

Document No: A506419

**Report To: Audit and Risk Committee**



**Meeting Date:** 16 February 2021

**Subject: Declaration of Members' Conflicts of Interest**

## Purpose of Report

- 1.1 The purpose of this business paper is for members to –
- 1 Declare interests that may be deemed a potential conflict with their role as an elected member relating to the business papers for this meeting, and
  - 2 Declare any interests in items in which they have a direct or indirect pecuniary interest as provided for in the Local Authorities (Members' Interests) Act 29168.

## Commentary

- 2.1 **Conflicts of Interest**
- 2.2 Every elected member has a number of professional and personal links to their community. They may own a business or be a member on a board or organisation. They may have a pecuniary (financial) interest or a non-pecuniary (non-financial) interest. These interests are a part of living in the community which they need to make decisions about in their role with Council.
- 2.3 Elected members are governed by the Local Authorities (Members' Interests) Act 1968 and are guided by the Auditor-General in how this Act is administered. In relation to pecuniary interests, the two underlying purposes of the Act are to:
- ensure members are not affected by personal motives when they participate in local authority matters; and
  - in contracting situations, prevent members from using their position to obtain preferential treatment from the authority (the Council).
- 2.4 Non-pecuniary interests relate to whether an elected member could be in danger of having a real or perceived bias for an issue under consideration.
- 2.5 Elected members will also have interests that are considered no greater than the public at large. For example, most elected members will own a property and therefore be a ratepayer in the Waitomo District.
- 2.6 Conflicts of interest at times cannot be avoided, and can arise without anyone being at fault. They need not cause problems when they are promptly disclosed and well managed.
- 2.7 **Declarations of Interests and Conflicts**
- 2.8 At the beginning of each triennial council term, elected members are requested to disclose known interests on behalf of themselves (including spouses and partners). It is up to the elected member to judge whether they have any interests

to declare. Some elected members may not have any, other elected members may have many.

- 2.9 As well as this, elected members may decide that they have an interest in a particular issue or item to be discussed at a meeting. There is a standing item on every meeting agenda for elected members to declare conflicts of interest.
- 2.10 These declarations should be clear as to whether there is just an "interest" with no pecuniary benefit and no greater benefit than to any member of the public, or they may be a Council appointed representative to an organization, or whether there is a "conflict of interest" in that there could potentially be a pecuniary or other direct benefit to the elected member.
- 2.11 Members who have declared a "conflict of interest" at the commencement of a meeting should make a further declaration when that item of business is considered and leave the meeting table (or the meeting room) and not take part in any discussion, debate or voting on the matter of conflict.
- 2.12 Attached to and forming part of this business paper is information to assist elected members in determining conflicts of interest.

## Declarations

The Chairperson will invite Committee members to give notice of any conflicts of interest relating to the business for this meeting.

In the event of a Declaration being made, the Committee member must provide the following information relating to the Declaration:

Item of Business on Agenda	Reason for Declaration	Interest / Conflict



MICHELLE HIGGIE  
**MANAGER – GOVERNANCE SUPPORT**

## Local Authority (Members' Interests) Act 1968

- 3.1 The Local Authority (Members' Interests) Act 1968 helps to protect the integrity of local authority decision-making by ensuring that Councillors are not affected by personal motives when they participate in Council decision-making and cannot use their position to obtain preferential access to contracts. This Act deals with two forms of "interest":
1. Pecuniary
  2. Non-pecuniary
- 3.2 **Pecuniary Interest**
- 3.3 The **two** specific rules in the Act are that members cannot:
1. Enter into contracts with their local authority worth more than \$25,000 (including GST) in a financial year unless the Auditor-General approves the contracts (referred to as the contracting rule). Breach of this rule results in automatic disqualification from office; and
  2. Participate in matters before the Council in which they have a pecuniary interest, other than an interest in common with the public (referred to as the participation rule). Breach of this rule is a criminal offence and conviction results in automatic disqualification from office
- 3.4 A pecuniary interest is one that involves money. This could be direct or indirect. It is sometimes difficult to decide whether an interest in a particular matter is pecuniary or some other kind. It is always the responsibility of elected members to make this decision, to declare any interest when appropriate and to ensure that as an elected member you comply with the Act's requirements at all times. The Act generally provides that no person shall be capable of being a member of Council if that person is concerned or interested in any contracts with the Council where the total payments made by the Council in respect of such contracts exceeds \$25,000 in any one financial year.
- 3.5 The Act also provides that an "interest" exists where a member's spouse is involved and/or where a member or their spouse is a major shareholder or have control or management of a company which contracts with Council or where the company has a pecuniary interest in the decision. It may also apply where your family trust has a contract with the Council.
- 3.6 The Act does provide that on application to it the Office of the Auditor General may give specific approval to a member being concerned or interested in a particular contract, in which case the provisions of the Act will not disqualify the Councillor from remaining in office. The approval needs be gained before the contract concerned is entered into.
- 3.7 The Act also requires that a member shall not vote or take part in the discussion of any matter in which he/she has any pecuniary interest, other than an interest in common with the public. This interest is required to be declared by the member and is noted in the minutes.
- 3.8 The Office of the Auditor General is the agency, which oversees this legislation and it also has the responsibility and power to institute proceedings against any member. The Act does not define pecuniary interest, however the Office of the Auditor-General uses the following test: "Whether, if the matter were dealt with in a particular way, discussing or voting on that matter could reasonably give rise to an expectation of a gain or loss of money for the member concerned."

- 3.9 In deciding whether you have a pecuniary interest you should consider the following factors: What is the nature of the decision being made? Do I have a financial interest in that decision – do I have a reasonable expectation of gain or loss of money as a result of making that decision? Is my financial interest one that is in common with the public? Do any of the exceptions in the Act apply to me? Could I apply to the Auditor-General for approval to participate?
- 3.10 Further guidance is provided in the booklet “Guidance for members of local authorities about the Local Authorities (Members’ Interests) Act 1968” which has been provided to 5 elected members. It is important that you pay particular attention to the contents of this booklet as this is one of the few areas of the Council’s business where staff do not set out to provide pro-active advice and members are personally liable for compliance with the provisions of this Act.

### **3.11 Non-Pecuniary Interest**

- 3.12 Non-pecuniary interest is any interest the member may have in an issue that does not involve money. A common term for this is “bias” or pre-determination. Rules about bias operate not only to ensure that there is no actual bias, but also so there is no appearance or possibility of bias. The principle is that justice should not only be done, but it should be seen to be done. Bias may be exhibited where: -
- By their statements or conduct a member may indicate that they have predetermined the matter before hearing or considering all of the relevant information on it (including the Council’s debate); or
  - The member has a close relationship with an individual or organisation affected by the matter.
- 3.13 Non-pecuniary interest is a difficult issue as it often involves matters of perception and degree. The question you need to consider, drawn from case law, is: “Is there, to a reasonable, fair-minded and informed observer, a real indication of bias on the part of a member of the decision making body, in the sense that they might unfairly regard with favour (or disfavour) the case of a party to the issue under consideration?” If there is, the member should declare their interest and withdraw from the debate and take no further part in the discussion of this item. The law about bias does not put you at risk of personal liability. Instead, the validity of the Council’s decision could be at risk. The need for public confidence in the decision-making process is paramount and perception can be an important factor. Again the booklet provided by Office of the Auditor General provides some excellent advice and information on this issue.

## Waitomo District Council Procurement Policy 2018

4.1 The following are extracts from WDC's Procurement Policy:

WDC's procurement activities will be conducted in line with the core Procurement Principles and a decision framework that ensures:

- **Adherence** – all procurement is required and is undertaken in accordance with the Procurement Policy and all other associated WDC Policies and Strategies;
- **Openness** - all procurement is made in an open and transparent manner with full and fair opportunity for all eligible suppliers;
- **Fairness** - all procurement is carried out in a fair manner and decisions are made with impartiality and without bias;
- **Integrity** - all WDC employees and/or authorises third parties undertaking procurement do so ethically, equitably and with behavioural standards of the highest levels;
- **Value for Money** – all procurement considers the costs and benefits over the life of the goods, services and/or works, and in doing so takes into consideration local procurement;
- **Risk** – all procurement considers the risks (commercial and otherwise) and ensures these are managed appropriately;
- **Lawfulness** - all procurement is within the law and meets WDC's legal and organisational obligations;
- **Accountability** - employees and/or authorised third parties and suppliers are accountable for their performance; and
- **Sustainability** - all procurement is environmental and socially sustainable wherever possible, having regard to economic, environmental, and social impacts over their lifecycle.

### **Conflict of Interest and Declarations Policy 2018**

WDC is required to identify, disclose, document and manage employees' conflicts of interest, and to ensure that decisions made on behalf of WDC and the community are fair and free of bias or perceived bias.

Note: the words "decision" and "decisions" should be taken to include recommendations and advice:

- (a) that might significantly influence decisions that will be made by other people; or
- (b) on development of strategies and policies that will guide future WDC decision making on service provision, purchasing, contracting or staff employment.

WDC recognises that the professional and personal interests of employees mean that conflicts of interest sometimes cannot be avoided, and can arise without necessarily establishing a fault. Conflict need not cause difficulties, and can be managed so that the best interests of WDC and its ratepayers, residents or customers are served.

### **DEFINITION OF CONFLICT OF INTEREST**

A **conflict of interest** exists when an employee could be influenced or could be perceived as being influenced by a personal or private interest in **any transaction** while performing their WDC duties and/or responsibilities. A personal or private interest is an interest that may bring benefit to an employee as an individual, or to others associated with the employee i.e. spouse or family member, to whom the employee may later benefit.

A **transaction** includes, but is not limited to:

- (a) the exercise or performance of a function, duty, or power of WDC; or
- (b) an arrangement, agreement, or contract to which WDC is a party; or
- (c) a proposal that WDC enter into an arrangement, agreement, or contract; or
- (d) development of a strategy or policy that will guide future decision making on service provision, purchasing, contracting or staff employment; or
- (e) the consideration of or decision made by or at a meeting of Council or its committees and subcommittees.

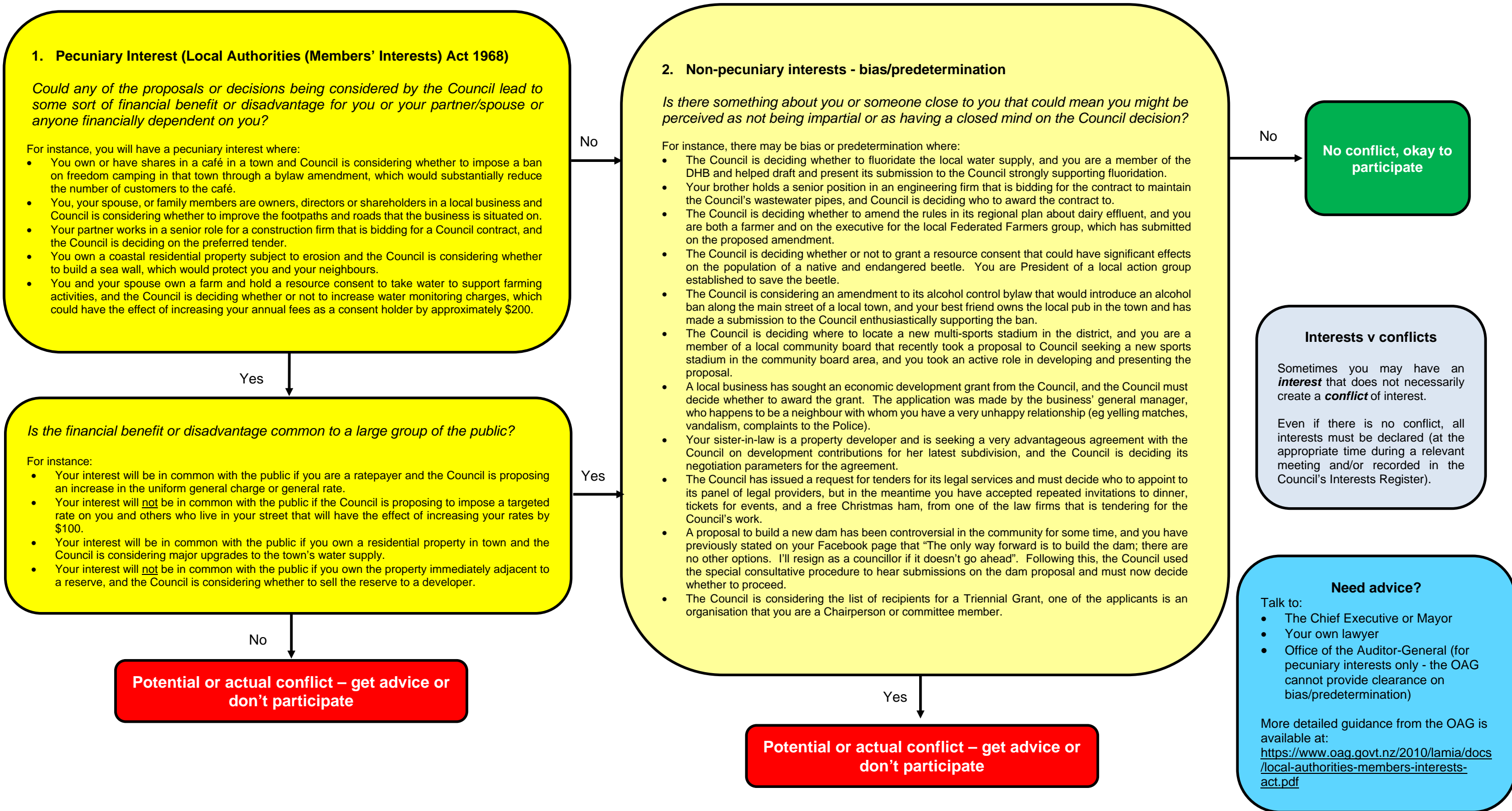
A Conflict of Interest may exist where the employee:

- will or may derive a benefit from the transaction – a financial, professional or personal benefit;
- has a financial interest in another party to a transaction;
- is a director, shareholder, officer or trustee of another party to the transaction, or is a person who will or may derive a financial benefit from the transaction;
- has an interest in another party tendering for work which WDC is considering; or
- is the partner, parent, child, spouse, sibling, or close friend of another party to the transaction, or a person who will or may derive a benefit from the transaction; or
- is an affected member or interested party in a proposal considered by Council.

Before you participate in any Council decision ...

CONFLICTS OF INTEREST

Check you don't have a pecuniary interest and that there is no bias or predetermination.



Remember: If in doubt, stay out!

## WAITOMO DISTRICT COUNCIL AUDIT, RISK AND FINANCE COMMITTEE

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### MINUTES OF A MEETING OF THE WAITOMO DISTRICT COUNCIL AUDIT, RISK AND FINANCE COMMITTEE HELD IN THE COUNCIL CHAMBERS ON TUESDAY 13 OCTOBER 2020 AT 9.00AM

**PRESENT:** Independent Chairperson Bruce Robertson, Mayor John Robertson, Deputy Mayor Guy Whitaker, Members Phil Brodie, Allan Goddard, Lisa Marshall and Sue Smith

**IN ATTENDANCE:** Bruno Dente, Deloitte  
  
Chief Executive, Manager – Governance Support, General Manager – Business Support, General Manager – Strategy and Environment (for part only) General Manager – Infrastructure Services (for part only) and General Manager – Community Services (for part only)

#### 1. Apology

##### Resolution

The apology from Cr New be received and leave of absence granted.

B Robertson/Brodie Carried

#### 2. Declarations of Member Conflicts of Interest

No declarations of conflicts of interests were made.

#### 3. Confirmation of Minutes – 11 August 2020

##### Resolution

The Minutes of the Waitomo District Council Audit and Risk Committee meeting of 11 August 2020, including the Public Excluded minutes, be confirmed as a true and correct record subject to correcting the date in the Minutes Header.

B Robertson/Goddard Carried

#### 4. Mastercard Expenditure Report (July/August 2020)

The Committee considered a business paper presenting for the Committee's information and consideration, details of expenditure incurred via WDC issued Corporate Mastercards.

The Manager – Governance Support answered Members questions.

## Resolution

The Mastercard Expenditure Report for the period July/August 2020 be received.

Whitaker/Brodie Carried

## 5. Audit: 10 Year Plan 2021-31

The Committee considered a business paper presenting the Audit Engagement Letter for the audit of the Consultation Document (CD) and the 10 Year Plan 2021-31.

The General Manager – Business Support and Bruno Dente (Deloitte) expanded verbally on the business paper and answered Members' questions.

The Committee queried the increase in Audit costs for the 10 Year Plan when there is a reduction in hours.

Bruno Dente explained that audit fees are controlled and set by the Office of the Auditor General and while the hours required for the 10 Year Plan audit are forecast to reduce, the increase in value relates to the requirement for more senior personnel involvement in the Audit.

## Resolution

- 1 The business paper on Audit: 10 Year Plan 2021-31 be received.
- 2 The Deloitte Audit Engagement Letter be accepted.
- 3 In accordance with the delegation contained in the Terms of Reference of the Audit, Risk and Finance Committee, the Mayor be authorised to sign on behalf of the Waitomo District Council the Deloitte Audit Engagement Letter.

Brodie/Marshall Carried

## 6. Audit Fees 2020, 2021 and 2022

The Committee considered a business paper providing a brief on the budget implications of the appointment of Deloitte to conduct the statutory audits for 2020, 2021 and 2022.

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

## Resolution

- 1 The business paper on Audits Fees 2020, 2021 and 2022 be received.
- 2 The Committee note the increase in Audit Fees will be managed within the Business Support budget.

B Robertson/Whitaker Carried



## 7. Adoption of Annual Report 2019/2020

The Committee considered a business paper presenting the Draft Annual Report 2019/20 for consideration and, subject to any amendments, to recommend AR to Council for adoption.

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

Bruno Dente of Deloitte presented a draft Audit Report for the Waitomo District Council Annual Report and answered Members' questions.

The Committee noted that the finalised Audit Report would be presented to Council at the 27 October 2020 Council meeting when the Annual Report is to be adopted.

The Chair asked staff to leave the meeting to enable a confidential briefing from Bruno Dente.

The Chief Executive, Manager – Governance Support, General Manager – Business Support and General Manager – Strategy and Environment left the meeting at 10.44am.

The Chief Executive, Manager – Governance Support and General Manager – Business Support re-entered the meeting at 11.01am.

Bruno Dente, Deloitte left the meeting at 11.01am.

### Resolution

- 1 The business paper on Adoption of Annual Report 2019/20 be received.
- 2 The Audit, Risk and Finance Committee authorise the Chief Executive to make identified amendments and recommend the Annual Report 2019/20 for referral to Council for adoption.
  - Page 33 paragraph (a) – remove the words: "all funding conditions were met by the Trust and"
  - Replace "Profit /Loss throughout entire document with Surplus/Deficit
  - Clarify wording relating to Surplus/Deficit of the Council and "after tax profit" of the Inframax Construction Limited
  - Page 35 "Building Consent Authority" replace "How we Performed" commentary to read "Accreditation achieved."
  - Page 19 – Change "GOA" to read "Groups of Activities"
  - Page 11 – Investments – How we Performed – add additional comment to the effect that ICL subsequently provided a remedied report which has been published on our website.
  - Page 107 – Deficit numbers to be displayed in brackets
  - Page 114 – Note 36 – check regulations to see if they include the exact specification of formula (including colour to be used on graphs)

J Robertson/Brodie Carried

The Chairperson requested the General Manager – Business Support to pass on the Committee's appreciation to the WDC Team involved in preparation of the Annual Report.

## 8. Local Government Funding Agency - Annual Report

The Committee considered a business paper presenting the Annual Report of the Local Government Funding Agency for year ended 30 June 2020.

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

### Resolution

- 1 The business paper on Annual Report – Local Government Funding Agency be received.
- 2 The Annual Report – Local Government Funding Agency for the year ended 30 June 2020 be received.

B Robertson/Whitaker Carried

## 9. 2021-31 10 Year Plan Significant Forecasting Assumptions

The Committee considered a business paper providing an overview of the Significant Forecasting Assumptions for the 2021-31 Ten Year Plan (10YP).

The General Manager – Infrastructure Services entered the meeting at 11.11am.

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

The General Manager – Community Services entered the meeting at 11.14am.

### Resolution

The business paper on 2021-31 10 Year Plan Significant Forecasting Assumptions be received.

Whitaker/Goddard Carried

## 10. Progress Report: Development of Service Delivery Continuity Plans

The Committee considered a progress report on the development of Continuity Plans for Service Delivery in an emergency setting.

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

### Resolution

The Progress Report – Development of Business Continuity Plans be received noting that priority is to be given to a review of this item.

B Robertson/Smith Carried

## **11. Progress Report: Risk Management Framework – Implementation Plan and Monitoring**

The Committee considered a progress report on the implementation of the Risk Management Framework and Risk Management Implementation Plan adopted by the Council on 28 May 2019.

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

### **Resolution**

- 1 The business paper on Progress Report: Risk Management Framework – Implementation Plan and Monitoring be received.
- 2 The Chair, Chief Executive and Manager – Governance Support be authorised to arrange a workshop of the Audit Risk and Finance Committee for the purpose reviewing Council's risks.

B Robertson/J Robertson Carried

## **12. Progress Report: Civil Defence and Emergency Management**

The Committee considered a progress report on current activities within the Civil Defence and Emergency Management portfolio.

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

### **Resolution**

The Progress Report: Civil Defence and Emergency Management be received.

Goddard/Smith Carried

## **13. Progress Report: NZTA Technical Audit**

The Committee considered a progress report on the findings of the draft Investment Audit Report following a Technical Audit of the Waitomo District Council Roading investment by Tony Lange of the NZ Transport Agency in March 2020.

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

### **Resolution**

The Progress Report: NZTA Technical Audit 2020 be received.

B Robertson/Marshall Carried

**14. Progress Report: WDC Resource Consents – Compliance Monitoring**

The Committee considered a business paper providing a progress report on compliance reporting against Resource Consent conditions.

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

**Resolution**

The Progress Report: Resource Consent – Compliance Monitoring be received.

B Robertson/Whitaker                      Carried

**15. Motion to Exclude the Public**

The Committee considered a business paper pursuant to Section 48 of the Local Government Official Information and Meetings Act 1987 giving Council the right by resolution to exclude the public and/or staff from the whole or any part of a meeting on one or more of the grounds contained within that Section.

**Resolution**

- 1        The public be excluded from the following part of the proceedings of this meeting.
  
- 2        The general subject of each matter to be considered while the public is excluded and the reason for passing this resolution in relation to each matter, as specified by Section 48(1) of the Local Government Official Information and Meetings Act 1987 are as follows:

General Subject of each matter to be considered	Reason for passing this resolution in relation to each matter	Ground(s) under section 48(1) for the passing of this resolution
1. Progress Report: Health and Safety	Section 7(2)(a) To protect the privacy of natural persons, including that of deceased natural persons	Section 48(1)(a)(1)
2. Progress Report: Procurement Summary (July 2020 – September 2020)	Section 7(2)(c)(i) – To enable any local authority holding the information to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations)	Section 48(1)(a)(1)
3. Civic Financial Services Limited Half - Yearly Report to 30 June 2020	Section 7(2)(c)(i) – To enable any local authority holding the information to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations)	Section 48(1)(a)(1)
4. Inframax Construction Limited: Financial Statements - 2019/2020 Financial Year	Section 7(2)(c)(i) – To enable any local authority holding the information to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations)	Section 48(1)(a)(1)

- 3 Council agree the following staff, having relevant knowledge to assist in the consideration of the items of business to be public excluded, remain in attendance to assist the Committee with its decision making:

Staff Member	Reason for Remaining in Attendance
Chief Executive	Council CEO
Manager – Governance Support	Committee Secretary
General Manager – Community Services	Business Paper Author
General Manager – Infrastructure Services	Business Paper Author
General Manager – Business Support	Business Paper Author

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

B Robertson/Smith          Carried

**16. Consideration of Public Excluded Items for the purpose of making information Public following Council’s decision taking**

**Resolution**

Following consideration and decision taking of items of business with the public excluded, the Committee agreed that the following information be made public:

**1 Progress Report: Health and Safety**

The Resolution only be made public as follows:

***Resolution***

*The Progress Report: Health and Safety be received.*

*Smith/Marshall          Carried*

Note: The business paper for this item is not made public for the reasons set out in Item 15 - “Motion to Exclude the Public” of these Minutes.

**2 Progress Report: Procurement Summary (July – September 2020)**

The Resolution only be made public as follows:

***Resolution***

*The Progress Report: Procurement Summary (July to September 2020) be received.*

*B Robertson/Smith          Carried*

Note: The business paper for this item is not made public for the reasons set out in Item 15 - “Motion to Exclude the Public” of these Minutes.

**3 Civic Financial Services Limited Half - Yearly Report to 30 June 2020**

The business paper and resolution be made public as follows:

***Resolution***

- 1 The business paper on Civic Financial Services Limited Half yearly Report to 30 June 2020 be received.*
- 2 The Civic Financial Services Limited – Half Yearly Accounts to 30 June 2020 be received.*
- 3 The Civic Financial Services Limited – Half Yearly Report to 30 June 2020 be made public and published on Council’s website in accordance with Section 66(5) of the Local Government Act 2002.*

*B Robertson/J Robertson Carried*

**4 Inframax Construction Limited: Financial Statements - 2019/2020 Financial Year**

Council’s Resolution only be made public as follows:

***Resolution***

- 1 The business paper on Inframax Construction Limited: Financial Statements - 2019/2020 Financial Year be received.*
- 2 The Audited Financial Statements – Inframax Construction Limited for the year ended 30 June 2020 be received.*

*B Robertson/J Robertson Carried*

Note: The business paper for this item is not made public for the reasons set out in Item 15 - “Motion to Exclude the Public” of these Minutes.

There being no further business the meeting closed at 12.15pm

Dated this      day of                      2019.

BRUCE ROBERTSON  
**INDEPENDENT CHAIRPERSON**

Confidential Confidential

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Document No: A506361

**Report To: Audit and Risk Committee**



Meeting Date: 16 February 2021

Subject: **Mastercard Expenditure Report  
September 2020 – January 2021**

## 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 copy of the **Credit Card Policy** is attached to and forms part of this business paper for information.

2.10 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

## 2.11 **Presentation of Expenditure Details**

2.12 Copies of the monthly "Mastercard Statement Authorisation Forms" as explained in the Policy, will be presented to each Audit and Risk Committee Meeting.

2.13 Only copies of the actual signed Authorisation Form will be included. The supporting invoices/receipts will not be 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.

2.14 Attached for the Committee's information are copies of signed Authorisation Forms for the period September 2020 to December 2020. Note: There were no purchases made on any Corporate Mastercard in the month of January 2021.

## **Suggested Resolution**

The Mastercard Expenditure Report for the period September 2020 to January 2021, noting that there were no purchases made on any Corporate Mastercard in the month of January 2021, be received.



MICHELLE HIGGIE

**MANAGER – GOVERNANCE SUPPORT**

Attachments: (1) Mastercard Authorisation Forms: September-December 2020  
(2) Credit Card Policy (Doc A207793)

A492214



**BUSINESS MASTERCARD**

53 GALWAY STREET, AUCKLAND CITY, 1010

TAX INVOICE  
GST NO. 93 259 688

RECEIVED

02 OCT 2020

WAITOMO DISTRICT  
COUNCIL

THE DIRECTOR  
WAITOMO DISTRICT COUNCIL  
P O BOX 404  
TE KUITI

3941

Closing Date	Page
27/09/20	1

Current Annual Percentage Rate	Current Monthly Rate
19.950	1.6625

Card/ Customer No.	0000 0000 0860 2564
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\*\*\*\*\* CONSOLIDATED SUMMARY \*\*\*\*\*

LIMIT	CARDHOLDER NAME	ACCOUNT NUMBER	BALANCE
\$10000	MS M D HIGGIE	0000 0030 2936 5933	1909.60
\$5000	MRS H M BEEVER	0000 0030 3956 2081	0.00
\$5000	MR A J HALE	0000 0030 6158 3906	20.00
<b>TOTAL CARDHOLDER LIMIT</b>	<b>\$20000</b>	<b>NET BALANCE</b>	<b>1929.60</b>

WE ADVISE THAT \$1,929.60 WILL BE DIRECTLY CHARGED TO YOUR ACCOUNT  
030449 0070201 00 DN 20/10/20, PLEASE NOTE THIS TRANSACTION FOR YOUR RECORDS  
PLEASE DIRECT ALL ENQUIRIES TO WESTPAC CARD SERVICES  
DN 0800 888 111, AVAILABLE 24 HOURS A DAY, 7 DAYS A WEEK.



69620010328601004P09452






**Mastercard Statement Authorisation Form**

**Name:** Michelle Higgle  
**Position:** Manager – Governance Support  
**Statement Date:** 27 / 09 / 20

(1) **Creditor:** NZTA  
**Date:** 27 August 2020  
**Amount:** \$1,144.80  
**GL Code:** 820 27 751  
**Expenditure:** 15,000km Road User Charges for 2018 Mitsubishi ASX (Rego LMZ559)

(2) **Creditor:** NZTA  
**Date:** 27 August 2020  
**Amount:** \$764.80  
**GL Code:** 820 27 761  
**Expenditure:** 10,000km Road User Charges for 2015 Mitsubishi Triton (Rego JHR356)

**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:

<p><b>Signature of Manager – Governance Support</b></p>  <p><b>Date:</b> 2/11/2020</p>	<p><b>Authorised by Chief Executive:</b></p>  <p><b>Date:</b> 6/11/20</p>	<p><b>Authorised by Mayor:</b></p>  <p><b>Date:</b> 11/11/20</p>
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Mastercard Statement Authorisation Form




**Name:** Tony Hale  
**Position:** General Manager – Infrastructure Services  
**Statement Date:** 27 / 09 / 20

**(1) Creditor:** Hamilton Airport  
**Date:** 25 September 2020  
**Amount:** \$20.00  
**GL Code:** 811 40 545  
**Expenditure:** Airport Parking Fees – WDC Fleet Vehicle (Rego JBL852) – Greg Boyle

**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:** 02/11/20

**Authorised by  
 Chief Executive:**  
  
**Date:** 6/11/20



A496296



mastercard.

BUSINESS MASTERCARD

53 GALWAY STREET, AUCKLAND CITY, 1010

TAX INVOICE  
GST NO. 93 259 688

RECEIVED

01 NOV 2020

WAITOMO DISTRICT COUNCIL

THE DIRECTOR  
WAITOMO DISTRICT COUNCIL  
P O BOX 404  
TE KUITI

3941

Closing Date	Page
27/10/20	1

Current Annual Percentage Rate	Current Monthly Rate
19.950	1.6625

Card/ Customer No.	0000 0000 0860 2564
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75228010325101003P09416

\*\*\*\*\* CONSOLIDATED SUMMARY \*\*\*\*\*

LIMIT	CARDHOLDER NAME	ACCOUNT NUMBER	BALANCE
\$10000	MS M D HIGGIE	0000 0030 2936 5933	3271.17
\$5000	MR A J HALE	0000 0030 6158 3906	80.00
<b>TOTAL CARDHOLDER LIMIT</b>	<b>\$15000</b>	<b>NET BALANCE</b>	<b>3351.17</b>

WE ADVISE THAT \$3,351.17 WILL BE DIRECTLY CHARGED TO YOUR ACCOUNT  
030449 0070201 00 ON 20/11/20, PLEASE NOTE THIS TRANSACTION FOR YOUR RECORDS  
PLEASE DIRECT ALL ENQUIRIES TO WESTPAC CARD SERVICES  
ON 0800 888 111, AVAILABLE 24 HOURS A DAY, 7 DAYS A WEEK.





Mastercard Statement Authorisation Form

**Name:** Michelle Higgle  
**Position:** Manager – Governance Support  
**Statement Date:** 27 / 10 / 20

(1) **Creditor:** NZTA  
**Date:** 15 October 2020  
**Amount:** \$764.80  
**GL Code:** 820 27 723  
**Expenditure:** 10,000km Road User Charges for 2014 Ford Ranger (Rego HKG235)




(2) **Creditor:** NZTA  
**Date:** 15 October 2020  
**Amount:** \$764.80  
**GL Code:** 820 27.749  
**Expenditure:** 10,000km Road User Charges for 2018 Mazda BT-50 (Rego LPS823)

(3) **Creditor:** NZTA  
**Date:** 15 October 2020  
**Amount:** \$764.80  
**GL Code:** 820 27 766  
**Expenditure:** 10,000km Road User Charges for 2016 Mitsubishi Triton (Rego KBU339)

(4) **Creditor:** NZTA  
**Date:** 15 October 2020  
**Amount:** \$764.80  
**GL Code:** 820 27 767  
**Expenditure:** 10,000km Road User Charges for 2016 Mitsubishi Triton (Rego KBU340)

(5) **Creditor:** Orbit/LGNZ  
**Date:** 22 October 2020  
**Amount:** \$211.97  
**GL Code:** 111 42 712  
**Expenditure:** Accommodation: One Night (19 November 2020) for Mayor attendance at LGNZ Rural & Provincial Sector Meeting in Wellington on 19 and 20 November 2020

**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:

<p><b>Signature of Manager – Governance Support</b></p>  <p><b>Date:</b> 2/11/2020</p>	<p><b>Authorised by Chief Executive:</b></p>  <p><b>Date:</b> 6/11/20</p>	<p><b>Authorised by Mayor:</b></p>  <p><b>Date:</b> 11/11/20</p>
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Mastercard Statement Authorisation Form



<b>Name:</b>	<b>Tony Hale</b>
<b>Position:</b>	<b>General Manager – Infrastructure Services</b>
<b>Statement Date:</b>	<b>27 / 10 / 20</b>

<b>(1) Creditor:</b>	Hamilton Airport
<b>Date:</b>	14 October 2020
<b>Amount:</b>	\$80.00
<b>GL Code:</b>	811 40 545
<b>Expenditure:</b>	Airport Parking Fees – WDC Fleet Vehicle (Rego JBL852) – Greg Boyle

**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:

<p><b>Signature of GM – Infrastructure Services:</b></p>  <p><b>Date:</b> 5/11/20</p>	<p><b>Authorised by Chief Executive:</b></p>  <p><b>Date:</b> 6/11/20</p>
--	---



REC-1

**BUSINESS MASTERCARD**

53 GALWAY STREET, AUCKLAND CITY, 1010

TAX INVOICE  
GST NO. 93 259 688

THE DIRECTOR  
WAITOMO DISTRICT COUNCIL  
P O BOX 404  
TE KUITI

3941

Closing Date	Page
29/11/20	1

Current Annual Percentage Rate	Current Monthly Rate
19.950	1.6625

Card/ Customer No.	0000 0000 0860 2564
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\*\*\*\*\* CONSOLIDATED SUMMARY \*\*\*\*\*

LIMIT	CARDHOLDER NAME	ACCOUNT NUMBER	BALANCE
\$10000	MS M D HIGGIE	0000 0030 2936 5933	3271.20
\$5000	MR A J HALE	0000 0030 6158 3906	625.18
<b>TOTAL CARDHOLDER LIMIT</b>	<b>\$15000</b>	<b>NET BALANCE</b>	<b>3896.38</b>

WE ADVISE THAT \$3,896.38 WILL BE DIRECTLY CHARGED TO YOUR ACCOUNT  
030449 0070201 00 ON 20/12/20, PLEASE NOTE THIS TRANSACTION FOR YOUR RECORDS  
PLEASE DIRECT ALL ENQUIRIES TO WESTPAC CARD SERVICES  
ON 0800 888 111, AVAILABLE 24 HOURS A DAY, 7 DAYS A WEEK.

Mastercard Statement Authorisation Form

**Name:** Michelle Higgle  
**Position:** Manager – Governance Support  
**Statement Date:** 29 / 11 / 20

(1) **Creditor:** Orbit/LGNZ  
**Date:** 28 October 2020  
**Amount:** \$212.00  
**GL Code:** 111 42 712  
**Expenditure:** Accommodation: One Night (19 November 2020) for Mayor attendance at LGNZ Rural & Provincial Sector Meeting in Wellington on 19 and 20 November 2020

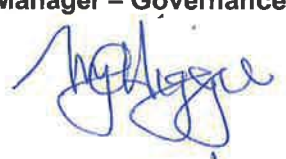


(2) **Creditor:** NZTA  
**Date:** 4 November 2020  
**Amount:** \$764.80  
**GL Code:** 820 27 752  
**Expenditure:** 10,000km Road User Charges for WDC Fleet Vehicle (Rego MGA225)

(3) **Creditor:** NZTA  
**Date:** 4 November 2020  
**Amount:** \$764.80  
**GL Code:** 820 27 765  
**Expenditure:** 10,000km Road User Charges for WDC Fleet Vehicle (Rego KBU338)

(4) **Creditor:** NZTA  
**Date:** 4 November 2020  
**Amount:** \$764.80  
**GL Code:** 820 27 765  
**Expenditure:** 10,000km Road User Charges for WDC Fleet Vehicle (Rego JHR357)

(5) **Creditor:** NZ Transport Agency  
**Date:** 13-Nov-20  
**Amount:** \$764.80  
**GL Code:** 820 27 767  
**Expenditure:** 10,000km Road User Charges for WDC Fleet Vehicle (Rego KBU340)

**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:

<p><b>Signature of Manager – Governance Support</b></p>  <p><b>Date:</b> 10/12/20</p>	<p><b>Authorised by Chief Executive:</b></p>  <p><b>Date:</b> 16/12/20</p>	<p><b>Authorised by Mayor:</b></p>  <p><b>Date:</b> 22/12/20</p>
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Mastercard Statement Authorisation Form



**Name:** Tony Hale  
**Position:** General Manager – Infrastructure Services  
**Statement Date:** 29 / 11 / 20

**(1) Creditor:** BP Oil NZ (www.BP.com)  
**Date:** 11 November 2020  
**Amount:** \$81.18  
**GL Code:** 820 27 741  
**Expenditure:** Fuel for WDC Fleet Vehicle (Rego LHC171)

*[Handwritten signature]*

**(2) Creditor:** TradeMe  
**Date:** 12 November 2020  
**Amount:** \$449.00  
**GL Code:** 222 24 515  
**Expenditure:** Real Estate Sale Listing Fee (Lifestyle Category) - Sale of WDC Property at 210D Mangarino Road

**(3) Creditor:** Hamilton Airport  
**Date:** 17 November 2020  
**Amount:** \$95.00  
**GL Code:** 811 40 545  
**Expenditure:** Airport Parking Fees – WDC Fleet Vehicle (Rego JBL852) – Greg Boyle

*Receipt request not activated on existing the car park.*

**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:**

*[Handwritten signature: T. Hale]*

**Date:**

*15/12/20*

**Authorised by Chief Executive:**

*[Handwritten signature]*

**Date:**

*16/12/20*



RECEIVED

6 JAN 2021

WAITOMO DISTRICT COUNCIL

**BUSINESS MASTERCARD**

53 GALWAY STREET, AUCKLAND CITY, 1010

TAX INVOICE  
GST NO. 93 259 688

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

3941

Closing Date	Page
28/12/20	1

Current Annual Percentage Rate	Current Monthly Rate
19.950	1.6625

Card/ Customer No.	0000 0000 0860 2564
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\*\*\*\*\* CONSOLIDATED SUMMARY \*\*\*\*\*

LIMIT	CARDHOLDER NAME	ACCOUNT NUMBER	BALANCE
\$10000	MS M D HIGGIE	0000 0030 2936 5933	4199.20
\$5000	MR A J HALE	0000 0030 6158 3906	140.00
<b>TOTAL CARDHOLDER LIMIT</b>	<b>\$15000</b>	<b>NET BALANCE</b>	<b>4339.20</b>

WE ADVISE THAT \$4,339.20 WILL BE DIRECTLY CHARGED TO YOUR ACCOUNT  
030449 0070201 00 ON 20/01/21, PLEASE NOTE THIS TRANSACTION FOR YOUR RECORDS  
PLEASE DIRECT ALL ENQUIRIES TO WESTPAC CARD SERVICES  
ON 0800 888 111, AVAILABLE 24 HOURS A DAY, 7 DAYS A WEEK.

**Mastercard Statement Authorisation Form**

**Name:** Michelle Higgie  
**Position:** Manager – Governance Support  
**Statement Date:** 28 / 12 / 20



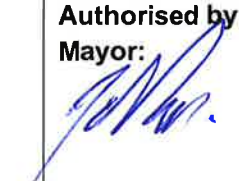
✓ (1) **Creditor:** NZ Transport Agency  
**Date:** 11 December 2020  
**Amount:** \$764.80  
**GL Code:** 820 27 763  
**Expenditure:** 15,000km Road User Charges for 2018 Mitsubishi ASX (Rego JMA8)

✓ (2) **Creditor:** NZ Transport Agency  
**Date:** 11 December 2020  
**Amount:** \$1,524.80  
**GL Code:** 820 27 741  
**Expenditure:** 20,000km Road User Charges for 2019 Mazda BT-50 (Rego LHC171)

✓ (3) **Creditor:** NZ Transport Agency  
**Date:** 11 December 2020  
**Amount:** \$764.80  
**GL Code:** 820 27 752  
**Expenditure:** 10,000 Road User Charges for 2019 Mazda BT-50 (Rego MGA224)

✓ (4) **Creditor:** NZ Transport Agency  
**Date:** 18 December 2020  
**Amount:** \$1,144.80  
**GL Code:** 820 27 751  
**Expenditure:** 15,000km Road User Charges for 2018 Mitsubishi ASX (Rego LMZ559)

**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:

<p><b>Signature of Manager – Governance Support</b></p>  <p><b>Date:</b> 8/1/2021</p>	<p><b>Authorised by Chief Executive:</b></p>  <p><b>Date:</b> 19/1/2021</p>	<p><b>Authorised by Mayor:</b></p>  <p><b>Date:</b> 27/1/21</p>
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**File One - Page 32**  
**Mastercard Statement Authorisation Form**



**Name:** Tony Hale  
**Position:** General Manager – Infrastructure Services  
**Statement Date:** 28 / 12 / 20

(1) **Creditor:** Hamilton Airport  
**Date:** 1 December 2020  
**Amount:** \$60.00  
**GL Code:** 811 40 545  
**Expenditure:** Airport Parking Fees – WDC Fleet Vehicle (Rego JBL852) – Greg Boyle

(2) **Creditor:** Hamilton Airport  
**Date:** 23 December 2020  
**Amount:** \$80.00  
**GL Code:** 811 40 545  
**Expenditure:** Airport Parking Fees – WDC Fleet Vehicle (Rego JBL852) – Greg Boyle

**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:** 8/1/21

**Authorised by  
Chief Executive:**

**Date:** 19/1/2021





# Credit Card Policy

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## 1.0 Policy Background

1.1 This policy is intended to provide guidance on the use of Corporate Credit Cards.

## 2.0 Eligibility for Credit Cards

2.1 This policy authorises the issue of credit cards to:

- Members of the Executive Management Team
- The Manager – Governance Support
- The Mayor

## 3.0 Issuance of Additional Cards

3.1 The Chief Executive may approve the issue of additional cards to staff where that is appropriate. Before authorising the issuing of additional cards the Chief Executive must be satisfied that they are strictly necessary and will provide administrative efficiencies.

3.2 In approving the issue of a card, the Chief Executive will also confirm the approved credit limit. The credit limit will be set based on the minimum amount necessary to enable the cardholder to undertake their Council duties.

## 4.0 Maintenance and Review of Card Holder List

4.1 The Human Resources Officer shall maintain a central register (Doc#A207787) of all cardholders and a review of the register will be undertaken in conjunction with the bi-annual Policy review, or as otherwise required, to ensure that those staff currently holding cards should still do so. This frequency of review is seen as adequate, given the unlikelihood of a staff member moving from a position where they were entitled to hold a credit card to one where they are not entitled to do so.

## 5.0 Procedure for Issuing Cards

5.1 Upon approval from the Chief Executive, the Human Resources Officer will arrange for the issue of a corporate credit card via the General Manager – Business Support.

## 6.0 Valid expenditure

6.1 Corporate Credit cards are to be used:

- solely for the payment of business-related expenditure;
- subject to the limits in the appropriate annual operating expenditure budget; and
- in accordance with the Procurement Policy and Delegations Register.

6.2 Credit cards shall **not** be used for the following purposes:

- Personal purchases;
- Cash advances or cash reimbursement;
- Payment for any work attracting PAYE tax;
- Court costs or fines, tax payments, personal services or any other inappropriate spending.

### 6.3 Exceptional Circumstances

There may be circumstances that lend themselves to an exception to the above - e.g. emergencies where cash advances are required. In these cases an explanation is to be

provided to the Chief Executive, or in the case of the Chief Executive, the Mayor, within two days of the expenditure being incurred and the expenditure is to be fully reimbursed to WDC prior to the monthly credit card payment being due.

## 6.4 Internet Purchases

Purchasing over the internet (using a Credit card) is authorised but the purchase transaction process must reflect good internet security practice. Good security practice involves ensuring the internet site is secure and purchasing only from established reputable companies. Where internet purchases are made, the cardholder is required to keep a copy of any online order forms completed when purchasing, and any purchasing over the internet needs to be consistent with WDC's normal purchasing procedures.

## 6.5 Telephone Purchases

Purchasing over the telephone (using a Credit card) is authorised but the purchase transaction process must reflect good telephone security practice. Good security practice involves ensuring the purchase is via an established and reputable company. Where telephone purchases are made, the cardholder is required to keep a manual record of the transaction. Purchasing over the telephone needs to be consistent with WDC's normal purchasing procedures.

## 7.0 Liability for Inappropriate Expenditure

- 7.1 WDC will not be liable for any unauthorised transactions incurred by the cardholder. In all cases the cardholder will be liable for the reimbursement to WDC of any inappropriate or unauthorised expenditure charged to the credit/purchasing card. Inappropriate expenditure is deemed to be that specified in this policy.

## 8.0 Procedure When More Than One Cardholder is Present

- 8.1 Where more than one cardholder is present (for example, at a staff function), it is expected that the most senior staff member will use their card for the payment of expenses incurred.

## 9.0 Documentation to Accompany Monthly Statements

- 9.1 Each Cardholder must complete a "Mastercard Statement Authorisation Form" (Doc# 317041) for every monthly credit card statement.
- 9.2 All credit card transactions in excess of \$20.00 in value must be supported by original documentation (tax invoices and/or receipts) to corroborate transactions.
- 9.3 For credit card transactions less than \$20.00 in value, the preference is to include supporting documentation, however this is not mandatory.
- 9.4 For transactions less than \$20.00 in value which do not have supporting documentation, or where a transaction is in excess of \$20.00 in value and supporting documentation is not available or has been lost by the cardholder, a note explaining the nature of the transaction and verifying that the expenditure incurred was valid and work-related must be included on the Mastercard Statement Authorisation Form.
- 9.5 For all entertainment and travel transactions, the business reason and other parties (if any) must be recorded along with the purpose of the meeting. This is to ensure that all transactions can be appropriately reviewed by the Authoriser, and to allow WDC to claim back the GST content of qualifying purchases. GST invoices (where relevant) shall be attached to the card statement prior to review by the Authoriser.

## 10.0 Monitoring

- 10.1 Credit card use is monitored monthly by the Chief Executive. The approval process must be structured in accordance with the following clause 11.0 'Approval of Expenditure'.
- 10.2 Credit card use is also monitored by the Audit, Risk and Finance Committee.

## 11.0 Approval of Expenditure

- 11.1 An approval hierarchy for monthly credit card statement approval, based on a "one-up" procedure where possible, has been defined as part of this policy as follows:
- 1 Executive Management Team statements must be approved by the Chief Executive.
  - 2 The Chief Executive's statements must be approved jointly by the Mayor and Manager – Governance Support.
  - 3 The Mayor's statements must be approved jointly by the Manager - Governance Support and Chief Executive.
  - 4 The Manager – Governance Support's statements must be approved jointly by the Mayor and Chief Executive.

Note: The OAG guidance on sensitive expenditure states that it is essential that there should be no reciprocal arrangement for approving sensitive expenditure – therefore the Chief Executive cannot approve the Mayor's statements alone and vice versa.

- 11.2 The Manager - Governance Support and the Chief Executive will jointly approve the Mayor's statements (i.e. with the Mayor there can be no true "one-up procedure" and by having a joint authorisation any "reciprocal" arrangement is removed).
- 11.3 The Manager - Governance Support is also in the position of knowing the Mayor's daily activities/whereabouts and will know what claims are appropriate on his Mastercard.
- 11.4 The Manager - Governance Support's statements will be jointly approved by both the Chief Executive and Mayor as from time to time there are purchases made on behalf of both the Mayor and Chief Executive on the Manager - Governance Support's credit card (i.e. Airfares, Accommodation, etc.)
- 11.2 Items will be coded by the Cardholder for posting in the accounting system. Credit card payments must be authorised like other invoices and in accordance with the Procurement Policy and Delegations Register.
- 11.3 The approval hierarchy will be as follows:

Expenditure incurred by	Statements approved by
Mayor	Chief Executive and Manager - Governance Support
Chief Executive	Mayor (or Deputy Mayor in the Mayor's absence) and Manager - Governance Support
Manager - Governance Support	Mayor and Chief Executive
Executive Management Team	Chief Executive

## 12.0 Card Limits

- 12.1 Unless otherwise determined by the Chief Executive, the credit limit of cards shall be as follows:

- Chief Executive \$10,000
- Mayor \$5,000
- Executive Team Members \$5,000
- Manager - Governance Support to CE \$10,000

## 13.0 Procedure for the Surrender of Cards

- 13.1 All cards will be surrendered by the cardholder on termination of their employment with Council. The credit card is to be returned to the Human Resources Officer in the first instance who will then pass the card on to the General Manager – Business Support for cancellation. This cancellation should be processed to the card issuer within 5 working days of the employee leaving Council and the card destroyed. All final wage/salary payments will be approved upon return of the credit card.

## 14.0 Lost or Stolen Cards

- 14.1 The cardholder is responsible for immediately reporting a card that is lost or stolen to the Westpac Bank Credit Cards division of the Westpac Bank. The hotline telephone number **0800 888 111** is given to each cardholder when uplifting the card. If a card is lost or stolen outside New Zealand, it must be reported to the nearest VISA member bank or by ringing **+64 09 914 8026 collect**.
- 14.2 Written confirmation of what happened when the card was lost or stolen must be provided to Westpac Bank within a reasonable timeframe. Full details (where, when, how) must be included, as the bank may need to relay these details to police.
- 14.3 Replacement of a lost or stolen card is to be arranged through the Human Resources Officer.

## 15.0 Breach of Policy

- 15.1 Any breach of this policy will be considered to be serious misconduct. When there is reason to believe that violation of policy or law has occurred disciplinary action may be taken. For repeat offenders, or where the breach of policy is significantly serious, the card will be automatically cancelled and formal disciplinary action taken.

## 16.0 Policy Review

- 16.1 The Human Resources Advisor is responsible for the administration, revision, interpretation, and application of this Policy. The Policy will be reviewed and revised where necessary every two years.

## 17.0 Staff Contact

Human Resource Advisor

## 18.0 Policy Review Date

Next Review: August 2022 (2 years)

**Policy Approved:**



**Chris Ryan**  
Chief Executive

**Date:** 6 August 2020

Document No: A506692

**Report To: Audit, Risk and Finance Committee**



**Meeting Date:** 16 February 2021

**Subject:** Civic Financial Services Ltd - Statement of Intent 2021

**Type:** Information

## Purpose of Report

- 1.1 The purpose of this business paper is to present the Civic Financial Services Ltd (CFSL) Statement of Intent (SOI) for the ensuing year.

## Background

- 2.1 CFSL is the former New Zealand Local Government Insurance Corporation Ltd and previously traded as Civic Assurance. CFSL has been trading for over 76 years.
- 2.2 The name change was instituted due to the company withdrawing from offering property insurance and no longer holding an insurance licence.
- 2.3 CFSL provides administration services to SuperEasy and SuperEasy KiwiSaver Superannuation Schemes, the Local Authority Protection Programme Disaster Fund (LAPP), Riskpool, Civic Liability Pool and Civic Property Pool.
- 2.4 WDC holds 16,940 shares (0.15%) in CFSL.

## Commentary

- 3.1 **Statement of Intent for the year ended 31 December 2021**
- 3.2 The Statement of Intent (SOI) for CFSL is attached to and forms part of this business paper (Attachment 1).
- 3.3 The CFSL Mission Statement and one of its corporate goals is to provide and be the primary supplier of superannuation and risk-financing solutions to the local government sector.
- 3.4 Its planned ongoing activities will be to administer superannuation services for local government and local government staff and provide administration, accounting and other services to LAPP, Riskpool, Civic Liability Pool and Civic Property Pool.
- 3.5 CFSL will also investigate and facilitate new superannuation and risk-financing services to shareholders and the sector as appropriate.
- 3.6 Financial projections are provided for the following three years; administration income is expected to gradually increase from \$2,443,312 for 2021 to \$2,537,487 in 2023.

- 3.7 The projections include investment income to be \$103,175 in 2021 and increase to \$112,000 in 2023 and will be derived in the main from the Term Deposits held.
- 3.8 Operational expenditure is forecast to increase from \$2,197,367 in 2021 to \$2,251,994 in 2023.
- 3.9 The Performance Targets and Measures set by CFSL are:
- Provide superannuation services to at least 90% of local authorities,
  - To be an efficient and effective administration manager for LAPP, Riskpool, Civic Liability Pool and Civic Property Pool.
- 3.10 For the following three years (2021 to 2023), no dividends will be paid to shareholder councils. The reason is to support and enhance Civic's primary source of income as providing administration services to the superannuation schemes. The funds will instead be used to reduce the management fees for the scheme's members, reducing fees from 0.44% to 0.40% per annum of the funds balance.

## Suggested Resolutions

- 1 The business paper on Civic Financial Services Ltd Statement of Intent for the Year ended 31 December 2021 be received.
- 2 The Civic Financial Services Ltd Statement of Intent for the Year ended 31 December 2021 be received.



**ALISTER DUNCAN**  
**GENERAL MANAGER – BUSINESS SUPPORT**

11 February 2021

Attachments: 1 Civic Financial Services Limited – Statement of Intent 2021  
(A506690)



Chris Ryan  
Chief Executive  
Waitomo District Council  
PO Box 404  
TE KUITI 3941

18 December 2020

Dear Chris,

## **Civic Financial Services - Statement of Intent for 2021**

Please find enclosed your copy of Civic's Statement of Intent for 2021.

With the sale of Civic Assurance House and subsequent Special Dividend having concluded and been paid to our shareholders in August 2019 our income now comes from two sources, administration services and investment income. Civic's primary source of income in 2021 will come from providing superannuation services for local government and local government staff via the SuperEasy and the SuperEasy KiwiSaver Superannuation Schemes. This is supported by administration, accounting, and a range of other services to LAPP, Riskpool, Civic Liability Pool and Civic Property Pool.

