre-Qualification used by WDC; contractor's health and safety processes, evidence and insurances are evaluated and approved before carrying out physical works giving WDC an assurance that contractors are managing health and safety.
- 3 **Confined Spaces** - Training is current. A Job Safety Analysis and permit system has been set up for staff to use when planning a confined space entry. Site safety inspections are required during this activity to ensure safe work practices and procedures are being followed.

- 4 **Aggressive Behaviour** – Training for customer facing roles occurred in late-2022 and will be re-scheduled for a refresher in the coming months. Lone worker devices are available to all field staff and duress buttons available for Customer Services staff to use as necessary. Any aggressive behaviour is recorded as a near miss and investigated.
- 5 **Driving and Vehicle Usage** – Driver training has been delivered to those staff who drive off-road and for those who tow trailers. Smartrak is installed in all vehicles to monitor vehicle locations as needed.
- 3.23 Approved Fire Evacuation Schemes have been obtained for applicable Council-owned buildings. The next fire evacuation drill for the Council offices will be conducted in September 2023.
- 3.24 Six-monthly earthquake drills at the Council office have commenced. The first drill was successful and as per the revised procedures. The next earthquake drill is scheduled for December 2023.
- 3.25 WDC continues to liaise with the quarry operator to ensure they maintain health and safety plans and compliance with resource consents. WDC engaged a company to carry out Geotech investigations/design plans and report. Infrastructure Services will ensure that this information remains current and that the quarry operations are carried out in line with lease agreements and Quarry Safety Plans.
- 3.26 Arrangements are being made to set up a committee involving WDC and occupants/tenants at the aerodrome to ensure there is consultation, coordination and cooperation between stakeholders to manage health and safety matters effectively.
- 3.27 An information sharing session has been scheduled for WDC’s contractors. This session will be held in August 2023 at the Les Munro Centre to provide education to contractors on their health and safety responsibilities, inform them of what they can expect from WDC and what WDC requires from contractors.
- 3.28 **STAFF WELFARE AND WELLBEING**
- 3.29 Each month a wellbeing topic is promoted to encourage physical health and mental wellbeing. The programme includes national health campaigns.

Month	Initiative
August	Heart Health
September	Maori Language Week & Mental Health Awareness
October	New Zealand National Shakeout
November	Diabetes Action Month
December	Safe Driving over the Holidays
January	Sun Smart
February	LIVE Session - Making Exercise work for you
March	LIVE Session - How to control your own money
April	Mole Map
May	NZSL Week
June	LIVE Session - Cultivating Mindfulness in High-stress Environments

- 3.30 A new wellbeing tool was obtained through the Co-Lab Health and Safety group and tailored to WDC. The “Temperature Check” tool can be used as a self-help tool for staff, but primarily for managers to use as a tool with their team to help determine workloads. The categories highlight any staff that may be under pressure which may impact work quality and/or wellbeing.

Continuous Improvement - Looking forward to 2023/24

- 4.1 Implementation of the 2023/24 Health and Safety Annual Plan with objectives and key performance indicators actively tracked. A copy of the plan is attached to this business paper.
- 4.2 Approved Fire Evacuation Schemes are in place for all workplaces that are required to have them and are trialled every six months.
- 4.3 Engage with contractors to provide education and information through a Contractor Health and Safety Information Sharing session.
- 4.4 Bullying and harassment training provided to management and staff.
- 4.5 Support and encourage a continued increase in safety inspections and near miss recording.

Suggested Resolution

The Progress Report: Health and Safety be received.



HELEN BEEVER
GENERAL MANAGER – COMMUNITY SERVICES

August 2023

APPENDIX A

HEALTH AND SAFETY ANNUAL PLAN 2023/24



Providing a safe and healthy work environment - enabling our people to create a vibrant district, where people can live and feel safe.



