



Agenda

Audit and Risk Committee Meeting

**Tuesday 13 February 2024
at 9.00am**

All attendees at this meeting are advised that the meeting will be electronically recorded (audio and video) for the purpose of webcasting to the Council 's website. Every care will be taken to maintain individuals' privacy; however, attendees are advised they may be recorded as part of the general meeting proceedings.



NOTICE OF MEETING

A MEETING OF THE WAITOMO DISTRICT COUNCIL AUDIT AND RISK COMMITTEE IS TO BE HELD IN THE COUNCIL CHAMBERS, QUEEN STREET, TE KUITI ON TUESDAY 13 FEBRUARY 2024 COMMENCING AT 9.00AM

COMMITTEE MEMBERS

Mr Bruce Robertson (Chair)
Cr Gavin Todd

Mayor John Robertson
Cr Janene New

Deputy Mayor Allan Goddard
Cr Janette Osborne

MICHELLE HIGGIE
MANAGER – GOVERNANCE SUPPORT

ORDER PAPER

Item of Business	Page No.
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IMPORTANT NOTE

1. The business papers attached to this Order Paper set out recommendations and suggested resolutions only. Those recommendations and suggested resolutions **DO NOT** represent Council policy until such time as they might be adopted by Council resolution.
2. This Order Paper may be subject to amendment either by the addition or withdrawal of items contained therein.
3. This Meeting will be **webcast** in real time to the Waitomo District Council website and will also be available for viewing on demand as soon as reasonably practicable following the meeting.

**WAITOMO DISTRICT COUNCIL
AUDIT AND RISK COMMITTEE**

MINUTES OF A MEETING OF THE WAITOMO DISTRICT COUNCIL AUDIT AND RISK COMMITTEE HELD IN THE COUNCIL CHAMBERS, QUEEN STREET, TE KUITI ON TUESDAY 17 OCTOBER 2023 AT 9.00AM

- PRESENT:** Independent Chairperson Bruce Robertson
Mayor John Robertson (for part only)
Deputy Mayor Allan Goddard
Councillor Gavin Todd
Councillor Janene New
Councillor Janette Osborne
- IN ATTENDANCE:** Chief Executive, Ben Smit
Manager – Governance Support, Michelle Higgie
Chief Financial Officer, Tina Hitchen
Senior Accountant, Wayne La Roche
Manager – Strategy and Policy, Charmaine Ellery
Senior Strategy and Policy Advisor, Alice Tasker
General Manager – Community Services, Helen Beever
Health and Safety Administrator, Nicole Sheward
General Manager – Infrastructure Services, Shyamal Ram

1. Apology for Lateness

Resolution

The apology from Mayor Robertson for lateness be received and leave of absence granted.

B Robertson/Todd Carried

2. Declaration of Member Conflicts of Interest

Councillor Osborne (Interest only – no conflict)

Item 5 Infrastructure Insurance "Side Car" Policy to be Discontinued – Family member is an employee of Aon.

3. Confirmation of Minutes – 15 August 2023

Resolution

The Minutes of the Waitomo District Council Audit and Risk Committee meeting held on 15 August 2023 be confirmed as a true and correct record subject to the following amendments:

- 1 Correct the date in the Header to read "15 August 2023"
- 2 Item 6 – Treasury Report for the period ended 30 June 2023, Resolution 2 – correct "Three Waters" to read "Affordable Water Reform"

B Robertson/New Carried

4. Mastercard Expenditure Report (July/August 2023)

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

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

The Committee noted that on page 7 of the Agenda, the Air New Zealand airfares for Mayor Robertson (Auckland-Christchurch return) and the refund of airfares (Hamilton-Christchurch return) were for the Mayor's attendance at 2023 LGNZ Annual General Meeting and Conference in Christchurch (26 to 28 July 2023) and not a Rural and Provincial Sector meeting.

Resolution

The Mastercard Expenditure Report for the period (July/August 2023) be received.

Osborne/Goddard Carried

5. Infrastructure Insurance "Side Car" Policy to be Discontinued

The Committee considered a business paper providing a brief on the discontinuation of Council's Infrastructure 'Side Car' policy from 1 November 2023.

The Committee noted Cr Osborne's declaration of a possible conflict of interest and that for the consideration of this business paper there is no conflict.

The Chief Financial Officer expanded verbally on the business paper and answered Members' questions.

The Chairperson noted that there is no substantive risk to the Council in discontinuing this Policy.

Resolution

- 1 The business paper on Insurance Renewals - Infrastructure Insurance 'Side Car' Policy be received.
- 2 The Committee note the discontinuation of the Infrastructure 'Side Car' Policy from 1 November 2023 due to affordability considerations and that it is likely that WDC would be eligible for central government share of funding (60%) for a natural catastrophe event.

B Robertson/Todd Carried

6. Treasury Management Report for the period ended 30 September 2023

The Committee considered a business paper providing an update on Waitomo District Council's debt position and compliance with borrowing limits for the period ending 30 September 2023.

The Chief Financial Officer expanded verbally on the business paper and answered Members' questions.

Resolution

- 1 The business paper on Treasury Management Report for period ended 30 September 2023 be received.
- 2 The Committee note the breach in relation to fixed rate cover for the September 2026 to September 2027 period and recognise the Committee's acceptance of the position, pending the Affordable Waters Reforms outcome.

Goddard/Osborne Carried

The Chief Financial Officer and Senior Accountant left the meeting at 9.32am

The Manager – Strategy and Policy and Senior Strategy and Policy Advisor entered the meeting at 9.32am

7. Progress Report: Key Performance Indicators - period ended 30 September 2023

The Committee considered a business paper presenting Waitomo District Council's delivery performance on non-financials for the 2022/23 financial year ending 30 September 2023.

The Manager – Strategy and Policy and Senior Strategy and Policy Advisor expanded verbally on the business paper and answered Members' questions.

The General Manager – Community Services and Health and Safety Administrator entered the meeting at 9.35am

Resolution

The Progress Report: Key Performance Indicators for the period ended 30 September 2023 be received.

New/Osborne Carried

The Manager – Strategy and Policy and Senior Strategy and Policy Advisor left the meeting at 9.45am

8. Progress Report: Health and Safety

The Committee considered a business paper providing a brief on Waitomo District Council's health and safety performance during the 2023/2024 year.

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

The General Manager – Infrastructure Services entered the meeting at 9.50am.

Resolution

The Progress Report: Health and Safety be received.

B Robertson/New Carried

The General Manager – Community Services and Health and Safety Administrator left the meeting at 9.55am.

9. Progress Report: Procurement Summary Schedule (July 2023 – September 2023)

The Committee considered a business paper presenting a summary of the procurements made in the period July to September 2023 in accordance with Waitomo District Council's Procurement Policy.

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

Resolution

The Progress Report: Procurement Summary Schedule (July 2023 – September 2023) be received.

B Robertson/Todd Carried

10. Progress Report: WDC Resource Consents – Compliance Monitoring

The Committee considered a business paper providing a brief on compliance reporting against Resource Consent conditions, due during the first quarter of the 2023/2024 financial year.

Bruno Dente (Deloitte) entered the meeting at 10.08am

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

The Chairperson requested that for future business papers, when a partial or full non-compliance is reported, that the implications of that non-compliance be included in the business paper.

Resolution

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

B Robertson/Osborne Carried

11. Motion to Exclude the Public

The Committee considered a business paper enabling the Committee to consider whether or not the public should be excluded from the consideration of Council business.

- 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	Section 48(1) grounds for the passing of this resolution
1. Presentation: Deloitte - Annual Report 2022/2023	Section 7(2)(c)(1) (c) To protect information which is subject to an obligation of confidence or which any person has been or could be compelled to provide under the authority of any enactment, where the making available of the information – (i) would be likely to prejudice the supply of similar information, or information from the same source, and it is in the public interest that such information should continue to be supplied;	Section 48(1)(d)

- 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
Manager – Strategy and Policy	Portfolio Holder
Senior Strategy and Policy Advisor	Portfolio Holder
Chief Financial Officer	Portfolio Holder
Senior Accountant	Portfolio Holder

- 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/New Carried

12. Public Excluded Items to be made public following Council's decision taking

Resolution

Following Council's consideration and decision taking of the public excluded items of business, Council agreed:

1 Presentation: Deloitte – Annual Report 2022/2023

To protect information which is subject to an obligation of confidence, the resolution only be made public as follows:

Resolution

The Presentation from Deloitte representatives Bruno Dente (Partner) and Callum Maxwell (Audit Manager) on the Annual Report 2022/2023 be received.

B Robertson/A Goddard Carried

13. Draft Annual Report 2022/2023 – Recommendation to Council

The Committee considered a business paper presenting the Draft Annual Report 2022/23 for consideration and, subject to amendment, recommendation to Council for adoption.

The Manager – Policy and Strategy and Chief Financial Officer expanded verbally on the business paper and answered Members' questions.

The Chairperson noted that this is the final Annual Report audit for Bruno Dente, Partner at Deloitte in his current term as Waitomo District Council's appointed Auditor and thanked him for his work over that time.

Resolution

- 1 The business paper on Draft Annual Report 2022/23 – Recommendation to Council, be received.
- 2 The Confidential Report to the Committee presented by Deloitte be received.
- 3 The Audit and Risk Committee recommend to the Council the adoption of the Annual Report 2022/23, subject to any amendments agreed at this meeting and any further changes required as a result of completing the audit.
- 4 Any matters of significance which may arise relating to the Draft Annual Report 2022/23 between this meeting and the Council meeting on 31 October 2023 be referred to the Independent Chairperson.

Osborne/Goddard Carried

There being no further business the meeting closed at 11.56am

Dated this day of 2023

BRUCE ROBERTSON
INDEPENDENT CHAIRPERSON

Confidential

Document No: A707356

Report To: Audit and Risk Committee



Meeting Date: 13 February 2024
Subject: **Mastercard Expenditure Report
 September 2023 to January 2024**
Type: Information Only

Purpose of Report

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

Commentary

2.1 Introduction

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

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

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

2.5 Acknowledgement of Risk

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

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

2.8 Policy

2.9 A summary of the Policy is as follows:

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

2.10 **Presentation of Expenditure Details**

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

Suggested Resolution

The Mastercard Expenditure Report for the period September 2023 to January 2024 be received.



MICHELLE HIGGIE

MANAGER – GOVERNANCE SUPPORT

Attachments: Mastercard Authorisation Forms: September 2023 to January 2024



11

CONSOLIDATED STATEMENT

TAX INVOICE
GST NO. 93 259 688

27 September 2023

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

RECEIVED
05 OCT 2023
WAITOMO DISTRICT
COUNCIL

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



Business Mastercard®

Account summary

Facility Number:	0030 1565 8499
Total Cardholder Limit:	\$25,000.00
Total Cardholder Net Balance:	\$8,135.01
Total Interest and Fees:	\$0.00

Statement period: 28/08/2023 to 27/09/2023

Consolidated summary

CARDHOLDER NAME	ACCOUNT NUMBER	LIMIT \$	BALANCE \$
Ms M D Higgle	0030 2936 5933	10,000	6,755.10
Mrs H M Beever	0030 3956 2081	5,000	0.00
Mr A M Bell	0030 6627 0319	5,000	0.00
Mr S C Ram	0030 6674 8769	5,000	1,379.91
TOTALS		\$25,000	\$8,135.01

Direct Debit payment

We advise that \$8,135.01 will be directly charged to your account 03-0449-0070201-00 on 20 October 2023, please note this transaction for your records.

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

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

12 Mastercard Statement Authorisation Form

Name:	Michelle Higgle
Position:	Manager – Governance Support
Statement Date:	27 / 09 / 23

(1)	Creditor:	Waka Kotahi NZ Transport Agency
	Date:	28 August 2023
	Total Amount:	\$2,294.40 (refer breakdown below)
	Amount:	\$764.80
	GL Code:	820 27 747
	Expenditure:	10,000km Road User Charges for Waitomo District Council Fleet Vehicle (Rego LPS811) - Water Services
	Amount:	\$764.80
	GL Code:	820 27 752
	Expenditure:	10,000km Road User Charges for Waitomo District Council Fleet Vehicle (Rego MGA224) – Parks and Reserves
	Amount:	\$764.80
	GL Code:	820 27 774
	Expenditure:	10,000km Road User Charges for Waitomo District Council Fleet Vehicle (Rego NKQ165) – Parks and Reserves

(2)	Creditor:	Waka Kotahi NZ Transport Agency
	Date:	1 September 2023
	Amount:	\$764.80
	GL Code:	820 27 773
	Expenditure:	10,000km Road User Charges for WDC Fleet Vehicle (Rego NKG330) - Water Services Manager

(3)	Creditor:	Air NZ
	Date:	5 September 2023
	Amount:	\$259.60
	GL Code:	817 38 700
	Expenditure:	Airfares: Hamilton to Wellington Return - Chief Information Officer attendance at 2023 ALGIM Conference

(4)	Creditor:	Air NZ
	Date:	5 September 2023
	Amount:	\$520.60
	GL Code:	817 38 700
	Expenditure:	Airfares: Tauranga to Wellington Return - Systems Analyst/Senior IT Support Officer attendance at 2023 ALGIM Conference

(5)	Creditor:	Air New Zealand
	Date:	8 September 2023
	Amount:	\$707.60
	GL Code:	111 42 700
	Expenditure:	Airfares (Auckland-Wellington Return) - Mayor Robertson attendance at LGNZ Future By Local Government "Lets Build Consensus" (Part 1) in Wellington on 17 and 18 September 2023.