Civic has resolved not to pay any dividends to its shareholders. Civic with overwhelming support from the 2020 Special General Meeting, will apply the funds that could otherwise be provided as dividends to effect a reduction to the management fees for the members of the SuperEasy and SuperEasy KiwiSaver Superannuation Schemes. The reason for this decision is to support and enhance Civic's primary source of income from providing administration services to these schemes.

For the reasons described above we will be reducing the schemes' base investment management fee from 1 April 2021 from a rate of 0.44% per annum to 0.40% per annum.

Civic (through its SuperEasy and/or SuperEasy KiwiSaver Scheme) provides superannuation services to 76 councils, has over 11,000 members and funds under management of over \$470 million. Of the councils that have a preferred provider for KiwiSaver, 70 out of 74 (94%) have appointed Civic.

Having been appointed in March 2006, after a long and successful tenure Mike Hannan has retired as a Director of Civic Financial Services with effect from 4 December 2020. Jo Miller, Chief Executive of Hutt City Council, has been co-opted by the Board to fill this casual vacancy and takes up her appointment as a Director of Civic Financial Services Ltd with effect from 18 December 2020. Jo is required to step down at the next Annual General Meeting but is able to be nominated for election in the usual way.

Thank you for your continued support and I look forward to working with you in 2021.

Yours sincerely,

Ian Brown  
Chief Executive  
Email: [ian.brown@civicfs.co.nz](mailto:ian.brown@civicfs.co.nz)



**CIVIC FINANCIAL SERVICES LIMITED**  
**STATEMENT OF INTENT**  
**FOR THE YEAR ENDED 31 DECEMBER 2021**

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## **1.0 Mission Statement**

<b>Mission Statement of Civic Financial Services Ltd</b>
To provide superannuation and risk-financing solutions to the local government sector

## **2.0 Corporate Goals**

The specific goals of the Company are:

- 2.1 To operate as a sound and successful business.
- 2.2 To be the primary supplier of superannuation and risk-financing services to the local government sector.
- 2.3 To investigate and facilitate, as appropriate, new products and markets in superannuation and risk-financing and such other markets that it believes could prove beneficial to its shareholders and the local government sector.

## **3.0 Nature and Scope of Activities**

- 3.1 The Company administers superannuation services for local government and local government staff via SuperEasy and the SuperEasy KiwiSaver Superannuation Scheme.
- 3.2 The Company provides administration, accounting, and a range of other services to LAPP, Riskpool, CLP (Civic Liability Pool) and CPP (Civic Property Pool).
- 3.3 The Company investigates and facilitates as appropriate such new superannuation and risk-financing services and/or markets that it believes will prove beneficial to its shareholders and the local government sector.
- 3.4 In a modest and selective way the Company provides sponsorship for a range of local government activities at regional and national level.

## 4.0 Financial Projections

Civic's projected profit outlook over the next three years is shown in the tables below.

Civic's main revenue streams will come from two sources: fees from providing administration services and investment income.

**Profits from providing administration services:** Civic's primary source of income in 2021 will come from providing superannuation services for local government and local government staff via the SuperEasy and the SuperEasy KiwiSaver Superannuation Schemes, supported by administration, accounting, and a range of other services to LAPP, Riskpool, Civic Liability Pool and Civic Property Pool.

**Profits from investment income:** Civic's income in 2021 other than from providing administration services will come solely from investment income.

**Dividends:** Civic has resolved not to pay any dividends to its shareholders. Civic with overwhelming support from the 2020 Special General Meeting, will apply the funds that could otherwise be provided as dividends to effect a reduction to the management fees for the members of the SuperEasy and SuperEasy KiwiSaver Superannuation Schemes. The reason for this decision is to support and enhance Civic's primary source of income from providing administration services to these schemes.

**Fee reduction for our SuperEasy and SuperEasy KiwiSaver Superannuation Schemes:** For the reasons described above we will be reducing the schemes' base investment management fee from 1 April 2021 from a rate of 0.44% per annum to 0.40% per annum. This reduced fee structure has been taken into consideration and is reflected in the projections below.

Financial projections for 2021 to 2023 are:

	2021	2022	2023
Administration Income	\$2,443,312	\$2,525,085	\$2,537,487
Investment Income	\$103,175	\$107,000	\$112,000
Revenue	\$2,546,487	\$2,632,085	\$2,649,487
Expenses	\$2,197,367	\$2,216,512	\$2,251,994
<b>Surplus before tax</b>	<b>\$349,120</b>	<b>\$415,573</b>	<b>\$397,493</b>
<b>Surplus after tax</b>	<b>\$251,367</b>	<b>\$299,213</b>	<b>\$286,195</b>

Please note that these are projections, not firm predictions.

## **5.0 Performance Targets and Measures**

- 5.1 We aim to provide superannuation services to at least 90% of local authorities.
- 5.2 We plan to continue to be an efficient and effective administration manager for LAPP, Riskpool, CLP and CPP.

## **6.0 Reporting to Shareholders**

- 6.1 We will provide an audited annual report for the 2020 year by 30 April 2021.
- 6.2 We will provide a report on the first half of 2021 by 30 September 2021. The report will contain a review of the Company's operations during the half year and unaudited half-yearly accounts.

## **7.0 Acquisitions/Disposals**

Any acquisition or disposal that is equivalent to 50% or more of the Company's assets will constitute a "major transaction" under the Company's constitution and approval of the shareholders will be sought in accordance with the constitution. Any acquisition that is equivalent to 25% or more but less than half of the Company's assets will constitute a "minor transaction" under the Company's constitution and consultation with shareholders will take place.

## **8.0 Transactions with Related Parties**

The Company has 72 local authority shareholder members plus TrustPower (holding 1.22%). Local Government Superannuation Trustee Limited and Local Government Mutual Funds Trustee Limited are wholly owned subsidiaries of the Company. Because it is sharing management resources, the Local Authority Protection Programme (LAPP), Riskpool, CLP and CPP are also considered to be related parties. Transactions with shareholder members include risk-financing services and superannuation related financial services.

Charges to and from shareholder members will be made for services provided as part of the normal trading activities of the Company and its subsidiaries. Transactions with shareholder members are on a wholly commercial basis.

\*\*\*\*\* END \*\*\*\*\*

Document No: A506255

**Report To: Audit, Risk and Finance Committee**



**Meeting Date:** 16 February 2021

**Subject:** Local Government Funding Agency – Six Month Report to 31 December 2020

**Type:** Information Only

## Purpose of Report

- 1.1 The purpose of this business paper is to table the Quarterly Report of the Local Government Funding Agency for the six months ended 31 December 2020.

## Background

- 2.1 The LGFA was established in December 2011 principally to borrow domestically or offshore and provide lending to local authorities across New Zealand.
- 2.2 Waitomo District Council (WDC) joined the LGFA as a borrower and guarantor in April 2017. Substantially all its borrowings are now provided from the LGFA.
- 2.3 As a borrower WDC would look to the LGFA as first lender of choice for Council's borrowing requirements. As a guarantor to the LGFA, WDC has ongoing interest in the financial strength of LGFA.

## Commentary

### **3.1 Financial Performance for the six months to 31 December 2020.**

- 3.2 LGFA continues to perform ahead of budget. Net operating profit for the six months was \$5.95m. Net interest income and operating profit are ahead of SOI forecast and expenses are less than budget for the six months ended 31 December 2020.
- 3.3 The ability of the LGFA to maintain its financial strength and high credit rating is important for Council as a borrower, so debt funding can be sourced on favourable terms and as a guarantor because it further reduces the already very low likelihood of the guarantee being exercised.
- 3.4 Total loans to Councils by LGFA are \$12.33 billion as at 31 December 2020. Bonds on issue to investors in LGFA total \$13.71 billion as at 31 December 2020.

## 3.5 Performance Targets Statement of Intent

2020/21 SOI measures	Target	Result
Net Interest Income	Greater than \$18.28m	\$9.9m
Annual issuance and operation expenses (excluding AIL)	Less than \$6.28m	\$3.35m
Total Lending to Participating Local Authorities	At least \$9.79billion	\$12.33billion
Annual Survey – value added by LGFA	80% satisfaction score	98.8%
Meet lending request were those request meet LGFA operational and covenant requirements	All	All
Market Share of all council borrowing in New Zealand	85% market share	81.8%
Review each Participating Local Authority's financial position	All participating Local Authorities	22 of the 67 councils visited
Treasury Policy Breaches	None	None
Refinance existing loans to councils and LGFA bone maturities	All	All
Maintain credit rating equal to New Zealand Government	AA+	AA+

<b>Suggested Resolutions</b>
------------------------------

- 1 The business paper on Six Month Report to 31 December 2020 – Local Government Funding Agency be received.
- 2 The LGFA Quarterly Report to Shareholders, December Quarter 2020 be received.



ALISTER DUNCAN  
**GENERAL MANAGER - BUSINESS SUPPORT**

9 February 2021

- Attachment(s):
- 1 LGFA Quarterly Report to Shareholders (A506260)
  - 2 List of LGFA Guarantors (A506262)
  - 3 Council Compliance with LGFA Covenants (A506263)

## LGFA Quarterly Report to Shareholders

### December Quarter 2020

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# Quarterly Report



Quarter 2: 2020 - 2021  
 Period ended: 31 December 2020

## A. December quarter highlights

Quarter	Total	Bespoke Maturity	April 2022	April 2023	April 2024	April 2025	April 2026	April 2027	April 2029	April 2033	April 2037
Bonds issued \$m	600	N/A	-	110	-	60	100	50	160	50	70
Term Loans to councils \$m	632.2	346.1	2.0	17.0	10.5	24.7	45.5	18.5	168.0	-	-
Term Loans to councils #.	54	24	1	3	4	4	7	6	5	-	-

Financial Year to Date	Total	Bespoke Maturity	April 2022	April 2023	April 2024	April 2025	April 2026	April 2027	April 2029	April 2033	April 2037
Bonds issued \$m	1,900	N/A	450	110	100	60	150	100	260	100	570
Term Loans to councils \$m	1,737.5	638.6	6.0	49.0	45.8	102.2	324.0	84.5	483.0	4.4	50.0
Term Loans to councils #.	120	45	2	5	10	15	21	10	11	1	1

### Key points and highlights for the December quarter:

- The LGFA bond yield curve rose and steepened during the quarter, rising from the historic lows in the September quarter and reversing the previous movements in the yield curve. Front end yields rose less than back end yields e.g. 2022 yields closed the quarter 0.16% higher at 0.38% and 2037 yields were up 0.47% to 1.97%. Investors unwound expectations of a negative Official Cash Rate as the domestic economy proved more resilient than expected, the housing market performed strongly, and global bond yields rose.
- LGFA issued \$600 million of bonds during the quarter across three tenders of \$200 million each. The average term of issuance during the quarter was 7.53 years.
- LGFA borrowing margins to swap narrowed between 3 bps (2022s) and 10 bps (2033s) during the quarter and continued the tightening evident in the September quarter. LGFA spreads to NZGB also narrowed during the quarter and all spreads narrowed to set new historic lows.
- Long dated lending to councils during the quarter of \$632.2 million was less than the record \$1.1 billion in the September quarter, while the average term of lending during the quarter at 6.77 years was also less than the prior quarter’s 7.22 years. It was still significantly longer than the 2019-20 financial year average of 5.42 years.
- LGFA has estimated market share of 81.8% of total council borrowing for the rolling twelve-month period to December 2020 (compared to a historical average since 2012 of 74%).
- Short-term lending remains supported by councils with loans outstanding of \$343.4 million as at 31 December 2020. This was an increase of \$59.8 million over the quarter and the number of councils using this product was unchanged at twenty-six.
- We entered into our first Standby Facility Agreement with a council during the quarter and this was a pleasing start to a new product that will help reduce overall financing costs for councils.
- LGFA Net Operating Gain (unaudited) for the six-month period to 31 December 2020 was \$5.948 million which was \$673k above budget, comprising total operating income at \$643k above budget and expenses at \$30k below budget.
- We are meeting (or on track to meet) eight out of our ten performance objectives with only our market share and number of council visits currently below our target.
- We had three councils join LGFA during the quarter bringing total membership to seventy-one. Waitaki and Central Otago District Councils joined as guarantors and Kawerau District Council joined as a non-guarantor. We are expecting a further two councils to join over the next twelve months.

# Quarterly Report

Quarter 2: 2020 - 2021  
 Period ended: 31 December 2020



## B. LGFA bond issuance during quarter

LGFA held three bond tenders during the quarter amounting to \$600 million of issuance.

**Tender 75: 7 October 2020**

**\$200 million**

<b>Tender 75 - 07 October 2020</b>	<b>15-Apr-23</b>	<b>15-Apr-26</b>	<b>20-Apr-29</b>	<b>14-Apr-33</b>
Total Amount Offered (\$million)	50	50	50	50
Total Amount Allocated (\$million)	50	50	50	50
Total Number of Bids Received	9	11	22	12
Total Amount of Bids Received (\$million)	155	144	186	122
Total Number of Successful Bids	1	2	2	7
Highest Yield Accepted (%)	0.190	0.415	0.815	1.180
Lowest Yield Accepted (%)	0.190	0.410	0.810	1.170
Highest Yield Rejected (%)	0.220	0.500	0.900	1.250
Lowest Yield Rejected (%)	0.200	0.415	0.815	1.180
Weighted Average Accepted Yield (%)	0.190	0.415	0.815	1.174
Weighted Average Rejected Yield (%)	0.206	0.446	0.835	1.234
Amount Allotted at Highest Accepted Yield as Percentage of Amount Bid at that Yield*	100	90	90	62.1
Coverage Ratio	3.10	2.88	3.72	2.44
NZGB Spread at Issue (bps)	20.00	33.00	48.00	50.00
Swap Spread at Issue (bps)	13.00	25.50	41.00	51.00
Swap Spread: AA council (bps)	36	48.25	64.5	85.25
Swap Spread: AA- council (bps)	41	53.25	69.5	90.25
Swap Spread: A+ council (bps)	46	58.25	74.5	95.25
Swap Spread: Unrated council (bps)	56	68.25	84.5	105.25
Coverage Ratio	3.10	2.88	3.72	2.44

The tender result was very good with strong volume of bids and price tension. While spreads to NZGB were wider by 8bps compared to the September tender result (following the recent outperformance by NZGBs on reduced supply from NZDM), LGFA issuance spreads to swap were 1 to 2 bps tighter and made new lows as did issuance yields.

The tender size of \$200 million was the same size as the other tenders held this calendar year and we tendered four tranches in order to capture as much demand as possible. Price support was strongest for the 2023, 2026 and 2029 maturities with the weighted successful average yield of each bond at or slightly below mid-market yields.

Bidding volume was strong with the overall bid coverage ratio of 3.04x the third highest in eighteen months and only one successful bid for the 2023s and two each for the 2026s and 2029s.

While we issued \$200 million of LGFA bonds we on-lent \$187 million to nine councils. The average maturity of the LGFA bonds issued was 7.27 years while the average term of lending to councils was 7.3 years so our issuance and lending terms were matched.

# Quarterly Report

Quarter 2: 2020 - 2021  
 Period ended: 31 December 2020



**Tender 76: 12 November 2020**

**\$200 million**

<b>Tender 76 - 12 November 2020</b>	<b>15-Apr-25</b>	<b>15-Apr-27</b>	<b>20-Apr-29</b>	<b>15-Apr-37</b>
Total Amount Offered (\$million)	60	50	60	30
Total Amount Allocated (\$million)	60	50	60	30
Total Number of Bids Received	15	14	11	25
Total Amount of Bids Received (\$million)	176	136	93	99
Total Number of Successful Bids	5	2	2	6
Highest Yield Accepted (%)	0.615	0.830	1.140	1.930
Lowest Yield Accepted (%)	0.595	0.820	1.135	1.890
Highest Yield Rejected (%)	0.690	0.950	1.250	2.020
Lowest Yield Rejected (%)	0.615	0.840	1.150	1.940
Weighted Average Accepted Yield (%)	0.609	0.825	1.138	1.919
Weighted Average Rejected Yield (%)	0.634	0.864	1.186	1.973
Amount Allotted at Highest Accepted Yield as Percentage of Amount Bid at that Yield*	42.9	100	100	100
Coverage Ratio	2.93	2.72	1.55	3.30
NZGB Spread at Issue (bps)	24.00	28.00	41.00	55.00
Swap Spread at Issue (bps)	21.25	25.25	38.35	68.30
Swap Spread: AA council (bps)	26.5	52	61	72
Swap Spread: AA- council (bps)	31.5	57	66	77
Swap Spread: A+ council (bps)	36.5	62	71	82
Swap Spread: Unrated council (bps)	46.5	72	81	92
Coverage Ratio	2.93	2.72	1.55	3.30

The tender result was pleasing with good volume of bids (despite a NZ Debt Management bond tender of \$600 million of NZ Government Bonds (NZGBs) at the same time), good price tension and support for all the bonds on offer.

Spreads to NZGB were wider by 7bps on the 2029s compared to the October tender following the recent outperformance by NZGBs on reduced supply from NZDM while the RBNZ LSAP was still providing positive ongoing support for lower yields. Market conditions were volatile with a 20 bps rise in yields following the previous days RBNZ Monetary Policy Statement, so it was going to be a more difficult environment to issue into.

Price support was strongest for the 2025, 2027 and 2037 maturities with the weighted successful average yield of each bond 0.5bps above mid-market yields while the 2029 issue yield was 1.5 bps above mid-market.

Bidding volume was good with the overall bid coverage ratio of 2.52x below the previous two record months but still well above the 2.3x average for the past two years. The bid coverage ratios were consistent and ranged between 1.55x (2029s) and 3.3x (2037s).

The average maturity of the LGFA bonds issued was 7.93 years so it was another tender of both larger volume and longer duration compared to previous years.

# Quarterly Report



Quarter 2: 2020 - 2021  
 Period ended: 31 December 2020

While we issued \$200 million of LGFA bonds we on-lent \$258 million to eight councils with an average term of lending of 5.3 years (64 months) so our issuance term was significantly longer than our lending.

**Tender 77: 16 December 2020**

**\$200 million**

<b>Tender 77 - 16 December 2020</b>	<b>15-Apr-23</b>	<b>15-Apr-26</b>	<b>20-Apr-29</b>	<b>15-Apr-37</b>
Total Amount Offered (\$million)	60	50	50	40
Total Amount Allocated (\$million)	60	50	50	40
Total Number of Bids Received	7	13	22	25
Total Amount of Bids Received (\$million)	120	135	170	138
Total Number of Successful Bids	1	3	8	7
Highest Yield Accepted (%)	0.390	0.690	1.090	1.940
Lowest Yield Accepted (%)	0.390	0.680	1.070	1.890
Highest Yield Rejected (%)	0.450	0.750	1.175	2.040
Lowest Yield Rejected (%)	0.410	0.695	1.090	1.940
Weighted Average Accepted Yield (%)	0.390	0.683	1.084	1.929
Weighted Average Rejected Yield (%)	0.435	0.713	1.109	1.967
Amount Allotted at Highest Accepted Yield as Percentage of Amount Bid at that Yield*	100	100	100	100
Coverage Ratio	2.00	2.70	3.40	3.45
NZGB Spread at Issue (bps)	18.00	28.00	39.00	55.00
Swap Spread at Issue (bps)	9.90	18.10	28.90	61.90
Swap Spread: AA council (bps)	32.5	40.5	51.5	85.5
Swap Spread: AA- council (bps)	37.5	45.5	56.5	90.5
Swap Spread: A+ council (bps)	42.5	50.5	61.5	95.5
Swap Spread: Unrated council (bps)	52.5	60.5	71.5	105.5
Coverage Ratio	2.00	2.70	3.40	3.45

The tender size of \$200 million was the same size as the other nine tenders over the 2020 calendar year and reflected our larger borrowing requirement (\$2.83 billion in the 2020-21 financial year) but also the depth to the market assisted by the RBNZ LSAP programme.

We tendered four tranches in order to capture as much demand as possible. Price support was strong across the curve with the weighted successful average yield of each bond at or just above mid-market yields. Bidding volume was good with the overall bid coverage ratio of 2.82x the third highest for the past eighteen months and above the 2.3x average for the past two years. The bid coverage ratios were consistent across the four maturities.

The average maturity of the LGFA bonds issued was 7.39 years compared to the average for financial year to date of 8.49 years and 6.74 years in the prior 2019/20 financial year. We choose to issue more 2023s in the tender as they become less popular when they become a two-year or shorter maturity.

While we issued \$200 million of LGFA bonds we on-lent \$57.2 million to six councils with the average term of lending to councils of 7.7 years, so our issuance term was just slightly shorter than the term of our lending.

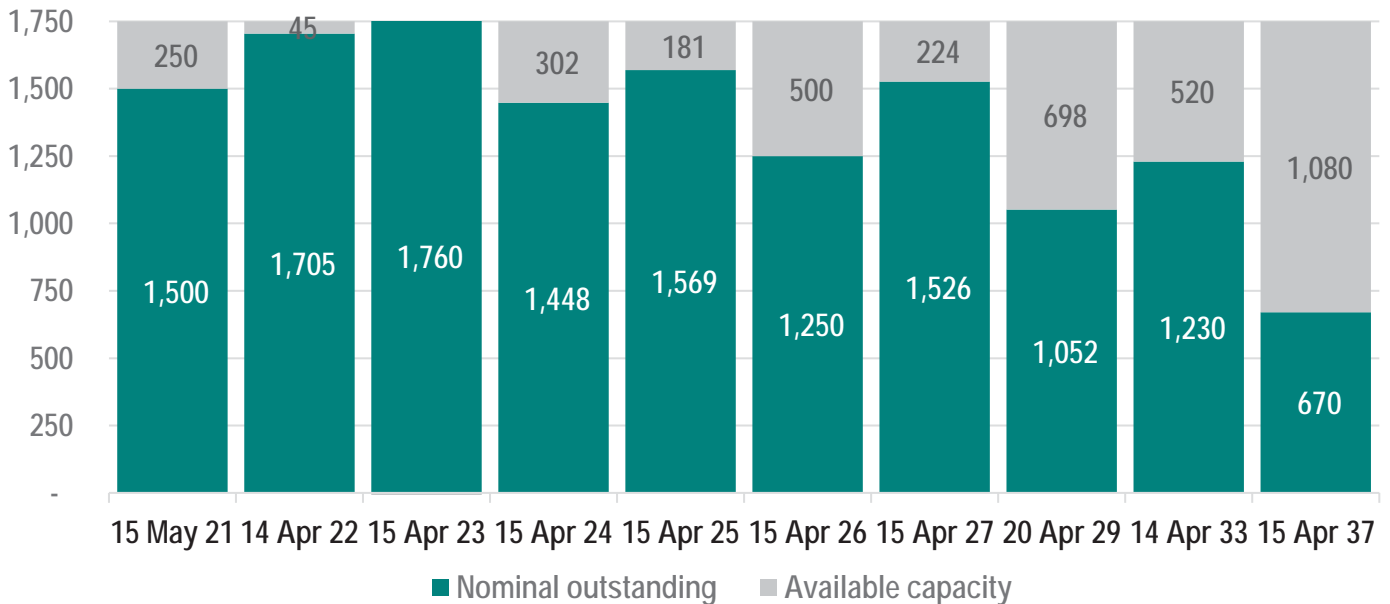
# Quarterly Report



Quarter 2: 2020 - 2021  
 Period ended: 31 December 2020

Bonds on issue as at 31 December 2020 were \$13.710 billion (including \$950 million of Treasury Stock) across ten tranches. We have a soft cap per maturity of \$1.75 billion.

**LGFA retail bonds on issue (NZ\$ million)**  
 As 31 December 2020: NZ\$ 13,710 million  
 Includes NZ\$950 million treasury stock



In addition to the retail bonds listed on the NZDX, LGFA has NZ\$130 million of Wholesale Floating Rate Notes on issue

Our issuance volume on a rolling 12-month basis of \$3.6 billion remains near historic high levels.

**Rolling 12 month Issuance (\$ millions)**



# Quarterly Report

Quarter 2: 2020 - 2021  
 Period ended: 31 December 2020



## C. Summary financial information (provisional and unaudited)

Financial Year (\$m)	YTD as at Q1	YTD as at Q2	YTD as at Q3	YTD as at Q4
	30-Sep-20	31-Dec-20	31-Mar-21	30-June-21
<b>Comprehensive income</b>				
Interest income	93.38	190.41		
Interest expense	82.22	180.52		
<b>Net interest revenue</b>	<b>4.16</b>	<b>9.89</b>		
Issuance and On-lending costs	0.73	1.40		
Approved issuer levy	Nil	0.59		
Operating expenses	0.93	1.95		
<b>Issuance and operating expenses</b>	<b>1.66</b>	<b>3.94</b>		
<b>Net Profit</b>	<b>2.51</b>	<b>5.95</b>		

Financial position (\$m)	30-Sep-20	31-Dec-20	31-Mar-21	30-Jun-21
Retained earnings + comprehensive income	60.25	63.69		
Total assets (nominal)	13,317.68	13,852.05		
Total LG loans (nominal)	11,906.65	12,289.67		
Total LGFA bills (nominal)	594.50	612.50		
Total LGFA bonds (nominal)	12,290.00	12,890.00		
Total borrower notes (nominal)	195.92	207.10		
Total equity	85.24	88.69		

## D. Key performance indicators (Section 5 of SOI)

Section 5 of the SOI sets out the ten key performance targets for LGFA.

We are meeting eight out of our ten performance targets and are optimistic on meeting the remaining two targets by June 2021. Our market share is lower due to Auckland Council issuing a \$500 million bond during the September quarter. COVID disruptions and council focus on finalising annual reports for the June 2020 year and working on the draft LTPs has meant that we have not been able to meet with as many council members as expected.

Measure	Prior full year to June 2020	Q1 30 Sept 2020	Q2 31 Dec 2020	Q3 31 Mar 2021	Q4 30 June 2021
LGFA net interest income for the period to June 2021 will be greater than \$18.8 million	Target (\$)	\$4.6 m (YTD as at Q1)	\$9.2 m (YTD as at Q2)	\$14.4 m (YTD as at Q3)	\$18.8 m (FULL YEAR)
	Actual (\$)	\$18.28 m	\$4.2 m <b>✗</b>	\$9.9 m <b>✓</b>	
Annual issuance and operating expenses (excluding AIL) will be less than \$6.30 million	Target (\$)	\$1.63 m (YTD as at Q1)	\$3.4 m (YTD as at Q2)	\$5.0 m (YTD as at Q3)	\$6.8 m (FULL YEAR)
	Actual (\$)	\$6.28 m	\$1.65 m <b>On track</b>	\$3.35 m <b>✓</b>	

# Quarterly Report



Quarter 2: 2020 - 2021  
 Period ended: 31 December 2020

Total nominal lending (short and long term) to participating councils to be at least \$9.79 billion	Target (\$)		\$11.45 b (YTD as at Q1)	\$12.19 b (YTD as at Q2)	\$12.62 b (YTD as at Q3)	\$11.66 b (FULL YEAR)
	Actual (\$)	\$10.899 b	\$11.91 b ✓	\$12.33 b ✓		
Conduct an annual survey of councils and achieve 85% satisfaction score as to the value added by LGFA to council borrowing activities	Target (\$)		Annual Survey in August each year			
	Actual (%)	100%	August 2020 survey outcome of 98.8% ✓			
Meet all lending requests from PLAs	Target (%)		100%	100%	100%	100%
	Actual (%)	100%	100% ✓	100% ✓		
Achieve 85% market share of all council borrowing in New Zealand	Target (%)		>85%	>85%	>85%	>85%
	Rolling annual average					
Review each PLA financial position, its headroom under LGFA policies and arrange to meet each PLA at least annually	Target (number)		Council visits to total 67 over one year Financial Position + Headroom Review Undertaken in December Quarter			
	Actual	31	no council visits due to COVID travel difficulties ✗	22 council visits but behind plan due to COVID travel difficulties ✗		
No breaches of Treasury Policy, any regulatory or legislative requirements including H&S	Target (zero breaches)		nil	nil	nil	nil
	Actual	Two	Nil ✓	Nil ✓		
Successfully refinance of existing loans to councils and LGFA bond maturities as they fall due	Target (%)		100%	100%	100%	100%
	Actual (%)	100%	100% ✓	100% ✓		
Maintain a credit rating equal to the New Zealand Government rating where both entities are rated by the same credit rating entity	Target (equivalence)		AA+/AA+			
	Actual	AA+/AA+	AA+/AA+ ✓	AA+/AA+ ✓		

# Quarterly Report

Quarter 2: 2020 - 2021  
 Period ended: 31 December 2020



## E. Performance against SOI objectives

### Primary objectives (Section 3 of SOI)

**Primary Objective:**  
 LGFA will optimise the debt funding terms and conditions for Participating Borrowers. Among other things, this includes:

- Providing interest cost savings relative to alternative sources of financing;
- Offering flexible short and long-term lending products that meet Participating Borrowers’ borrowing requirements;
- Delivering operational best practice and efficiency for its lending services;
- Ensuring certainty of access to debt markets, subject always to operating in accordance with sound business practice.

LGFA lending base margins are 20 bps for all borrowing terms. The base margin covers our operating costs and provides for capital to grow in line with the growth in our balance sheet. There is an additional credit margin added to the base margin depending upon whether a council has a credit rating or is a guarantor or non-guarantor of LGFA.

LGFA continues to borrow at very competitive spreads compared to the AAA rated SSA issuers (who borrow in the New Zealand debt capital markets), the domestic banks and our closest peer issuer Kainga Ora.

As at 31 December 2020	Comparison to other high-grade issuers - secondary market spread to swap (bps)												
	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030	2031	2032	2033
<b>LGFA (AA+)</b>	6	12	12	14	16	19	19	24.5	30	33	35	38	40
Kainga Ora (AA+)			13		22	28		32		40			
Asian Development Bank (AAA)	5		10	14	19	22							
IADB (AAA)	6		10	16	21			42					
IFC (AAA)	7		10	16	21		28						
KBN (AAA)	10		12	17	25					43			
Rentenbank (AAA)	7	8	11	17	24								
World Bank (AAA)	6	7	9	14	19	22	25			38			
Nordic Investment Bank (AAA)	5		11		21								
ANZ (AA-)	7		26	29									
BNZ (AA-)			20		34								
Westpac Bank (AA-)		15	21	30	34								
<b>SSA Average</b>	7	8	10	16	21	22	27	42		41			
<b>Bank Average</b>	7	15	22	30	34								

During the quarter LGFA continued to issue long dated bonds (April 2033s and 2037s) providing councils with the opportunity to extend their borrowing if desired. All tenders were successful.

LGFA launched the Standby Facility Agreement as a new product during the quarter and entered into one agreement with a council for \$100 million.



# Quarterly Report



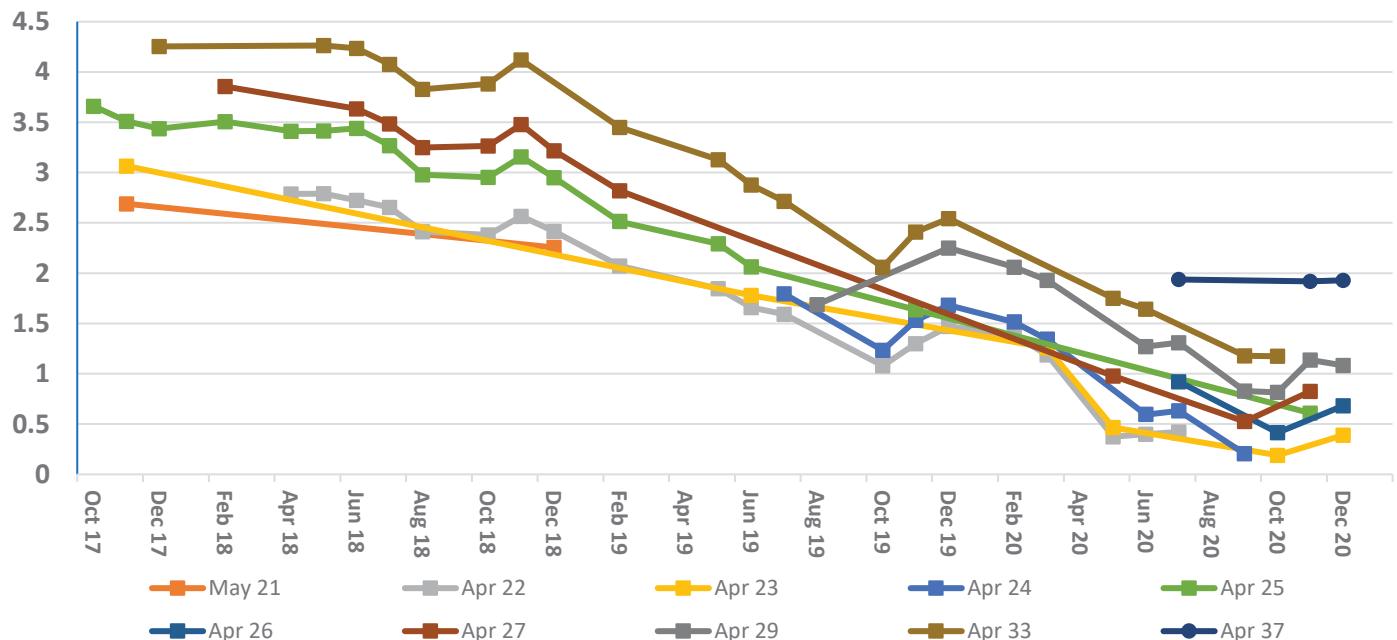
Quarter 2: 2020 - 2021  
 Period ended: 31 December 2020

The LGFA bond yield curve steepened and rose during the quarter with front end yields (2022s) rising 0.16% and back-end yields (2033s) rising 0.47%. These moves reversed the September quarter movements. Global bond yields rose over the quarter as the short-term negative economic impact from COVID is less than expected and equity markets rallied strongly to reach historic highs. Local banks and investors have reduced their expectations for a negative Official Cash Rate amidst rising house prices and a resilient domestic economy.

LGFA margins to swap narrowed between 3 bps (2022s) and 10 bps (2033s) over the quarter continuing the September quarter tightening and LGFA bond issuance spreads to swap are now at their historic lows. LGFA spreads to NZGB also tightened between 3 bps and 8 bps over the quarter as investors sought additional yield in a low interest rate environment and the RBNZ continued to buy LGFA bonds through its Large-Scale Asset Purchase (LSAP) programme.

We closely monitor the Kauri market for ongoing supply and price action as this other high-grade issuance by “AAA” rated Supranational issuers such as the International Finance Corporation (IFC), Inter-American Development Bank (IADB) and the Asian Development Bank (ADB) influences LGFA demand and pricing. These borrowers are our peer issuers in the NZD market and have the most influence on our pricing. The December quarter was a relatively quiet period for Kauri bond issuance except for the World Bank issuing \$1 billion of a six year and \$300 million of a ten-year bond. Issuance activity by global issuers in New Zealand is subdued as they can achieve more favourable borrowing terms in currency markets other than the NZD.

**LGFA Bond Issuance Yields (%)**  
 last 30 tenders

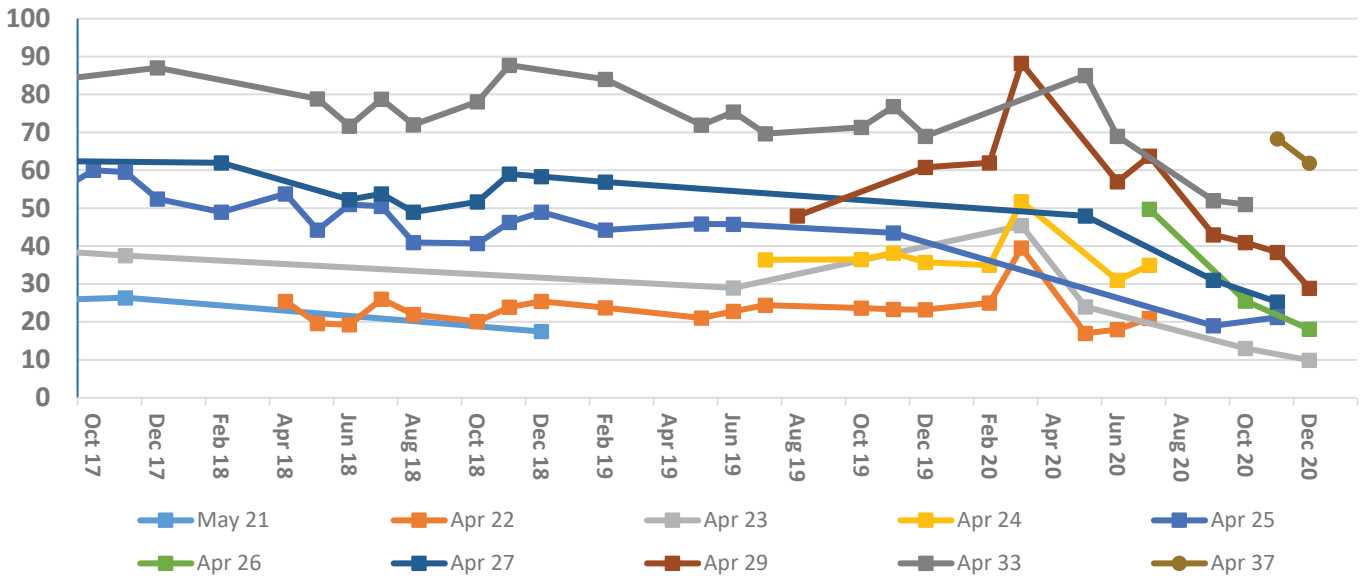


# Quarterly Report

Quarter 2: 2020 - 2021  
 Period ended: 31 December 2020

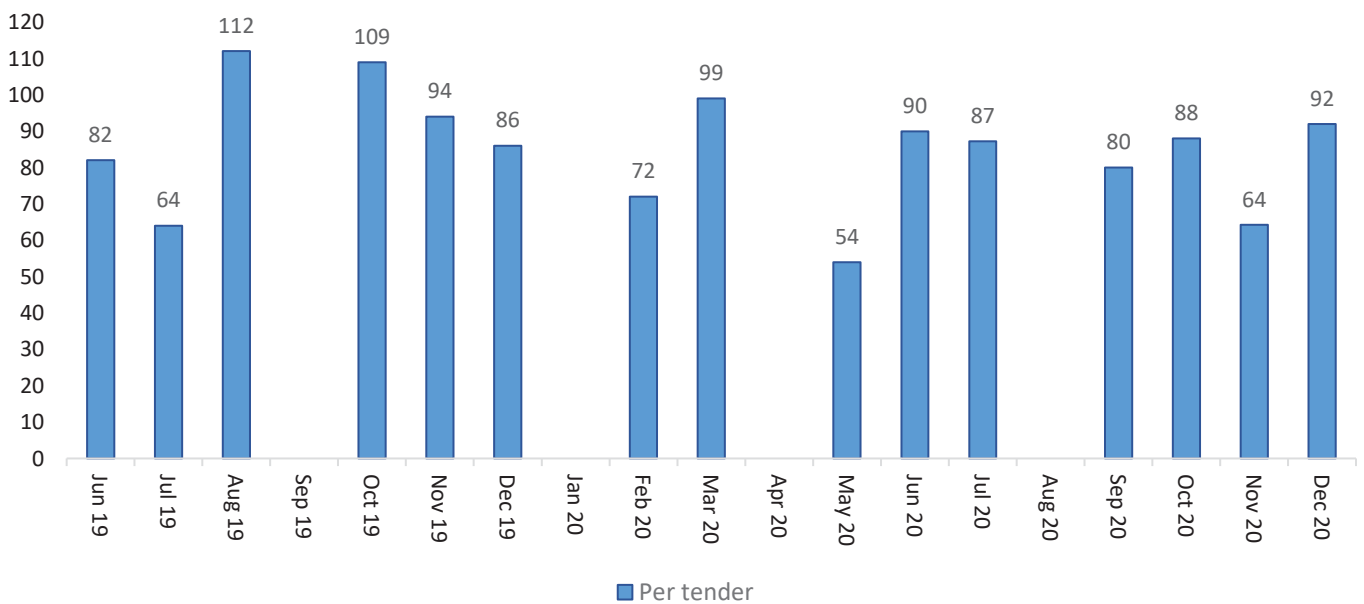


**Spread to Swap at Tenders (bps)**  
 last 30 tenders



The average borrowing term (excluding short dated borrowing) for the December quarter by council members was 6.77 years which was longer than the average term of 5.42 years for the year to June 2020. This reflected refinancing of the May 2021 loans by councils taking advantage of a recent flattening in the curve, lower outright yields and tighter credit spreads.

**Average total months to maturity - On-lending to councils**  
 Last 15 tenders



# Quarterly Report



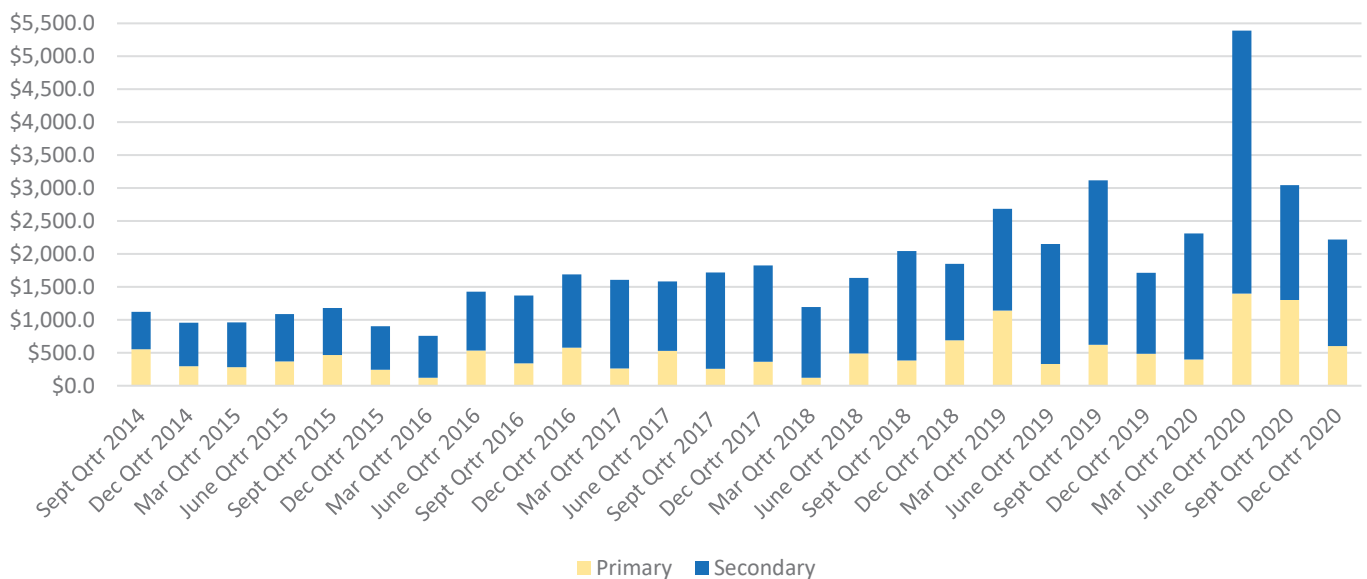
Quarter 2: 2020 - 2021  
 Period ended: 31 December 2020

Short term borrowing by councils remains well supported with loan terms of between one month and 12 months of \$343.4 million outstanding as at 31 December 2020 to twenty-six councils. The number of councils using this product was unchanged over the quarter while the total amount outstanding increased by \$60 million.

For LGFA to provide certainty of access to markets for our council borrowers we need to have a vibrant primary and secondary market in LGFA bonds. The primary market is the new issuance market and we measure strength with participation by investors at our tenders through bid-coverage ratios and successful issuance yield ranges. The secondary market is the trading of LGFA bonds following issuance and a healthy market implies high turnover.

Activity in LGFA bonds in both the primary market (tender or syndicated issuance) and secondary market (between banks and investors) during the quarter was strong but below the record highs seen in prior quarters. There was \$600 million of primary issuance and \$1.6 billion of secondary market activity in LGFA bonds during the quarter.

LGFA Primary and Secondary Market Activity - Quarterly (NZ\$ million)



LGFA started issuing LGFA Bills and short dated (less than 1 year) lending to councils in late 2015. As at 31 December 2020 there were \$612.5 million of LGFA Bills on issue. We use proceeds from LGFA bills to fund short term lending to councils and invest the balance in our liquid asset portfolio.

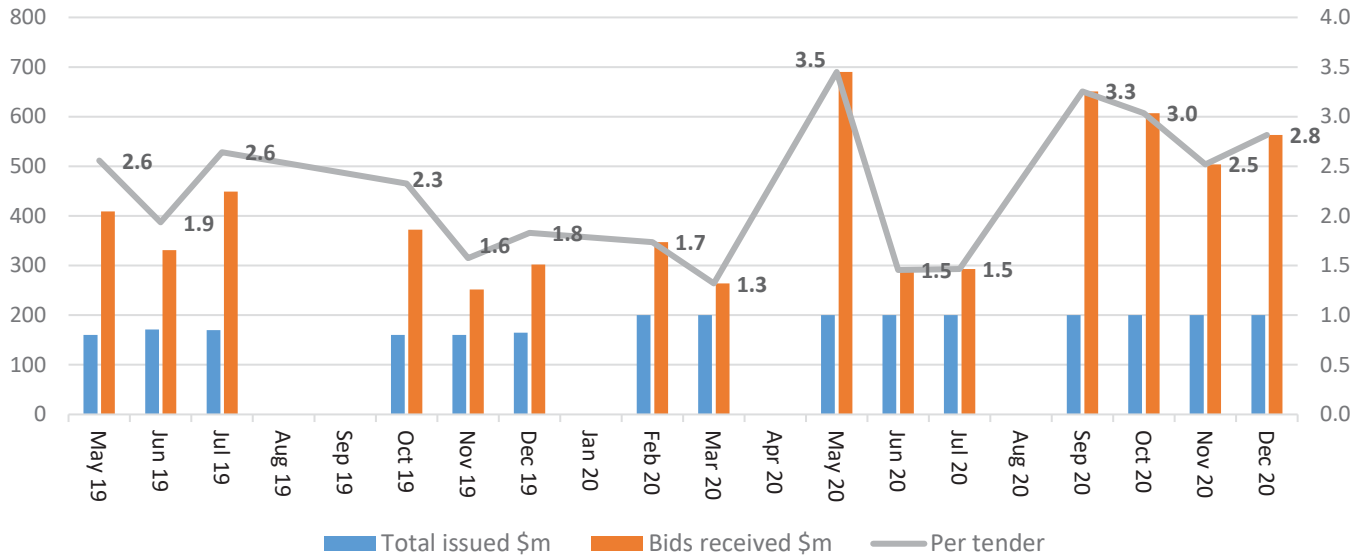
LGFA documented an Australian Medium-Term Notes Programme in November 2017. We have no immediate intention to use this programme, but it provides flexibility if there is a market disrupting event in the future.

# Quarterly Report



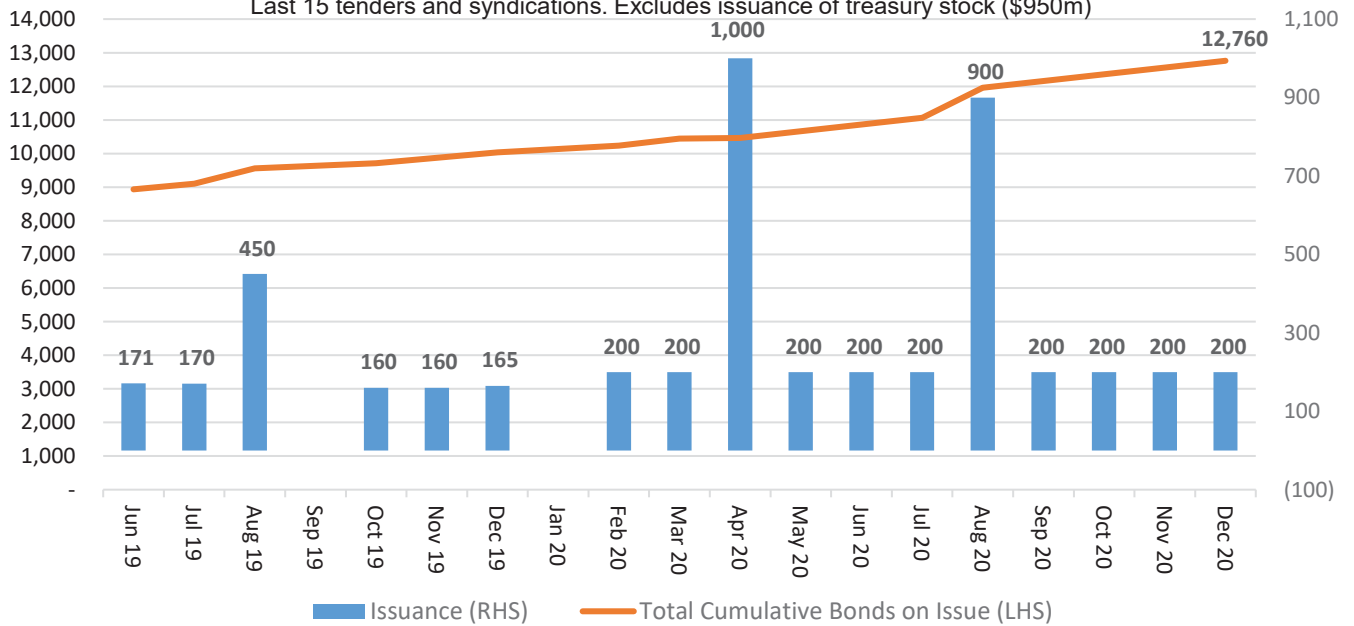
Quarter 2: 2020 - 2021  
 Period ended: 31 December 2020

**Tender bid/offer summary**  
 Last 15 tenders



**LGFA bond issuance (\$ million)**

Last 15 tenders and syndications. Excludes issuance of treasury stock (\$950m)



We survey our council members each year on their satisfaction with LGFA and the latest stakeholder survey result in August 2020 was a 99% result to the question “How would you rate LGFA in adding value to your borrowing requirements?”. We also received a 97% result to the question “How satisfied are you with the pricing that LGFA has provided to your Council?”

## Quarterly Report

Quarter 2: 2020 - 2021  
Period ended: 31 December 2020



### Primary Objective:

LGFA will ensure its asset book remains at a high standard by ensuring it understands each Participating Borrower's financial position, as well as general issues confronting the Local Government sector. Amongst other things, LGFA will:

- Proactively monitor and review each Participating Borrower's financial position, including its financial headroom under LGFA policies;
- Analyse finances at the Council group level where appropriate and report to shareholders;
- Endeavour to visit each Participating Borrower annually, including meeting with elected officials as required, or if requested; and
- Take a proactive role to enhance the financial strength and depth of the local government debt market and work with key central government and local government stakeholders on sector and individual council issues.

Following the lifting of COVID-19 travel restrictions that were in place during the previous two quarters, we commenced council visits again in the later months of 2020. We met with twenty-two councils over the quarter and that number will increase in the second half of the current financial year. LGFA continues to review council agendas and management reports on an ongoing basis for those councils on the LGFA borrower watch-list.

No council has yet to request to LGFA that they be measured on a group basis.

During the quarter, LGFA management had a strong focus on exploring further the opportunities in the Green, Social and Sustainable lending to councils. The Board and management met with representatives from Central Government on the proposed water reforms. We held investor conference calls for investors and banks relating to bond issuance and provided updates on the impact on the local government sector from COVID-19.

In November we held two conferences for investors in Auckland and Wellington to outline the proposed water sector reforms and potential impacts on the sector and LGFA.

We continue to assist the sector and the advisers in finding ways for LGFA to play a supporting role in providing solutions to off balance sheet financing for councils. LGFA has been contributing expertise to the proposed Ratepayer Financing Scheme (RFS).

### Additional objectives (Section 3 of SOI)

1. **Maintain LGFA's credit rating equal to the New Zealand Government sovereign rating where both entities are rated by the same Rating Agency.**

LGFA has an annual review process regarding our credit ratings from Standard and Poor's ("S&P") and Fitch Ratings ("Fitch") and meets with both agencies at least annually. Formal review meetings were last held in November 2019 with S&P and in October 2020 with Fitch.

On 28 February 2020, S&P affirmed our long-term local currency credit rating (AA+) and our long-term foreign currency credit rating (AA). Both ratings remain on positive outlook and the same as the New Zealand Government.

# Quarterly Report

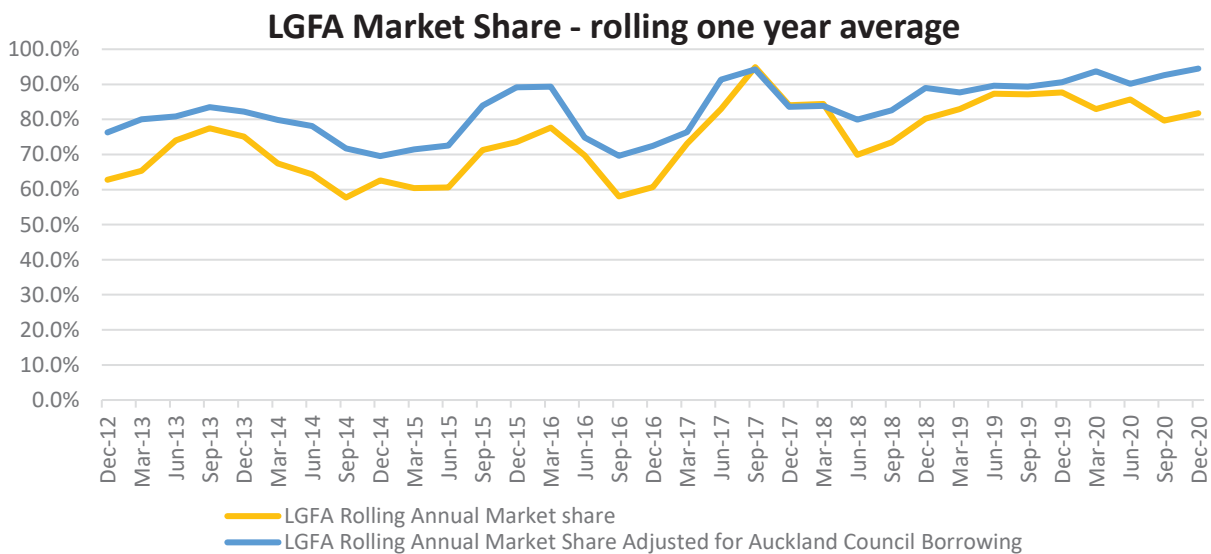


Quarter 2: 2020 - 2021  
 Period ended: 31 December 2020

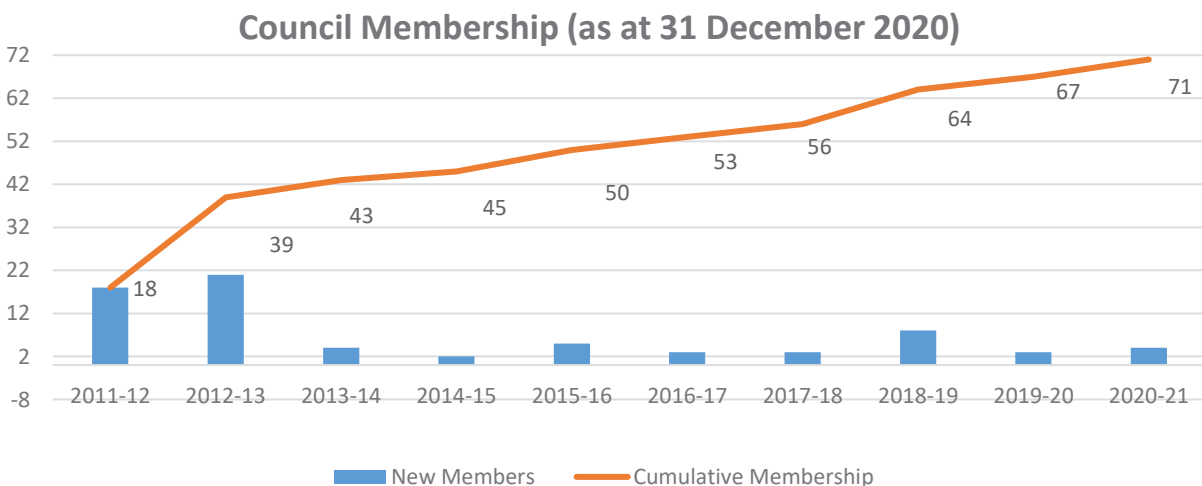
On 4 November 2020, Fitch reaffirmed our long-term local currency credit rating as AA+ and classified LGFA as a corporate mission, government related entity (GRE) under its GRE rating criteria. Fitch equalises our ratings with those of the New Zealand Government. On 28 January 2020 Fitch placed our foreign currency credit rating of AA on positive outlook but left the local currency credit rating unchanged at AA+ with a stable outlook.