LEAD HEALTH AND SAFETY	ENGAGE WORKERS	MANAGE RISKS
<ul style="list-style-type: none"> ✓ Provide a safe and healthy workplace ✓ Ensure all risks are managed ✓ Demonstrate commitment to health and safety 	<ul style="list-style-type: none"> ✓ Consult with workers where decisions may impact their health and safety ✓ Seek learning opportunities and/or improvements for workers 	<ul style="list-style-type: none"> ✓ Identify hazards/risks ✓ Know and understand our critical risks ✓ Monitor controls to ensure they are effective
OUR OBJECTIVES/PRIORITIES	OUR OBJECTIVES/PRIORITIES	OUR OBJECTIVES/PRIORITIES
<ul style="list-style-type: none"> → Our health and safety management system is implemented and effective → Identify and implement preventative actions to enable continuous improvement 	<ul style="list-style-type: none"> → Regular team/committee meetings are held → All health and safety events are recorded → Consult with workers regularly on our objectives and priorities 	<ul style="list-style-type: none"> → Hazards/risks and their controls are understood → Work practices and controls are implemented → Workers have the relevant training
MEASURES	MEASURES	MEASURES
<ul style="list-style-type: none"> ✓ Management system internal audit carried out with no critical non-conformances ✓ Zero overdue actions in Tomo 	<ul style="list-style-type: none"> ✓ Daily and monthly meetings held ✓ Near hits recorded and investigated ✓ Workers are involved in consultation processes 	<ul style="list-style-type: none"> ✓ Critical risks are reviewed six monthly ✓ Worksite inspections carried out monthly ✓ Training is current

Document No: A679473

Report To: Audit and Risk Committee



Meeting Date: 15 August 2023

Subject: Progress Report: Procurement Summary Schedule (January 2023 – June 2023)

Information Only

Purpose of Report

- 1.1 The purpose of this business paper is to present to the Committee a summary of the procurements made in the period 1 January 2023 to 30 June 2023 in accordance with Waitomo District Council's Procurement Policy.

Background

- 2.1 Waitomo District Council's (WDC) Procurement Register (Register) provides a formal "one stop" reference to record WDC's procurement decisions.
- 2.2 The Register, at an operational level, provides a summary of the procurement decisions together with the associated financial components.
- 2.3 The Register provides procurement information including:
- Procurement Description.
 - Type of Contract: Physical Works, or Professional services, or goods and services.
 - Term of contract.
 - Procurement Selection process adopted: All of Government (AOG), Syndicated, Tender, Quote or Direct Appointment.
 - Reason for exemption (if applicable).
 - Number of tenders/quotes received.
 - Tender/quote range.
 - Evaluation method.
 - Awarded contract value.
 - Contractor/supplier.
- 2.4 The Register provides key financial information for each procurement including:
- Total cumulative value.
 - Price range of Tenders/Quotes received.
- 2.5 The keeping of records is part of an overall Risk Management Framework and assists in the early identification of risks.
- 2.6 All procurement documents such as the quotes, tender responses, notices to tenderers and related correspondence are held in the relevant physical contract folder, captured electronically, and the detail added to the Register.

Commentary

- 3.1 WDC's Procurement Policy (the Policy) was last reviewed and adopted with amendments by Council on 31 May 2022.
- 3.2 Changes made to the Policy include amending policy thresholds and procurement requirements.

- 3.3 The Tenders Subcommittee (a subcommittee of WDC's Senior Management Team) operates to assist the Chief Executive in undertaking the management of procedures to ensure sound probity methods are followed, risks are mitigated, and quality documentation is produced in relation to the procurement of goods and services necessary to deliver WDC's work programme and operations as provided for in the adopted 10 Year Plans and Annual Plans.

Procurement Summary Schedule

- 4.1 The attached Procurement Summary Schedule (PSS) report provides details of procurements that result in a total contract award over \$200,000 + GST, and/or where the supplier selection method has deviated from the Procurement Policy, and a procurement exemption has been approved by the Chief Executive.
- 4.2 **Exemption Reason**
- 4.3 The Audit and Risk Committee have requested that the reason for granting a Procurement Exemption be included in the PSS. As a result, the Headings of the five criteria provided for in the Policy will now be included in the PSS as the reason for granting an exemption.
- 4.4 The Policy extract below provides detail of those five criteria, of which at least one must be met for a Procurement Exemption to be granted.