(6) Creditor:	Waka Kotahi NZ Transport Agency
Date:	8 September 2023
Amount:	\$764.80
GL Code:	820 27 742
Expenditure:	10,000km Road User Charges for Fleet Vehicle (LHC172) - Water Services
(7) Creditor:	Active Safety NZ Ltd
Date:	15 September 2023
Amount:	\$89.70
GL Code:	820 27 773
Expenditure:	LED Magnetic Beacon Light for Fleet Vehicle (NKG330) - Water Services Manager
(8) Creditor:	Waka Kotahi NZ Transport Agency
Date:	15 September 2023
Amount:	\$384.80
GL Code:	820 27 751
Expenditure:	5,000KM Road User Charges for Fleet Vehicle (Rego LMZ559) - Pool Car
(9) Creditor:	The Oaks Wellington
Date:	8 September 2023
Amount:	\$169.00
GL Code:	111 42 700
Expenditure:	Accommodation (1 Night) - Mayor Robertson attendance at LGNZ Future By Local Government "Lets build Consensus" (Part 1) in Wellington on 17 and 18 September 2023.
(10) Creditor:	The Oaks Wellington
Date:	8 September 2023
Amount:	\$35.00
GL Code:	111 42 700
Expenditure:	Breakfast - Mayor Robertson attendance at LGNZ Future By Local Government "Lets Build Consensus" (Part 1) in Wellington on 17 and 18 September 2023.
(11) Creditor:	Waka Kotahi NZ Transport Agency
Date:	19 September 2023
Amount:	\$764.80
GL Code:	820 27 772
Expenditure:	10,000km Road User Charges for Fleet Vehicle (NHZ59) - Programme Lead, Rooding

I certify that:

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

**Signature of
Manager – Governance Support**



Date:

**Authorised by
Chief Executive:**



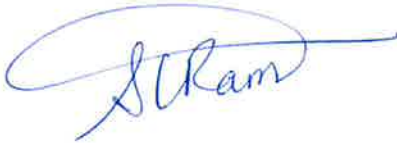

Date: 1/11/2023

**Authorised by
Mayor:**



Date:

14
Mastercard Statement Authorisation Form

Name:	Shyamal Ram
Position:	General Manager – Infrastructure Services
Statement Date:	27 / 09 / 23
(1) Creditor:	BP 2GO Te Kuiti
Date:	19 September 2023
Amount:	\$600.00
GL Code:	622 44 761 - Piopio Litter Bins
Expenditure:	6 x \$100 Petrol vouchers for Volunteer who empties litter bins at Kara Park, Piopio. (To be given monthly for next 6 months)
(2) Creditor:	Engineering NZ
Date:	20 September 2023
Amount:	\$546.25
GL Code:	811 33 530
Expenditure:	Annual Membership Renewal: General Manager – Infrastructure Services
(3) Creditor:	ICMA (International City/County Management Association - an organisation of local government professionals dedicated to creating and sustaining thriving communities throughout the world.)
Date:	21 September 2023
Amount:	\$135.00
GL Code:	81133530
Expenditure:	Annual Membership Renewal: General Manager – Infrastructure Services
I certify that:	
1 I have attached the necessary supplementary docket or receipt.	
2 The account is payable.	
3 The debt incurred is work related.	
4 That any private component is identified and the amount has been reimbursed as follows:	
Signature of GM – Infrastructure Services	Authorised by Chief Executive:
	
Date: 1/11/2023	Date: 1/11/2023



15

AA698652

CONSOLIDATED STATEMENT

TAX INVOICE
GST NO. 93 259 688

27 October 2023

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

RECEIVED
14 NOV 2023
DISTRICT
COUNCIL

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



Business Mastercard®

Account summary

Facility Number: **0030 1565 8499**
Total Cardholder Limit: **\$25,000.00**
Total Cardholder Net Balance: **\$6,898.36**
Total Interest and Fees: **\$0.00**

Statement period: **28/09/2023 to 27/10/2023**

Consolidated summary

CARDHOLDER NAME	ACCOUNT NUMBER	LIMIT \$	BALANCE \$
Ms M D Higgle	0030 2936 5933	10,000	3,718.68
Mrs H M Beaver	0030 3956 2081	5,000	667.60
Mr B E Smit	0030 6638 4672	5,000	967.20
Mr S C Ram	0030 6674 8769	5,000	1,544.88
TOTALS		\$25,000	\$6,898.36

Direct Debit payment

We advise that \$6,898.36 will be directly charged to your account 03-0449-0070201-00 on 20 November 2023, please note this transaction for your records.

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Mastercard Statement Authorisation Form

16

Name:	Michelle Higgin
Position:	Manager – Governance Support
Statement Period:	28/09/2023 to 27/10/2023
(1) Creditor:	Air New Zealand
Date:	28 September 2023
Amount:	\$409.60
GL Code:	111 42 700
Expenditure:	Airfares (Hamilton-Wellington Return) - Mayor Robertson attendance at LGNZ Future By Local Government (Part 2) and LGNZ Rural & Provincial Sector Meeting in Wellington on 2 and 3 November 2023.
(2) Creditor:	Air New Zealand
Date:	28 September 2023
Amount:	\$302.60
GL Code:	111 42 700
Expenditure:	Airfares (Hamilton-Wellington Return) - Councillor Manawaiti attendance at LGNZ Future By Local Government (Part 2) and LGNZ Rural & Provincial Sector Meeting in Wellington on 2 and 3 November 2023.
(3) Creditor:	The Oaks Wellington
Date:	28 September 2023
Amount:	\$390.00
GL Code:	111 42 700
Expenditure:	Accommodation (2 Nights: 1 & 2 November 2023) - Mayor Robertson attendance at LGNZ Future By Local Government (Part 2) and LGNZ Rural & Provincial Sector Meeting in Wellington on 2 and 3 November 2023.
(4) Creditor:	The Oaks Wellington
Date:	28 September 2023
Amount:	\$390.00
GL Code:	111 42 700
Expenditure:	Accommodation (2 Nights: 1 & 2 November 2023) - Councillor Manawaiti attendance at LGNZ Future By Local Government (Part 2) and LGNZ Rural & Provincial Sector Meeting in Wellington on 2 and 3 November 2023.
(5) Creditor:	Waka Kotahi NZ Transport Agency
Date:	5 October 2023
Amount:	\$772.44
GL Code:	82027779
Expenditure:	10,000km Road User Charges for Fleet Vehicle (PFN107) – Chief Executive
(6) Creditor:	Air New Zealand
Date:	10 October 2023
Amount:	\$681.60
GL Code:	81738700 - Professional Development / Training
Expenditure:	Airfares (Hamilton-Wellington Return) - National Dog Database Training (Customer Services Officer)

(7) Creditor:	Waka Kotahi NZ Transport Agency
Date:	10 October 2023
Amount:	\$772.44
GL Code:	82027777
Expenditure:	10,000km Road User Charges for Fleet Vehicle (NLD334) - Water Services

I certify that:


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

**Signature of
Manager – Governance Support**



Date: 14 December 2023

**Authorised by
Chief Executive:**



Date: 14/12/23

**Authorised by
Mayor:**



Date: 14/12/23

18 Mastercard Statement Authorisation Form

Name: Helen Beever
Position: General Manager – Community Services
Statement Period: 28/09/2023 to 27/10/2023

(1) **Creditor:** Air NZ
Date: 18 October 2023
Amount: \$667.60
GL Code: 81738700 - Professional Development / Training
Expenditure: Airfares (Hamilton-Wellington Return) - Taituara - Funding and Rating Forum - Jacqui Le Grange

I certify that:

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

**Signature of
GM – Community Services:**

**Authorised by
Chief Executive:**



Date:

Date: 14/12/23

Mastercard Statement Authorisation Form

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Name: Ben Smit
Position: Chief Executive
Statement Period: 28/09/2023 to 27/10/2023

(1) **Creditor:** Air New Zealand
Date: 11 October 2023
Amount: \$967.20
GL Code: 111 40 551
Expenditure: Return Airfares (Hamilton - Wellington) - 2 x TUIA Rangatahi Representatives (Aroha Wehi and Taetia Kopa) attendance at final Wanganga for 2023 in Greytown.

I certify that:

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

**Signature of
Chief Executive:**



Date: 14/12/23

**Authorised by
Mayor:**



Date: 14/12/23

**Authorised by
Manager – Governance Support**



Date: 14 December 2023

Mastercard Statement Authorisation Form

20

Name: Shyamal Ram
Position: General Manager – Infrastructure Services
Statement Period: 28/09/2023 to 27/10/2023


(1) **Creditor:** Waka Kotahi (NZTA)
Date: 12 October 2023
Amount: \$772.44
GL Code: 82027753
Expenditure: 10,000 km Road User Charges for Fleet Vehicle (MGA225) - Internal Services

(2) **Creditor:** Waka Kotahi (NZTA)
Date: 25 October 2023
Amount: \$772.44
GL Code: 82027792
Expenditure: 10,000km Road User Charges for Fleet Vehicle (PFN108) - Water Services

I certify that:

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

Signature of
GM – Infrastructure Services



Date: 14/12/23

Authorised by
Chief Executive:



Date: 14/12/23



A70110621

CONSOLIDATED STATEMENT

TAX INVOICE
GST NO. 93 259 688

RECEIVED

05 DEC 2023

WAITOMO DISTRICT
COUNCIL

27 November 2023

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

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



Business Mastercard®

Account summary

Facility Number: **0030 1565 8499**
Total Cardholder Limit: **\$25,000.00**
Total Cardholder Net Balance: **\$4,926.18**
Total Interest and Fees: **\$0.00**

Statement period: **28/10/2023 to 27/11/2023**

Consolidated summary

CARDHOLDER NAME	ACCOUNT NUMBER	LIMIT \$	BALANCE \$
Ms M D Higgle	0030 2936 5933	10,000	3,035.66
Mrs H M Beever	0030 3956 2081	5,000	1,890.52
Mr B E Smit	0030 6638 4672	5,000	0.00
Mr S C Ram	0030 6674 8769	5,000	0.00
TOTALS		\$25,000	\$4,926.18




Direct Debit payment

We advise that \$4,926.18 will be directly charged to your account 03-0449-0070201-00 on 20 December 2023, please note this transaction for your records.

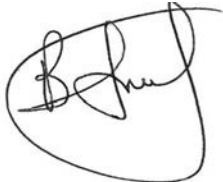
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22 Mastercard Statement Authorisation Form

Name:	Michelle Higgin	
Position:	Manager – Governance Support	
Statement Period:	28/10/23 to 27/11/2023	
(1) Creditor:	Waka Kotahi NZ Transport Agency	
Date:	10 November 2023	
Amount:	\$772.44	
GL Code:	82027741	
Expenditure:	10,000km Road User Charges for Fleet Vehicle (LHC171) - Water Services	
(2) Creditor:	Oaks Wellington Hotel	
Date:	5 September 2023	
Amount:	\$619.34	
GL Code:	81738700 (Professional Dev/Training)	
Expenditure:	Accommodation (3 Nights: 13-15 November 2023) - Chief Information Officer attendance at 2023 ALGIM Conference	
(3) Creditor:	Oaks Wellington Hotel	
Date:	16 October 2023	
Amount:	\$726.44	
GL Code:	81738700 (Professional Dev/Training)	
Expenditure:	Accommodation and Breakfasts (3 Nights: 13-15 November 2023) - Systems Analyst/Senior IT Support Officer attendance at 2023 ALGIM Conference	
(4) Creditor:	Aquarius Motel, Ohope	
Date:	11 October 2023	
Amount:	\$145.00	
GL Code:	111 42 700	
Expenditure:	Accommodation (1 Night: 16 November 2023) - Cr Osborne attendance at LGNZ Zone 2 Meeting hosted by Whakatane District Council on 16 and 17 November 2023.	
(5) Creditor:	Waka Kotahi NZ Transport Agency	
Date:	20 November 2023	
Amount:	\$772.44	
GL Code:	82027749	
Expenditure:	10,000km Road User Charges for Fleet Vehicle (LPS823) - Internal Services	
I certify that:		
1 I have attached the necessary supplementary docket or receipt.		
2 The account is payable.		
3 The debt incurred is work related.		
4 That any private component is identified and the amount has been reimbursed as follows:		
Signature of Manager – Governance Support	Authorised by Chief Executive:	Authorised by Mayor:
		
Date: 14 December 2023	Date: 14/12/23	Date: 14/12/23

Mastercard Statement Authorisation Form ²³

Name: Helen Beever	
Position: General Manager – Community Services	
Statement Period: 28/10/23 to 27/11/2023	
(1) Creditor:	Crowne Plaza Christchurch
Date:	2 November 2023
Amount:	\$1,247.44
GL Code:	817 38 700
Expenditure:	Accommodation and Meals (Dinner, Bed and Breakfast - 5 Nights/Mornings) - WDC Librarian attendance at 2023 LIANZA (Library and Information Association of New Zealand Aotearoa) Conference from 29/10/23 - 02/11/2023.
(2) Creditor:	James Cook Hotel Grand Chancellor Wellington
Date:	18 October 2023
Amount:	\$592.20
GL Code:	81738700 - Professional Development / Training
Expenditure:	Accommodation (2 Nights: 31 October and 1 November) - Taituara - Funding and Rating Forum - Jacqui Le Grange
I certify that:	
1 I have attached the necessary supplementary docket or receipt.	
2 The account is payable.	
3 The debt incurred is work related.	
4 That any private component is identified and the amount has been reimbursed as follows:	
Signature of GM – Community Services:	Authorised by Chief Executive:
	
Date:	Date: 14/12/23



24

CONSOLIDATED STATEMENT

TAX INVOICE
GST NO. 93 259 688

27 December 2023

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

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



Business Mastercard®

Account summary

Facility Number: **0030 1565 8499**
Total Cardholder Limit: **\$20,000.00**
Total Cardholder Net Balance: **\$4,511.61**
Total Interest and Fees: **\$0.00**

Statement period: **28/11/2023 to 27/12/2023**

Consolidated summary

CARDHOLDER NAME	ACCOUNT NUMBER	LIMIT \$	BALANCE \$
Ms M D Higgle	0030 2936 5933	10,000	3,089.76
Mrs H M Beever	0030 3956 2081	5,000	0.00
Mr A M Bell	0030 6627 0319	5,000	1,421.85
TOTALS		\$20,000	\$4,511.61

Direct Debit payment


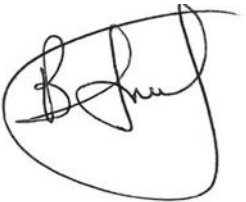

We advise that \$4,511.61 will be directly charged to your account 03-0449-0070201-00 on 20 January 2024, please note this transaction for your records.