## 2. Provide at least 85% of aggregate long-term debt funding to the Local Government sector.

We use the PwC Local Government Debt Report as our source of market share. Our estimated market share for the rolling twelve-month period to 31 December 2020 was 81.8%. If we adjust for Auckland Council borrowing, then it increases to 94.5%. This compares to a historical average of 73.7% and our market share is strong compared to our global peers.



As at 31 December 2020, there are seventy-one participating local authority members of LGFA. This was an increase of three over the quarter with Waitaki and Central Otago District Councils joining as guarantors and Kawerau District Council joining as a non-guarantor. We estimate a further two councils could become members in the next twelve months.



# Quarterly Report

Quarter 2: 2020 - 2021  
 Period ended: 31 December 2020



### 3. Achieve the financial forecasts outlined in section 4 for net interest income and operating expenses, including provision for a shareholder dividend payment in accordance with approved dividend policy.

For the six-month period to 31 December 2020, Net Interest Income (“NII”) was estimated by management on an unaudited basis to be \$638k above budget while expenses are \$30k below budget. Net Operating Gain of \$5.948 million was \$673k above budget.

Included in the NII is the unrealised mark to market movement in fixed rate swaps that are not designated effective for hedge accounting purposes. We have used these swaps to reduce exposure to fixed rate loans made outside of the normal tender process and to reduce mismatches between borrowing and on-lending terms in our balance sheet. The unrealised loss increases as interest rates fall but turns to a profit if interest rates rise. Due to a rise in interest rates since June 2020, the year to date revaluation is a profit of \$317k.

Expenses for the six-month period on an unaudited basis were \$3.938 million which is \$30k below budget. This variance is the consequence of:

- Issuance and on-lending costs (excluding AIL) at \$1.4 million were \$14k above budget. A larger amount of bond issuance and short-term lending increased these costs relative to budget, primarily in relation to higher NZX costs and legal costs. These were offset to some extent from lower fees than budgeted relating to the NZDM facility.
- Operating costs at \$1.945 million were \$33k below budget due to lower travel and consulting costs offset by higher legal and personnel costs relative to budget.
- Approved Issuer Levy (AIL) payments of \$593k were \$11k below budget. We pay AIL on behalf of offshore investors at the time of semi-annual coupon payment and offshore investor holdings are just below our SOI forecasts.

### 4. Meet or exceed the Performance Targets outlined in section 5.

See Section D on page 7 of this report.

As at 31 December 2020 we were meeting eight out of the ten performance targets but are confident that we will meet all targets by 30 June 2021.

### 5. Comply with the Health and Safety at Work Act 2015

LGFA has a Health and Safety staff committee and reporting on Health and Safety issues are made to the LGFA board on a regular basis by the Risk and Compliance Manager. There were no Health and Safety incidents during the quarter.

### 6. Comply with Shareholder Foundation Polices and the Board-approved Treasury Policy at all times.

There were no compliance breaches during the six-month period ending 31 December 2020.

## Quarterly Report

Quarter 2: 2020 - 2021  
Period ended: 31 December 2020



### 7. Assist the local government sector with their COVID-19 response.

Shareholders on 30 June 2020 approved a change to the Foundation Policy covenants. For the financial year ending 30 June 2021 the net debt/total revenue covenant for borrowers with an external credit rating of at least 'A+' has been increased from 250% to 300%. This is to provide short term relief from a temporary reduction in revenue and allows councils to coinvest alongside central Government in infrastructure projects in response to COVID-19

As mentioned previously, LGFA has been contributing expertise to the Ratepayer Financing Scheme project that if successful could offer temporary financial relief to ratepayers via rates postponement.

LGFA has introduced a new lending Standby Facility product that will provide greater certainty of access to emergency funding for councils at a lower cost than going to the traditional bank provider.

LGFA has extended the longest dated lending maturity for councils from 2033 to 2037 to enable councils to be better match assets with liabilities and to benefit from record lows in interest rates and borrowings spreads.

### F. Investor relations

Managing relations with our investor base is very important as the amount of LGFA bonds on issue has yet to peak and we require investors and banks to support our ongoing tender issuance.

Over the three-month period to 31 December 2020 we issued \$600 million of LGFA bonds and there were no bond maturities. The change in holdings amongst our investor groups during that time was

- Offshore investor holdings reduced by \$149 million (and reduced by \$143 million from 31 December 2019) and holdings are estimated to be \$2.70 billion as at 31 December 2020
- Domestic bank holdings increased by \$270 million (and up \$577 million from 31 December 2020) and holdings are estimated to be \$4.43 billion as at 31 December 2020
- Domestic investor (retail and institutional) holdings increased by \$221 million (and up \$528 million from 31 December 2020) and holdings are estimated to be \$3.85 billion as at 31 December 2020
- The Reserve Bank of New Zealand (RBNZ) increased their holdings by \$261 million over the quarter and now hold \$1.79 billion as at 31 December 2020.

Domestic banks continue to buy the short to mid curve LGFA bonds for their liquid asset books given the low interest rate environment and subdued outlook for lending. While offshore investors have reduced their holdings, they do remain supportive of LGFA bonds despite the relative unattractiveness of NZ to other markets.

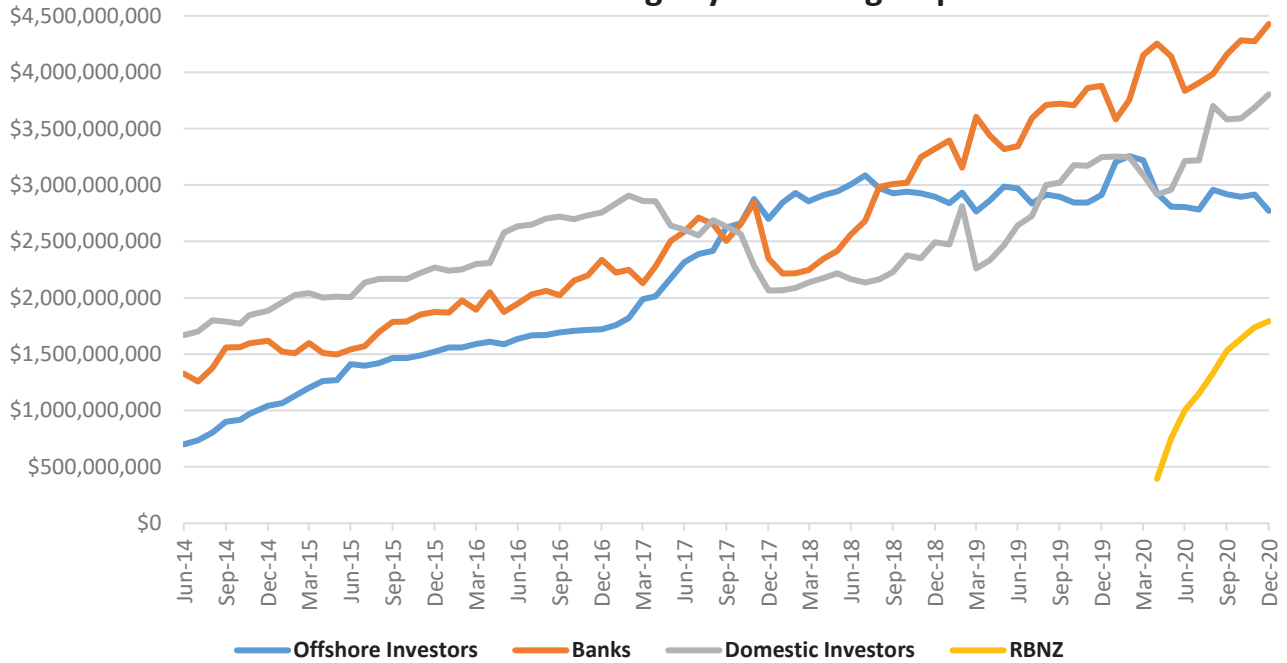


# Quarterly Report

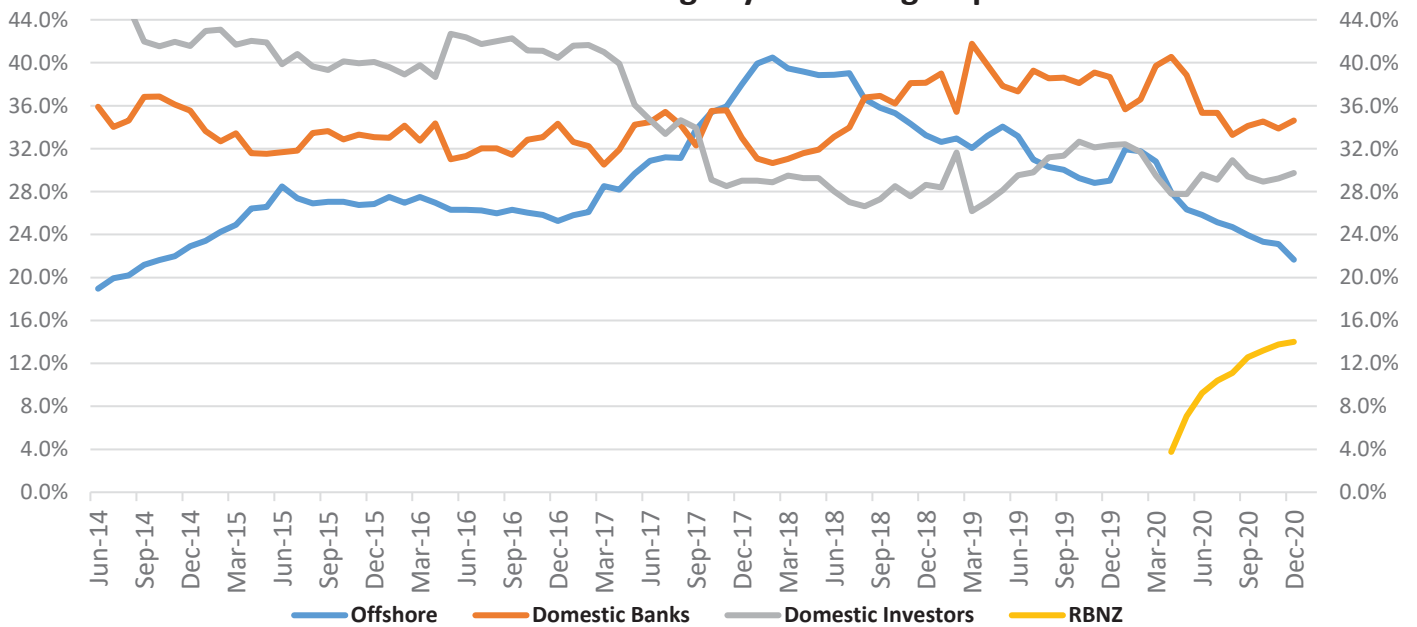
Quarter 2: 2020 - 2021  
 Period ended: 31 December 2020



LGFA bond holdings by investor group



LGFA bond holdings by investor group





NEW ZEALAND LOCAL  
GOVERNMENT FUNDING AGENCY  
TE PŪTEA KĀWANATANGA Ā-ROHE

LGFA Guarantors as at 15 January 2021 (alphabetical order)	Long Term Issuer Credit Rating		
	S&P Global Ratings	Fitch Ratings	Moodys
Ashburton District Council		AA+	
Auckland Council	AA		Aa2
Bay of Plenty Regional District Council	AA		
Canterbury Regional Council		AA+	
Central Otago District Council			
Christchurch City Council	AA-		
Clutha District Council			
Far North District Council			
Gisborne District Council			
Gore District Council			
Greater Wellington Regional Council	AA (positive)		
Grey District Council			
Hamilton City Council	AA-		
Hastings District Council	AA (negative)		
Hauraki District Council			
Horizons Regional Council			
Hawkes Bay Regional Council			
Horowhenua District Council	A+		
Hurunui District Council			
Hutt City Council	AA		
Invercargill City Council		AA+	
Kaipara District Council			
Kapiti Coast District Council	AA		
Manawatu District Council			
Marlborough District Council	AA (positive)		
Masterton District Council			
Matamata-Piako District Council			
Nelson City Council	AA		
New Plymouth District Council	AA (positive)		
Northland Regional Council			
Otorohanga District Council			
Palmerston North City Council	AA		
Porirua City Council	AA		
Queenstown Lakes District Council		AA-	
Rotorua Lakes District Council		AA-	
Ruapehu District Council			
Selwyn District Council		AA+	
South Taranaki District Council	AA-(positive)		
South Waikato District Council			
South Wairarapa District Council			
Stratford District Council			
Taranaki Regional Council			
Tararua District Council			
Tasman District Council	AA (negative)		
Taupo District Council	AA (positive)		
Tauranga City Council	A+		
Thames-Coromandel District Council			
Timaru District Council		AA-	
Upper Hutt City Council			
Waikato District Council			
Waikato Regional Council			
Waimakariri District Council	AA		
Waipa District Council		AA-	
Waitaki District Council			
Waitomo District Council			
Westland District Council			
Wellington City Council	AA (positive)		
Western Bay of Plenty District Council	AA (positive)		
Whakatane District Council			
Whanganui District Council	AA		
Whangarei District Council	AA (positive)		



NEW ZEALAND LOCAL  
GOVERNMENT FUNDING AGENCY  
TE PŪTEA KĀWANATANGA Ā-ROHE

Council	Long Term Issuer Credit Rating		
	S&P Global Ratings	Fitch Ratings	Moodys
Auckland Council	AA		Aa2
Bay of Plenty Regional District Council	AA		
Christchurch City Council	A+ (positive)		
Dunedin City Council	AA		
Greater Wellington Regional Council	AA (positive)		
Hamilton City Council		AA (negative)	
Hastings District Council	AA		
Horowhenua District Council	A+		
Hutt City Council	AA		
Invercargill City Council		AA	
Kapiti Coast District Council	A+ (positive)		
Marlborough District Council	AA (positive)		
Nelson City Council	AA		
New Plymouth District Council	AA (positive)		
Palmerston North City Council	AA (positive)		
Porirua City Council	AA		
Queenstown Lakes District Council		AA- (negative)	
Rotorua Lakes District Council		AA-	
Selwyn District Council		AA+	
South Taranaki District Council	AA-(positive)		
Tasman District Council	AA		
Taupo District Council	AA (positive)		
Tauranga City Council	AA-		
Timaru District Council		AA-	
Waimakariri District Council	AA (negative)		
Waipa District Council		AA-	
Wellington City Council	AA (positive)		
Western Bay of Plenty District Council	AA		
Whanganui District Council	AA		
Whangarei District Council	AA (positive)		

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## Financial Covenants - as at June 2020

Councils with a credit rating	Credit	Net Debt / Total Revenue	Net Interest / Total Revenue	Net Interest / Rates	Liquidity
	Rating	<250%	<20%	<30%	>110%
Ashburton District Council	AA+	54.8%	2.2%	3.6%	134.4%
Auckland Council	AA	195.6%	7.8%	15.2%	114.9%
Bay of Plenty Regional Council	AA	-12.8%	-1.5%	-3.6%	207.7%
Christchurch City Council	AA-	120.8%	7.5%	12.5%	120.3%
Greater Wellington Regional Council	AA	95.2%	4.1%	10.3%	138.8%
Hamilton City Council	AA-	136.6%	5.6%	8.5%	132.1%
Hastings District Council	AA	102.6%	3.4%	5.5%	116.0%
Horowhenua District Council*	A+	164.2%	5.4%	7.4%	124.8%
Hutt City Council	AA	106.4%	3.8%	5.7%	124.0%
Invercargill City Council	AA+	32.0%	0.7%	1.2%	158.1%
Kapiti Coast District Council	AA	151.0%	6.5%	9.9%	133.8%
Marlborough District Council	AA	15.1%	0.9%	1.7%	148.5%
Nelson City Council	AA	71.6%	3.4%	5.1%	138.9%
New Plymouth District Council	AA	-121.4%	2.2%	3.5%	322.7%
Palmerston North City Council*	AA	105.2%	3.4%	4.5%	131.7%
Porirua City Council	AA	105.8%	4.1%	6.0%	132.9%
Queenstown Lakes District Council	AA-	72.8%	2.3%	4.2%	169.7%
Rotorua District Council	AA-	144.1%	5.2%	7.2%	135.7%
Selwyn District Council	AA+	-39.9%	-1.3%	-2.2%	346.9%
South Taranaki District Council	AA-	-45.9%	3.1%	4.6%	248.6%
Tasman District Council	AA	106.8%	2.5%	4.6%	153.3%
Taupo District Council	AA	26.4%	5.4%	7.2%	216.0%
Tauranga City Council	AA-	202.6%	7.7%	11.0%	115.7%
Timaru District Council	AA-	42.4%	1.9%	3.0%	162.1%
Waimakariri District Council	AA	137.3%	5.7%	8.2%	123.3%
Waipa District Council	AA-	54.0%	0.5%	0.7%	115.7%
Whanganui District Council	AA	84.8%	4.3%	7.1%	115.9%
Wellington City Council	AA	127.8%	4.6%	7.5%	129.0%
Western Bay of Plenty District Council	AA	75.9%	5.3%	7.0%	158.6%
Whangarei District Council	AA	76.4%	4.4%	6.4%	143.5%
Average		79.6%	3.7%	5.8%	157.1%

Unrated Councils	Net Debt / Total Revenue	Net Interest / Total Revenue	Net Interest / Rates	Liquidity
	<175%	<20%	<25%	>110%
Buller District Council	38.8%	-0.1%	-0.2%	203.5%
Central Hawkes Bay District Council	14.7%	0.6%	1.6%	180.0%
Clutha District Council	-52.3%	-0.7%	-1.1%	474.1%
Environment Canterbury Regional Council	10.6%	0.4%	0.6%	161.7%
Far North District Council*	45.4%	1.1%	1.6%	129.3%
Gisborne District Council	36.0%	2.5%	5.3%	143.1%
Gore District Council	66.3%	2.6%	4.1%	133.9%
Grey District Council	55.7%	4.4%	7.7%	135.6%
Hauraki District Council	86.4%	4.3%	5.6%	134.9%
Hawkes Bay Regional Council*	-91.8%	1.3%	4.9%	456.6%
Horizons Regional Council	67.9%	1.1%	1.5%	121.5%
Hurunui District Council	78.8%	2.6%	5.6%	124.9%
Kaikoura District Council	9.3%	0.5%	1.9%	234.0%
Kaipara District Council	66.6%	3.9%	6.0%	132.7%
Manawatu District Council	125.7%	3.7%	5.5%	123.1%
Masterton District Council	57.2%	3.1%	4.6%	166.3%
Matamata Piako District Council	31.1%	1.9%	2.7%	159.2%
Northland Regional Council	-98.6%	0.6%	1.0%	450.3%
Opotiki District Council	2.8%	1.2%	2.2%	188.2%
Otorohunga District Council*	-21.6%	0.8%	1.0%	399.1%
Rangitikei District Council	15.5%	0.0%	0.0%	372.7%
Ruapehu District Council	62.3%	1.7%	3.1%	117.9%
South Wairarapa District Council	35.3%	1.1%	1.6%	163.5%
Stratford District Council	31.0%	1.4%	2.4%	162.9%
Taranaki Regional Council	-28.8%	-0.9%	-2.7%	513.5%
Tararua District Council	76.3%	2.0%	3.6%	123.4%
Thames Coromandel District Council	62.7%	3.0%	3.9%	122.5%
Upper Hutt City Council	50.7%	2.3%	3.1%	161.1%
Waikato District Council	47.0%	3.2%	4.9%	144.3%
Waikato Regional Council	-64.9%	0.0%	0.0%	485.8%
Waitomo District Council	99.4%	4.3%	6.9%	137.3%
Wairoa District Council	0.4%	-0.4%	-1.0%	196.8%
West Coast Regional Council*	-5.3%	-0.3%	-0.8%	221.0%
Westland District Council	47.4%	2.2%	4.1%	146.7%
Whakatane District Council*	73.8%	3.4%	5.6%	133.5%
Average	29.5%	1.7%	2.8%	213.0%

Document No: A504388

**Report To: Audit, Risk and Finance Committee**



**Meeting Date:** 16 February 2021

**Subject:** Quarterly Report for period ended 31 December 2020

**Type:** Information Only

## Purpose of Report

- 1.1 The purpose of this business paper is to provide an overall progress report on WDC's financial and non-financial activities for the period ended 31 December 2020.
- 1.2 A copy of the progress report is attached and forms part of this business paper.

## Background

- 2.1 Each quarter, progress reports are prepared to provide high level updates of Council's activities for elected members. The progress report includes:
  - Providing progress on Council's activities (quarterly progress reports);
  - Council's budget (quarterly financial reporting); and
  - How Council is delivering against the service performance measures (quarterly non-financial reporting).
- 2.2 This business paper outlines a high-level summary of progress on the key aspects of both the financial and non-financial activities. For details refer to the progress report (Attachment 1).

## Commentary

- 3.1 As outlined below there are extenuating circumstances that has impacted the progress of Quarter 2 programmes of work, especially our capital works.
- 3.2 COVID-19 PANDEMIC AND THREE WATERS REFORM IMPACTS**
- 3.3 Covid-19 Pandemic**
- 3.4 The effects of the Covid-19 pandemic on WDC's work programme are still evident in this quarterly report.
- 3.5 The initial disruption caused by the Covid-19 pandemic occurred during the lock-down period in the previous financial year. This has ultimately had a slowing effect on the progression of a range of planned programmes and project delivery during this financial year.
- 3.6 In particular, a number of 2019/20 programmes and projects were deferred due to the pandemic, which brought a halt to capital works and the related

procurement processes during the lockdown period and a sluggish restart in the latter end of the final quarter of 2019/20, extending into 2020/21. The delayed projects are now commencing, however the initial sluggish start to this year is still impacting on delivery of our capital works programme.

3.7 In addition, there was a significant amount of new unplanned and un-resourced work, both responding to the national emergency in terms of business continuity and supporting the Western Waikato Civil Defense Emergency Operating Centre. Cumulatively, this also meant that across the organisation, normal non-essential operations had to be re-prioritised.

### 3.8 **Three Waters Reform**

3.9 Council resolved at its meeting of 25 August 2020 to enter into a non-binding Memorandum of Understanding (MOU) with Central Government to engage in the first of three tranches of the 3-year, three-waters reform programme.

3.10 Alongside the signing of the funding agreement, a draft delivery plan was submitted to Central Government on 30 September 2020. Implementation of the related capital works must be commenced before 31 March 2021 and completed by 31 March 2022.

3.11 Information requirements regarding both the overall three-waters reforms, and tranche one of the reforms, is rapidly evolving. Responding to Central Government enquiries, and related information requirements, has generated a significant amount of new work that has impacted across the organisation at arguably the worst possible time of WDC's 3-year planning cycle.

3.12 The implementation of tranche one has therefore necessitated re-deployment of some resourcing to this project. As WDC is a small local authority, with limited, finite, resources, this has had implications on the organisation's capacity to deliver some of the planned work programmes, especially capital projects. In addition to that has been the difficulty of sourcing appropriately qualified staff and the availability of contractors to undertake the works.

3.13 WDC is not alone in dealing with these issues, with the groundswell in demand for relevant resources generated by Central Governments significant', albeit short-term, stimulus funding (3-waters, shovel ready infrastructure, etc) not matched by a corresponding increase in the required, skill base.

3.14 That has meant that the initial restart delay caused by the COVID-19 lockdown, compounded by the significant Three Waters Reform funding programme, has stretched staff capacity and resourcing and impacted on the delivery of work programmes. Overlaying that is the simultaneous delivery of the 2020/21 annual plan works programmes, currently at the peak half-way stage, and the 3-yearly review and planning for the 10-Year Plan project.

3.15 Consequently, it is expected that the initial lag in delay on the capital programme of work and some operational programmes will continue to impact on project delivery over the next two quarters.

3.16 The Capital Expenditure section (3.23) outlined later in report, outlines how some of the major capital expenditure has been phased over quarters 3 and 4.

### 3.17 **INCOME STATEMENT HIGHLIGHTS**

3.18 **Net Operating Surplus:** The net operating surplus of \$3,768,000 was \$2,068,000 more than budget for the period ended 31 December 2020.

## 3.19 Expenditure

3.20 Total Expenditure was \$1,379,000 less than budget for the period ended 31 December 2020. This is less than forecast due to:

- expenditures for Sealed and Unsealed Pavement Maintenance cost, professional services costs and the costs for Roading Business Unit (RBU) costs were \$433,000 less than budget.
- legal and consultants' fees for the District Plan Review were \$357,000 less than budget due to timing of this project.
- risk management initiatives and the investment policy review expenditure were \$158,000 less than budget.
- Sewerage operations and maintenance costs, sludge disposal and consent compliance costs were \$131,000 less than budget.

## 3.21 Revenue

3.22 Total Revenue was \$689,000 more than budget for the period ended 31 December 2020.

- The Three Waters Reform Programme stimulus funding of \$1,750,000 was received.
- \$250,000 was received for the Mayors Taskforce for Jobs (MTFJ) community recovery programme grant
- These increases in revenue were partly offset by reduced subsidy of \$1,376,000 for Roads and Footpaths as both operational and capital expenditure were less than budget.

## 3.23 CAPITAL EXPENDITURE

3.24 Capital Expenditure was **\$3.205 million** for the period ended 31 December 2020, of which \$2.092 million (65%) relates to Roads, \$349,000 (11%) relates to Community Services, and \$325,000 (10%) relates to Water Supply.

3.25 Outlined below are explanations for the key variances noting the impact of COVID-19 and the Three Waters Reform project. Project progress across all activities are outlined in the attached quarterly report.

## 3.26 Roads and footpaths

- Te Ara Tika Overbridge Project has a spend of \$43,000 as at end of Quarter 2 (Q2). Construction commenced on site in January 2021 with completion expected to at the end of April. Much of the replacement bridge's structural component's have been constructed off-site, such as the precast bridge ramps and beams, to be transported to the site and craned into position. It is expected the forecast spend of \$2.5 million will be spent over the next two quarters.
- The pavement rehabilitation contract was awarded to Inframax in September 2020 after an initial delay with capital work related tenders due to COVID-19 Lockdown. Of the four rehabilitation projects, two have commenced and are underway. The remaining two projects are expected to begin in Quarter 3 (Q3) and completed over Quarter 4 (Q4).

- The annual sealed road surfacing renewal program is scheduled to commence in February 2021. The unsealed road metaling is expected to commence during winter months and is on track to commence.
- Footpath rehabilitation programme is well underway and on track to be completed. Works have been completed on Eketone St, Hospital Road and Rora St. Planning and Stakeholder interaction is underway for the proposed projects at Waitomo Village and Mokau village.

### **3.27 Community Services**

3.28 The underspend of \$1.16 million is due to the following projects commencing in and delivering over Quarter 3 and 4.

- The underspend in Public amenities is largely due to the cost of the new cemetery development. This project commenced in Q3 and budget spend will be reflect in the next quarterly reporting.
- The Mokau Public toilet project was delayed due to the delay in securing land. Project planning is now underway and implementation is expected in Q4.
- Esplanade development project (2 accessways in Mokau) is expected to commence in Q3 as planned.
- Development of the amenity areas to compliment the entry and exit points of Te Ara Tika.

### **3.29 Water Supply**

3.30 The largest underspends are in the Three Waters project, Mokau renewals and the alternative to water supply investigation.

- Three Waters Project capital work programme is due to commence in March 2021 (Q3).
- Mokau renewal project was initially delayed due to the COVID-19 lockdown which impacted on project being tendered. Further delays have been experienced due to considerable delays in securing in the delivery of equipment which has been ordered.
- Te Kuiti Alternative water supply investigation project – drilling operations are scheduled to commence in February 2021.

### **3.31 Governance Leadership and Investments**

3.32 Seismic Strengthening Improvements is expected to commence in Q3 and be completed by Q4.

### **3.33 BORROWINGS**

3.34 At 31 December public debt was \$36.24 million and net debt was \$29.3 million. At 30 June 2020 it was \$37.26 million and net debt was \$32.9 million.

### **3.35 STATEMENT OF SERVICE PERFORMANCE**

3.36 The Statements of Service Performance provide detailed information on the performance measures and targets for each of the significant activities. The performance summary is given on page 5 of the quarterly report more detailed information disclosed within each activity.



3.37 Of the 76 key performance indicators measured, 46 (60%) are on track, 2(3%) achieved, 3(4%) off track, 2(3%) not achieved and 23 (30%) no data available.

## Suggested Resolution

The business paper on Quarterly Report for period ended 31 December 2020 for the period ended 31 December 2020 be received.

PP 

ALISTER DUNCAN  
**GENERAL MANAGER – BUSINESS SUPPORT**

10 February 2021

Attachment(s):	1	Progress Report for the period ending 31 December 2020 (A504283)
	2	Bancorp Treasury Report for the quarter ended 31 December 2020 (A505631)

# PROGRESS REPORT

FOR THE PERIOD ENDING 31 DECEMBER 2020



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## INTRODUCTION

The 2018-28 10 Year Plan (10YP) was adopted in June 2018. It sets out outcomes we aim to deliver for our community, through the activities we undertake. Within each group of activity outlined in the 10YP, we have outlined the levels of service we intend to deliver.

Council also uses Activity/Asset Management Plans to outline the detailed work programme and further communicate an annual programme of work at a high level through the Exception Annual Plan 2020/21.






Progress on the Annual Plan is reported back to the community at the year-end through Council's Annual Report.

The purpose of this report is to provide high-level updates of these Council activities for the months of July to December 2020. The report covers progress on groups of activities (i.e. as outlined in the 10YP and reported annually through the Annual Report). The progress update includes:

- High level summary of progress against major programmes of work and projects.
- Updates on Business as Usual (BAU) programmes, where the activity is linked to the delivery of a core service and/or linked to a 10YP Key performance measure.
- Non financial KPI reporting
- Financial reporting.

### Keys

Project /Programme stage	
Scoping	Decision on whether to pursue a project or not, and if pursuing the project, what the scope will be.
Planning	Phase where the project is being planned alongside resourcing, timeframes and risk identification.
Delivering	Executing all deliverables.
Completed	Completion of the project.
BAU – Business as usual	Ongoing programme of work with no start or end date. Noting that some programmes of work may have projects or programmes that have annual targets which will be treated as a project.

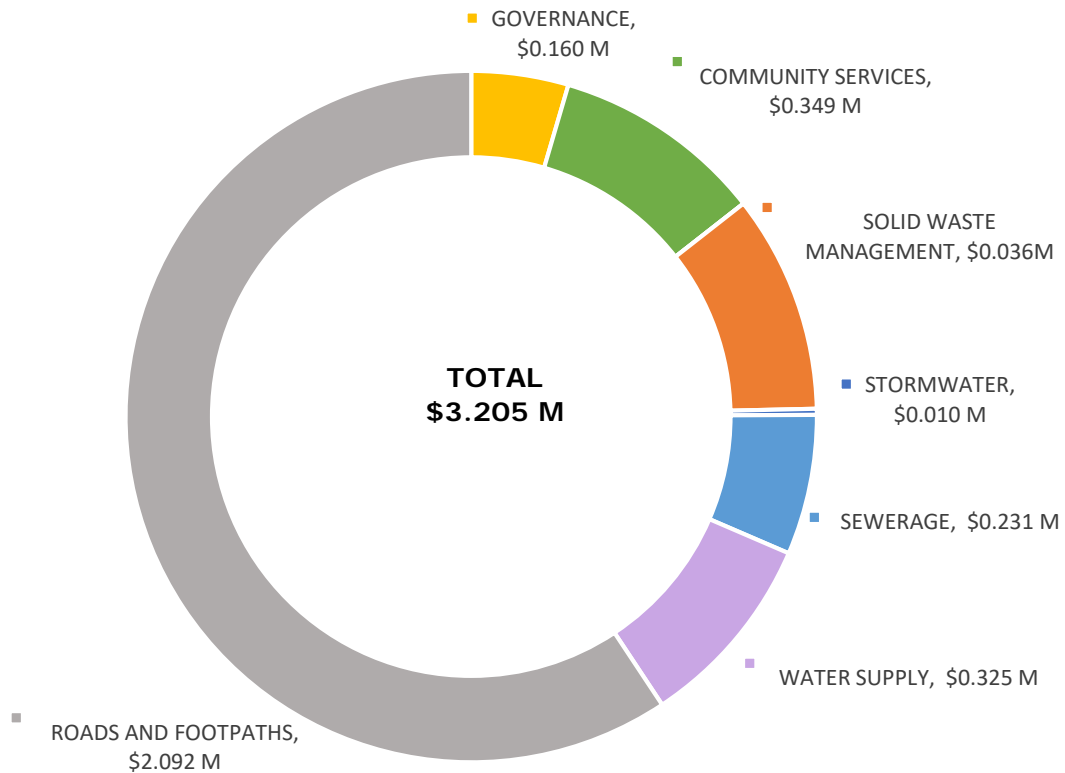
Project/ Programme status	
	Suggests that risks are present that require the intervention of the project team to resolve in order to deliver the project successfully.
	Usually indicates that there are issues and potential risks that may get the project schedule off track and need early intervention to ensure that the project remains on track.
	The project is going well and is progressing as planned, and according to the designated time, budget, and scope.
	Ongoing programme of work with no start or end date. Noting that some programmes of work may have projects or programmes that have annual targets which will be treated as a project.
	Project has been completed.

### Performance Measure Status

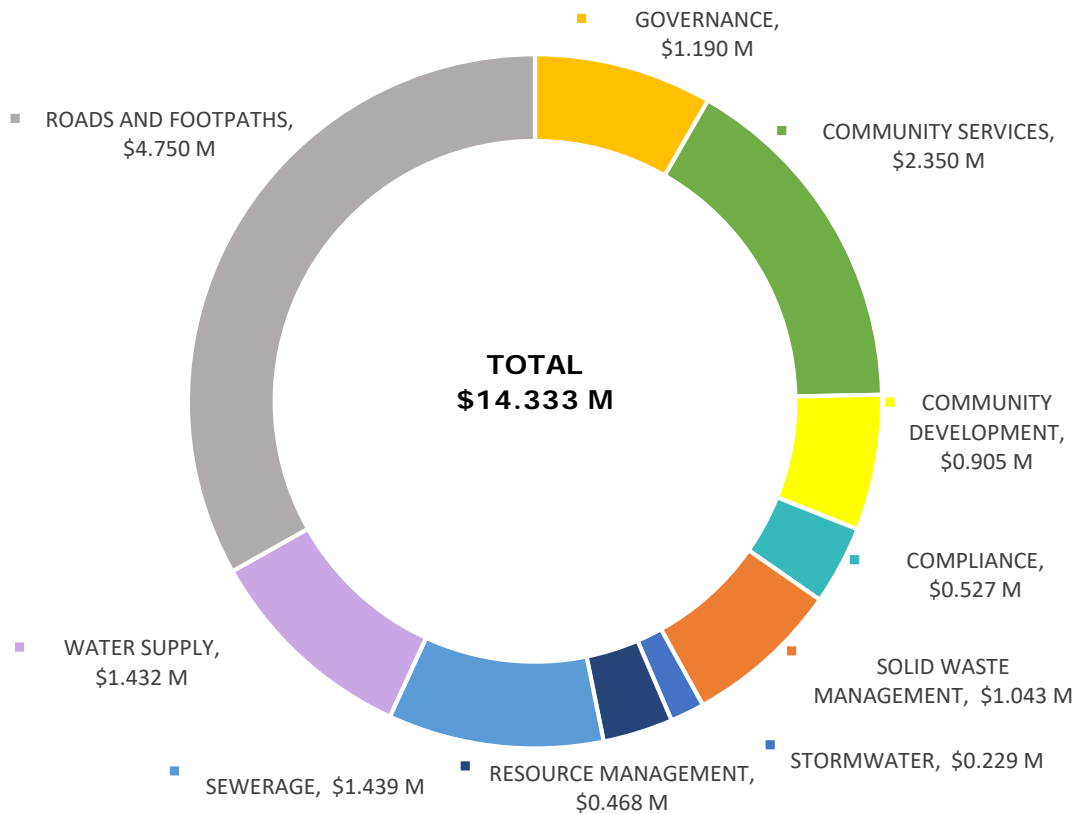
 Not Achieved	 Off track	 Achieved	 On track	 Data not available
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SUMMARY

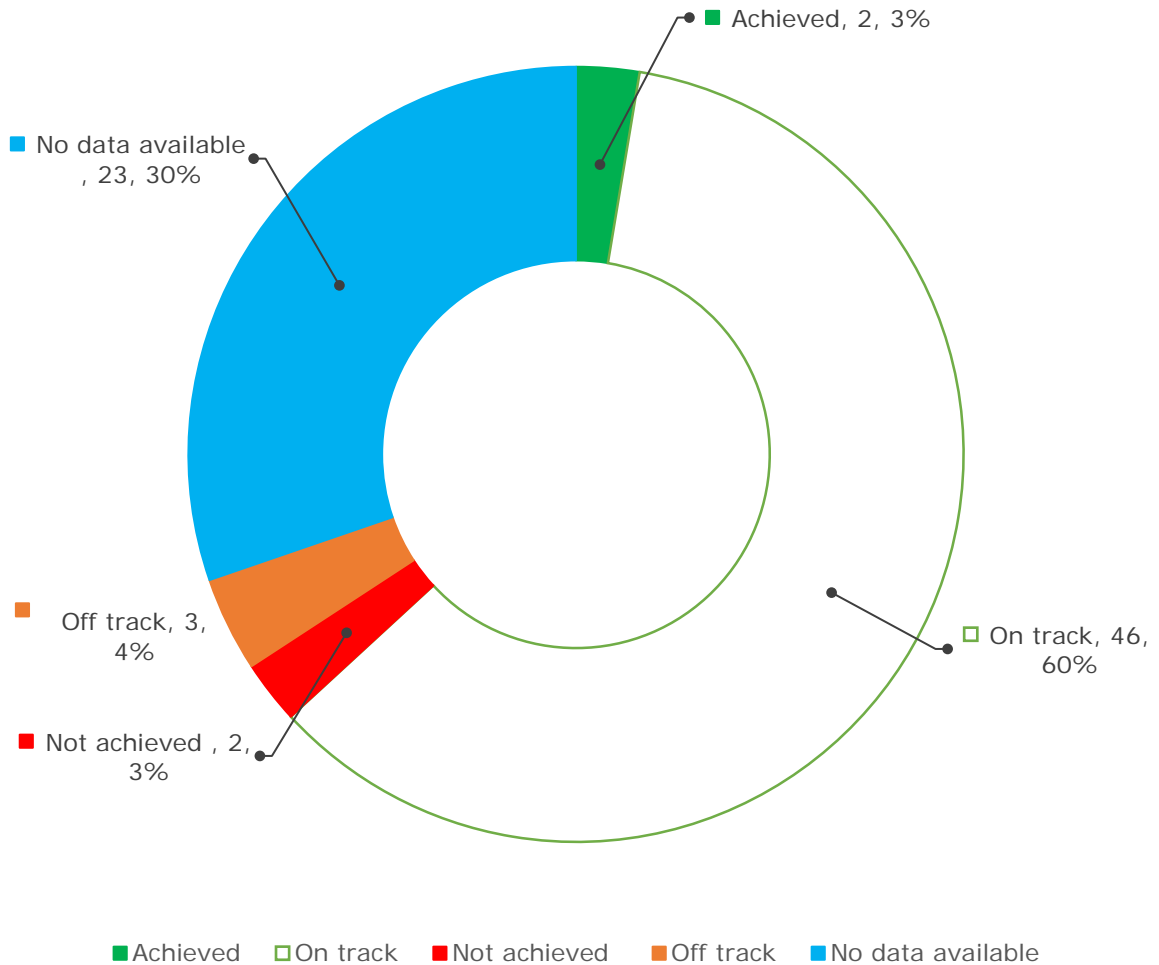
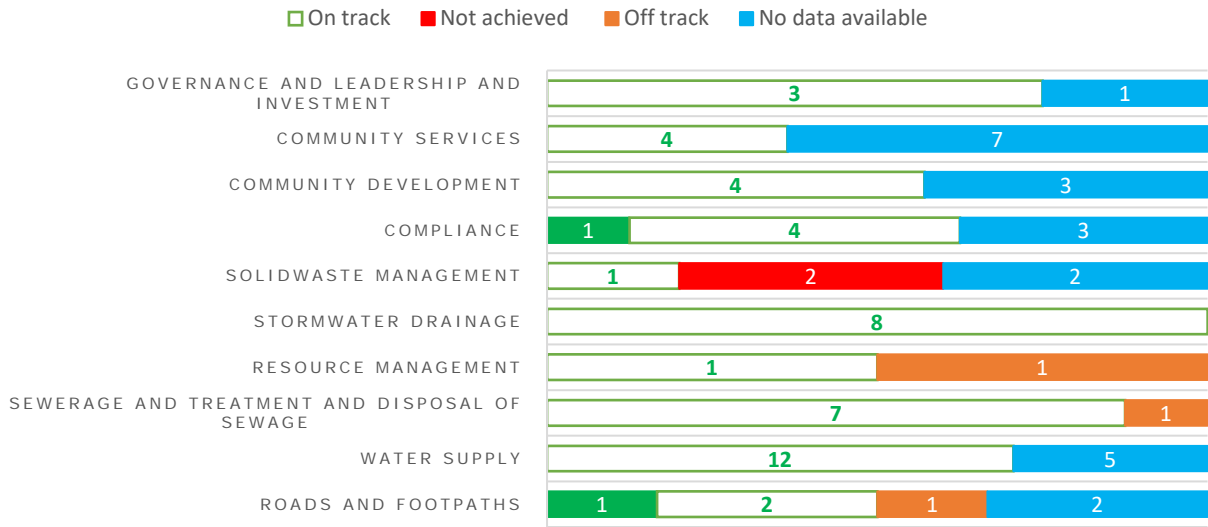
CAPITAL EXPENDITURE SUMMARY AS AT 31 DECEMBER 2020



OPERATIONAL EXPENDITURE SUMMARY AS AT 31 DECEMBER 2020



## SERVICE PERFORMANCE SUMMARY 31 DECEMBER 2020 | Q2



## FINANCIALS

All figures in the tables, except percentages, are expressed in thousands of dollars (\$000s).

### INCOME STATEMENT HIGHLIGHTS

Set out below is the summary of financial information for the period ended 31 December 2020 (Detailed Cost of Service Statements can be found within each Group of Activities).

FINANCIAL HIGHLIGHTS (Amounts in \$000's)	Actual 2019/20	EAP Budget 2020/21	Budget YTD Dec 2020	Actual Dec 2020	Variance Dec 2020	% Variance
<b>Total Expenditure</b>						
- Direct Operating	15,832	18,888	9,183	7,718	(1,465)	
- Indirect Operating	12,701	13,161	6,529	6,615	86	
<b>Total Expenditure</b>	<b>28,533</b>	<b>32,049</b>	<b>15,712</b>	<b>14,333</b>	<b>(1,379)</b>	<b>-9%</b>
<b>Total Revenue</b>						
- Operating Revenue	(12,967)	(14,166)	(7,001)	(7,745)	(744)	
- Rates Revenue	(20,183)	(20,854)	(10,411)	(10,356)	55	
<b>Total Revenue</b>	<b>(33,150)</b>	<b>(35,020)</b>	<b>(17,412)</b>	<b>(18,101)</b>	<b>(689)</b>	<b>4%</b>
<b>Net (Surplus)/Deficit</b>	<b>(4,617)</b>	<b>(2,971)</b>	<b>(1,700)</b>	<b>(3,768)</b>	<b>(2,068)</b>	<b>122%</b>
<b>Other Comprehensive Revenue and Expense</b>						
- Revaluation of Property, plant and equipment	16,004	4,291	0	0	0	
- Gains)/Losses from Cash Flow Hedges	(420)	0	0	0	0	
- Revaluation of available for sale assets	(2,610)	0	0	0	0	
<b>Total Other Comprehensive Revenue and Expense</b>	<b>12,974</b>	<b>4,291</b>	<b>0</b>	<b>0</b>	<b>0</b>	
<b>Total Comprehensive Revenue and Expense</b>	<b>8,357</b>	<b>7,262</b>	<b>(1,700)</b>	<b>(3,768)</b>	<b>(2,068)</b>	<b>122%</b>

**Net Operating Surplus:** The net operating surplus of \$3,768,000 was \$2,068,000 more than budget for the period ended 31 December 2020. **Total Expenditure** was \$1,379,000 less than budget for the period ended 31 December 2020.

- **Roads and Footpaths:** \$433,000 less as expenditures for Sealed and Unsealed Pavement Maintenance, Professional services and Roding Business Unit (RBU) costs were less than budget.
- **Resource Management:** \$357,000 less as legal and consultants' fees for the District Plan Review were less than budget due to timing of this project.
- **Leadership:** \$158,000 less than budget for risk management initiatives as well as investment policy review expenditure.
- **Sewerage:** \$131,000 less than budget for operations and maintenance costs, sludge disposal, consent compliance and sampling.

**Total Revenue** was \$689,000 more than budget for the period ended 31 December 2020.

- **Water Supply:** \$1,769,000 more as the subsidy for 3 Water Reform Programme stimulus funding was received. Water connection fees were also recognised for Te Kuiti.
- **Community Development:** A grant of \$250,000 was received for the Mayors Taskforce for Jobs (MTFJ) Community Recovery Programme.
- These increases in revenue were partly offset by reduced subsidy revenue of \$1,376,000 for **Roads and Footpaths** as operational and capital expenditure was less for the period.

## BALANCE SHEET HIGHLIGHTS

Balance Sheet highlights presented below show the movement in Council's financial position from 30 June 2020 to 31 December 2020.

BALANCE SHEET HIGHLIGHTS (Amounts in \$000's)	Actual Position 30 Jun 2020	Actual Position 31 Dec 2020	Movement from 31 Dec 2020
<b>Assets</b>			
- Cash and cash equivalents	4,243	6,746	2,503
- Receivables	4,138	4,083	(55)
- Other current assets	133	133	0
- Other financial assets	9,355	9,397	42
- Other non current assets	362,637	362,394	(243)
<b>TOTAL ASSETS</b>	<b>380,506</b>	<b>382,753</b>	<b>2,247</b>
<b>Liabilities</b>			
- Other Liabilities	4,794	4,293	(501)
- Total Borrowings	37,260	36,240	(1,020)
- Derivative financial instruments	2,941	2,941	0
Total Liabilities	<b>44,995</b>	<b>43,474</b>	<b>(1,521)</b>
<b>Equity</b>			
- Equity	335,511	339,279	3,768
<b>TOTAL LIABILITIES AND EQUITY</b>	<b>380,506</b>	<b>382,753</b>	<b>2,247</b>

Total Assets have increased from \$380.5 million to \$382.8 million.

- Cash and cash equivalents have increased by \$2,503,000 from \$4,243,000 to \$6,746,000. A \$3,000,000 increase in call deposit was recognised in the period.
- Receivables decreased by \$55,000 since 30 June 2020 from \$4.14 million to \$4.08 million.
- Other financial assets increased \$42,000 from \$9,355,000 to \$9,397,000 due to an increase in borrower notes.
- Non-current assets have decreased by \$243,000. The decrease is due to the net effect

of asset additions of \$3,205,000 less depreciation of \$3,197,000 and asset disposal of \$250,000.

Total Liabilities decreased from \$45.00 million to \$43.47 million.

- Other Liabilities decreased by \$501,000 due to a general decrease in Payables at 31 December 2020 compared to June 2020.
- Total Borrowings decreased by \$1,020,000 from \$37.26 million to \$36.24 million.

Total equity increased by \$3,768,000 to \$339.28 million, which was the total comprehensive revenue and expense for the period.

## CAPITAL EXPENDITURE

Set out below is the full year Capital Expenditure budget for the year compared to actual expenditure for the period ended 31 December 2020.

CAPITAL EXPENDITURE SUMMARY (Amounts in \$000's)	EAP 2020/21	EAP 2020/21 plus carryovers plus 3 water stimulus funding	Projected Spend at 30 June 2021	Actual To Dec 2020	Variance Actual to Projected Spend at 30 June 2021
GOVERNANCE: LEADERSHIP AND INVESTMENTS	723	1,342	1,293	162	(1,131)
COMMUNITY SERVICES	786	1,575	1,512	349	(1,163)
COMMUNITY DEVELOPMENT	0	50	50	0	(50)
SOLID WASTE MANAGEMENT	1,181	1,181	115	36	(79)
STORMWATER	133	133	128	10	(118)
SEWERAGE	378	738	636	231	(405)
WATER SUPPLY	1,046	2,070	2,038	325	(1,713)
ROADS AND FOOTPATHS	6,968	10,484	10,097	2,092	(8,005)
<b>TOTAL CAPITAL EXPENDITURE</b>	<b>11,215</b>	<b>17,573</b>	<b>15,869</b>	<b>3,205</b>	<b>(12,664)</b>



Capital Expenditure was **\$3.205 million** for the period ended 31 December 2020, of which \$2.092 million (65%) relates to Roads, \$349,000 (11%) relates to Community Services, and \$325,000 (10%) relates to Water Supply.

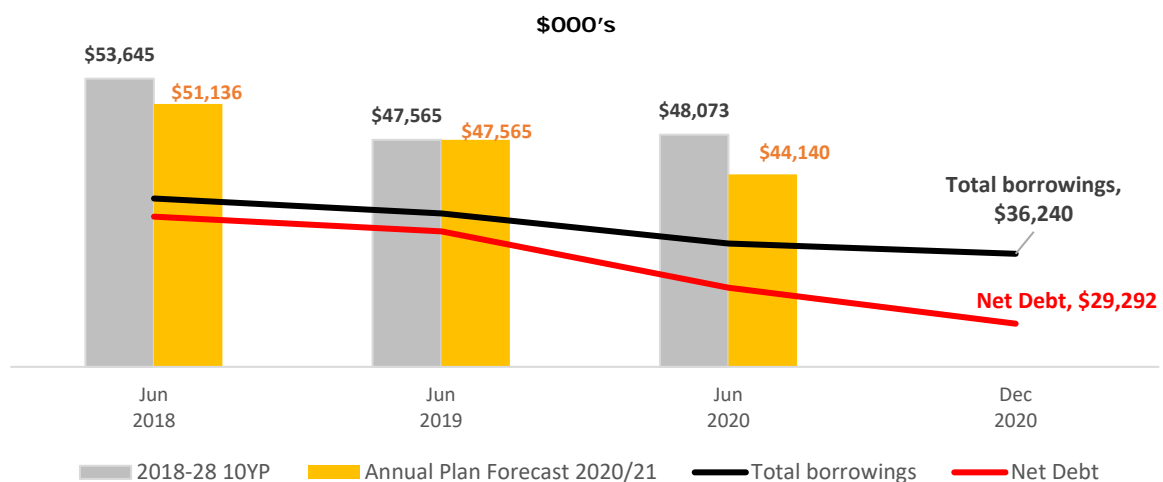
The delivery of the capital expenditure programme has been impacted by the increased workload associated with the 3 Water Reform Programme which has diverted organisational capacity away from the delivery of the capital expenditure programme. Further to this other significant work-streams such as the development of the 10YP and district plan review along with the ongoing impact of Covid-19 lockdown catch-up have impacted on the available staff capacity to progress these projects. The capital expenditure programme has been reassessed with a projected year end spend of \$15.9 million. Further detail on capital expenditure is found in each under each Group of Activities.

## TREASURY MANAGEMENT HIGHLIGHTS

At 31 December public debt was \$36.24 million and net debt was \$29.3 million. At 30 June 2020 it was \$37.26 million and net debt was \$32.9 million.

Across the debt portfolio the effective interest rate applicable was **3.35%**, which was less than the assumed interest rate used in the EAP 2020/21 and 2018-28 10YP. (The rate excludes credit facility fee applicable to the Westpac call Advance Facility).

The following graph portrays the current debt and net debt position compared forecast debt from the 10YP's and Annual Plans.



Of the borrowing limits set in the Finance Strategy, the following can be measured.

	Limit	Actual Jun 2020	Actual Dec 2020
Total borrowing cost/total revenue	<10%	4%	3%
Total borrowing/total assets	<20%	10%	9%
Net borrowings/total revenue	<170%	64%	Measured at year end
Net interest/total revenue	<20%	4%	3%
Net interest/annual rates	<20%	7%	6%

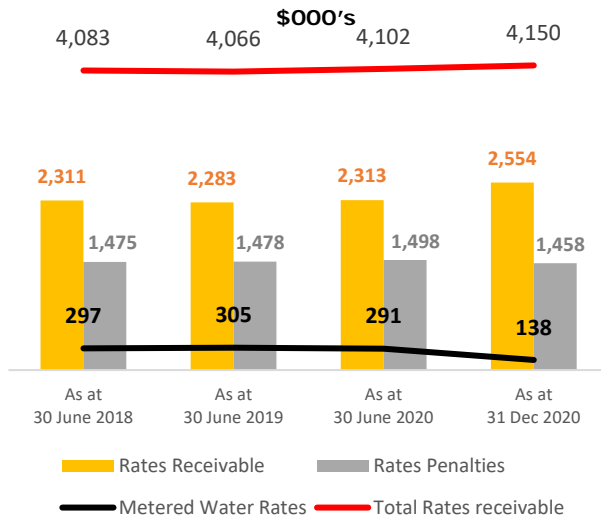
A standby credit facility with Westpac bank with a credit limit of \$10 million is in place. At report date none of this facility was drawn from.