Procurement Exemption

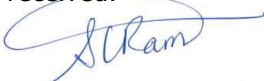
The supplier selection method and process for the relevant threshold should be followed fully. If deviation from the process is required, the reason for the deviation should comply with one or more of the following criteria:

1. **Monopoly or limited supplier situation:** *Where there is a monopoly or very limited supplier situation and only one or two Suppliers capable of supplying the requirements (e.g. engaging an arrangement for the supply of electricity on a network where the network is owned by a single party); or*
2. **Proprietary technology:** *Where a Supplier is the sole Supplier and/or patent holder of a specific product that is required by WDC. WDC must be satisfied that the proprietary technology is the most appropriate for the needs of WDC; or*
3. **High Risk Activities:** *The risks of a competitive process outweigh the benefits of competition and would potentially create risk for WDC; or*
4. **Unique business proposition:** *Where a Supplier has a unique business proposition that can minimise risks or costs to WDC. This could include existing knowledge relevant to a project; or*
5. **Existing contract:** *If goods, services and/or works are in addition to, or necessary for the completion of, delivery of an existing contract, provided that the original contract was publicly advertised, and a change of Supplier cannot be made for economic, technical, legal or practical reasons.*

The key requirement is the direct appointment represents best value for WDC. Poor planning or organisation of procurement is not justification for deviation from the framework. In all instances a procurement exemption must be signed off by the Chief Executive.

Suggested Resolution

The Progress Report: Procurement Summary Schedule (1 January 2023 to 30 June 2023) be received.



SHYAMAL RAM
GENERAL MANAGER – INFRASTRUCTURE SERVICES

Attachment: Procurement Summary Schedule (Doc A679472) - Worksheets 2023-Q1 and 2023-Q2

PROCUREMENT SUMMARY SCHEDULE
2023 Quarter Two (April - June)

Contract / Order No.	Contract Title / Procurement Description	Type of Contract (Physical Works, Professional Services or Goods and Services)	Term of Contract	One-off or Ongoing Supply	Selection Process (AOG, Syndicated, Panel, Tender, Quote or Direct Appointment)	Exemption Reason	No. of Tenders / Quotes Received	Tender / Quote Range (GST exclusive)	Evaluation Method	Awarded Contract Value (Total cumulative)	Awarded To	Meeting Date	GM	Remarks
PO 75580	Supply and Install 96m of PE pipe at Lawrence St	Physical Works	N/A	One-off	Direct Appointment	Unique business proposition	N/A	N/A	N/A	\$93,415	McIndoe Group Ltd	N/A	Infrastructure Services	
PO 75823	Mangarino Road Level Crossing repairs	Physical Works	N/A	One-off	Direct Appointment	Monopoly or limited supplier situation	N/A	N/A	N/A	\$77,081	KiwiRail Ltd	N/A	Infrastructure Services	
PO 76501	Public Liability & Prof Indemnity Insurance 2023/24	Professional Services	1 Year	Ongoing	Direct Appointment	Unique business proposition	N/A	N/A	N/A	\$66,084	Marsh Ltd	N/A	Finance	
500/22/041	Mangatoa Road RP 2.3-3.2 Slip Repairs	Physical Works	1 Year	One-off	Tender	N/A	3	\$2,491,360 - \$3,036,079	PQM	\$2,491,359.77	Cambridge Excavators Ltd	28/04/23	Infrastructure Services	Reported in Q1
500/22/040	Footpath and Associate Works 22-24	Physical Works	2 Year	One-off	Tender	N/A	2	\$999,263 - \$1,344,507	PQM	\$999,262.87	Cambridge Excavators Ltd	28/04/23	Infrastructure Services	Reported in Q1
500/22/024	3 Waters Renewals 2022/24	Physical Works	2 Year	One-off	Tender	N/A	3	\$1,205,593 - \$2,089,409	PQM	\$1,205,593	Cambridge Excavators Ltd	05/04/23	Infrastructure Services	
500/22/042	Rangatahi Pathway Programme	Services	3 Years	Ongoing	Direct Appointment	Risk of a competitive process outweigh the benefits of competition	N/A	N/A	N/A	\$858,373.00	Aotahi Ltd	N/A	Community Services	