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WAITOMO DISTRICT
COUNCIL

Mastercard Statement Authorisation Form 25

Name:	Michelle Higgie	
Position:	Manager – Governance Support	
Statement Date:	27 / 12 / 23	
(1) Creditor: Waka Kotahi NZ Transport Agency		
Date:	6 December 2023	
Amount:	\$1,544.88 (breakdown as below)	
Amount:	\$772.44	
GL Code:	820 27 743	
Expenditure:	10,000KM Road User Charges for WDC Fleet Vehicle (Rego LHC173) - Compliance and Monitoring	
Amount:	\$772.44	
GL Code:	820 27 748	
Expenditure:	10,000KM Road User Charges for WDC Fleet Vehicle (Rego-LPS822) - Parks and Facilities Operator	
(2) Creditor: Waka Kotahi NZ Transport Agency		
Date:	11 December 2023	
Amount:	\$1,544.88 (breakdown as below)	
Amount:	\$772.44	
GL Code:	820 27 766	
Expenditure:	10,000KM Road User Charges for WDC Fleet Vehicle (Rego KBU339) - Animal Control	
Amount:	\$772.44	
GL Code:	820 27 744	
Expenditure:	10,000KM Road User Charges for WDC Fleet Vehicle (Rego-LHY96) - Parks and Facilities Operator	
I certify that:		
1 I have attached the necessary supplementary docket or receipt.		
2 The account is payable.		
3 The debt incurred is work related.		
4 That any private component is identified and the amount has been reimbursed as follows:		
Signature of Manager – Governance Support  Date: 7 February 2024	Authorised by Chief Executive:  Date: 7 February 2024	Authorised by Mayor:  Date: 7 February 2024

Mastercard Statement Authorisation Form ²⁶

Name:	Alex Bell
Position:	General Manager – Strategy and Environment
Statement Date:	27 / 12 / 23
<hr/>	
(1) Creditor:	Professional Trapping Molendinar QLD
Date:	7 December 2023
Amount:	\$1,451.85 (1,295.83 AUD with Foreign Currency Fee \$34,66 NZD included)
GL Code:	511 40 550
Expenditure:	Animal Control Catch Poles – 3 x 3ft Ketch All Poles, 1 x 5ft Ketch Poles, 1 x 28" Ketch Cable and 1 x Ketch All Snappy Snare
<hr/>	
I certify that:	
1 I have attached the necessary supplementary docket or receipt.	
2 The account is payable.	
3 The debt incurred is work related.	
4 That any private component is identified and the amount has been reimbursed as follows:	
Signature of GM – Strategy and Environment 	Authorised by Chief Executive: 
Date: 7 February 2023	Date: 7 February 2024



27

CONSOLIDATED STATEMENT

TAX INVOICE
GST NO. 93 259 688

27 January 2024

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

RECEIVED

7 FEB 2024

WAITOMO DISTRICT
COUNCIL

Westpac Cards Services
53 Galway Street
Auckland 1010

Phone: 0800 888 111
From overseas: +64 9 914 8026



A 707323

Business Mastercard®

Account summary

Facility Number: **0030 1565 8499**
Total Cardholder Limit: **\$15,000.00**
Total Cardholder Net Balance: **\$3,089.76**
Total Interest and Fees: **\$0.00**

Statement period: **28/12/2023 to 27/01/2024**

Consolidated summary

CARDHOLDER NAME	ACCOUNT NUMBER	LIMIT \$	BALANCE \$
Ms M D Higgle	0030 2936 5933	10,000	3,089.76
Mr A M Bell	0030 6627 0319	5,000	0.00
TOTALS		\$15,000	\$3,089.76

Direct Debit payment

We advise that \$3,089.76 will be directly charged to your account 03-0449-0070201-00 on 20 February 2024, please note this transaction for your records.

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Mastercard Statement Authorisation Form 28


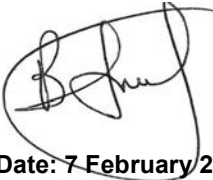

Name:	Michelle Higgle	
Position:	Manager – Governance Support	
Statement Date:	27/01/2024	

(1)	Creditor:	Waka Kotahi NZ Transport Agency
	Date:	10 January 2024
	Amount:	\$772.44
	GL Code:	820 27 773
	Expenditure:	10,000 km Road User Charges for WDC Fleet Vehicle (Rego NKG330) - Water Services

(2)	Creditor:	Waka Kotahi NZ Transport Agency
	Date:	18 January 2024
	Amount:	\$1,544.88 (breakdown as below)
	Amount:	\$772.44
	GL Code:	820 27 733
	Expenditure:	10,000KM Road User Charges for WDC Fleet Vehicle (Rego JDQ986) - Water Services
	Amount:	\$772.44
	GL Code:	820 27 774
	Expenditure:	10,000KM Road User Charges for WDC Fleet Vehicle (Rego NKQ165) – Parks and Facilities

(3)	Creditor:	Waka Kotahi NZ Transport Agency
	Date:	25 January 2024
	Amount:	\$772.44
	GL Code:	820 27 778
	Expenditure:	10,000 km Road User Charges for WDC Fleet Vehicle (Rego NMK783) - Property Officer

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

Signature of Manager – Governance Support  Date: 7 February 2024	Authorised by Chief Executive:  Date: 7 February 2024	Authorised by Mayor:  Date: 7 February 2024
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Document No: A707284

Report To: Audit and Risk Committee



Meeting Date: 13 February 2024
Subject: **Progress Report: Key Performance Indicators for the period ended 31 December 2023**
Type: Information Only

Purpose of Report

- 1.1 The purpose of this business paper is to present Waitomo District Council's delivery performance on non-financials for the 2023/24 financial year for the period ending 31 December 2023 (Quarter 2).
- 1.2 A copy of the KPI (Key Performance Indicator) Report is included as an attachment to this business paper.

Background

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

Commentary

- 3.1 **SERVICE PERFORMANCE SUMMARY**
- 3.2 Of the 54 key performance indicators measured, 42 are on track (80%), 3 (5%) have been achieved, 3 are off track (6%), and 6 (9%) not achieved.
- 3.3 Leadership
- 3.4 Two measures are on track, these are for Council agendas and the evaluation of the annual Civil Defence exercise.
- 3.5 The next Civil Defense exercise for evaluation is scheduled for May or June this year, results will be available for year end.
- 3.6 Council Communications is marked as off-track as the result from the last Residents Survey was 87%, down from the target of 90%. This will be reassessed before the end to the financial year in the 2024 survey, due to be out in mid-May.
- Community and Partnership
- 3.7 Two measures on track with projects likely to occur in later quarters, one measure not achieved.
- 3.8 \$209,022 has already been disseminated in Q1 and Q2 through contestable grants, this accounts for 70% of total funding.

- 3.9 There is a KPI target for the youth council to undertake two youth related projects each year, this has been marked as not-achieved as the youth council has not been active and there are no intentions to restart this year.

Recreation and Property

- 3.10 Four measures on track, the three survey results will be reassessed in May.

Regulatory Services

- 3.11 Four measures are on track, and one not achieved.
- 3.12 Not achieved measure is due to one building consent running one day over the statutory timeframe due to reports not being properly monitored in Q1. 100% compliance in Q2.

Resource Management

- 3.13 The one measure in this area is on track with all resource consents processed within statutory timeframes.

Solid Waste

- 3.14 Two measures on track.

Stormwater

- 3.15 Three measures now not achieved following the Te Kūiti flash flooding event on 8 October 2023.
- 3.16 WDC recorded 17 flooded habitable floors, equivalent to 6.2 per 1000 connections. During and related to this event, 16 complaints were received, or 5.9 per 1000 connections.
- 3.17 Targets around response times and infringement notices were all achieved.

Wastewater

- 3.18 Of the seven KPIs for wastewater, six are on track.
- 3.19 The measure for complaints in Piopio is not achieved due to the high level of complaints in the township. The response time for callouts in Piopio, which was off-track in Q1, is now back on track.
- 3.1 WDC received a wastewater abatement notice from Waikato Regional Council in September 2023 for an incident that occurred at the Te Kūiti wastewater treatment plant in May 2023. This was due to an emergency overflow from the wastewater oxidation pond following high rainfall, the event is still under active investigation. Although the notice was received in Q1, it will be reported in the 2022/23 Annual Report because that is the period that the non-compliance occurred. The abatement notice remains in place for 6 – 12 months.

Water Supply

- 3.2 Sixteen of the seventeen measures for water supply are on track.
- 3.3 One is off track for high average consumption of water. The target for 2023/24 has reduced to ≤ 375 litres per person per day, but the Q2 result was 528 l/day. Piopio leak detection programme found leaks in Piopio to be repaired. High consumption overall is due to high consumption in Te Kūiti (average 490l per person/per day) and very high consumption in Piopio (average 670l per person/per day).
- 3.4 Previously two results were reported as no data due to faulty Minimum Night Flow readings. Flow meters have now been calibrated so data is available for water loss.

Roads and Footpaths

- 3.5 Two measures are on track with works scheduled for later in the year.
- 3.6 The other three measures are achieved, two are already achieved due to tri-annual results that won't be re-assessed this year. The other is for the percentage of unsealed roads metalled each year; the annual target for this has already been met.
- 3.7 The final measure is off-track, although the work was scheduled to begin in Q3, it is unlikely the target will be achieved this year due to the reduced level of funding for this activity.

Suggested Resolution

The Progress Report: Key Performance Indicators for the period ended 31 December 2023 be received.



ALICE TASKER
SENIOR STRATEGY AND POLICY ADVISOR



CHARMAINE ELLERY
MANAGER STRATEGY AND POLICY

Attachment: Quarter 2 KPI Progress Report for period ending 31 December 2023 (A704792)

Key Performance Indicators Progress Report Q2

For the period 1 October 2023 to 31 December 2023

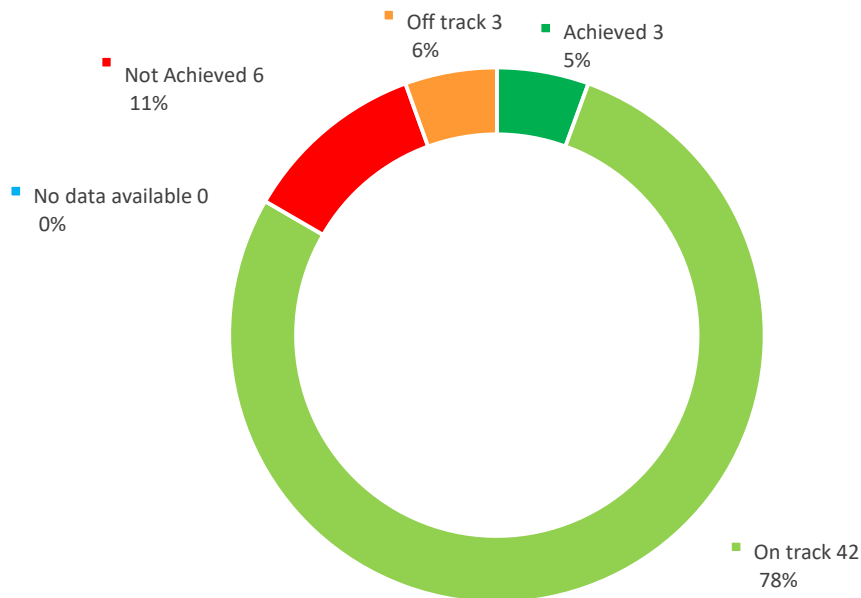
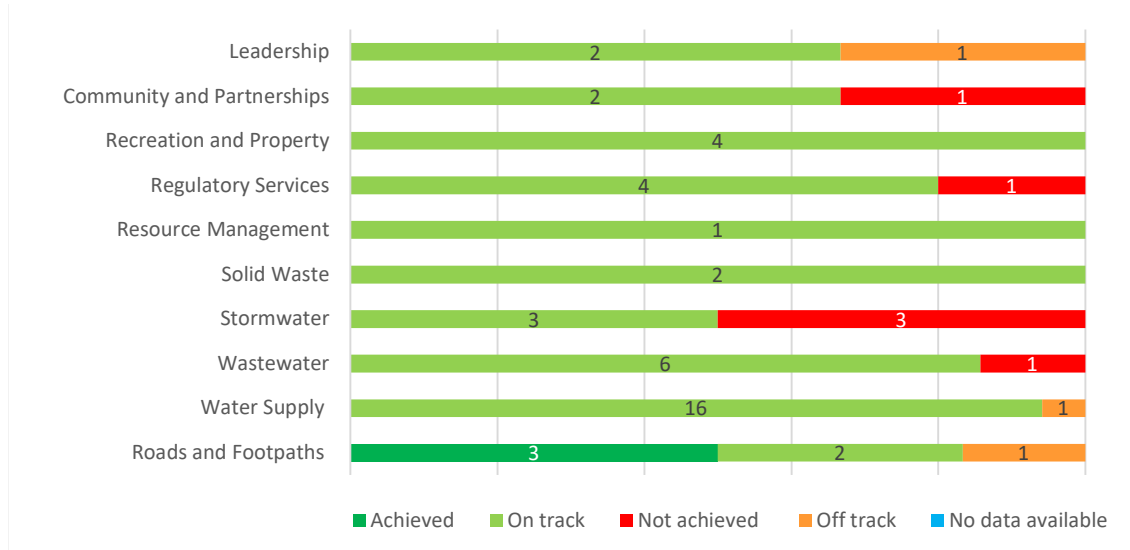


INTRODUCTION

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

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






SERVICE PERFORMANCE SUMMARY AS AT 31 DECEMBER 2023









Of the 54 key performance indicators measured, 42 are on track (80%), 3 (5%) have been achieved, 3 are off track (6%), and 6 (9%) not achieved.