For more details of Council's public debt and the positions of Council's financial risk minimisation strategies in relation to debt please refer to the Bancorp Treasury Report for the quarter ended 31 December 2020, as attached.

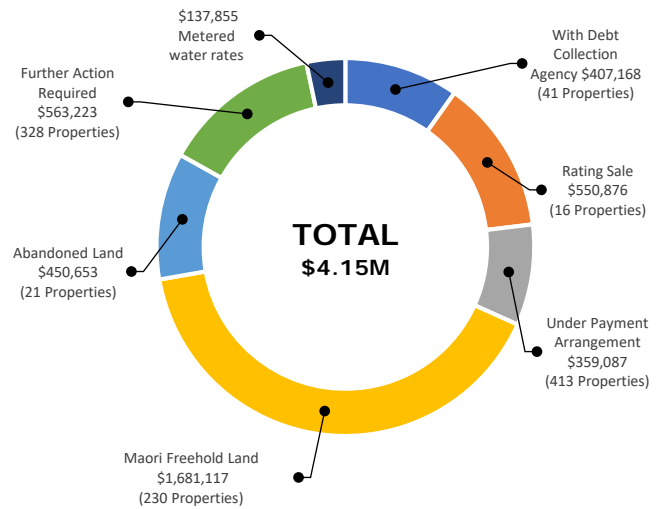
## RATES RECEIVABLES

### TOTAL RATES RECEIVABLE

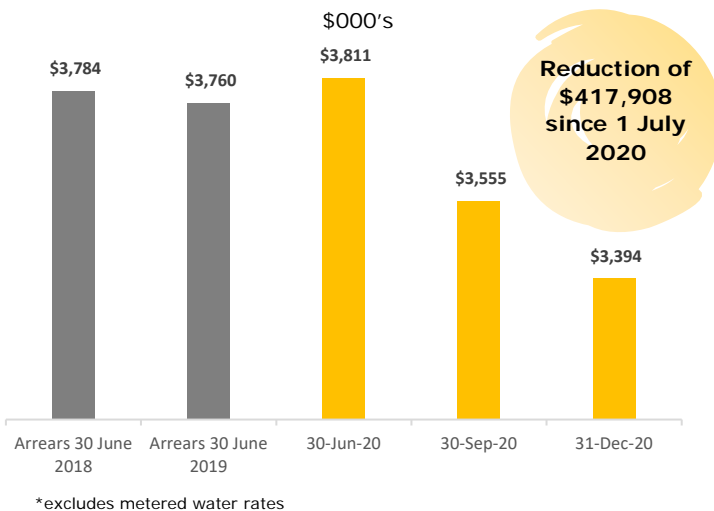
Set out below is the summary of Rates Receivables as at 31 December 2020.



### RATES ARREARS SUMMARY AS AT 31 DECEMBER 2020



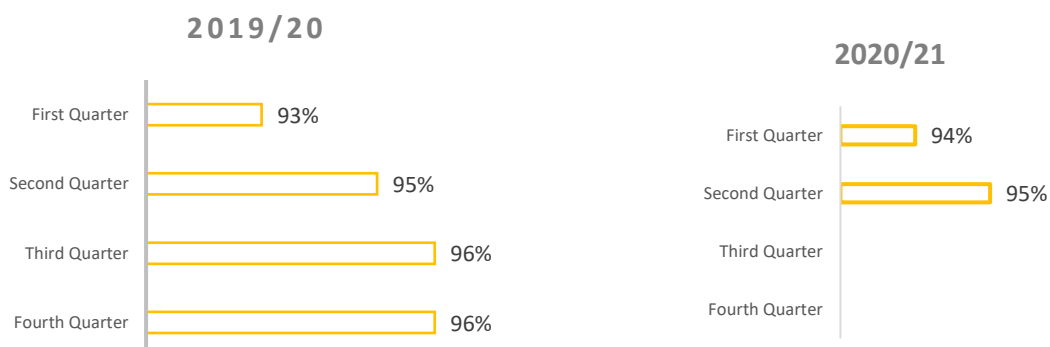
### PREVIOUS YEARS RATES ARREARS SUMMARY\*



**Progress:** The arrears penalty was charged at the beginning of January 2021 and all debt collection processes have now restarted. Final notices for payment of rates outstanding as at 30 June 2020 were sent in January, and as a result approximately 80 properties will now be forwarded to Council's debt collection agency for collection (\$220,000). 11 Properties identified as being abandoned will be publicly notified in the next few weeks. We will also be applying to the court to enforce rating sales on 13 properties that have had arrears for a significant period of time. In some cases we are required to reapply to the court as previous applications needed to be enforced with 12 months and this timeframe has now expired due to the COVID-19 lockdown.

One property (located in Ellis Road, Maniaiti/Benneydale) is in the final stages of being sold via the abandoned land process following a successful tender in November 2020.

### RATES INSTALMENT COLLECTION TRACKER



## SUMMARY OF COST OF SERVICE STATEMENT

SUMMARY (Amounts in \$000's)	Actual 2019/20	EAP Budget 2020/21	YTD Budget Dec 2020	YTD Actual Dec 2020	Variance Dec 2020	% Variance
<b>Direct Operating Expenditure</b>						
- Leadership	674	1,097	471	313	(158)	
- Community Services	2,289	2,602	1,435	1,336	(99)	
- Community Development	836	2,109	644	550	(94)	
- Compliance	231	311	147	84	(63)	
- Solid Waste Management	1,639	1,756	742	691	(51)	
- Stormwater Drainage	114	134	87	80	(7)	
- Resource Management	198	891	510	153	(357)	
- Sewerage	1,319	1,661	895	764	(131)	
- Water Supply	1,629	1,704	932	860	(72)	
- Roads and Footpaths	6,903	6,623	3,320	2,887	(433)	
<b>Total Direct Operating Expenditure</b>	<b>15,832</b>	<b>18,888</b>	<b>9,183</b>	<b>7,718</b>	<b>(1,465)</b>	<b>-16%</b>
<b>Indirect Expenditure</b>						
- Allocated Costs	5,246	5,627	2,764	2,797	33	
- Interest	1,435	1,425	713	621	(92)	
- Depreciation	6,020	6,109	3,052	3,197	145	
<b>Total Indirect Expenditure</b>	<b>12,701</b>	<b>13,161</b>	<b>6,529</b>	<b>6,615</b>	<b>86</b>	<b>1%</b>
<b>TOTAL EXPENDITURE</b>	<b>28,533</b>	<b>32,049</b>	<b>15,712</b>	<b>14,333</b>	<b>(1,379)</b>	<b>-9%</b>
<b>Operating Revenue</b>						
- Leadership	(672)	(582)	(121)	(126)	(5)	
- Community Services	(857)	(577)	(296)	(346)	(50)	
- Community Development	(31)	(34)	(14)	(259)	(245)	
- Compliance	(497)	(465)	(313)	(343)	(30)	
- Solid Waste Management	(22)	0	0	(9)	(9)	
- Stormwater Drainage	(303)	(165)	(83)	(93)	(10)	
- Resource Management	(1,382)	(1,551)	(775)	(726)	49	
- Sewerage	(992)	(821)	(414)	(465)	(51)	
- Water Supply	(31)	0	0	(1,769)	(1,769)	
- Roads and Footpaths	(8,180)	(9,971)	(4,985)	(3,609)	1,376	
<b>Total Operating Revenue</b>	<b>(12,967)</b>	<b>(14,166)</b>	<b>(7,001)</b>	<b>(7,745)</b>	<b>(744)</b>	<b>11%</b>
<b>Rates Revenue</b>						
- General Rate	(4,496)	(5,280)	(2,640)	(2,645)	(5)	
- UAGC	(3,352)	(3,558)	(1,779)	(1,784)	(5)	
- Targeted Rate	(11,439)	(11,124)	(5,561)	(5,567)	(6)	
- Metered Water Rates	(896)	(892)	(431)	(360)	71	
<b>Total Rates Revenue</b>	<b>(20,183)</b>	<b>(20,854)</b>	<b>(10,411)</b>	<b>(10,356)</b>	<b>55</b>	<b>-1%</b>
<b>TOTAL REVENUE</b>	<b>(33,150)</b>	<b>(35,020)</b>	<b>(17,412)</b>	<b>(18,101)</b>	<b>(689)</b>	<b>4%</b>
<b>Net (Surplus)/Deficit</b>	<b>(4,617)</b>	<b>(2,971)</b>	<b>(1,700)</b>	<b>(3,768)</b>	<b>(2,068)</b>	<b>122%</b>

The actuals for 2019/20 excludes rates on Council properties from both revenue and expenditure.

## GOVERNANCE: LEADERSHIP AND INVESTMENTS

This group comprises Representation, Planning and Policy and Monitoring, Investments and Treasury Management and Organisational Overhead activities and service groups.

- **Leadership** includes preparation of policies guiding strategic direction and strategic financial decisions.
- **Investments** includes investment in Waikato Local Authority Shared Services (WLASS), Inframax Construction Ltd (ICL), Council owned quarries and investment in Civic Financial Services Ltd.

### COMMUNITY OUTCOMES



### PROJECTS AND PROGRAMME UPDATES

#### Annual Report 2019/20

**Project Summary:** The Annual Report captures the financial and non-financial performance of Waitomo District Council for the year ended 30 June 2020.

**Project Stage**    **Completed** ●  
**End date:**        27 October 2020

#### 2021-31 10 Year Plan Development Project

**Project Summary:** The purpose of the 10 Year Plan (10YP) is to pull together a large number of complex 'building blocks' to produce an integrated 10YP with a complete and accurate base of underlying financial, asset and performance information. It requires considerable resourcing capacity and careful sequencing of tasks. This project will deliver the 10YP (process to development of the document).

**Progress:** The 10YP project is on track. Draft budget development alongside the development of the consultation document and supporting information for consultation is underway.

	Q1	Q2	Q3	Q4
<b>Project Stage</b>	<b>Delivering</b> ●	<b>Delivering</b> ●		

**End date:** 30 June 2021

#### Digitisation Project

**Project Summary:** Waitomo District Council (WDC) is acquiring a fully digitised and legislatively compliant collection of Building Consents and Resource Consents for upload into and integrated business processing in Council's Electronic Document and Records Management System (Objective). The project will result in enhanced business efficiencies with respect to ready access to property information for WDC's five thousand properties.

**Progress:** Further to completion of the Building Consent collection; digitisation of Council's Resource Consent collection commenced in November/December 2020.



Testing of the integration tool (Web Talk Plus) to allow upload directly into Council's electronic document management system, Objective, has been successfully completed. However a scheduled version upgrade to Objective is currently underway (December 2020 to end February 2021), after which further testing will be required. Shortly after the successful Objective upgrade, automated bulk upload to Objective of the complete Building and Resource Consents collections is anticipated.

	Q1	Q2	Q3	Q4
<b>Project Stage</b>	<b>Delivering</b> ●	<b>Delivering</b> ●		

**End date:** 28 February 2021

## Phone System upgrade

**Project Summary:** Replacement of old non-supported phone system to a Mitel phone system.

Project Stage	Q1	Q2	Q3	Q4
	Delivering 	Completed 		

**End date:** 31 December 2020

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## Fibre Upgrade – remote locations

**Project Summary:** Currently there is a Radio network which connects all Councils remote sites such as the i-Site, library, landfill, wastewater treatment plant and Les Munro Centre. This project will upgrade the remote locations fibre connections, and upgrade security by installing new firewalls and routers.

**Progress:** Fibre has been installed and configured at the following locations - Queen Street office, i-Site and library. Landfill, wastewater treatment plant and Les Munro Centre will be upgraded next.

Project Stage	Q1	Q2	Q3	Q4
	Delivering 	Delivering 		

**End date:** 31 March 2021

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## Review of Council's Risk Management Framework and Strategic Risks

**Project Summary:** Review of Council's Risk Management Framework and Strategic Risks

**Progress:** Initial discussion has been undertaken with key strategic risks being identified. Next steps further workshops to discuss risk appetite and additional mitigating actions that can be put into place to reduce the residual risk to identified risk appetite.

Project Stage	Q1	Q2	Q3	Q4
	Delivering 	Delivering 		

**End date:** 31 December 2021

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## SERVICE PERFORMANCE MEASURES

	<b>Overall result for GOA</b> <i>(as at 31 December 2020)</i>				
<b>Governance: Leadership and Investments</b>					
You can expect	Measure	Q1	Target/Result	Q2	Commentary
Decision making in compliance with provisions of the Local Government Act 2002 (LGA).	Number of successful challenges to the decision making process.		<b>Target: 0</b> <b>Result: On track</b>		No challenges to the decision making process as at end of Quarter 2.
Consultation is in accordance with the procedures outlined in LGA. Depending on the nature of the consultation, the procedure will either be the Special Consultative Procedure or a process that gives effect to the requirements of section 82 of the LGA.	Number of successful challenges to the decision making process.		<b>Target: 0</b> <b>Result: On track</b>		No challenges to the decision making process as at end of Quarter 2.
Effective communication with the community.	Percentage of residents satisfied with the effectiveness and usefulness of Council Communications		<b>Target: 90%</b> <b>Result: N/A</b>		Performance will be reported in Q4 when the Resident Satisfaction Survey has been undertaken (Survey is expected to be completed by June 2021).
Investments are managed prudently and in a manner that promotes the current and future interests of the community.	Analysis of investment financials and activity including investment company reporting statements are reported to Council and made available to the public as applicable.		<b>Target: 2 reports per year</b> <b>Result: 1</b>		One report received and on track to meet target.

## FINANCIAL UPDATE

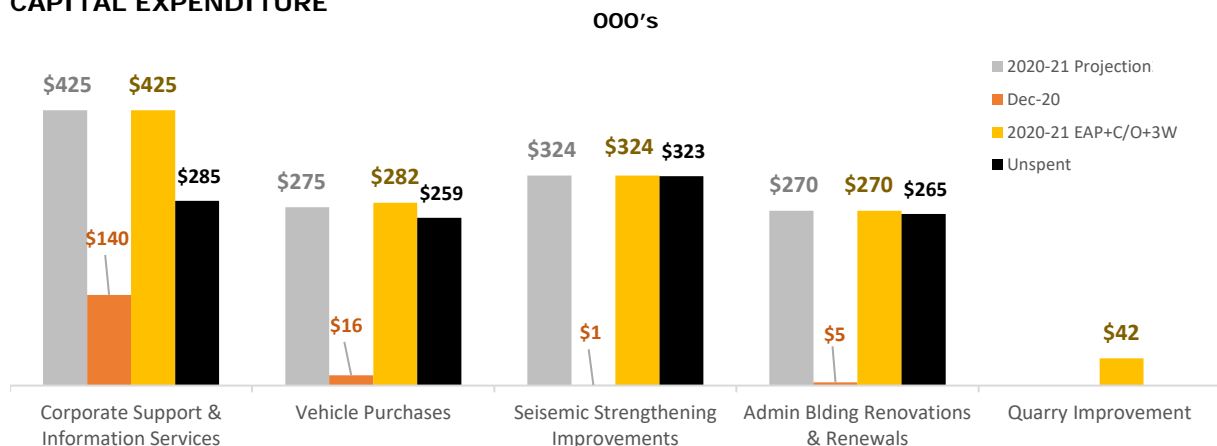
### OPERATING EXPENDITURE

GOVERNANCE: LEADERSHIP AND INVESTMENT (Amounts in \$000's)	Actual 2019/20	EAP Budget 2020/21	YTD Budget Dec 2020	YTD Actual Dec 2020	Variance Dec 2020	Var %/ Note Ref
<b>Direct Expenditure</b>						
- Representation	350	445	224	196	(28)	<b>A</b>
- Planning & Policy & Monitoring	102	568	193	51	(142)	<b>B</b>
- Investments	94	82	54	66	12	
- Treasury Management and Overhead Accounts	128	2	0	0	0	
<b>Total Direct Expenditure</b>	<b>674</b>	<b>1,097</b>	<b>471</b>	<b>313</b>	<b>(158)</b>	<b>-34%</b>
- Allocated Costs	1,017	1,219	559	615	56	
- Interest	95	148	75	12	(63)	<b>C</b>
- Depreciation	502	539	269	250	(19)	
<b>Total Operating Expenditure</b>	<b>2,288</b>	<b>3,003</b>	<b>1,374</b>	<b>1,190</b>	<b>(184)</b>	<b>-13%</b>
<b>Operating Revenue</b>						
- Representation	(465)	(461)	(79)	(63)	16	<b>D</b>
- Investments	(87)	(108)	(35)	(58)	(23)	<b>E</b>
- Treasury Management and Overhead Accounts	(120)	(13)	(7)	(5)	2	
<b>Total Operating Revenue</b>	<b>(672)</b>	<b>(582)</b>	<b>(121)</b>	<b>(126)</b>	<b>(5)</b>	<b>4%</b>
<b>Net Operating Cost/(Surplus)</b>	<b>1,616</b>	<b>2,421</b>	<b>1,253</b>	<b>1,064</b>	<b>(189)</b>	<b>-15%</b>

#### Variance comments:

- A Representation activity expenditure for elected members' remuneration was less as the budget includes remuneration for RMA Commissioners for the District Plan hearings. The District Plan hearings are now expected to be in the 2021/22 year.
- B Planning, Policy and Monitoring expenditure is lower than expected due to the delivery and timing of two projects. The development of the policy-based rationale for the ownership of Inframax was budgeted to be delivered by a consultant, however this project was predominantly delivered inhouse. The Risk Management Project has been delayed due to the capacity effects of the 3 Waters Reform work.
- C Interest expense on the floating rate note for Investments activity borrowing was significantly less than the interest assumed in the budget.
- D Rates penalties revenue is less than budget due to the reduction in penalty charge to 4% on the first instalment.
- E Investment revenue is more than budget for the quarry royalties.

### CAPITAL EXPENDITURE



Total expenditure for Q2 was \$161,800 against a projection (including carryovers) of \$1.058 million.

## COMMUNITY SERVICES

This group comprises parks and reserves, housing and other properties, recreation and culture, public amenities and safety.

- **Parks and Reserves** involves the provision of parks and reserves for recreation, green places and landscapes that are restful and enhance the visual amenity of our communities.
- **Housing and other property** involves the provision of housing community facilities such as halls and housing.
- **Recreation and culture** involves the provision of recreation and cultural opportunities to support the health and well-being of the community.
- **Public amenities** involves the provision of cemeteries, public car parks, public toilets, street furniture and our CCTV system.
- **Safety** involves the administration of the Civil Defence Emergency Management function; to coordinate a response to an emergency, and to manage recovery in the District.

## COMMUNITY OUTCOMES



## PROJECTS AND PROGRAMME UPDATES

### Lease Agreements

**Project Summary:** Currently a review on all property arrangements is being taken to ensure all required lease agreements, H&S and other legislative requirements are in place. This also includes condition assessments and maintenance inspections to determine the current structural condition of playgrounds and other structures located on these properties. Lease agreements are required to meet applicable New Zealand legislation such as the Residential Tenancies Act 1986, Property Law Act 2007 and Land Transfer Act 1952.

**Progress:** An initial investigation and assessment of the current status of existing lease and deed documentation has identified a range of administrative matters. Specialist legal advice has been sought to address issues and challenges.

**Update:** The project scope is limited to addressing leases or license agreements that are coming up for renewal or due to expire due to competing priorities. Progress of the review of historic agreements is on a case by case basis.

BAU | Ongoing

### Te Kuiti Aerodrome

**Project Summary:** Demolition of unsafe buildings as part of the agreed work programme - Stage 2.

**Progress:** This project is currently being scoped and planned. A progress update will be provided once this planning is completed.

Project Stage	Q1	Q2	Q3	Q4
	Scoping	Scoping		

### Esplanade Reserves: Mokau

**Project Summary:** Maintaining beach access points in Mokau. This project is currently in the planning phase.

**Progress:** The contractor for project delivery has been notified to proceed, however there has been a delay in obtaining materials from the contractor's suppliers.

Project Stage	Q1	Q2	Q3	Q4
	Delivering	Delivering		



**End date:** 31 December 2020 / New end date: 28 Feb 2021



## Piopio Hall

**Project Summary:** Safety issues are being addressed. The work required includes stabilisation of the front wall of the hall and fixing two windows on the front wall. Stabilisation of the front wall at the Piopio Hall commenced on 2 November. The wall is required to be stabilised prior to fixing the windows.

**Progress:** The structural work to the front wall has now been completed with some minor strengthening still to be completed to the front section of the roof.

Project Stage	Q1	Q2	Q3	Q4
	Planned to commence 	Delivering 		

**End date:** 15 December 2020 – New end date 31 March 2021

## Public Toilet Counters

**Project Summary:** Information gathering initiative.

**Progress:** Toilet counters have been installed at the Piopio Toilets (Kara Park) and Mokau Hall Toilets. Counter numbers for the 15th and 16th of October as below.


Location of Public Toilet	Date	Count
Kara Park	15/10/2020	339
	16/10/2020	327
Mokau Hall toilets	15/10/2020	130
	16/10/2020	433

**Project Stage** Completed 

## Mokau Peak Season Temporary Toilet Facilities

**Project Summary:** For the last two summers extra portaloos have been installed near the Mokau toilet block to address demand.

**Progress:** Four Portaloos at the Mokau Toilet block and two at Point Road have been installed. These portaloos will remain in place over the peak season until Easter.

**Project Stage** Completed 

## Te Maika Jetty

**Project Summary:** Upgrading the Jetty by replacing the main deck and handrailing of the jetty and construction of a retaining wall along the high tide line to address erosion.

**Progress:** In late September 2020 the existing timber and concrete main jetty was removed and replaced with marine grade timber and new concrete deck along with new marine grade timber handrailing. The retaining wall along the high tide line and aims to protect the shore from stormy seas and large swells. This work has now been completed and no further work will be required on this jetty for many years.

**Project Stage** Completed 

## Motakiora / Brook Park Tree Planting

**Project Summary:** Matariki Tu Rakau is a partnership between Te Uru Rakau (Forestry New Zealand) and the community to plant native trees to recognise the service of New Zealander's who have made a significant difference to their community in their field of work. Council applied for this funding and funding was approved for \$11,673 (incl GST) for the trees and the drone spraying of the gorse. The funding agreement was signed 28<sup>th</sup> July 2020.

**Progress:** The drone spraying was to have been undertaken in November 2020, however due to wet weather and contractor's workload, the spraying of the gorse has been delayed until February 2021. The trees are being planted in autumn of 2021.

Project Stage	Q1	Q2	Q3	Q4
	Planning 	Delivering 		

**End date:** May 2021

## Civil Defence

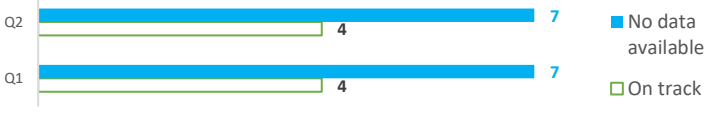












**Programme Summary:** WDC provides Civil Defence and Emergency Management functions for the District as required by the Civil Defence and Emergency Management Act 2002. Emergency Management activities are assisted by the Emergency Management Operations Manager and Emergency Management Coordinator employed by Waipā

District Council to provide a shared service arrangement for Waitomo, Waipā and Ōtorohanga District Councils; jointly operating and collaborating as the Western Waikato Emergency Operating Area (WWEOA).

The New Zealand integrated approach to civil defence emergency management can be described by the four areas of activity, known as the '4 Rs'; Reduction, Readiness, Response and Recovery.

**BAU | Ongoing** 

## SERVICE PERFORMANCE MEASURES

	Overall result for GOA <i>(as at 31 December 2020)</i>				
<b>Community Services</b>					
You can expect	Measure	Q1	Target/Result	Q2	Commentary
High quality Parks and Reserves will be provided.	Percentage of residents satisfied with the quality of Parks and Reserves.		<b>Target:</b> ≥ 80% <b>Result:</b> N/A		Performance will be reported in Q4 when the Resident Satisfaction Survey has been undertaken (Survey is expected to be completed by June 2021).
Provision and maintenance of Elderly Persons Housing that meets the needs of the tenants.	Percentage of tenants satisfied with the provision and maintenance of Elderly Persons Housing.		<b>Target:</b> > 80% <b>Result:</b> N/A		Performance will be reported in Q4 when the when the Elderly Persons Housing is undertaken.
Quality public amenities will be provided.	Percentage of residents satisfied with the quality of public amenities (Public Toilets and Cemeteries).		<b>Target:</b> ≥ 85% <b>Result:</b> N/A		Performance will be reported in Q4 when the Resident Satisfaction Survey has been undertaken (Survey is expected to be completed by June 2021).
Provision of effective pool facilities for the community.	Percentage of residents satisfied with the quality of the pool facilities and service.		<b>Target:</b> ≥ 80% <b>Result:</b> N/A		Performance will be reported in Q4 when the Resident Satisfaction Survey has been undertaken (Survey is expected to be completed by June 2021).
Provision of effective Arts and Culture facilities for the community.	Provision of effective Arts and Culture facilities for the community.		<b>Target:</b> ≥ 80% <b>Result:</b> N/A		Performance will be reported in Q4 when the Resident Satisfaction Survey has been undertaken (Survey is expected to be completed by June 2021).
Council's public facilities are provided to standards of fitness for use.	Current Building Warrant Of Fitness (BWOFF) for facilities with compliance schedules.		<b>Target:</b> 100% <b>Result:</b> 100%		All BWOFF's have been received and are current.

You can expect	Measure	Q1	Target/Result	Q2	Commentary
Pool is safe for use of pool patrons at all times.	Pool accreditation in place.	●	<b>Target:</b> 100% <b>Result:</b> 100%	●	Poolsafe accreditation is in place until 31/03/2021.
	Number of pool non complying water quality readings per year.	●	<b>Target:</b> < 2 <b>Result:</b> 0	●	Readings undertaken shows that the pool water quality is compliant.
Community education and information provided to build community awareness and preparedness.	The number of residents who understand the need to plan for the ability to survive on their own for 3 days if there was an emergency event.	●	<b>Target:</b> ≥ 75% <b>Result:</b> N/A	●	Performance will be reported in Q4 when the Resident Satisfaction Survey has been undertaken (Survey is expected to be completed by June 2021)
WDC is resourced and staff trained to a level sufficient to efficiently operate the Civil Defence Headquarters during an emergency.	One major training exercise involving Civil Defence HQ staff will be held per year.	●	<b>Target:</b> One exercise per year <b>Result:</b> N/A	●	Will be reported when completed within the year. Planning is currently underway.
Playground equipment is safe to use for parks and reserves playground users.	Number of accidents directly attributable to playground equipment failure.	●	<b>Target:</b> Nil Accidents <b>Result:</b> On track	●	No service requests or incident reports received.

## FINANCIAL UPDATE

### OPERATING EXPENDITURE

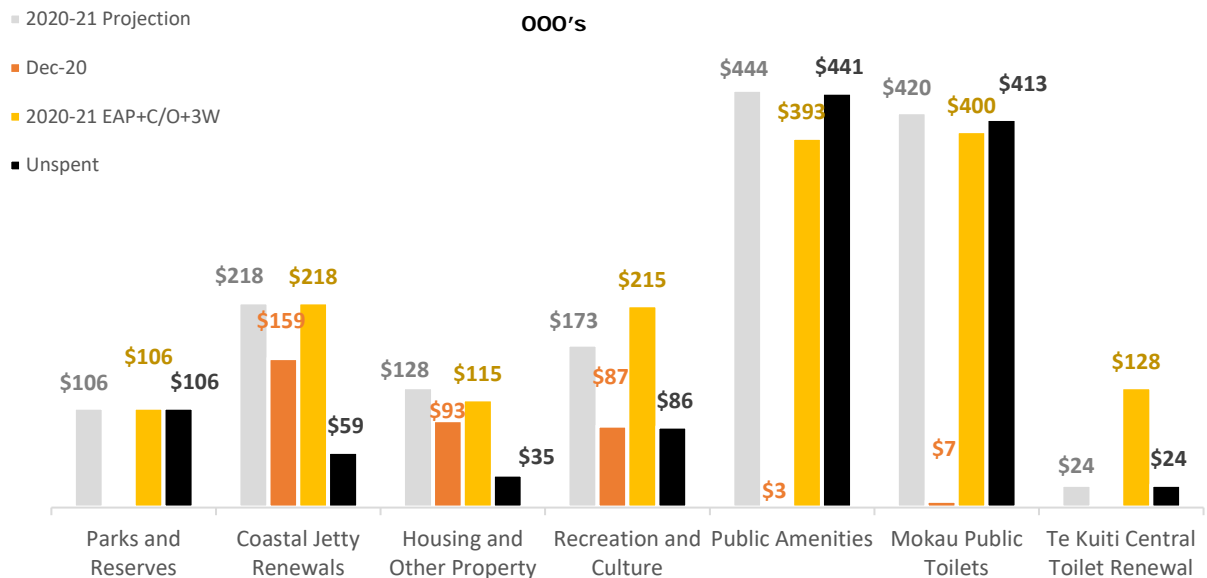
COMMUNITY SERVICE (Amounts in \$000's)	Actual 2019/20	EAP Budget 2020/21	YTD Budget Dec 2020	YTD Actual Dec 2020	Variance Dec 2020	Var % Note Ref
<b>Direct Expenditure</b>						
- Parks and Reserves	481	591	282	247	(35)	<b>A</b>
- Housing and Other Property	502	467	366	389	23	<b>B</b>
- Recreation and Culture	543	616	329	259	(70)	<b>C</b>
- Public Amenities	665	804	395	387	(8)	
- Safety	98	124	63	54	(9)	
<b>Total Direct Expenditure</b>	<b>2,289</b>	<b>2,602</b>	<b>1,435</b>	<b>1,336</b>	<b>(99)</b>	<b>-7%</b>
- Allocated Costs	867	999	499	502	3	
- Interest	102	112	56	49	(7)	
- Depreciation	926	980	489	463	(26)	
<b>Total Operating Expenditure</b>	<b>4,184</b>	<b>4,693</b>	<b>2,479</b>	<b>2,350</b>	<b>(129)</b>	<b>-5%</b>
<b>Operating Revenue</b>						
- Parks and Reserves	(62)	(23)	(14)	(25)	(11)	<b>D</b>
- Housing and Other Property	(384)	(329)	(164)	(131)	33	<b>E</b>
- Recreation and Culture	(104)	(147)	(65)	(51)	14	<b>F</b>
- Public Amenities	(307)	(78)	(53)	(139)	(86)	<b>G</b>
<b>Total Operating Revenue</b>	<b>(857)</b>	<b>(577)</b>	<b>(296)</b>	<b>(346)</b>	<b>(50)</b>	<b>17%</b>
<b>Net Operating Cost/(Surplus)</b>	<b>3,327</b>	<b>4,116</b>	<b>2,183</b>	<b>2,004</b>	<b>(179)</b>	<b>-8%</b>

#### Variance comments:

- A Parks and Reserves budgets for repairs and maintenance and materials and supplies were not fully spent for the period.

- B Housing and Other Property activity expenditure was more for the Piopio Hall building repairs and maintenance due to unforeseen required structural strengthening works to the front wall while replacing the rotten window.
- C Recreation and Culture activity expenditure was less for library software licences, electricity and gas, and repairs and maintenance for the period. The underspent budget for the aerodrome repairs and maintenance will be utilised within the next quarter upon the completion of the new hangers by February 2021.
- D Parks and Reserves revenue was more than budget as grant funding was received from the Ministry of Primary Industries for the Brook Park mixed native tree planting project.
- E Housing and Other Property revenue was less than forecast. Included in the revenue budget is a capitation fee from a commercial licensee that is based on the volume of visitor numbers, as the number of visitors to the area have reduced due to the impact of the pandemic, associated revenue has also decreased.
- F Recreation and Culture revenue was less for both the Les Munro Centre hireage and Aquatic Centre.
- G Public Amenities revenue was more than budget due to the grant received for Responsible Camping initiatives to fund the costs of operating and maintaining tourism facilities over the peak season including the hireage of temporary toilets in Mokau.

## CAPITAL EXPENDITURE



Total expenditure for Q2 was \$349,000 against a projection (including carryovers) of \$1.51m.

## COMMUNITY DEVELOPMENT

This group of activities represents a range of collaborative and partnership approaches and initiatives involving many agencies and organisations. These activities involve a common theme of promoting a better quality of life within the District.

- **Community support** seeks to improve social outcomes within Waitomo District by working closely with community and sporting groups within the District community.
- **Tourism development and district promotion** is delivered through a partnership between central government, local government and the tourism industry.
- **District development** involves the facilitation and support of initiatives that will enhance the District's economic sustainability.
- **Te Kuiti i-SITE Visitor Information Centre** provides a free, friendly and objective information service to visitors and the local community.

## COMMUNITY OUTCOMES



## PROJECTS AND PROGRAMME UPDATES

### Vibrant Safe Waitomo (VSW)

**Programme Summary:** Council through the 10YP process agreed to the development and implementation of this strategy. The strategy is governed by a VSW Regional Coalition.

**Progress:** The 12-month Action Plan is currently being implemented with progress reporting against the actions presented at the Regional Coalition meetings.

BAU| Ongoing 

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### Youth Liaison/ Waitomo District Youth Council

**Programme Summary:** Support the positive development of youth within the Waitomo District.

**Progress:** The Waitomo District Youth Council (WDYC) successfully delivered on their 2020 Work Programme.

In September/October the WDYC, in collaboration with Number Twelve Youth Hub, ran an Arts Competition for young people aged 16 to 24. Youth were invited to submit a photo that represented '*Kia tau te Mauri*' – a moment when you were settled and present in the importance of the moment.

Submitted photos were exhibited at the Maniapoto Arts Festival which was held at the Les Munro Centre from the 17<sup>th</sup> to 20<sup>th</sup> November 2020. The WDYC worked alongside the arts festival organisers, Maniapoto Family Violence Intervention Network (MFVIN) and the Waitomo Arts Society, curating the youth section of the arts festival. The festival featured a daytime exhibition and evening performances with approximately 300 people attending the evening performances and an estimated 2,000 people attending the exhibition throughout the week. Positive feedback was received.

BAU| Ongoing 

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### Mayor's Taskforce for Jobs (MTFJ) Community Recovery Programme

**Project Summary:** The MTFJ Community Recovery Programme has been developed in collaboration with the Ministry of Social Development (MSD) as a response to the COVID-19 pandemic. The programme sees rural Councils assisting local businesses with recruitment, training, guidance and in some cases subsidies, to assist small businesses to take on young workers.

**Progress:** The Mayors' Taskforce for Jobs Agreement was confirmed in November 2020 and delivery of the programme is well underway. To date, 53 young people have registered for assistance through the MTFJ programme. During the November/December period seven sustainable employment outcomes were achieved. A further ten sustainable employment outcomes are currently in progress. To date placements have been achieved, or are in progress, in various sectors including hospitality, horticulture, manufacturing, energy, construction and early childhood education.

Project Stage	Q1	Q2	Q3	Q4
	Delivering 	Delivering 		


**Start date:** 1 November 2020  
**End date:** 30 June 2021

## Novice Driving Training Programme

**Project Summary:** To support a locally delivered driver training programme with a goal of reducing the number of young drivers involved in road crashes and improving their safety on our roads.

Target rate for learners (30 p.a.), restricted (50 p.a.) and full licence (30 p.a.)

**Progress:** A total of 106 young people have moved from one stage of their driver licence to the next in the past 6 months, confirming the success of this programme. The breakdown for the Waitomo District is 66 young people, of this number 26 achieved their learner licence, 25 achieved their restricted licence and 15 achieved their full driver licence during the period.

Project Stage	Q1	Q2	Q3	Q4
	Delivering 	Delivering 		

**Start date:** 1 July 2020  
**End date:** 30 June 2021

## Community Development Fund Policy

**Programme Summary:** The Community Development Fund Policy establishes funding policies and principles, which form the basis for the provision of funding grants to assist organisations and funding partners who provide projects, activities, services and facilities that benefit communities within the Waitomo District. The policy also captures the grants disbursed on behalf of the DC Tynan Trust and the Creative Communities New Zealand fund.

**Progress:** Two grant rounds were administrated between October and December 2020. Nine applications were received, with seven applicants being successful in receiving funding allocation.

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## Community / Civic Events

**Programme Summary:** This programme of work includes the Citizens Awards, Combined Mayoral Industry Training Organisation (ITO) Graduation Ceremony, Citizenship Ceremony, the Great NZ Muster and Te Kuiti Christmas Parade.

**Progress:** At its meeting of 29 September 2020, and due to the impacts of COVID-19, Council approved the deferment of the Waitomo District Citizens Awards Ceremony to May/June 2021. The awards recognise the significant contribution made to the Waitomo District by individuals within the community. The nomination period will remain open until 1 April 2021.

The Waitomo and Otorohanga Districts Combined Mayoral ITO Graduation Ceremony was held on 12 November 2020 at the Les Munro Centre, hosted by Waitomo District Council. 67 graduates who had completed their National Certificate qualification with an ITO were acknowledged at the ceremony.

The Waitomo District Christmas Parade was held on 27 November 2020. The theme for the parade was 'Christmas Morning' with 15 floats taking part in the parade. Attendance at the event was positive and the children's entertainment well received. The First Place Float was awarded to Te Pukeiti Early Childhood Centre.

The date for the 2021 Great New Zealand Muster has been confirmed as 10 April 2021. Promotions and an initial invitation to stall holders to register their stalls has been extended.

Ordinarily taking the Oath and receiving one's Citizen Certificate at a Citizenship Ceremony is the final stage in a person's journey to becoming a New Zealand citizen. Due to the COVID-19 pandemic, on Friday 20 March 2020 the Minister of Internal Affairs temporarily waived the requirement for new citizens to attend citizenship ceremonies and no new ceremonies were scheduled for the 2020 year. Ceremonies are expected to resume nationwide by 1 March 2021.

Currently, the Department of Internal Affairs is issuing Citizenship Certificates directly to all applicants who have been approved for a grant of citizenship and are affected by the cancellation of citizenship ceremonies.

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## SERVICE PERFORMANCE MEASURES

	Overall result for GOA <i>(as at 31 December 2020)</i>				
Community Development	<p style="font-size: small; margin-top: 5px;"> <span style="color: blue;">■</span> No data available  <span style="color: green;">■</span> On track         </p>				
You can expect	Measure	Q1	Target/Result	Q2	Commentary
Provide assistance for community support activities.	Advertisement and administration of all WDC Funding Rounds as per the Community Development Fund Policy.	<span style="color: green;">●</span>	<b>Target:</b> 100% Compliance <b>Result:</b> 100% in Q2	<span style="color: green;">●</span>	<ul style="list-style-type: none"> <li>Discretionary Grant Round 1</li> <li>Community Partnership</li> <li>DC Tynan Trust</li> <li>Creative Communities Round 1</li> <li>Discretionary Grant Round 2</li> </ul>
Support the positive development of youth within the District.	Youth Council meet with Council once per year.	<span style="color: green;">●</span>	<b>Target:</b> 1 per annum <b>Result:</b> N/A	<span style="color: green;">●</span>	Performance will be reported in Q4
	Youth Council undertakes two youth related projects per year.	<span style="color: green;">●</span>	<b>Target:</b> 2 per annum <b>Result:</b> 1	<span style="color: green;">●</span>	The WDYC co-hosted for the Maniapoto Arts Festival where photos were exhibited from the WDYC organised photo competition. This provided a youth component at the Arts Festival which was held 17 to 19 November 2020.
Council will support major District events that build community pride and raise the District's profile.	Council provide support for major district events.	<span style="color: green;">●</span>	<b>Target:</b> 2 per annum <b>Result:</b> 1	<span style="color: green;">●</span>	<p>The Waitomo District Christmas Parade was held on 27 November 2020.</p> <p>The Great NZ Muster will be held on 10 April 2021.</p>
Provision of comprehensive library facilities for the community.	Percentage of residents satisfied with the quality of the library facilities and service.	<span style="color: blue;">●</span>	<b>Target:</b> ≥ 85% <b>Result:</b> N/A	<span style="color: blue;">●</span>	Performance will be reported in Q4 when the Resident Satisfaction Survey has been undertaken (Survey is expected to be completed by June 2021).
Council will encourage and support sustainable economic development opportunities within the District.	Enhance the promotion of the District with the support of Hamilton Waikato Tourism through taking up District promotion opportunities in key publications and industry events.	<span style="color: blue;">●</span>	<b>Target:</b> > 4 promotion opportunities taken up <b>Result:</b> N/A	<span style="color: blue;">●</span>	Performance will be reported in Q3.
	Involvement in economic development initiatives alongside Waikato means business.	<span style="color: blue;">●</span>	<b>Target:</b> 1 initiative per annum <b>Result:</b> N/A	<span style="color: blue;">●</span>	Performance will be reported in Q4.



## FINANCIAL UPDATE

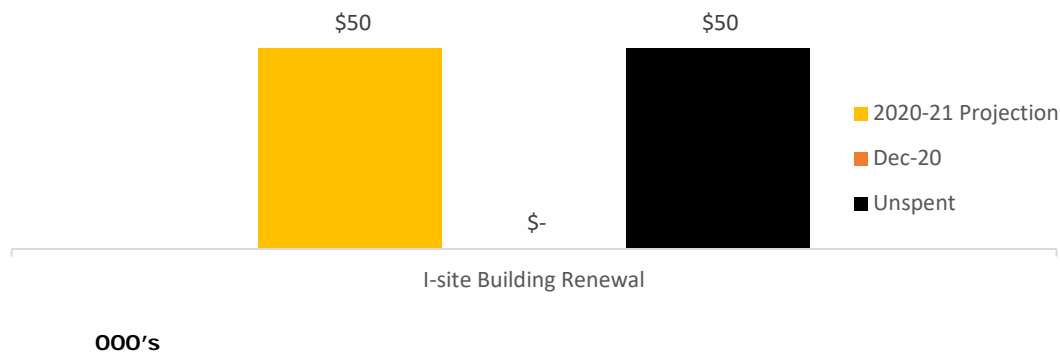
### OPERATING EXPENDITURE

COMMUNITY DEVELOPMENT (Amounts in \$000's)	Actual 2019/20	EAP Budget 2020/21	YTD Budget Dec 2020	YTD Actual Dec 2020	Variance Dec 2020	Var % Note Ref
<b>Direct Expenditure</b>						
- Community Support	689	1,798	465	453	(12)	<b>A</b>
- District Development	147	311	179	97	(82)	<b>B</b>
<b>Total Direct Expenditure</b>	<b>836</b>	<b>2,109</b>	<b>644</b>	<b>550</b>	<b>(94)</b>	<b>-15%</b>
- Allocated Costs	755	765	382	348	(34)	
- Depreciation	13	13	6	7	1	
<b>Total Operating Expenditure</b>	<b>1,604</b>	<b>2,887</b>	<b>1,032</b>	<b>905</b>	<b>(127)</b>	<b>-12%</b>
<b>Operating Revenue</b>						
- Community Support	(10)	(2)	0	(255)	(255)	<b>C</b>
- District Development	(21)	(32)	(14)	(4)	10	
<b>Total Operating Revenue</b>	<b>(31)</b>	<b>(34)</b>	<b>(14)</b>	<b>(259)</b>	<b>(245)</b>	<b>1750%</b>
<b>Net Operating Cost/(Surplus)</b>	<b>1,573</b>	<b>2,853</b>	<b>1,018</b>	<b>646</b>	<b>(372)</b>	<b>-37%</b>

#### Variance comments:

- A Expenditure for the Community Support activity is currently tracking less than budget due to the timing of allocation of grant expenditure and rates remissions.
- B Expenditure for the District Development activity was tracking less than budget at the end of the 2<sup>nd</sup> quarter. The Service Level Agreement payment to the Regional Economic Development Agency was processed in January 2021. Expenditure for the Te Kuiti Visitor Information Centre is under budget due to level of service changes as a result of COVID-19. District promotion initiatives have been delayed; work is programmed to be completed by the end of the financial year.
- C Revenue for the Community Support activity was \$255,000 more than budget. This is due to receipt of grant funding for the Mayors Taskforce For Jobs Community Recovery Programme.

### CAPITAL EXPENDITURE



There was no expenditure for Q2 against a projection (including carryovers) of \$50,000.

## COMPLIANCE

This group includes the regulatory functions devolved to Council by legislation including administering the necessary policies and bylaws to ensure a safe and nuisance free environment for all the residents and visitors of the District.

- **Building control** covers the processing and monitoring of building consents, and the issuing of Code of Compliance certificates pursuant to the Building Act 2004. This activity also covers the monitoring and enforcement of residential pools and earthquake-prone buildings requirements.
- **Alcohol licensing** oversees the administration of the Sale and Supply of Alcohol Act 2012 at a local level by way of the Waitomo District Licensing Committee.
- **Environmental health** involves the provision of environmental health services. This includes general public health inspections, licensing and inspection of food premises and hairdressers; and responding to noise and public health complaints.
- **Bylaw administration** involves managing a range of bylaws that Council has in place.
- **Animal and dog control** involve the registration and impounding of dogs, owner education, and implementing and enforcing our Dog Control Bylaw and Policy. This activity also covers wandering stock.

## COMMUNITY OUTCOMES



## PROJECTS AND PROGRAMME UPDATES

Consents are closely monitored to ensure statutory timeframes are adhered to. Building processes are monitored biannually with an audit undertaken by IANZ (International Accreditation New Zealand). WDC's latest IANZ audit was undertaken in June 2020, with accreditation achieved.

Feedback from our customers is one form used to ensure these activities are being delivered to a high standard and will continue to be used as a key indicator.

The work programmes in the Compliance Group are statutory in nature and 'business as usual' to comply with Council's legislative requirements. Progress reporting on the programme of work will be undertaken on an exceptions basis.


At this stage all programmes of work are progressing well and there are no significant exceptions to report.

All known swimming pools have now had their triennial inspection, with some still requiring further follow up. The program had been slightly delayed due to the COVID-19 pandemic lock down period. The Earthquake Prone Building work programme is progressing, with initial profiling of buildings largely completed subject to final review processes. The project is a multi-year project and will continue into 2021/22 and beyond.

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## SERVICE PERFORMANCE MEASURES

	Overall result for GOA <i>(as at 31 December 2020)</i>				
Compliance	 <p style="font-size: small; margin-top: 5px;"> <span style="color: blue;">■</span> No data available  <span style="color: green;">■</span> On track  <span style="color: darkgreen;">■</span> Achieved         </p>				
You can expect	Measure	Q1	Target/Result	Q2	Commentary
All food and liquor retail premises will be inspected and appropriately registered and licensed.	Percentage of food and alcohol premises that are licensed or registered.	●	<b>Target:</b> 100% Compliance <b>Result:</b> 100% for Q2	●	100% compliance achieved for Q1 and Q2.
Provision of an effective environmental health service for the community.	Percentage of residents satisfied with the provision of the Environmental Health Service.	●	<b>Target:</b> > 85% <b>Result:</b> N/A	●	Performance will be reported in Q4 when the Resident Satisfaction Survey has been undertaken (Survey is expected to be completed by June 2021).
Building consents and project information memoranda (PIMs) processed within 20 working days.	Building consents and project information memoranda (PIMs) processed within 20 working days.	●	<b>Target:</b> 100% <b>Result:</b> 100% for Q2	●	100% of consents were processed within 20 working days for this period.
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.	●	<b>Target:</b> BCA Accreditation achieved <b>Result:</b> Achieved	●	Accreditation achieved.
Provision of an effective building control service to the community.	Percentage of users satisfied with the provision of the Building Control Service.	●	<b>Target:</b> > 75% <b>Result:</b> N/A	●	Performance will be reported in Q4 when the Resident Satisfaction Survey has been undertaken (Survey is expected to be completed by June 2021).
Council meets its obligations under the Dog Control Act 1996.	Percentage of Special Owner Status properties (SOPs) inspected per year.	●	<b>Target:</b> 100% <b>Result:</b> 0	●	No inspections have been undertaken this quarter, however this KPI is on track to achieve.
Provision of an effective Animal Control Service.	Percentage of residents satisfied with the provision of the Animal Control Service.	●	<b>Target:</b> ≥ 75% <b>Result:</b> N/A	●	Performance will be reported in Q4 when the Resident Satisfaction Survey has been undertaken (Survey is expected to be completed by June 2021).
Dog Owners are well informed of their responsibilities and WDC Support.	Number of Dog/Owner Education initiatives.	●	<b>Target:</b> ≥ 2 <b>Result:</b> 1	●	This KPI is on track to achieve.

## FINANCIAL UPDATE

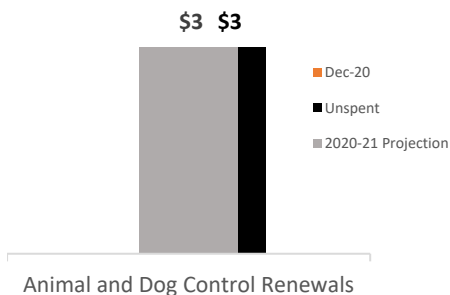
### OPERATING EXPENDITURE

COMPLIANCE (Amounts in \$000's)	Actual 2019/20	EAP Budget 2020/21	YTD Budget Dec 2020	YTD Actual Dec 2020	Variance Dec 2020	Var % Note Ref
<b>Direct Expenditure</b>						
- Compliance	231	311	147	84	(63)	<b>A</b>
<b>Total Direct Expenditure</b>	<b>231</b>	<b>311</b>	<b>147</b>	<b>84</b>	<b>(63)</b>	<b>-43%</b>
- Allocated Costs	881	928	464	440	(24)	
- Depreciation	7	8	4	3	(1)	
<b>Total Operating Expenditure</b>	<b>1,119</b>	<b>1,247</b>	<b>615</b>	<b>527</b>	<b>(88)</b>	<b>-14%</b>
<b>Operating Revenue</b>						
- Compliance	(497)	(465)	(313)	(343)	(30)	<b>B</b>
<b>Total Operating Revenue</b>	<b>(497)</b>	<b>(465)</b>	<b>(313)</b>	<b>(343)</b>	<b>(30)</b>	<b>10%</b>
<b>Net Operating Cost/(Surplus)</b>	<b>622</b>	<b>782</b>	<b>302</b>	<b>184</b>	<b>(118)</b>	<b>-39%</b>

#### Variance comments:

- A Expenditure for contractors' costs for animal control were less than budget. Contractor cost variations generally relate to timing of receipt of invoices. These costs are expected to be incurred in 2020/21. Expenditure for legal expenses for building control services is less than budget due to the resolution of the CHH litigation. Expenditure for earthquake prone buildings was less than budget due to project variances. District Licensing Committee expenditure was less than budget due to less alcohol licencing matters requiring hearings during this period.
- B Building control revenue and accreditation levy revenue was more than budget for the period. This revenue is directly linked to the number of consents received. Dog registration revenue was less than budget for the period, due to normal fluctuations in dog registrations.

### CAPITAL EXPENDITURE



There was no expenditure for Q2 against a projection of \$3,000.

## SOLID WASTE MANAGEMENT

This group provides for the environmentally safe reduction, diversion, collection and disposal of the district's solid waste.

- **Waste minimisation** focuses on the reduction and diversion (reuse, recycling and recovery) of solid waste.
- **Kerbside recyclables and refuse collection** is provided for the residents of Te Kuiti, Piopio, Awakino, Mokau, Waitomo Village and some surrounding rural roads.
- **Waste transfer** stations are provided for the communities of Maniaiti/Benneydale, Piopio, Marokopa, Kinohaku and Awakino and a fully consented landfill is located at Te Kuiti.

## COMMUNITY OUTCOMES



## PROJECTS AND PROGRAMME UPDATES

Solid Waste Management is the combination of asset management, financial, engineering and technical practices to reduce and dispose of general refuse and the promotion of waste minimisation.

The Solid Waste Activity provides for education on waste minimisation, collection and separation of recyclables, and the disposal of residual waste to landfill.

WDC is meeting its waste management obligations under the WMA and SWaMMP by providing:

- weekly kerbside refuse and recyclables collection services
- rural transfer stations, including free recycling services
- street side recycling units

## Landfill

**Programme Summary:** The Waitomo District has a previously consented volume of 232,000 tonnes. Investigations in 2017 confirmed actual landfill volume was approximately 173,000m<sup>3</sup> (equivalent to 155,000 tonnes) compared to the consent limit of 232,000 tonnes. A new consent came into effect from 24 September 2019 for a term of 35 years. This allows WDC to put into practice its optimised fill capacity strategy (increased to approximately 420,000 tonnes).

The physical capacity of the landfill will be increased over the next two financial years by raising the design finish level of the current footprint. That will require lining of the corresponding height of the high-wall. The life of the landfill, at current annual fill rates, will be extended to approximately 2044 i.e. beyond the term of the current consent (2033).

### Progress:

Description	Tonnes Deposited July 2020	Tonnes Deposited Aug 2020	Tonnes Deposited Sep 2020	Tonnes Deposited Oct 2020	Tonnes Deposited Nov 2020	Tonnes Deposited Dec 2020
<b>Deposited to Date</b>	180,481.79	181,330.59	182,131.82	182,840.67	183,711.75	184,400.92
<b>Total To Landfill</b>	848.8	801.23	708.85	871.08	689.17	768.34
<b>Tonnage Space Remaining</b>	51481.04	50679.81	49970.96	49,099.88	48,410.71	47,642.37

### Diverted Material

- To date a total of 243.76 tons of recyclables has been diverted from the landfill for this financial year.
- To date a total of 883.47 tons of recyclables have been collected from kerbside collections this financial year.

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## Waste minimisation promotion and educational programmes

**Programme Summary:** Events, promotions and workshops held in the community to raise awareness and encourage the minimisation of waste being sent to landfill.

**Progress:** Q2 workshops included a “Let’s Talk Compost” event in November and “Make your own Christmas gifts” day in December. There has also been increased messaging around reducing food waste (Love Food Hate Waste) in the recipe column of the local newspaper as well as ads run around Christmas about minimising waste over the holiday season.


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## Development of the new cell

**Project Summary:** The operative landfill cell has a remaining capacity of 12- 18 months. The new consent provides for developing the cell against the highwall, over the existing, consented, landfill footprint.

**Progress:** An investigation will be required to determine the method and costs involved to stabilise the highwall. Once completed in mid 2021, a decision will be made on it this is a viable option to extend the life of the landfill.


Project Stage	Q1	Q2	Q3	Q4
	N/A	Scoping 		

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## Infrastructure maintenance and transfer station safety improvements

**Project Summary:** Maintenance and improvement of assets located within the Waitomo District landfill and five rural transfer station sites in Piopio, Maniaiti/Benneydale, Marokopa, Kinohaku and Awakino.