PROCUREMENT SUMMARY SCHEDULE

2023 Quarter One (January to March)

Contract / Order No.	Contract Title / Procurement Description	Type of Contract (Physical Works, Professional Services or Goods and Services)	Term of Contract	One-off or Ongoing Supply	Selection Process (AOG, Syndicated, Panel, Tender, Quote or Direct Appointment)	Exemption Reason	No. of Tenders / Quotes Received	Tender / Quote Range (GST exclusive)	Evaluation Method	Awarded Contract Value (Total cumulative)	Awarded To	Meeting Date	GM	Remarks
500/23/004	i-SITE & Railway Building 1 - Alterations, Renovations and New Fitouts	Physical Works	N/A	One-off	Quote	N/A	4	\$126,239.10 - \$248,710.80	LPC	\$ 126,239.10	RB Thomas Ltd	N/A	Infrastructure Services	
500/22/038	WDC Bridge Structural Maintenance Repairs 22/23/24	Physical Works	N/A	One-off	Tender	N/A	2	\$1,382,184.63 - \$1,757,527.67	PQM	\$1,156,024.48	Maxbuild Ltd	15/03/23	Infrastructure Services	
500/22/035	Kopaki Road II RP 6.04 Road Retreat	Physical Works	N/A	One-off	Tender	N/A	3	\$625,037.40 - \$772,980.96	PQM	\$646,729.83	Inframax Construction Ltd	08/02/23	Infrastructure Services	
PO 75124	Chambers Room Zoom Room Equipment Renewal	Physical Works	N/A	One-off	Direct Appointment	Monopoly or limited supplier situation	N/A	N/A	N/A	\$51,370.56	Connect NZ Ltd	N/A	Business Support	

Document No: A652119

Report To: Audit and Risk Committee



Meeting Date: 15 August 2023

Subject: **Progress Report: WDC Resource Consents – Compliance Monitoring (January to June 2023)**

Type: Information Only

Purpose of Report

- 1.1 The purpose of this business paper is to brief Council on compliance reporting against Resource Consent conditions, due during the fourth quarter of 2022/23.

Risk Considerations

- 2.1 This is a progress report only, and as such no risks have been identified regarding the information contained in this business paper.

Commentary

- 3.1 Waitomo District Council (WDC) is required to report on resource consent compliance to Waikato Regional Council (WRC) in accordance with the conditions that regulate the various resource consents held by WDC.
- 3.2 The following tables set out details of the compliance reporting requirements for WDC's resource consents.

RESOURCE CONSENT	REPORT DUE
Monthly	
No. 116844 - Benneydale Water Treatment Plant Condition 9 (Surface Water Take)	Monthly
No. 117290 - Piopio Wastewater Treatment Plant Condition 26 (Discharge)	Monthly
No. 140685 - Rangitoto Quarry Landfill, William Street, Te Kuiti Conditions 65 & 66	<i>Not yet commenced</i>
Quarterly	
No. 112639 - Te Kuiti Wastewater Treatment Plant Conditions 7 - 19 (Discharge) Condition 30	December, March, June, September
No. 140685 - Te Kuiti Landfill, William Street Conditions 65 & 66	<i>Not yet commenced</i>
No. 101753 - Te Kuiti Landfill, William Street Condition 11 (Within 2 months of sampling)	February, May, August, November