SERVICE PERFORMANCE MEASURES

Performance Measure Status

 Not Achieved	 Off Track	 Achieved	 On Track	 Data not available
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Leadership



You can expect	Measure	Q1	Q2	Q3	Q4	Target/Result	Commentary
Provide and promote governance processes that are robust and transparent for our community.	Percentage of Council agendas that are publicly available two working days or more before the meeting.					Target: 100% Result: 100%	All Council and Committee Agendas for the first quarter have been publicly available two or more working days before the meeting.
Effective communication with our community.	Percentage of residents satisfied with the effectiveness and usefulness of Council Communications.					Target: 90% Result: 87%	The result from the June 2023 Residents Survey was 87%. This will be reassessed in June.
Emergency preparedness through community-based emergency management.	The evaluation of annual exercise as a measure of effectiveness of training.					Target: Increasing trend Result: Exercise planned for June 2024, previous result was 66% 'Advancing'	An annual exercise has been scheduled to assess this in June 2024.

Community and Partnerships							
You can expect	Measure	Q1	Q2	Q3	Q4	Target/Result	Commentary
Contestable grant funding ¹ is disseminated through a robust process.	Percentage of grants funding available is disseminated.					Target: ≥ 80% Result: 70%	\$209,022 has been disseminated to date through the contestable grants.
Council supports the delivery of youth related projects by the Youth Council.	Youth Council undertakes two youth related projects per year.					Target: 2 Result: 0	Youth Council will not resume this year.
Involvement in economic development initiatives and promotional opportunities.	≥ 5 initiatives or promotional opportunities.					Target: ≥ 5 Result: 0	Projects underway via Hamilton and Waikato Tourism initiatives.

Recreation and Property							
You can expect	Measure	Q1	Q2	Q3	Q4	Target/Result	Commentary
We provide parks and open spaces across our district.	Percentage of residents satisfied with or parks and open spaces.					Target: ≥ 83% Result: 83 %	The result from the June 2023 Residents Survey was 83%.
We provide pools and community facilities that are compliant with legislative standards.	Current Building Warrant of Fitness (BWOFF) for facilities with compliance schedules.					Target: Achieve Result: Achieved	All BWOFF's have been received and are current.
We will provide a comprehensive library facility for our community.	Percentage of residents satisfied with the quality of the library facility and service.					Target: ≥ 85% Result: 95%	The result from the June 2023 Residents Survey was 95%.
We provide public toilets for our community and visitors to the district.	Percentage of residents satisfied with the quality of public toilets.					Target: ≥ 85% Result: 89%	The result from the June 2023 Residents Survey was 89%.

¹ Contestable grant funds include WDC's Single-Year Community Assistance Grant, Multi-Year Community Partnership Grant, and the Community Events Fund.

Regulatory Services							
You can expect	Measure	Q1	Q2	Q3	Q4	Target/Result	Commentary
We ensure the public sale and supply of alcohol is undertaken safely and responsibly.	All premises that sell alcohol are licensed.					Target: 100% Compliance Result: 100% Compliance	All premises that sell alcohol are licensed.
Building consents are processed in a timely fashion.	Building consents are processed within 20 working days.					Target: 100% Result: 98%	One consent ran over the statutory timeframe by one day in Q1, 100% compliance in Q2.
Council will process, inspect, and certify building work in the Waitomo District.	WDC maintains building control systems and process to meet IANZ Audit requirements					Target: BCA Accreditation achieved Result: BCA Accreditation achieved	Assessed in June 2022, not due again until June 2024.
We provide land information Services (LIMs) efficiently.	LIMs are processed within statutory timeframe.					Target: 100% Result:	All LIM's were processed within statutory timeframes.
We provide an effective Animal Control Service.	Percentage of residents satisfied with the provision of the Animal Control Service.					Target: ≥ 75% Result: 77%	77% of respondents were satisfied with animal control services in the June 2023 Residents Survey.

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

Solid Waste							
You can expect	Measure	Q1	Q2	Q3	Q4	Target/Result	Commentary
We provide safe solid waste facilities within District.	Percentage of users that are satisfied with the rural transfer service stations.					Target: ≥ 91% Result: 91%	Result of the June 2023 Residents Survey was 91%
We will provide a reliable kerbside rubbish collection to stop rubbish becoming a health risk. ²	There are no more than 10 justifiable complaints per week about uncollected rubbish.					Target: ≤ 10 per week Result: 0.7 per week	8 complaints received in Q1, and 10 in Q2 or 0.7 per week over 26 weeks.

Stormwater							
You can expect	Measure	Q1	Q2	Q3	Q4	Target/Result	Commentary
We maintain and operate the stormwater network in a way that minimises the likelihood of stormwater entering habitable buildings.	The number of flooding events ³ that occur in the district in a financial year.					Target: 0 Result: 1	There was one flooding event in Q2 on 8 October 2023 which resulted in habitable floor flooding.
	For each flooding event the number of habitable floors affected in a financial year.					Target: ≤ 1 per 1000 connections (2,724 connections) Result: 6.2 per 1000 connections	17 habitable floors in Te Kūiti were recorded as flooded during the 8 October flooding event.
We comply with our resource consent conditions and minimise the impact of stormwater on the environment.	The number of infringement notices related to the management of the stormwater system.					Target: ≤ 2 Result: 0	There have been no notices received.
	The number of abatement, enforcement or conviction actions related to the management of the stormwater system.					Target: 0 Result: 0	There have been no notices received.

² Kerbside collection services offered in Te Kuiti, Waitomo Village, Piopio, and Mokau.









³ 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.





We will respond within a reasonable timeframe to flooding.	The median response time ⁴ to attend a flooding event (measured from the time that the notification is received to the time that service personnel reach the site).					Target: ≤ 180 minutes (3hrs) Result: 28 mins	There was one service request received about flooding with a response time of 28 minutes.
The Council provides a reliable stormwater collection service.	The number of complaints received about the performance of the Council's urban stormwater system per 1,000 properties connected.					Target: ≤ 4 complaints per 1,000 connections (2724 connections) Result: 5.9 per 1000 connections	There have been 16 complaints received relating to flooding events in Q2.















Wastewater							
You can expect	Measure	Q1	Q2	Q3	Q4	Target/Result	Commentary
We will attend and resolve issues with the wastewater system within a reasonable timeframe. ⁵	The median attendance time for callouts, from the time that we received notification to the time that our service personnel reach the site.					Target: ≤180 minutes (3hrs) Result: 36 mins	This is the median attendance time by our contractors for callouts to service requests.
	The median resolution time of callouts, from the time that we received notification to the time that our service personnel confirm the fault or interruption has been resolved.					Target: Rest of District ≤540 minutes (9hrs) Result: 3 hr 59 mins	This is the median resolution time by our contractors for completing service requests callouts.
						Target: Piopio ≤540 minutes (9hrs) Result: 9 hrs	This is the median resolution time by our contractors for completing service requests callouts in Piopio.

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

⁵ 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.

We comply with our resource consent conditions and minimise the impact of wastewater on the environment.	The number of abatement or infringement notices, enforcement orders, or convictions issued for overflow from the wastewater system.					Target: 0 Result: 0	No notices have been received relating to incidents this quarter.
Our wastewater system is operated and maintained to minimise odour and blockages.	The number of complaints about wastewater odour, system faults or blockages and complaints about our response to issues with its wastewater system.					Target: Piopio complaints per 1,000 connections ≤ 35 (Total number of connections 223) Result: 89.7 per 1000 connections	A total of 20 complaints or 89.7 per 1000 connections received in Q1 and Q2.
						Target: Rest of District complaints per 1,000 connections ≤ 35 (Total number of connections 1934) Result: 9.13 per 1,000 connections	A total of 18 complaints or 9.13 per 1000 connections received in Q1 and Q2.
Our wastewater system is optimised to reduce the risk of harm to the community and environment.	Number of dry weather overflows in a financial year					Target: Total complaints per 1,000 connections ≤ 10 (Total number of connections 2,157) Result: 1.55 per 1,000 connections	A total of 3 complaints related to dry weather overflows or 1.55 per 1000 connections.

Water supply							
You can expect	Measure	Q1	Q2	Q3	Q4	Target/Result	Commentary
We provide water that is safe to drink and hygienic to use which meets the drinking water standards.	Water quality complies with the drinking water standards for (a) bacteria					Target: Achieve Compliance Result: Achieve	All bacteriological test passed.
	Water quality complies with the drinking water standards for (b) protozoa					Target: Achieve compliance Result: Achieve	Complied with the Drinking Water Quality Assurance rules 2022.

We provide an efficient and effective water supply. We will achieve this by undertaking activities such as water leakage detection and maintaining the network of water pipes. ⁶	Percentage of real water loss from the Council's networked reticulation system in a financial year in:						
	Te Kūiti					Target: ≤ 20% Result: 18.76%	Percentage calculated using Minimal Night Flow which assumes that there is little consumption overnight, therefore remaining flow is attributed to water loss. Meters have been calibrated since last quarter.
	Mokau					Target: ≤ 5% Result: 1.98%	
	Piopio					Target: ≤ 5% Result: 1.01%	
	Maniaiti/Benneydale					Target: ≤ 10% Result: 1.87%	
We provide efficient management of demand for water for our community.	The average consumption of drinking water per Waitomo District resident, per day.					Target: ≤ 375 litres per person per day Result: 528 l/day	Piopio leak detection programme found leaks in Piopio to be repaired. High consumption overall due to high consumption in Te Kūiti and very high consumption in Piopio.
We will respond within a reasonable timeframe to issues with the water supply. ⁷	The median attendance time ⁸ for urgent callouts, from the time that we received notification to the time that our service personnel reach the site.					Target: ≤ 180 minutes (3hrs.) Result: 17 mins	This is the median attendance time by our contractors for callouts to service requests.
	The median resolution time ⁹ of urgent callouts, from the time that we received notification to the time that our service personnel confirm the fault or interruption has been resolved.					Target: ≤ 540 minutes (9hrs) Result: 2 hrs 14 mins	This is the median resolution time by our contractors for callouts to service requests.

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







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

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

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







	The median attendance time for non-urgent callouts, from the time that we received notification to the time that our service personnel reach the site.					Target ≤ 660 minutes (11 hrs) Result: 1 hr 32 mins	This is the median attendance time by our contractors for callouts to service requests.
	The median resolution time of non-urgent callouts, from the time that we received notification to the time that our service personnel confirm the fault or interruption has been resolved.					Target: ≤ 96 hours (4 days) Result: 11 hrs 20 mins	This is the median resolution time by our contractors for completing service requests callouts.
We provide water that is wholesome and is reliably supplied. The measure indicates customers and community satisfaction with the quality of the water.	The total number of complaints received by Council in a year for: ¹⁰						
	Drinking water clarity.					Target: ≤ 20 per 1000 connections Result: 1.84	5 complaints about clarity or 1.84 per 1000 connections
	Drinking water taste.					Target: ≤ 5 per 1000 connections Result: 1.1	3 complaints about taste or 1.1 per 1000 connections
	Drinking water odour.					Target: ≤ 5 per 1000 connections Result: 1.47	4 complaints about odour or 1.47 per 1000 connections
	Drinking water pressure flow.					Target: ≤ 20 per 1000 connections Result: 1.1	3 complaints about pressure flow or 1.1 per 1000 connections
	Continuity of supply.					Target: ≤20 per 1000 connections Result: 3.3	9 complaints about continuity of supply or 3.3 per 1000 connections
	Council's response to any of these issues.					Target: ≤20 per 1000 connections Result: 0	0 complaints related to Council's response to any of these issues

¹⁰ Total number of connections is 2640

Roads and Footpaths							
You can expect	Measure	Q1	Q2	Q3	Q4	Target/Result	Commentary
We are working towards a safe network with a vision of a decreasing trend of deaths and serious injuries on Waitomo District roads within ten years. We aim to achieve this by delivering projects that are focused on maintaining, upgrading, or changing the conditions of the roading environment to keep our community safe	The change from the previous financial year in the number of fatalities and serious injury crashes on Waitomo District's local road network. ¹¹					Target: ≤ 4 Result: Serious Injury crashes YTD: 0 Fatal crashes YTD: 1	No serious but one fatal crash in Q2.
We aim for a smooth road that provides comfort for road users and improves the safety of the roads.	The average smooth travel exposure rating across the sealed road network. ¹²					Target: 90% (of total network) Result: 90%	Achieved at 90% below 150 NAASRA count.
We will maintain the overall condition of the unsealed roads to a specified adequate standard.	Percentage of unsealed road metaled each year.					Target: 10% (of total network) Result: 15.24%	In Q1 and Q2 15.24% of the network received renewals and/or heavy maintenance grading. Approximately 9000m ³ of aggregate was applied over a length of almost 40km and 670m ² of digouts.