**Progress:** Assessments of asset condition required and is currently being scoped.

Project Stage	Q1	Q2	Q3	Q4
	N/A	Scoping 		

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## SERVICE PERFORMANCE MEASURES

	<b>Overall result for GOA</b> <i>(as at 31 December 2020)</i>				
<b>Solid Waste Management</b>	<p>The chart displays performance for Q1 and Q2. For Q1, there are two bars: one blue (No data available) and one red (Not achieved). For Q2, there are two bars: one blue (No data available) and one red (Not achieved). A green bar (On track) is also present for Q2.</p>				
You can expect	How we measure performance	Q1	Target/ Result	Q2	Commentary
Provision of safe solid waste facilities within District.	Percentage of users that rate the safety of the facilities (landfill and rural transfer service stations) as satisfactory or better.	●	<b>Target:</b> ≥ 85 <b>Result:</b> N/A	●	Performance will be reported in Q4 when the Resident Satisfaction Survey has been undertaken (Survey is expected to be completed by June 2021).
Provision of effective solid waste management services for the community.	Average number of complaints received per month regarding solid waste activities.	●	<b>Target:</b> ≤ 10 <b>Result:</b> 7.3	●	22 (average 7.3 /month) was received. Most service requests were missed due to missed kerbside collection.
	Percentage of users satisfied with the provision of waste management facilities (Landfill and rural transfer stations).	●	<b>Target:</b> 80% <b>Result:</b> N/A	●	Performance will be reported in Q4 when the Resident Satisfaction Survey has been undertaken (Survey is expected to be completed by June 2021).
To work towards a waste minimisation outcome.	Percentage reduction per annum in quantity of recyclables (like paper and plastics) in bag collection that goes to landfill.	●	<b>Target:</b> 1.0% reduction <b>Result:</b> 0.6% increase	●	There was a 0.6% increase in recyclables found in kerbside rubbish bags in the 2020 waste audit to the 2018 waste audit. This may be due to lack of access, education or promotion around recycling.
	Percentage reduction per annum in quantity of organic waste (like food scraps) in bag collection that goes to landfill.	●	<b>Target:</b> 1.0% reduction <b>Result:</b> 4.7% increase	●	There was a 4.7% increase in food/organic waste found in kerbside rubbish bags in the 2020 waste audit compared to the 2018. Increasing amounts of food waste going to landfill is a national problem. Education and funding of initiatives will continue to address this issue.

## FINANCIAL UPDATE

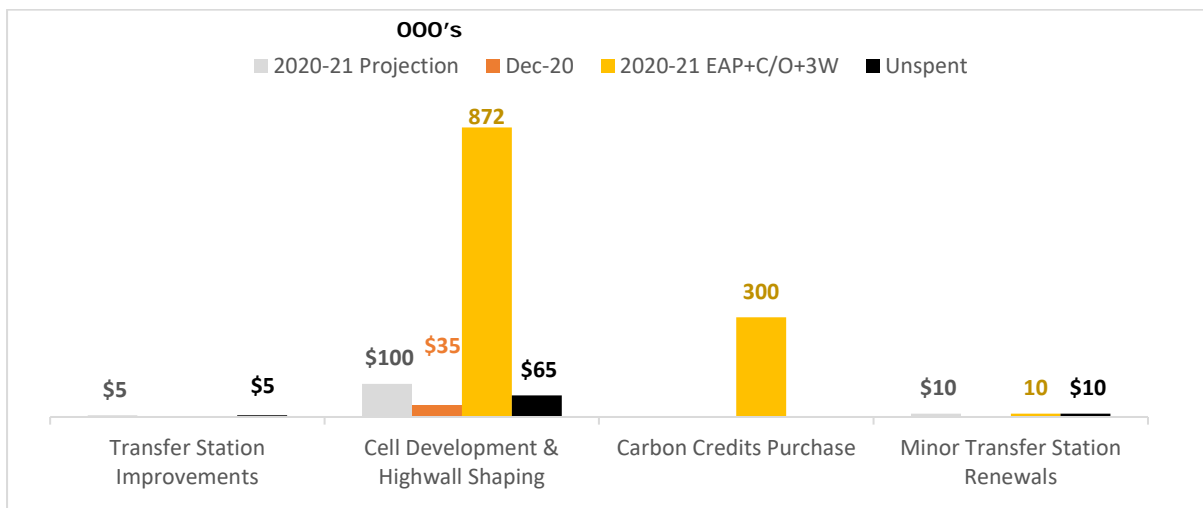
### OPERATING EXPENDITURE

SOLID WASTE MANAGEMENT (Amounts in \$000's)	Actual 2019/20	EAP Budget 2020/21	YTD Budget Dec 2020	YTD Actual Dec 2020	Variance Dec 2020	Var % Note Ref
<b>Direct Expenditure</b>						
- Collection	278	311	159	140	(19)	<b>A</b>
- Landfill Management	1,361	1,445	583	551	(32)	<b>B</b>
<b>Total Direct Expenditure</b>	<b>1,639</b>	<b>1,756</b>	<b>742</b>	<b>691</b>	<b>(51)</b>	<b>-7%</b>
- Allocated Costs	404	462	232	240	8	
- Interest	154	154	77	65	(12)	
- Depreciation	86	81	40	47	7	
<b>Total Operating Expenditure</b>	<b>2,283</b>	<b>2,453</b>	<b>1,091</b>	<b>1,043</b>	<b>(48)</b>	<b>-4%</b>
<b>Operating Revenue</b>						
- Collection	(135)	(147)	(73)	(73)	0	
- Landfill Management	(1,247)	(1,404)	(702)	(653)	49	<b>C</b>
<b>Total Operating Revenue</b>	<b>(1,382)</b>	<b>(1,551)</b>	<b>(775)</b>	<b>(726)</b>	<b>49</b>	<b>-6%</b>
<b>Net Operating Cost/(Surplus)</b>	<b>901</b>	<b>902</b>	<b>316</b>	<b>317</b>	<b>1</b>	<b>0%</b>

#### Variance comments:

- A Disposal costs were less for kerbside collection for the period.
- B Landfill management costs are less than budget due to lower resource consent compliance expenditure, landfill operational costs and waste minimisation levy.
- C Revenue received at the landfill was less than budget due to a decrease in revenue from general refuse charges. This is partly offset by an increase in revenue from green waste sales.

### CAPITAL EXPENDITURE



Total expenditure for Q2 was \$35,000 against a projection of \$115,000. The cell development project has been re-sequenced and will be incorporated into 2021-31 10YP. Refer to projects and programme updates section for progress on key capital projects.



## STORMWATER DRAINAGE

The Stormwater Drainage Group provides for the collection, diversion, and disposal of urban surface water runoff following rainfall. Surface water flooding can occur in the absence of an effective stormwater drainage system. This group provides for collection, diversion, and disposal of urban surface water runoff following rainfall.

The main activities of this group are:

- Maintenance (Planned and Unplanned)
- Renewals
- New Works/Augmentation

### COMMUNITY OUTCOMES

<i>Vibrant communities</i> 	<i>Thriving business</i> 	<i>Effective leadership</i> 	<i>Sustainable Infrastructure</i> 
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### PROJECTS AND PROGRAMME UPDATES

#### Completion of Stormwater Catchment Plans

**Project Summary:** The Stormwater catchment plans will be used for the development of Assessment of Environmental Effects required for the application for the required comprehensive stormwater discharge consent.

**Progress:** Consultant engaged. Catchments are being selected for more detailed modelling based on area and pipe diameter.



Project Stage	Q1	Q2	Q3	Q4
Planning	●	Delivering ●		

**Start date:** 1 October 2020

**End date:** 31 March 2021

#### Completion of the annual renewals programmes based on conditions assessment

**Project Summary:** This project is currently being scoped. A project summary and progress will be reported once the project planning has been completed.

**Issue:** Currently there is limited capacity with competing priorities.

Project Stage	Q1	Q2	Q3	Q4
Scoping/ planning	●	Scoping/ Planning ●		

#### Monitoring and maintenance of stormwater exit and entry points

**Project Summary:** This work involves manhole checks, inspection of streamside outlet points for debris and condition (before and after winter flows), fixing outlet grates that are damaged, or opening and collecting built-up debris, and reattaching any opened outlet points with new shearing bolts (break away structural feature for pressure on grate).

**Progress:**

- Installed a grated cover onto a large open inspection point located on Queen St, Te Kuiti.
- Installed cover grates onto two small inspection points on Queen Street, Te Kuiti.
- Reattached culvert grates with shearing bolts at the end of a 1800mm pipe and are in the process of having new grates fabricated and fixed to the opposite end.

**Project Stage:** Delivering ●

## SERVICE PERFORMANCE MEASURES

Overall result for GOA (as at 31 December 2020)					
Stormwater Drainage	<p style="font-size: small;">Q2: 8 (On track) Q1: 8 (On track)</p>				
You can expect	Measure	Q1	Target/Result	Q2	Commentary
Stormwater drainage system is adequate and is sufficiently maintained.	The number of flooding events* that occur in the district in a financial year.		<b>Target:</b> 0 <b>Result:</b> 0		There have been no flooding events in this quarter.
	For each flooding event* the number of habitable floors affected in a financial year.		<b>Target:</b> ≤ 1 per 1000 connections <b>Result:</b> 0		There have been no flooding events in this quarter.
Compliance with resource consent conditions for discharge from the Council's urban stormwater system that relate to environmental effects.	Compliance with resource consents for discharge from its Stormwater system, measured by the number of the following (received by Council within a financial year):				
	abatement notices		<b>Target:</b> 0 <b>Result:</b> 0		There have been no notices received.
	infringement notices		<b>Target:</b> ≤ 2 <b>Result:</b> 0		There have been no notices received.
	enforcement orders		<b>Target:</b> 0 <b>Result:</b> 0		There have been no enforcement orders.
successful prosecutions		<b>Target:</b> 0 <b>Result:</b> 0		There have been no successful prosecutions.	
The Council responds to failures and request for service in a prompt and efficient way.	The median response time to attend a flooding event*, (measured from the time that the notification is received to the time that service personnel reach the site).		<b>Target:</b> ≤ 180 minutes (3hrs) <b>Result:</b> 0		There have been no flooding events in this quarter.
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.		<b>Target:</b> ≤ 4 complaints per 1,000 properties (2,056 connections) <b>Result:</b> 0		There have been no flooding events in this quarter.
<p>* 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.</p>					

## FINANCIAL UPDATE

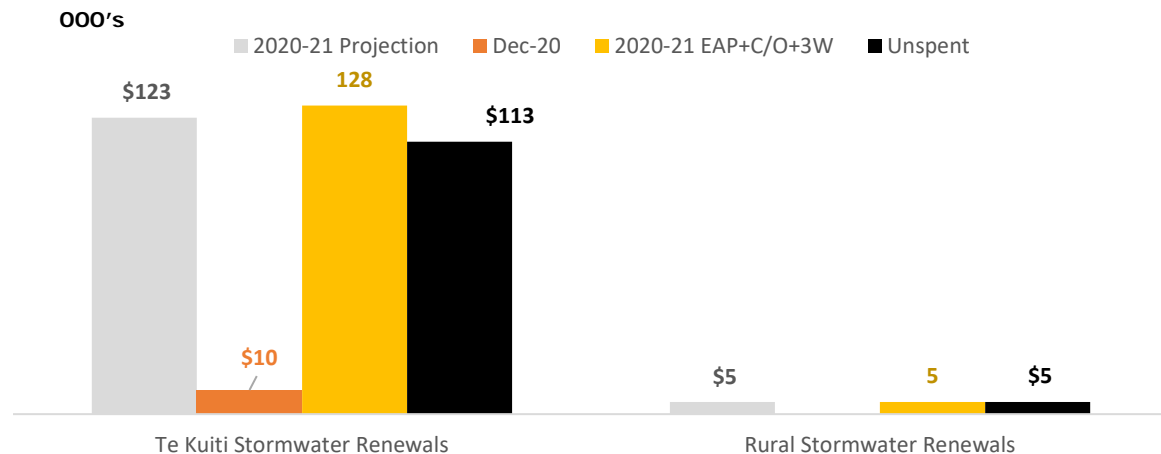
### OPERATING EXPENDITURE

STORMWATER DRAINAGE (Amounts in \$000's)	Actual 2019/20	EAP Budget 2020/21	YTD Budget Dec 2020	YTD Actual Dec 2020	Variance Dec 2020	Var % Note Ref
<b>Direct Expenditure</b>						
- Te Kuiti Stormwater	94	126	81	75	(6)	
- Rural Stormwater	20	8	6	5	(1)	
<b>Total Direct Expenditure</b>	<b>114</b>	<b>134</b>	<b>87</b>	<b>80</b>	<b>(7)</b>	<b>-8%</b>
- Allocated Costs	50	99	50	49	(1)	
- Interest	10	9	4	4	0	
- Depreciation	192	196	98	96	(2)	
<b>Total Operating Expenditure</b>	<b>366</b>	<b>438</b>	<b>239</b>	<b>229</b>	<b>(10)</b>	<b>-4%</b>
<b>Operating Revenue</b>						
- Te Kuiti Stormwater	(22)	0	0	(9)	(9)	<b>A</b>
<b>Total Operating Revenue</b>	<b>(22)</b>	<b>0</b>	<b>0</b>	<b>(9)</b>	<b>(9)</b>	<b>0%</b>
<b>Net Operating Cost/(Surplus)</b>	<b>344</b>	<b>438</b>	<b>239</b>	<b>220</b>	<b>(19)</b>	<b>-8%</b>

#### Variance comments:

A Connection fees were received for Te Kuiti.

### CAPITAL EXPENDITURE



Total expenditure for Q2 was \$9,800 against a projection (including carryovers) of \$128,000. Refer to projects and programme updates section for progress on key capital projects.

## RESOURCE MANAGEMENT

This group involves the administration, application and enforcement of the Operative Waitomo District Plan and District Planning.

- **District Plan Administration** covers the planning functions under the Resource Management Act 1991, including the processing, issuing and monitoring of resource consents, designations and other application types. It also includes monitoring compliance with Waitomo’s Operative District Plan.
- **District Planning** involves setting the direction, form and shape of our urban and rural communities to ensure development is sustainably managed, while protecting our cultural and historic heritage, outstanding landscapes and significant natural features. District Plan reviews and structure planning are included in this activity.

## COMMUNITY OUTCOMES



## PROJECTS AND PROGRAMME UPDATES

The work programmes in the Resource Management Group is statutory in nature and ‘business as usual’ to comply with Council’s legislative requirements. Progress reporting on the programme of work will be undertaken on an exceptions basis.

At this stage all programmes of work are progressing well and there are no exceptions to report.

**BAU| Ongoing**

### District Plan Review

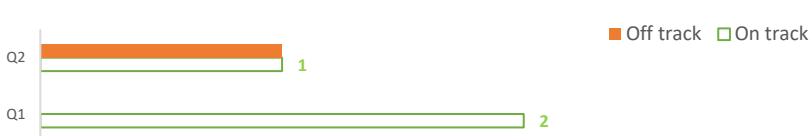
**Programme Summary:** A review of the Operative Waitomo District Plan in accordance with statutory requirements.

The Proposed Waitomo District Plan (PDP) must be legally robust and provide guidance for long term resource management in the District and is inherently complex with many associated workstreams.

**Progress:** All of the draft chapters have been workshopped with Council and work to finalise the Proposed Waitomo District Plan, including the section 32 (evaluation reports) continues.

	Q1	Q2	Q3	Q4
Project Stage	Delivering	Delivering		

## SERVICE PERFORMANCE MEASURES

	Overall result for GOA (as at 31 December 2020)				
Resource Management					
You can expect	Measure	Q1	Target/Result	Q2	Commentary
Resource consents are processed consistently, efficiently and to a high standard.	The percentage of resource consent applications which are processed within statutory timeframes.	●	<b>Target:</b> 100% <b>Result:</b> 100%	●	All resource consents have been processed within statutory timeframes for this quarter.
Land use consents are monitored to ensure they comply with the conditions of consent.	All land use consents that require monitoring are monitored.	●	<b>Target:</b> 100% <b>Result:</b> 100%	●	Consents are monitored when required by the consent conditions. Monitoring is currently behind schedule due to current capacity limitations.

## FINANCIAL UPDATE

### OPERATING EXPENDITURE

RESOURCE MANAGEMENT (Amounts in \$000's)	Actual 2019/20	EAP Budget 2020/21	YTD Budget Dec 2020	YTD Actual Dec 2020	Variance Dec 2020	Var % Note Ref
<b>Direct Expenditure</b>						
- District Plan Administration	99	171	150	144	(6)	
- District Planning	99	720	360	9	(351)	<b>A</b>
<b>Total Direct Expenditure</b>	<b>198</b>	<b>891</b>	<b>510</b>	<b>153</b>	<b>(357)</b>	<b>-70%</b>
- Allocated Costs	622	638	319	299	(20)	
- Interest	25	38	19	16	(3)	
<b>Total Operating Expenditure</b>	<b>845</b>	<b>1,567</b>	<b>848</b>	<b>468</b>	<b>(380)</b>	<b>-45%</b>
<b>Operating Revenue</b>						
- District Plan Administration	(267)	(165)	(83)	(93)	(10)	
- District Planning	(36)	0	0	0	0	
<b>Total Operating Revenue</b>	<b>(303)</b>	<b>(165)</b>	<b>(83)</b>	<b>(93)</b>	<b>(10)</b>	<b>12%</b>
<b>Net Operating Cost/(Surplus)</b>	<b>542</b>	<b>1,402</b>	<b>765</b>	<b>375</b>	<b>(390)</b>	<b>-51%</b>

#### Variance comments:

- A District Plan Development expenditure is less than budget for this period. This reduced expenditure is due to project timing variances affecting when expenditure was expected to be incurred. It is noted that the expenditure will still be required.

## SEWERAGE AND TREATMENT AND DISPOSAL OF SEWAGE

The Sewerage Group provides for the environmentally safe collection, treatment and disposal of the District's sewage waste in Te Kuiti, Te Waitere, Maniaiti/Benneydale and Piopio.

There are three activities under this Group, namely:

- Maintenance
- Renewals and replacements
- Improvements

### COMMUNITY OUTCOMES



### PROJECTS AND PROGRAMME UPDATES

#### Wastewater Treatment Plant Bulk Lime Silo

**Project Summary:** This project is to replace the lime dosing hopper and dosing system at the Te Kuiti Wastewater Treatment Plant, with caustic dosing; minimising potential health and safety issue.

**Progress:** Caustic tank is in place and a new pump set is scheduled to arrive mid-October. The next phase of this project includes installation of pipework and integration with SCADA. Completion date was expected to be early December 2020, however this has been delayed due to the availability of the contractor. Completion is now expected to be in early 2021.

Project Stage	Q1	Q2	Q3	Q4
Project Stage	Delivering	Delayed/delivering		

**Start date:** 2018/19  
**End date:** 2020 – new end date is early 2021

#### Reticulation Renewal - Minor

**Project Summary:** This project involves the replacement of manhole components and installation of a short length of pipe in the Te Kuiti Sewerage Network.

**Progress:** Replacement of 20m of pipe near Te Kuiti High School to resolve issues in flow has now been completed.

Project Stage	Q1	Q2	Q3	Q4
Project Stage	Delivering	Completed		

#### Treatment Plant Renewal – Minor, Te Kuiti

**Project Summary:** This project involves renewal of components of the aeration and mixers at the Te Kuiti Wastewater Treatment Plant (TKWWTP), to optimise the functionality of the treatment processes and to extend the useful life of the asset.

**Progress:** Renewal of mixer and aerator components located in the Reactor and Sludge pond at TKWWTP has been completed.

Project Stage	Q1	Q2	Q3	Q4
Project Stage	Delivering	Completed		

## Te Kuiti Sewer Renewals

**Programme Summary:** Programme of work relating to renewal of our wastewater network in Te Kuiti.

**Progress:** Q1: sewer realignment for Bayne Street was completed in August 2020. This is completion of a project that was delayed due to the COVID-19 pandemic. Q2: A detailed design for the 2020/21 programme of work has been commissioned.



BAU | Ongoing 

### Renew and Extend Soakage Field (Te Waitere)

**Project Summary:** This project involves an investigation of the Te Waitere Sewerage soakage field performance to assess work required to renew and extend the soakage field.

**Progress:** Investigation into the performance now complete. Some remedial work has been undertaken to date, and a more detailed design is required for loading rates and soakage area necessary for compliance with discharge consent.


Analysis of the soil is now complete.

Project Stage	Q1	Q2	Q3	Q4
	Delivering 	Delivering 		

### Treatment Plant Renewal Minor (Maniaiti / Benneydale)

**Project Summary:** This project involves the installation of an outlet flow meter at the Benneydale Wastewater Treatment Plant.

**Progress:** Completed the installation of an outlet flow meter.

**Project Stage:** Completed 

**End date:** 2020

### Riparian Planting at Te Kuiti

**Project Summary:** Riparian planting is a condition of the resource consent for wastewater discharge from Te Kuiti Wastewater Treatment Plant.

**Progress:** Waiting on Waikato Regional Council progressing planting plans and agreements with landowners

Project Stage	Q1	Q2	Q3	Q4
		Halted		

## SERVICE PERFORMANCE MEASURES

	Overall result for GOA <i>(as at 31 December 2020)</i>				
Sewerage and Treatment and Disposal of Sewage	<p style="font-size: small; margin-top: 5px;"> <span style="color: green;">█</span> On track      <span style="color: orange;">█</span> Off track                 </p>				
You can expect	Measure	Q1	Target/Result	Q2	Commentary
Sewerage System is adequate and is sufficiently maintained.	Number of complaints received in a financial year about; sewage odour, sewage system faults, sewage system blockages, and Council's response to issues with the sewage system.		<b>Target:</b> Total complaints per 1,000 connections $\leq 35$ <i>(Total number of connections 1,966)</i>  <b>Result:</b> 32.49		Q1: 37 and Q2: 27 making it a total of 64 complaints received. 5 for Odour (2 of these related solely to Piopio) - 20 for System faults (17 of these related solely to Piopio) and 39 for blockages/overflows (14 of these related solely to Piopio) Currently the blockages that are reoccurring are being investigated.
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)	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		<b>Target:</b> 0 <b>Result:</b> 0		On track to achieve
	infringement notices		<b>Target:</b> 0 <b>Result:</b> 0		On track to achieve
	enforcement orders		<b>Target:</b> 0 <b>Result:</b> 0		On track to achieve
	convictions received		<b>Target:</b> 0 <b>Result:</b> 0		On track to achieve
Timely response and resolution for sewage overflows.	The median response times for attendance, in a year, measured from the time that the Council receives notification to the time that service personnel reach the site.		<b>Target:</b> $\leq 180$ minutes (3hrs) <b>Result:</b> 1.01 hrs		On track to achieve
	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.		<b>Target:</b> $\leq 540$ minutes (9hrs) <b>Result:</b> 8.48 hrs		On track to achieve
Provision of effective and reliable sewerage systems and service to the community.	Number of dry weather sewage overflows from the Council's sewerage system in a financial year.		<b>Target:</b> Total complaints per 1,000 connections $\leq 15$  (Total number of connections 1,966) <b>Result:</b> 0		No Dry weather overflows for Q1 or Q2



## FINANCIAL UPDATE

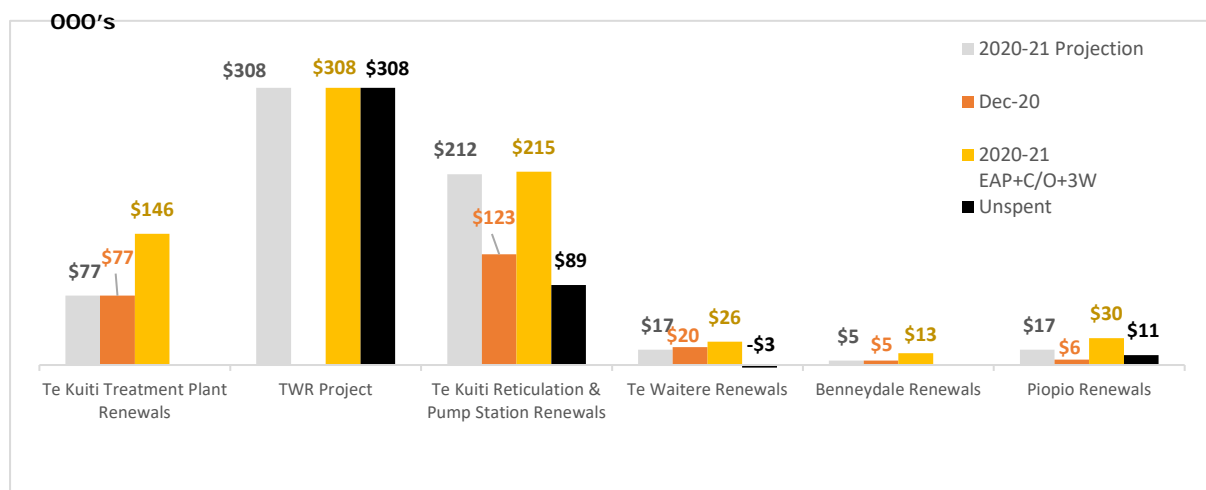
### OPERATING EXPENDITURE

SEWERAGE AND TREATMENT AND DISPOSAL OF SEWAGE (Amounts in \$000's)	Actual 2019/20	EAP Budget 2020/21	YTD Budget Dec 2020	YTD Actual Dec 2020	Variance Dec 2020	Var % Note Ref
<b>Direct Expenditure</b>						
- Te Kuiti	1,085	1,402	751	625	(126)	<b>A</b>
- Te Waitere	30	43	23	17	(6)	
- Maniaiti / Benneydale	73	85	51	53	2	
- Piopio	131	131	70	69	(1)	
<b>Total Direct Expenditure</b>	<b>1,319</b>	<b>1,661</b>	<b>895</b>	<b>764</b>	<b>(131)</b>	<b>-15%</b>
- Allocated Costs	250	254	127	137	10	
- Interest	278	253	126	127	1	
- Depreciation	822	828	414	411	(3)	
<b>Total Operating Expenditure</b>	<b>2,669</b>	<b>2,996</b>	<b>1,562</b>	<b>1,439</b>	<b>(123)</b>	<b>-8%</b>
<b>Operating Revenue</b>						
- Te Kuiti	(976)	(810)	(405)	(454)	(49)	<b>B</b>
- Te Waitere	(4)	0	0	0	0	
- Maniaiti / Benneydale	(1)	(1)	(1)	(1)	0	
- Piopio	(11)	(10)	(8)	(10)	(2)	
<b>Total Operating Revenue</b>	<b>(992)</b>	<b>(821)</b>	<b>(414)</b>	<b>(465)</b>	<b>(51)</b>	<b>12%</b>
<b>Net Operating Cost/(Surplus)</b>	<b>1,677</b>	<b>2,175</b>	<b>1,148</b>	<b>974</b>	<b>(174)</b>	<b>-15%</b>

#### Variance comments:

- A Expenditure for plant operations and reticulation maintenance, internal WSU costs, resource consent compliance, sludge disposal and sampling costs were less for Te Kuiti. A contributing factor of the variance is attributed to the ongoing impact of COVID-19 lockdown catch up, staff capacity and increased work load associated with the Governments 3 Water Reform Programme.
- B Connection fees were received in Te Kuiti and Piopio, and trade waste revenue was more than budget for the period.

### CAPITAL EXPENDITURE



Total expenditure for Q2 was \$231,000 against a projection (including carryovers and 3WR programme) of \$636,000. Refer to projects and programme updates section for progress on key capital projects.

## WATER SUPPLY

The Water Supply activity provides for the environmentally safe collection, treatment and reticulation of Council's public water supplies. Water supply schemes are provided by Council at Te Kuiti, Maniaiti / Benneydale, Piopio and Mokau.

There are three aspects of operations under this group:

- Maintenance
- Renewals and replacements
- Improvements

### COMMUNITY OUTCOMES



### PROJECTS AND PROGRAMME UPDATES

#### **Investigate raw storage dam**

**Project Summary:** Council's Infrastructure Strategy identifies the need to improve the resilience of the current supply arrangements. Provision has been made for construction of a bulk water storage structure in 2040-42, at a preliminary budgeted cost of \$30M (2018 dollars). Given the scale of estimated capital expenditure, plus associated operating costs, more practicable options have been investigated.

A revised, four stage, sequential investigation programme was then prepared, with the intention of first locating the depth, geology and water quality of the target aquifer through construction of a relatively low-cost pilot investigation bore. If the results of that work proved positive, construction of a separate production bore in the target aquifer would follow. The four stages comprise:

1. Stage 1 – Construction of an investigation bore at a greenfield site **[Completed]**
2. Stage 2 – Construction of a test/production bore
3. Stage 3 – Resource consent application (ex WRC) for abstraction
4. Stage 4 – Defining preliminary source protection zones around the new wellhead and undertake a catchment risk assessment.

**Progress:** Stage 1 was completed in April 2019 – construction of a monitoring bore at Te Kuiti Domain. Stage 2 has commenced with prices sought from well drilling contractors. Drilling operations for Stage 2 will also be located at Te Kuiti Domain (to allow data to be recorded from of the monitoring bore during production testing), are scheduled to commence in February 2021.

Project Stage	Q1	Q2	Q3	Q4
	planning	Delivering		

**Start date:** 2018

#### **Installation of backflow preventers – Te Kuiti, Mokau, and Piopio**

**Project Summary:** The 2009 Water Safety Plan identified the risk of supply contamination due to the absence of back flow preventers at each point of supply. An annual programme is in place to progressively install back-flow preventers across the network.



**Progress:** This work is ongoing; old tobies are replaced with new manifold backflow preventers (now also part of the Three Waters Reform delivery programme)

**BAU | Ongoing**

## Access easement or purchase of land (where applicable) to secure assets

**Project Summary:** The latest purchase was land located at 5 Waitete Road Te Kuiti, for construction of inlet works at the Te Kuiti Water Treatment Plant.

**Progress:** completed.

Project Stage	Q1	Q2	Q3	Q4
	Delivering 	Completed 		

**End date:** 2020

## Te Kuiti Supervisory control and data acquisition (SCADA)

**Project Summary:** To ensure compliance with the New Zealand Drinking Water Standards (NZDWS), WDC must ensure that our SCADA system can report on the requirements.



**Progress:** Minor improvements have been delivered and work is ongoing as new instruments are installed (now subject to Three Waters Reform funding)

**BAU | Ongoing** 

## Mokau water-main renewals

**Project Summary:** This project involves the replacement of an old Asbestos cement (AC) pipe located along the northern part of Tainui Street, Mokau.

**Progress:** A Procurement Plan has been completed and is being processed.

Project Stage	Q1	Q2	Q3	Q4
	Planning 	Planning 		

## New pumping line to reservoir (Piopio)

**Project Summary:** This project involves construction of a dedicated pumping line to the Piopio reservoir.

**Progress:** Project has been deferred due to budget constraints; programmed for year five of the ten-year plan.

**Project Stage:** Halted

## Additional monitoring and control – Maniaiti / Benneydale

**Project Summary:** This project includes an additional UV unit.



**Progress:** This project is currently on hold pending completion of the Mokau Water Plant upgrade.

**Project Stage:** Project is **On hold** and subject to Mokau water plant upgrade.

## Mechanical renewals – Te Kuiti

**Project Summary:** Renewals of water supply infrastructure involves the replacement of these assets at the end of their useful lives. Mechanical and electrical assets are serviced regularly and repaired as needed.

**Progress:** Quotes have now been received and work is being scheduled.



Project Stage	Q1	Q2	Q3	Q4
	Planning 	Planning 		

## Treatment Plant renewals - Mokau

**Project Summary:** This project is to replace the treatment plant sand filters and UV systems and installation of purpose-built coagulation and settling stage.



**Progress:** Procurement plan complete and approved, equipment ordered, some work completed on control upgrade and change in pipeline configuration.

*The equipment has been ordered (subject to considerable delays – 14-15 weeks construction period).*

Project Stage	Q1	Q2	Q3	Q4
	Planning 	Planning 		

## Mechanical renewals - Piopio

**Project Summary:** This project is to carry out the installation of new pumps and flow meters at the Piopio Water Treatment Plant.



Project Stage	Q1	Q2	Q3	Q4
	Planning 	Planning 		

## Reticulation Renewals – Piopio and Te Kuiti

**Project Summary:** This project is to carry out the replacement of Asbestos cement pipe infrastructure due to condition and line breaks.

**Progress:** Q1-Broadfoot Place Te Kuiti portion complete in August 2020.



Q2: Programme is being developed for reticulation renewals for the remaining budget.

Project Stage	Q1	Q2	Q3	Q4
	Planning 	Planning 		

## Seismic strengthening of WDC reservoirs















**Project Summary:** This project involves destructive testing when reservoir is empty. This is not currently an option without major planning.

**Progress:** The survey undertaken was a general condition assessment of the reservoirs, not a seismic strengthening survey. Council needs to undertake an actual seismic survey to progress strengthening programme. **The project has been put on hold until appropriate planning can be undertaken.**

Project Stage	Q1	Q2	Q3	Q4
	Scoping 	Scoping 		

## SERVICE PERFORMANCE MEASURES

Overall result for GOA <i>(as at 31 December 2020)</i>					
Water Supply					
You can expect	Measure	Q1	Target/Result	Q2	Commentary
Water supply system is adequate and sufficiently maintained for public health purposes.	The extent to which WDC's drinking water supplies comply with Part 4 of NZ Drinking-water Standards 2005 (revised 2008) (bacteria compliance criteria).		<b>Target:</b> 100% <b>Result:</b> 100%		All WDC Water Treatment Plants and Zones (reticulation) have achieved bacterial compliance during the last quarter (October to December 2020) – Part 4 of NZ Drinking-water Standards 2005 (revised 2018).
	The extent to which WDC's drinking water supplies comply with Part 5 of NZ Drinking-water Standards 2005 (revised 2008) (protozoal compliance criteria).		<b>Target:</b> 100% <b>Result:</b> N/A		Results will be available for reporting in Q4.
Water Supply networks are being maintained adequately.	Percentage of real water loss from the Council's networked reticulation system in a financial year in:  <i>(‘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).</i>				
	Te Kuiti		<b>Target:</b> ≤ 25% <b>Result:</b> N/A		The minimum night flow is measured June and July 2021 for the fiscal year of 2020-2021.  Results will be reported in Q4
	Mokau		<b>Target:</b> ≤ 25% <b>Result:</b> N/A		
	Piopio		<b>Target:</b> ≤ 25% <b>Result:</b> N/A		
	Maniaiti / Benneydale		<b>Target:</b> ≤ 15% <b>Result:</b> N/A		
Timely response and resolution of service requests.	The median response times for attendance for urgent call-outs in a financial year**		<b>Target:</b> ≤ 180 minutes (3hrs) <b>Result:</b> 2:23 hrs		On track
	The median resolution time of urgent call-outs in a financial year***		<b>Target:</b> ≤ 540 minutes (9 hrs) <b>Result:</b> 5:23 hrs		On track
	The median response times for attendance for non-urgent call outs in a financial year**		<b>Target:</b> ≤ 660 minutes (11 hrs) <b>Result:</b> 9:29 hrs		On track
	The median resolution time of non-urgent call-outs in a financial year***		<b>Target:</b> ≤ 96 hours (4 days) <b>Result:</b> 24:25 hrs		On track

You can expect	Measure	Q1	Target/Result	Q2	Commentary
Provision of effective and reliable water supply system to the community.	The total number of complaints received by Council in a year for: <i>(Total number of connections (2623))</i>				
	Drinking water clarity		<b>Target:</b> ≤ 5 per 1000 connections <b>Result:</b> 4.57		On track
	Drinking water taste		<b>Target:</b> ≤ 5 per 1000 connections <b>Result:</b> 0		On track
	Drinking water odour		<b>Target:</b> ≤ 5 per 1000 connections <b>Result:</b> 0		On track
	Drinking water pressure flow		<b>Target:</b> ≤ 30 per 1000 connections <b>Result:</b> 1.9		On track
	Continuity of supply		<b>Target:</b> ≤ 30 per 1000 connections <b>Result:</b> 3.04		On track
	Median response time to any of these issues within a year.		<b>Target:</b> ≤ 540 minutes (9hrs) <b>Result:</b> 2:23 hrs		On track
Efficient management of demand for water for the community.	Average consumption of drinking water per day per resident within the district.		<b>Target:</b> ≤ 400 litres per person per day <b>Result:</b> 295/day		On track
<p><i>*Achievement will be based on timing of completion of the Te Kuiti Water Treatment Plant Upgrade which is being carried out primarily to ensure compliance with New Zealand Drinking Water Standards requirements.</i></p> <p><i>** measured from the time that the local authority received notification to the time that service personnel reach the site.</i></p> <p><i>*** measured from the time that the local authority received notification to the time that service personnel confirm resolution of the fault or interruption.</i></p>					

## FINANCIAL UPDATE

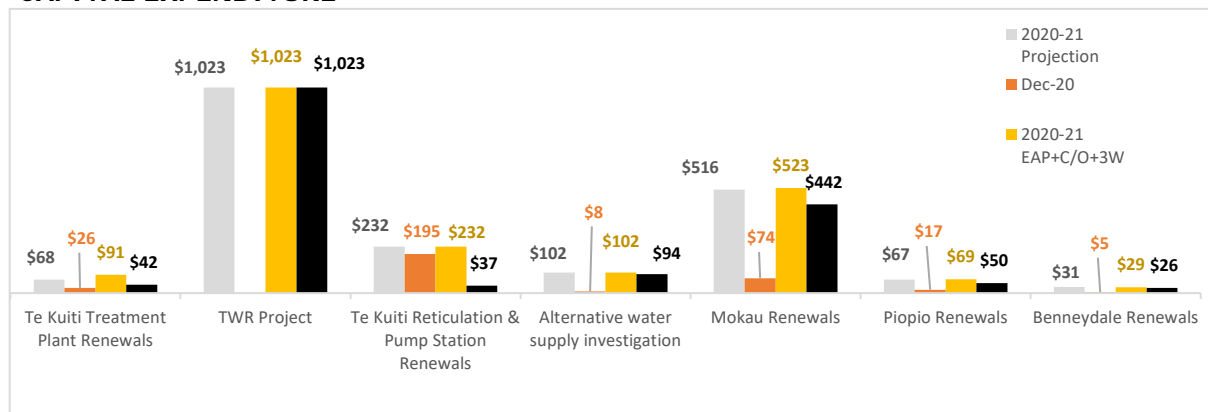
### OPERATING EXPENDITURE

WATER SUPPLY (Amounts in \$000's)	Actual 2019/20	EAP Budget 2020/21	YTD Budget Dec 2020	YTD Actual Dec 2020	Variance Dec 2020	Var % Note Ref
<b>Direct Expenditure</b>						
- Te Kuiti	1,078	1,158	624	589	(35)	<b>A</b>
- Mokau	254	193	108	110	2	
- Piopio	193	248	134	110	(24)	<b>B</b>
- Maniaiti / Benneydale	94	105	66	51	(15)	<b>C</b>
- Waitomo Village	10	0	0	0	0	
<b>Total Direct Expenditure</b>	<b>1,629</b>	<b>1,704</b>	<b>932</b>	<b>860</b>	<b>(72)</b>	<b>-8%</b>
- Allocated Costs	245	247	124	140	16	
- Interest	319	300	150	149	(1)	
- Depreciation	566	626	313	283	(30)	
<b>Total Operating Expenditure</b>	<b>2,759</b>	<b>2,877</b>	<b>1,519</b>	<b>1,432</b>	<b>(87)</b>	<b>-6%</b>
<b>Operating Revenue</b>						
- Te Kuiti	(23)	0	0	(1,769)	(1,769)	<b>D</b>
- Mokau	(4)	0	0	0	0	
- Piopio	(2)	0	0	0	0	
- Maniaiti / Benneydale	(2)	0	0	0	0	
<b>Total Operating Revenue</b>	<b>(31)</b>	<b>0</b>	<b>0</b>	<b>(1,769)</b>	<b>(1,769)</b>	
<b>Net Operating Cost/(Surplus)</b>	<b>2,728</b>	<b>2,877</b>	<b>1,519</b>	<b>(337)</b>	<b>(1,856)</b>	<b>-122%</b>

#### Variance comments:

- A Te Kuiti scheme expenditure was less than budget for internal WSU costs, electricity, water sampling, chemicals and reticulation maintenance.
  - B Piopio scheme expenditure was less than budget for internal WSU costs, chemicals and reticulation maintenance.
  - C Maniaiti/Benneydale expenditure was less for internal WSU costs, cleaning intake and resource consent compliance.
- A contributing factor of the above variances is attributed to the ongoing impact of COVID-19 lockdown catch up, staff capacity and increased work load associated with the Governments 3 Water Reform Programme.
- D The 3 Waters Reform Programme stimulus funding of \$1.75 million was recognised during the period. Connection fees for Te Kuiti were also received.

### CAPITAL EXPENDITURE



Total expenditure for Q2 was \$325,000 against a projection (including carryovers and 3WR programme) of \$2,038,000. Refer to projects and programme updates section for progress on key capital projects.

## ROADS AND FOOTPATHS

The Roads and Footpaths activity provides a safe and reliable transport infrastructure network to facilitate the movement of people and goods, which includes the provision of roads (excluding state highways), footpaths, bridges, traffic services, streetlights, carparks and traffic safety programmes.

- **Road Network:** WDC manages and maintains a network of 461km of sealed roads and 553km of unsealed roads. This includes identifying the need for and undertaking maintenance and renewals of the road network, footpaths and ancillary systems such as streetlights, signs and road markings.
- **Subsidised roading:** New Zealand Transport Agency (NZTA), provides a subsidy for works that meet their criteria via Waikato Regional Council's Land Transport Programme.
- **Unsubsidised roading:** These activities are carried out to ensure safe and efficient travel within and through the District as necessary for road or pedestrian safety and convenience, but are not subsidised by NZTA.

### COMMUNITY OUTCOMES



### PROJECTS AND PROGRAMME UPDATES

#### Road and Footpath Maintenance

**Programme Summary:** The vast majority of road network maintenance activities in the Waitomo District are carried out under the current Roothing Maintenance Contract, which started on the 1 March 2017. The incumbent Contractor is Inframax Construction Ltd (Contract 500/16/028).

**Progress:** Expenditure for the current financial year on road network maintenance activities is tracking as expected.

BAU | Ongoing

#### Sealed Road Pavement Rehabilitation

**Programme Summary:** Sealed road pavement rehabilitation involves rehabilitating and renewing the asset with the correct treatment at the optimum time so that the required level of service is maintained whilst minimising total life cycle costs.

Road pavements which have reached the end of their lives require major rehabilitation - that is strengthening the pavement structure prior to resurfacing.

Rehabilitation involves removing the existing chipseal and constructing an additional layer of road metal on top of the existing pavement reconstruction.

**Progress:** Road Rehabilitation 2019/20 and 2020/21 Physical Works Contract 500/19/004D was awarded to Inframax Construction Ltd on 18 September 2020. At the Tender Subcommittee meeting of 12 November 2020, a variation was granted, to add rehabilitation of Hangatiki East Road, to the contract. Hangatiki East Road is close to Somerville Rd, which was already well underway. At the end of December 2020 Somerville Rd was nearing completion and Hangatiki East Road was well underway. Pre-construction site walk-over of the Totoro Road site was completed on 23 December 2020.

Road Rehab Site	Notes	% Complete
Somerville Rd	Under Construction	90%
Totoro Rd	Scheduled for construction in 2021	10%
Taharoa Rd	Scheduled for construction in 2021	0%
Hangatiki East Road	Under Construction	75%

#### Project Stage for the above mentioned sites:

Project Stage	Q1	Q2	Q3	Q4
	Delivering	Delivering		

**Start date:** 18 September 2020

**End date:** 30 June 2021





## Sealed Road Resurfacing

**Programme Summary:** Sealed road resurfacing is carried out on sections of road with defects in the road surface but the structural condition of the carriageway is sound.

The program occurs annually. The total length of the sealed network is 459km so in order to achieve a 12-year resurfacing cycle an annual target of 32km is appropriate. Road resurfacing is carried out by Higgins as a subcontractor to Inframax Construction Ltd under Contract 500/16/028.

**Progress:** The annual sealing programme of approximately 37km (8% of sealed network) is scheduled to begin in February 2021. The pre-reseal repair programme is close to completion. The resurfacing programme and chipseal designs have been provided to Waitomo DC. As at the end of December 2020 discussions were underway with the resealing sub-contractor (Higgins) on some of the more technically complex designs. Sealing is expected to commence in February 2021 as programmed.

**Programme Stage:**

Project Stage	Q1	Q2	Q3	Q4
	Planning 	Planning 		

**Start date:** 1 July 2020  
**End date:** 30 June 2021



## Bridge and Structural Renewals

**Programme Summary:** Bridge and structural renewals is undertaken when parts of the structure have reached the end of their economic life.

Works are programmed based on an economic evaluation with projects being justified when the future saving achieved by doing the work exceeds the cost of the work. Physical Works for Bridge Maintenance 2019/20 and 2020/21 Contract 500/19/003 was awarded to Conspec Construction Ltd on 24 June 2020.

**Progress:** Work originally scheduled to commence in Q2 has been delayed due to unforeseen circumstances. Conspec are working to provide extra resource in order to complete the work as contracted. Conspec have begun site visits for planning purposes. Waitomo District Council has been granted a resource consent for the contractor to enter waterways to undertake the work.

**Programme Stage:**

Project Stage	Q1	Q2	Q3	Q4
	Planning 	Planning 		

**Start date:** 1 July 2020  
**End date:** 30 June 2021

## Footpath Renewals

**Programme Summary:** Footpath renewals is a program of work comprising of

- (a) new footpaths that are constructed where there is a gap in the network and
- (b) footpath improvements which involves widening existing footpaths (typically < 1m wide) to meet the 1.5m width standard.

Footpaths renewals are prioritised based on proximity to community infrastructure such as schools, medical centres, access to amenities, pedestrian counts and streets where there are no footpaths. Both technical levels of service and customer levels of service are both considered to be very important.

Footpaths should provide a safe, comfortable and efficient network of footpaths catering for pedestrians (including the physically disabled) and mobility scooters. Footpaths provide a valuable service to residents, especially those of lower socio-economic means who cannot afford vehicles and the elderly.

**Progress:** Footpaths and Associated Works for 2019/20 and 2020/21 Contract 500/19/005 was awarded to Inframax Construction Ltd. Works have been competed on Eketone St, Hospital Rd and Rora St. Planning and stakeholder interaction is underway for the proposed projects at Waitomo Village and Mokau Village.

Footpath Site	Notes	Q1 % Complete	Q2 % Complete
Eketone St		100%	100%
Hospital Rd	Bus bay to be sealed (waiting for it to dry out and cure before applying the final surface).	90%	100%
Rora St	Linemarking to do	90%	100%
Waitomo Village	Planning and stakeholder engagement (contractor not yet established on site)	10%	20%
Mokau Village	Planning and stakeholder engagement (contractor not yet established on site)	5%	10%

**Project Stage:**

Project Stage	Q1	Q2	Q3	Q4
	Delivering 	Delivering 		

**Start date:** 24 June 2020

**End date:** 30 June 2021

## Minor Improvements Local Roads

**Programme:** This programme of works includes projects that are considered to be low cost, low risk (LCLR) capital works. A number of projects are considered to fall within this category.



Improvements can be made to any of the roading assets (Drainage, footpaths etc.) and are not restricted to only the carriageway.

### Taharoa Road Drainage (LCLR)

**Project Summary:** An open drain on the Taharoa Road 2019 road rehabilitation site has been identified as needing safety improvement. Design completed. Awaiting a price from Inframax for construction.

Other minor projects are still being scoped and in the planning stage for construction in Q3/Q4.

**Project Stage:**

Project Stage	Q1	Q2	Q3	Q4
	Planning 	Planning 		

**Start date:** 30 June 2019

**End date:** 30 June 2021

## Unsealed Road Metalling

**Programme Summary:** This programme of works is a seasonal activity and is best completed in the wet winter months. The recognised average life for metalling is about 30 years and depending on the actual need, the KPI target is to re-metal a minimum of 15% each year, which is about 83km or 348,000m<sup>2</sup> per year. Structural metalling is occasionally undertaken to strengthen the base-course of unsealed roads.

Unsealed Road Metalling is carried out by Inframax Construction Ltd under Contract 500/16/028.

**Progress:** Expenditure for the current financial year is tracking as expected. This expenditure is seasonal and best completed in the wet winter months.

**BAU | Ongoing** 

## Te Ara Tika

**Project Summary:** Replacement of the pedestrian overbridge in Te Kuiti.


**Progress:** Tender process has been completed and the tender has been awarded to Fulton Hogan. Currently work is being undertaken to develop a communications plan.

The construction will begin in the New Year and the timeframes are as follows.

**Start date:** 12 Jan 2021

**End date:** 75 working days from commencement - due 30 April 2021.

## SERVICE PERFORMANCE MEASURES

Roads and Footpaths	Overall result for GOA (as at 31 December 2020)				
Roads and Footpaths					
You can expect	Measure	Q1	Target/Result	Q2	Commentary
Monitor safety of local roads to assist in planning and prioritising works required to upgrade, maintain or change the condition of the roading environment in order to reach and maintain a specified level of safety.	The change from the previous financial year in the number of fatalities and serious injury crashes on the local road network.		<b>Target:</b> 1 (or maintain at 0)  <b>Result:</b> Serious Injury crashes YTD: 3 Change in serious injury: -1  Change in fatality: 0		There have been three serious crashes and zero fatal crashes on the Waitomo District Council network this reporting year. (Year to date at the same time last year: 4 "severe injury" and one fatal).
Maintain the overall condition of local roads to a specified adequate standard.  <i>* NAASRA is a generally acceptable measure of road roughness. A NAASRA count of less than 150 indicates an acceptable level of ride comfort.</i>	The average quality of ride on a sealed local road network, measured by smooth travel exposure, in a financial year.  <i>(Percentage of measured sealed road lane kilometres not exceeding a NAASRA* roughness count rating of 150 to be at least 90%.)</i>		<b>Target:</b> 90% (of total) <b>Result:</b> 91.92%		This is measured every three years. The latest NAASRA roughness count from 2019 was 91.92%. This is due to be re-measured in 2022
Maintain the overall condition of the unsealed roads to a specified adequate standard.	Percentage of unsealed road metalled each year.		<b>Target:</b> 10% (of total) <b>Result:</b> 7.47		On track for achievement of 10%
Maintain the overall condition of sealed roads to a specified adequate standard	Percentage of the sealed local road network that is resurfaced each year		<b>Target:</b> 7% (of total) <b>Result:</b> N/A		The annual sealing programme is scheduled to begin in February 2021
Maintain the overall condition of footpaths to a specified adequate standard	The percentage of footpath network that falls within a condition rating of 3.		<b>Target:</b> 90% <b>Result:</b> N/A		Condition rating report is due to be undertaken prior to July 2021 – Results will be reported in Q4.
Manage the timeliness and appropriateness of responses to problems and service requests	The percentage of customer service requests relating to roads and foot paths responded to within 10 working days.		<b>Target:</b> 85% <b>Result:</b> 83.11%		162 Roading related service requests were received this quarter. 14 were state highway related. Of the remaining 148 requests, 123 were responded to in 10 days or less, 25 were responded to in more than 10 days.

## FINANCIAL UPDATE

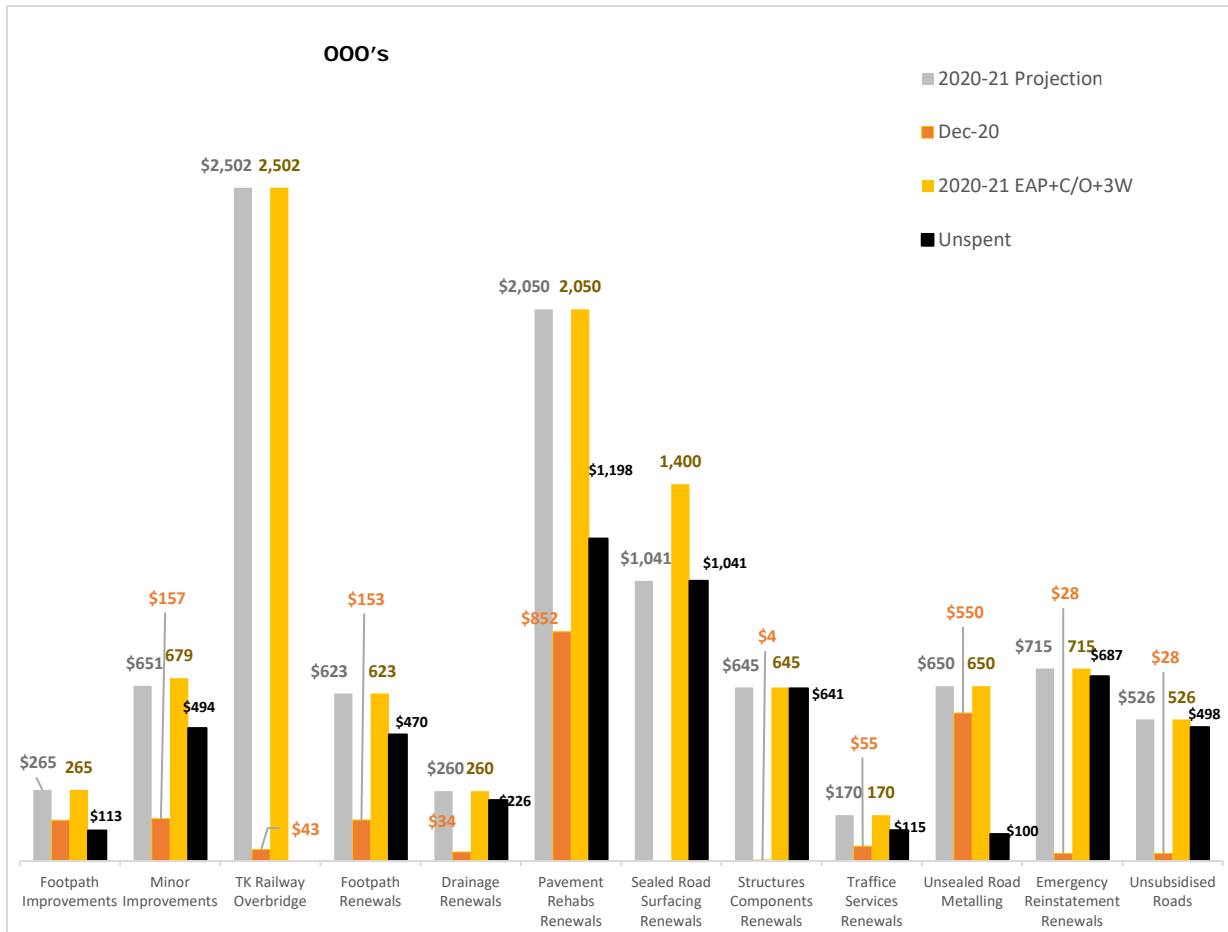
## OPERATING EXPENDITURE

ROADS AND FOOTPATHS (Amounts in \$000's)	Actual 2019/20	EAP Budget 2020/21	YTD Budget Dec 2020	YTD Actual Dec 2020	Variance Dec 2020	Var % Note Ref
<b>Direct Expenditure</b>						
- Subsidised Roads	6,841	6,492	3,246	2,818	(428)	<b>A</b>
- Unsubsidised Roads	62	131	74	69	(5)	
<b>Total Direct Expenditure</b>	<b>6,903</b>	<b>6,623</b>	<b>3,320</b>	<b>2,887</b>	<b>(433)</b>	<b>-13%</b>
- Allocated Costs	156	16	8	27	19	
- Interest	451	411	206	199	(7)	
- Depreciation	2,906	2,838	1,419	1,637	218	<b>B</b>
<b>Total Operating Expenditure</b>	<b>10,416</b>	<b>9,888</b>	<b>4,953</b>	<b>4,750</b>	<b>(203)</b>	<b>-4%</b>
<b>Operating Revenue</b>						
- Subsidised Roads	(8,078)	(9,871)	(4,935)	(3,577)	1,358	<b>C</b>
- Unsubsidised Roads	(102)	(100)	(50)	(32)	18	
<b>Total Operating Revenue</b>	<b>(8,180)</b>	<b>(9,971)</b>	<b>(4,985)</b>	<b>(3,609)</b>	<b>1,376</b>	<b>-28%</b>
<b>Net Operating Cost/(Surplus)</b>	<b>2,236</b>	<b>(83)</b>	<b>(32)</b>	<b>1,141</b>	<b>1,173</b>	<b>-3666%</b>
Subsidised Roads Maintenance (Excluding losses on asset disposals)	6,841	6,398	3,199	2,771	(428)	
Subsidised Road Capital	4,009	6,802	3,401	2,064	(1,337)	
<b>Combined Maintenance and Capital</b>	<b>10,850</b>	<b>13,200</b>	<b>6,600</b>	<b>4,835</b>	<b>(1,765)</b>	<b>-27%</b>
<b>Subsidy Revenue for Subsidised Roads</b>	<b>(7,944)</b>	<b>(9,658)</b>	<b>(4,829)</b>	<b>(3,523)</b>	<b>1,306</b>	<b>-27%</b>

## Variance comments:

- A Sealed and unsealed pavement maintenance were less than budget for the period along with the professional services and RBU costs. These were partly offset by an increase in routine drainage maintenance and environmental maintenance. The additional expenditure in environmental maintenance was required for an unexpected large number of hazardous trees identified and removed during the period. A contributing factor of the variance is attributed to the ongoing impact of COVID-19 lockdown catch up and staff capacity within the roading team.
- B Depreciation expense was more than budget due to the revaluation of roads assets at 30 June 2020. The year end forecast for depreciation is also expected to be higher than the full year budget. The reason for the increase in depreciation is due to two drivers; the unit rate for the sealed surface asset component increased significantly due to an increase in contract unit rates applicable to reseal work; and the increase in the size and quantity of rural road culverts being included in the valuation.
- C Subsidy revenue is based on both maintenance and capital expenditure and for most work categories the subsidy rate is 73%. As operational and capital expenditures were less than budget, the subsidy associated was also less than budget.