RESOURCE CONSENT	REPORT DUE
Six Monthly	
No. 133317 - Te Kuiti Water Treatment Plant Conditions 5, 6, 10 & 11	January/July
No. 118813 - Benneydale Wastewater Treatment Plant Conditions 16 - 23	January/July
No. 117945 - Benneydale Water Treatment Plant (Backwash) Condition 3	April/October
No. 107477 - Piopio Water Treatment Plant Conditions 6, 7, 8 & 9	May/November
No. 107478 - Piopio Water Treatment Plant Conditions 10, 15 & 16	May/November
No. 140685 - Te Kuiti Landfill, William Street Conditions 62 & 63 (Within 2 months of sampling)	<i>Not yet commenced</i>
Annual	
No. 118813 - Benneydale Wastewater Treatment Plant Condition 26	31 March
No. 120340 - Mokau Closed Landfill Conditions 3, 6 & 10	Monitoring Ceased by mutual agreement with WRC (11/2017)
No. 105054/55/56/57/58/59/60 - Waitomo Stormwater Schedule A (22) Conditions 4 - 6	31 May
No. 105054 - Te Kuiti Stormwater Condition 6	31 May
No. 116274 - Benneydale Water Treatment Plant Conditions 2, 3, 4 & 7 (Groundwater Take)	1 June
No. 113544 - Mokau Water Treatment Plant (Water Take) Conditions 2 & 4	July
No. 113545 - Mokau Water Treatment Plant (Backwash) Conditions 2 - 8	July
No. 140685 - Rangitoto Quarry Landfill, William Street, Te Kuiti Annual Report Condition 71	<i>Not yet commenced</i>
No. 101753 - Te Kuiti Landfill, William Street Annual Report Condition 4 Independent Peer Reviewer	May
No. 120048 - Te Kuiti Wastewater Treatment Plant Condition 7	1 December
No. 112639 - Te Kuiti Wastewater Treatment Plant Condition 20 (Discharge)	September
No. 103287, 103288 and 103289 - Te Kuiti, Walker Road - Closed Landfill	November

RESOURCE CONSENT	REPORT DUE
No. 103193 - Benneydale Closed Landfill SH30 Conditions 2, 3 & 5 No. 103194 - Conditions 2 & 3	Monitoring Ceased by mutual agreement with WRC (08/2018)
No. 103196 - Piopio Closed Landfill Conditions 2, 3 & 4	Monitoring Ceased by mutual agreement with WRC (08/2018)
No. 103198 - Aria Closed Landfill Conditions 2 & 4	Monitoring Ceased by mutual agreement with WRC (08/2018)
Biennial	
No. 117290 - Piopio Wastewater Treatment Plant Conditions 7 & 9 (Discharge) (Review Operations and Management)	September 2014, 2016, 2018, etc.
No. 112639 - Te Kuiti Wastewater Treatment Plant Condition 24 (Review Operations Management Plan)	June 2015 (<i>and every two years after</i>)
No. 118813 - Benneydale Wastewater Treatment Plant Condition 27 (Review Management Plan Review)	from 2010 every two years
Other	
No. 112639 - Te Kuiti Wastewater Treatment Plant Condition 28 (Complete Passage/Migration Barrier Assessment within 3 years of commencement date)	Within 3 years: 18 December 2017 Completed: 1 July 2020

Resource Consent Compliance Reports: January to March 2023

3.3 The following Resource Consent Compliance Reports have been made to WRC during the third quarter of 2022/23:

**1. AUTH116844.01.01 – Maniaiti/Benneydale Water Treatment Plant
Condition 9 (Surface Water Take)
Report Due: Monthly**

Activity Description	Take up to 180 cubic metres per day of water from an unnamed tributary of the Mangapehi Stream for Benneydale water supply purposes.
Reporting Period:	December 2022
Compliance Status:	Compliant
WDC Reference:	A647634

Reporting Period:	January 2023
Compliance Status:	Compliant
WDC Reference:	A649556

Reporting Period:	February 2023
Compliance Status:	Compliant
WDC Reference:	A653745

2. AUTH117290.01.01 – Piopio Wastewater Treatment Plant
Condition 26 (Discharge)
Report Due: Monthly

Activity Description	Discharge up to 135.4 cubic metres of treated municipal sewage in any 24-hour period from the Piopio Wastewater Treatment System to the Mokau River.
Reporting Period:	December 2022
Compliance Status:	Compliant
WDC Reference:	A647635

Reporting Period:	January 2023
Compliance Status:	Compliant. There were exceedances on the discharged volume, but this is not related to the treated wastewater. These exceedances were due to the excessive water that accumulated due to the heavy rain that was experienced on the last 3 days of the month.
WDC Reference:	A637203

Reporting Period:	February 2023
Compliance Status:	Compliant. There were exceedances on the discharged volume, but this is not related to the treated wastewater. These exceedances were due to the excessive water that accumulated due to the heavy rain during the start of the month.
WDC Reference:	A654052