¹¹ This is using NZTA Crash Analysis System definitions: fatal is defined as a death occurring as the result of injuries sustained in a road crash within 30 days of the crash, serious is defined as injury (fracture, concussion, severe cuts or other injury) requiring medical treatment or removal to and retention in hospital.

¹² Percentage of measured sealed road lane kilometres not exceeding a NAASRA roughness count rating of 150 to be at least 90%. NAASRA is a generally acceptable measure of road roughness. A NAASRA count of less than 150 indicates an acceptable level of ride comfort.

<p>We will maintain the road network by resealing it as needed. Resurfacing is only undertaken as required depending on the condition of the surface in that financial year.</p>	<p>The percentage of Waitomo District's sealed local road network that is resurfaced each year.</p>					<p>Target: 7% (Of total network) Result: 0 %</p>	<p>The resurfacing programme will begin in January 2024 but it is likely the target will not be achieved due to reduced funding.</p>
<p>We will provide footpaths that are well maintained. The measure is the percentage of footpaths that meet the service level</p>	<p>The percentage of footpath network that falls within a condition rating of 3.¹³</p>					<p>Target: 90% Result: 97%</p>	<p>Condition rating of footpaths is undertaken every 3 years, the assessment was completed in June 2022. A majority of the non-compliant footpaths are being treated in this year's footpath renewals programme.</p>
<p>We will investigate and respond to the customer about their request for service relating to road and footpath issues.</p>	<p>The percentage of customer service requests relating to roads and foot paths responded to within 10 working days.</p>					<p>Target: 85% Result: 99%</p>	<p>Of the 141 road related customer service requests received this quarter, 139 were responded to within the required 10 day period, with two outside this period. Q1 result was also 99%.</p>

¹³ Acceptable ratings being 1-very good 2-good and 3-fair as assessed by industry trained raters.

Document No: A706809

Report To: Audit and Risk Committee



Meeting Date: 13 February 2024

Subject: **Treasury Management Report for the period ended 31 December 2023**

Type: Information only

Purpose of Report

- 1.1 The purpose of this business paper is to provide an update on WDC's debt position and compliance with borrowing limits for the period ended 31 December 2023.

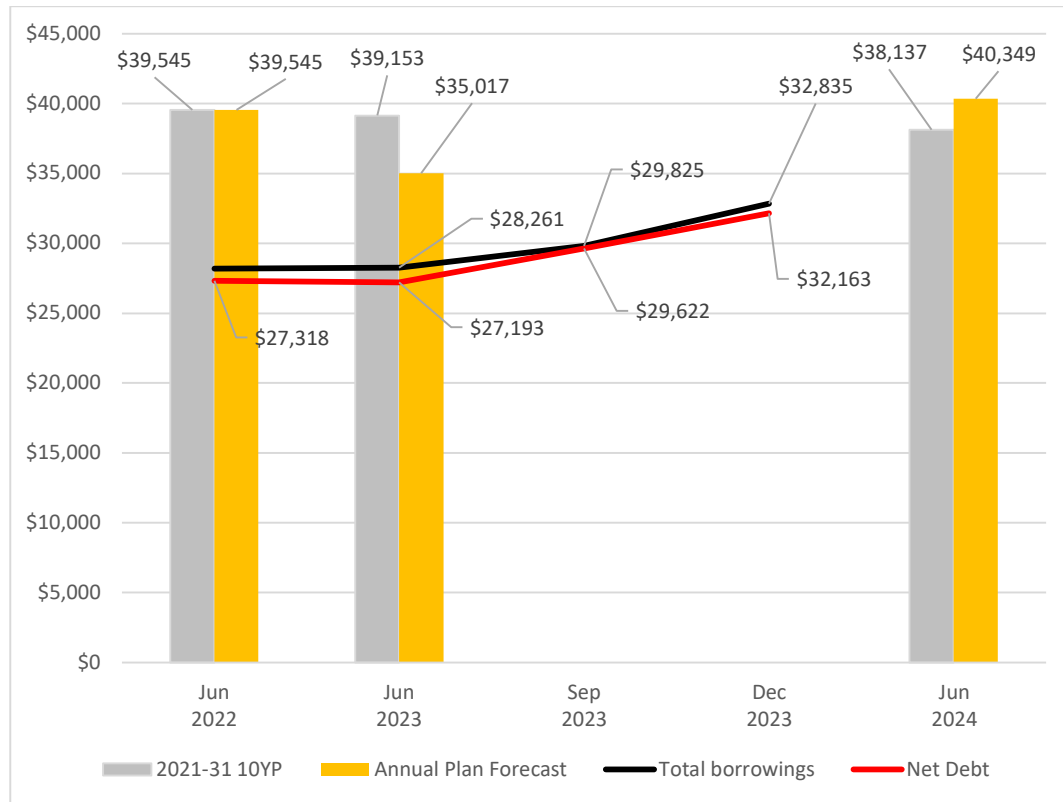
Background

- 2.1 The total borrowings and net debt position are regularly reviewed and monitored against current interest rates and compared to the current 10YP and Annual Plan Forecasts. This includes monitoring against WDC's borrowing limits as set in the Financial Strategy, with reporting to the Audit and Risk Committee on a quarterly basis.
- 2.2 Bancorp, Council's external treasury advisors, prepare a quarterly Treasury Reporting Dashboard that includes information on:
- Market environment impacting interest rates and Local Government Funding Agency (LGFA) borrowing rates,
 - Council's funding profile,
 - Council's debt and hedging profile,
 - Council's cost of borrowing funds, and
 - Council's compliance with its Treasury Management Policy.
- 2.3 A copy of the Bancorp Treasury Reporting Dashboard for the period ended 31 December 2023 is enclosed separately and forms part of this business paper.

Commentary

- 3.1 **PUBLIC DEBT**
- 3.2 At 31 December 2023 public debt was **\$32.8 million** and net debt¹ was \$32.2 million.
- 3.3 At 30 June 2023 public debt was \$28.3 million and net debt was \$27.2 million.
- 3.4 The following graph shows the total borrowings and net debt position compared to forecast debt from the 10YP 2021-31 and the Annual Plan 2023/24.

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



3.5 INTEREST EXPENSE

3.6 Total interest expense for the period ending 31 December 2023 was \$763,000 which was \$51,000 less than the year to date budget of \$814,000.

3.7 The assumed interest rate used in the Annual Plan for the 2023/24 year was 5.38%. The weighted average interest rate at 31 December 2023, excluding the drawn Westpac Bank Multi Option Credit Line facility but including the credit facility fee is 5.08%.

3.8 It is anticipated that floating interest rates have reached their peak for the short term and interest expense is expected to plateau at the current monthly level for at least the remainder of the financial year. Of the total borrowings of \$32.8 million, the floating interest rate debt totals \$16.6 million at 31 December 2023 which may be affected by interest rate changes, the remaining \$16 million of public debt is on a fixed interest rate exposure which is unaffected by short term interest rate changes, up until the date fixed rate arrangement expires (The remaining amount is accrued interest and finance lease liability).

3.9 BORROWING LIMITS

3.10 The borrowing limits set in the Financial Strategy are:

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

	Limit	Actual Jun 2023	Actual Dec 2023
Net debt to total revenue	<165%	58%	Measured at the end of the year.
Net interest to annual rates	<20%	6%	7%

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

3.12 A standby credit facility with Westpac bank with a credit limit of \$6 million is in place. At 31 December 2023, \$4.6 million was drawn from this facility.

3.13 **INTEREST RATE EXPOSURE**

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

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

3.16 This breach was noted at the February 2023 and October 2023 Audit and Risk Committee meetings and at the May 2023 Council meeting. The rationale for the breach was due to the uncertainty around the Affordable Waters Reforms and the risk associated with entering into further fixed term cover beyond July 2026. This uncertainty has now been removed with the Minister of Local Government announcing on 14 December 2023 that Cabinet has agreed to repeal the previous government's water services legislation which will see continued council ownership and control of water services and responsibility for service delivery.

3.17 Following the announcement, a forward start interest rate swap has been transacted in February to remedy the breach (\$5 million, starting September 2026 and ending September 2029 with a fixed rate of 3.96%).

3.18 It should be noted that the debt and hedging position is based on the forecast debt profile from the current debt position and forecast debt reduction based on the 2021-31 Ten Year Plan. Once the public debt forecast for the draft LTP 2024-34 is established and the hedging limits applied, it is likely that further hedging will be required to reach policy compliance.

3.19 **LIQUIDITY RATIO**

3.20 As at 31 December 2023 the liquidity ratio was 106%, against a treasury policy parameter of not less than 110%. It is a measure of cash reserves, undrawn lines of credit plus drawn debt divided by drawn debt. The measure excludes restricted cash (which can only be used for specific purposes) and NZLGFA Borrower Notes (which are part of the arrangement, when borrowing from the agency).

3.21 The liquidity ratio measure was effectively remedied on the 8 January 2024, with the receipt of Waka Kotahi subsidy revenue, which was anticipated before the start of the Christmas period.

Suggested Resolution

The business paper on Treasury Management Report for period ended 31 December 2023 be received.



WAYNE LA ROCHE
ASSET ACCOUNTANT



TINA HITCHEN
CHIEF FINANCIAL OFFICER

Attachment: Bancorp Dashboard Treasury Management Report as at 31 December 2023 (A707291)



Treasury Reporting Dashboard

As at 31 December 2023

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BANCORP TREASURY SERVICES LIMITED



Global (for the December 2023 quarter)

The December quarter saw what has been described as epic moves in the benchmark US 10-year Treasury bond. The markets started the quarter with expectations of one further rate increase as the Fed reiterated its commitment to fighting inflation, concerns about the ability of the market to attract sufficient buyers to purchase US bonds as a result of the ever-increasing US deficits and continuing fallout from Fitch's downgrade of the US credit rating in early August.

These factors saw the 10-year yield hit 17-year highs, peaking at 5.02% on the 20th of October, however since then the fall in US bond yields has been startling, with the market moving from 'higher-for-longer' outlook, to one of 'we have seen the top and then to pricing in six rate cuts at one point', the US 10-year bond closed the year at 3.76%, which represented a remarkable 1.26% fall in 72 days.

The Fed released a dovish statement on the 13th of December, where it appeared to pivot from the prospect of raising rates in earlier statements to talk of three rate cuts in 2024, the market then seized on this statement and as indicated above moved to price into six rate cuts at one point. However, many commentators make a good argument that economic data has not yet validated these significant market moves, and it is premature given that the battle against inflation is far from won and that the concerns around government bond issuance and the possibility of further US credit rating downgrades continue.

Despite the above, from a global perspective, the US still stands out as one of the few bright lights as we enter 2024. China continues to struggle to recover from the lifting of its Covid-19 restrictions, with China consumer prices declining for a third month in December, highlighting persistent deflationary pressures. These factors remain a concern for global growth given China's standing as the world's second-largest economy.

European inflation has fallen significantly from the 10.6% highs seen in late 2022, November inflation had fallen to 2.4% (on an annual basis) but increased back to 2.9% in December after seven straight monthly declines as food prices rose and support for high energy bills ended in some countries. The rise in price levels fueled debate over how soon interest rate cuts could be expected from the European Central Bank.

Across the Tasman, the Reserve Bank of Australia continued to increase its cash rate to 4.35% in November. However, at its December meeting, it kept rates unchanged, stating that any further moves would be data-dependent, however, its tone was seen as relatively hawkish. There is a widely held perception that it sits six to twelve months behind the rest of the world in its inflation settings. Like New Zealand though it has high levels of immigration which has increased aggregate demand which may see inflation higher than it would be otherwise.

Geopolitical issues also weigh on the global economy with the Ukraine and Russian war dragging on and with the tragic events in Palestine spilling over into tensions in the Red Sea. The impact on the global economy is strained supply lines and higher shipping costs.

Economic Commentary ⁴⁹

New Zealand (for the December 2023 quarter)

	OCR	90 day	2 years	3 years	5 years	7 years	10 years
30 Sep 2023	5.50%	5.74%	5.72%	5.48%	5.22%	5.17%	5.18%
31 Dec 2023	5.50%	5.63%	4.64%	4.32%	4.09%	4.07%	4.14%
Change	+0%	-0.11%	-1.08.%	-1.16%	-1.23%	1.10%	-1.04%

December was a significant quarter, with the shape of the new government being known, a continuing hawkish Reserve Bank of New Zealand (“RBNZ”), a market which is challenging the RBNZ’s stance by pricing in multiple rate cuts, poor economic data and a divergence in views amongst economists.

The new coalition government’s first piece of legislation was to change the RBNZ’s mandate back to a single mandate, requiring the RBNZ’s Monetary Policy Committee to target inflation, not price stability and “maximum sustainable employment”. The change is not expected to materially impact the RBNZ’s monetary policy settings.

On 29th November, the RBNZ’s *Monetary Policy Statement* stated that “*The Committee is confident that the current level of the OCR is restricting demand. However, ongoing excess demand and inflationary pressures are of concern, given the elevated level of core inflation. If inflationary pressures were to be stronger than anticipated, the OCR would likely need to increase (rates) further*”.

However, this statement was effectively ignored by the market, as it instead focussed on the sharp fall in US Treasury bonds and then the higher-than-expected local unemployment data (September quarter unemployment up from 3.60% to 3.90%). This was followed by the release in December of the shocking third quarter GDP data which saw GDP contract by 0.3% versus expectations of a 0.3% increase. Even worse, Q2 GDP was revised downwards from 0.9% to 0.5%, occurring in a backdrop of soaring migration (at levels not seen since 1947) and the downward revision to the Q1 data once again put the country into recession for the six months ending 31st March 2023. The market then moved to a stance where it was pricing in 4-5 rate cuts in 2024.