CAPITAL EXPENDITURE



Total expenditure for Q2 was \$2.092 million against a projection of (including carryovers) of \$10.097 million. Refer to projects and programme updates section for progress on key capital projects.

CONFIDENTIAL

TREASURY REPORT

FOR



FOR THE QUARTER ENDED 31 DECEMBER 2020



**BANCORP**

BANCORP TREASURY SERVICES LIMITED

AUCKLAND • WELLINGTON • CHRISTCHURCH

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## 1. MARKET ENVIRONMENT

### 1.1 GLOBAL MARKETS OVERVIEW (FOR THE DECEMBER 2020 QUARTER)

Markets had a lot to digest over the December quarter as COVID-19 second waves struck the Northern Hemisphere, the US election resulted in a change of President and central banks reinforced that they will do as much as they possibly can to engender economic growth. Despite a resurgence of COVID-19 cases in several countries, markets seem to be adopting a forward looking approach to a time when a vaccine(s) will halt the global pandemic. Risk remains the clear victor as US share markets posted record highs weekly, despite the 92 million COVID-19 cases recorded around the world and the never-ending geopolitical tensions, China, Iran etc.

The global benchmark interest rate, the US 10 year Treasury bond yield, started the September quarter at 0.67% and trended higher throughout the quarter, finishing December at 1.10%. This was due to the US Federal Reserve changing its inflation mandate to allow inflation to go beyond 2.0% which resulted in the market betting on the return of inflation in the medium term. This, along with the positive vaccine developments led to a 'risk on' market sentiment, resulting in US bond yields climbing.

It was different story for European bond yields as the German 10 year Bund remained relatively flat over the same period. Historically, Treasuries and Bunds have a relatively strong correlation, but over the quarter the correlation weakened dramatically. This was due, once again, to the 'average inflation' policy announced by the Fed, allowing inflation to move above 2.0% in the medium term. Another factor contributing to the deterioration of the correlation was the profit taking on US bonds and the expectation of inflation reaching its central bank target faster in the US than in Europe.

Reserve Bank of Australia ("RBA") Governor, Phillip Lowe, in November cut the cash rate and the target for the 3-year swap rate to 0.10% as expected, and the RBA confirmed that it would purchase \$100 billion of 5 to 10-year Government and State bonds over the next six months to push longer term rates lower. The RBA again ruled out a negative cash rate, stating it sees little benefit from such a move. It did, however, commit to maintaining the current cash rate of 0.10% well into 2023.

The Chinese economy is recovering quickly with GDP, retail sales and industrial production all up over the September quarter. The IMF is now projecting a 1.9% increase in GDP for China over 2020 and 8.2% over 2021. President Xi Jinping recently outlined his focus for the next five years with his Government earmarking hundreds of billions of dollars for infrastructure spending, a staggering US\$1.4 trillion for technology research, and a 'dual circulation' strategy that will see an increasing focus on domestic consumption, and further opening up of the Chinese economy. This is expected to support average annual GDP growth of around 5.0%.



## 1.2 NEW ZEALAND MARKET OVERVIEW (FOR THE DECEMBER 2020 QUARTER)

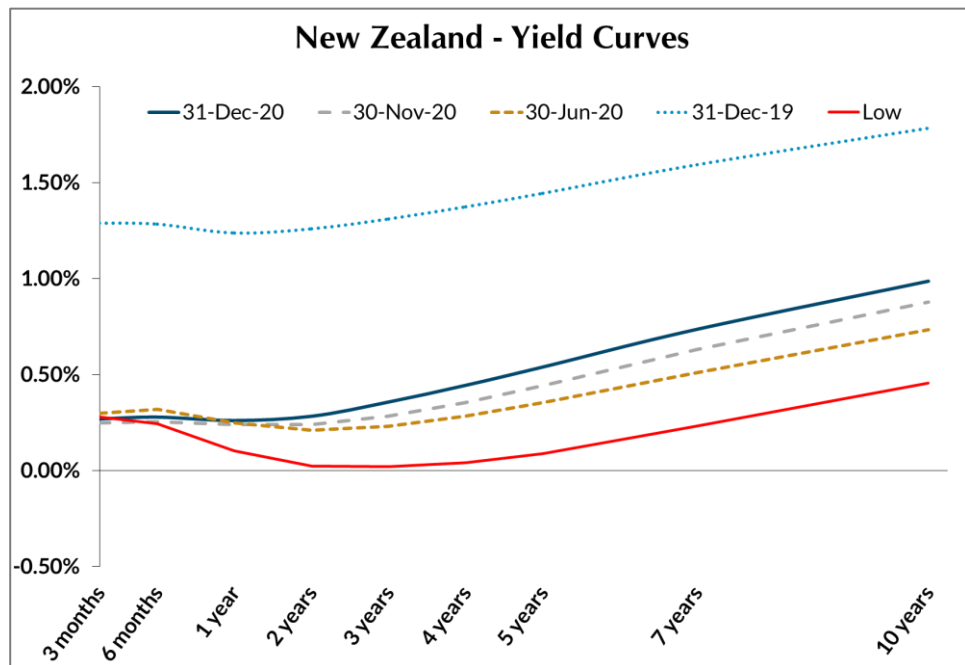
	OCR	90 day	2 years	3 years	5 years	7 years	10 years
30 Sep 2020	0.25%	0.31%	0.05%	0.05%	0.13%	0.28%	0.51%
31 Dec 2020	0.25%	0.27%	0.28%	0.36%	0.54%	0.74%	0.99%
Change	0 bps	-4bps	+23bps	+31bps	+41bps	+46bps	+48bps

In the November *Monetary Policy Statement* (“MPS”), the Monetary Policy Committee of the Reserve Bank of New Zealand (“RBNZ”) “reached a consensus to hold the OCR at 0.25 percent, in accordance with the guidance issued on 16 March, maintain[ed] the existing Large Scale Asset Purchase (“LSAP”) programme of a maximum of \$100 billion by June 2022; and direct[ed] the Bank to implement a Funding for Lending Programme (“FLP”) in early December 2020.” The FLP involves the RBNZ providing banks with medium-term funding at the level of the OCR, secured against high-quality collateral. The programme aims to promote lending to businesses and households at lower interest rates, increasing investment and consumption.

Market expectations regarding future changes to the OCR changed dramatically after the November MPS, due to the unexpectedly bullish (or less dovish) tone of the statement. Prior to the MPS, markets were assigning a 100% probability of the OCR falling to zero by April 2021 and a 92% probability to it being at minus 0.25% by October 2021. By the end of December, market pricing implied an 8% chance that the OCR would be at zero by April and a 16% chance that it would be at zero by October. Bank economists also pared back expectations for a negative OCR in 2021 as the extent of the economic recovery became apparent.

NZ September quarter GDP skyrocketed 14.0% after contracting a revised 11.0% in June, achieving a so-called V shaped recovery as massive fiscal and monetary stimulus fuelled consumer spending. The economy grew 0.4% for the year, confounding the consensus forecast for a 1.8% decline. Still, the RBNZ and some economists have cautioned the economy may contract in the fourth quarter of 2020 and even face a double-dip recession early in 2021, citing slower global growth and the possibility that the border will remain closed to most visitors until at least the second half of 2021.

Swap rates have recovered aggressively since the Octobers lows, as the 10 year rate bottomed out at 0.45%, finishing the quarter at 0.99% This has been a similar story across the entire yield curve as bets on a negative OCR fall away, inflation expectations increase and the correlation with US interest rates returns. The first chart on the following page shows the New Zealand 10 year swap (blue line) and the US 10 year Treasury bond (red line). The second chart shows the changes in the shape of the yield curve going back to December 2019, including the low in interest rates which was reached in October 2020.



### 1.3 LOCAL AUTHORITY SECTOR

Listed in the table on the following page are the credit spreads and interest rates 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	0.25%	0.52%	N/A
6 month CP	0.25%	0.535%	N/A
May 2021	0.46%	0.73%	0.74%
April 2022	0.55%	0.82%	0.80%
April 2023	0.55%	0.82%	0.84%
April 2024	0.57%	0.84%	0.95%
April 2025	0.62%	0.89%	1.08%
April 206	0.63%	0.90%	1.23%
April 2027	0.69%	0.96%	1.36%
April 2029	0.75%	1.02%	1.69%
April 2033	0.95%	1.22%	2.12%
April 2037	1.07%	1.34%	2.55%

During the quarter, credit spreads for LGFA debt declined in line with an overall fall in spreads for non-sovereign debt in New Zealand. Despite this decrease in credit spreads there has been a sharp increase in the yields for FRBs due to the rise in underlying swap rates. At the end of September, the April 2025, April 2029 and April 2037 FRBs were trading at 0.74%, 1.22% and 1.90% respectively. As at 13 January, they were at 1.08%, 1.69% and 2.55% respectively.

## 2. DEBT AND HEDGING

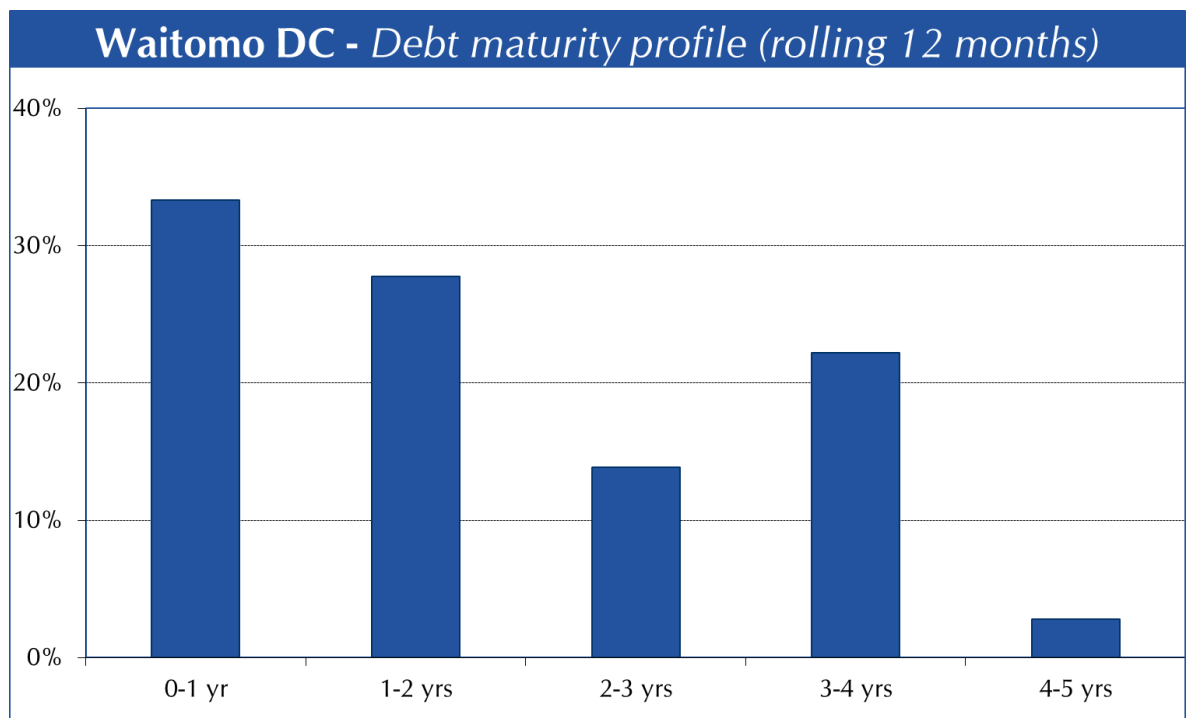
### 2.1 DEBT

As at 31 December 2020, WDC had \$36.0 million of external debt, unchanged from the end of September 2020. All of WDC’s debt was sourced from the LGFA through a combination of CP, FRNs and one FRB.

WDC also has a Westpac Bank Multi Option Credit Line Facility for \$10.0 million that matures on 1 July 2021, has an annual line fee of 0.35% and a margin of 0.90%. As at 31 December, there were no drawings under the Westpac facility. A breakdown of the funding profile (excluding the Westpac facility) is contained in the table below.

Instrument	Start Date	Maturity Date	Margin	Rate	Amount
LGFA CP	18-May-20	13-May-21	25 bps	0.505%	\$4,000,000
LGFA CP	27-Jul-20	26-Jan-21	31bps	0.64%	\$2,000,000
LGFA FRN	19-Jun-17	15-Nov-21	55.5 bps	0.815%	\$6,000,000
LGFA FRN	18-Jul-18	18-Apr-22	60 bps	0.875%	\$5,000,000
LGFA FRN	28-Jun-19	30-Aug-22	59.5 bps	0.845%	\$5,000,000
LGFA FRN	19-Jun-17	24-Apr-23	64 bps	0.91%	\$5,000,000
LGFA FRN	19-Jun-17	18-Apr-24	65.5 bps	0.93%	\$3,000,000
LGFA FRN	10-Sep-20	11-Sep-24	69 bps	0.945%	\$5,000,000
LGFA FRB	19-Jun-17	19-Apr-25	71 bps	3.68%	\$1,000,000
			<b>TOTAL</b>		<b>\$36,000,000</b>

The maturity profile of WDC’s drawn debt as at 31 December based on a rolling 12 month basis is depicted in the following chart.



Section 7.2 of WDC’s Liability Management Policy (“LMP”) states that “to avoid a concentration of debt maturity dates Council will, where practicable, aim to have no more than 33% of debt subject to refinancing in any 12 month period.” As at 31 December, WDC had a very minor inconsistency with this guideline as it had 33.33% of its debt maturing in the 0-1 year timeframe. This inconsistency will be rectified by 26 January 2021 when it was intended to repay the \$2.0 million of CP that matures on that date.

## 2.2 HEDGING

As at 31 December, WDC had five interest rate swaps (“swaps”) which convert a portion of the floating interest rate exposures into fixed interest rate exposures. Details of the swaps are contained in the table below:

Start Date	Maturity Date	Rate	Amount	Market Value
31-Mar-2014	17-May-2021	4.900%	6,000,000	(\$138,494)
18-Apr-2017	18-Apr-2023	3.950%	3,000,000	(\$271,797)
24-Jan-2017	24-Jan-2024	3.840%	5,000,000	(\$562,093)
20-Apr-2020	20-Apr-2025	3.930%	5,000,000	(\$774,018)
11-Sep-2020	11-Sep-2026	2.890%	5,000,000	(\$648,558)
<b>Total current swap hedging</b>			24,000,000	<b>(\$2,394,960)</b>

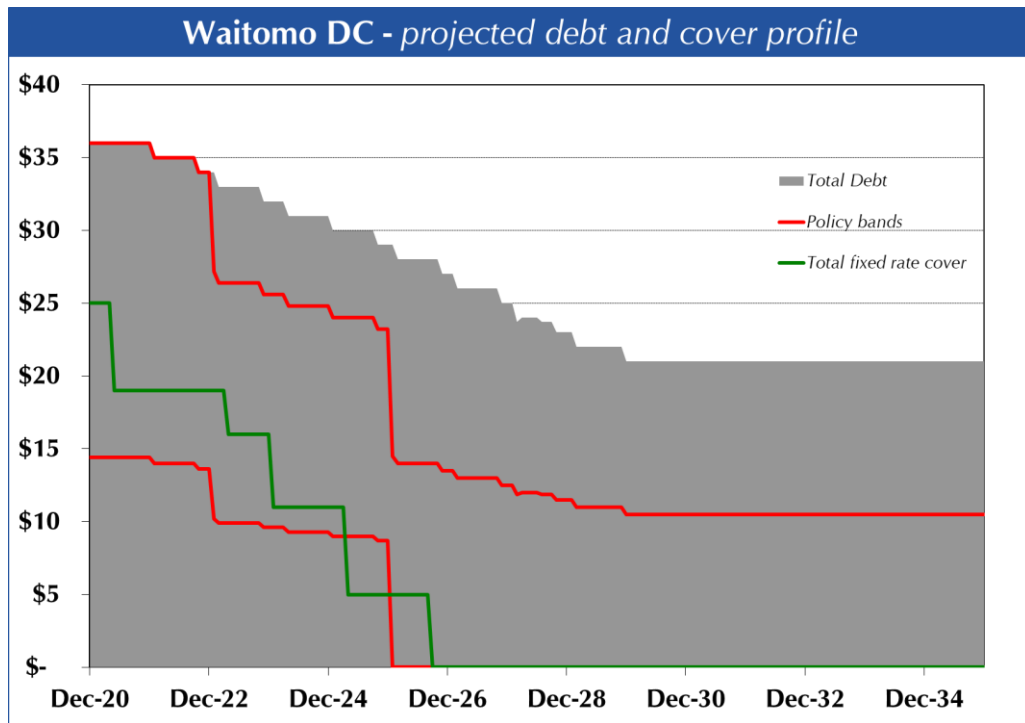
The ‘marked to market’ valuation on the swap portfolio improved significantly since the last report, from a loss of \$2,891,677 at the end of September, to a loss of \$2,394,960 at the end of December. This improvement was due to the increase in interest rates that occurred during the December quarter.

## 2.3 DEBT AND HEDGING PROFILE

WDC manages the interest rate risk on its debt under the fixed rate hedging parameters detailed in the following table.

Fixed Rate Hedging Percentages		
	Minimum Fixed Rate Amount	Maximum Fixed Rate Amount
0 – 2 years	40%	100%
2 – 5 years	30%	80%
5 – 15 years	0%	50%

The debt profile incorporating these parameters, the swaps and the FRB, and using the projected debt figures as supplied by WDC, is depicted in the graph on the following page.

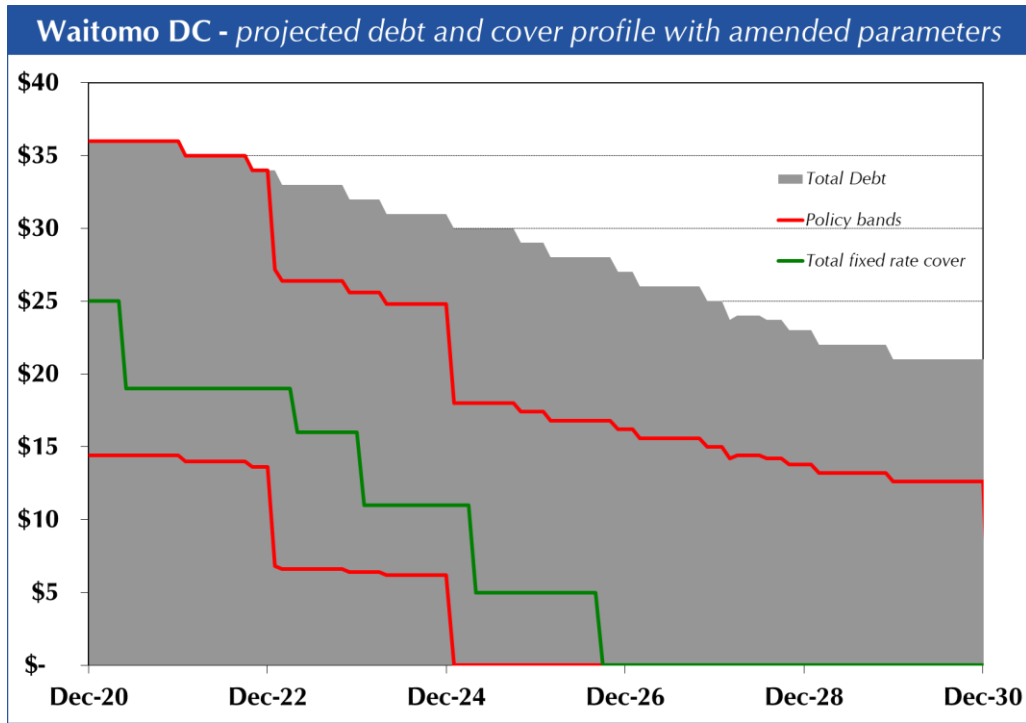


The graph indicates that, as at 31 December, WDC had a policy inconsistency, from April 2025 to December 2025 when it is under covered. This inconsistency has been noted by WDC management.

Bancorp Treasury and WDC have been discussing amending the Treasury Policy bands to take account of the new paradigm that the financial markets are now experiencing; one which has been greatly magnified by the COVID-19 pandemic. The following amended policy bands are expected to be approved by the full Council in March 2021 with the changes marked in red.

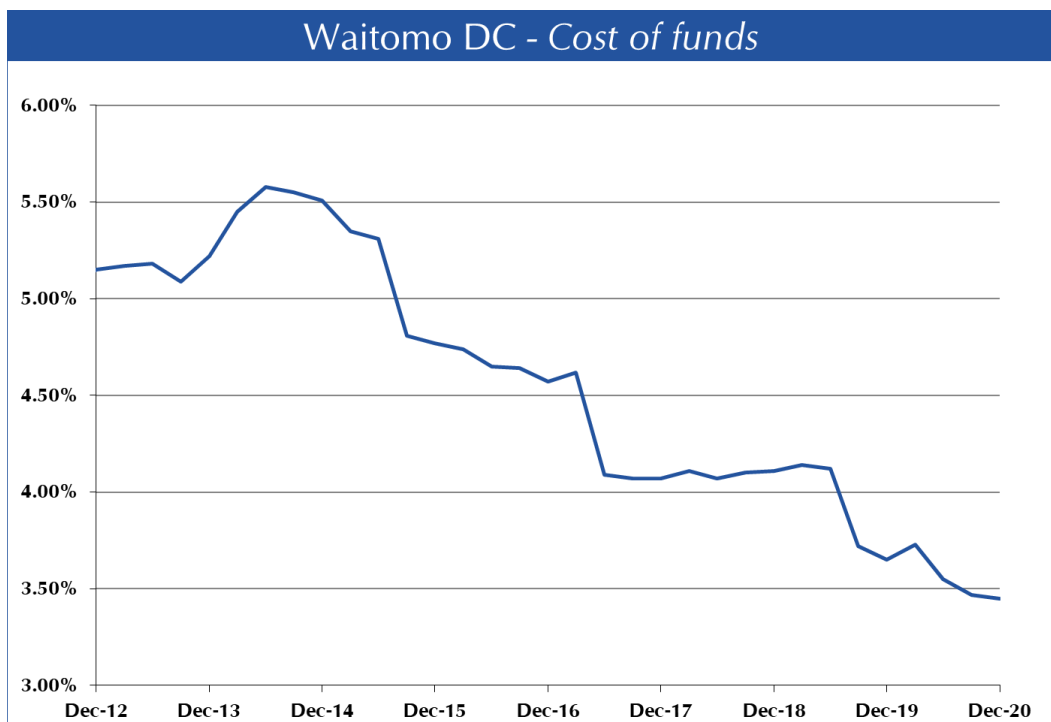
Fixed Rate Hedging Percentages		
	Minimum Fixed Rate Amount	Maximum Fixed Rate Amount
0 – 2 years	40%	100%
2 – 4 years	20%	80%
4 – 10 years	0%	60%

The debt profile incorporating these parameters, the swaps and the FRB, and using the projected debt figures as supplied by WDC, is depicted in the graph on the following page.



The graph indicates that, as at 31 December using the amended parameters, WDC was policy compliant.


As at 31 December, WDC's cost of funds, including the line fee on the committed Westpac facility, was 3.45%, down from 3.47% at the end of September. WDC's cost of funds is still below that of many other local authorities, a number of which have a credit rating. WDC's cost of funds since December 2012 is depicted in the following graph.



## 2.4 POLICY COMPLIANCE AS AT 31 DECEMBER 2020

	Yes/No
<i>Have all transactions been entered into compliance with policy?</i>	√
<i>Are the fixed rate hedging percentages within policy control limits?</i>	x
<i>Is WDC maintaining liquidity within policy control limits?</i>	√
<i>Are all counterparty exposures within policy control limits?</i>	√
<i>Is WDC compliant with the financial covenants contained in the TMP?</i>	√



<b>Document No:</b> A503631	
<b>Report To:</b>	<b>Audit, Risk and Finance Committee</b>
	<p><b>Meeting Date:</b> 16 February 2021</p> <p><b>Subject:</b> <b>Progress Report: Development of DRAFT 2021-31 10YP</b></p> <p><b>Type:</b> Information Only</p>

## Purpose of Report

1.1 The purpose of this business paper is to provide a progress report on the requirements for developing the Draft 10 Year Plan (10YP).

## Background

2.1 The 10YP Reporting schedule to ARFC is as follows:

Issue	Details	Date
<b>Project update and Project Risks</b>	<ul style="list-style-type: none"> <li>Summary of the project and updates</li> <li>Project Risks and mitigating actions</li> </ul>	11 August 2020 <b>Completed</b>
<b>Forecasting Assumptions</b>	The 10YP must disclose all significant forecasting assumptions, the level of uncertainty associated with each of these assumptions and quantify the potential effect of the uncertainty on the financial estimates. This includes growth and demand assumptions and the strategies for dealing with those.	13 October 2020 <b>Completed</b> , with a few outstanding Assumptions needing to be updated
<b>Compliance</b>	Legislative requirements and how compliance has been achieved or planned to be achieved. <b>Tabled today</b>	16 February 2021

2.2 At its meeting on 11 August 2020, the Audit, Risk and Finance Committee (ARFC) considered a progress report on the 10YP Development Project and a description of the key project risks.

2.3 At its meeting on 13 October 2020, the significant Forecasting Assumptions were outlined. At the time of the reporting a number of the Assumptions were unable to be updated due to dependency on external resources. These have now been updated and included in the Appendix 1.

2.4 This paper outlines the legislative requirements and how compliance is achieved or planned to be achieved in relation to the following work streams/projects:

- Consultation Document
- COVID-19 Impact and Three Waters Reform
- Infrastructure Strategy and Asset Management Planning
- Financial Strategy and Policies
- Performance Management and Reporting

## Commentary

### 3.1 **CONSULTATION DOCUMENT (CD)**

- 3.2 The purpose of the CD as set out in section 93B of the Local Government Act 2002 (LGA) is to provide an effective basis for public participation in local authority decision-making processes relating to the content of a long-term plan by—
- (a) providing a fair representation of the matters that are proposed for inclusion in the long-term plan, and presenting these in a way that—
    - (i) explains the overall objectives of the proposals, and how rates, debt, and levels of service might be affected; and
    - (ii) can be readily understood by interested or affected people; and
  - (b) identifying and explaining to the people of the district or region, significant and other important issues and choices facing the local authority and district or region, and the consequences of those choices; and
  - (c) informing discussions between the local authority and its communities about the matters in paragraphs (a) and (b).
- 3.3 The CD must be a simple and concise summary of the proposed matters for the 10YP and must not include a full draft of any policy or strategy or any detailed information that is not necessary or desirable to achieve the purpose of the CD.

### 3.4 **Development to Date**

- 3.5 Key strategic issues were discussed over several council workshops. Direction was provided following in-depth discussion of some of the issues.
- 3.6 Of the issues that were identified;
- Some issues have been confirmed as appropriate for engaging with the community at this stage for this 10YP.
  - Some issues required further consideration prior to having a discussion with the community. These issues have been delayed and marked as potential issues for consultation at the next 10YP.
- 3.7 Proposals are currently being developed for the identified consultation issues.
- 3.8 The draft CD is currently being developed in line with the legislative requirements. The draft CD will be endorsed by Council for the external auditors to ensure compliance prior to adopting the CD for consultation.
- 3.9 The CD will outline the consultation proposals and options for the community where Council is asking for input prior to decision making, alongside a number of topics that are included for information.
- 3.10 Council is currently in the process of confirming the engagement plan for the 10YP consultation. A variety of engagement methods are being discussed. The Engagement Plan is due to be confirmed in the February 2021 workshop.
- 3.11 A draft outline of the CD is included in Appendix 2.

## 3.12 COVID-19 AND THREE WATERS REFORM – IMPACT ON PROJECT

3.13 The following tables provide an assessment to understand the significant COVID-19 matters and the Three Waters Reform related matters that may impact on the Council and its community and how Council will reflect them in its consultation document and the 10YP.

<b>Sector-wide issues – Impacts of Covid-19</b>	
<i>To identify how the Council expects to respond to these matters and ensure that appropriate disclosure will be made in the consultation document and 10YP</i>	
<b>Key questions</b>	<b>Response</b>
<p>Are there any areas where the demand for the Council's services will be significantly impacted by Covid-19? If yes:</p> <ul style="list-style-type: none"> <li>• What are the main impacts on the community, the Council's organisation and/or its services?</li> <li>• What is the Council doing to respond to any changes in demand?</li> <li>• Has the Council already consulted with the community (for example, in the 2020/21 annual plan) on its responses to these issues/matters?</li> </ul>	<p>There are no specific areas of service identified where the demand for Council's services will be significantly impacted to Covid-19.</p> <ul style="list-style-type: none"> <li>• The main impact on the community across the country has been the uncertainty of employment due to Covid-10 impacted areas. In Waitomo there has been job losses in the Tourism sector, however the District's economy is improving. It should also be noted that the District also has a large Primary Industry sector, where the impact of the pandemic were not significant.</li> <li>• Rates affordability has been and will be a priority for the Council, the 10YP planning will focus on this issue.</li> </ul>
<p>Has there been (or will there be) any significant impact on the organisation's size, shape or capacity? If yes:</p> <ul style="list-style-type: none"> <li>• What are these changes, and</li> <li>• How will they impact on the delivery of its services (including levels of service)?</li> </ul>	<p>The impact of Covid-19 is not likely to have an impact on the size and shape of the organisation.</p>
<p>Has the Council identified any significant financial impacts? If yes:</p> <ul style="list-style-type: none"> <li>• What is it doing to address these;</li> <li>• Will this require changes to: <ul style="list-style-type: none"> <li>○ The financial strategy;</li> <li>○ The funding and financial policies; and/or</li> <li>○ The infrastructure strategy;</li> </ul> </li> <li>• How will these impacts be reflected in the consultation document, and</li> <li>• How will they be reflected in the financial forecasts in the 10YPP?</li> </ul>	<p>Additional forecasting assumption added for Global Pandemic. No significant financial impacts of Covid-19 identified. Some high level analysis based on assumptions has been completed around the 3 waters reform. Council is following advice from SOLGM that the 2021/2031 10YP be developed as "business as usual" in relation to the three wates reform.</p>

<b>Sector-wide issues – Impacts the 3 Waters Reform Programme</b>	
<i>To identify how the Council expects to respond to these matters and ensure that appropriate disclosure will be made in the consultation document and 10YP</i>	
<b>Key questions</b>	<b>Response</b>
<p>Has or is the Council likely to sign the MOU?</p>	<p>Council has signed the MOU</p>

<b>Sector-wide issues – Impacts the 3 Waters Reform Programme</b>	
<i>To identify how the Council expects to respond to these matters and ensure that appropriate disclosure will be made in the consultation document and 10YP</i>	
<b>Key questions</b>	<b>Response</b>
<p>What assumptions will the 10YP likely include about the Council's 3 waters services and their impact on the Council's:</p> <ul style="list-style-type: none"> <li>• Organisation size and structure,</li> <li>• 3 Waters assets, and</li> <li>• Financial forecasts?</li> </ul>	<p>Council has identified the three waters reform as an issue of significance. However, the details of any proposal are not available or clear at this stage. It is expected that there will be changes to the organisation and held assets should the proposal to form regional entities proceed, which will have financial implications.</p> <p>However as per advice from LGNZ, a business as usual approach has been adopted and the issue of the impact of three waters will be dealt with as more information becomes available.</p>
<p>What assumptions and disclosures will the 10YP likely include about further government funding?</p>	<p>Assumption has been made that there will be no further funding from the government in the 10YP period i.e. no additional revenue has been budgeted in this 10YP other than the portion of the \$3.5M that will be spent from June 2021 to March 2022.</p>
<p>Does the Council anticipate this being a consultation matter for inclusion in the CD?</p>	<p>No. There is currently insufficient information available to develop a proposal for the 10YP CD. However as per guidance from SOLGM, Council is planning to communicate what is known about the reform to community in the CD.</p>
<p>Is it likely that changes would impact on the Council's other activities in the 10YP (including the overhead costs they carry)?</p>	<p>The current planning assumption is BAU. When more information is available, this will be factored through and reviewed as part of an 10YP amendment (if required) that will be undertaken, or as part of the next 10YP. It is noted that this will depend on the final form of the three waters reform.</p>

### **3.14 INFRASTRUCTURE STRATEGY (IS)**

3.15 Section 101B of the Local Government Act 2002 (LGA) requires a local authority to prepare and adopt an Infrastructure Strategy (IS) as part of the Ten Year Plan (10YP).

3.16 The purpose of an IS is twofold; specifically to identify:

- significant infrastructure issues for the local authority over the period covered by the strategy
- the principal options for managing those issues and the implications of those options.

3.17 The IS is required to provide an outline of the most likely scenario of how WDC intends to manage its infrastructure assets, taking account of the need to:

- renew and replace existing assets
- respond to growth or decline in demand for services reliant on those assets
- allow for planned increases or decreases in levels of service provided through those assets
- maintain or improve public health and environmental outcomes or mitigate adverse effects on them

- provide for resilience of infrastructure assets by identifying and managing risks relating to natural hazards and by making appropriate financial provision for those risks.

### 3.18 Development to Date

3.19 The following questions have been considered to assess the extent to which activity planning is consistent with the purpose of local government and the levels of service goals and provides robust underlying information for the 10YP.

<b>Activity Planning, Asset Management Planning, and Infrastructure Strategy</b>	
<i>How will the Council ensure that the information used in groups of activity and asset management planning is robust and integrated into the 10YP?</i>	
<b>Key questions</b>	<b>Response</b>
How has the Council's infrastructure strategy changed from the previous 10YP? If there are changes, how has the revised strategy been developed? What are the nature of the changes?	<p>Apart from updating the strategic context, the only material change is in respect of resilience planning for the roading network, Te Kuiti Water Treatment Plant and the Piopio WWTP. In all cases, recent modelling of the effects of climate change has identified the need to make provision for additional infrastructure protection for essential assets.</p> <p>In the case of the local roading network, provision has been made for raising the height of sections of identified coastal roads subject to rising sea level. A preliminary budget of \$1 M has been allowed for in Year 15.</p> <p>In addition the proposed Infrastructure Strategy mitigation measures for Te Kuiti Water Treatment Plant are scheduled for Years 12 (investigation of options and design) and Year 13 (construction of bore water treatment plant) at the preliminary cost estimates of \$100k and \$2.5M respectively.</p> <p>There are also mitigation measures for Piopio WWTP being put in place, involving construction of a temporary coffer dam and earthen causeway at a preliminary cost estimate of \$200k, and relocation of the WWTP to higher ground at a preliminary cost estimate of \$2.5M, be included in the draft IS in Years 11 and 60 respectively.</p>
Is the Council including more than the mandatory activities in its strategy? If yes, which activities?	No.
Have changes to the strategy been developed in consultation with elected members?	Yes, and as stated above, very few changes are being proposed.
Does the Council propose enhancing its discussion of resilience matters in the infrastructure strategy? If so, what enhancements are proposed?	Yes. Impacts of flood hazard modelling on waters infrastructure.
<ul style="list-style-type: none"> <li>• Has the Council been successful in completing the forecast work (maintenance and capital) in its activity and asset management plans to date?</li> </ul>	Asset data review is currently in progress.

## Activity Planning, Asset Management Planning, and Infrastructure Strategy

*How will the Council ensure that the information used in groups of activity and asset management planning is robust and integrated into the 10YP?*

Key questions	Response
<ul style="list-style-type: none"> <li>• If not, what was the deviation of planned versus actual work done, what were the causes, and what have been the implications?</li> <li>• If the Council has a history of capital expenditure being under or over budget, what has the Council done to address this issue and to provide comfort that the budget is appropriately set and forecast spending will occur when scheduled to?</li> </ul>	<p>See above.</p> <p>Introduced a more disciplined project management regime, including a resourcing plan for the local roading section, and considering options for extended use of shared services through WLASS.</p>
<p>Is there a gap between depreciation charged and capital expenditure (in total and for renewals) over the past five years? Can the Council explain why that gap exists and whether it is justified?</p>	<p>Total capital expenditure has generally been significantly higher than depreciation due to the upgrade undertaken particularly around water and wastewater projects. The exception to this was for 2020 when, due to the impact of the pandemic, a significant portion of the capital expenditure programme was delayed. Where a gap exists between depreciation and renewals this is part is due to upgrades of water and wastewater systems which have been completed recently. These significant asset replacements have increased the depreciation expense however as these assets are very new, the renewal of these assets will not occur for some time. Other contributing factors include unexpected renewal expenditure where assets may have required replacement earlier than planned (ie, Mokau water renewals), and there are also some assets that do not depreciate (ie, landfill and some road assets).</p>
<p>How confident is the Council that its asset data is reliable? Does the Council have AMP improvement programmes? If so, what progress has the Council made in respect of the improvement programmes? What areas of asset management planning does the Council consider to be weak or limited?</p>	<p>Data confidence for roading assets is high.</p> <p>Data confidence for waters assets is medium/low.</p> <p>Key component of 3 waters AMP improvement plans is data validation and updated condition assessment.</p>
<p>How confident is the Council that its data about critical assets is complete and up to date when the 10YP is being prepared?</p>	<p>Critical assets for roading network as above.</p> <p>Critical assets for 3-waters includes trunk mains, treatment plants, power supply etc. Generally higher confidence in critical asset data with the exception of parts of SW network.</p>
<p>In respect of each asset class covered by the infrastructure strategy what is the Council's assessment of network performance? Are there any network performance issues? How is the Council planning to address network performance/How has it assessed the effects?</p>	<ul style="list-style-type: none"> <li>• Network performance constraints have been identified. Water and WW performance is satisfactory because of recent (past 10 years) capital investment in treatment plant upgrades, and there is no growth. LoS are being met.</li> <li>• Urban SW network is principally confined to Te Kuiti. LoS provides for a 1 in 2 year rain event so is very modest. There is no plan to improve current LoS.</li> </ul>

**Activity Planning, Asset Management Planning, and Infrastructure Strategy**

*How will the Council ensure that the information used in groups of activity and asset management planning is robust and integrated into the 10YP?*

Key questions	Response
	<ul style="list-style-type: none"> <li>LoS of roading network is being met. Increased dimensions and weights of HCVs and changes to land use activities will impact on pavement capacity over time and this has been identified in Infrastructure Strategy. Road geometry is also limiting on some roads and will also be addressed in the long term.</li> </ul>
How is asset condition and performance data used to inform Council's financial forecasts?	Condition and performance impacts on remaining asset useful lives and the renewals programme to address that. Performance related issues are addressed as part of renewals programme prioritisation.
What disclosure is the Council intending to provide in its 10YP and 30-year infrastructure strategy about the reliability of asset condition data and the implications for the accuracy of financial forecasts?	A separate section in the IS will address reliability of and confidence in asset condition data and financial forecasts.
What is the Council planning to do to ensure that any significant movements since the last valuation are reflected in the opening asset values to be included in the 10YP?	Council revalues its infrastructure assets every 3 years. Solid waste and roads assets were revalued at 30 June 2020. The 10YP will be based on 30 June 2020 balance sheet that incorporates these values. It is assumed that any change in the valuation will be in line with assumed rates of inflation.
<ul style="list-style-type: none"> <li>What has the Council done to reconfirm or change the service levels since the prior 10YP?</li> <li>If the Council is planning changes to service levels, what consultation has been completed?</li> <li>What analysis has been completed to consider the effects of current levels of service on future generations?</li> </ul>	<p>Council has undertaken the levels of service review through a number of workshops. Council is not proposing any key changes to its services. The areas where Council is looking to make changes will form part of the Consultation Document.</p>
<ul style="list-style-type: none"> <li>How does the Council plan to provide information to its communities about the effects of proposed/determined levels of service? Will the Council provide information about the cost implications of different levels of service when consulting with the community?</li> <li>Does the Council plan to clearly set out the legislative requirements and environmental standards, to the extent they are relevant in setting minimum service levels?</li> <li>Does the Council plan to set out clearly the availability of resources, including financial constraints for community consideration?</li> </ul>	<p>Changes to any LoS will form part of the consultation document and consultation process.</p> <p>As previously stated, Council is not looking to change the levels of service.</p> <p>This is still a work in progress, more details will be available early next year.</p>

## Activity Planning, Asset Management Planning, and Infrastructure Strategy

*How will the Council ensure that the information used in groups of activity and asset management planning is robust and integrated into the 10YP?*

Key questions	Response
<ul style="list-style-type: none"> <li>• What systems and processes does the Council have to ensure that asset and activity information will flow through into the 10YP?</li> <li>• Specifically, the disclosure requirements outlined in Schedule 10 of the Act are as follows: <i>For each group of activities for each financial year covered by plan the local authority needs to disclose the amount of capital expenditure that the authority has budgeted to—</i> <i>(a) meet additional demand for an activity; and</i> <i>(b) improve the level of service; and</i> <i>(c) replace existing assets.</i></li> </ul>	<p>A comprehensive review of current LoS was carried out in consultation with Council.</p> <p>Any changes to LoS have been documented and costed as part of that review and will be reflected in the corresponding IS and 10YP financial forecasts. There have been very few changes to current LoS.</p> <p>Where there is no change to current LoS, current financial forecasts will be carried through subject to inflation adjustments using BERL indices.</p>

### **3.20 FINANCIAL STRATEGY (FS) AND FINANCIAL POLICIES**

#### **3.21 Financial Strategy: Legislative Requirement**

3.22 The Local Government Act 2002 (LGA) requires every local authority to prepare and adopt a Financial Strategy as part of its 10 Year Plan (10YP) for all of the consecutive financial years covered by the 10YP.

3.23 The purpose of the Financial Strategy as per the LGA section 101A(2) is to:

- a) *facilitate prudent financial management by the local authority by providing a guide for the local authority to consider proposals for funding and expenditure against, and*
- b) *provide a context for consultation on the local authority's proposals for funding and expenditure by making transparent the overall effects of those proposals on the local authority's services, rates, debt, and investments.*

3.24 Section 101A(3) of the LGA contains the details of what is required to be included in the Financial Strategy.

3.25 In summary, the financial strategy for the 10 years of the 10YP must be based on the significant considerations in front of Council over the 10 years of the planning horizon including:

- expected population changes and resultant land use, operating cost and capital cost changes
- expected expenditure required for core infrastructure to maintain current service levels
- other factors affecting service levels and to meet additional demand



- 3.26 The FS should be based on the intended future policy direction of Council and the Waitomo community, which is arrived at through a 'big picture' view as opposed to arriving at the forecast financial consequences by aggregating budgets from each activity. The current financial situation must be taken into account.
- 3.27 The FS should provide the financial underpinning of the proposals that are contained within the 10YP so that informed choices can be made by the community about what is sustainable.
- 3.28 The FS also needs to set out Council's views on:
- the limits on rates
  - limits on rates increases
  - borrowing limits
  - its ability to meet existing service levels and additional demand within these limits
  - objectives on holding financial investments and
  - councils targets for return on its investments

### **3.29 Revenue and Financing Policy: Legislative Requirement**

- 3.30 Section 102 of the Local Government Act 2002 (LGA) requires every local authority to adopt a RFP and incorporate it into its 10YP.
- 3.31 Section 103 of the LGA requires the RFP to include the following:
- a policy in respect of the funding of operating expenses
  - a policy in respect of the funding of capital expenditure
  - identification of the sources of funds that will be used for expenditure.
- 3.32 Section 101(3) of the LGA sets out the consideration points that Council must consider when determining how to fund an activity appropriately.

*“The funding needs of the local authority must be met from those sources that the local authority determines to be appropriate, following consideration of,*

- a) in relation to each activity to be funded,
- (i) the community outcomes to which the activity primarily contributes; and
  - (ii) the distribution of benefits between the community as a whole, any identifiable part of the community, and individuals; and
  - (iii) the period in or over which those benefits are expected to occur; and
  - (iv) the extent to which the actions or inaction of particular individuals or a group contribute to the need to undertake the activity; and
  - (v) the costs and benefits, including consequences for transparency and
- b) accountability, of funding the activity distinctly from other activities; and the overall impact of any allocation of liability for revenue needs on the current and future social, economic, environmental, and cultural well-being of the community.”

**Section: Financial Strategy and Financial Management Systems**

*How does the Council ensure that it gives effect to the requirements for financial management, particularly sections 100, 101 and 101A?*

Key questions	Response
How has the Council changed its financial strategy since the previous 10YP? If there are changes, how has the revised strategy been developed? What are the nature of the changes?	<p>The changes to the Financial Strategy were developed at a Workshop attended by the elected members.</p> <p>The changes are:</p> <p>Funding of Depreciation: A reduction for the Subsidised Roading Activity from fully funding to funding in proportion to the local share for renewals, i.e. FAR rate of 75%, local rate funding of 25% of depreciation.</p> <p>Borrowing limits updated to align to LGFA covenants.</p> <p>Council confirmed its external debt reduction strategy as follows:</p> <ul style="list-style-type: none"> <li>• Any dividend that is received would be applied to debt reduction, however confirmed no dividend revenue would be forecast as revenue over the 10YP.</li> <li>• Remove the accelerated external debt reduction for debt associated with Local roads.</li> <li>• Any other cash surpluses would be applied to debt reduction.</li> </ul> <p>Council also indicated that if the debt profile did not reduce in line with the forecast over the 10YP then it may introduce a dedicated debt repayment rate.</p>
In developing the Council's financial strategy, how has the Council considered issues of prudence? Has the Council specifically addressed the requirements of section 101(3) of the Act? If any specific prudence concerns have been identified, please summarise these issues.	<p>Assessing the funding requirements of the activities now and into the future to ensure that the community that receives the benefits funds those benefits.</p> <p>Yes, Council has assessed the public / private benefit of the activities and assessed the most appropriate funding mechanism.</p>
How has the Council taken future generations into account in developing its financial strategy?	Assessing the funding of activities, the projected population and changes in land use.
Have changes to the strategy been developed in consultation with elected members?	Yes
How does the Council intend to present its financial strategy to its community to ensure that the effects on services, rates, debt, and investments as a result of the Council's proposals for funding and expenditure are clear (section 101A)?	Via the Consultation Document

**Section: Financial Strategy and Financial Management Systems**

*How does the Council ensure that it gives effect to the requirements for financial management, particularly sections 100, 101 and 101A?*

Key questions	Response
<ul style="list-style-type: none"> <li>• Is the Council using the same budgeting and modelling systems or financial management systems as it did for the prior 10YP?</li> <li>• If yes, has the Council made any changes to improve these systems?</li> <li>• If not, please describe the budgeting and modelling systems or financial management systems used.</li> </ul>	<p>Yes.</p> <p>For the 2018-28 10YP, MagiQ Performance was used to capture budget inputs from managers and supporting workings. Indirect costs and some other calculations are prepared within a stand-alone spreadsheet tool and then inputted into the Performance Model. This process will remain the same however the Performance model will be used to apply inflation to the budget information. Report templates are set up within Performance and all reporting will come from Performance.</p>
<p>Does the Council's budgeting and modelling systems or financial management systems have controls in place to ensure that it addresses matters of prudence and the current and future interests of the community? What controls are in place to ensure that limits and criteria set in policies are not breached?</p>	<p>Yes</p> <p>Consistent with previous 10YP the controls including financial limits set within the finance strategy, LGFA covenants and benchmark ratios are included within the calculation spreadsheets. Further to this the review process also incorporates separate calculation and review of these controls, ratios and benchmarks throughout the budget development phase to ensure monitoring and compliance of these limits.</p>
<p>Is the Council taking the same process to develop its key forecasting assumptions? Are there any significant changes to the proposed key forecasting assumptions that the Council has identified?</p>	<p>Yes</p> <p>No significant changes</p>
<p>What quality assurance processes has the Council put in place to ensure that the financial model and the financial strategy and information/summary of the financial strategy are high quality and consistently presented?</p>	<p>The assurance process to ensure that high quality information is produced from the financial model, is through the initial testing and implementation of the Performance module and utilising similar calculation and methodology in spreadsheets used in the previous 10YP. All data output is reviewed at several levels including by the finance team and Finance Manager, Budget Managers, and Senior Management Team and also by Council throughout the 10YP development process. Consistency of the model and information produced is achieved by utilising the Performance model, which is a corporate system that has been utilised in several EAP's with standard reporting templates set up within the system.</p>

### 3.33 Treasury Policy

3.34 Key changes to the policy include:

- Incursion of a section specific to the investment in Inframax Construction Limited.
- Increase in the rate for LGFA Borrower Notes

- Inclusion of a section on the Role of the Audit, Risk and Finance Committee.
- Update of the Fixed Rate Hedging Percentages.
- Update to the external debt monitoring ratios to align with the LGFA calculation methodology and provide headroom.

### **3.35 Rates Remission Policy**

3.36 Key changes to the policy include;

- Extension of duration for remission of unoccupied/undeveloped land from 1 to 3 years.
- Alignment of both payment arrangement section and economic use and development to enable arrears to be remitted if current and future rates are met over a period of 2 years.
- Extension of policy to ensure that land changed to general land under the Māori Affairs Amendment Act 1967 is eligible under the policy.
- Removal of the timeframes outlined in the policy to be eligible for a remission.
- Extension of the duration of the remission for properties unable to be restored or inhabited now or in the future, or where access is prohibited by WDC, for 3 years or when restriction is lifted.
- Guideline amended the definition of a kitchen and include tiny homes, caravans and containers.
- Council properties were removed from the policy.

### **3.37 Appointment of Directors to CCO Policy**

3.38 Legislative changes require Council to assess whether the selection criteria relating to the knowledge of tikanga Maori being relevant to the governance of a CEO. Policy was amended to include this area in line with direction provided in a Council workshop.

### **3.39 Revenue and Financing Policy**

3.40 There were no material or significant changes made to the policy through this Review. Minor changes were made to the funding mix of some activities to better align the policy to current practice.

### **3.41 Significance and Engagement Policy**

3.42 There were no material or significant changes made to the policy through this Review. Minor changes were made to clarify the intent of the policy and introducing headings in Te Reo.