3. AUTH112639.01.01 – Te Kuiti Wastewater Plant
Conditions 7, 17 & 30 (Discharge)
Report Due: Quarterly

Activity Description	To discharge treated wastewater to the Mangaokewa Stream from the Te Kuiti Wastewater Plant.
Reporting Period:	October 2022 – December 2022
Compliance Status:	Compliant
WDC Reference:	A647655

4. AUTH101753.01.01 – Te Kuiti Landfill
Condition 11 (Leachate monitoring)
Report Due: Quarterly

Activity Description	Place up to 232,000 tonnes of municipal solid waste onto or into land, in the Rangitoto Quarry Landfill, William Street, Te Kuiti.
Reporting Period:	October 2022 – December 2022
Compliance Status:	Compliant
WDC Reference:	A649575

5 AUTH133317.01.01 – Te Kuiti Water Treatment Plant – Water Take
Conditions 5, 6, 10 & 11
Report Due: Semi - Annually

Activity Description	To take water from the Mangaokewa Stream for domestic and municipal water supply purposes.
Reporting Period:	July 2022 – December 2022
Compliance Status:	Compliant
WDC Reference:	A647636

6 AUTH118813.01.01 – Maniaiti /Benneydale Wastewater Treatment Plant
Discharge
Conditions 7, 9, 16, 21 & 23
Report Due: Semi - Annually

Activity Description	Discharge up to 85 cubic metres per day of treated municipal wastewater onto land on a seasonal basis or discharge to the Mangapehi Stream.
Reporting Period:	July 2022 – December 2022
Compliance Status:	Compliant
WDC Reference:	A647645

7. AUTH138063.01.01 – Te Waitere Wastewater Disposal
Conditions 4, 12 & 16
Report Due: Annually

Activity Description	Discharge up to 10.3 cubic metres of primary treated wastewater from residential and community sources onto land.
Reporting Period:	July 2020 – June 2022
Compliance Status:	Compliant
WDC Reference:	A648161

Compliance Reports: April to June 2023

3.4 The following Resource Consent Compliance Reports have been made to WRC during the second quarter of 2022/23:

1. AUTH116844.01.01 – Maniaiti/Benneydale Water Treatment Plant Condition 9 (Surface Water Take) Report Due: Monthly

Activity Description	Take up to 180 cubic metres per day of water from an unnamed tributary of the Mangapehi Stream for Benneydale water supply purposes.
Reporting Period:	March 2023
Compliance Status:	Compliant
WDC Reference:	A657890

Reporting Period:	April 2023
Compliance Status:	Compliant
WDC Reference:	A663309

Reporting Period:	May 2023
Compliance Status:	Compliant
WDC Reference:	A669583

Reporting Period:	June 2023
Compliance Status:	Compliant
WDC Reference:	A675771

2. AUTH117290.01.01 – Piopio Wastewater Treatment Plant Condition 26 (Discharge) Report Due: Monthly

Activity Description	Discharge up to 135.4 cubic metres of treated municipal sewage in any 24-hour period from the Piopio Wastewater Treatment System to the Mokau River.
Reporting Period:	March 2023
Compliance Status:	Compliant
WDC Reference:	A657906

Reporting Period:	April 2023
Compliance Status:	Compliant
WDC Reference:	A662863

Reporting Period:	May 2023
Compliance Status:	Compliant
WDC Reference:	A669544

Reporting Period:	June 2023
Compliance Status:	Compliant
WDC Reference:	A673341

**3. AUTH101753.01.01 – Te Kuiti Landfill
Condition 11 (Leachate Monitoring)
Report Due: Quarterly**

Activity Description	Place up to 232,000 tonnes of municipal solid waste onto or into land, in the Rangitoto Quarry Landfill, William Street, Te Kuiti.
Reporting Period:	January to March 2023
Compliance Status:	Compliant
WDC Reference:	A663322

**4. AUTH112639.01.01 – Te Kuiti Wastewater Treatment Plant – Discharge
Conditions 7, 17, 21 & 30
Report Due: Quarterly**

Activity Description	To discharge treated wastewater to the Mangaokewa Stream from the Te Kuiti Wastewater Treatment Plant.
Reporting Period:	January – March 2023
Compliance Status:	Compliant
WDC Reference:	A652977