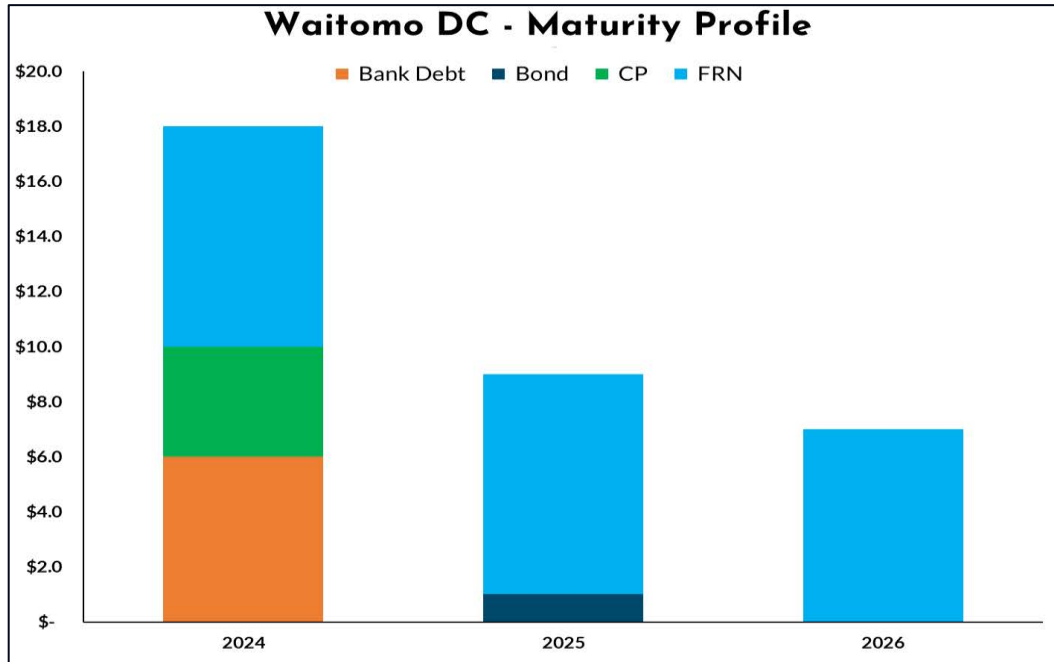
In looking at the bank’s economists’ views, we have a clear divergence in views, with some banks picking multiple rate cuts in 2024, with others such as Westpac and ANZ being much more cautious on the inflation outlook, particularly the sticky nature of non-tradeable inflation. By the end of December, the markets were pricing in the first OCR cut in May 2024 and for it to fall to 4.0% by May 2025.

Swap rates saw significant levels of volatility, with the reference 5-year swap rate peaking at 5.40% in early October and falling to a low of 4.06% in late December (in very thing trading). The downward momentum was initiated by falling US Treasury bond yields, a change to the Fed’s dot plots (which inferred 3 rate cuts in 2024 and then by the shocking NZ Q3 GDP data).

The new government’s policy agenda will be of interest with tax cuts potentially providing support to the economy which may see inflation remain higher for longer.



Funding, Liquidity and Hedging Bands ⁵⁰



Core Debt
\$28.0m
 External Council Drawn Debt

LGFA Debt
\$28.0m
 Funds Drawn from LGFA

Headroom = undrawn bank facility
\$1.53m

Liquidity Ratio (must be >110%)
105.46%
 Definition: Includes Cash Reserves + Undrawn lines of Credit + Drawn Debt)/Drawn Debt (excludes Borrower Notes and restricted cash).

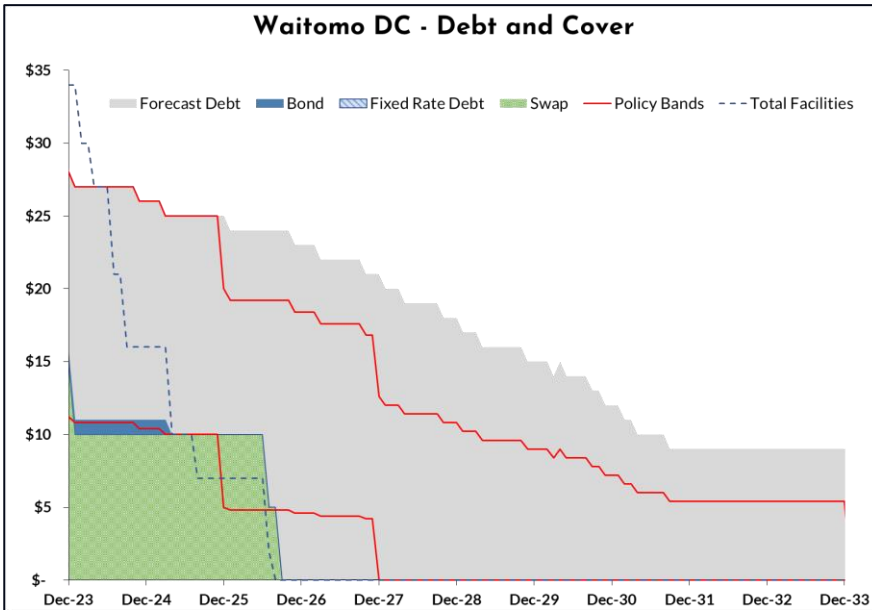
Cost of Funds as at 31 December
5.08%

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

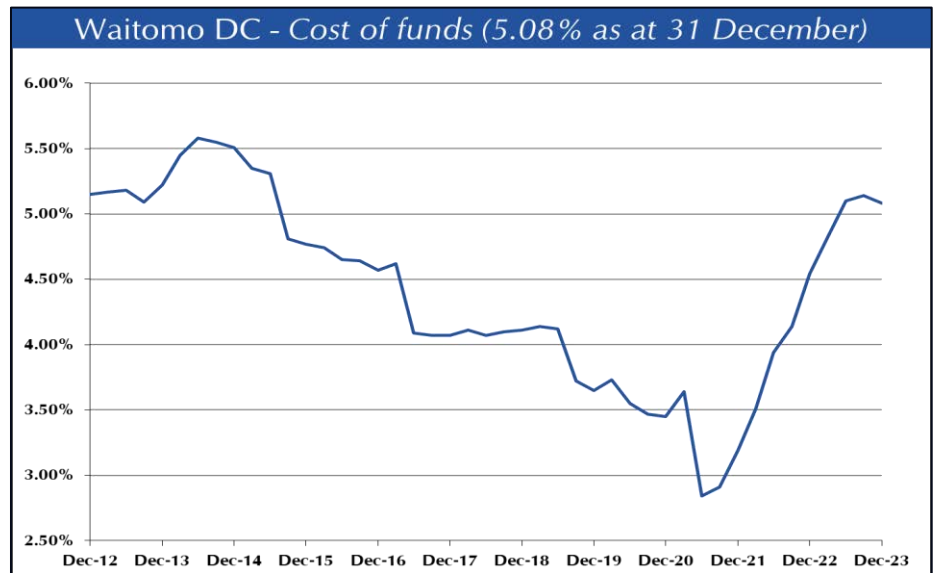
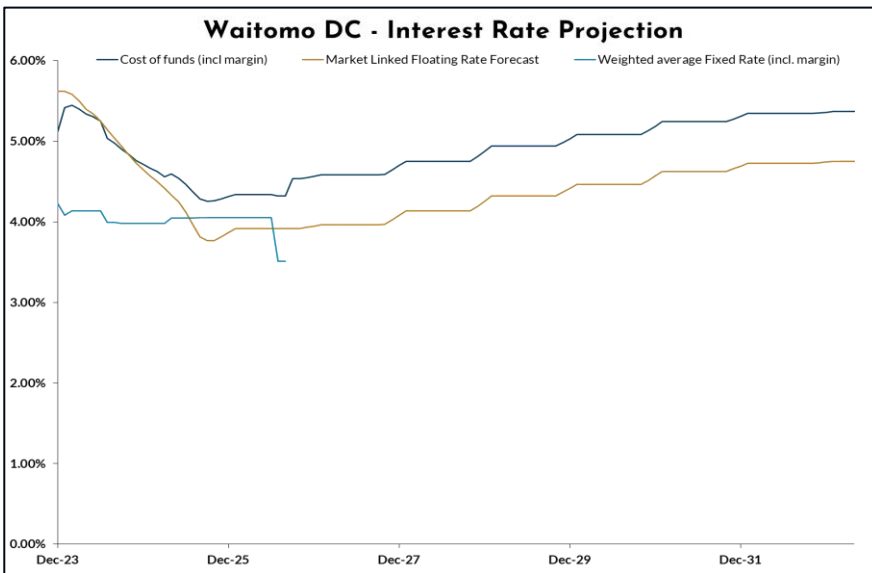
Since the end of the December quarter, an interest rate swap has been transacted which rectifies the Fixed Interest Rate Cover policy breach and the Liquidity Ratio breach has also been rectified.

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

Interest Rate Risk Management ⁵¹



Current % of Debt Fixed	57.1%
Current % of Debt Floating	42.9%
Value of Fixed Rate (m)	\$16.0
Weighted Average Cost of Fixed Rate Instruments	3.56%
Value of Forward Starting Cover	\$5.0
Weighted Average Cost of Forward Starting Cover	3.95%
Value of Floating Rate (m)	\$12.0
Current Floating Rate	5.62%
Current Floating Rate (incl margin)	6.33%
All Up Weighted Average Cost of Funds Including Margin	5.13%
Total Facilities In Place	\$34.0



LGFA Borrowing Rates

52

6

As at 31 December

Listed below are the credit spreads and applicable interest rates as of 31 December for Commercial Paper ("CP"), Floating Rate Notes ("FRN"), and Fixed Rate Bonds ("FRB"), at which Waitomo District Council ("WDC") could source debt from the Local Government Funding Agency ("LGFA").

Maturity	Margin	FRN (or CP Rate)	FRB
3-month CP	0.20%	5.83%	N/A
6-month CP	0.20%	5.91%	N/A
April 2024	0.49%	6.12%	6.18%
April 2025	0.55%	6.18%	5.98%
April 2026	0.61%	6.24%	5.68%
April 2027	0.71%	6.34%	5.58%
May 2028	0.86%	6.49%	5.59%
April 2029	0.93%	6.56%	5.57%
May 2030	0.97%	6.60%	5.59%
May 2031	1.09%	6.72%	5.71%
April 2033	1.13%	6.76%	5.81%
May 2035	1.22%	6.85%	5.95%
April 2037	1.24%	6.87%	6.06%



WDC - LGFA Borrowings ⁵³

As at 31st December 2023, WDC had \$28.0 million of core debt, all of which is sourced from the LGFA using Commercial Paper, FRNs, and FRBs. WDC also has a bank facility with Westpac Bank for \$6.0 million that matures on 1st July 2024, which has a margin of 95 basis points and a line fee of 40 basis points. Details of WDC's drawn debt as at 31 December is as follows:

Instrument	Maturity	Yield	Margin	Amount
LGFA CP	29-Feb-24	5.91%	N/A	\$4,000,000
LGFA FRN	18-Apr-24	6.31%	0.66%	\$3,000,000
LGFA FRN	11-Sep-24	6.32%	0.69%	\$5,000,000
LGFA FRB	19-Apr-25	3.68%	N/A	\$1,000,000
LGFA FRN	22-Apr-25	6.14%	0.49%	\$5,000,000
LGFA FRN	30-Aug-25	6.19%	0.57%	\$3,000,000
LGFA FRN	24-Jul-26	6.31%	0.66%	\$5,000,000
LGFA FRN	30-Aug-26	6.28%	0.66%	\$2,000,000



Swap details and valuation⁵⁴

As at 31 December

As at 31 December, WDC had four interest rate swaps which convert a portion of the floating interest rate exposures into a fixed rate. Details of the swaps are contained in the following table.

Start date	Maturity date	Rate	Amount	Market Value
24-Jan-17	24-Jan-24	3.840%	5,000,000	\$22,729
20-Apr-20	20-Apr-25	3.930%	5,000,000	\$85,661
11-Sep-20	11-Sep-26	2.890%	5,000,000	\$195,806
22-Apr-25	22-Jul-26	3.950%	5,000,000	\$10,521
Total current swap hedging			\$20,000,000	\$314,717



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Document: A707156

Report To: Audit and Risk Committee



Date: 13 February 2024
Subject: **Progress Report: Health and Safety**
Type: Information Only

Purpose of Report

- 1.1 The purpose of this business paper is to brief the Committee on Waitomo District Council's (WDC) health and safety performance throughout the 2023/24 year.

Background






- 2.1 Elected Members are provided ongoing progress reports to provide visibility of health and safety performance and agreed Key Performance Indicators. This report covers the October to December 2023 period.
- 2.2 This report has been structured to align with the SafePlus Programme developed by WorkSafe NZ, ACC and MBIE in 2017. The programme is voluntary and aims to support organisations wanting to improve their health and safety culture and exceed minimum compliance requirements.