### **3.43 PERFORMANCE MANAGEMENT AND REPORTING**

3.44 The Local Government Act 2002 (the LGA) requires Councils to specify, for each of its Groups of Activities, the intended levels of service, the measures and targets through which performance of the activities can be monitored. The relevant extract from Schedule 10, clause 4 the LGA is as follows:

#### ***4 Statement of service provision***

*A long-term plan must, in relation to each group of activities of the local authority, include a statement of the intended levels of service provision that specifies—*

- a) *any performance measures specified in a rule made under section 261B for a group of activities described in clause 2(2); and*
- b) *the performance measures that the local authority considers will enable the public to assess the level of service for major aspects of groups of activities for which performance measures have not been specified under paragraph (a); and*
- c) *the performance target or targets set by the local authority for each performance measure; and*
- d) *any intended changes to the level of service that was provided in the year before the first year covered by the plan and the reasons for the changes*

<b>Performance management and reporting information</b>	
<i>How does the Council ensure that it is giving effect to the requirements in the Act to identify the community outcomes that it aims to achieve, to assess its performance and be able to provide meaningful information to the community?</i>	
<b>Key questions</b>	<b>Response</b>
<p>Is the Council planning on revising the performance framework it has used in prior plans?</p> <p>If so, please describe the Council's approach to setting community outcomes, levels of service, performance measures, and performance targets, and to monitoring and reporting achievements against these.</p> <p><i>We expect the structure of performance information in the 10YP to clearly show:</i></p> <ul style="list-style-type: none"> <li>• <i>a clear link between community outcomes and the group of activities to which they primarily contribute;</i></li> <li>• <i>any significant negative impact the council's activities may have on the four aspects of well-being;</i></li> <li>• <i>the services that will be carried out and why;</i></li> <li>• <i>the service levels required to meet the needs of its communities or other duties and intentions of the Council; and</i></li> <li>• <i>the planned level of service intended to be achieved.</i></li> </ul>	<p>Yes.</p> <p>Community outcomes have been identified as part of Council's strategic planning and forms part of Council's Strategic Direction.</p> <p>The levels of service statements have been developed as an outcome of Council's discussion of the levels of service review.</p> <p>The performance measures are currently being developed to reflect the LoS and are linked back to the community outcomes.</p> <p>Targets have been developed based on previous year's performance (for existing measures that we are rolling over) and an appropriate level for new measures. In some cases, we will need to set a baseline in the first year of reporting.</p> <p>Performance measures will be reported quarterly.</p> <p>The significant negative impacts, the services required to meet levels of services and planned levels of service is being developed as part of the Asset/Activity management plans and are linked to the process for developing performance measures.</p>
<p>How will the Council ensure that its presentation of the outcomes, levels of service, and performance measures and targets in the 10YP allow the community to readily understand them? Has the Council considered how it will measure progress towards achievement of community outcomes (or well-beings) and how this will be communicated to the community?</p>	<p>The wording will be reviewed and modified to make it more readable and easily understood.</p> <p>Council will be discussing whether they wish to put in a formal process for measuring community outcomes or whether Council will formulate a short report through the annual report to showcase some of the projects and initiatives that Council has delivered that contributes towards achieving council's outcomes.</p>

**Performance management and reporting information**

*How does the Council ensure that it is giving effect to the requirements in the Act to identify the community outcomes that it aims to achieve, to assess its performance and be able to provide meaningful information to the community?*

<p>How does the Council plan to incorporate the reintroduction of the four aspects of well-being into the development of its performance framework.</p>	<p>Council has mapped its activities against the community outcomes and how these outcomes delivered against the wellbeing. The updated performance measures will be mapped against the community outcomes and the wellbeings.</p>
<ul style="list-style-type: none"> <li>• Does the Council have a split in its performance measurement system to ensure that an appropriate level of monitoring occurs for all of the Council's activity but also that an appropriate level of detail is presented in its public reporting – that is, 10YP and annual report?</li> <li>• Has the Council considered the volume of measures to be included in the 10YP and how to ensure that these are reasonable measures to inform the user of the Council's performance?</li> </ul>	<p>Council provides commentary around measures that have been achieved and not achieved. The not achieved measures are explained in more detail through quarterly reporting.</p> <p>The performance measurement framework is currently under review. One of the aspects that have been considered is the number of measures, the quality of measures and the reasonable of the measure in relation to the levels of service.</p>
<p>Is the Council updating or developing new systems to monitor and report (in the annual report) against its performance measures and targets?</p>	<p>Yes, Council is currently moving towards an integrated reporting format for its quarterly reporting to move towards a more holistic transparent way of reporting. We expect this approach to have a positive effect on the annual report.</p>
<p>Has the Council considered whether its framework will enable it to meet the reporting requirements of the Act? Will it be able to report against the requirements of clauses 23 and 25 of Schedule 10 in subsequent annual reports?</p>	<p>Yes.</p>

**Suggested Resolution**

The business paper on Legislative Compliance for the 2021-31 10YP be received.



IHSANA AGEEL  
**MANAGER - STRATEGY AND POLICY**



ALISTER DUNCAN  
**GENERAL MANAGER - BUSINESS SUPPORT**

- Appendix 1      Outstanding 10YP significant forecasting assumptions to be reported to ARFC
- Appendix 2      Draft outline of the 2021-31 10 Year Plan Consultation Document

**DRAFT**

## APPENDIX 1: OUTSTANDING 10YP SIGNIFICANT FORECASTING ASSUMPTIONS TO BE REPORTED TO ARFC

### FUTURE PRICE CHANGES – RATES OF INFLATION

For the first year of the 10YP (2021/22), all financial statements have been prepared using 2021 dollars. Price level adjustments for inflation, as prepared by Business and Economic Research Limited (BERL) in their report dated September 2020, have been included in all financials statements for the following nine years of the 10YP.

The figures in the table below shows the per annum escalation adjustments applied to particular cost groups from year 2-10 of the 10YP and reflect the mid-scenario of the BERL report.

Planning Year	Category adjustor				Price indices		Overall Local Government Cost Index (LGCI)
	Planning and regulation	Roading	Community activities	Water and Environmental	All salary and wage rates - Local Government	Local Government administration	
Group of Activities	Regulation Resource management	Roads	Recreation and Property Community and Partnerships	Water, Wastewater, Stormwater Solid Waste		Leadership	
2022/23	2.5	3.1	2.7	3.5	2.4	2.0	2.9
2023/24	2.3	3.0	2.5	2.6	1.5	2.0	2.5
2024/25	2.2	2.9	2.4	2.7	1.7	1.9	2.5
2025/26	2.2	2.9	2.5	2.9	2.0	1.8	2.6
2026/27	2.2	2.9	2.4	2.8	2.2	1.8	2.5
2027/28	2.2	2.9	2.5	3.2	2.3	1.7	2.6
2028/29	2.2	2.9	2.6	3.3	2.4	1.7	2.7
2029/30	2.2	2.9	2.6	3.4	2.6	1.7	2.7
2030/31	2.2	2.9	2.4	3.1	2.7	1.6	2.6

The inflation assumptions have been applied to capital and operating cost forecasts, as the indices include a combined forecast of operating and capital costs. Because of this combination in the composition of the indices, they may either understate or overstate changes in the prices of operating and capital expenditure.

The above inflation forecasts do not make allowance for spikes in pricing that traditionally occur during re-tendering or renewal processes for medium to long term operating and maintenance contracts. These movements can be as large as 10% in the year immediately following contract re-tendering/renewal, due partly to the inherent increase in levels of service that are introduced to the new contract specifications, either consciously as a change to the scope of works or as a consequence of contract interpretation over previous years.

The risk associated with this assumption is that the rates of inflation may increase at a rate different to that forecast. Rates of inflation greater than those assumed will impact in particular on future cost estimates and the ability of the community to afford the consequential rate increases. This risk may be mitigated by revising budget estimates in conjunction with preparation of each Annual Plan and inflation estimates when the 10YP is reviewed every three years.

Assumption	Level of Uncertainty	Impact on Integrity of 10YP
<b>4. Actual rates of inflation will be consistent with the projected inflation adjustors.</b>	Low	Low

## FORECAST INTEREST RATES ON BORROWING

Interest rates are expected to remain at historic lows for the foreseeable future. This is primarily due to policy settings to keep interest rates low to cushion the economic impact of the COVID-19 pandemic and low economic outlook prevalent prior to the pandemic. The outlook is for a sustained period of low interest rates due to depressed economies across the world.

Interest costs are projected based on the current tranches of debt and any projected movement in external debt. The relevant interest rates are calculated using the BKBM (Bank Bill Benchmark Rate), the applicable borrowing margin forecast by LGFA and a modest margin. The projected interest rate is applied to each tranche for a period applicable to that tranche, from the interest reset date. The relevant interest rate applied to each tranche is then used to calculate the weighted interest rate for each year of the 10YP.

The risk associated with this assumption is that interest rates may be different to those forecast. Any increases in the interest rates above the interest rate forecast may result in increased operational costs and the rates funding requirement in those years or alternatively a delay in the start date of some projects in order to keep overall costs contained within the annual budgets.

Council's Treasury Policy contains the parameters for external borrowings to limit interest rate risk and provides for the use of interest rate risk management instruments such as interest rate swaps to deliver greater certainty over interest costs. To further mitigate the impact, a margin has been included in the forecast interest rate to ensure that there is sufficient capacity to offset any unexpected increases. Council's commitment to debt reduction sees overall forecast debt to decrease significantly over the 10YP.

Assumption	Level of Uncertainty	Impact on Integrity of 10YP
7. The annual interest rate on borrowings will be 2.75% for years 2021/2022 to 2023/2024 and 2.26% for years 2024 to 2031.	Medium	Low

## FORECAST RETURN ON INVESTMENTS

The financial annual return on Council's investment in ICL is assessed at zero for the term of the plan. Any investment income will be utilised prudently to accelerate retirement of term debt.

Due to the uncertainty in determining the future value of the investment, no increase or decrease in the value of the investment has been recognised over the life of the plan.

Assumption	Level of Uncertainty	Impact on Integrity of 10YP
10. The annual financial return on investments is assessed at zero.	Medium	Low

## TRANSFER OF OWNERSHIP OF STRATEGIC ASSETS

For the purpose of the 2021-31 10YP period Council has assumed that there will be no transfer of ownership of significant assets. However, Central Government's Three Waters Reform Programme and Council's commitment to Tranche 1 of that programme, has increase the uncertainty in the later years of the 10YP. Council also intends to assess its investment portfolio for optimal use as part of its regular management practice.

Assumption	Level of Uncertainty	Impact on Integrity of 10YP
14. There is no transfer of ownership of significant assets	High	High



**DRAFT**

## **APPENDIX 2: DRAFT OUTLINE OF THE 2021-31 10 YEAR PLAN CONSULTATION DOCUMENT**

### **LET'S TALK**

#### **THE PAST TO PRESENT**

- This is a short description of our success from the 2018 10YP [graphic and text]

#### **OUR FUTURE BEGINS WITH YOU**

- Introduction of the new 10YP from the Mayor which outlines key issue and challenges and aspiration going forward [text]

#### **OUR PLAN TO BE A DISTRICT THAT IS VIBRANT**

- Outlines Council's strategic direction -vision, community outcomes, priorities. [graphic and text]
- Address the issue of Covid-19?

#### **ON THE HORIZON**

Three Waters Reform [for information only] – outlining what the government's proposal is, where we are at and what is potentially coming up?

#### **LET'S TALK ABOUT THE KEY ISSUE**

##### **Issue 1:**

###### **Option 1:**

###### **Option 2:**

[District benefit and rate impact for both options will be provided in the proposals that will be developed]

##### **Big Issue 2:**

###### **Option 1:**

###### **Option 2:**

[District benefit and rate impact for both options will be provided in the proposals that will be developed]

#### **WHAT ELSE ARE WE PLANNING TO DO?**

Outlined in this section are topics just for information – not consulting

- What we are doing in relation to Climate Change
- District Plan Review
- Alternative Source of Water
- Three Waters Reform
- Other projects of interest with timelines (non-infrastructure related)

#### **SIGNIFICANT INFRASTRUCTURE PROJECTS COMING UP**

Summary of our Infrastructure Strategy [text plus graphic]

Include graphics (timeline and cost) of projects that are planned over the next 10 years, and beyond.

#### **WHAT'S OUR PLAN FOR INCOME?**


#### **WHAT'S OUR PLAN FOR BORROWING?**

- the above two headings to provide a summary of our financial strategy [graphic and text]
- Also included are the proposed rates change etc

#### **AUDIT OPINION**

#### **TELL US**

- Details of community meetings (should council decide to do so)
- Where more information can be found
- Consultation period and other related information
- Timeframes and process for adoption
- How, where to have their say
- Copy of the submission form

<b>Document No:</b> A505544	
<b>Report To:</b> <b>Audit and Risk Committee</b>	
 <b>Waitomo</b> District Council	<b>Meeting Date:</b> 16 <sup>th</sup> February 2021
	<b>Subject:</b> <b>Progress Report: WDC Resource Consents – Compliance Monitoring</b>
	<b>Type:</b> Information Only

## 1.0 Purpose of Report

- 1.1 The purpose of this business paper is to brief Council on compliance reporting against Resource Consent conditions.

## 2.0 Local Government Act S.11A Considerations

- 2.1 Section 11A of the LGA reads as follows:

### **11A Core services to be considered in performing role**

*In performing its role, a local authority must have particular regard to the contribution that the following core services make to its communities:*

- (a) *network infrastructure;*
- (b) *public transport services;*
- (c) *solid waste collection and disposal;*
- (d) *the avoidance or mitigation of natural hazards;*
- (e) *libraries, museums, reserves, and other recreational facilities and community amenities.*

- 2.2 Compliance and monitoring against Resource Consent conditions is consistent with Section 11A of the Local Government Act 2002.

## 3.0 Risk Considerations

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

## 4.0 Commentary

- 4.1 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.
- 4.2 The following tables set out details of the compliance reporting requirements for WDC's resource consents.

RESOURCE CONSENT	REPORT DUE
<b>Monthly</b>	
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 Condition 65 - Ring Drain	Monthly
No. 140685 - Rangitoto Quarry Landfill, William Street, Te Kuiti Condition 66 – SW2	Monthly
<b>Quarterly</b>	
No. 112639 - Te Kuiti Wastewater Treatment Plant Conditions 7 to 19 (Discharge) Condition 30 (Reasonable Mixing)	December, March, June, September
No. 140685 - Rangitoto Quarry Landfill, William Street, Te Kuiti Condition 66 – SW1, SW2, SW3	February, May, August, November
No. 140685 - Rangitoto Quarry Landfill, William Street, Te Kuiti Condition 72 – SW – Ring Drain & Groundwater	February, May, August, November
<b>Six Monthly</b>	
No. 133317 - Te Kuiti Water Treatment Plant Condition 11 (Water Take)	January/July
No. 118813 - Benneydale Wastewater Treatment Plant Condition 16 to 23	January/July
No. 117945 - Benneydale Water Treatment Plant (Backwash)	April/October
No. 140685 - Te Kuiti Landfill (William Street) Condition 63 and 14 DH2/3/4/7 (Oct to March, April to Nov)	May/November
No. 107477 - Piopio Water Treatment Plant Conditions 6 and 9 (Water Take) (Nov-April, May-Oct)	May/November

RESOURCE CONSENT	REPORT DUE
No. 107478 - Piopio Water Treatment Plant (Backwash) (Nov-April, May-Oct)	May/November
No. 140685 - Rangitoto Quarry Landfill, William Street, Te Kuiti Condition 62 - LEACHATE	June/November
<b>Annually</b>	
No. 118813 - Benneydale Wastewater Treatment Plant Condition 26 (Discharge to Land and Water)	31st March
No. 120340 - Mokau Closed Landfill Condition 3, 6 & 10	Monitoring Ceased by mutual agreement with WRC (11/2017)
No. 113038 - Te Kuiti Water Treatment Plant Conditions 1 & 2 (Ground Water Take)	1st of May
No. 105054/55/56/57/58/59/60 - Waitomo Stormwater Schedule A (22) Conditions 4,5 & 6	31st May
No. 105054 - Te Kuiti Stormwater Condition 6	31st May
No. 116274 - Benneydale Water Treatment Plant Conditions 2, 3, 4 & 7 (Groundwater Take)	1st of June
No. 113544 - Mokau Water Treatment Plant (Water Take)	July
No. 113545 - Mokau Water Treatment Plant (Backwash)	July
No. 140685 - Rangitoto Quarry Landfill, William Street, Te Kuiti Annual Report Condition 71.	1st September
No. 140685 - Rangitoto Quarry Landfill, William Street, Te Kuiti Annual Report Consents 78 <b>Independent Peer Reviewer</b>	1st October
No. 120048 - Te Kuiti Wastewater Treatment Plant Condition 6 (Groundwater b1 to b7)	September 30 <sup>th</sup>
No. 112639 - Te Kuiti Wastewater Treatment Plant Condition 20 (Discharge)	September 30 <sup>th</sup>
No. 103287, 103288 and 103289 - Te Kuiti Walker Road - Closed Landfill Discharge to Land, Air and Divert (Nov, Jun)	November (within two months of sampling)

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

## 4.3 The following Resource Consent Compliance Reports have been made:

1. RC 112639 – Te Kuiti Wastewater Treatment Plant Discharge, Annual Report 2019/2020 (Doc A492973).
  - Full compliance achieved.
2. RC 117290 – Piopio wastewater Treatment Plant Effluent Discharge, September and October 2020 (Doc A497587).
  - Partial compliance achieved.
  - The Piopio WWTP is reliant on regular maintenance of the treatment pods to ensure the effective operation of the plant, particularly during seasons of low temperatures.
  - Staff and contractor availability to carry out the proactive maintenance programme has been impacted by COVID-19 and the 3 Waters Reform Programme; this has resulted in reduced treatment efficiency.
  - That maintenance programme is back on track and the discharge conformance has improved along with the seasonal increase in ambient temperature, decreasing the total ammoniacal nitrogen to 11 mg/l during September and returning to below trigger levels during October 2020 at 8.4 mg/l.
3. RC 116844 - Benneydale water supply- Surface water take, October 2020 (Doc A497592).
  - Full compliance achieved.
4. RC 107478 - Piopio Water Treatment Plant – Backwash Discharge to water (Doc A497865).
  - Partial compliance achieved.
  - There was one instance of exceedance to one of the measures, namely the dissolved aluminium thresholds of 0.08 mg/l, at 0.099 mg/l on the 30<sup>th</sup> October 2020. The sample was taken just after the pond had been emptied and cleaned out with a Digger, suggesting that the pond contents had not properly settled at the time of sampling.
  - The retest value was below trigger limits at 0.069 mg/l which confirmed the cause assessment for the sample taken on the 30<sup>th</sup> October
  - As part of the remedial actions, internal communication will be used to better inform of the pond cleaning schedule to allow enough time for settling before any samples are taken.
5. RC 107477 - Piopio Water Treatment Plant – Surface Water take (Doc A497841).
  - Full compliance achieved.
6. RC 103287/103288/103289 Te Kuiti Closed Landfill – Discharge to land and air (Doc A497612).
  - Full compliance achieved.

7. RC 101753 – Te Kuiti Landfill Leachate monitoring (Doc A497701).
  - Leachate characterisation only, no thresholds.
8. RC 124718 - Te Kuiti Landfill: Leachate Monitoring in Groundwater, May to October 2020 (Doc A497804).
  - Partial compliance achieved.
  - Sampling site DH2 presented did not conform to the total ammoniacal nitrogen measure. Fortnightly samples were taken until two consecutive rounds returned below trigger levels on the 16th June 2020, and it has remained below trigger limits since then, at 0.029 mg/l during the last sampling period in September 2020, well below trigger limits of 0.11 mg/l.
9. RC 112639 - TKWWTP Discharge September to November 2020 (Doc A500161).
  - Full compliance achieved.
10. RC 116844 - Benneydale water supply- Surface water take, November 2020 (Doc A500164).
  - Full compliance achieved.
11. RC 118813 – Benneydale Wastewater Treatment Discharge - Suspended solids exceedance report, November 2020 (Doc A500634 & A501993).
  - Exceedance report: Suspended solids. Temporary disturbance on rock filter resulted in high suspended solids.
  - The sample was taken almost simultaneously as the Contractor was finishing reinstating the rock filter, therefore the suspended solids result obtained on the 27<sup>th</sup> November 2020 was temporary in nature and a reflection of the work done on the filter during that day at that specific time, and does not represent the final treatment discharge quality under normal operational conditions.
  - Another sample was taken on the 8<sup>th</sup> December 2020 and all parameters were below trigger limits, and Suspended solids were 12.6 mg/l, well below thresholds of 42 mg/l.
12. RC 117945 – Benneydale WTP, backwash discharge – December 2020 (Doc A501659).
  - Full compliance achieved.
13. RC 117290 - Piopio Wastewater Treatment Plant Discharge, November 2020 (Doc A502007).
  - Partial compliance achieved.
  - Total ammoniacal nitrogen values were above trigger limits during November at 12.9 mg/l. This was due to low level within the caustic soda dosing tank, which maintains the alkalinity levels high enough to

increase/maintain the nitrification process efficient enough to reduce ammonia levels within the discharge.

- The chemical supply was replenished, and another sample was taken on the 8th December 2020, which returned below trigger limits at 8.36 mg/l.
  - Regular checks on remaining chemical storage have been incorporated into any site visits by staff.
14. RC 116844 - Benneydale water supply- Surface water take, December 2020 (Doc A505342).
- Full compliance achieved.
15. RC 133317 – Te Kuiti water supply- Surface water take, January to December 2020 (Doc A505345).
- Full compliance achieved.

## Suggested Resolution

The Progress Report: Resource Consent – Compliance Monitoring, 11 February 2020, be received.



TONY HALE  
**GENERAL MANAGER – INFRASTRUCTURE SERVICES**



Document No: A506619

**Report To: Audit, Risk and Finance Committee**



**Meeting Date:** 16 February 2021

**Subject:** **Progress Report: 3 Waters Reform Project Delivery 31 December 2020**

**Type:** Information Only

## Purpose of Report

- 1.1 The purpose of this business paper is to provide an updated progress report on 3 Waters Project Delivery for the period ended 31 December 2020.

## Background

- 2.1 WDC has received \$3.5M of Central Government funding for Water and Wastewater projects, to be expended by 31 March 2022. The Funding Agreement attaching to that requires, inter alia, a rigorous reporting regime, with the first quarterly report due by 12 February 2021.
- 2.2 The period covered by this first quarterly report is 1 November 2020 to 31 December 2020 for actuals on approved 3-WRP projects, 1 July 2020 to 31 December 2020 for LTP spend (2020/21 Annual Plan). The report also covers forecasts out to 31 March 2022.

## Commentary – Report Format

- 2.3 A copy of the detailed progress report, in the format required by DIA, is attached to and forms part of this business paper.
- 2.4 Projects are reported separately for Water and Wastewater (required by DIA) even though they may be run as one project in practice e.g. P2020-13 and P2020-019 - Back-up Generators.
- 2.5 The report template comprises three sections – Inputs, Commentary and LTP Information.

### 2.6 Inputs

- 2.7 The Inputs Section for each project covers:

- Project Funding – crown funding and payment portions
- Cash Position – actuals and forecasts
- Worker Hours – actuals and forecasts
- Project Output - actuals and forecasts

Note: Territorial Summary/Inputs shows overall funding and master checks – rounding errors to be resolved due to amounts under \$10,000 rounding incorrectly - DIA is addressing this issue.

- 2.8 Forecasts are inputted by month, based on best estimate of project costs and outputs. WDC will need to deliver against these and provide commentary on any variation to actuals.

2.9 Funding requests are allocated quarterly based on expenditure milestones being met.

## 2.10 Commentary

2.11 The Commentary Section covers:

- Risks – Top 5 and 1 Mandatory
- Conditions
- Commencement status
- Programme costs
- Reform funding
- Scope and Progress

2.12 The following risks have been identified (in order of priority):

- Completion of programme by 31 March 2022 (mandatory date set by DIA)
- Internal staff capacity
- Contractor availability
- Unforeseen expenditure
- Poor contractor performance
- Health and Safety procedures not followed

2.13 Conditions specific to individual project funding:

- A requirement to consult with other Councils on procurement of SCADA.

## 2.14 LTP Information

2.15 The LTP Information Section covers:

- FY19/20 Actuals
- FY20/21 Annual Plan
- FY21/22 LTP
- Monthly LTP spend of related projects

2.16 The information provided will allow DIA to track expenditure against WDC's Annual Plan budget and 3-Waters Reform funding to ensure both are spent to create a net stimulus for the community.

2.17 Therefore, all the figures are calculated only from relevant actuals or budgets e.g. unplanned renewals are not considered relevant (confirmed by DIA) so are not included.

2.18 The amounts shown in the Nov-20 Column as YTD are actual expenditure.

## Suggested Resolution

The business paper on Progress Report for the period ended 31 December 2020 be received.



GREG BOYLE

**SPECIAL PROJECTS COORDINATOR**

10 February 2021

Attachment: TA Reporting template v2 Quarter 1 - 2021 02 01 (A504386)

Three Waters Stimulus Funding - Cash Flow Profile

Territorial Summary/Inputs		KEY	Master checks	Territorial contact	
Territorial Authority	Waitomo District Council	Primary/forecast inputs	Master check	Warning	Project Manager
Territorial Code	WKT-09	Actuals inputs	Spend = Cost	(0.03) Spend exceeds funding	Email
Reporting date	Jan-21		Cofunding check	- Ok	Phone
Reporting period	Quarter 1		Upfront funding	- Ok	
Total funding allocated	3.50		Final payments	0.01 Not all final allocated	Lead Engineer
Total cofunding	-		Total Crown funding	- Ok	Email
Total estimated programme costs	3.50		Capex/Opex	0.02 Too much capex/opex/other allocated	Phone
Upfront payment	1.75		Cash position	- Ok	
Total final payments	0.04				
Milestone payment total	1.71				

Project Name	Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
	Actual	Actual	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	

<b>1</b>	Project Name	TWR Security of supply P2020-001
	Project Type	WATER - Water security / fencing

Start date	Dec-20	Capex	0.08
End date	Apr-21	Opex	-
Total upfront payment	0.04	N/A	-
Total final payment	0.00	Check	Ok
Total project spend	0.08		
Total project funding	0.08		
Check	-		

<b>Project Spend</b>																			
Spend from Crown funding	\$NZ'm																		
Spend from cofunding	\$NZ'm																		
<b>Total project spend</b>	\$NZ'm	-	0.01	-	0.01	0.03	0.03	-	-	-	-	-	-	-	-	-	-	-	0.08

<b>Project Funding</b>	\$NZ'm																		
Upfront payment portion	\$NZ'm	0.04																	
Crown funding required	\$NZ'm			0.02			0.02												
Cofunding required	\$NZ'm																		
Final payment portion	\$NZ'm						0.00												
<b>Total project funding</b>	\$NZ'm	0.04	-	0.02	-	-	0.02	-	-	-	-	-	-	-	-	-	-	-	0.08

<b>Cash position</b>																			
Opening cash position	\$NZ'm	-	0.04	0.03	0.05	0.04	0.01	-	-	-	-	-	-	-	-	-	-	-	-
Project spend	\$NZ'm		(0.01)	(0.01)	(0.03)	(0.03)	-	-	-	-	-	-	-	-	-	-	-	-	-
Project funding	\$NZ'm	0.04	-	0.02	-	-	0.02	-	-	-	-	-	-	-	-	-	-	-	-
<b>Closing cash position</b>	\$NZ'm	0.04	0.03	0.05	0.04	0.01	-	-	-	-	-	-	-	-	-	-	-	-	Ok

<b>Worker hours</b>	Hours		40.00		63.00	80.00	40.00												
<b>Length (metres)</b>	# or %		250.00		600.00	250.00	80.00												
<b>N/A</b>	# or %																		
<b>N/A</b>	# or %																		

<b>2</b>	Project Name	TWR Critical spares WTP P2020-002
	Project Type	WATER - Water Treatment Plant upgrades

Start date	Mar-21	Capex	0.15
End date	Oct-21	Opex	-
Total upfront payment	0.08	N/A	-
Total final payment	0.00	Check	Ok
Total project spend	0.15		
Total project funding	0.15		
Check	-		

<b>Project Spend</b>																			
Spend from Crown funding	\$NZ'm							0.05	0.03		0.05		0.03						
Spend from cofunding	\$NZ'm																		
<b>Total project spend</b>	\$NZ'm	-	-	-	-	-	-	0.05	0.03	-	0.05	-	0.03	-	-	-	-	-	0.15

<b>Project Funding</b>	\$NZ'm																		
Upfront payment portion	\$NZ'm	0.08																	
Crown funding required	\$NZ'm								0.04			0.04							
Cofunding required	\$NZ'm																		
Final payment portion	\$NZ'm											0.00							
<b>Total project funding</b>	\$NZ'm	0.08	-	-	-	-	-	-	0.04	-	-	0.04	-	-	-	-	-	-	0.15

<b>Cash position</b>																			
Opening cash position	\$NZ'm	-	0.08	0.08	0.08	0.08	0.08	0.08	0.03	0.01	0.05	-	-	0.01	0.01	0.01	0.01	0.01	0.01
Project spend	\$NZ'm							(0.05)	(0.03)	-	(0.05)	-	(0.03)	-	-	-	-	-	-
Project funding	\$NZ'm	0.08	-	-	-	-	-	-	-	0.04	-	-	0.04	-	-	-	-	-	-
<b>Closing cash position</b>	\$NZ'm	0.08	0.08	0.08	0.08	0.08	0.08	0.03	0.01	0.05	-	-	0.01	0.01	0.01	0.01	0.01	0.01	0.01

<b>Worker hours</b>	Hours																		
<b>Number of WTP upgrades #</b>	# or %							0.30	0.10		0.30		0.30						
<b>Physical works % complete</b>	# or %																		1.00









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**Territorial Summary/Inputs**

Territorial Authority	Waitomo District Council
Territorial Code	WKT-09
Reporting date	Jan-21
Reporting period	Quarter 1
Total funding allocated	3.50
Total cofunding	-
Total estimated programme costs	3.50
Upfront payment	1.75
Total final payments	0.04
Milestone payment total	1.71

**KEY**  
    Primary/forecast inputs  
    Actuals inputs

**Master checks**

Master check	<b>Warning</b>	
Spend = Cost	(0.03)	Spend exceeds funding
Cofunding check	-	Ok
Upfront funding	-	Ok
Final payments	0.01	Not all final allocated
Total Crown funding	-	Ok
Capex/Opex	0.02	Too much capex/opex/other allocated
Cash position	-	Ok

**Territorial contact**

<b>Project Manager</b>	Charmaine Ellery
Email	<a href="mailto:Charmaine.Ellery@waitomo.govt.nz">Charmaine.Ellery@waitomo.govt.nz</a>
Phone	07 878 0849
<b>Lead Engineer</b>	David Locke
Email	<a href="mailto:David.Locke@waitomo.govt.nz">David.Locke@waitomo.govt.nz</a>
Phone	07 878 0831

**Project Inputs**

	Nov-20 Actual	Dec-20 Actual	Jan-21 Forecast	Feb-21 Forecast	Mar-21 Forecast	Apr-21 Forecast	May-21 Forecast	Jun-21 Forecast	Jul-21 Forecast	Aug-21 Forecast	Sep-21 Forecast	Oct-21 Forecast	Nov-21 Forecast	Dec-21 Forecast	Jan-22 Forecast	Feb-22 Forecast	Mar-22 Forecast	Total	
Total final payment	0.00																		
Total project spend	0.15																		
Total project funding	0.15																		
Check	-																		
<b>Project Spend</b>																			
Spend from Crown funding \$NZ'm					0.01		0.05	0.05	0.05										0.15
Spend from cofunding \$NZ'm																			-
<b>Total project spend</b> \$NZ'm					0.01		0.05	0.05	0.05										0.15
<b>Project Funding</b>																			
Upfront payment portion \$NZ'm		0.08					0.04		0.04										0.08
Crown funding required \$NZ'm																			0.07
Cofunding required \$NZ'm																			-
Final payment portion \$NZ'm									0.00										0.00
<b>Total project funding</b> \$NZ'm		0.08					0.04		0.04										0.15
<b>Cash position</b>																			
Opening cash position \$NZ'm		-	0.08	0.08	0.08	0.08	0.07	0.11	0.07	0.03	0.02	0.02	0.02	0.02	0.02	0.02	0.02	0.02	
Project spend \$NZ'm					(0.01)		(0.05)	(0.05)	(0.05)										
Project funding \$NZ'm		0.08				0.04			0.04										
<b>Closing cash position</b> \$NZ'm		0.08	0.08	0.08	0.08	0.07	0.11	0.07	0.03	0.02	0.02	0.02	0.02	0.02	0.02	0.02	0.02	0.02	Ok
<b>Worker hours</b>																			
Number of WTP upgrades #					40.00		160.00	160.00	160.00										520.00
Physical works % complete							0.33	0.33	0.33										0.99
m3/day processing capacity																			-

**12 Project Name: TWR Water and wastewater planning and design P2020-012**  
**Project Type: PRGRM - Programme management**

Start date	Mar-21	N/A	0.10
End date	Jun-21	N/A	
Total upfront payment	0.05	Other/Reform	
Total final payment	0.00	Check	Ok
Total project spend	0.10		
Total project funding	0.10		
Check	-		
<b>Project Spend</b>			
Spend from Crown funding \$NZ'm			0.10
Spend from cofunding \$NZ'm			-
<b>Total project spend</b> \$NZ'm			0.10
<b>Project Funding</b>			
Upfront payment portion \$NZ'm	0.05		0.05
Crown funding required \$NZ'm			0.05
Cofunding required \$NZ'm			-
Final payment portion \$NZ'm			0.00
<b>Total project funding</b> \$NZ'm	0.05		0.10
<b>Cash position</b>			
Opening cash position \$NZ'm	-	0.05	0.05
Project spend \$NZ'm			(0.03)
Project funding \$NZ'm	0.05		0.02
<b>Closing cash position</b> \$NZ'm	0.05	0.05	0.04
<b>Worker hours</b>			
% complete			1.00
N/A			-
N/A			-

**13 Project Name: TWR Back-up Power supplies WTPs P2020-013**  
**Project Type: WATER - Water Treatment Plant upgrades**

Start date	Feb-21	Capex	0.15
End date	Sep-21	Opex	
Total upfront payment	0.08	N/A	
Total final payment	0.00	Check	Ok
Total project spend	0.15		



Territorial Summary/Inputs	
Territorial Authority	Waitomo District Council
Territorial Code	WKT-09
Reporting date	Jan-21
Reporting period	Quarter 1
Total funding allocated	3.50
Total cofunding	-
Total estimated programme costs	3.50
Upfront payment	1.75
Total final payments	0.04
Milestone payment total	1.71

**KEY**  
 Primary/forecast inputs  
 Actuals inputs

Master checks	
Master check	<b>Warning</b>
Spend = Cost	(0.03) Spend exceeds funding
Cofunding check	- Ok
Upfront funding	- Ok
Final payments	0.01 Not all final allocated
Total Crown funding	- Ok
Capex/Opex	0.02 Too much capex/opex/other allocated
Cash position	- Ok

Territorial contact	
<b>Project Manager</b>	Charmaine Ellery
Email	<a href="mailto:Charmaine.Ellery@waitomo.govt.nz">Charmaine.Ellery@waitomo.govt.nz</a>
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<b>Lead Engineer</b>	David Locke
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Phone	07 878 0831

Project Inputs		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
		Actual	Actual	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	
Total project funding	0.15																		
Check	-																		
<b>Project Spend</b>																			
Spend from Crown funding	\$NZ'm				0.01					0.05	0.05	0.05							0.15
Spend from cofunding	\$NZ'm																		-
<b>Total project spend</b>	\$NZ'm				<b>0.01</b>					<b>0.05</b>	<b>0.05</b>	<b>0.05</b>							<b>0.15</b>
<b>Project Funding</b>																			
Upfront payment portion	\$NZ'm	0.08																	0.08
Crown funding required	\$NZ'm									0.07									0.07
Cofunding required	\$NZ'm																		-
Final payment portion	\$NZ'm											0.00							0.00
<b>Total project funding</b>	\$NZ'm	<b>0.08</b>								<b>0.07</b>		<b>0.00</b>							<b>0.15</b>
<b>Cash position</b>																			
Opening cash position	\$NZ'm		0.08	0.08	0.08	0.08	0.08	0.08	0.08	0.10	0.05	0.01	0.01	0.01	0.01	0.01	0.01	0.01	0.01
Project spend	\$NZ'm				(0.01)					(0.05)	(0.05)	(0.05)							
Project funding	\$NZ'm	0.08								0.07		0.00							
<b>Closing cash position</b>	\$NZ'm	<b>0.08</b>	<b>0.08</b>	<b>0.08</b>	<b>0.08</b>	<b>0.08</b>	<b>0.08</b>	<b>0.08</b>	<b>0.08</b>	<b>0.10</b>	<b>0.05</b>	<b>0.01</b>	<b>0.01</b>	<b>0.01</b>	<b>0.01</b>	<b>0.01</b>	<b>0.01</b>	<b>0.01</b>	<b>0.01</b>
<b>Worker hours</b>																			
Number of WTP upgrades #	Hours				20.00					160.00	160.00	160.00							500.00
Physical works % complete	# or %									0.33	0.33	0.33							0.99
m3/day processing capacity	# or %																		-

14 Project Name		TWR Te Kuiti WWTP Sludge press lifting equipment P2020-014																		
Project Type		WASTE - Wastewater Treatment Plant upgrades																		
Start date	Mar-21	Capex	0.05																	
End date	May-21	Opex																		
Total upfront payment	0.03	N/A																		
Total final payment	0.00	Check	Ok																	
Total project spend	0.05																			
Total project funding	0.05																			
Check	-																			
<b>Project Spend</b>																				
Spend from Crown funding	\$NZ'm					0.02	0.02	0.02												0.05
Spend from cofunding	\$NZ'm																			-
<b>Total project spend</b>	\$NZ'm					<b>0.02</b>	<b>0.02</b>	<b>0.02</b>												<b>0.05</b>
<b>Project Funding</b>																				
Upfront payment portion	\$NZ'm	0.03																		0.03
Crown funding required	\$NZ'm							0.02												0.02
Cofunding required	\$NZ'm																			-
Final payment portion	\$NZ'm																			0.00
<b>Total project funding</b>	\$NZ'm	<b>0.03</b>						<b>0.02</b>	<b>0.00</b>											<b>0.05</b>
<b>Cash position</b>																				
Opening cash position	\$NZ'm		0.03	0.03	0.03	0.03	0.02	0.03	0.01	0.01	0.01	0.01	0.01	0.01	0.01	0.01	0.01	0.01	0.01	0.01
Project spend	\$NZ'm					(0.02)	(0.02)	(0.02)												
Project funding	\$NZ'm	0.03					0.02	0.00												
<b>Closing cash position</b>	\$NZ'm	<b>0.03</b>	<b>0.03</b>	<b>0.03</b>	<b>0.03</b>	<b>0.02</b>	<b>0.03</b>	<b>0.01</b>	<b>0.01</b>	<b>0.01</b>	<b>0.01</b>	<b>0.01</b>	<b>0.01</b>	<b>0.01</b>	<b>0.01</b>	<b>0.01</b>	<b>0.01</b>	<b>0.01</b>	<b>0.01</b>	<b>0.01</b>
<b>Worker hours</b>																				
Number WWTP upgrades #	Hours					80.00	80.00	80.00												240.00
Physical works % complete	# or %					0.33	0.33	0.33												0.99
m3/day processing capacity	# or %																			-

15 Project Name		TWR Te Kuiti WWTP Sludge pond P2020-015																	
Project Type		WASTE - Sludge removal from ponds #																	
Start date	Mar-21	Capex																	
End date	Mar-22	Opex	0.15																
Total upfront payment	0.08	N/A																	
Total final payment	0.00	Check	Ok																
Total project spend	0.15																		
Total project funding	0.15																		
Check	-																		

Territorial Summary/Inputs	
Territorial Authority	Waitomo District Council
Territorial Code	WKT-09
Reporting date	Jan-21
Reporting period	Quarter 1
Total funding allocated	3.50
Total cofunding	-
Total estimated programme costs	3.50
Upfront payment	1.75
Total final payments	0.04
Milestone payment total	1.71

**KEY**  
  Primary/forecast inputs  
  Actuals inputs

Master checks	
Master check	<b>Warning</b>
Spend = Cost	(0.03) Spend exceeds funding
Cofunding check	- Ok
Upfront funding	- Ok
Final payments	0.01 Not all final allocated
Total Crown funding	- Ok
Capex/Opex	0.02 Too much capex/opex/other allocated
Cash position	- Ok

Territorial contact	
<b>Project Manager</b>	Charmaine Ellery
Email	<a href="mailto:Charmaine.Ellery@waitomo.govt.nz">Charmaine.Ellery@waitomo.govt.nz</a>
Phone	07 878 0849
<b>Lead Engineer</b>	David Locke
Email	<a href="mailto:David.Locke@waitomo.govt.nz">David.Locke@waitomo.govt.nz</a>
Phone	07 878 0831

		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
		Actual	Actual	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	
<b>Project Spend</b>																			
Spend from Crown funding	\$NZ'm					0.01	0.01	0.01	0.01	0.01	0.01	0.01	0.01	0.01	0.01	0.01	0.01	0.01	0.15
Spend from cofunding	\$NZ'm																		-
<b>Total project spend</b>	\$NZ'm	-	-	-	-	0.01	0.01	0.01	0.01	0.01	0.01	0.01	0.01	0.01	0.01	0.01	0.01	0.01	0.15
<b>Project Funding</b>																			
Upfront payment portion	\$NZ'm	0.08																	0.08
Crown funding required	\$NZ'm												0.04					0.04	0.07
Cofunding required	\$NZ'm																		-
Final payment portion	\$NZ'm																		0.00
<b>Total project funding</b>	\$NZ'm	0.08	-	-	-	-	-	-	-	-	-	-	0.04	-	-	0.04	-	0.00	0.15
<b>Cash position</b>																			
Opening cash position	\$NZ'm	-	0.08	0.08	0.08	0.08	0.07	0.06	0.05	0.04	0.03	0.02	0.01	0.04	0.03	0.02	0.04	0.03	
Project spend	\$NZ'm					(0.01)	(0.01)	(0.01)	(0.01)	(0.01)	(0.01)	(0.01)	(0.01)	(0.01)	(0.01)	(0.01)	(0.01)	(0.01)	
Project funding	\$NZ'm	0.08											0.04			0.04		0.00	
<b>Closing cash position</b>	\$NZ'm	0.08	0.08	0.08	0.08	0.07	0.06	0.05	0.04	0.03	0.02	0.01	0.04	0.03	0.02	0.04	0.03	0.02	Ok
<b>Worker hours</b>																			
Number of ponds desludged #	# or %					80.00	160.00	160.00	160.00	160.00	160.00	160.00	160.00	160.00	160.00	160.00	160.00	160.00	2,000.00
Volume of sludge removed (m3)	# or %					500.00	1,000.00	3,000.00	6,000.00	6,000.00	6,000.00	6,000.00	6,000.00	6,000.00	5,000.00	5,000.00	6,000.00	6,000.00	62,500.00
N/A	# or %																		-

16 Project Name		TWR Additional monitoring capacity P2020-16																	
Project Type		WASTE - Wastewater Treatment Plant upgrades																	
Start date	Apr-21	Capex	0.15																
End date	Jul-21	Opex																	
Total upfront payment	0.08	N/A																	
Total final payment	0.00	Check	Ok																
Total project spend	0.15																		
Total project funding	0.15																		
Check	-																		
<b>Project Spend</b>																			
Spend from Crown funding	\$NZ'm						0.06	0.03	0.03	0.03									0.15
Spend from cofunding	\$NZ'm																		-
<b>Total project spend</b>	\$NZ'm	-	-	-	-	-	0.06	0.03	0.03	0.03	-	-	-	-	-	-	-	-	0.15
<b>Project Funding</b>																			
Upfront payment portion	\$NZ'm	0.08																	0.08
Crown funding required	\$NZ'm						0.04			0.04									0.07
Cofunding required	\$NZ'm																		-
Final payment portion	\$NZ'm									0.00									0.00
<b>Total project funding</b>	\$NZ'm	0.08	-	-	-	-	0.04	-	-	0.04	-	-	-	-	-	-	-	-	0.15
<b>Cash position</b>																			
Opening cash position	\$NZ'm	-	0.08	0.08	0.08	0.08	0.08	0.06	0.03	-	0.01	0.01	0.01	0.01	0.01	0.01	0.01	0.01	
Project spend	\$NZ'm						(0.06)	(0.03)	(0.03)	(0.03)									
Project funding	\$NZ'm	0.08					0.04			0.04									
<b>Closing cash position</b>	\$NZ'm	0.08	0.08	0.08	0.08	0.08	0.06	0.03	-	0.01	0.01	0.01	0.01	0.01	0.01	0.01	0.01	0.01	Ok
<b>Worker hours</b>																			
Number WWTP upgrades #	# or %						80.00	80.00	80.00	80.00									320.00
Physical works % complete	# or %						1.00	1.00	1.00	1.00									4.00
m3/day processing capacity	# or %																		-

17 Project Name		TWR Critical spares WWTP P2020-017																	
Project Type		WASTE - Wastewater Treatment Plant upgrades																	
Start date	Mar-21	Capex	0.20																
End date	Apr-21	Opex																	
Total upfront payment	0.10	N/A																	
Total final payment	0.00	Check	Ok																
Total project spend	0.20																		
Total project funding	0.20																		
Check	-																		
<b>Project Spend</b>																			

Territorial Summary/Inputs	
Territorial Authority	Waitomo District Council
Territorial Code	WKT-09
Reporting date	Jan-21
Reporting period	Quarter 1
Total funding allocated	3.50
Total cofunding	-
Total estimated programme costs	3.50
Upfront payment	1.75
Total final payments	0.04
Milestone payment total	1.71

**KEY**  
 Primary/forecast inputs  
 Actuals inputs

Master checks	
Master check	<b>Warning</b>
Spend = Cost	(0.03) Spend exceeds funding
Cofunding check	- Ok
Upfront funding	- Ok
Final payments	0.01 Not all final allocated
Total Crown funding	- Ok
Capex/Opex	0.02 Too much capex/opex/other allocated
Cash position	- Ok

Territorial contact	
<b>Project Manager</b>	Charmaine Ellery
Email	<a href="mailto:Charmaine.Ellery@waitomo.govt.nz">Charmaine.Ellery@waitomo.govt.nz</a>
Phone	07 878 0849
<b>Lead Engineer</b>	David Locke
Email	<a href="mailto:David.Locke@waitomo.govt.nz">David.Locke@waitomo.govt.nz</a>
Phone	07 878 0831

Project Inputs		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
		Actual	Actual	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	
Spend from Crown funding	\$NZ'm					0.10	0.10												0.20
Spend from cofunding	\$NZ'm																		-
<b>Total project spend</b>	\$NZ'm					0.10	0.10												0.20
<b>Project Funding</b>	\$NZ'm																		
Upfront payment portion	\$NZ'm	0.10																	0.10
Crown funding required	\$NZ'm						0.10												0.10
Cofunding required	\$NZ'm																		-
Final payment portion	\$NZ'm						0.00												0.00
<b>Total project funding</b>	\$NZ'm	0.10					0.10												0.20
<b>Cash position</b>	\$NZ'm																		
Opening cash position	\$NZ'm		0.10	0.10	0.10	0.10	-	-	-	-	-	-	-	-	-	-	-	-	-
Project spend	\$NZ'm					(0.10)	(0.10)												-
Project funding	\$NZ'm	0.10					0.10												-
<b>Closing cash position</b>	\$NZ'm	0.10	0.10	0.10	0.10	-	-												Ok
<b>Worker hours</b>	Hours																		-
Number WWTP upgrades #	# or %																		-
Physical works % complete	# or %																		-
m3/day processing capacity	# or %																		-

18 Project Name		TWR Pump station renewals (Wastewater) P2020-018																		
Project Type		WASTE - Pump station upgrades																		
Start date	Jul-21	Capex	0.16																	
End date	Dec-21	Opex																		
Total upfront payment	0.08	N/A																		
Total final payment	0.00	Check	(0.00)																	
Total project spend	0.16																			
Total project funding	0.16																			
Check	-																			
<b>Project Spend</b>	\$NZ'm																			
Spend from Crown funding	\$NZ'm									0.02		0.06		0.04	0.04					0.16
Spend from cofunding	\$NZ'm																			-
<b>Total project spend</b>	\$NZ'm									0.02		0.06		0.04	0.04					0.16
<b>Project Funding</b>	\$NZ'm																			
Upfront payment portion	\$NZ'm	0.08																		0.08
Crown funding required	\$NZ'm												0.08							0.08
Cofunding required	\$NZ'm																			-
Final payment portion	\$NZ'm														0.00					0.00
<b>Total project funding</b>	\$NZ'm	0.08											0.08		0.00					0.16
<b>Cash position</b>	\$NZ'm																			
Opening cash position	\$NZ'm		0.08	0.08	0.08	0.08	0.08	0.08	0.08	0.08	0.07	0.07	0.01	0.09	0.05	0.01	0.01	0.01	0.01	-
Project spend	\$NZ'm									(0.02)		(0.06)		(0.04)	(0.04)					-
Project funding	\$NZ'm	0.08											0.08		0.00					-
<b>Closing cash position</b>	\$NZ'm	0.08	0.08	0.08	0.08	0.08	0.08	0.08	0.08	0.07	0.07	0.01	0.09	0.05	0.01	0.01	0.01	0.01	0.01	Ok
<b>Worker hours</b>	Hours												80.00		80.00	80.00				240.00
Number of PS upgrades #	# or %												1.00		1.00	1.00				3.00
Physical works % complete	# or %																			-
N/A	# or %																			-

19 Project Name		TWR Backup power supply WWTPs P2020-19																			
Project Type		WASTE - Wastewater Treatment Plant upgrades																			
Start date	Feb-21	Capex	0.15																		
End date	Sep-21	Opex																			
Total upfront payment	0.08	N/A																			
Total final payment	0.00	Check	Ok																		
Total project spend	0.15																				
Total project funding	0.15																				
Check	-																				
<b>Project Spend</b>	\$NZ'm																				
Spend from Crown funding	\$NZ'm				0.01					0.05	0.05	0.04								0.15	
Spend from cofunding	\$NZ'm																			-	

Territorial Summary/Inputs	
Territorial Authority	Waitomo District Council
Territorial Code	WKT-09
Reporting date	Jan-21
Reporting period	Quarter 1
Total funding allocated	3.50
Total cofunding	-
Total estimated programme costs	3.50
Upfront payment	1.75
Total final payments	0.04
Milestone payment total	1.71

KEY	
	Primary/forecast inputs
	Actuals inputs

Master checks	
Master check	Warning
Spend = Cost	(0.03) Spend exceeds funding
Cofunding check	- Ok
Upfront funding	- Ok
Final payments	0.01 Not all final allocated
Total Crown funding	- Ok
Capex/Opex	0.02 Too much capex/opex/other allocated
Cash position	- Ok

Territorial contact	
<b>Project Manager</b>	Charmaine Ellery
Email	<a href="mailto:Charmaine.Ellery@waitomo.govt.nz">Charmaine.Ellery@waitomo.govt.nz</a>
Phone	07 878 0849
<b>Lead Engineer</b>	David Locke
Email	<a href="mailto:David.Locke@waitomo.govt.nz">David.Locke@waitomo.govt.nz</a>
Phone	07 878 0831

		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
		Actual	Actual	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	
<b>Total project spend</b>	\$NZ'm	-	-	-	0.01	-	-	-	-	0.05	0.05	0.04	-	-	-	-	-	-	0.15
<b>Project Funding</b>	\$NZ'm																		
Upfront payment portion	\$NZ'm	0.08	-	-	-	-	-	-	-	0.07	-	-	-	-	-	-	-	-	0.08
Crown funding required	\$NZ'm	-	-	-	-	-	-	-	-	-	-	0.00	-	-	-	-	-	-	0.07
Cofunding required	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Final payment portion	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.00
<b>Total project funding</b>	\$NZ'm	0.08	-	-	-	-	-	-	-	0.07	-	0.00	-	-	-	-	-	-	0.15
<b>Cash position</b>	\$NZ'm																		
Opening cash position	\$NZ'm	-	0.08	0.08	0.08	0.08	0.08	0.08	0.08	0.08	0.10	0.05	0.01	0.01	0.01	0.01	0.01	0.01	0.01
Project spend	\$NZ'm	-	-	-	(0.01)	-	-	-	-	(0.05)	(0.05)	(0.04)	-	-	-	-	-	-	-
Project funding	\$NZ'm	0.08	-	-	-	-	-	-	-	0.07	-	0.00	-	-	-	-	-	-	-
<b>Closing cash position</b>	\$NZ'm	0.08	0.08	0.08	0.08	0.08	0.08	0.08	0.08	0.10	0.05	0.01	0.01	0.01	0.01	0.01	0.01	0.01	Ok
<b>Worker hours</b>	Hours									160.00	160.00	160.00							480.00
<b>Number WWTP upgrades #</b>	# or %																		-
<b>Physical works % complete</b>	# or %									0.33	0.33	0.33							0.99
<b>m3/day processing capacity</b>	# or %																		-

20 Project Name		TWR Project and Contract Management P2020-20																	
Project Type		PRGRM - Programme management																	
Start date	Dec-20	N/A																	
End date	Mar-22	N/A																	
Total upfront payment	0.18	Other/Reform 0.35																	
Total final payment	0.00	Check OK																	
Total project spend	0.35																		
Total project funding	0.35																		
Check	-																		
<b>Project Spend</b>	\$NZ'm																		
Spend from Crown funding	\$NZ'm	-	0.01	0.01	0.01	0.03	0.03	0.03	0.03	0.03	0.03	0.03	0.03	0.03	0.03	0.03	0.03	0.03	0.35
Spend from cofunding	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Total project spend</b>	\$NZ'm	-	0.01	0.01	0.01	0.03	0.03	0.03	0.03	0.03	0.03	0.03	0.03	0.03	0.03	0.03	0.03	0.03	0.35
<b>Project Funding</b>	\$NZ'm																		
Upfront payment portion	\$NZ'm	0.18	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.18
Crown funding required	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	0.09	-	-	-	-	0.08	0.17
Cofunding required	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Final payment portion	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.00
<b>Total project funding</b>	\$NZ'm	0.18	-	-	-	-	-	-	-	-	-	-	0.09	-	-	-	0.08	-	0.00
<b>Cash position</b>	\$NZ'm																		
Opening cash position	\$NZ'm	-	0.18	0.18	0.17	0.16	0.14	0.12	0.10	0.08	0.06	0.04	0.02	0.08	0.06	0.04	0.10	0.08	0.08
Project spend	\$NZ'm	-	(0.01)	(0.01)	(0.01)	(0.03)	(0.03)	(0.03)	(0.03)	(0.03)	(0.03)	(0.03)	(0.03)	(0.03)	(0.03)	(0.03)	(0.03)	(0.03)	(0.03)
Project funding	\$NZ'm	0.18	-	-	-	-	-	-	-	-	-	-	0.09	-	-	-	0.08	-	0.00
<b>Closing cash position</b>	\$NZ'm	0.18	0.18	0.17	0.16	0.14	0.12	0.10	0.08	0.06	0.04	0.02	0.08	0.06	0.04	0.10	0.08	0.06	Ok
<b>Worker hours</b>	Hours		25.00	50.00	50.00	25.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	70.00
<b>% complete</b>	# or %		0.02	0.04	0.04	0.02	0.08	0.08	0.08	0.08	0.08	0.08	0.08	0.08	0.08	0.08	0.08	0.08	0.05
<b>N/A</b>	# or %																		-
<b>N/A</b>	# or %																		-

21 Project Name		TWR Asset data collection P2020-021																	
Project Type		OTHER - Asset data and GIS improvements/update/maintenance																	
Start date	Apr-21	Capex																	
End date	Dec-21	Opex 0.11																	
Total upfront payment	0.06	N/A																	
Total final payment	0.00	Check 0.00																	
Total project spend	0.11																		
Total project funding	0.11																		
Check	-																		
<b>Project Spend</b>	\$NZ'm																		
Spend from Crown funding	\$NZ'm	-	-	-	-	-	0.02	0.02	0.02	0.02	0.02	0.02	0.01	0.01	0.01	-	-	-	0.11
Spend from cofunding	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Total project spend</b>	\$NZ'm	-	-	-	-	-	0.02	0.02	0.02	0.02	0.02	0.02	0.01	0.01	0.01	-	-	-	0.11