Activity Description	To discharge treated wastewater to the Mangaokewa Stream from the Te Kuiti Wastewater Treatment Plant.
Reporting Period:	April – June 2023
Compliance Status:	Compliant
WDC Reference:	A671207

**5. AUTH124718.01.01 – Te Kuiti Landfill – Stormwater Monitoring (SW2)
Conditions 7 and 14
Report Due: Quarterly**

Activity Description	Discharge leachate from a sanitary landfill into ground.
Reporting Period:	January – March 2023
Compliance Status:	Compliant
WDC Reference:	A658869

**6. AUTH107477.01.01 – Piopio Water Treatment Plant – Surface Water Take
Conditions 5, 6, 7 & 9
Report Due: Semi – Annually**

Activity Description	Take up to 165,929 cubic metres per year of water from Kuratahi Stream for municipal water supply purposes.
Reporting Period:	July – December 2022
Compliance Status:	Non – Compliant: On several instances, the daily water take was exceeded during the last 2 months of 2022 due to technical issues within the plant. Compliant – The annual water takes from January to December 2022 had not exceeded the 165,929 cubic metres per year consent limit.
WDC Reference:	A662786

Reporting Period:	January – June 2023
Compliance Status:	Non – Compliant: Daily water take limit was exceeded mostly during this reporting period. These exceedances were due to technical issues that were encountered within the plant.
WDC Reference:	A673322

**7. AUTH118813.01.01 – Maniaiti /Benneydale Wastewater Treatment Plant Discharge
Conditions 7, 9, 16, 21 & 23
Report due: Semi - Annually**

Activity Description	Discharge up to 85 cubic metres per day of treated municipal wastewater onto land on a seasonal basis or discharge to the Mangapehi Stream.
Reporting Period:	January- June 2023
Compliance Status:	Compliant
WDC Reference:	A673549

**8. AUTH107478.01.02 – Piopio Water Treatment Plant – Backwash Discharge
Conditions 7,9, 14, 15 & 16
Report Due: Semi – Annually**

Activity Description	Discharge up to 8 cubic metres of filter backwash water and waste over a 4-minute period twice a week to the Kuratahi Stream in association with the operation of a municipal water supply.
Reporting Period:	November 2022 to April 2023
Compliance Status:	Compliant
WDC Reference:	A664385

- 9. AUTH133317.01.01 – Te Kuiti Water Treatment Plant – Water Take
Conditions 5, 6, 10 and 11
Report Due: Semi – Annually**

Activity Description	To take water from the Mangaokewa Stream for domestic and municipal water supply purposes.
Reporting Period:	January to June 2023
Compliance Status:	Compliant
WDC Reference:	A673522

- 10. AUTH117945.01.01 – Benneydale / Maniati Water Treatment Plant Backwash Discharge
Condition 3
Report Due: Semi – Annually**

Activity Description	Discharge up to 5 cubic metres per day of filter backwash into an unnamed tributary of the Mangapehi Stream.
Reporting Period:	October 2022 to April 2023
Compliance Status:	Compliant
WDC Reference:	A662259

- 11. AUTH116274.01.01 – Maniati / Benneydale Water Treatment Plant Groundwater Take
Conditions 2, 3, 4 and 7
Report Due: Annually**

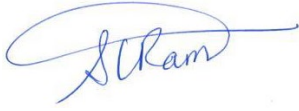
Activity Description	Take up to 180 cubic metres per day of groundwater at a rate of 3.3 litres per second for Benneydale municipal supply purposes.
Reporting Period:	June 2022 – May 2023
Compliance Status:	Compliant
WDC Reference:	A667464

- 12. AUTH118813.01.01 – Maniati / Benneydale WWTP Discharge
Condition 26
Report Due: Annually**

Activity Description	Discharge up to 85 cubic metres per day of treated municipal wastewater on to land on a seasonal basis or discharge to the Mangapehi Stream.
Reporting Period:	January – December 2022
Compliance Status:	Compliant
WDC Reference:	A652978

Suggested Resolution

The Progress Report, WDC Resource Consents – Compliance Monitoring, be received.



SHYAMAL RAM
GENERAL MANAGER – INFRASTRUCTURE SERVICES

3 August 2023