Commentary

- 3.1 **LEADERSHIP COMMITMENT**
- 3.2 Under the Health and Safety at Work Act 2015, "Officers" are required to exercise due diligence to provide them with a level of assurance that health and safety is being effectively managed. Due diligence requires the need for "Officers" to keep up to date with health and safety matters and information; ensure critical risks are effectively controlled; ensure health and safety is adequately resourced; ensure appropriate monitoring and reviews are conducted to provide assurance and verify that health and safety matters are being appropriately addressed.
- 3.3 Identified improvements and actions during the 2023/24 Quarter Two include:
1. Assessments for Location Compliance Certifications for the Te Kuiti Water and Te Kuiti Wastewater Treatment Plants were carried out in December. Some actions were identified, and at the time of writing this report the majority have been addressed. This includes items such as updating some Standard Operating Procedures (SOP's), minor updates to the Emergency Response Plan, updating some Safety Data Sheets, etc.

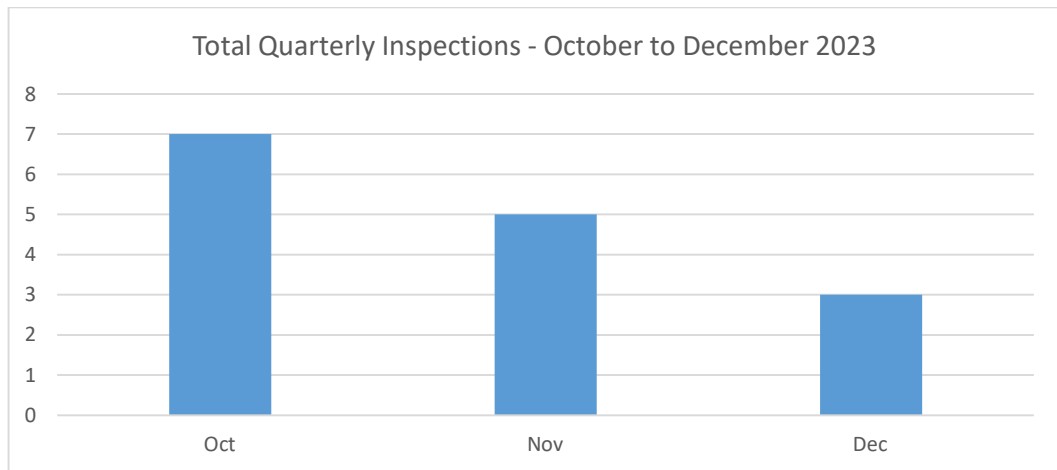
The Fire Evacuation application for the Te Kuiti Water Treatment Plant has been submitted to FENZ. Any potential actions that may arise from the application are unknown at this stage.

The Piopio Water Treatment Plant certification assessment will be carried out during Quarter Four.
 2. Supporting and encouraging a continued increase in site safety inspections and near miss recording remains an ongoing commitment.
- 3.4 The Annual Plan for 2023/24 was approved by the Senior Management Team in June 2023. The Key Performance Indicators below provide an indication of how WDC is tracking against the set objectives.

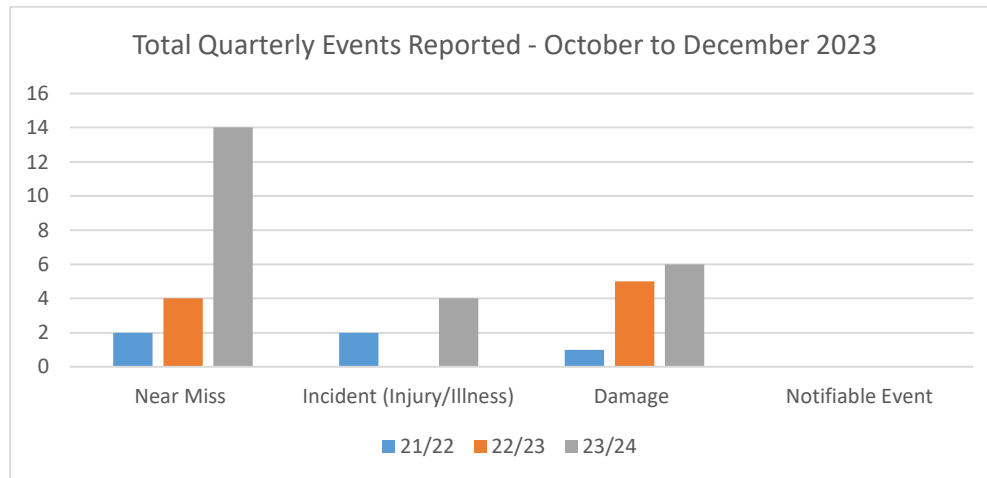
KPI	Target	Status
Site Inspections	5 per month	
Workplace Inspections	1 quarterly	
Health and Safety Committee Meetings	1 per month	
Actions in Tomo are promptly completed and closed	0 overdue actions	
Near Miss Reporting	10% increase	

Red light = target not reached – management focus required
Yellow light = target almost reached – maintain management focus
Green light = target achieved or exceeded

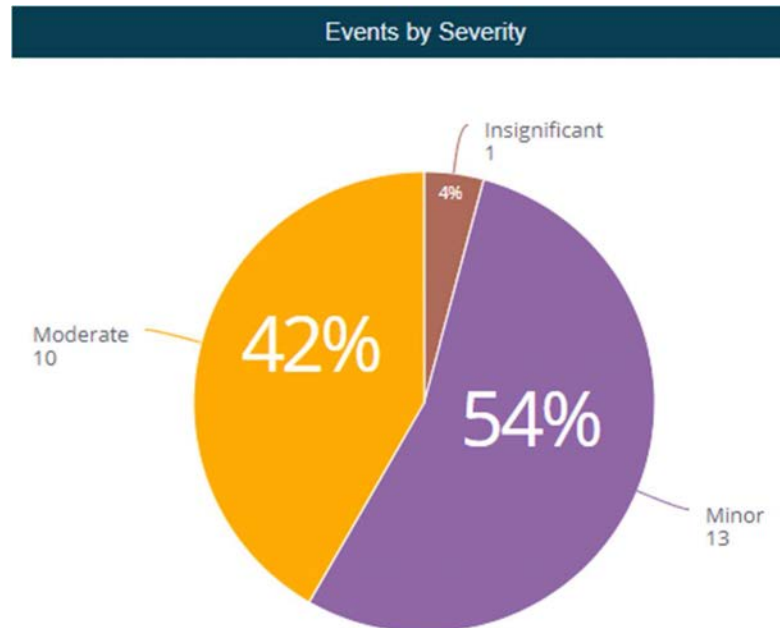
3.5 There were 15 site inspections undertaken during the period, with a slight decrease in inspections during December.



3.6 24 events were reported in 2023/24 Quarter Two. This is a significant increase from the nine events reported in 2022/23 Quarter Two. This is due to an increase in near miss reporting indicating an improved reporting culture.



- 3.7 Of the 24 events that occurred this quarter, one was insignificant where a potential hazard was spotted, 13 were minor with zero to minimal injuries or damage occurring, and 10 were moderate in severity with the majority of these events being staff encountering and managing aggressive behaviour and animal situations.

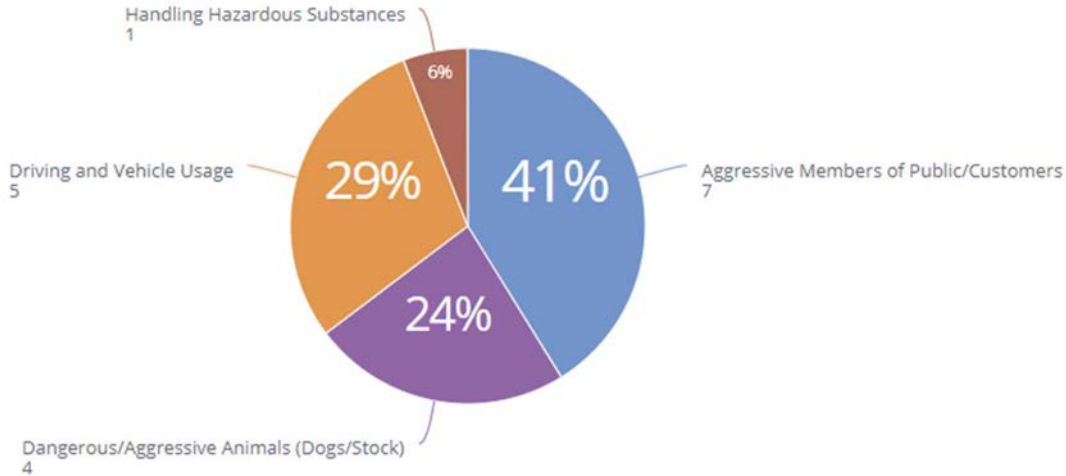


- 3.8 Of the 24 events, 17 events occurred while carrying out work associated with four of the top five critical risks. Actions have been put in place to help mitigate a reoccurrence of the events.

- **Aggressive Behaviour** - Training was undertaken by frontline staff to reinforce actions/tools when dealing with aggressive customers. Duress alarms are in place for frontline staff, and staff feedback on the new Customer Service Centre layout has been positive in improving staff confidence of personal safety.
- **Driving and Vehicle usage** - Where driving and vehicle usage was involved in the event, staff were reminded of safe driving practices. Staff were also reminded to undertake a brief safety check of their vehicles and trailers, in addition to their monthly vehicle checks, before driving.
- **Dangerous/Aggressive Animals** - Additional safety tools to assist in handling aggressive animals have been obtained.

- **Handling Hazardous Substances** - Staff were reminded of proper delivery and storage location of chemicals.

No. of Events by Type of Dangerous Occurrence



3.9 **WORKER ENGAGEMENT PARTICIPATION AND REPRESENTATION**

- 3.10 WDC continues to maintain an active Health and Safety Committee. The Committee consists of five elected Health and Safety Representatives (HSR's), a senior management representative, Health and Safety Administrator and WDC's external Health and Safety Advisor.
- 3.11 The Health and Safety Committee meetings occur monthly and have been frequently attended. These meetings are minuted and held on file on the WDC document management system. Actions from the meetings are transferred into Tomo to ensure all actions are tracked to completion.
- 3.12 The tri-annual re-election of the Health and Safety Representatives (HSRs) occurred in October. Response to the re-election was positive, with staff being actively engaged in supporting health and safety within the organisation and all work areas having a representative.
- 3.13 Workplace inspections have continued to be completed by Health and Safety Representatives, with managers completing site inspections.
- 3.14 Three formal training courses were held during the quarter to ensure compliance is maintained and to provide tools and education to frontline workers.

Training provided in Quarter Two 2023/2024		
• Advanced Work-based First Aid	• Growsafe Standard	• Customer Conflict Awareness

3.15 **RISK MANAGEMENT**

- 3.16 All Risk Registers have been developed using WDC's risk matrix and undergo an annual review with consultation from staff and HSR's.
- 3.17 The top five risks previously identified by the Senior Management Team remain unchanged:
1. **Working Alone** – Lone worker devices are in place and monitored to provide staff with security/support at all hours. Vehicle monitoring devices (Smartrak) are installed in vehicles to provide vehicle location (in cell network coverage areas only).

2. **Contractor Management** – The SHE Pre-Qualification used by WDC - contractor’s Health and Safety processes, evidence and insurances which are evaluated and approved before carrying out physical works, gives WDC an assurance that contractors are managing Health and Safety.
 3. **Aggressive Behaviour** – Refresher training for customer facing roles occurred in November 2023. Lone worker devices are available to all field staff and duress buttons available for Customer Services staff to use as necessary. Any aggressive behaviour is recorded as a near miss and investigated.
 4. **Driving and Vehicle Usage** – Driver training has been delivered to those staff who drive off-road and for those who tow trailers. Smartrak is installed in all vehicles to monitor vehicle locations as needed.
 5. **Confined Spaces** - Training is current. A Job Safety Analysis and permit system has been set up for staff to use when planning a confined space entry. Site safety inspections are required during this activity to ensure safe work practices and procedures are being followed.
- 3.18 Six-monthly earthquake drills at the WDC office are being carried out. An earthquake drill was scheduled and occurred to coincide with the NZ National Shake Out day on 19 October 2023. The earthquake drill was carried out at the WDC Office, Library and Customer Service Centre.
- 3.19 **STAFF WELFARE AND WELLBEING**
- 3.20 Each month a wellbeing topic is promoted to encourage physical health and mental wellbeing. The programme includes national health campaigns.

Month	Initiative
October	National Shakeout Day
November	Managing Aggressive Behaviour

Continuous Improvement - Quarter Three Focus

- 4.1 Implementation of the 2023/24 Health and Safety Annual Plan with objectives and Key Performance Indicators actively tracked. A copy of the Plan is attached to this business paper as Appendix A.
- 4.2 Location Compliance Certificates to be obtained for Te Kuiti Water and Wastewater Treatment Plants, and Piopio Water Treatment Plant.
- 4.3 Support and encourage a continued increase in safety inspections and near miss recording.
- 4.4 Initiate a full review of all Health and Safety compliance requirements across WDC.

Suggested Resolution

The Progress Report: Health and Safety be received.