Territorial Summary/Inputs	
Territorial Authority	Waitomo District Council
Territorial Code	WKT-09
Reporting date	Jan-21
Reporting period	Quarter 1
Total funding allocated	3.50
Total cofunding	-
Total estimated programme costs	3.50
Upfront payment	1.75
Total final payments	0.04
Milestone payment total	1.71

**KEY**  
 Primary/forecast inputs  
 Actuals inputs

Master checks	
Master check	<b>Warning</b>
Spend = Cost	(0.03) Spend exceeds funding
Cofunding check	- Ok
Upfront funding	- Ok
Final payments	0.01 Not all final allocated
Total Crown funding	- Ok
Capex/Opex	0.02 Too much capex/opex/other allocated
Cash position	- Ok

Territorial contact	
<b>Project Manager</b>	Charmaine Ellery
Email	<a href="mailto:Charmaine.Ellery@waitomo.govt.nz">Charmaine.Ellery@waitomo.govt.nz</a>
Phone	07 878 0849
<b>Lead Engineer</b>	David Locke
Email	<a href="mailto:David.Locke@waitomo.govt.nz">David.Locke@waitomo.govt.nz</a>
Phone	07 878 0831

Project Inputs		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
		Actual	Actual	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	
<b>Project Funding</b>	\$NZ'm																		
Upfront payment portion	\$NZ'm		0.06							0.03			0.03						0.06
Crown funding required	\$NZ'm																		0.06
Cofunding required	\$NZ'm																		-
Final payment portion	\$NZ'm														0.00				0.00
<b>Total project funding</b>	\$NZ'm		<b>0.06</b>							<b>0.03</b>			<b>0.03</b>		<b>0.00</b>				<b>0.11</b>
<b>Cash position</b>	\$NZ'm																		
Opening cash position	\$NZ'm		-	0.06	0.06	0.06	0.06	0.06	0.04	0.03	0.04	0.03	0.02	0.04	0.04	0.03	0.03	0.03	
Project spend	\$NZ'm						(0.02)	(0.02)	(0.02)	(0.02)	(0.02)	(0.02)	(0.01)	(0.01)	(0.01)				
Project funding	\$NZ'm		0.06							0.03			0.03		0.00				
<b>Closing cash position</b>	\$NZ'm		<b>0.06</b>	<b>0.06</b>	<b>0.06</b>	<b>0.06</b>	<b>0.05</b>	<b>0.04</b>	<b>0.03</b>	<b>0.04</b>	<b>0.03</b>	<b>0.02</b>	<b>0.04</b>	<b>0.04</b>	<b>0.03</b>	<b>0.03</b>	<b>0.03</b>	<b>0.03</b>	<b>Ok</b>
<b>Worker hours</b>	Hours						320.00	320.00	320.00	320.00	320.00	320.00	40.00	40.00	105.00				<b>2,105.00</b>
% complete	# or %						0.02	0.02	0.02	0.02	0.02	0.02							<b>0.12</b>
N/A	# or %																		-
N/A	# or %																		-

22 Project Name		TWR Track access repairs WTP and WWTP P2020-022																	
Project Type		WATER - Water security / fencing																	
Start date	Feb-21	Capex	0.08																
End date	Jul-21	Opex																	
Total upfront payment	0.04	N/A																	
Total final payment	0.00	Check	Ok																
Total project spend	0.08																		
Total project funding	0.08																		
Check	-																		
<b>Project Spend</b>	\$NZ'm																		
Spend from Crown funding	\$NZ'm				0.02				0.04	0.02									0.08
Spend from cofunding	\$NZ'm																		-
<b>Total project spend</b>	\$NZ'm				<b>0.02</b>				<b>0.04</b>	<b>0.02</b>								<b>0.08</b>	
<b>Project Funding</b>	\$NZ'm																		
Upfront payment portion	\$NZ'm		0.04																0.04
Crown funding required	\$NZ'm																		0.04
Cofunding required	\$NZ'm																		-
Final payment portion	\$NZ'm																		0.00
<b>Total project funding</b>	\$NZ'm		<b>0.04</b>						<b>0.04</b>										<b>0.08</b>
<b>Cash position</b>	\$NZ'm																		
Opening cash position	\$NZ'm		-	0.04	0.04	0.04	0.02	0.02	0.06	0.06	0.02	-	-	-	-	-	-	-	
Project spend	\$NZ'm					(0.02)				(0.04)	(0.02)								
Project funding	\$NZ'm		0.04				0.04				0.00								
<b>Closing cash position</b>	\$NZ'm		<b>0.04</b>	<b>0.04</b>	<b>0.04</b>	<b>0.02</b>	<b>0.02</b>	<b>0.06</b>	<b>0.06</b>	<b>0.02</b>									<b>Ok</b>
<b>Worker hours</b>	Hours				80.00		160.00	80.00											<b>320.00</b>
Length (metres)	# or %				300.00		2,000.00	400.00											<b>2,700.00</b>
N/A	# or %																		-
N/A	# or %																		-

23 Project Name		[Project name]																	
Project Type		[Select project type]																	
Start date		Capex																	
End date		Opex																	
Total upfront payment		N/A																	
Total final payment	-	Check	Ok																
Total project spend	-																		
Total project funding	-																		
Check	-																		
<b>Project Spend</b>	\$NZ'm																		
Spend from Crown funding	\$NZ'm																		-
Spend from cofunding	\$NZ'm																		-
<b>Total project spend</b>	\$NZ'm																		<b>-</b>
<b>Project Funding</b>	\$NZ'm																		

Territorial Summary/Inputs	
Territorial Authority	Waitomo District Council
Territorial Code	WKT-09
Reporting date	Jan-21
Reporting period	Quarter 1
Total funding allocated	3.50
Total cofunding	-
Total estimated programme costs	3.50
Upfront payment	1.75
Total final payments	0.04
Milestone payment total	1.71

**KEY**  
  Primary/forecast inputs  
  Actuals inputs

Master checks	
Master check	<b>Warning</b>
Spend = Cost	(0.03) Spend exceeds funding
Cofunding check	- Ok
Upfront funding	- Ok
Final payments	0.01 Not all final allocated
Total Crown funding	- Ok
Capex/Opex	0.02 Too much capex/opex/other allocated
Cash position	- Ok

Territorial contact	
<b>Project Manager</b>	Charmaine Ellery
Email	<a href="mailto:Charmaine.Ellery@waitomo.govt.nz">Charmaine.Ellery@waitomo.govt.nz</a>
Phone	07 878 0849
<b>Lead Engineer</b>	David Locke
Email	<a href="mailto:David.Locke@waitomo.govt.nz">David.Locke@waitomo.govt.nz</a>
Phone	07 878 0831

Project Inputs		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
		Actual	Actual	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	
Upfront payment portion	\$NZ'm	-																	-
Crown funding required	\$NZ'm																		-
Cofunding required	\$NZ'm																		-
Final payment portion	\$NZ'm																		-
<b>Total project funding</b>	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Cash position</b>																			
Opening cash position	\$NZ'm																		
Project spend	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Project funding	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Closing cash position</b>	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	Ok
<b>Worker hours</b>																			
[Select project type]	Hours																		
[Select project type]	# or %																		
[Select project type]	# or %																		
[Select project type]	# or %																		

24 Project Name		[Project name]																	Total
Project Type		[Select project type]																	
Start date																			
End date																			
Total upfront payment																			
Total final payment																			Ok
Total project spend																			
Total project funding																			
Check																			
<b>Project Spend</b>																			
Spend from Crown funding	\$NZ'm																		
Spend from cofunding	\$NZ'm																		
<b>Total project spend</b>	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Project Funding</b>																			
Upfront payment portion	\$NZ'm																		
Crown funding required	\$NZ'm																		
Cofunding required	\$NZ'm																		
Final payment portion	\$NZ'm																		
<b>Total project funding</b>	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Cash position</b>																			
Opening cash position	\$NZ'm																		
Project spend	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Project funding	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Closing cash position</b>	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	Ok
<b>Worker hours</b>																			
[Select project type]	Hours																		
[Select project type]	# or %																		
[Select project type]	# or %																		
[Select project type]	# or %																		

25 Project Name		[Project name]																	Total
Project Type		[Select project type]																	
Start date																			
End date																			
Total upfront payment																			
Total final payment																			Ok
Total project spend																			
Total project funding																			
Check																			
<b>Project Spend</b>																			
Spend from Crown funding	\$NZ'm																		
Spend from cofunding	\$NZ'm																		
<b>Total project spend</b>	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Project Funding</b>																			
Upfront payment portion	\$NZ'm																		
Crown funding required	\$NZ'm																		
Cofunding required	\$NZ'm																		

Territorial Summary/Inputs	
Territorial Authority	Waitomo District Council
Territorial Code	WKT-09
Reporting date	Jan-21
Reporting period	Quarter 1
Total funding allocated	3.50
Total cofunding	-
Total estimated programme costs	3.50
Upfront payment	1.75
Total final payments	0.04
Milestone payment total	1.71

**KEY**  
 Primary/forecast inputs  
 Actuals inputs

Master checks	
Master check	<b>Warning</b>
Spend = Cost	(0.03) Spend exceeds funding
Cofunding check	- Ok
Upfront funding	- Ok
Final payments	0.01 Not all final allocated
Total Crown funding	- Ok
Capex/Opex	0.02 Too much capex/opex/other allocated
Cash position	- Ok

Territorial contact	
<b>Project Manager</b>	Charmaine Ellery
Email	<a href="mailto:Charmaine.Ellery@waitomo.govt.nz">Charmaine.Ellery@waitomo.govt.nz</a>
Phone	07 878 0849
<b>Lead Engineer</b>	David Locke
Email	<a href="mailto:David.Locke@waitomo.govt.nz">David.Locke@waitomo.govt.nz</a>
Phone	07 878 0831

## Project Inputs

		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
		Actual	Actual	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	
Cofunding required	\$NZ'm																		-
Final payment portion	\$NZ'm																		-
<b>Total project funding</b>	\$NZ'm																		-
<b>Cash position</b>																			
Opening cash position	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Project spend	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Project funding	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Closing cash position</b>	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	<b>Ok</b>
<b>Worker hours</b>																			
[Select project type]	Hours																		-
[Select project type]	# or %																		-
[Select project type]	# or %																		-

### 26 Project Name [Project name] Project Type [Select project type]

Start date		Capex	
End date		Opex	
Total upfront payment		N/A	
Total final payment	-	Check	Ok
Total project spend	-		
Total project funding	-		
Check	-		

Project Spend		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
Spend from Crown funding	\$NZ'm																		-
Spend from cofunding	\$NZ'm																		-
<b>Total project spend</b>	\$NZ'm																		-

Project Funding		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
Upfront payment portion	\$NZ'm																		-
Crown funding required	\$NZ'm																		-
Cofunding required	\$NZ'm																		-
Final payment portion	\$NZ'm																		-
<b>Total project funding</b>	\$NZ'm																		-

Cash position		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
Opening cash position	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Project spend	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Project funding	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Closing cash position</b>	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	<b>Ok</b>

Worker hours		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
[Select project type]	Hours																		-
[Select project type]	# or %																		-
[Select project type]	# or %																		-

### 27 Project Name [Project name] Project Type [Select project type]

Start date		Capex	
End date		Opex	
Total upfront payment		N/A	
Total final payment	-	Check	Ok
Total project spend	-		
Total project funding	-		
Check	-		

Project Spend		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
Spend from Crown funding	\$NZ'm																		-
Spend from cofunding	\$NZ'm																		-
<b>Total project spend</b>	\$NZ'm																		-

Project Funding		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
Upfront payment portion	\$NZ'm																		-
Crown funding required	\$NZ'm																		-
Cofunding required	\$NZ'm																		-
Final payment portion	\$NZ'm																		-

Territorial Summary/Inputs	
Territorial Authority	Waitomo District Council
Territorial Code	WKT-09
Reporting date	Jan-21
Reporting period	Quarter 1
Total funding allocated	3.50
Total cofunding	-
Total estimated programme costs	3.50
Upfront payment	1.75
Total final payments	0.04
Milestone payment total	1.71

**KEY**  
  Primary/forecast inputs  
  Actuals inputs

Master checks	
Master check	<b>Warning</b>
Spend = Cost	(0.03) Spend exceeds funding
Cofunding check	- Ok
Upfront funding	- Ok
Final payments	0.01 Not all final allocated
Total Crown funding	- Ok
Capex/Opex	0.02 Too much capex/opex/other allocated
Cash position	- Ok

Territorial contact	
<b>Project Manager</b>	Charmaine Ellery
Email	<a href="mailto:Charmaine.Ellery@waitomo.govt.nz">Charmaine.Ellery@waitomo.govt.nz</a>
Phone	07 878 0849
<b>Lead Engineer</b>	David Locke
Email	<a href="mailto:David.Locke@waitomo.govt.nz">David.Locke@waitomo.govt.nz</a>
Phone	07 878 0831

**Project Inputs**

	Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
	Actual	Actual	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	
<b>Total project funding</b>	\$NZ\$m	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Cash position</b>																		
Opening cash position	\$NZ\$m	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Project spend	\$NZ\$m	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Project funding	\$NZ\$m	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Closing cash position</b>	\$NZ\$m	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	<b>Ok</b>
<b>Worker hours</b>	Hours																	
[Select project type]	# or %																	
[Select project type]	# or %																	
[Select project type]	# or %																	

28 **Project Name** [Project name]  
**Project Type** [Select project type]

Start date		<b>Capex</b>	
End date		<b>Opex</b>	
Total upfront payment		<b>N/A</b>	
Total final payment	-	<b>Check</b>	Ok
Total project spend	-		
Total project funding	-		
<b>Check</b>	-		

Project Spend		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
Spend from Crown funding	\$NZ\$m																		-
Spend from cofunding	\$NZ\$m																		-
<b>Total project spend</b>	\$NZ\$m																		-

Project Funding		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
Upfront payment portion	\$NZ\$m																		-
Crown funding required	\$NZ\$m																		-
Cofunding required	\$NZ\$m																		-
Final payment portion	\$NZ\$m																		-
<b>Total project funding</b>	\$NZ\$m																		-

Cash position		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
Opening cash position	\$NZ\$m	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Project spend	\$NZ\$m	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Project funding	\$NZ\$m	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Closing cash position</b>	\$NZ\$m	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	<b>Ok</b>

[Select project type]	# or %																		-
[Select project type]	# or %																		-
[Select project type]	# or %																		-

29 **Project Name** [Project name]  
**Project Type** [Select project type]

Start date		<b>Capex</b>	
End date		<b>Opex</b>	
Total upfront payment		<b>N/A</b>	
Total final payment	-	<b>Check</b>	Ok
Total project spend	-		
Total project funding	-		
<b>Check</b>	-		

Project Spend		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
Spend from Crown funding	\$NZ\$m																		-
Spend from cofunding	\$NZ\$m																		-
<b>Total project spend</b>	\$NZ\$m																		-

Project Funding		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
Upfront payment portion	\$NZ\$m																		-
Crown funding required	\$NZ\$m																		-
Cofunding required	\$NZ\$m																		-
Final payment portion	\$NZ\$m																		-
<b>Total project funding</b>	\$NZ\$m																		-

Cash position		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
Opening cash position	\$NZ\$m	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Project spend	\$NZ\$m	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Project funding	\$NZ\$m	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Closing cash position</b>	\$NZ\$m	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	<b>Ok</b>



Territorial Summary/Inputs	
Territorial Authority	Waitomo District Council
Territorial Code	WKT-09
Reporting date	Jan-21
Reporting period	Quarter 1
Total funding allocated	3.50
Total cofunding	-
Total estimated programme costs	3.50
Upfront payment	1.75
Total final payments	0.04
Milestone payment total	1.71

**KEY**  
 Primary/forecast inputs  
 Actuals inputs

Master checks	
Master check	<b>Warning</b>
Spend = Cost	(0.03) Spend exceeds funding
Cofunding check	- Ok
Upfront funding	- Ok
Final payments	0.01 Not all final allocated
Total Crown funding	- Ok
Capex/Opex	0.02 Too much capex/opex/other allocated
Cash position	- Ok

Territorial contact	
<b>Project Manager</b>	Charmaine Ellery
Email	<a href="mailto:Charmaine.Ellery@waitomo.govt.nz">Charmaine.Ellery@waitomo.govt.nz</a>
Phone	07 878 0849
<b>Lead Engineer</b>	David Locke
Email	<a href="mailto:David.Locke@waitomo.govt.nz">David.Locke@waitomo.govt.nz</a>
Phone	07 878 0831

Project Inputs		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
		Actual	Actual	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	
Opening cash position	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Project spend	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Project funding	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Closing cash position</b>	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	<b>Ok</b>
<b>Worker hours</b>	Hours																		
[Select project type]	# or %																		
[Select project type]	# or %																		
[Select project type]	# or %																		
<b>30 Project Name</b>	[Project name]																		
<b>Project Type</b>	[Select project type]																		
Start date																			
End date																			
Total upfront payment																			
Total final payment																			Ok
Total project spend																			
Total project funding																			
Check																			
<b>Project Spend</b>																			
Spend from Crown funding	\$NZ'm																		
Spend from cofunding	\$NZ'm																		
<b>Total project spend</b>	\$NZ'm																		
<b>Project Funding</b>	\$NZ'm																		
Upfront payment portion	\$NZ'm																		
Crown funding required	\$NZ'm																		
Cofunding required	\$NZ'm																		
Final payment portion	\$NZ'm																		
<b>Total project funding</b>	\$NZ'm																		
<b>Cash position</b>																			
Opening cash position	\$NZ'm																		
Project spend	\$NZ'm																		
Project funding	\$NZ'm																		
<b>Closing cash position</b>	\$NZ'm																		<b>Ok</b>
<b>Worker hours</b>	Hours																		
[Select project type]	# or %																		
[Select project type]	# or %																		
[Select project type]	# or %																		
<b>31 Project Name</b>	[Project name]																		
<b>Project Type</b>	[Select project type]																		
Start date																			
End date																			
Total upfront payment																			
Total final payment																			Ok
Total project spend																			
Total project funding																			
Check																			
<b>Project Spend</b>																			
Spend from Crown funding	\$NZ'm																		
Spend from cofunding	\$NZ'm																		
<b>Total project spend</b>	\$NZ'm																		
<b>Project Funding</b>	\$NZ'm																		
Upfront payment portion	\$NZ'm																		
Crown funding required	\$NZ'm																		
Cofunding required	\$NZ'm																		
Final payment portion	\$NZ'm																		
<b>Total project funding</b>	\$NZ'm																		
<b>Cash position</b>																			
Opening cash position	\$NZ'm																		
Project spend	\$NZ'm																		

Territorial Summary/Inputs	
Territorial Authority	Waitomo District Council
Territorial Code	WKT-09
Reporting date	Jan-21
Reporting period	Quarter 1
Total funding allocated	3.50
Total cofunding	-
Total estimated programme costs	3.50
Upfront payment	1.75
Total final payments	0.04
Milestone payment total	1.71

**KEY**  
 Primary/forecast inputs  
 Actuals inputs

Master checks	
Master check	<b>Warning</b>
Spend = Cost	(0.03) Spend exceeds funding
Cofunding check	- Ok
Upfront funding	- Ok
Final payments	0.01 Not all final allocated
Total Crown funding	- Ok
Capex/Opex	0.02 Too much capex/opex/other allocated
Cash position	- Ok

Territorial contact	
<b>Project Manager</b>	Charmaine Ellery
Email	<a href="mailto:Charmaine.Ellery@waitomo.govt.nz">Charmaine.Ellery@waitomo.govt.nz</a>
Phone	07 878 0849
<b>Lead Engineer</b>	David Locke
Email	<a href="mailto:David.Locke@waitomo.govt.nz">David.Locke@waitomo.govt.nz</a>
Phone	07 878 0831

Project Inputs		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
		Actual	Actual	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	
Project funding	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Closing cash position	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	Ok
<b>Worker hours</b>	Hours																		-
[Select project type]	# or %																		-
[Select project type]	# or %																		-
[Select project type]	# or %																		-
<b>32 Project Name</b>	[Project name]																		
<b>Project Type</b>	[Select project type]																		
Start date																			
End date																			
Total upfront payment																			
Total final payment	-																		Ok
Total project spend	-																		
Total project funding	-																		
Check	-																		
<b>Project Spend</b>																			
Spend from Crown funding	\$NZ'm																		-
Spend from cofunding	\$NZ'm																		-
<b>Total project spend</b>	\$NZ'm																		-
<b>Project Funding</b>																			
Upfront payment portion	\$NZ'm																		-
Crown funding required	\$NZ'm																		-
Cofunding required	\$NZ'm																		-
Final payment portion	\$NZ'm																		-
<b>Total project funding</b>	\$NZ'm																		-
<b>Cash position</b>																			
Opening cash position	\$NZ'm																		-
Project spend	\$NZ'm																		-
Project funding	\$NZ'm																		-
<b>Closing cash position</b>	\$NZ'm																		Ok
<b>Worker hours</b>	Hours																		-
[Select project type]	# or %																		-
[Select project type]	# or %																		-
[Select project type]	# or %																		-
<b>33 Project Name</b>	[Project name]																		
<b>Project Type</b>	[Select project type]																		
Start date																			
End date																			
Total upfront payment																			
Total final payment	-																		Ok
Total project spend	-																		
Total project funding	-																		
Check	-																		
<b>Project Spend</b>																			
Spend from Crown funding	\$NZ'm																		-
Spend from cofunding	\$NZ'm																		-
<b>Total project spend</b>	\$NZ'm																		-
<b>Project Funding</b>																			
Upfront payment portion	\$NZ'm																		-
Crown funding required	\$NZ'm																		-
Cofunding required	\$NZ'm																		-
Final payment portion	\$NZ'm																		-
<b>Total project funding</b>	\$NZ'm																		-
<b>Cash position</b>																			
Opening cash position	\$NZ'm																		-
Project spend	\$NZ'm																		-
Project funding	\$NZ'm																		-
<b>Closing cash position</b>	\$NZ'm																		Ok

Territorial Summary/Inputs	
Territorial Authority	Waitomo District Council
Territorial Code	WKT-09
Reporting date	Jan-21
Reporting period	Quarter 1
Total funding allocated	3.50
Total cofunding	-
Total estimated programme costs	3.50
Upfront payment	1.75
Total final payments	0.04
Milestone payment total	1.71

KEY	
	Primary/forecast inputs
	Actuals inputs

Master checks	
Master check	<span style="background-color: #d3d3d3;"></span> Warning
Spend = Cost	(0.03) Spend exceeds funding
Cofunding check	- Ok
Upfront funding	- Ok
Final payments	0.01 Not all final allocated
Total Crown funding	- Ok
Capex/Opex	0.02 Too much capex/opex/other allocated
Cash position	- Ok

Territorial contact	
<b>Project Manager</b>	Charmaine Ellery
Email	<a href="mailto:Charmaine.Ellery@waitomo.govt.nz">Charmaine.Ellery@waitomo.govt.nz</a>
Phone	07 878 0849
<b>Lead Engineer</b>	David Locke
Email	<a href="mailto:David.Locke@waitomo.govt.nz">David.Locke@waitomo.govt.nz</a>
Phone	07 878 0831

## Project Inputs

		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
		Actual	Actual	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	
<b>Worker hours</b>	Hours																		-
[Select project type]	# or %																		-
[Select project type]	# or %																		-
[Select project type]	# or %																		-

### 34 Project Name [Project name] Project Type [Select project type]

Start date		Capex	
End date		Opex	
Total upfront payment		N/A	
Total final payment	-	Check	Ok
Total project spend	-		
Total project funding	-		
Check	-		

Project Spend		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
		Actual	Actual	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	
Spend from Crown funding	\$NZ'm																		-
Spend from cofunding	\$NZ'm																		-
<b>Total project spend</b>	\$NZ'm																		-

Project Funding		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
		Actual	Actual	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	
Upfront payment portion	\$NZ'm																		-
Crown funding required	\$NZ'm																		-
Cofunding required	\$NZ'm																		-
Final payment portion	\$NZ'm																		-
<b>Total project funding</b>	\$NZ'm																		-

Cash position		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
		Actual	Actual	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	
Opening cash position	\$NZ'm																		-
Project spend	\$NZ'm																		-
Project funding	\$NZ'm																		-
<b>Closing cash position</b>	\$NZ'm																		Ok

<b>Worker hours</b>	Hours																		-
[Select project type]	# or %																		-
[Select project type]	# or %																		-
[Select project type]	# or %																		-

### 35 Project Name [Project name] Project Type [Select project type]

Start date		Capex	
End date		Opex	
Total upfront payment		N/A	
Total final payment	-	Check	Ok
Total project spend	-		
Total project funding	-		
Check	-		

Project Spend		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
		Actual	Actual	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	
Spend from Crown funding	\$NZ'm																		-
Spend from cofunding	\$NZ'm																		-
<b>Total project spend</b>	\$NZ'm																		-

Project Funding		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
		Actual	Actual	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	
Upfront payment portion	\$NZ'm																		-
Crown funding required	\$NZ'm																		-
Cofunding required	\$NZ'm																		-
Final payment portion	\$NZ'm																		-
<b>Total project funding</b>	\$NZ'm																		-

Cash position		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
		Actual	Actual	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	
Opening cash position	\$NZ'm																		-
Project spend	\$NZ'm																		-
Project funding	\$NZ'm																		-
<b>Closing cash position</b>	\$NZ'm																		Ok

<b>Worker hours</b>	Hours																		-
---------------------	-------	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	---

Territorial Summary/Inputs	
Territorial Authority	Waitomo District Council
Territorial Code	WKT-09
Reporting date	Jan-21
Reporting period	Quarter 1
Total funding allocated	3.50
Total cofunding	-
Total estimated programme costs	3.50
Upfront payment	1.75
Total final payments	0.04
Milestone payment total	1.71

**KEY**  
 Primary/forecast inputs  
 Actuals inputs

Master checks	
Master check	<span style="background-color: #f08080; border: 1px solid black; padding: 2px;">Warning</span>
Spend = Cost	(0.03) Spend exceeds funding
Cofunding check	- Ok
Upfront funding	- Ok
Final payments	0.01 Not all final allocated
Total Crown funding	- Ok
Capex/Opex	0.02 Too much capex/opex/other allocated
Cash position	- Ok

Territorial contact	
<b>Project Manager</b>	Charmaine Ellery
Email	<a href="mailto:Charmaine.Ellery@waitomo.govt.nz">Charmaine.Ellery@waitomo.govt.nz</a>
Phone	07 878 0849
<b>Lead Engineer</b>	David Locke
Email	<a href="mailto:David.Locke@waitomo.govt.nz">David.Locke@waitomo.govt.nz</a>
Phone	07 878 0831

Project Inputs		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
		Actual	Actual	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	
[Select project type]	# or %																		-
[Select project type]	# or %																		-
[Select project type]	# or %																		-

**36 Project Name** [Project name]  
**Project Type** [Select project type]

Start date		<b>Capex</b>	
End date		<b>Opex</b>	
Total upfront payment		<b>N/A</b>	
Total final payment	-	<b>Check</b>	Ok
Total project spend	-		
Total project funding	-		
Check	-		

Project Spend		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
Spend from Crown funding	\$NZ'm																		-
Spend from cofunding	\$NZ'm																		-
<b>Total project spend</b>	\$NZ'm																		-

Project Funding		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
Upfront payment portion	\$NZ'm																		-
Crown funding required	\$NZ'm																		-
Cofunding required	\$NZ'm																		-
Final payment portion	\$NZ'm																		-
<b>Total project funding</b>	\$NZ'm																		-

Cash position		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
Opening cash position	\$NZ'm																		-
Project spend	\$NZ'm																		-
Project funding	\$NZ'm																		-
<b>Closing cash position</b>	\$NZ'm																		Ok

Worker hours		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
[Select project type]	# or %																		-
[Select project type]	# or %																		-
[Select project type]	# or %																		-

**37 Project Name** [Project name]  
**Project Type** [Select project type]

Start date		<b>Capex</b>	
End date		<b>Opex</b>	
Total upfront payment		<b>N/A</b>	
Total final payment	-	<b>Check</b>	Ok
Total project spend	-		
Total project funding	-		
Check	-		

Project Spend		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
Spend from Crown funding	\$NZ'm																		-
Spend from cofunding	\$NZ'm																		-
<b>Total project spend</b>	\$NZ'm																		-

Project Funding		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
Upfront payment portion	\$NZ'm																		-
Crown funding required	\$NZ'm																		-
Cofunding required	\$NZ'm																		-
Final payment portion	\$NZ'm																		-
<b>Total project funding</b>	\$NZ'm																		-

Cash position		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
Opening cash position	\$NZ'm																		-
Project spend	\$NZ'm																		-
Project funding	\$NZ'm																		-
<b>Closing cash position</b>	\$NZ'm																		Ok

Worker hours		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
[Select project type]	# or %																		-
[Select project type]	# or %																		-

Territorial Summary/Inputs	
Territorial Authority	Waitomo District Council
Territorial Code	WKT-09
Reporting date	Jan-21
Reporting period	Quarter 1
Total funding allocated	3.50
Total cofunding	-
Total estimated programme costs	3.50
Upfront payment	1.75
Total final payments	0.04
Milestone payment total	1.71

**KEY**  
 Primary/forecast inputs  
 Actuals inputs

Master checks	
Master check	<b>Warning</b>
Spend = Cost	(0.03) Spend exceeds funding
Cofunding check	- Ok
Upfront funding	- Ok
Final payments	0.01 Not all final allocated
Total Crown funding	- Ok
Capex/Opex	0.02 Too much capex/opex/other allocated
Cash position	- Ok

Territorial contact	
<b>Project Manager</b>	Charmaine Ellery
Email	<a href="mailto:Charmaine.Ellery@waitomo.govt.nz">Charmaine.Ellery@waitomo.govt.nz</a>
Phone	07 878 0849
<b>Lead Engineer</b>	David Locke
Email	<a href="mailto:David.Locke@waitomo.govt.nz">David.Locke@waitomo.govt.nz</a>
Phone	07 878 0831

Project Inputs		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
[Select project type] # or %		Actual	Actual	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	-
<b>38 Project Name</b>	[Project name]																		
<b>Project Type</b>	[Select project type]																		
Start date																			
End date																			
Total upfront payment																			
Total final payment																			Ok
Total project spend																			
Total project funding																			
Check																			
<b>Project Spend</b>																			
Spend from Crown funding	\$NZ'm																		
Spend from cofunding	\$NZ'm																		
<b>Total project spend</b>	\$NZ'm																		
<b>Project Funding</b>																			
Upfront payment portion	\$NZ'm																		
Crown funding required	\$NZ'm																		
Cofunding required	\$NZ'm																		
Final payment portion	\$NZ'm																		
<b>Total project funding</b>	\$NZ'm																		
<b>Cash position</b>																			
Opening cash position	\$NZ'm																		
Project spend	\$NZ'm																		
Project funding	\$NZ'm																		
<b>Closing cash position</b>	\$NZ'm																		Ok
<b>Worker hours</b>																			
[Select project type]	Hours																		
[Select project type]	# or %																		
[Select project type]	# or %																		
[Select project type]	# or %																		
<b>39 Project Name</b>	[Project name]																		
<b>Project Type</b>	[Select project type]																		
Start date																			
End date																			
Total upfront payment																			
Total final payment																			Ok
Total project spend																			
Total project funding																			
Check																			
<b>Project Spend</b>																			
Spend from Crown funding	\$NZ'm																		
Spend from cofunding	\$NZ'm																		
<b>Total project spend</b>	\$NZ'm																		
<b>Project Funding</b>																			
Upfront payment portion	\$NZ'm																		
Crown funding required	\$NZ'm																		
Cofunding required	\$NZ'm																		
Final payment portion	\$NZ'm																		
<b>Total project funding</b>	\$NZ'm																		
<b>Cash position</b>																			
Opening cash position	\$NZ'm																		
Project spend	\$NZ'm																		
Project funding	\$NZ'm																		
<b>Closing cash position</b>	\$NZ'm																		Ok
<b>Worker hours</b>																			
[Select project type]	Hours																		
[Select project type]	# or %																		
[Select project type]	# or %																		
[Select project type]	# or %																		

## Territorial Summary/Inputs

Territorial Authority	Waitomo District Council
Territorial Code	WKT-09
Reporting date	Jan-21
Reporting period	Quarter 1
Total funding allocated	3.50
Total cofunding	-
Total estimated programme costs	3.50
Upfront payment	1.75
Total final payments	0.04
Milestone payment total	1.71

**KEY**  
  Primary/forecast inputs  
  Actuals inputs

## Master checks

Master check	<b>Warning</b>	
Spend = Cost	(0.03)	Spend exceeds funding
Cofunding check	-	Ok
Upfront funding	-	Ok
Final payments	0.01	Not all final allocated
Total Crown funding	-	Ok
Capex/Opex	0.02	Too much capex/opex/other allocated
Cash position	-	Ok

## Territorial contact

<b>Project Manager</b>	Charmaine Ellery
Email	<a href="mailto:Charmaine.Ellery@waitomo.govt.nz">Charmaine.Ellery@waitomo.govt.nz</a>
Phone	07 878 0849
<b>Lead Engineer</b>	David Locke
Email	<a href="mailto:David.Locke@waitomo.govt.nz">David.Locke@waitomo.govt.nz</a>
Phone	07 878 0831

## Project Inputs

		Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Total
		Actual	Actual	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	
40 Project Name	[Project name]																		
Project Type	[Select project type]																		
Start date		Capex																	
End date		Opex																	
Total upfront payment		N/A																	
Total final payment	-	Check		Ok															
Total project spend	-																		
Total project funding	-																		
Check	-																		
<b>Project Spend</b>																			
Spend from Crown funding	\$NZ'm																		-
Spend from cofunding	\$NZ'm																		-
<b>Total project spend</b>	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Project Funding</b>																			
Upfront payment portion	\$NZ'm																		-
Crown funding required	\$NZ'm																		-
Cofunding required	\$NZ'm																		-
Final payment portion	\$NZ'm																		-
<b>Total project funding</b>	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Cash position</b>																			
Opening cash position	\$NZ'm																		
Project spend	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Project funding	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Closing cash position</b>	\$NZ'm	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	Ok
<b>Worker hours</b>																			
[Select project type]	Hours																		-
[Select project type]	# or %																		-
[Select project type]	# or %																		-
[Select project type]	# or %																		-

Question #	Initial Update				
<b>Top 5 Risks and Contractor Claims</b>					
	Risk # (Highest to lowest)	Risk Name	Impact	Likelihood	Commentary on mitigants
1	Mandatory	Completion of programme by 31 March 2022	High	Medium	Project and/or Contract Manager (PM/CM) for each project Project Control Group (PCG) setup
2	1	Internal staff capacity	High	Medium	Engaging consultants Recruitment of roles
3	2	Contractor availability	High	Medium	Discussion with contractors early during scoping and planning to check availability
4	3	Unforeseen expenditure	Medium	Low	Project plans in place sign-off process Detailed scoping of complex projects, e.g. SCADA
5	4	Poor contractor performance	Medium	Low	Contract Manager - currently scoping, contract being drafted Use contractors with proven reliability
6	5	Health and Safety procedures not followed	High	Low	Contract terms and conditions Site audits of Health and Safety (H+S) compliance

Conditions agreed upon in delivery plan		
Condition	Commentary	
7	Consult with other Councils on SCADA	Curently attending Waikato/BoP working group on SCADA upgrades
8	Condition [ i.e. consult on water meters]	No smart metring projects
9	[Condition ]	[Commentary]
10	[Condition]	[Commentary]
11	[Condition]	[Commentary]

Pre-work commencement status		
Roadblock	Status	Commentary
12	RMA	[Select] [Commentary]
13	Building Consent	[Select] [Commentary]
14	Other Consents (i.e. CARs, iwi, Heritage)	[Select] [Commentary]
15	Design	Yet to commence Project 7 - Scoping for wastewater connection prior to design Project 10 - Intial scope drafted Project 13 & 19 Scoping and design consultant engaged
16	Procurement	RFP in preparation Projects 1, 5, 6, 12, 13, 14, 19, 21, 22, 23 have requests prepared
17	Main Contract	Contract evaluation Project 6 - Backflow installation contract being drafted Project 23 - Contract Management contract being drafted

18	<b>Programme costs</b>
	Commentary on Government Funded programme
19	Commentary on LTP programme
	<b>Reform funding</b>
20	Reform Funding Activities
21	RFI funding (\$60k)
	<b>Scope and Progress commentary</b>
22	Commentary
23	Media Announcements

Question #

Quarter 1 (January 2021) Update

Top 5 Risks and Contractor Claims

Risk Name	Risk Level	Commentary
1 Completion of programme by 31 March 2022	Medium	PM assigned to each project, project plans in place PCG meeting weekly to promptly address escalations DP weekly meeting to track progress and action plans
2 Internal staff capacity	High	3-waters planning and contract drafting consultants engaged Recruitment in sign-off phase
3 Contractor availability	Medium	Local and specialist contractors scoped for availability Commencement of some works due to local contractor availability
4 Unforeseen expenditure	Medium	Project plans going through 2 phase sign-off process High value and complex projects evaluated through Tender Sub Committee
5 Poor contractor performance	Low	Terms and conditions drafted for Contract Management Contractor templates specifically for 3 waters reform projects setout clear requirements for delivery of projects
6 Health and Safety procedures not followed	Low	Contract templates include H+S requirements H+S audits to be undertaken by PM or CM

Conditions agreed upon in delivery plan

Condition	Commentary
7 Consult with other Councils on SCADA	Will utilise one of the councils in the group (e.g. Western Bays) to audit SCADA upgrade approach
8 Condition [ i.e. consult on water meters]	[Commentary]
9 [Condition ]	[Commentary]
10 [Condition]	[Commentary]
11 [Condition]	[Commentary]

Pre-work commencement status

Roadblock	Status	Commentary
12 RMA	In Preparation	Project 8 - checking allowed activities under current consent
13 Building Consent	[Select]	[Commentary]
14 Other Consents (i.e. CARs, iwi, Heritage)	[Select]	[Commentary]
15 Design	[Select]	Project 7 - Site visit to begin draft design Project 10 - Project meeting onsite 9 Feb to scope design work Project 13 & 19 consultant to book site visits (2 days)
16 Procurement	RFP issued	Projects 1, 5, 6, 12, 13, 14, 19, 21, 22, 23 quotes requested
17 Main Contract	Contract negotiation	Project 6 - Contract ready for closed tender process Project 23 - Contract Management contract being drafted

Programme costs commentary

18	Limited expenditure to date, Project 1 - one site commenced early due to contractor availability Order placed for backflow manifolds Project 15 - Recruitment options being scoped
19	Spend on track, some overspend on wastewater pump renewals due to increased complexity of the renewal. Overspend on backflow preventors due to allocation of contractors claims, will be corrected with new backflow installation contract. Actuals will also be corrected once final claim is processed under old contract.

Reform funding commentary

20	N/A
21	N/A

Scope and Progress commentary commentary

22	Project 1 commenced Project 2, 3, 16, and 17 scoping work nearly completed Project 4 Scoping work commenced, meeting with consultant 11 Feb
23	General media release for upcoming backflow installation to announce awarding of contract and commencement date. Scope of work confirmed for project 15 - recruitment to commence



Three Waters Stimulus

Pre-work / Long term

Question # Quarter 2 (April 2021) Update

Top 5 Risks and Contractor Claims

	Risk Name	Risk Level	Commentary
1	Completion of programme by 31 March 2022	[Select risk]	[Commentary]
2	Internal staff capacity	[Select risk]	[Commentary]
3	Contractor availability	[Select risk]	[Commentary]
4	Unforeseen expenditure	[Select risk]	[Commentary]
5	Poor contractor performance	[Select risk]	[Commentary]
6	Health and Safety procedures not followed	[Select risk]	[Commentary]

Conditions agreed upon in delivery plan

	Condition	Commentary
7	Consult with other Councils on SCADA	[Commentary]
8	Condition [ i.e. consult on water meters]	[Commentary]
9	[Condition ]	[Commentary]
10	[Condition]	[Commentary]
11	[Condition]	[Commentary]

Pre-work commencement status

	Roadblock	Status	Commentary
12	RMA	[Select]	[Commentary]
13	Building Consent	[Select]	[Commentary]
14	Other Consents (i.e. CARs, iwi, Heritage)	[Select]	[Commentary]
15	Design	[Select]	[Commentary]
16	Procurement	[Select]	[Commentary]
17	Main Contract	[Select]	[Commentary]

Quarterly commentary

Programme costs commentary

18	[Commentary on spend to date how its tracking to plan and explanations for under/over spend]
19	[Commentary on spend to date how its tracking to plan and explanations for under/over spend]

Reform funding commentary

20	[Commentary]
21	[Commentary]

Scope and Progress commentary

22	[Commentary on progress during period, i.e. consents gained, work done etc... Progress towards scope and any major changes to scope]
23	[Any major media announcements or upcoming opportunities for media announcements, with estimated timing i.e. commencement of major works or completion]

Three Waters Stimulus

Pre-work / Long term

Question # Quarter 3 (July 2021) Update

Top 5 Risks and Contractor Claims

	Risk Name	Risk Level	Commentary
1	Completion of programme by 31 March 2022	[Select risk]	[Commentary]
2	Internal staff capacity	[Select risk]	[Commentary]
3	Contractor availability	[Select risk]	[Commentary]
4	Unforeseen expenditure	[Select risk]	[Commentary]
5	Poor contractor performance	[Select risk]	[Commentary]
6	Health and Safety procedures not followed	[Select risk]	[Commentary]

Conditions agreed upon in delivery plan

	Condition	Commentary
7	Consult with other Councils on SCADA	[Commentary]
8	Condition [ i.e. consult on water meters]	[Commentary]
9	[Condition ]	[Commentary]
10	[Condition]	[Commentary]
11	[Condition]	[Commentary]

Pre-work commencement status

	Roadblock	Status	Commentary
12	RMA	[Select]	[Commentary]
13	Building Consent	[Select]	[Commentary]
14	Other Consents (i.e. CARs, iwi, Heritage)	[Select]	[Commentary]
15	Design	[Select]	[Commentary]
16	Procurement	[Select]	[Commentary]
17	Main Contract	[Select]	[Commentary]

Quarterly commentary

Programme costs commentary

18	[Commentary on spend to date how its tracking to plan and explanations for under/over spend]
19	[Commentary on spend to date how its tracking to plan and explanations for under/over spend]

Reform funding commentary

20	[Commentary]
21	[Commentary]

Scope and Progress commentary

22	[Commentary on progress during period, i.e. consents gained, work done etc... Progress towards scope and any major changes to scope]
23	[Any major media announcements or upcoming opportunities for media announcements, with estimated timing i.e. commencement of major works or completion]

Three Waters Stimulus

Pre-work / Long term

Question # Quarter 4 (October 2021) Update

Top 5 Risks and Contractor Claims

	Risk Name	Risk Level	Commentary
1	Completion of programme by 31 March 2022	[Select risk]	[Commentary]
2	Internal staff capacity	[Select risk]	[Commentary]
3	Contractor availability	[Select risk]	[Commentary]
4	Unforeseen expenditure	[Select risk]	[Commentary]
5	Poor contractor performance	[Select risk]	[Commentary]
6	Health and Safety procedures not followed	[Select risk]	[Commentary]

Conditions agreed upon in delivery plan

	Condition	Commentary
7	Consult with other Councils on SCADA	[Commentary]
8	Condition [ i.e. consult on water meters]	[Commentary]
9	[Condition ]	[Commentary]
10	[Condition]	[Commentary]
11	[Condition]	[Commentary]

Pre-work commencement status

	Roadblock	Status	Commentary
12	RMA	[Select]	[Commentary]
13	Building Consent	[Select]	[Commentary]
14	Other Consents (i.e. CARs, iwi, Heritage)	[Select]	[Commentary]
15	Design	[Select]	[Commentary]
16	Procurement	[Select]	[Commentary]
17	Main Contract	[Select]	[Commentary]

Quarterly commentary

Programme costs commentary

18	[Commentary on spend to date how its tracking to plan and explanations for under/over spend]
19	[Commentary on spend to date how its tracking to plan and explanations for under/over spend]

Reform funding commentary

20	[Commentary]
21	[Commentary]

Scope and Progress commentary commentary

22	[Commentary on progress during period, i.e. consents gained, work done etc... Progress towards scope and any major changes to scope]
23	[Any major media announcements or upcoming opportunities for media announcements, with estimated timing i.e. commencement of major works or completion]

Three Waters Stimulus

Pre-work / Long term

Question # Quarter 5 (January 2022) Update

Top 5 Risks and Contractor Claims

	Risk Name	Risk Level	Commentary
1	Completion of programme by 31 March 2022	[Select risk]	[Commentary]
2	Internal staff capacity	[Select risk]	[Commentary]
3	Contractor availability	[Select risk]	[Commentary]
4	Unforeseen expenditure	[Select risk]	[Commentary]
5	Poor contractor performance	[Select risk]	[Commentary]
6	Health and Safety procedures not followed	[Select risk]	[Commentary]

Conditions agreed upon in delivery plan

	Condition	Commentary
7	Consult with other Councils on SCADA	[Commentary]
8	Condition [ i.e. consult on water meters]	[Commentary]
9	[Condition ]	[Commentary]
10	[Condition]	[Commentary]
11	[Condition]	[Commentary]

Pre-work commencement status

	Roadblock	Status	Commentary
12	RMA	[Select]	[Commentary]
13	Building Consent	[Select]	[Commentary]
14	Other Consents (i.e. CARs, iwi, Heritage)	[Select]	[Commentary]
15	Design	[Select]	[Commentary]
16	Procurement	[Select]	[Commentary]
17	Main Contract	[Select]	[Commentary]

Quarterly commentary

Programme costs commentary

18	[Commentary on spend to date how its tracking to plan and explanations for under/over spend]
19	[Commentary on spend to date how its tracking to plan and explanations for under/over spend]

Reform funding commentary

20	[Commentary]
21	[Commentary]

Scope and Progress commentary

22	[Commentary on progress during period, i.e. consents gained, work done etc... Progress towards scope and any major changes to scope]
23	[Any major media announcements or upcoming opportunities for media announcements, with estimated timing i.e. commencement of major works or completion]

Three Waters Stimulus

Pre-work / Long term

Question # Final (March 2022) Update

Top 5 Risks and Contractor Claims

	Risk Name	Risk Level	Commentary
1	Completion of programme by 31 March 2022	[Select risk]	[Commentary]
2	Internal staff capacity	[Select risk]	[Commentary]
3	Contractor availability	[Select risk]	[Commentary]
4	Unforeseen expenditure	[Select risk]	[Commentary]
5	Poor contractor performance	[Select risk]	[Commentary]
6	Health and Safety procedures not followed	[Select risk]	[Commentary]

Conditions agreed upon in delivery plan

	Condition	Commentary
7	Consult with other Councils on SCADA	[Commentary]
8	Condition [ i.e. consult on water meters]	[Commentary]
9	[Condition ]	[Commentary]
10	[Condition]	[Commentary]
11	[Condition]	[Commentary]

Pre-work commencement status

	Roadblock	Status	Commentary
12	RMA	[Select]	[Commentary]
13	Building Consent	[Select]	[Commentary]
14	Other Consents (i.e. CARs, iwi, Heritage)	[Select]	[Commentary]
15	Design	[Select]	[Commentary]
16	Procurement	[Select]	[Commentary]
17	Main Contract	[Select]	[Commentary]

Quarterly commenta

Programme costs commentary

18	[Commentary on spend to date how its tracking to plan and explanations for under/over spend]
19	[Commentary on spend to date how its tracking to plan and explanations for under/over spend]

Reform funding commentary

20	[Commentary]
21	[Commentary]

Scope and Progress commentary commentary

22	[Commentary on progress during period, i.e. consents gained, work done etc... Progress towards scope and any major changes to scope]
23	[Any major media announcements or upcoming opportunities for media announcements, with estimated timing i.e. commencement of major works or completion]

Three Waters Stimulus Funding - LTP information collection

LTP information				Actual LTP Spend																	
	FY19/20	FY20/21	FY21/22																		
	Actual	Plan	Plan	Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	
<b>Water Supply</b>																					
Potable water mains / pipes upgraded / renewed or new	\$NZ'm	0.02	0.18	0.19	0.00	0.00	0.00	0.00	0.10	0.04	0.04	0.03	0.03	0.03	0.03	0.03	0.01		0.03		
Water pipe inspections	\$NZ'm	0.00	0.00	0.00																	
Leak detection	\$NZ'm	0.00	0.00	0.00																	
Water Treatment Plant upgrades	\$NZ'm	0.12	0.43	0.06	0.05	0.03	0.00	0.16	0.00	0.05	0.13	0.06									
Pump station upgrades	\$NZ'm	0.00	0.00	0.00																	
Bore upgrades	\$NZ'm	0.00	0.00	0.00																	
New water source added	\$NZ'm	0.00	0.00	0.00																	
Raw water storage	\$NZ'm	0.00	0.00	0.00																	
Treated water storage (refurbished or new)	\$NZ'm	0.00	0.00	0.00																	
Boundary backflow preventors	\$NZ'm	0.08	0.06	0.06	0.05	0.02	0.02	0.02	0.02	0.00	0.00	0.00	0.01	0.01	0.01	0.01	0.01	0.01	0.01	0.01	0.01
Water meters installed	\$NZ'm	0.00	0.00	0.00																	
Water filling station	\$NZ'm	0.00	0.00	0.00																	
Water security / fencing	\$NZ'm	0.00	0.01	0.00				0.01													
Other	\$NZ'm	0.00	0.00	0.00																	
<b>Total Water Supply</b>		<b>0.22</b>	<b>0.68</b>	<b>0.30</b>	<b>0.10</b>	<b>0.05</b>	<b>0.02</b>	<b>0.18</b>	<b>0.03</b>	<b>0.15</b>	<b>0.17</b>	<b>0.10</b>	<b>0.04</b>	<b>0.04</b>	<b>0.04</b>	<b>0.04</b>	<b>0.04</b>	<b>0.01</b>	<b>0.04</b>	<b>0.01</b>	<b>0.01</b>
<b>Wastewater</b>																					
Wastewater pipes upgraded / renewed or new	\$NZ'm	0.00	0.00	0.00																	
Wastewater pipe inspections	\$NZ'm	0.00	0.00	0.00																	
Sludge removal from ponds #	\$NZ'm	0.01	0.06	0.06	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Pump station upgrades	\$NZ'm	0.04	0.01	0.01	0.01	0.00															
Wastewater Treatment Plant upgrades	\$NZ'm	0.04	0.04	0.01	0.01	0.00		0.01	0.01	0.01	0.01										0.01
Other	\$NZ'm																				
<b>Total Wastewater</b>		<b>0.09</b>	<b>0.10</b>	<b>0.08</b>	<b>0.02</b>	<b>0.00</b>	<b>-</b>	<b>-</b>	<b>0.01</b>	<b>0.01</b>	<b>0.01</b>	<b>0.01</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.01</b>
<b>Storm</b>																					
Stormwater pipe inspections	\$NZ'm	0.00	0.01	0.00																	
Stormwater pipes upgraded / renewed or new	\$NZ'm	0.03	0.13	0.13	0.01	0.00		0.04													
Stormwater treatment	\$NZ'm	0.00	0.00	0.00																	
Other	\$NZ'm																				
<b>Total Storm</b>		<b>0.03</b>	<b>0.13</b>	<b>0.13</b>	<b>0.01</b>	<b>0.00</b>	<b>-</b>	<b>0.04</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Other</b>																					
Asset data and GIS improvements/update/maintenance	\$NZ'm	0.00	0.00	0.02																	
SCADA upgrades or new	\$NZ'm	0.01	0.07	0.03	0.00	0.03		0.01	0.01	0.02											
Hydraulic modelling of network	\$NZ'm																				
Strategy Study or Report	\$NZ'm																				
Co-ordination initiatives undertaken	\$NZ'm																				
Preparation for Reform	\$NZ'm																				
Programme management	\$NZ'm																				
<b>Total Other</b>		<b>0.01</b>	<b>0.07</b>	<b>0.04</b>	<b>-</b>	<b>0.03</b>	<b>-</b>	<b>-</b>	<b>0.01</b>	<b>0.01</b>	<b>0.02</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Total</b>	\$NZ'm	<b>0.35</b>	<b>0.98</b>	<b>0.55</b>	<b>0.13</b>	<b>0.08</b>	<b>0.02</b>	<b>0.22</b>	<b>0.05</b>	<b>0.17</b>	<b>0.19</b>	<b>0.11</b>	<b>0.04</b>	<b>0.04</b>	<b>0.04</b>	<b>0.04</b>	<b>0.04</b>	<b>0.01</b>	<b>0.04</b>	<b>0.01</b>	<b>0.02</b>

**Document No:** A506362

**Report To: Audit, Risk and Finance Committee**



**Meeting Date:** 16 February 2021

**Subject: Motion to Exclude the Public for the Consideration of Council Business**

## Purpose

- 1.1 The purpose of this business paper is to enable consideration as to whether or not the public should be excluded from the consideration of Council business.
- 1.2 The Committee may choose whether or not to consider any of the items in the public or public excluded portion of the meeting.

## Commentary

- 2.1 Section 48 of the Local Government Official Information and Meetings Act 1987 gives the right, by resolution, to exclude the public from the whole or any part of the proceedings of any meeting, only on one or more of the grounds contained within that Section.

## Suggested Resolutions

- 1 The public be excluded from the following part of the proceedings of this meeting.
- 2 The general subject of each matter to be considered while the public is excluded and the reason for passing this resolution in relation to each matter, as specified by Section 48(1) of the Local Government Official Information and Meetings Act 1987 are as follows:

General Subject of each matter to be considered	Reason for passing this resolution in relation to each matter	Ground(s) under section 48(1) for the passing of this resolution
1. Progress Report: Health and Safety	Section 7(2)(a) To protect the privacy of natural persons, including that of deceased natural persons	Section 48(1)(a)(1)
2. Progress Report: Procurement Summary (July 2020 – September 2020)	Section 7(2)(c)(i) – To enable any local authority holding the information to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations)	Section 48(1)(a)(1)
3. Progress Report: Investment Oversight Working Party	Section 7(2)(c)(i) – To enable any local authority holding the information to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations)	Section 48(1)(a)(1)

- 3 Council agree the following staff, having relevant knowledge to assist in the consideration of the items of business to be public excluded, remain in attendance to assist the Committee with its decision making:

Staff Member	Reason for Remaining in Attendance
Chief Executive	Council CEO
Manager – Governance Support	Committee Secretary
General Manager – Community Services	Business Paper Author
Acting General Manager – Infrastructure Services	Business Paper Author

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



MICHELLE HIGGIE

**MANAGER – GOVERNANCE SUPPORT**