HELEN BEEVER
GENERAL MANAGER – COMMUNITY SERVICES

2 February 2024

Attachment: Appendix A – Health & Safety Annual Plan 2023/24

APPENDIX A

HEALTH AND SAFETY ANNUAL PLAN 2023/24



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

**LEAD HEALTH AND SAFETY**

- ✓ Provide a safe and healthy workplace
- ✓ Ensure all risks are managed
- ✓ Demonstrate commitment to health and safety

OUR OBJECTIVES/PRIORITIES

- Our health and safety management system is implemented and effective
- Identify and implement preventative actions to enable continuous improvement

MEASURES

- ✓ Management system internal audit carried out with no critical non-conformances
- ✓ Zero overdue actions in Tomo

**ENGAGE WORKERS**

- ✓ Consult with workers where decisions may impact their health and safety
- ✓ Seek learning opportunities and/or improvements for workers

OUR OBJECTIVES/PRIORITIES

- Regular team/committee meetings are held
- All health and safety events are recorded
- Consult with workers regularly on our objectives and priorities

MEASURES

- ✓ Daily and monthly meetings held
- ✓ Near hits recorded and investigated
- ✓ Workers are involved in consultation processes

**MANAGE RISKS**

- ✓ Identify hazards/risks
- ✓ Know and understand our critical risks
- ✓ Monitor controls to ensure they are effective

OUR OBJECTIVES/PRIORITIES

- Hazards/risks and their controls are understood
- Work practices and controls are implemented
- Workers have the relevant training

MEASURES

- ✓ Critical risks are reviewed six monthly
- ✓ Worksite inspections carried out monthly
- ✓ Training is current

Document No: A705622

Report To: Audit and Risk Committee



Meeting Date: 13 February 2024

Subject: **Progress Report: WDC Resource Consents – Compliance Monitoring (October to December 2023)**

Type: Information Only

Purpose of Report

- 1.1 The purpose of this business paper is to brief the Committee on compliance reporting against Resource Consent conditions, due during the first quarter (2023/2024).

Risk Considerations

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

Commentary

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

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

RESOURCE CONSENT	REPORT DUE
Six Monthly	
No. 133317 - Te Kuiti Water Treatment Plant Conditions 5, 6, 10 & 11	January/July
No. 118813 - Benneydale Wastewater Treatment Plant Conditions 16 - 23	January/July
No. 117945 - Benneydale Water Treatment Plant (Backwash) Condition 3	April/October
No. 107477 - Piopio Water Treatment Plant Conditions 6, 7, 8 & 9	Jan/July
No. 107478 - Piopio Water Treatment Plant Conditions 10, 15 & 16	June/Dec
No. 140685 - Te Kuiti Landfill, William Street, Te Kuiti Conditions 62 & 63 (Within 2 months of sampling)	<i>Not yet commenced</i>
Annual	
No. 118813 - Benneydale Wastewater Treatment Plant Condition 26	31 March
No. 120340 - Mokau Closed Landfill Conditions 3, 6 & 10	Monitoring ceased by mutual agreement with WRC (11/2017)
No. 105054/55/56/57/58/59/60 - Waitomo Stormwater Schedule A (22) Conditions 4 - 6	31 May
No. 105054 - Te Kuiti Stormwater Condition 6	31 May
No. 116274 - Benneydale Water Treatment Plant Conditions 2, 3, 4 & 7 (Groundwater Take)	1 June
No. 113544 - Mokau Water Treatment Plant (Water Take) Conditions 2 & 4	July
No. 113545 - Mokau Water Treatment Plant (Backwash) Conditions 2 - 8	July
No. 140685 - Rangitoto Quarry Landfill, William Street, Te Kuiti Annual Report Condition 71	<i>Not yet commenced</i>
No. 101753 - Te Kuiti Landfill, William Street Annual Report Condition 4 Independent Peer Reviewer	May
No. 120048 - Te Kuiti Wastewater Treatment Plant Condition 7	1 December
No. 112639 - Te Kuiti Wastewater Treatment Plant Condition 20 (Discharge)	September
No. 138063 - Te Waitere Wastewater Condition 16	July

RESOURCE CONSENT	REPORT DUE
No. 103287, 103288 and 103289 - Te Kuiti, Walker Road - Closed Landfill	November
No. 103193 - Benneydale Closed Landfill SH30 Conditions 2, 3 & 5 No. 103194 - Conditions 2 & 3	Monitoring ceased by mutual agreement with WRC (08/2018)
No. 103196 - Piopio Closed Landfill Conditions 2, 3 & 4	Monitoring ceased by mutual agreement with WRC (08/2018)
No. 103198 - Aria Closed Landfill Conditions 2 & 4	Monitoring ceased by mutual agreement with WRC (08/2018)
Biennial	
No. 117290 - Piopio Wastewater Treatment Plant Conditions 7 & 9 (Discharge) (Review Operations and Management)	September 2014 (<i>and every two years after</i>)
No. 112639 - Te Kuiti Wastewater Treatment Plant Condition 24 (Review Operations Management Plan)	June 2015 (<i>and every two years after</i>)
No. 118813 - Benneydale Wastewater Treatment Plant Condition 27 (Review Management Plan Review)	From 2010 every two years
Other	
No. 112639 - Te Kuiti Wastewater Treatment Plant Condition 28 (Complete Passage/Migration Barrier Assessment within 3 years of commencement date)	Within 3 years: 18 December 2017 Completed: 1 July 2020

Resource Consent Compliance Reports: October to December 2023

4.1 The following Resource Consent Compliance Reports have been made to WRC during the first quarter of 2023/24:

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

Activity Description	Take up to 180 cubic metres per day of water from an unnamed tributary of the Mangapeehi Stream for Benneydale water supply purposes.
Reporting Period:	October 2023
Compliance Status:	Compliant
WDC Reference:	A695732

Activity Description	Take up to 180 cubic metres per day of water from an unnamed tributary of the Mangapeehi Stream for Benneydale water supply purposes.
Reporting Period:	November 2023
Compliance Status:	Compliant
WDC Reference:	A701232

Activity Description	Take up to 180 cubic metres per day of water from an unnamed tributary of the Mangapeehi Stream for Benneydale water supply purposes.
Reporting Period:	December 2023
Compliance Status:	Compliant
WDC Reference:	A704321

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

Activity Description	Discharge up to 135.4 cubic metres of treated municipal sewage in any 24-hour period from the Piopio Wastewater Treatment System to the Mokau River.
Reporting Period:	October 2023
Compliance Status:	<p>Partially Complaint – The concentration of Total Ammoniacal Nitrogen and Total Suspended Solids have exceeded its consent limit. Initial test for total ammoniacal nitrogen showed 15.7 g/m³, reducing to 13.8 g/m³ upon retesting but still exceeded consent limit of 10 g/m³. Total Suspended Solids initially measured 35.6 g/m³, surpassing the 30 g/m³ limit, but a retest showed compliance at 19.6 g/m³.</p> <p>Conducted investigation and found out non-functional pumps in pods 2 and 4, essential for contaminant removal. These were promptly replaced. Consideration is also being given to STEP Systems maintenance at individual properties in Piopio town, involving septic tank inspections and cleaning to address the issue.</p>
WDC Reference:	A680414

Activity Description	Discharge up to 135.4 cubic metres of treated municipal sewage in any 24-hour period from the Piopio Wastewater Treatment System to the Mokau River.
Reporting Period:	November 2023
Compliance Status:	Compliant
WDC Reference:	A695805

Activity Description	Discharge up to 135.4 cubic metres of treated municipal sewage in any 24-hour period from the Piopio Wastewater Treatment System to the Mokau River.
Reporting Period:	December 2023
Compliance Status:	Partially Compliant – The ammoniacal nitrogen was reported at 10.6 g/m ³ for the month of December, which exceeds the consent limit of 10 g/m ³ . A retest was conducted yielding a result of 8.53 g/m ³ which demonstrates compliance. Still considering cleaning the STEP Systems at each individual property in Piopio town if the ammoniacal nitrogen in January 2024 is above its consent limit. This maintenance includes the inspection of septic tanks, as well as the inspection and cleaning of pumps, pump chambers and filter.
WDC Reference:	A704071

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

Activity Description	Place up to 232,000 tonnes of municipal solid waste onto or into land, in the Rangitoto Quarry Landfill, William Street, Te Kuiti.
Reporting Period:	July – September 2023
Compliance Status:	Partially Compliant - The samples collected in September and October 2023 were higher than the historical data, surpassing the set trigger limit for ammoniacal nitrogen. Resampling was conducted, revealing possible leachate contamination in the ring drain. We promptly advised the landfill operator to divert the ring drain to the Te Kuiti Wastewater Plant and investigate for potential infiltration in the ring drain.
WDC Reference:	A702375

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

Activity Description	To discharge treated wastewater to the Mangaokewa Stream from the Te Kuiti Wastewater Treatment Plant.
Reporting Period:	July 2023 to September 2023
Compliance Status:	Partially Compliant - There were 2 instances of discharge that exceeded consent limit of the 7,000 m ³ . These exceedances recorded were 7004 m ³ and 7001 m ³ which are relatively minor and can be accounted for due to the high volume of wastewater that is being diverted to the clarifier to avoid spillage from the oxidation pond.
WDC Reference:	A683277

5. AUTH117945.01.01– Maniati/Bennydale Water Treatment Plant Backwash Condition 3
Report Due: Semi-Annual

Activity Description	Discharge up to 5 cubic metres per day of filter backwash into an unnamed tributary of the Mangapeehi Stream.
Reporting Period:	May to October 2023
Compliance Status:	Compliant
WDC Reference:	A695741

6. AUTH107478.01.02 – Piopio Water Treatment Plant – Backwash Discharge to Water Conditions 10, 15 & 16
Report Due: Semi-Annual

Activity Description	Discharge up to 8 cubic metres of filter backwash water and waste over a 4-minute period, twice a week to the Kuratahi Stream in association with the operation of a municipal water supply.
Reporting Period:	June to November 2023
Compliance Status:	Partially Compliant - Two samples exceeded the consent limit of 0.8 mg/L in September and November 2023. Initially, on September 12, the recorded level of dissolved aluminium was 2.5 mg/L which was then resampled, resulting in a reduced dissolved aluminium level of 0.061 mg/L which shows compliance. In the case of the November exceedance, it likely occurred due to an increase in water intake on November 19, 2023, caused by a SCADA glitch and the sample was collected on November 20, 2023. When the flow rate or volume of water intake increases accidentally the Chemical coagulation dosage increases which can lead to an increase in Aluminium residual. The accidental chemical coagulation dosage was immediately corrected. Furthermore, according to the ANZECC standard, the limit for dissolved aluminium in freshwater is 55mg/L.
WDC Reference:	A702258

7. AUTH103287, AUTH103288 and AUTH103289 – Closed Landfill at Walker Road, Te Kuiti
Report Due: Annually

Activity Description	<p>AUTH103287: The consent holder shall monitor water discharging from the freshwater spring located about 700 metres southwest from the Landfill on Mr. Aldridge’s property.</p> <p>AUTH103288: As a result of the activity authorised by this resource consent, there shall be no odour that causes an objectionable effect beyond the boundary of the Landfill site.</p> <p>AUTH103289: Monitor surface water, at the discharge from the settlement pond.</p>
Reporting Period:	December 2022 to December 2023
Compliance Status:	Partially Compliant – The sample was collected last December 2023 instead of September 2023.
WDC Reference:	A705387

8. AUTH11639.01.01 Te Kuiti Wastewater Plant – Condition 21

Activity Description	The consent Holder shall notify the Waikato Regional Council, Hauauru Ki Uta Regional management Committee and Te Tokanganui-a-noho Regional management Committee as soon as practicable and as a minimum requirement, within 48 hours of the consent holder becoming aware of the limits specified in the conditions of this consent being exceeded and/or of any accidental discharge, plant breakdown, process upset or any other circumstances which are likely to result in the limits of this consent being exceeded. The Consent Holder shall within 7 days of the incident or likely non-compliance occurring, provide a written report to the Waikato Regional Council identifying the exceedance, possible causes, steps undertaken to remedy the effects of the incident and measures that will be undertaken to ensure future compliance.
Reporting Period:	Within 7 days of the incident
Compliance Status:	The Waikato Regional Council (WRC) has concluded its investigation into the unlawful discharge of wastewater from the oxidation pond on May 23, 2023. A decision has been reached to issue a Formal Warning (EAC9617). Staff have taken actions such as updating the Standard Operating Procedures and reducing the ponds levels. The investment in sludge reduction played a positive part in no further actions being taken by WRC.
WDC Reference:	A706060

Suggested Resolution

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



SHYAMAL RAM
GENERAL MANAGER – INFRASTRUCTURE SERVICES

30 January 2024

Document No: A706092

Report To: Audit and Risk Committee



Meeting Date: 13 February 2024

Subject: Progress Report: Procurement Summary Schedule (October 2023 – December 2023)

Information Only

Purpose of Report

- 1.1 The purpose of this business paper is to present to the Committee a summary of the procurements made in the period 1 October 2023 to 31 December 2023 in accordance with Waitomo District Council's Procurement Policy.

Background

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

Commentary

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

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

Procurement Summary Schedule

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

Procurement Exemption

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

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

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

Suggested Resolution

The Progress Report: Procurement Summary Schedule (1 October 2023 to 31 December 2023) be received.



SHYAMAL RAM
GENERAL MANAGER – INFRASTRUCTURE SERVICES

30 January 2024

Attachment: Procurement Summary Schedule (Doc A706092 / Sheet 2023_Q4)

Contract / Order No.	Contract Title / Procurement Description	Type of Contract (Physical Works, Professional Services or Goods and Services)	Term of Contract	One-off or Ongoing Supply	Selection Process (AOG, Syndicated, Panel, Tender, Quote or Direct Appointment)	Exemption Reason	No. of Tenders / Quotes Received	Tender / Quote Range (GST exclusive)	Evaluation Method	Awarded Contract Value (Total cumulative)	Awarded To	Meeting Date	GM
500/23/021	Mayors Taskforce for Jobs	Professional Services	1 Year	One-off	Direct Appointment	Monopoly or limited supplier situation	N/A	N/A	N/A	\$315,000	Waitomo Christian Fellowship Trust Board	N/A	Community Services
500/23/018	All of Government Banking Services	Professional Services	3 Years	One-off	AOG	AOG	N/A	N/A	N/A	\$61,200	Westpac	N/A	Chief Financial Officer